Ph.D. Program in Business Administration

Handbook

(Updated May 2005)

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1. PREFACE

This document describes the doctoral program in Business Administration and summarizes some of the policies of the graduate school that pertain to Business Administration students. It is not intended to be a complete description of the policies and procedures of the Graduate College or the University.

Students are advised to consult the ***Handbook for Graduate Students and Advisers***. The handbook explains your privileges and responsibilities as a graduate student, describes many of the services provided to you by the University, and summarizes the Graduate College regulations that apply to all graduate students. The website address for the handbook is ***http://www.grad.uiuc.edu/grad_handbook/index.html***. The handbook is updated on a regular basis as policies and information change. All graduate students should have a copy of this handbook. If you have lost or misplaced your copy of this booklet, you may print another copy from the Graduate College's website. The handbook includes a complete description of the following topics:

Credit/No Credit
Time Limit
Travel for Conferences
Travel for Dissertation Research
Stipend Payments
Payroll Forms
Tax Status
Health Insurance, Vacation, Sick Leave
University Resources (for TAs)
Mediation of Conflict Between Faculty Supervisors and TA/RA
Resources and Procedures outside of Department (Grievance)
Ethics: Academic Integrity
Professional Codes of Conduct
Academic Misconduct Policies
(e.g., plagiarism, discrimination, sexual harassment).

Students are also expected to know and abide by the information provided in the ***Code of Policies and Regulations Applying to all Students***. Unless specifically indicated otherwise, they apply to all undergraduate, graduate and professional students enrolled at the University of Illinois at Urbana-Champaign. The website address for the manual is ***http://www.uiuc.edu/admin_manual/code***.

In the event that any major changes in the departmental requirements described herein occur, continuing students may choose whether they wish to fulfill the requirements in effect when the student began graduate study or adopt the changes in the revised document.

We want to provide each student in the department with the best opportunity for success in graduate school and after graduating. We are sincerely interested in listening to any suggestions that may improve the doctoral program.

2. THE Ph.D. PROGRAM IN BUSINESS ADMINISTRATION

The Department of Business Administration at the University of Illinois at Urbana-Champaign offers the Ph.D. degree in the following areas of concentration: Information Systems, International Business, Management Science, Marketing, Organizational Behavior, Process Management, and Strategic Management. These areas parallel the cross-functional composition of the department. The presence of these diverse areas of concentration within a single department provides special opportunities for cross-functional fertilization.

The mission of the program is to prepare students to excel at two primary academic roles: knowledge creation and knowledge dissemination. The program has had a high degree of success in fulfilling its mission. Our goal is to ensure that this tradition is maintained, but also to strive for continuous improvement in training world-class researchers and teachers.

The following program was adopted by the Department of Business Administration in April, 2004.

Prerequisites and Business Discipline Proficiency

Entering students must demonstrate a basic level of proficiency in Statistics. Further, in order to gain the Ph.D. in Business Administration, each student must demonstrate some breadth in business-related disciplines: i.e., Microeconomics, Behavioral Sciences, Accounting, Finance, Marketing and Strategic Management. The proficiency requirements can be met in a number of ways, such as, but not limited to documentation of course-work in prior degree programs, relevant work experience or additional coursework during the Ph.D. program. Students with no prior exposure to one or more of these areas will be advised to take senior undergraduate or MBA courses, as appropriate, in the summer prior to admission to the Ph.D. program, or during their time of study at Illinois.

Administration of the Program and Program Evaluation Philosophy

For effective implementation, it is important that uniform policies regarding the program administration, teaching requirements, grade point average requirements, student evaluations and full-time requirements be followed. The policies described in the Handbook apply to all entering Ph.D. students. All requests for exceptions to these policies must be made in writing to the Graduate Studies Committee. The Graduate Studies Committee will recommend to the Head of the Department whether the requested exception should be allowed. The Head of the Department will make the final judgment about all exceptions.

Orientation

A one-day orientation in August, before the start of the first semester, will introduce students to the program and the department.

Topics that will be covered include:

- Program structure and expectations
- Maximizing benefit from the PhD program
- Developing research and teaching interests
- Starting a research career
- The academic career
- Being a citizen of the discipline

Coursework

Coursework is categorized into Business Administration core, area of concentration, minor, research methodology (e.g., research design and data analysis including statistics), and area pro-seminar. During the first two years of the program, students will take 4 hours of coursework to satisfy the Business Administration core requirement, 44 – 48 hours of coursework to satisfy the area of concentration, the minor, and the research methodology requirements, and 0 – 4 hours of coursework to satisfy the area proseminar requirement.

For the area of concentration, the minor, and the research methodology requirements, students are required to take a minimum of 12 hours of coursework in each of the three categories. Specific requirements within each of these three categories, including the classification of courses into these categories, will be made by faculty in each area of concentration. Toward the end of this document, a list of courses that may be used towards these categories is provided within each area of concentration. However, this list is not intended to be exhaustive.

A doctoral degree requires the successful completion of a minimum of 96 semester hours of credit. If a student enters the program with an accredited master's degree, this credit requirement can be reduced by 32 semester hours. Every student is expected to earn a minimum of 64 semester hours in residence. The 64 hour requirement can be a combination of major and minor coursework as well as dissertation hours. While most students will have no difficulty fulfilling the minimum course requirements for the Ph.D. established by the Graduate College during their program of study, it is advisable for students to consult the Graduate Student Handbook regarding specific registration details, course loads and hour requirements at http://www.grad.uiuc.edu/grad_handbook/index.html

Business Administration Core

The Business Administration Core focuses on fundamental question of central importance to students in all areas of Business Administration: "*What does it mean to be a business scholar*?"

The two required courses in the Business Administration Core:

- Provide beginning PhD students the opportunity to recognize and to evaluate excellent scholarship in Business Administration; and
- Introduce beginning PhD students to the process of developing sound research in Business Administration.

Accordingly, the courses will draw on substantive, theoretical, methodological, and philosophical perspectives from diverse areas in Business Administration in order to expose students to the conduct of science and how it applies to business research in general. In meeting these needs, the core courses will also address issues such as professionalism, good research writing and critical thinking.

Fall 7-week course – Scholarship in Business Administration I – Substantive and Theoretical Perspectives (2 credit hours)

The main objectives of the course are to:

1. Develop fundamental skills for scholarship in Business Administration including conceptual thinking, conducting literature reviews, and identifying research issues for further study,
2. Identify the important criteria by which scholarly work is gauged as being an important contribution, and
3. Establish a basic appreciation for different perspectives in Business Administration and the traditional boundaries that define disciplinary research.

Spring 7 week course – Scholarship in Business Administration II – Methodological and Philosophical Perspectives (2 credit hours)

The second course builds on the first course by examining methodological and philosophical perspectives in Business Administration.

The primary objectives of this course are to examine:

1. Methodological perspectives for developing sound research in Business Administration, and
2. Philosophy of science issues relevant to business disciplines.

Area of Concentration

Students must take a minimum of 12 hours of coursework in their area of concentration. Areas of concentration are Information Systems, International Business, Management Science, Marketing, Organizational Behavior, Process Management, and Strategic Management.

Minor Area

Students must choose a minor area. To receive a minor in an area a student must take a minimum of 12 hours of coursework in that area. A student may minor in another area of Business Administration, or may develop a minor with the approval of the academic advisor. Not more than one Independent Study course with a faculty member in an area may be used towards satisfying minor requirements.

Research Methodology

Students are required to take a minimum of three courses on research methodology. Such courses include both research design and analysis and can be from areas, such as statistics and mathematical modeling. Courses that can be taken to meet the research methodology requirement are offered by several departments, including Economics, Psychology, Sociology, Educational Psychology, and Mechanical and Industrial Engineering.

As shown in the Appendix to Part 7 and in the coursework for each area, there are various courses available from which our students may choose with the approval of their advisor.

Area Pro-Seminar

Students are required to attend pro-seminars in their respective areas for which they may earn 0-4 hours of course credit.

Outline of the Program

First Year

The course outline in each of the first two semesters of the program (i.e., fall and spring semesters of the first year) are listed below:

Fall Semester

Scholarship in Business Administration I – Substantive and Theoretical Perspectives	2 hours
Courses in Area of Concentration/Minor/Research Methodology	12.0 hours
Pro-seminar in Area of Concentration	0.0-hours

Spring Semester

Scholarship in Business Administration I – Methodological and Philosophical Perspectives	2 hours
Courses in Area of Concentration/Minor/Research Methodology	12.0 hours
Pro-seminar in Area of Concentration	0.0-hours

Second Year

The course outline for the third and fourth semesters of the program (i.e., fall and spring semesters of the second year) are listed below:

Courses in Area of Concentration/Minor/Research Methodology	12.0-14.0 hours
Pro-seminar in Area of Concentration	0.0-2.0 hours

Third Year

Students may take any appropriate courses to build their research skills and depth of knowledge in their selected area of study or to fulfill the requirement of breadth in business-related disciplines**.**

Proposal Defended/Preliminary Examination Passed by the end of Year 3.

Fourth Year

Students are required to register for dissertation credits; a total of 32 hours are required for graduation.

Final Thesis Defense

Students should check with their assigned advisor for the schedule of courses.

3. POLICIES AND PROCEDURES FOR THE Ph.D. PROGRAM

Administration of the Program

There are several individuals and groups who will be particularly important to the student during his or her time here at the University of Illinois. The first group is the **Graduate Studies Committee**; this committee is charged with the overall administration of the Ph.D. program in the Department of Business Administration. The **Chair of the Graduate Studies Committee** is also the **Director of Graduate Studies** for the department. The Graduate Studies Committee reports to the **Head of the Department,** who is the final authority on all issues in the department.

The Assistant Director of Graduate Studies is an invaluable resource for the student; this individual is responsible for the day-to-day management of the Ph.D. program and is the person who will deal with all non-academic issues involving the student.

For the first two to three years of the program, another important person is the student's advisor. The student is assigned an academic advisor when the student arrives. The role of the advisor is to advise the student on courses, research directions and techniques, and academic life in general. The faculty member in this role is a key resource person with whom the student can discuss any issues that influence a student's productive and personally satisfying progress through the Ph.D. program. More formally, the student's advisor is responsible for a) approving course-work; b) conducting the annual evaluation during the time that he or she acts as the student's advisor; and c) providing the student with feedback on the qualifying examination or paper. Under normal circumstances, the relationship with the advisor will continue until the student's dissertation committee is approved.

During the dissertation phase of the program, the key faculty member is the **Dissertation Chair Person**. *Referred to as the **Chair** hereafter*. (The Chair also takes on the duties of the student's advisor at this point.) The student's chair can be any full time, permanent faculty member in the department. Normally, the chair specializes in the student's area of concentration. The student must choose the chair carefully. The chair must be a member of the Graduate Faculty. The student should be able to comfortably discuss important career decisions with the chair and should find his or her approach and research interests and focus stimulating and interesting. Selecting a chair is up to the student; on the other hand, a faculty member has the right to decide whether to be actively involved in the last stages of the student's degree work. Early contact with the faculty helps ensure adequate information for decision-making on both sides. In addition to directing the student's dissertation research, the chair is responsible for evaluating the student's progress in the Ph.D. program on an annual basis, taking over this formal role from the student's program advisor at this stage in the program.

Once the chair is named, the student works with his or her chair to identify other members of the dissertation committee. The committee should include faculty members from more than one area of specialization in order to bring additional methodological or substantive expertise to the research project. The complete committee, once formed, will require formal approval of the Graduate College. The committee must include at least four voting members, including three current members of the Graduate Faculty and two tenured members of the faculty.

Another group of important people in the student's academic life is the faculty with whom the student works as a Research Assistant. The student has a responsibility to aid these faculty members in their research program. This task may mean simply assisting as directed in less substantive tasks (e.g., photocopying); however, this relationship often leads to more substantive contributions and to joint projects and co-authorship. However, even if the research project is not related to the student's personal interests, valuable skills and experience will be acquired that will be of great future benefit. Students are encouraged to work with more than one faculty member during their graduate school career. This opportunity to serve as a graduate research assistant is an important aspect of the doctoral program. However, opportunities to serve as a research assistant also depend upon the ability of the student to establish mutually beneficial relationships with faculty members.

