PhD Program in Business Administration

Student Handbook

August 2016

Carlson School of Management
University of Minnesota
The PhD Program in Business Administration  
At the Carlson School of Management

This student handbook has been prepared to familiarize students with the PhD Program in Business Administration at the Carlson School of Management. It should serve as a quick reference about program policies, procedures, and resources, providing answers to many of your questions about the program as well as direction on where to find additional information. The handbook was designed to supplement information found online at (http://www.catalogs.umn.edu/grad/index.html), in the Class Schedule (https://www.myu.umn.edu/psp/psprd/EMPLOYEE/CAMP/c/SA_LEARNER_SERVICES.CLASS_SEARCH.GBL) and on Carlson School’s Intranet site at https://intranet.csom.umn.edu/programs/PHD-BA/Pages/default.aspx or in the PhD Office, Rm 4-205 CSOM.

We hope you find this student handbook to be a useful guide as you progress through the program. Be advised that information in this handbook (and other University catalogs, publications or announcements) is subject to change without notice. Feel free to contact the staff of the PhD Program Office if you have questions or comments about the information contained in this manual.

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1. Program Overview

The primary objective of the doctoral program in Business Administration at the University of Minnesota is to prepare students to conduct rigorous, high-quality research. Students acquire specialized knowledge and expertise in a particular area of concentration that prepares them to join the faculty of major research institutions. The diversity of research activities within each concentration requires that students also acquire a background of sufficient breadth to become active and contributing participants in the research of others.

To meet the objectives of depth and breadth, the program encourages early involvement in research. In the first year of study, students are appointed as graduate assistants to encourage close cooperation on research projects with faculty members. A graduate assistant carries out activities connected with research studies as assigned by the supporting department or principal research fellow. For specific information on research carried out by faculty, please see the Carlson School’s on-line web sites or the PhD Program brochure.

In addition to emphasizing a strong research background, the PhD Program in Business Administration is committed to preparing students for teaching. Students work under the general supervision of an academic staff member on a specified course or courses. Each student is expected to participate in the teaching requirements of their area of concentration as well as in those of the PhD Program’s Teaching Initiative Program (TIP). Students balance research and teaching experiences based upon their individual interests and program requirements.

2. Program Organization and Resources

Graduate School The University of Minnesota’s Graduate School provides the overarching policies that guide the PhD Program in Business Administration, as well as most other graduate programs on campus. The Graduate School provides leadership and administrative support to graduate programs, promotes interdisciplinary study and research, and helps to assure graduate program quality.

Director of Graduate Studies/PhD Program Director The Director of Graduate Studies (DGS) and PhD Program Director is nominated by Carlson School faculty and approved by its Dean. Duties of the Program Director/DGS include:

1) Advocating for and justifying program resources and enrollments;
2) Administering University, Graduate School, and Carlson School policies and procedures as they pertain to our doctoral students;
3) Acting as a liaison between students and the departments and Dean’s Office;
4) Chairing the PhD Committee.

PhD Program Office The PhD Program office is located in 4-205 CSOM. Two staff members are available to counsel PhD students, to allocate office space, assist with registration, to handle laptop computer check-out, to help in the recruitment and admissions process, and to monitor student funding and progress through the program. Sandy Herzan, the associate program director, can be reached at herza002@umn.edu or 612-624-0875. Melissa Grass, the student services specialist, can be reached at grass062@umn.edu or 612-624-5065. For all computer hardware/software resources and assistance please contact CSOM IT at 612-624-1154 or csareait@umn.edu

PhD Committee and Coordinators The PhD Committee consists of the PhD Program Director and one faculty member from each of the seven areas of concentration. This committee meets regularly during the academic year to set program policy, make admissions, and address program and/or student issues. The Committee functions as the liaison between the Director and the departments.

Each PhD Coordinator manages their department’s recruitment process for new PhD students, serves as the program advisor during students’ first two years in the program, administers student preliminary examinations, coordinates TA/RA assignments for students, monitors student funding, and performs other administrative duties as necessary.

