

DAVID ECCLES SCHOOL OF BUSINESS  
*PHD PROGRAM: POLICIES AND PROCEDURES*  
Updated September 2011

I) PHD PROGRAM COMMITTEE AND STAFF

A) *Policies*

- 1) The DESB PhD Program Committee is composed of the following voting members:
  - (a) A faculty representative from each department;
  - (b) A representative of the PhD students;
  - (c) The Director of the PhD Program;
  - (d) The Associate Dean for Faculty (if not already serving as director).
- 2) The DESB PhD Program Committee is also composed of two non-voting faculty members, from the Management and Operations/Information Systems departments, to ensure representation of all areas of specialization.
- 3) The DESB PhD Program Committee considers all matters relating to the PhD Program.
- 4) The DESB PhD Program Committee meets at least once each semester.

B) *Procedures*

- 1) Each department elects its representative(s) to the PhD Program Committee.
- 2) The departments with multiple areas of specialization will specify which member will be the voting member.
- 3) The student member, who must have passed the qualifying examination, is selected by the Business Doctoral Student Organization for a one-year term.
- 4) The student member is excused from the meeting when matters relating to specific current students are discussed; the student does not vote on these matters.
- 5) The Director of the PhD Program, in consultation with other committee members, designates the meeting time and prepares and distributes the agenda for the meetings.

II) ADMISSIONS

A) *Policies*

- 1) A complete application consists of the following:
  - (a) DESB application;
  - (b) Official GRE (or GMAT) score from ETS for tests taken within the past five years of application;
  - (c) A statement of purpose;
  - (d) Three completed personal reference forms;
  - (e) Graduate School application (including official transcripts);
  - (f) International students must submit TOEFL scores for a test taken within the past two years of application unless they have a degree from an English speaking university. Applicants must score 600 or above on the paper based test, 250 on the computer based test, or 100 on the TOEFL iBT for admission;
  - (g) International students must take the Versant upon admission, prior to starting the PhD Program.
- 2) Applicants will be admitted for matriculation in Fall Semester only.

- 3) Applicants will be admitted only for full-time study.
- 4) All applicants to the program are automatically considered for funding.
- 5) A majority vote of the DESB PhD Program Committee is required to accept applicants to the PhD program.

*B) Procedures*

- 1) The PhD Program Office processes all applications and distributes completed files to the departments.
- 2) The application deadline is January 15 of the year for which admission is sought. Applications received after this date, are processed as they are received. If no spaces remain, students are asked to reapply.
- 3) At the discretion of the departments, applicants with GRE or GMAT scores below the 75th percentile may be automatically rejected.
- 4) Applications are reviewed by departments and a recommendation for acceptance or rejection is made to the DESB PhD Program Committee.
- 5) The applications of those accepted by the vote of the DESB PhD Program Committee are sent to the Graduate School with a recommendation to accept for admission.
- 6) All applicants are notified in writing by the PhD Program Office as to the disposition of their applications.
- 7) All funding amounts as determined by the policy of the School and allowed discretion of the departments are offered to the student in the letter of acceptance prepared by the PhD Program Office.
- 8) All applicants recommended for acceptance are asked to respond, in writing, as to whether they will attend the program. No applicant will be asked to make a commitment before April 15 of the year for which admission is sought.
- 9) Incomplete applications will be held for one year.

III) MAJOR AND ALLIED FIELDS

*A) Policies*

- 1) A minimum of 24 semester hours of course work is required, 15 of which are major semester hours.
- 2) Relevant courses from any department may be used to satisfy major and allied field requirements.
- 3) No transfer courses may be applied to the major or allied field.
- 4) Allied fields must be declared on the program of study and can be either broadly or narrowly defined (e.g., Economics, Econometrics, Health Services Administration, Marketing, International Business, and Psychology are all acceptable titles for allied fields); these fields need not be administered in a single department.
- 5) A minimum of 9 semester hours of course work in the allied field is required. The number of semester hours of coursework in the allied field may not supersede the number of semester hours of coursework in the major field.
- 6) The supervisory committee is responsible for overseeing and approving the division of coursework between major and allied fields.

IV) RESEARCH COMPETENCY

*A) Policies*

- 1) A minimum of 15 semester hours of course work is required.
- 2) Qualitative and/or quantitative methods are acceptable.