At the same time, it is beneficial for the student to interact with and get to know the entire faculty in the student's area of interest and in the department. The faculty represents a rich and diverse set of talents and expertise. We expect the students to consider us as a resource pool upon which to draw to gain a diverse set of learning experiences during the student's time in the Ph.D. program, and in the future. The faculty considers their involvement with Ph.D. students to be among the most rewarding aspects of their lives as academics, and look forward to mutual benefit and learning from their experiences with the doctoral students.

Finally, while faculty members are important, it is worth noting that other graduate students in the Department, College and University serve as an invaluable and necessary resource. They "know the ropes" and are usually quite willing to help in whatever way they can.

Teaching Requirement

Experience in teaching is considered a vital part of the graduate program and is required as part of the academic work of all Ph.D. candidates in this program. Normally, that will be accomplished by teaching for at least two semesters while in the Ph.D. program. Students with prior, appropriate experience may be required to teach less than two semesters, with the exception that all students who receive financial support of any kind from the department must teach at least two semesters. The courses that the student will teach during the doctoral program will preferably be in or close to their area of study, and thus will be similar to those the student will teach in their first few years as a faculty member. Finally, the skills gained in oral presentation will greatly help students in oral presentations that they will give throughout their careers. The faculty in the department serves as an invaluable resource in helping you develop the requisite skills. In addition, the University and the College are strongly committed to quality teaching.

Grade Point Average Requirement

The student must maintain at least a 3.00 (out of 4.00) grade point average over all required and elective courses. Failure to maintain this average constitutes unsatisfactory progress and may lead to an unsatisfactory progress evaluation.

Full-Time Requirement

For the typical student, the program requires a full-time commitment of at least three years and normally will be four years. During the period that the student establishes residency, employment outside of the department is strongly discouraged. Only through exclusive commitment and substantial daily interaction with faculty and other graduate students can the student obtain the necessary skills to successfully meet the demands of a future academic career.

Financial Support

Students admitted to the Ph.D. program in Business Administration and continuing students in the program are eligible to receive financial support from the department. Financial support is typically in the form of teaching or research assistantships which include a tuition and partial fee waiver in addition to a stipend. Fellowship support and financial support for professional activities may also be available. The selection process, general criteria, and specifics associated with different kinds of financial support are described below.

Each semester, the Head of the Department decides who will receive assistantships and the associated assistantship duties. No change in these assistantship assignments can be made without the express approval of the Department Head. If a doctoral student refuses to accept his or her assignment, then it is understood that he or she has decided to decline financial aid from the department. Unless approved by the Department Head, financial support for doctoral students shall be for no more than four years. Continuing financial support of any type for the second through fourth years is subject to demonstration of satisfactory progress towards the doctoral degree and satisfactory performance in assistantship duties.

For international students, satisfactory performance in assistantship duties includes being certified to teach by either passing the SPEAK test administered by the University of Illinois; or, by passing the Test of Spoken

English (TSE). Since teaching is an integral part of the doctoral program, international students are strongly encouraged to meet this requirement through the TSE test **before** entry into the doctoral program. If taking the TSE test before entering the program is completely infeasible, this certification should be obtained as early as possible, and no later than the second year, in the program.

With regard to the types of financial aid available, the department offers a substantial number of state-funded assistantships each academic year that typically range from 25% to 50% appointments. All students on these departmental assistantships must be assigned to teaching or teaching related duties. The process of selection, reappointment and allocation of duties of teaching assistants is in the hands of the Department Head. The Head may consult with the Graduate Studies Committee and area coordinators in making these assignments. Relevant criteria considered in selecting students to receive these assistantships include: academic merit, assessment of a student's ability to perform the required services, the needs of the unit, and the level of external financial support received by the student.

Research assistantships are funded by grants or research funds faculty members have received. Selection and reappointment of research assistantships is thus primarily in the hands of the faculty members who received the funds, with the approval of the Department Head. Faculty members tend to select their research assistants from students whose training and research ability they know and whose interests are consistent with the goals of their project. Often, faculty members seek out graduate students with strong conceptual and methodological skills. Students desiring to work with a particular faculty member should get to know the faculty member, learn about his or her research interests, and talk with the faculty member about becoming a research assistant.

Fellowship funds, when available, typically entail specific uses of the funds and these are allocated to students based on the criteria represented by these specific uses. Finally, based on the availability of departmental funds, students may receive financial support from the department for travel to present papers at professional conferences, to attend doctoral consortia and for dissertation research expenses. Students anticipating expenses for these activities should consult with their advisors and area Ph.D. coordinators to ascertain the availability of departmental support. The Graduate College also provides a number of grants to support these professional activities.

Summer Activities

The Department of Business Administration strongly encourages doctoral students to remain in residence during the summers they are enrolled in the Ph.D. program. In addition to completing summer papers or exams, summers are excellent times to participate in research projects with faculty and/or fellow doctoral students. Possible funding sources for the summer include summer teaching opportunities offered through the department, college or university assistantships that include funding for research assistants, or funding from endowments within the department. Consult the Department of Business Administration for more information on these funding sources. Should students wish to pursue Independent Study or coursework during that time, the university extends tuition waivers to doctoral students who have received them for the prior nine-month academic year.

Dissertation Proposal Defense and Final Examination

Approval for scheduling either a dissertation proposal defense or a final examination must be sought a minimum of three weeks before the desired date of defense. The request for either defense must be accompanied by certification by the student's dissertation chair that the student is ready for the defense. In the case of the final examination, it is understood that when the examining committee agrees to the defense they are also certifying that the project is ready for defense. A premature defense as a convenience either to the student or to a member of the committee is unacceptable.

The results of the proposal defense and of the final examination must be communicated to the department immediately upon its conclusion either on the date of the defense or examination, or on the next working day. Any decision for a continuance of the defense or examination must be communicated, with justification, to the Department Head. Any changes deemed necessary by the Committee, either in the proposed research project or in the final dissertation must be communicated to the student within twenty-four hours of the actual defense. For changes to be made in the proposed research project, the student should prepare a written summary of his or her understanding of the changes to be made, and ask each committee member to agree prior to proceeding with the project. When the committee agrees with the research project as amended by the agreed to changes, it becomes a “contract” between the student and the committee. The cover sheet to the proposal, along with the summary of the changes agreed upon, should be signed by the committee and a copy placed in the student’s file.

The student must present a signed copy of the dissertation within two weeks of the final defense to the Department Head. The Department Head must approve any exceptions to this two-week limit in writing. Such exceptions will be granted only when a clear plan is presented for completing the changes along with a firm date for depositing the dissertation.

Time Limits for Degree

The Department of Business Administration follows the Graduate College’s policy on time limits for degrees. A petition for an extension to these time limits must be addressed to the Graduate Studies Committee, and should provide reasons for the delay in completing the degree requirements along with a detailed plan, including targeted deadline dates, for completing the degree requirements.

Grievance Policy and Procedures

The Policy and Procedures on Grievances by Graduate Students in the Department of Business Administration (see #9) specifies the policy and describes the procedures to be employed to resolve grievances by graduate students in this department. The purpose of this policy is to protect the interests of graduate students in the Department of Business Administration by providing informal and formal means of seeking resolution in the case of an inappropriate action of a member of the faculty or administrative staff or an inappropriate application of a department policy.

Ethics in Presenting One’s Work

(Refer to the statement on Academic Integrity in the ***Handbook for Graduate Students and Advisers*** *and the* ***Code of Policies and Regulations Applying to All Students****.)*

Students are reminded that in presenting their work, whether in the form of homework, papers, theses or other presentations, it is important that they distinguish clearly between material for which they claim authorship and material that has originated with others. Students who do not properly make this distinction risk a charge of plagiarism. Plagiarism occurs when one uses the language or ideas of another without proper attribution. Accordingly, when using the work of others, it is imperative that one take special care to identify formally the sources of that work and to set off in quotation marks or through italics or indentation any language that is not one’s own. The penalties for plagiarism vary with the severity of the offense and can result in expulsion from the university.

4. STUDENT EVALUATION AND PHILOSOPHY

It is the understanding of the faculty that the purpose of the doctoral program is to prepare scholars for their two primary academic roles: knowledge development and knowledge dissemination. Knowledge development includes the creation of new ideas and applications; knowledge dissemination includes the presentation of ideas and applications through publications, teaching, and scholarly presentations. These two roles are pursued throughout the four years of the program:

FIRST YEAR: *Understand* existing knowledge and theory and their role in research
SECOND YEAR: A*pply* existing knowledge and theory to new research
THIRD/FOURTH YEARS: *Create* new knowledge and theory for research and application.

Thus, each student should be evaluated relative to their stage in the program and how the student is progressing towards being able to understand, apply and (finally) create new knowledge, theory, and applications. This evaluation should always be in the context of the role of knowledge, theory, and application in doing research.

Annual Student Review

Each student will provide his or her advisor with a written progress report by the 15th of May of each year. Accordingly, each doctoral student will be evaluated annually by the 31st of May by the faculty in the student's chosen area of concentration. Written feedback on status and progress will be provided to each student. This evaluation will include the following areas, as applicable:

(1) Coursework
(2) Development of independent research interests and productive relationships with faculty
(3) Assistantship duties

Areas in which the student is performing at or above expectations, as well as areas of concern, will be noted along with recommendations for enhancing the student's professional growth and development. The written feedback will be routed to the student via the Department Head, and a copy of the student's progress report and of the written feedback will be placed in the student's file. These evaluations will be used to determine the student's continuing eligibility for financial aid.

Evaluation Examination or Paper Requirement

Depending on the specific chosen area of concentration, each student will be asked to either take a written examination or write a paper demonstrating understanding of existing knowledge and theory as well as the ability to creatively present ideas and/or applications. This activity may begin during the summer after the first year of coursework, but must be concluded with a faculty evaluation of the student's examination or paper by January 31st of the student's second year. See the *Appendices* for descriptions of the evaluation process and timetable for each of the areas. Each student should be provided written feedback on the evaluation of this requirement, in addition to verbal counsel by the student's advisor.

Successful completion of this evaluation paper or exam will be a necessary prerequisite for continuation into the third year of the doctoral program.

Second-Year Evaluation

All Ph.D. students will be required to write a second-year paper or to take a further examination in their chosen area of study. The second-year evaluation is intended to demonstrate the readiness of a student to engage in independent academic research. Again, the individual areas of concentration will determine the appropriate method of evaluation. The evaluation process must be completed by January 31st of the third year.

Successful completion of this evaluation paper or exam will be a necessary prerequisite for continuation into the fourth year of the doctoral program.

Dissertation

All Ph.D. students are expected to write a dissertation.