PhD Student Advisory Committee The Student Advisory Committee consists of the PhD program director and associate director along with one student representative from each of the seven areas of concentration. The student representatives are selected by the PhD students from each department. This committee meets regularly during the academic year to discuss and make recommendations based on program issues brought to the committee by either the Director or students.
Departments  While students are admitted to the PhD Program in Business Administration, they are housed within one of the seven areas of concentrations (departments) making up the program. Students work closely with faculty in these areas to meet the requirements for coursework, research and teaching (see appendices). The seven areas of concentration are:

Accounting, Room 3-122  
Chair, Frank Gigler, 4-7641  
PhD Coord., Ivy Zhang, 6-3118  
Administrator, Anita Stiles, 4-8522

Finance, Room 3-122  
Chair, Andrew Winton, 4-0589  
PhD Coord., Federico Belo, 6-7813  
Administrator, Irene Menasco, 5-1252

Information & Decision Sciences, Room 3-365  
Chair, Shawn Curley, 4-6546  
PhD Coord., De Liu, 6-4480  
Administrator, Angie Rehn, 4-4519

Marketing, Room 3-150  
Chair, Vladas Griskevicius 6-3793  
PhD Coord., Tony Cui, 6-6303  
Administrator, Debra Basarich, 4-7898

Supply Chain & Operations, Room 3-150  
Chair, Kingshuk (K.K.) Sinha, 4-7058  
PhD Coord., Kevin Linderman, 6-8632  
Administrator, Deb Brashear, 4-7827

Strategic Mgmt & Entrepreneurship, Room 3-365  
Chair, Shaker Zahra, 6-6623  
PhD Coord., Mary Benner, 6-6660  
Administrator, Pat Williamson, 4-2878

Work and Organizations, Room 3-300  
Chair, John Budd, 4-0357  
PhD Coord., John Kammeyer-Mueller, 5-7272  
Administrator, Helen Rieger, 5-5563

Research Centers  The Carlson School is home to many research centers which engage in problem-driven research in collaboration with the business community. These centers create a professional learning community of scholars, students, alumni, and management professionals. They address current and emerging management problems, provide innovative solutions to challenges in the business world, and make practical and up-to-date knowledge available for sharing in the classroom. More in-depth information about each of those research centers of particular interest to PhD students can be found at:  
http://www.carlsonschool.umn.edu/faculty-research/

Center for Integrative Leadership (CIL)  For more information go to: http://www.leadership.umn.edu/

Center for Human Resources and Labor Studies  More information about CHRLS can be found at:  
http://carlsonschool.umn.edu/faculty-research/center-human-resources-and-labor-studies

Gary S. Holmes Center for Entrepreneurship  For more information see:  
http://www.carlsonschool.umn.edu/faculty-research/gary-s-holmes-center-entrepreneurship/

Institute for Research in Marketing  Follow this link for more information about the IRM:  
http://carlsonschool.umn.edu/faculty-research/institute-research-in-marketing

Joseph M. Juran Center for Research in Supply Chain, Operations, and Quality  For more information about the Juran Center see:  
http://www.carlsonschool.umn.edu/faculty-research/juran-research-center

Management Information Systems Research Center  Go to http://www.misrc.umn.edu/ for additional information about MISRC.

Medical Industry Leadership Institute  Further information about MILI can be found at:  
http://carlsonschool.umn.edu/faculty-research/medical-industry-leadership-institute

Social Media and Business Analytics Collaborative  For more information about SOBACO, go to:  
http://sobaco.umn.edu/

Office of Information Technology  The Office of Information Technology (IT) at Carlson School provides:

- IT tools and resources necessary to support the changing needs of students and faculty;
- Support for a network infrastructure for wireless access in the building;
- An array of software tools, electronic information, and data resources to support research;
- Computer labs for students.

For additional information go to https://intranet.csom.umn.edu/admin/IT/Pages/default.aspx or email csareait@umn.edu or call 612-624-1154 with questions.
3. Program Expectations and Student Responsibilities

When a student enters the program, he or she is informed in writing of the standards of performance and progress required to continue in good standing. The standards generally relate to grades in courses, rate of progress toward the degree objective, continuing evaluation of research potential, and creative productivity. The criteria are clearly articulated and demonstrably related to the degree program and apply equitably to all students. The relevant criteria may vary from field to field (see Appendix A for department-specific requirements).