- 3) Courses must be directly related to research skills such as research design, statistics or modeling techniques, or field study, experimental, or survey techniques.
- 4) A Philosophy of Science course is required as one of the courses. This course must be at least three credits and can be taken from within or outside the Business School. Students must get approval for this course, from their supervisory committee chair, prior to taking the course.
- 5) The Philosophy of Science course does not have to be completed prior to sitting for the qualifying exam. It is recommended that students take this course in either their 2<sup>nd</sup> or 3<sup>rd</sup> year of study.
- 6) Transfer courses may only be applied to the research competency requirement if they have not been used towards another degree.
- 7) Students are expected to become proficient with appropriate data analysis techniques and computer application software and must be certified by their supervisory committee as having done so.
- 8) All students must submit for approval by their supervisory committee, a research paper prior to sitting for their qualifying exams (see Section VIII. Qualifying Exams).
- 9) During Spring and Fall semesters, in which students receive funding, when they are not teaching a course, all students must serve as assistants to faculty members.

## V) GENERAL COURSE WORK

### A) *Policies*

- 1) Students must be in residence while completing course work, prior to advancing to candidacy.
- 2) A single course cannot be used to fulfill more than one requirement.
- 3) No more than 6 semester hours of transfer credit may be applied to the entire program of study.
- 4) All courses must be graduate level.
- 5) A program of study, which reflects courses taken to date and that will be taken during the remainder of the program, must be filed by the end of the first semester of the second year of graduate work or students may not register for the subsequent semester.

### B) *Procedures*

- 1) Transfer courses are listed based on the number of hours the University Admissions Office accepts as transferable.
- 2) After the program of study is approved by the supervisory committee, it is submitted to the Director of the PhD Program for approval.

## VI) TEACHING COMPETENCY

### A) *Policies*

- 1) All students must teach at least one course.
- 2) Students must complete the DESB teaching Effectiveness Workshop before teaching a course as the primary instructor of record.
- 3) International students must complete the ITA workshop before teaching or serving as a teaching assistant.

## VII) SUPERVISORY COMMITTEES

A) *Policies*

- 1) Departments have latitude to establish their own policies regarding supervisory committees, as long as they are consistent with university policy.
- 2) The committee must have five (5) members.
- 3) At least three members must be from the major field of study, one of whom serves as chairperson; the chairperson must be a regular member of the DESB faculty.
- 4) At least one member of the committee must be from outside the student's major department.
- 5) The committee is appointed by the Director of the PhD Program and approved by the Dean of the Graduate School.
- 6) The committee is responsible for approving the program of study, accepting the required research paper, certifying data analysis competency, judging the written and oral qualifying examinations, approving the dissertation subject and final dissertation, and judging the final oral examination (dissertation defense).
- 7) Approval of the program of study, examinations, dissertation subject, final dissertation, and final dissertation defense is by majority vote of the supervisory committee and is subject to approval by the Director of the PhD program.
- 8) Chair is responsible for approving research paper and data analysis techniques certification subject to department approval.

B) *Procedures*

- 1) The committee is appointed prior to filing the program of study.
- 2) Changes to the composition of the supervisory committee and to the official program of study are subject to approval by the Director of the PhD Program and the Graduate School. It is typical for the composition of the committee to change after the qualifying examination has been passed.
- 3) The committee chairperson is responsible for arranging the taking of written and oral qualifying examinations.
- 4) The committee chairperson is responsible for soliciting votes and reporting outcomes to the PhD Program Office; the report must include the positive and negative votes for both the qualifying examination and the final dissertation defense.

VIII) QUALIFYING EXAMINATIONS

A) *Policies*

- 1) All course work listed on the program of study, other than the philosophy of science course, must be completed before the student may sit for the qualifying examination.
- 2) A research paper is required in the 1<sup>st</sup> or 2<sup>nd</sup> year prior to sitting for the qualifying examination (each department determines the timetable and criteria for what is an acceptable paper).
- 3) A student must be certified by the supervisory committee as competent with relevant data analysis techniques and computer software applications before he or she sits for the qualifying examination.
- 4) The exam and comments of the committee may be reviewed by the student in the PhD Program Office.
- 5) The chair of the supervisory committee, in consultation with the department chair, will determine whether students will be furnished copies of the completed exam.
- 6) If a student fails the qualifying exam, he or she may, at the discretion of the supervisory committee, be given no more than one opportunity to retake the examination.
- 7) Students must complete the qualifying examination by the end of the second semester of the third year in the program.

- 8) A student who has passed the qualifying examination and completed all course work has achieved PhD Candidacy.