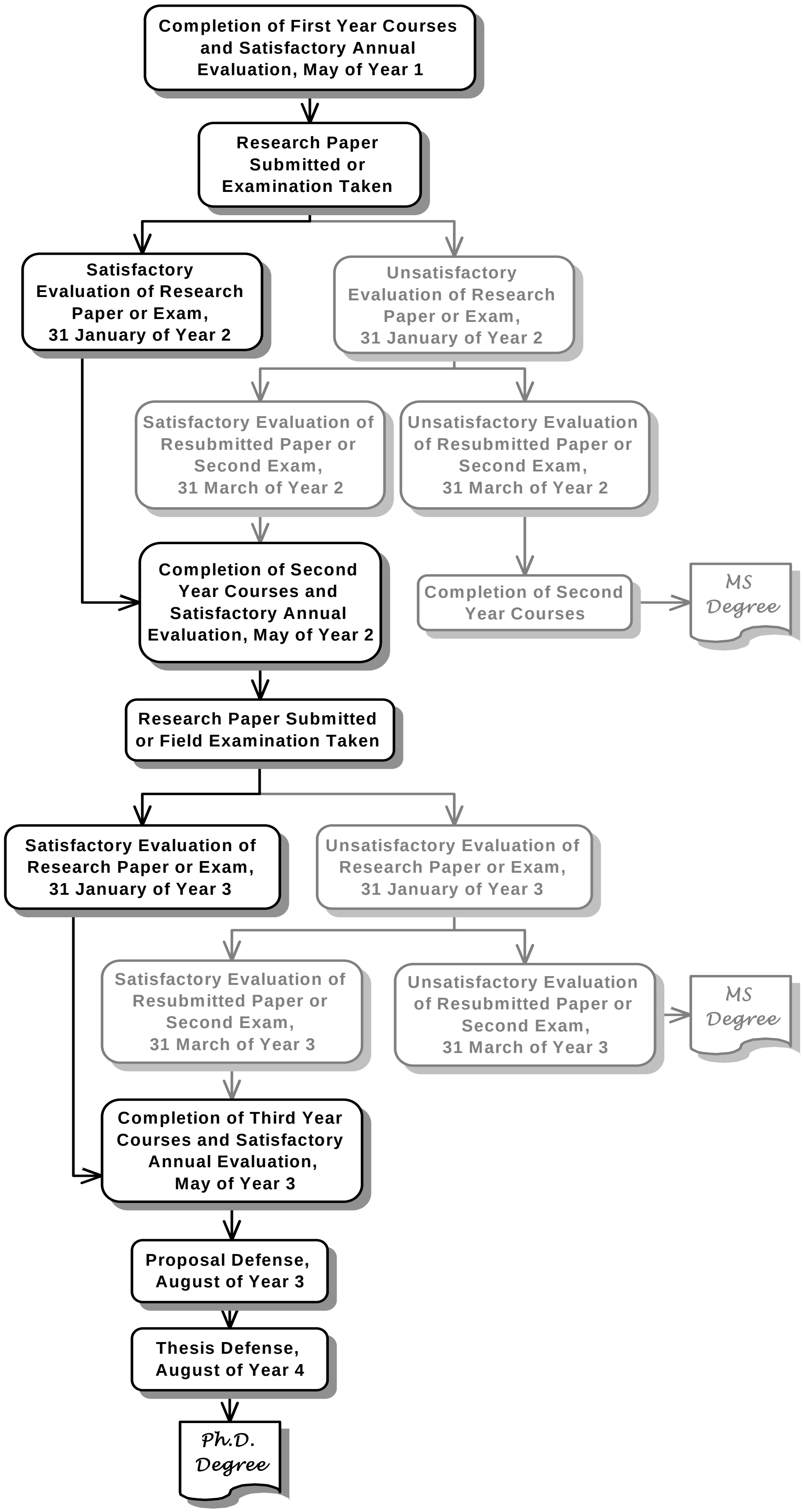
A dissertation is a formal document that puts forth and offers evidence for an original, substantial research question with respect to your field. The question must be original, in that it has not been presented in the field before, and it must be substantial, in that it must have implications for the field or its sub-fields. The evidence offered to answer the question can be derived from theory, observation, or both.

To facilitate timely progress toward the degree, all Ph.D. students will be required to write a dissertation proposal. A proposal explains the research question in detail, places that question in the relevant literature of your field, suggests the relevant theory to be brought to the question, and outlines the method by which the student will gather evidence to answer the research question. The proposal is usually a major draft of the parts of the dissertation.

Both the proposal and the dissertation must be defended in public examination against the appointed dissertation committee plus the interested public. In order to complete the program in four years, the student should defend the proposal by August of the third year, and should defend the dissertation by August of the fourth year. Ideally most students will achieve this.

To assure timely completion, the student is REQUIRED to defend the proposal by August of the fourth year, and the dissertation by August of the sixth year. Students who do not meet either of these standards will not be allowed to continue in the program. A waiver to this policy can be made by formal petition to the Department, with petition forwarded to the Graduate College as necessary. Such waivers are rare. Possible reasons for a waiver include (but are not limited to) serious and lengthy illness, family or financial difficulties, or childbirth. The waiver is not automatic, however; each case will be considered on its merits.

Timeline for Ph.D. Program *(See following chart)*


Completion of First Year Courses and Satisfactory Annual Evaluation, May of Year 1
Research Paper Submitted or Examination Taken
Satisfactory Evaluation of Research Paper or Exam, 31 January of Year 2
Unsatisfactory Evaluation of Research Paper or Exam, 31 January of Year 2
Satisfactory Evaluation of Resubmitted Paper or Second Exam, 31 March of Year 2
Unsatisfactory Evaluation of Resubmitted Paper or Second Exam, 31 March of Year 2
Completion of Second Year Courses and Satisfactory Annual Evaluation, May of Year 2
Completion of Second Year Courses
MS Degree
Research Paper Submitted or Field Examination Taken
Satisfactory Evaluation of Research Paper or Exam, 31 January of Year 3
Unsatisfactory Evaluation of Research Paper or Exam, 31 January of Year 3
Satisfactory Evaluation of Resubmitted Paper or Second Exam, 31 March of Year 3
Unsatisfactory Evaluation of Resubmitted Paper or Second Exam, 31 March of Year 3
MS Degree
Completion of Third Year Courses and Satisfactory Annual Evaluation, May of Year 3
Proposal Defense, August of Year 3
Thesis Defense, August of Year 4
Ph.D. Degree

5. PROFESSIONAL GUIDELINES FOR GRADUATE STUDENTS

The guidelines described below are intended to explain policies, practices and expectations generally applicable to graduate students in the department. These guidelines are not intended to replace policies of the department, the Graduate College, or the university. Students who have questions about the guidelines should speak to their faculty advisor, the chair or members of the Graduate Studies Committee, and/or the head of the department.

Time Demands on Graduate Assistants

1. Students with research/teaching/administrative assistantships are expected to work the number of hours associated with their assistantship appointments. Thus, students who have a 50% assistantship appointment are expected to work an average of 20 hours per week over the term of the appointment on activities directly related to their assistantship.

2. Assistants and their supervisors should work together to develop a plan, based on reasonable expectations of student productivity, to involve an amount of effort commensurate with the percentage time of the appointment.

3. During the first week of the assistantship period, the faculty member and the assistant should develop an understanding regarding the distribution of the hours to be worked. For example, one possible agreement might be that an assistant holding a 50% appointment will work 30 hours one week and 10 hours the following week. Technically, appointments for the academic year begin on August 21 and end May 20, and service is to be provided during each week of that period. However, some faculty might not expect service during University holiday periods. It is inappropriate for faculty to require students to work hours beyond those associated with the assistantship.

4. Faculty and students are expected to work together in order to adjust the distribution of time demands on assistants. Such adjustments may be necessary to meet the academic and professional needs of the assistants and the faculty. Specifically, faculty should attempt to adjust time demands to fit the demands of assistants' classes, qualifying exams, job searches, proposal and dissertation defenses, teaching schedules, and other professional activities (e.g., conferences). At the same time, students should discuss the time demands of such academic and professional activities with faculty as early as possible.

Expectations: Research Assistants

1. For research assistants, there is a distinction between activities that contribute directly to the student's research or academic career, and those that contribute primarily to the scholarship of others. In the first category are RAs whose research forms part of their thesis, as well as RAs who are partners in the intellectual enterprise of the project and who will be co-authors on publications that result from the research. Research assistants commonly devote many hours to such activities, and it is neither possible to separate out the number of hours spent "on the assistantship" nor desirable to regulate them.

   In the second category are RAs whose duties support the research of faculty, but who do not participate as authors of publications or other scholarly output from the project. Duties for these students should involve an average of no greater than 20 hours/week for an assistant holding a 50% appointment, with proportional amounts of time for other percentage appointments. These duties should be related to research activities.

2. During the first week or two of each semester, faculty are encouraged to discuss the research project(s) on which the assistant will be working and to provide a rough estimate of the number of hours it is expected to take the assistant to complete work on the project. After beginning work on the aforementioned project(s), the RA should provide the faculty member with his/her estimate of the time needed to complete the project(s). After this has been communicated to the faculty member, an agreement should be reached between the faculty member and RA concerning time requirements for the project. RAs are encouraged to provide faculty members with weekly updates concerning progress on the assigned project(s).

Expectations: Teaching Assistants

1. For teaching assistants, time spent on their duties includes scheduled contact hours in the classroom or laboratory, office hours and other informal contact time with students, class preparation time, and time spent grading students' work. This should not exceed approximately 20 hours/week for an assistant holding a 50% appointment, when averaged over the semester.

2. As early as possible in the semester, faculty are encouraged to discuss the nature of their responsibilities with the TA and to provide a rough estimate of the number of hours it is expected to take for the activities associated with the assistantship. After beginning work, the TA should provide the faculty member with his/her estimate of the time needed for these activities. An agreement should then be reached between the faculty member and TA concerning time requirements for teaching-related activities. TAs are encouraged to keep their faculty supervisor(s) apprized of any changes that need to be made to the agreed-upon schedule.

Authorship of Professional Publications

1. Faculty members and graduate students are encouraged to follow the American Psychological Association (APA) Guidelines on the Characteristics of Authorship (see Attachment 1) or a similar professional code of conduct.

2. It is possible for a graduate student to make a professional contribution to a research project while working as an RA. Thus, an assistant may be a co-author of a professional publication that results from a project on which he or she contributes, even though the contribution is made while he or she is employed as an RA. Of course, graduate students may also make professional contributions to projects with faculty members outside the context of an assistantship.

3. Authorship is dependent upon the magnitude of one’s contribution to the completed project. This may or may not be related to the time one has spent on the project. Authorship and order of authorship should be discussed and agreed to at the onset of the project, along with the expectations as to each author’s contributions. Any changes that have implications for authorship agreements should be discussed and agreed to as they take place.

4. When an agreement between a faculty member and a graduate student cannot be reached, students are encouraged to follow the grievance procedure described in the Handbook for the Ph.D. Program in Business Administration.

Authorship of Publications from Doctoral Dissertations

1. The copyright for dissertations and publishable materials derived from dissertations belongs to the student, as consistent with University policy.
2. Faculty members should be included as co-authors on articles derived from a dissertation only if their contribution is substantial, as determined by the APA guidelines or another professional code of conduct appropriate for the intended outlet. The same guidelines should be followed in determining the order in which the authors are listed, who is indicated as a contact person, and in all other matters that carry implications as to the relative contributions of each author.

Intellectual Ownership of Databases used for Students’ Research Papers, Theses and Doctoral Dissertations

1. When a faculty member permits a Ph.D. student to use a database that is the intellectual property of the faculty member for the student's research, thesis or doctoral dissertation, a clear agreement should be reached between the student and faculty member as to the permissible uses of the database by the student, and the property rights in any modification or extension of the database that may result from the student's work on the database. This agreement should be reached before the onset of the research/dissertation. Any changes that have implications for intellectual property rights to a faculty member's database should be discussed and agreed to as they take place. The student is expected to abide by any confidentiality requirements and restrictions on uses that have been established by the faculty member. If students have questions about appropriate uses that are not addressed as part of an agreement, the student should obtain explicit approval from the faculty member for the proposed use.

2. When a Ph.D. student constructs a database for his/her research or dissertation with funding assistance from a faculty member, a clear agreement should be reached between the student and faculty member as to intellectual property rights in the database before the onset of the project. Any changes that have implications for intellectual property rights in the database should be discussed and agreed to as they take place.

Miscellaneous

1. Graduate students are encouraged to have discussions with any member of the faculty and no other faculty member(s) should attempt to prevent these discussions from occurring. Graduate students freely choose their dissertation advisor, subject to the faculty member's consent.

2. Graduate students may request the Department Head to permit a termination of their academic relationship with any faculty member with whom they have an irresolvable conflict.

3. Faculty members and graduate students are expected to follow the University's Policies and Procedures on Academic Integrity at all times.

4. Students may also find it useful to refer to the statements on "Responsible Professional Conduct: Guidelines for Teaching, Research and Service," and "Guiding Standards for Faculty Supervision of Graduate Students," that appear in the Graduate College's ***Handbook for Graduate Students and Advisers*.**

6. OTHER ASPECTS OF THE PROGRAM

Office Space

The total amount of space available to the department is limited so that only minimal office space can be provided to doctoral students. Students are assigned a relatively large room in the Survey Building in which space is shared with other doctoral students, with priority given to teaching assistants. Lockers may also available in Wohlers Hall.

Study carrels are available in limited numbers for Research Assistants and Ph. D. candidates during each semester and summer session. Carrels are assigned by Kathy Struck (430 Wohlers Hall) at the beginning of each semester. Please contact the Dean's Office for an application.

Computers

The university has mainframe capacity, which may be accessed from all over campus. Students are given a "free" account on one of the CCSO UNIX mainframes. Students also have access to CCSO computer labs around the campus including one located in Wohlers Hall. The College of Commerce and Business Administration maintains a computer lab in David Kinley Hall that has a variety of software available for student use. The Department of Business Administration also has a small computer lab for the use of doctoral students in 284 Armory and has provided a limited number of computers for use by doctoral students in the student office area in the Survey Building. We recommend that students acquire their own personal computers early in the doctoral program.