**Academic Standards** Students must complete all required coursework as determined in consultation with the department’s PhD Coordinator and/or advisor (see Appendix A listing individual department requirements). This includes PhD seminars, minor or supporting field coursework, and requisite methodology courses. Academic requirements are:

1) Students must maintain active status in the program by registering full time in both fall and spring semesters each year (full-time registration can include coursework, pre-thesis or thesis credits, or GRAD 999). Failure to maintain continuous registration may result in being dropped from the program and having to go through a readmission process.

2) Students are required to maintain a cumulative minimum 3.30 GPA during their tenure in the program.

3) Final degree program coursework must total at least 40 semester credits, and can include coursework transferred from other schools or graduate programs, as approved by the department’s PhD Coordinator.

4) Taking courses S/N (satisfactory/nonsatisfactory) is generally discouraged by the department faculty. In fact, you should never take any of your department’s PhD seminars S/N. Always check with the PhD Coordinator in your department before you register to take any course for an S/N grade.

5) No incompletes are allowed on degree program coursework. Unless the student receives prior approval from the PhD Office, all incompletes should be cleared up before filing the degree program form. This is done before taking the written prelim at the end of the second year in the program.

6) Students should progress through the program in a timely manner:

- complete at least 40 credits of program coursework by the end of the second year in the program;
- complete the written prelim the summer after the second year in the program;
- complete the oral prelim by the end of the third year in the program;
- complete 24 BA 8888 thesis credits within two semesters after passing the oral prelim;
- complete the proposal defense at least two semesters before the final defense;
- complete the final defense by end of the fifth year in the program, with exceptions allowed upon department approval.

**Annual Student Progress Reviews** The Graduate School mandates that programs provide students with annual progress reviews to assess their performance and progress in the program. This process will be overseen by the PhD Committee, with feedback given to the student by their department’s PhD coordinator and/or advisor. These reviews ensure that students stay on track to the degree as well as make the program and the student aware of any problems that need to be corrected. These reviews begin late in spring semester, when an online progress review survey is emailed to students, with the deadline for submission of the survey included. Later in the summer, the student’s advisor and other pertinent faculty review the information in the survey and meet with the student to give them an assessment of their progress in the program, including any steps that need to be taken to remedy possible problems. In addition to the formal meeting, students should receive a written department evaluation form for their records.

**Assistantship Expectations** All students are assigned teaching and research assistantships each year as part of the requirement for their stipend, tuition waiver and health insurance. Expectations vary by department, but students will typically work 20 hours per week (50% time) as a TA and/or RA (see Appendix B for guidelines). Students should meet with their department PhD Coordinator and administrator before the beginning of each semester to find out their assistantship assignments. It is the student’s responsibility to meet with the faculty for whom they are serving as TA/RA to determine work expectations and hours. Students should make every effort to fulfill their TA/RA responsibilities. Failure to perform as a TA/RA may result in termination of stipend or removal from the program.

**Teaching/TIP Requirements** In addition to serving as a teaching assistant, students will likely be teaching one or two courses before they complete the program. There are a variety of resources on campus to help you succeed at teaching (see the Center for Educational
In the CSOM PhD Program, all students are expected to meet the requirements set by the department and the Teaching Initiative Program (TIP). TIP required components are:

1) Students have two choices: a) Before teaching, enroll in and complete the 3-credit Graduate School course GRAD 8101: Teaching in Higher Education which is typically offered every semester (this option is required by the SCO and SME areas); or, b) complete six teaching workshops before teaching their first class (usually before the 3rd year in the program), of which one of these workshops must be the CSOM-offered Teaching Philosophy workshop (see item 2 below). Teaching workshops are offered twice a year by the Center for Educational Innovation (CEI). For more information on CEI workshops go to: [http://cei.umn.edu/courses-programs/teaching-enrichment-series](http://cei.umn.edu/courses-programs/teaching-enrichment-series).

2) Mentoring experience with faculty. Students often have their advisor or a department teaching mentor observe them teaching at least one class period, or they can arrange to have someone from CEI or Preparing Future Faculty (PFF) do this. In either case, the observer should write a brief evaluation of student’s teaching strengths and weaknesses and give this evaluation to both the student and the PhD Program Office.