*B) Procedures*

- 1) Students are required to advise the PhD Program Office of the date of the qualifying examination during the semester that precedes the date.
- 2) Instructions for the written and oral examinations are sent to the committee chairperson by the PhD Program Office when the student indicates that the exams have been scheduled. The committee chairperson organizes the taking and grading of the exams.
- 3) Qualifying examination questions may be submitted by any faculty member to the supervisory committee chairperson; however, only the votes of the official supervisory committee can affect the outcome of the exam.
- 4) The supervisory committee may allocate grading responsibilities for particular questions to individual faculty members but a vote of the entire committee determines whether a student passes the examination.
- 5) A copy of the completed written examination must be filed with the PhD Program Office.
- 6) All supervisory committee members must be invited to attend the oral qualifying examination, vote on the outcome, and sign the student's candidacy papers. A majority of the committee must attend the oral examination.

IX) DISSERTATION

*A) Policies*

- 1) The dissertation subject must be approved by the supervisory committee following an oral presentation.
- 2) A minimum of 14 semester hours of research (Course 7970) is required for the dissertation.
- 3) Students using human subjects in their dissertation research must have prior approval from the Institutional Review Board. A copy of the signed approval form must be submitted to the PhD Program Office.
- 4) Before giving final approval of the dissertation, the supervisory committee shall schedule a public oral examination at which the candidate must defend the dissertation satisfactorily.

*B) Procedures*

- 1) The student schedules the dissertation defense and must notify the PhD Program Office at least two weeks in advance of the defense.
- 2) The student should submit an acceptable copy of the dissertation to the committee chairperson at least **three weeks** before the final examination. With the approval of the committee chairperson, the student should submit an acceptable copy of the dissertation to their committee members and the PhD Program Office at least **two weeks** prior to the exam.
- 3) The PhD Program Office prepares and distributes the defense announcement to the faculty and doctoral students in the DESB.
- 4) The PhD Program Office prepares all necessary paper work to report the final examination and the final thesis grade.
- 5) The student is responsible for preparing the thesis signature pages and providing them to the committee for signature. All signature sheets are held in the PhD Program Office until the committee chairperson authorizes the release of the thesis for submission to the thesis editor.

- 6) The styles approved by the DESB are listed in the Graduate School's Handbook for Theses and Dissertations. A thesis release must be obtained from the Graduate School thesis editor by the date listed on the University calendar in order to graduate in a particular semester.
- 7) The grade for dissertation research hours (Course 7970) should be "T" until the dissertation is successfully defended when a grade for all dissertation hours will be submitted by the committee chairperson.

## X) FUNDING

### A) *Policies*

- 1) Students must be in residence in order to receive funding.
- 2) All students who receive funding are guaranteed the stipend for four years, conditional on successful performance and good standing in the program.
- 3) Students entering the program with no graduate degree or a non-business graduate degree are eligible for a maximum of ten semesters of tuition benefit from the Graduate School. Tuition waivers are guaranteed for eight semesters to such entering students who satisfy all Graduate School requirements for the tuition benefit. Students who enter the doctoral program with an in-subject master's degree (MBA, MAcc, etc) are limited to a maximum of six semesters of tuition benefit unless granted an exception by the Graduate School for additional semesters. Tuition waivers from the Graduate School are guaranteed for six semesters to such entering students.
- 4) Students who have in-subject Master's degrees will receive a fourth year of tuition paid by the DESB for courses offered by the DESB; this benefit is subject to Graduate School rules for tuition waivers.

### B) *Procedures*

- 1) Students who receive a tuition benefit must sign for receipt of the benefit each semester.
- 2) The tuition benefit is valid for a minimum of nine and a maximum of twelve credit hours per semester.
- 3) Any student who withdraws from classes after the last drop date as specified by the University will be responsible for paying the tuition due for those classes.

## XI) TEACHING LOADS

### A) *Policies*

- 1) Teaching one course is an educational requirement of the program.
- 2) Students may not teach in their first year.
- 3) Students may not teach more than a cumulative total of two sections throughout the first five years of the program. Exceptions must be approved by the PhD Office. Students must be compensated for any courses above two.

## XII) REGISTRATION

### A) *Policies*

- 1) Students must be continuously registered or they will be dropped from the program and must reapply for admission.
- 2) Students must be registered as full time students during the summer term (at least 3

hours). Summer term courses offered by the DESB will be paid for by the DESB. Students will be responsible for tuition associated with courses offered outside the DESB, not approved by their supervisory committee chair or department PhD committee representative, during summer term.

- 3) Students with more than two incomplete courses outstanding will not be allowed to register.
- 4) Students must be registered for three or more credit hours of 7970 during the semester in which the final oral examination (dissertation defense) is taken.
- 5) Students who do not register for any classes or dissertation hours are required to register for 7980 (Faculty Consultation) to remain active in the program.
- 6) Students who are not in residence and will not be using University facilities or faculty time may register for 7990 (Continuing Registration). Students are limited to a total of 4 semesters of 7990 registration.
- 7) Students do not need to register subsequent to a successful defense of the dissertation.