Mail and Electronic Mail

Doctoral student mailboxes are located in 339 Wohlers Hall. Please check your mail slot regularly. Also, many departmental notices are sent out by electronic mail. Please read and delete your e-mail regularly.

Keys

Keys to the doctoral student office area and computer lab are available from Debbie Loos in 350 Wohlers Hall.

Student Advisory Committee

The doctoral students in the department have organized an association to meet their needs, called the Student Advisory Committee. Members are elected to serve on this committee at the beginning of each academic year, and represent each area of concentration in the Ph.D. program in Business Administration. Students elected in one year also participate on this committee as ex-officio members in the following year.

7. AREAS OF CONCENTRATION IN BUSINESS ADMINISTRATION

INFORMATION SYSTEMS

Coursework[1]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Research Methodology[2]		4.0 hours
3. Information Systems Course[3]		4.0 hours
4. Foundation for Information Systems Research	BA 561	4.0 hours
5. Proseminar in Information Systems	BA 590	0.0 hours

Spring Semester

1. Scholarship in Business Administration II – Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Research Methodology		4.0 hours
3. Information Systems Course		4.0 hours
4. Information Systems Course		4.0 hours
5. Proseminar in Information Systems	BA 590	0.0 hours

Second Year

Fall Semester

1. Research Methodology		4.0 hours
2. Research Methodology or Minor[4]		4.0 hours
3. Advanced Topics in Information Systems Research	BA 590	4.0 hours
4. Proseminar in Information Systems	BA 590	0.0 hours

Spring Semester

1. Information Systems Course		4.0 hours
2. Research Methodology or Minor		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Proseminar in Information Systems	BA 590	0.0 hours

[1] In the first two years of the program, students will take 48 hours of courses including: (1) 16 hours of research methods, (2) 20 hours of information systems courses, and (3) 12 hours for the minor requirement.
[2] The 4 research methods courses can be taken from courses offered in the Business Administration and other departments on statistics, data analysis, survey research, and approaches to research design.
[3] The information systems courses include graduate-level courses in the information systems or related areas for the 5-course major requirement.
[4] The minor requirement consists of 3 courses in a focused area. The minor area chosen in the past include computer science, economics, strategy, artificial intelligence, supply-chain management, organizational theory, electronic commerce, etc.

Third Year

Fall Semester

1. Thesis or Research Methodology or Minor		4.0 hours
2. Thesis or Research Methodology or Minor		4.0 hours
3. Thesis or Research Methodology or Minor		4.0 hours
4. Proseminar in Information Systems	BA 590	0.0 hours

Spring Semester

1. Thesis or Research Methodology or Minor		4.0 hours
2. Thesis or Research Methodology or Minor		4.0 hours
3. Thesis or Research Methodology or Minor		4.0 hours
4. Proseminar in Information Systems	BA 590	0.0 hours

Fourth Year

Fall and Spring Semester

1. Thesis Research	BA 599	12.0 hours

Evaluation

First-Year Exam

The student will take a take-home examination no later than the 15th of January of the second year in residence. The exam questions will be given to the student at 9:00 a.m. on Monday, and the answers are due no later than 4:00 p.m. on the following Friday. Students will be on their honor to not consult with faculty or other students during the examination period.

This examination will cover the course material taken during the first three semesters in the doctoral program. The questions for the exam will be set by at least three members of the Information Systems faculty. The responses will be evaluated independently by each as Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The student will be informed of the resulting evaluation no later than the 31st of January. A Satisfactory evaluation will allow the student to continue in the doctoral program.

In the event that the evaluation is Unsatisfactory, the student will have the opportunity to take a second exam no later than the first Monday following Spring Break of the second year. The same grading procedure will apply. The student will be informed of the result no later than the 31st of March. In the event that the second exam is judged to be Unsatisfactory, the student will not be allowed to continue in the doctoral program after the second semester of the second year.

Second-Year Paper

During the summer following the second academic year in residence each doctoral student will write a research paper on a topic in Information Systems. This paper must be an independently developed paper. The student will propose the research area for this paper and the Information Systems. Ph.D. Coordinator will, in consultation with the student and relevant faculty, assign at least one faculty member with the appropriate background to discuss the proposal with the student. The student should independently develop the research but may obtain guidance from the assigned faculty. The paper could be a conceptual one with a thorough literature survey and a clear discussion of how the paper goes beyond the existing literature and contributes to it. It need not have all the data collection and analysis done (if it is empirical in nature); however, the conceptual contributions should be clear even in such papers. By the 15th of May, of the same year, the assigned faculty member will approve a “statement of intent” that spells out the question to be addressed in the paper. The paper is due no later than the 15th of September.

Since IS research is multidisciplinary and uses a variety of research methods, the student’s second year paper could be multidisciplinary. The paper should demonstrate proof of concept, develop preliminary theory, and support its arguments with (at least) preliminary results of data analysis.

To determine the acceptability of the finished papers, all second year papers will be independently read and graded by at least three Information Systems faculty members making up an anonymous examination committee, and will each judge the paper Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The Information Systems Coordinator will provide the student with a written evaluation of the examination paper no later than the 1st of October. Further, feedback might be given by individual faculty to the students based on their responses. Evaluation of the student’s paper will be based on whether or not the student can:

(1) Appropriately analyze the research question
(2) Exhibit an appropriate level of understanding of the theoretical, substantive and methodological issues of the chosen research question
(3) Demonstrate creativity
(4) Demonstrate a satisfactory level of communication capability in the written presentation
(5) Develop a paper that is publishable in a high quality refereed publication, or capable of leading to such a publication

If the paper is judged Unsatisfactory, the student will prepare a written response to the examination committee’s evaluation no later than the 15th of November. The examination committee will evaluate the response, and will then recommend a grade of Satisfactory or Unsatisfactory. The student will be informed of the evaluation no later than the 1st of December of the third year.

If the paper has been initially judged to be Satisfactory or if the committee has judged the paper as Satisfactory based on the response to the committee’s evaluation, the student is encouraged to prepare for an oral presentation of the review paper as revised based on the reading committee’s comments. This oral presentation should be scheduled as early as possible in the fall semester of the student’s third year of residence. The purpose of the oral presentation requirement is to enhance the student’s communications skills, and is not a part of the examination process.

If, after responding to the committee’s comments, the paper is judged to be Unsatisfactory, in accordance with departmental policies, the student will not be allowed to continue in the Ph.D. program after completion of the second semester of the third year.

INTERNATIONAL BUSINESS

Coursework[1]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Research Methodology or Minor		4.0 hours
3. Foundations of International Business Research	BA XXX	4.0 hours
4. Foundational Courses[3]		4.0 hours
5. Proseminar in International Business	BA 590	2.0 hours

Spring Semester

1. Scholarship in Business Administration II – Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Research Methodology or Minor		4.0 hours
3. Economic or Behavioral Theories in International Business	BA XXX	4.0 hours
4. Elective e.g. International Economics or Cross Cultural Psychology or Comparative Sociology		4.0 hours
5. Proseminar in International Business	BA 590	0.0 hours

Second Year

Fall Semester

1. Research Methodology or Minor		4.0 hours
2. Foundational Courses[3]		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Proseminar in International Business	BA 590	0.0 hours

Spring Semester

1. Economic or Behavioral Theories in International Business	BA XXX or BA XXX	4.0 hours
2. Elective e.g. International Economics or Cross Cultural Psychology or Comparative Sociology		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Proseminar in International Business	BA 590	2.0 hours

[1]In the event that a specific course is not offered at the time in the student's program that is indicated, the student may replace the specific course with another course that has been approved beforehand, in writing, by the Graduate Studies Committee.
[2] Students with a high level of proficiency may take more advanced courses only with permission of the Graduate Studies Committee.
[3]Allowable sequences: Economic Foundations of Business Administration and Economic Approaches to Strategic Management Research (2.0 hours each); or Behavioral Foundations of Business Administration and Behavioral Approaches to Strategic Management Research (2.0 hours each); or Organization and its Environment (4.0 hours).
[4]Students are strongly encouraged to minor in one of the Business Administration functional areas, or in a related discipline. All minors require approval from the student's academic advisor.

Third Year

Fall Semester

1. Research Methodology or Minor		4.0 hours
2. Research Methodology or Minor [2]		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Proseminar in International Business	BA 590	2.0 hours

Spring Semester

1. Thesis or Research Methodology or Minor		4.0 hours
2. Thesis or Research Methodology or Minor		4.0 hours
3. Thesis or Research Methodology or Minor		4.0 hours
4. Proseminar in International Business	BA 590	2.0 hours

Fourth Year

Fall and Spring Semesters

1. Thesis Research	BA 599	12.0 hours

Evaluation

First-Year Exam

The student will take an evaluation examination on Thursday and Friday in the second week of June of the first year. The exam will cover the material from the first year of course-work. The exam will be graded by at least three members of the International Business faculty who are experts in the subject areas of the exam, and each will judge the examination Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The student will be informed of this evaluation no later than the 15th of July. A Satisfactory evaluation on this exam is required for continuation in the doctoral program.

In the event that the evaluation is Unsatisfactory, the student may take a second exam in the same format on the first Thursday and Friday in September, and the same grading procedures will apply. The student will be informed of the evaluation on this second exam no later than the 30th of September. In the event that the evaluation of the second exam is Unsatisfactory, the student will not be permitted to continue in the doctoral program after the spring semester of the second year.

Second-Year Paper

During the summer following the second academic year in residence each doctoral student will write a conceptual/theoretical paper on a topic in International Business. The student will distribute a one-page abstract describing the proposed topic to the International Business faculty by the 15th of April of the second year. The student will then be responsible for discussing the proposed topic with the International Business faculty, in order to generate feedback. The student will turn in a five-page paper proposal to the International Business faculty by the 1st of May. The faculty will approve this proposal by the 15th of May. The student should confer with the International Business Coordinator to help manage this proposal process.

The paper is due no later than the 15th of September. This paper must be an independently developed paper without formal faculty supervision and not previously worked on by the student. The paper must include an extensive critical review of the important literature in the topic area. In addition, the paper must include an original theoretical integration of the important issues in the conceptual area under investigation. The paper should be no longer than 40 pages of text; this page limit does not include references, figures, tables etc.

To determine the acceptability of the finished papers, all second year evaluation papers will be independently read and graded by at least three International Business faculty members making up an anonymous examination committee, and each will judge the paper Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The International Business Ph.D. Coordinator will provide the student with a written evaluation of the examination paper no later than the 7th of October. Evaluation of the student's paper will be based on whether or not the student can:

(1) Appropriately analyze the research question,
(2) Exhibit an appropriate level of understanding of the theoretical, substantive and methodological issues of the chosen research question,
(3) Demonstrate creativity, and
(4) Demonstrate a satisfactory level of communication capability in the written presentation.

If the paper is judged Unsatisfactory, the student will prepare a written response to the examination committee's evaluation no later than the 7th of November. The examination committee will evaluate the response, and will then recommend a grade of Satisfactory or Unsatisfactory. The student will be informed of the evaluation no later than the 1st of December of the third year.

If the paper has been initially judged to be satisfactory or if the committee has judged the paper as satisfactory based on the response to the committee’s evaluation, the student is encouraged to prepare for an oral presentation of the review paper as revised based on the reading committee's comments. This oral presentation should be scheduled as early as possible in the fall semester of the student's third year of residence. The purpose of the oral presentation requirement is to enhance the student’s communications skills, and is not a part of the examination process.

If, after responding to the committee’s comments, the paper is judged to be Unsatisfactory, in accordance with departmental policies, the student will not be allowed to continue in the Ph.D. program after completion of the second semester of the third year.

MANAGEMENT SCIENCE

Coursework[5]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Systems Modeling & Simulation or Economics of Decision Making	BA 575 or BA 577	4.0 hours
3. Research Methodology[6]		4.0 hours
4. Research Methodology[6]		4.0 hours
5. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Spring Semester

1. Scholarship in Business Administration II – Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Mathematical Programming for Management Science or Stochastic Models in Management Science	BA 579 or BA 578	4.0 hours
3. Research Methodology[6] or Minor[7]		4.0 hours
4. Research Methodology[6] or Minor[7]		4.0 hours
5. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Second Year

Fall Semester

1. Economics of Decision Making or Systems Modeling & Simulation	BA 577 or BA 575	4.0 hours
2. Research Methodology[6] or Minor[7]		4.0 hours
3. Research Methodology[6] or Minor[7]		4.0 hours
4. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Spring Semester

1. Stochastic Models in Management Science or Mathematical Programming for Management Science	BA 578 or BA 579	4.0 hours
2. Research Methodology[6] or Minor[7]		4.0 hours
3. Thesis or Elective		4.0 hours
4. Proseminar in Management Science/Process Management	BA 590	0.0 hours

[5] In the first two years of the program, students will take a minimum of 48 hours of coursework including: (1) 4 hours of Business Administration core courses, (2) 16 hours of research methodology courses, (3) 16 hours of management science courses, and (4) 12 hours for the minor requirement. In the event that a specific course listed is not offered at the time indicated, the student may replace the course with another that has been approved by the student's advisor.

[6] Research methodology courses should be chosen in consultation with the student's advisor from courses offered in Business Administration and other departments on probability & statistics, operations research, economic modeling, and/or data analysis. See appendix to this section for an incomplete list of potential research methodology courses.

[7] The minor requirement consists of 3 related courses in a focused area and should be chosen in consultation with the student's advisor.

Third Year

Fall and Spring Semesters

1. Thesis Research		12.0 hours
2. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Fourth Year

Fall and Spring Semesters

1. Thesis Research		12.0 hours
2. Proseminar in Management Science/Process Management	BA 590	0.0 hours

The following list includes courses from Appendix to Part 7, as well as other additional courses recommended by the Management Science area.

<u>Examples of Probability & Statistics Sequences</u>

1. STAT 400 & 410: Statistics and Probability I & Statistics and Probability II
2. STAT 451 & 456: Probability Theory I & Probability Theory II
3. ECON 506 & 507: Economic Statistics & Economic Analysis

<u>Examples of Operations Research Courses</u>

1. ECON 501: Quantitative Analysis for Economics
2. MATH 482 & 484: Linear Programming & Nonlinear Programming
3. IE 510: Applied Nonlinear Programming
4. IE 511: Integer Programming
5. IE 512: Systems Method and Network Techniques

<u>Examples of Economic Modeling Courses</u>

1. ECON 565 & 566: Math Econ I and Math Econ II
2. ECON 580: Industrial Organization

<u>Examples of Data Analysis Courses</u>

1. ECON 574 & 575: Econometrics I & Econometrics II
2. ECON 508: Applied Econometrics
3. ECON 577: Topics in Econometrics
4. ECON 576: Time Series Analysis

Evaluation

First-Year Exam

The student will take a closed-book examination no later than the 15th of January of the second year in residence. This examination will cover the course material taken during the first three semesters in the doctoral program. The exam will be graded independently by at least three members of the Management Science/Process Management faculty, and each will judge the exam as Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The student will be informed of the resulting evaluation no later than the 31st of January. A Satisfactory judgment will allow the student to continue in the doctoral program.

In the event that the exam is judged to be Unsatisfactory, the student will have the opportunity to take a second exam no later than the first Monday following Spring Break of the second year. The same grading procedure will apply. The student will be informed of the result no later than the 31st of March. In the event that the second exam is judged to be Unsatisfactory, the student will not be allowed to continue in the doctoral program after the second semester of the second year.

Second-Year Exam

No later than the 15th of September of the third year in the program, the student will take an integrative examination covering the material contained in the Process Management courses and an additional reading list. This examination will be a take-home exam, to be distributed at 8:00 a.m. on the examination day and returned at 5:00 p.m. on the following day. The student will not consult any other individuals about the contents of this examination.

At least three members of the Management Science/Process Management faculty will read the examination, and each will judge the exam Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The student will be informed of the results of this examination no later than the 1st of October. A Satisfactory grade on this examination will allow the student to continue in the doctoral program. In the event that the student receives an Unsatisfactory grade, the student can elect to take a new examination no later than the 15th of November of the third year. The same grading procedure will apply, and the student will be informed of the results of this examination no later than the 1st of December. In the event that the student receives an Unsatisfactory grade on the new examination, the student will not be allowed to continue in the doctoral program after the second semester of the third year. If, after responding to the committee’s comments, the paper is judged to be Unsatisfactory, in accordance with departmental policies, the student will not be allowed to continue in the Ph.D. program after completion of the second semester of the third year.

MARKETING

Coursework[1]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Empirical Research Methods in Business Administration	BA 507	4.0 hours
3. Advanced Topics in Marketing - I or II	BA 537 or 590	4.0 hours
4. Research Methodology or Minor		4.0 hours
5. Proseminar in Marketing	BA 590	0.0 hours

Spring Semester

1. Scholarship in Business Administration II – Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Methodology in Consumer Behavior or Marketing Models	BA 538 or BA 539	4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Research Methodology or Minor		4.0 hours
5. Proseminar in Marketing	BA 590	0.0 hours

Second Year

Fall Semester

1. Advanced Topics in Marketing – I or II	BA 537 or 590	4.0 hours
2. Research Methodology or Minor		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Proseminar in Marketing	BA 590	2.0 hours

Spring Semester

1. Methodology in Consumer Behavior or Marketing Models	BA 538 or BA 539	4.0 hours
2. Research Methodology or Minor		4.0 hours
3. Research Methodology or Minor		4.0 hours*
4. Proseminar in Marketing	BA 590	0.0 hours

Third Year

Fall and Spring Semesters

1. Thesis or Research Methodology or Minor		4.0 hours
2. Thesis or Research Methodology or Minor		4.0 hours
3. Thesis or Research Methodology or Minor		4.0 hours
4. Proseminar in Marketing	BA 590	2.0 hours

[1] In the event that a specific course is not offered at the time in the student's program that is indicated, the student may replace the specific course with another course that has been approved beforehand, in writing, by the Graduate Studies Committee.
[2] Students with a high level of proficiency may take more advanced courses only with permission of the Graduate Studies Committee.

Fourth Year

Fall and Spring Semesters

1. Thesis Research	BA 599	12.0 hours
2. Proseminar in Marketing	BA 590	0.0 hours

Potential Research Methodology Courses

Examples of Statistics Courses and Sequences

ECON 506 & 507: Economic Statistics & Economic Analysis
ECON 574 & 575: Econometrics I & Econometrics II
ECON 508: Applied Econometrics
ECON 577: Topics in Econometrics
ECON 576: Time Series Analysis

Evaluation

First-Year Paper

During the summer following the first academic year in residence, each doctoral student will be expected to write an independent research paper on a research issue of interest to the student. Each student will make a proposal of the "broad" topic of the examination paper to the Marketing Ph.D. Coordinator by the 1st of May. The Coordinator will, in consultation with the student and relevant faculty, assign a faculty member with the appropriate background to discuss the proposal with the student. By the first two weeks of May of the same year the assigned faculty member will approve a "statement of intent" that spells out the question to be addressed in the paper. Although it is expected that this research and writing activity will be supervised by one of the graduate faculty in the department, the research project should be one of the student's choosing. The paper is due by the 15th of August.

To determine the acceptability of the finished papers, all first year papers will be read and graded by an examination committee consisting of at least three members of the Marketing faculty, and each will judge the paper Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The evaluation will address the following questions:

(1) Has the student defined a researchable problem?
(2) Has the student effectively communicated the contribution of this research?
(3) Has the student identified and used the relevant prior work in the literature?
(4) Has the student designed a reasonable methodology for the problem?

The Marketing Ph.D. Coordinator will provide the student with a written evaluation of the examination paper by the 1st of September. If the reading committee does not judge the written paper as Satisfactory, the student will have the opportunity to respond to the committee's evaluation before the 15th of November. The examination committee will evaluate the response, and will then recommend a grade of Satisfactory or Unsatisfactory no later than the 1st of December. In the event of an Unsatisfactory evaluation, the student will not be allowed to continue in the doctoral program after the spring semester of the second year. If the grade is Satisfactory, the student will make an oral presentation of the paper at a Marketing Proseminar as early as possible in the second year.

Second-Year Paper

During the summer following the second academic year in residence each doctoral student will write a critical review paper covering a specific research area in Marketing. This integrative review paper must be an independently developed paper without formal faculty supervision and not previously worked on by the student. The student will propose the general substantive area for this integrative review paper and the Marketing Ph.D. Coordinator will, in consultation with the student and relevant faculty, assign at least one faculty member with the appropriate background to discuss the proposal with the student. By the first two weeks of May of the same year the assigned faculty member will approve a "statement of intent" that spells out the question to be addressed in the paper.

The review should cover relevant theories, extant empirical research and methodological approaches. It is expected that the review will be a critical examination of the area and will integrate the existing knowledge in the research area. Further, the paper should isolate current research issues and identify one possible research project that could be undertaken to investigate one of the research issues. The paper is due no later than the 15^{th} of August.

To determine the acceptability of the finished papers, all second year evaluation papers will be independently read and graded by at least three marketing faculty members making up an anonymous examination committee, and each will judge the paper Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The Marketing Ph.D. Coordinator will provide the student with a written evaluation of the examination paper no later than the 1^{st} of September. Evaluation of the student's paper will be based on whether or not the student can:

(1) Critically analyze the research domain,
(2) Exhibit an appropriate level of understanding of the theoretical, substantive and methodological issues of the chosen research domain,
(3) Demonstrate creativity, and
(4) Demonstrate a satisfactory level of communication capability in the written presentation.

If the paper is judged Unsatisfactory, the student will prepare a written response to the examination committee's evaluation no later than the 15^{th} of November. The examination committee will evaluate the response, which will then recommend a grade of Satisfactory or Unsatisfactory. The student will be informed of the evaluation no later than the 1^{st} of December of the third year.

If the paper has been initially judged to be Satisfactory or if the committee has judged the paper as Satisfactory based on the response to the committee's evaluation, the student is encouraged to prepare for an oral presentation of the review paper as revised based on the reading committee's comments. This oral presentation should be scheduled as early as possible in the student's third year of residence. The purpose of the oral presentation requirement is to enhance the student's communications skills, and is not a part of the examination process.

If, after responding to the committee's comments, the paper is judged to be Unsatisfactory, in accordance with departmental policies, the student will not be allowed to continue in the Ph.D. program after completion of the second semester of the third year.

ORGANIZATIONAL BEHAVIOR/THEORY

Coursework[1]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Empirical Research Methods in Business Administration	BA507	4.0 hours
3. Individual Behavior in Organizations or Organization and Its Environment	BA 510 or BA 512	4.0 hours
4. Research Methodology or Minor		4.0 hours
5. Proseminar in Organizations	BA 591	0.0 hours

Spring Semester

1. Scholarship in Business Administration II – Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Individual Behavior in Organizations or Organization and Its Environment	BA 510 or BA 512	4.0 hours
3. Seminar in Macro or Micro Organizational Behavior	BA 518 or BA 519	4.0 hours
4. Research Methodology or Minor		4.0 hours
5. Proseminar in Organizations	BA 591	0.0 hours

Second Year

Fall Semester

1. Independent Study or Elective	BA 594	2.0 hours
2. Research Methodology or Minor		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Research Methodology or Minor		4.0 hours
5. Proseminar in Organizations	BA 591	0.0 hours

Spring Semester

1. Seminar in Macro or Micro Organizational Behavior	BA 518 or BA 519	4.0 hours
2. Independent Study or Elective	BA 594	2.0 hours
3. Research Methodology or Minor		4.0 hours
4. Research Methodology or Minor		4.0 hours
5. Proseminar in Organizations	BA 591	0.0 hours

Third Year

Fall and Spring Semesters

1. Thesis or Research Methodology or Minor		12.0 hours
2. Proseminar in Organizations	BA 591	0.0 hours

[1]In the event that a specific course is not offered at the time in the student's program that is indicated, the student may replace the specific course with another course that has been approved beforehand, in writing, by the Graduate Studies Committee.
[2] Students with a high level of proficiency may take more advanced courses only with permission of the Graduate Studies Committee.

Fourth Year

Fall and Spring Semesters

1. Thesis Research	BA 599	12.0 hours
2. Proseminar in Organizations	BA 591	0.0 hours

Evaluation

First-Year Review Paper

On the second Monday following the end of the examination period in the spring semester of the student's first year, the Organizational Behavior faculty will provide the student with a list of four topics drawn from among those discussed in the student's first year coursework. The student will choose one of the topics and will write a review paper on the chosen topic. The review paper will be due at 5:00 p.m. on the fourth Monday following the end of the examination period in the spring semester of the student's first year.