*B) Procedures*

- 1) Schedules of classes offered by the business school are distributed by the PhD Program Office each semester.
- 2) Students registering for independent study or directed reading courses (7910) must complete approval forms and submit them to the PhD Program Office before index numbers are issued. The form must be signed by the faculty member supervising the course and the department chairperson.
- 3) Index numbers and access codes must be obtained from the PhD Program Office.
- 4) Graduate students from outside the School of Business may obtain index numbers and access codes if instructor permission has been given to admit non-business students.
- 5) Courses numbered 7980 (Faculty Consultation) and 7990 (Continuing Registration) are graded as Credit/No Credit.
- 6) Approval forms for 7910 courses become part of the student's permanent file.
- 7) Non-matriculated students may not register for PhD courses offered by the DESB.

**XIII) OTHER REQUIREMENTS**

*A) Policies*

- 1) All students must be in the program full-time.
- 2) Students must maintain at least a 3.00 cumulative GPA.
- 3) Grades of "C" or lower are not acceptable to fulfill program requirements.
- 4) All students in the program must be evaluated, in writing, yearly by the departmental PhD adviser; a copy of this evaluation must be submitted to the PhD Program Office.
- 5) The time limitation on the degree is six years from the date of matriculation to completion of all requirements for graduation.
- 6) Leaves of absence may be granted for up to one year.

*B) Procedures*

- 1) A one-year extension of the time limitation to complete the degree may be granted by a majority vote of the supervisory committee, and is subject to approval by the Director of the PhD Program and the Dean of the Graduate School.
- 2) Leaves of absence must be approved by the chairperson of the supervisory committee, the Director of the PhD Program, and the Dean of the Graduate School.

**XIV) DISMISSAL**

A) *Policies*

- 1) Students may be dismissed from the program prior to taking the qualifying examination for poor performance as indicated by a cumulative GPA below 3.0 for two consecutive semesters, or as otherwise determined by the supervisory committee. A student who is dismissed from the program prior to sitting for the qualifying examination will not receive a tuition waiver or a stipend after the semester in which the dismissal occurs.
- 2) Students may be dismissed from the program for failing the qualifying examination. A student who is dismissed from the program after failing the qualifying examination may receive a tuition waiver and stipend for one semester following the semester in which the exams were last taken, if he or she would otherwise qualify for this funding and if he or she continues to serve as a faculty assistant.
- 3) Students who do not complete the qualifying examination by the end the second semester of the third year in the program may be dismissed from the program. Such students will receive no additional funding after the semester in which the dismissal occurs.
- 4) Students may be dismissed from the program for failure to complete and defend an acceptable dissertation within the six year time limitation to the degree.

B) *Procedures*

- 1) Dismissal for reasons other than two consecutive semesters of a low GPA or a failure to meet time deadlines will occur by vote of the supervisory committee and is subject to approval by the Director of the PhD Program. In cases where the student hasn't set up a committee yet, the departmental faculty advisor will have jurisdiction.
- 2) Whether students who are dismissed for having failed the qualifying examination receive funding for a subsequent semester will be determined by vote of the supervisory committee and is subject to approval by the Director of the PhD Program.

XV) APPEALS

A) *Policies*

- 1) Students who believe they have been mistreated in any way by a faculty member or by the administration should discuss the issue directly with the person involved. If no resolution is found, or if there is a reason why the student does not wish to discuss the issue with the person involved, the student should seek advice from the Director of the PhD Program. The Director may deal with the issue directly or refer the matter to the appropriate University committee.
- 2) A student who has a complaint related to the degree requirements, qualifying examinations, dissertation, or dismissal from the program should direct an appeal to the chair of the supervisory committee, the Director of the PhD Program, and the Dean, in that order.
- 3) Appeals concerning grades or dismissal from a course should be directed to the DESB Academic Evaluation and Appeals Committee following DESB procedures; appeals must be filed within 30 days of the date a student is notified of the decision being appealed.
- 4) Students' appeals which cannot be resolved at the School level may be taken to the Graduate School or other appropriate University committees.

XVI) EXCEPTIONS



*A) Policies*

- 1) Exceptions to policy matters must be approved by the PhD Program Committee.
- 2) Exceptions to procedures must be approved by the Director of the PhD Program.

*B) Procedures*

- 1) Exceptions to any policy or procedure must be requested in writing by the student's department chairperson or chairperson of the supervisory committee. Requests should be directed to the Director of the PhD Program.

*Approved by the PhD Committee, April 2011*