The review paper should be no longer than 30 pages, and should demonstrate that the student has a deep understanding of past and current research in the chosen topic. A committee of at least three members of the Organizational Behavior faculty will read each student's paper, and will each judge the paper to be Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The evaluation committee will provide the student with a written evaluation no later than the 7th of July. In the event that the paper is judged to be Unsatisfactory, the student will be required to submit a revised version of the paper no later than 5:00 p.m. on the 22nd of July. The evaluation committee will read the second submission, and will judge it to be Satisfactory or Unsatisfactory, as before, no later than the 8th of August.

In the event that the second submission is judged to be Unsatisfactory, the student will not be allowed to continue in the doctoral program after the spring semester of the second year.

Second-Year Exam

On the second Monday following the end of the examination period in the spring semester of the student's second year, the student will complete a take-home field exam. The purpose of this exam is to give the student the opportunity to demonstrate the breadth and clarity of their understanding in Organizational Behavior, and to exhibit their professional development.

The second year field exam will cover the macro and micro Organizational Behavior areas. The student will be required to answer questions across these areas. The student should expect part of the evaluation for this exam to reflect their knowledge of the literature that goes beyond the specific course contents, their ability to assess research, their ability to identify interesting research questions, and their ability to integrate the diverse literatures in Organizational Behavior.

This open-book, take-home exam will be given to the student at 8:00 a.m. Monday morning and will be due back two weeks later on Monday at 5:00 p.m. The student will be on his or her honor to not consult with faculty or other students during the examination period. Late submissions will not be accepted. Each question will be read by at least three members of the faculty with expertise in the subject areas, and scored as either Satisfactory or Unsatisfactory. To the extent possible, the faculty readers will not know the identity of the student whose exam they are evaluating. The majority evaluation on each question will be the overall evaluation on that question. The overall evaluation of the examination will be Satisfactory only if the evaluation of each of the questions is Satisfactory, and will be provided to the student no later than two weeks after the exam has been submitted.

In the event that the overall examination evaluation is Unsatisfactory, the student will have until 5:00 p.m. on the 22nd of September to complete a second examination that covers the same areas as the questions that were judged to be Unsatisfactory on the original examination. The student is expected and encouraged to solicit feedback from faculty and other students concerning the shortcomings on the first attempt, but may not solicit assistance from faculty or students on completing the second examination. The resubmission will be read by at least three faculty and scored as Satisfactory or Unsatisfactory, as above. The student will be informed in writing of the outcome of the second submission no later than the 7th of October.

In the event that the overall evaluation of the second submission is Unsatisfactory, the student will not be allowed to continue in the doctoral program after the spring semester of the third year.

Pre-Dissertation Project (PDP)

Sometime after the completion of the Second Year Exam, but before the beginning of the fourth year, students must complete an empirical project (that is different from their dissertation) for which they are the primary investigator. The student and advisor will jointly develop a research idea and design a project to empirically build or test theory around that idea. The student should be responsible for collecting and analyzing the data (quantitative, archival, qualitative, etc.), as well as writing-up the research results in a form appropriate for publication in a journal. The student's advisor on the project should provide appropriate input/feedback when needed.

The final product should be a paper of publishable quality in terms of the form of the article, but not necessarily in terms of its results. That is, even if the results are not statistically significant or even interesting, the paper will satisfy the PDP requirement once it has been (a) approved by two faculty readers, and (b) presented in the Organizational Behavior Prosem. Students should complete the PDP before defending their dissertation proposal.

Note: Students and their advising faculty should negotiate authorship issues before the start of the PDP project, and discuss conditions that lead to the student being the first (or even the sole) author of a manuscript if it is submitted to a journal. Historically, students have been the lead authors on their PDP papers.

PROCESS MANAGEMENT

Coursework[8]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Process Management Course[9]		4.0 hours
3. Research Methodology[10]		4.0 hours
4. Research Methodology[10]		4.0 hours
5. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Spring Semester

1. Scholarship in Business Administration II– Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Process Management Course[9]		4.0 hours
3. Research Methodology[10] or Minor[11]		4.0 hours
4. Research Methodology[10] or Minor[11]		4.0 hours
5. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Second Year

Fall Semester

1. Advanced Topics in Process Management[9]		4.0 hours
2. Research Methodology[10] or Minor[11]		4.0 hours
3. Research Methodology[10] or Minor[11]		4.0 hours
4. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Spring Semester

1. Advanced Topics in Process Management[9]		4.0 hours
2. Research Methodology[10] or Minor[11]		4.0 hours
3. Thesis or Elective		4.0 hours
4. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Third Year

Fall and Spring Semesters

1. Thesis Research		12.0 hours
2. Proseminar in Management Science/Process Management	BA 590	0.0 hours

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[8] In the first two years of the program, students will take a minimum of 48 hours of course-work including: (1) 4 hours of Business Administration core courses, (2) 16 hours of research methodology courses, (3) 16 hours of process management courses, and (4) 12 hours for the minor requirement.

[9] Process management courses include graduate-level courses in process management or related areas.

[10] Research methodology courses should be chosen in consultation with the student's advisor from courses offered in Business Administration and other departments on probability & statistics, operations research, economic modeling, data analysis, and/or research design. See appendix to this section for an incomplete list of potential research methodology courses.

[11] The minor requirement consists of 3 related courses in a focused area and should be chosen in consultation with the student's advisor.

Fourth Year

Fall and Spring Semesters

1. Thesis Research		12.0 hours
2. Proseminar in Management Science/Process Management	BA 590	0.0 hours

Evaluation

First-Year Exam

The student will take a closed-book examination no later than the 15th of January of the second year in residence. This examination will cover the course material taken during the first three semesters in the doctoral program. The exam will be graded independently by at least three members of the Management Science/Process Management faculty, and each will judge the exam as Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The student will be informed of the resulting evaluation no later than the 31st of January. A Satisfactory judgment will allow the student to continue in the doctoral program.

In the event that the exam is judged to be Unsatisfactory, the student will have the opportunity to take a second exam no later than the first Monday following Spring Break of the second year. The same grading procedure will apply. The student will be informed of the result no later than the 31st of March. In the event that the second exam is judged to be Unsatisfactory, the student will not be allowed to continue in the doctoral program after the second semester of the second year.

Second-Year Exam

No later than the 15th of September of the third year in the program, the student will take an integrative examination covering the material contained in the Process Management courses and an additional reading list. This examination will be a take-home exam, to be distributed at 8:00 a.m. on the examination day and returned at 5:00 p.m. on the following day. The student will not consult any other individuals about the contents of this examination.

At least three members of the Management Science/Process Management faculty will read the examination, and each will judge the exam Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The student will be informed of the results of this examination no later than the 1st of October. A Satisfactory grade on this examination will allow the student to continue in the doctoral program. In the event that the student receives an Unsatisfactory grade, the student can elect to take a new examination no later than the 15th of November of the third year. The same grading procedure will apply, and the student will be informed of the results of this examination no later than the 1st of December. In the event that the student receives an Unsatisfactory grade on the new examination, the student will not be allowed to continue in the doctoral program after the second semester of the third year. If, after responding to the committee's comments, the paper is judged to be Unsatisfactory, in accordance with departmental policies, the student will not be allowed to continue in the Ph.D. program after completion of the second semester of the third year.

The following list includes courses from Appendix to Part 7, as well as other additional courses recommended by the Management Science area.

Examples of Probability & Statistics Sequences

1. STAT 400 & 410: Statistics and Probability I & Statistics and Probability II
2. STAT 451 & 456: Probability Theory I & Probability Theory II
3. ECON 506 & 507: Economic Statistics & Economic Analysis

Examples of Operations Research Courses

1. BADM 579: Mathematical Programming for Management Science
2. ECON 501: Quantitative Analysis for Economics
3. MATH 482 & 484: Linear Programming & Nonlinear Programming
4. IE 510: Applied Nonlinear Programming
5. IE 511: Integer Programming
6. IE 512: Systems Method and Network Techniques
7. BADM 578: Stochastic Processes for Management Science
8. BADM 575: Systems Modeling and Simulation

Examples of Economic Modeling Courses

1. BADM 577: Economics of Decision Making
2. ECON 565 & 566: Math Econ I and Math Econ II
3. ECON 580: Industrial Organization

Examples of Data Analysis Courses

1. ECON 574 & 575: Econometrics I & Econometrics II
2. ECON 508: Applied Econometrics
3. ECON 577: Topics in Econometrics
4. ECON 576: Time Series Analysis

Examples of Research Design Courses

1. BADM 507: Behavioral Research Methods in Business Administration
2. BADM 531: Survey Methods in Marketing Research

STRATEGIC MANAGEMENT

Coursework[1]

First Year

Fall Semester

1. Scholarship in Business Administration I – Substantive and Theoretical Perspectives	BA503	2.0 hours
2. Research Methodology or Minor		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Fundamentals of Strategic Management Research	BA 545	2.0 hours
5. Strategy Content and Formulation Research	BA 546	2.0 hours
6. Proseminar in Strategic Management	BA 590STR	0.0 hours

Spring Semester

1. Scholarship in Business Administration II – Methodological and Philosophical Perspectives	BA504	2.0 hours
2. Research Methodology or Minor		4.0 hours
3. Research Methodology or Minor		4.0 hours
4. Corporate and Competitive Strategy	BA 548	2.0 hours
5. Strategy Process and Implementation Research or Current Research in Strategic Management	BA 547 or BA 549	2.0 hours
6. Proseminar in Strategic Management	BA 590STR	0.0 hours

Second Year

Fall Semester

1. Research Methodology or Minor		4.0 hours
2. Research Methodology or Minor		2.0 hours
3. Strategy Process and Implementation Research or Current Research in Strategic Management	BA 547 or BA 549	2.0 hours
4. Proseminar in Strategic Management	BA 590STR	2.0 hours

Spring Semester

1. Research Methodology or minor		
2. Research Methodology or Minor		
3. Competitive or Corporate Strategy	BA XXX	2.0 hours
4. Current Research in Strategic Management	BA XXX	2.0 hours
5. Proseminar in Strategic Management	BA 590STR	2.0 hours

Third Year

Fall Semester

1. Econometrics II or approved substitute	ECON 575	4.0 hours
2. Thesis or Research Methodology or Minor		4.0 hours
3. Thesis or Research Methodology or Minor		4.0 hours
4. Proseminar in Strategic Management	BA 590STR	2.0 hours

Spring Semester

1. Thesis or Research Methodology or Minor		4.0 hours
2. Thesis or Research Methodology or Minor		4.0 hours
3. Thesis or Research Methodology or Minor		4.0 hours
4. Proseminar in Strategic Management	BA 590STR	2.0 hours

Fourth Year

Fall and Spring Semesters

1. Thesis Research	BA 599	12.0 hours
2. Proseminar in Strategic Management	BA 590STR	2.0 hours

Evaluation

First-Year Exam

On the second Monday following the end of the examination period in the spring semester, each student will sit for a first year “evaluation exam.” The purpose of the first year exam is to give students the opportunity to demonstrate the breadth and clarity of their understanding in Strategic Management, and to exhibit their professional development. The first year exam also is intended to provide students an opportunity to demonstrate their learning away from the structured setting of class exams, in an arena more like the unstructured process of academic research.

The first year “evaluation exam” will cover material from the first year coursework. The examination might be expected to ask students to explore connections among apparently disparate topics and differences among apparently similar topics. Students should expect part of their evaluation for this exam to reflect their knowledge of the literature, their ability to critically assess research and their ability to identify interesting research questions in the field of strategic management.

This open-book, take-home exam will be given to the student at 8:00 a.m. Monday morning and will be due back on Friday of the same week at 5:00 p.m. Students will be on their honor to not consult with faculty or other students during the examination period. Late submissions cannot be accepted. Each part of each exam will be independently read by at least three members of the departmental faculty knowledgeable in the topical area, and scored as either Satisfactory or Unsatisfactory. To the extent possible, faculty readers will be “blind” to the identity of the students whose exams they are scoring.

The majority evaluation on each question will be the overall evaluation on that question. The overall evaluation of the examination will be Satisfactory only if the evaluation of each of the questions is Satisfactory. The Strategic Management Ph.D. Coordinator will inform the student, in writing, of the overall evaluation no later than the15th of June.

A student who is given a grade of Unsatisfactory will have until 5:00 p.m. on the 15^{th} of September to submit a second evaluation exam. The student is encouraged and expected to solicit feedback from faculty and other students concerning the shortcomings of their first, Unsatisfactory attempt, and may not solicit assistance from faculty or other students in creating their second submission. This second submission will be read by at least three independent faculty, and scored as either Satisfactory or Unsatisfactory, as above; the student will be informed of the evaluation no later than the 1^{st} of October. A student receiving a grade of Satisfactory will be allowed to continue in the doctoral program.

In the event that the student is given a grade of Unsatisfactory on the second exam, the student will not be permitted to continue in the doctoral program after the spring semester of the second year.

Second-Year Paper

During the summer following the second academic year in residence, each doctoral student will write a conceptual or empirical paper on a topic in Strategic Management. This paper must be an independently developed paper without formal faculty supervision and not previously worked on by the student. The student will propose the research area for this paper in writing to the Strategic Management Ph.D. Coordinator by the 1^{st} of May. The Strategic Management Ph.D. Coordinator will, in consultation with the student and relevant faculty, assign at least one faculty member with the appropriate background to discuss the proposal with the student. By the 15^{th} of May of the same year the assigned faculty member will approve a "statement of intent" that spells out the question to be addressed in the paper. The paper is due no later than the 15^{th} of September. The paper should be no longer than 32 pages of text (including appendices); this page limit does not include tables and figures, if any.

To determine the acceptability of the finished papers, all second year evaluation papers will be independently read and graded by at least three Strategic Management faculty members making up an examination committee. Each faculty member will rate the paper as Satisfactory or Unsatisfactory, and each will judge the paper Satisfactory or Unsatisfactory; the majority evaluation will be the overall evaluation. The Strategic Management Ph.D. Coordinator will provide the student with a written evaluation of the examination paper no later than the 1^{st} of October. Evaluation of the student's paper will be based on whether or not the student can:

(1) Appropriately analyze the research question
(2) Exhibit an appropriate level of understanding of the theoretical, substantive and methodological issues of the chosen research question,
(3) Demonstrate creativity, and
(4) Demonstrate a satisfactory level of communication capability in the written presentation.

If the paper is judged Unsatisfactory, the student will prepare a written response to the examination committee's evaluation no later than the 15^{th} of November. The examination committee will evaluate the response, and will then recommend a grade of Satisfactory or Unsatisfactory. The student will be informed of the evaluation no later than 1^{st} of December of the third year.

If the paper has been initially judged to be Satisfactory or if the committee has judged the paper as Satisfactory based on the response to the committee's evaluation, the student will prepare for an oral presentation of the review paper as revised based on the reading committee's comments. This oral presentation should be scheduled as early as possible in the student's third year of residence. The purpose of the oral presentation requirement is to enhance the student's communications skills, and is not a part of the examination process.

If, after responding to the committee's comments, the paper is judged to be Unsatisfactory, in accordance with departmental policies, the student will not be allowed to continue in the Ph.D. program after completion of the second semester of the third year.

Appendix to Part 7
Incomplete List of Statistics and Other Research Methodology Courses Offered Outside the College of Business

ECONOMICS DEPARTMENT

ECON 501 Quantitative Analysis for Economics: Studies topics in optimization: implicit function theorem, multipliers and Kuhn-Tucker conditions; topics in matrix algebra including characteristic roots and vectors, partitioned matrices, quadratic forms, special matrices; topics on difference and differential equations common in economic theory

ECON 506 Economic Statistics: Classical statistics and regression analysis; descriptive statistics, probability and point and interval estimation; decision theory; variance analysis; and linear regression and least square estimates.

ECON 507 Econometric Analysis: Part 1: The construction of econometric models; characteristics of models and choice of estimating methods; and estimates of parameters by various methods. Part 2: Bayesian statistics and decision theory.

ECON 508 Applied Econometrics: Develops a general methodological basis for searching for quantitative economic knowledge; integrates and gives operational content to the topics of economic, statistical, and econometric theory.

EDUCATIONAL PSYCHOLOGY

EPSY 480 Elements of Educational Statistics: Designed for terminal value for professional training of students not intending to pursue advanced graduate work, and for introductory value for students continuing graduate study in education; descriptive statistics, introduction to correlation and regression, the normal curve, statistical inference, and the presentation and interpretation of statistical data in educational literature.

EPSY 580 Statistical Methods in Education: Introduction to inferential statistical methods in education; includes probability theory, distribution theory, interval estimation, hypothesis testing, regression and correlational analysis, and analysis of variance.

EPSY 582 Advanced Statistical Methods in Education: Advanced topics in analyses of variance and covariance, and principles of experimental design; brief introduction to multivariate analysis, including rudiments of matrix algebra.

EPSY 584 Multivariate Analysis in Psychology and Education Same as PSYC 594 and SOC 584. See PSYC 594. Examines the principal methods of descriptive and inferential statistics used in the analysis of multiple measurements, emphasizing linear transformations, multiple regression, principal components, multivariate analysis of variance, canonical correlation and variates, discriminant functions and variates, and conventional procedures of factor analysis; involves both theory and applications.

EPSY 588 Covariance Structure and Factor Models: Same as PSYC, SOC, and STAT 588. See PSYC 588**.** Introduction to covariance structure models, linear structural equations, and factor analysis; identification and parameter estimation problems; assessing goodness-of-fit; use of computer packages LISTREL and EQS; applications to a wide variety of social and behavioral science modeling problems.

EPSY 585 Theories of Measurement I: Same as PSYC 595. Classical test theory (true score, error of measurement, reliability and validity of test scores, composite measures); proposed alternatives to the classical model (generalizability theory, matrix sampling, latent trait theory, criterion-referenced measurement).

EPSY 574 Research Design in Education and the Social Sciences: Intermediate course for graduate students in education and related fields. Goal is to prepare students to design and conduct quasi-experimental studies and critique the work of others in an informed, systematic way. Students will read and discuss foundational and contemporary issues in design, validity, sampling and loss, regression artifacts, analysis and causal inferences.

PSYC 506 Psychological Scaling: Unidimensional Methods Same as 585. Measurement of psychological values; centrally concerned with how subjective values of multiple physical dimensions combine to produce unidimensional subjective values; and includes conjoint and functional measurement theory and methods, theoretical models of judgment and the analysis of empirical structures, and applications of scaling models to problems in social, personality, perception, and cognitive psychology

L.I.R. DEPARTMENT

L I R 592 Research Methods in Labor and Industrial Relations Systematic analysis of theories and procedures of the various social and physical sciences bearing on research in labor and industrial relations; primary emphasis on the process of integrating the approaches and techniques of the various social sciences with respect to the study of problems in labor and industrial relations as met in practice in management, the union, and government service, as well as in teaching and research in the field.

L I R 593 Quantitative Methods in Labor and Industrial Relations: Application of statistical methods to problems in human resources and industrial relations. Analysis and presentation of results using computer software. Covers statistical techniques through analysis of variance and multiple regression.

PSYCHOLOGY DEPARTMENT

PSYC 406 Statistical Methods, I: Techniques in applied statistics used in psychological research, including simple linear regression, partial and multiple correlation, and nonparametric methods; thorough review of statistical estimation and significance tests; emphasizes applied statistics and statistical computing. Introduces experimental design; one-way ANOVA.

PSYC 407 Statistical Methods, II: Continuation of PSYC 406. Experimental design, including Latin Squares, factorials, and nested designs; expected mean squares, analysis of covariance; emphasizes the general linear model; introduces multivariate methods, such as factor analysis, scaling, classification, and clustering. Discrete multivariate analysis-multiway contingency tables

PSYC 332 Research Methods in Social Psychology: Laboratory Methods: Same as SOC 382. Lecture and laboratory in the methods and techniques of social psychological research in laboratory settings.

PSYC 333 Research Methods in Social Psychology: Natural Settings: Methods and techniques of social psychological research in natural settings. Students formulate and carry out research problems using procedures appropriate for research in natural settings.

PSYC 509 Psychological Scaling: Multidimensional Methods: Same as SOC 589. Basic scaling theory; metric, non-metric, and individual differences multidimensional scaling models and methodology, emphasizing underlying assumptions and interpretation; and applications of scaling methods to measurement problems in social and personality psychology, perception, cognition, and sociology.

PSYC 551 Theory and Method in Social Psychology, I: First of two-course sequence for first-year graduate students in social psychology. Advanced theoretical and research approaches to a broad range of issues in social psychology; participation and seminar presentations by social psychology program faculty. Student participates in seminar presentations and develops and conducts a research study in conjunction with one or more faculty members.

PSYC 552 Theory and Method in Social Psychology, II: Second of a two-course sequence for first-year graduate students in social psychology. Advanced theoretical and research approaches to a broad range of issues in social psychology; participation and seminar presentations by social psychology program faculty. Each student participates in seminar presentations and develops and conducts a research study in conjunction with one or more faculty members.

SOCIOLOGY

SOC 485 Social Statistics: Intermediate course in the theory and application of statistical methods to social science data. Coverage includes overviews of measurement issues, the logic of hypothesis testing and estimation, the general linear model, one-way analysis of variance, correlation and regression. The core of the course is multiple regression analysis and its extensions. Topics include dummy variable analysis, statistical interaction, model assumptions and violations, non-linear and logistic regression, and an introduction to path analysis. Emphasis on the application of statistical computing packages (e.g. SPSS) and the substantive interpretation of results.

SOC 586 Social Statistics: Examines social science applications of the general linear model and its extensions; topics include: model specification; ordinary and generalized least squares; multicollinearity; selection of predictors; interaction of variables and non-linear regression; panel and time-series data; measurement error; path analysis; recursive and non-recursive structural equation models. Applies statistical computing packages (e. g. SPSS) to social science data.

SOC 488 Demographic Methods: Introduction to statistical and mathematical procedures in population analysis; the gathering, processing, and evaluating of registration and census data; the life table model; and procedures of mortality and fertility analysis and population projections.

SOC 581 Survey Research Methods: Advanced course in the design of social surveys and collection of social survey data; covers stages from questionnaire construction to preparing data for statistical analysis; issues in survey design involving cross-national, longitudinal and multi-group research.

SOC 582 Survey Research Methods, II: Laboratory course in survey research methods to provide students with advanced training and experience in problem formulation and computerized data analysis using statistical packages, e. g., SPSS; under staff guidance, a student will select a topic and write a professional-level paper. 1 unit. Three to ten hours of laboratory time per week.

SOC 583 Qualitative and Field Research Methodology: Introduction to field and qualitative methods in social science research, in terms of both the practical issues of conducting this type of research and the conceptual debates in the field. Methods include interviewing, participant observation, unobtrusive observation, historical/archival methods, and global ethnography.

STATISTICS DEPARTMENT

STAT 400 Statistics and Probability I. Same as MATH 463. Includes moment-generating functions, transformations of random variables, normal sampling theory, sufficiency, best estimators, maximum likelihood estimators, confidence intervals, most powerful tests, unbiased tests, and chi-square tests.

STAT 410 Statistics and Probability II. Same as MATH 464. Continuation of STAT 400 includes moment-generating functions, transformations of random variables, normal sampling theory, sufficiency, best estimators, maximum likelihood estimators, confidence intervals, most powerful tests, unbiased tests, and chi-square tests.

STAT 451 Introduction to Probability Theory, I: Same as MATH 461. Introduction to mathematical probability; includes the calculus of probability, combinatorial analysis, random variables, expectation, distribution functions, moment-generating functions, and central limit theorem. Prepares students for

STAT 456 Introduction to Probability Theory, II: Same as MATH 466. Continuation of MATH 361. Includes random walks, discrete and continuous time Markov chains, and special topics selected from weak stationarity, the multivariate central limit theorem, probability model building, stochastic equations, martingale theory, and renewal theory.

STAT 424 Analysis of Variance: Same as MATH 465. Estimation and hypotheses testing in linear models; one-, two-, and higher-way layouts; incomplete layouts; analysis of covariance; and random effects models and mixed models.

STAT 425 Applied Regression and Design: Explores linear regression, least squares estimates, F-tests, analysis of residuals, regression diagnostics, transformations, model building, factorial designs, randomized complete block designs, Latin squares, split plot designs. Computer work is an integral part of the course.
STAT 426 Sampling and Categorical Data: Sampling: simple random, stratified, systematic, cluster, and multi-stage sampling. Categorical data: multiway contingency tables, maximum likelihood estimation, goodness-of-fit tests, model selection, logistic regression. Computer work is an integral part of the course.

STAT 571 Multivariate Analysis: Inference in multivariate statistical populations emphasizing the multivariate normal distribution; derivation of tests, estimates, and sampling distributions; and examples from the natural and social sciences.

STAT 575 Large Sample Theory: Limiting distribution of maximum likelihood estimators, likelihood ratio test statistics, U-statistics, M-, L-, and R-estimators, nonparametric test statistics, Von Mises differentiable statistical functions; asymptotic relative efficiencies; asymptotic expansions.

8. Policy and Procedures on Grievances by Graduate Students in the Department of Business Administration

INTRODUCTION

All members of the University community are expected to observe high standards of professional conduct and ethical behavior in graduate education and in the supervision of graduate research and teaching (Guiding Standards for Faculty Supervision of Graduate Students, March 31, 1997). In a large and heterogeneous scholarly community however, problems may arise. Thus the University articulates its policies and provides effective informal and formal procedures for resolving these problems involving graduate students.

The purpose of this policy is to protect the interests of graduate students in the Department of Business Administration by providing informal and formal means of seeking resolution in case of an inappropriate action of a member of the faculty or administrative staff or an inappropriate application of a department policy. Any graduate student in the department may informally pursue or formally file a grievance when he/she believes that a decision or behavior adversely affects his/her status as a graduate student.

This Policy and Procedures on Grievances by Graduate Students in the Department of Business Administration specifies the policy and describes the procedures to be employed to resolve grievances by graduate students in this department. This policy does not apply in cases of academic misconduct. Breaches of academic integrity in research and publication are handled under the campus's Policy and Procedures on Academic Integrity in Research and Publication. Similarly, this policy does not apply to cases that arise under the Code of Policies and Regulations Applying to All Students ("Code"), such as capricious grading in a course (Section 26) or academic integrity (Section 33).[12]

SCOPE AND COVERAGE

A grievance may arise when a graduate student believes that his/her status as a graduate student, or University appointment based on student status, has been adversely affected by an incorrect or inappropriate decision or behavior. Practices or actions by a student's supervisor, other faculty member, or other member of the University community that seriously deviate from ethical or responsible professional standards in the supervision of graduate student work may constitute professional misconduct in violation of University policy. Examples include, but are not limited to the following:

- Inappropriate application of a department or University policy;
- Being unfairly assessed on a preliminary examination;
- Being improperly terminated from a program;
- Being required to meet unreasonable requirements for a graduate degree that extend the normal requirements established by the campus or by the department/and are inconsistent with the scholarly standards in the discipline;
- Being the subject of professional misconduct by a student's graduate supervisor or other faculty or staff member.
- Being required to engage in excessive effort on assistantships;
- Being improperly terminated from student-based University appointment (teaching or research assistantships, etc.);
- Being required to perform personal services unrelated to academic or assistantship duties; or
- Being the subject of retaliation for exercising his/her rights under this policy.

12 The policies and procedures described in this document do not override or supersede any other policies as established in the University statutes and campus policies.

INFORMAL PROCEDURES

University policy strongly encourages all students who believe they have a grievance to use all appropriate avenues for informal resolution before initiating a formal grievance. Students in Business Administration are encouraged to discuss the issue with the faculty or staff member with whom the problem has arisen. If a satisfactory solution is not forthcoming, the student should discuss the issue with his or her adviser, the area Ph.D. coordinator, the Director of Graduate Studies, or the Head of the Department, who shall attempt to find a resolution acceptable to both parties. The student may also consult with the Graduate College, the Office of the Dean of Students, the Office of International Student Affairs, or other sources.

FORMAL PROCEDURES

A. Identification of the Grievance Committee

The Graduate Studies Committee shall serve as the department's Grievance Committee. As specified in the department's *Graduate Studies Committee Operating Procedures* (approved by the Department of Business Administration on September 5, 1997), the Graduate Studies Committee will consist of one faculty member from each faculty group in the department providing doctoral training plus two current doctoral students in the department. Each faculty group will select its faculty representative in consultation with the Head. Doctoral students will be selected by the department's graduate student association in consultation with the Head. The Department Head and Assistant Director of Graduate Programs will serve as ex officio members of this Committee. The Department Head in consultation with committee will select a chair from among its faculty members. Terms of office for all members are specified in the *Graduate Studies Committee Operating Procedures*. The Chair of the Graduate Studies Committee shall serve as Chair of the Grievance Committee and is responsible for assuring that a record of the committee's investigations, deliberations, and recommendations is forwarded to the Head.

B. Procedures

1. A student in the Department of Business Administration may file a formal grievance with either the Department Head or directly with the Graduate College, as the student elects. A formal grievance should be filed promptly and must be filed in writing within 180 calendar days of the decision or behavior resulting in the grievance, regardless of whether the department procedure or Graduate College procedure is used. The written grievance should indicate the parties involved, the action or decision being contested, any applicable university, campus or department policy, an explanation of why the action or decision is inappropriate, and the remedy sought. The graduate student grievant may request that there be no graduate students on his or her grievance committee.

2. The Head shall define the subject matter and scope of the issues related to the grievance in a written charge to the Grievance Committee. The primary involved parties shall receive a copy of the charge.

3. Any participant to the grievance may request the substitution of any member of the Grievance Committee if there is a perceived conflict of interest. The request should be made in writing (including reasons for the request) to the Head of the Department within five calendar days of the date of the charge to the committee. If the objection is deemed by the Head to be reasonable, the Head shall replace the person with one who meets the stated criteria. One basis for appeal of the outcome of the grievance may be a disagreement with the Head's decision about whether the objection to a person's membership on the Grievance Committee was indeed reasonable.

4. The Grievance Committee's investigation shall include a review of written materials presented and seeking information from the primary parties in writing or in person. During a hearing, each of the primary involved parties may make a brief opening statement, and then respond to questions from the committee. The primary involved parties may not question each other directly, but may pose questions through the committee chair. At the end of the hearing, each primary involved party may make a closing statement.

5. Within 30 calendar days of the filing of the grievance, the Chair of the Grievance Committee shall report its recommendations in writing to the Department Head. The Head may grant an extension of the time limit for good cause. The committee's report shall contain:

a) A summary of the grievant's contentions and relief sought
b) The response of the individual against whom or department against which the grievance was filed
c) A general description of the investigative process
d) A citation of relevant policies
e) An explicit finding of facts based on the preponderance of the evidence with respect to each grievance included in the grievance committee's charge
f) A listing of the evidence relevant to each finding
g) An indication of whether there was a reasonable basis in fact and honest belief for the allegations in the investigated grievance
h) A recommendation of appropriate redress for the grievant(s) and
i) Any recommended changes in policies and procedures to minimize the probability of recurrence.

6. Within 7 calendar days of receipt of the Committee's report, the Head shall determine the disposition of the case and communicate the decision to the primary involved individuals. If the Head determines that the grievance has not been proved or has no merit, the Head will notify all involved parties and all persons who have been interviewed or otherwise informed that the grievance has been dismissed.

If the Head concludes that the grievance has been sustained and has merit, the Head will proceed in accordance with the University statutes and relevant University rules and regulations. The Head may, after consultation with appropriate campus officers, prescribe redress for the grievant. In addition, the Head may initiate modifications of department policies or procedures. The Head shall notify the relevant primary involved individuals (grievant, respondent, Grievance Committee members) of actions taken.

7. Within 10 calendar days of receipt of written notification of the Head's determination, appeals may be made to the Graduate College as specified in the Graduate College grievance policy. This appeal can be based only upon demonstrated specific deficiencies in the application of this department grievance procedure to the student's grievance.

8. After completion of a grievance review and all ensuing related actions, the Head shall return all original documents and materials to the persons who furnished them. The department shall destroy the grievance file on a date 5 years beyond the grievant's time limit for completion of the degree. A report of the nature of the grievance and the primary involved parties shall be forwarded to the Graduate College.

GENERAL PROVISIONS

A. Coverage

This policy and these procedures apply to all graduate students and members of the academic and administrative staffs in the Department of Business Administration. This policy also applies to former graduate students, provided they meet the timeliness requirements specified in the procedures above.

B. Oversight Authority and Responsibility

1. The Head has responsibility, under the policies and procedures of the Graduate College, for the management of the Department of Business Administration graduate programs and related policies and procedures.

2. The Head shall have the primary responsibility for administering campus procedures detailed herein. All information and items furnished will be made available to the Grievance Committee. During the course of an investigation, the Head will provide information about the status of the proceedings to the primary involved individuals. Subsequent to the Grievance Committee's reporting, the Head will maintain a file of all documents and evidence, and is responsible for the confidentiality and the security of the file. The Head shall make the complete file available to the associate dean of the Graduate College on the appeal of a grievance outcome to the Graduate College.

C. Confidentiality

All persons involved in administering these procedures will make diligent efforts to protect the reputations, privacy, and positions of all involved persons. These persons include those who file grievances, persons who are alleged in a grievance to have taken inappropriate actions or activities, and department administrators. All of the procedures and the identity of those involved should be kept confidential to the extent permitted by law. However, confidentiality regarding information other than the identity of the grievant need not be maintained if the grievance is found to be false and in particular if dissemination is necessary to protect the reputation of individuals or departments falsely accused. Making public the fact that a grievance has been deemed false or unproved is not considered retaliation against the grievant. Protection of confidentiality does not preclude disclosures necessary to redress actions leading to a grievance.

D. Standards of Evidence

The Grievance Committee's decision shall be made on the "preponderance of evidence" standard. Any finding against an individual or department on the subject of the grievance must be supported by a preponderance of the evidence.

E. Academic Freedoms and Rights of the Parties

1. It shall be a prime concern of all persons who implement this policy and these procedures to protect the academic freedoms fundamental to the academic enterprise. Among other things, this includes the professional judgments of student performance that are an essential part of the graduate education process. Academic freedom, however, affords no license for the mistreatment of graduate students.

2. The rights of the primary involved individuals shall be specified in the form of a written notice or letter from the Head. The primary involved individuals have the following rights:

a. To receive notice of the identity of the members of the Grievance Committee.

b. To receive a written statement of the charge including the subject matter being considered by the Grievance Committee. If additional information emerges during the committee's evaluation that substantially changes the subject matter, the parties shall be informed promptly in writing.

c. To submit statements in writing and to meet with the Committee to present information.

d. To consult private legal counsel, or another person who may provide advice at the meeting with the Committee. Prior notice of the presence of an advisor must be given and any other primary involved party may request a delay of up to 5 calendar days to arrange for the presence of an advisor.

e. To review and respond to the Grievance Committee's final report.

3. Any of the parties responsible for the implementation of this policy may consult University Legal Counsel at any time during the informal or formal processing of a grievance.

F. Conflict of Interest

A conflict of interest is a significant professional or personal involvement with the facts or the parties to a dispute. Any participant who has a conflict of interest in a dispute under this procedure, or a concern about a conflict on the part of another, shall report it to the Head who shall take appropriate action. If the Head has such a conflict, the Head will inform the Associate Dean of the Graduate College who will, in consultation with the dean of the academic college, decide how to address the situation.

G. Timeliness and Procedural Changes

All procedures prescribed in this document should be conducted expeditiously. The Head for good cause may extend any of the time periods and may make other reasonable alterations of these procedures, provided that the alteration does not impair the ability of a grievant to pursue a grievance or the respondent(s) named in the grievance to defend him/herself. Any alterations of these procedures must be communicated to all pertinent parties.

H. Withdrawal of a Grievance

The grievant may submit a written request to withdraw the grievance at any time. The Head shall decide whether to approve the request. A request to withdraw shall be approved only if both parties to the action agree to terminate the proceedings. If the withdrawal request is approved, the Head shall notify the primary involved parties and the files shall be destroyed. If the withdrawal request is denied, the grievance shall continue to be processed to a conclusion according to the above procedures.

I. Termination of University Employment

The termination of University employment of any of the primary involved individuals in a grievance, by resignation or otherwise, after initiation of procedures under this policy shall not necessarily terminate these proceedings.

J. Malicious Charges

Bringing unfounded charges in bad faith is a violation of this and the Graduate College grievance policy. If the Grievance Committee determines that the allegation(s) in the grievance or the testimony of any person was unfounded and motivated by bad faith, that finding shall be communicated by the Head to the Dean of the Graduate College and the dean of the academic college. After consultation with the Provost, the deans may inform the Head of such a finding. Such finding may be the basis for disciplinary action or other personnel decision in accordance with University rules and regulations.

-- Passed by unanimous vote by the faculty of the Department of Business Administration on January 27, 2000.
-- Approved by the Graduate College on May 19, 2000.