3) Attend department-sponsored teaching preparation workshops as available or work with a department teaching mentor to improve teaching skills.

4) Before teaching, students must develop a teaching philosophy statement that is submitted to the PhD Office. Suggestions for developing a philosophy can be found on the CEI website at: [http://cei.umn.edu/support-services/tutorials/teaching-philosophy](http://cei.umn.edu/support-services/tutorials/teaching-philosophy). Each summer, Carlson School also offers a Teaching Philosophy workshop that students should attend and which they may use as one of the six required teaching workshops. Students who complete GRAD 8101 are exempt from taking the teaching philosophy workshop but must still write and submit to the PhD Office a teaching philosophy statement before they teach.

5) In-class teaching experience. Students should have been responsible for preparing/teaching at least one set of course materials before graduating (full or half-semester class). The number of courses a student must teach can vary by department up to a total of two. For help in creating a syllabus for classes you teach see [http://policy.umn.edu/education/syllabus-requirements](http://policy.umn.edu/education/syllabus-requirements).

6) International students: In order to be eligible for employment as a teaching assistant, international students who are non-native speakers of English must pass the SETTA test during their first year in the program with a score of 1 (we advise that they take the test BEFORE they start their first year of coursework) or have scored at least 27 on the speaking portion of the internet based TOEFL before they can teach. More information about this is available at the CEI website: [http://cei.umn.edu/courses-programs/international-teaching-assistant-program/schedule-setta](http://cei.umn.edu/courses-programs/international-teaching-assistant-program/schedule-setta). Students must score at least a 1 English Language Proficiency [ELP] score on this test by the end of the first year in the program. If a student scores less than a 1 they must enroll in English communications coursework through CEI (GRAD 5102 or GRAD 5105). See policy at [http://policy.umn.edu/hr/language-appp](http://policy.umn.edu/hr/language-appp).

**Research Requirements** Developing close connections with faculty will enable students to successfully complete the doctoral program. Therefore, all students are assigned part-time research assistantships during their tenure in the program (see Appendix B). Students should also plan to publish their work in a major business journal relevant to their field, and present at major area conferences before graduating.

**Advisor-Advisee Relationship** Students work closely with a faculty advisor during their tenure in the PhD Program. The advisor is there to address coursework, program planning, research and placement needs. Because the advisor will contribute greatly to student success in the program, students should take the initiative in maintaining this relationship and meeting regularly with the advisor. For guidelines on student-faculty interactions see: [http://policy.umn.edu/education/doctoralperformance-appd](http://policy.umn.edu/education/doctoralperformance-appd). Upon entering the program, the initial student advisor is the department’s PhD coordinator. After the student passes the written exam and is ready to schedule their oral prelim exam, they declare their official advisor and prelim committee via an online process (consult with department faculty or PhD Office staff for advice on committee selection). The online committee assignment process is located at: [http://www.grad.umn.edu/current-students-graduate-student-services-progress-doctoral/assign-prelim-committee](http://www.grad.umn.edu/current-students-graduate-student-services-progress-doctoral/assign-prelim-committee). The committee selected is forwarded to the advisor and PhD Program Director for approval.

To change the advisor after one has been approved, please notify the PhD Office so they can enter the change as requested. For more information on roles and responsibilities of students and the advisors/committee members for the oral prelim and dissertation defense, plus selecting the dissertation reviewers, see [http://policy.umn.edu/education/doctoralperformance-faq](http://policy.umn.edu/education/doctoralperformance-faq). For determining who can be an advisor or committee.
members based on their roles at the University, please see https://faculty-roles.umn.edu/

**Student Code of Conduct** Students at the University of Minnesota are governed by the Board of Regents’ Student Conduct Code found at http://regents.umn.edu/sites/regents.umn.edu/files/policies/Code_of_Conduct.pdf and also in Appendix C of this handbook. Students are responsible for following the standards of conduct contained in this code, which is meant to “safeguard the rights, opportunities, and welfare of students, faculty, staff, and guests of the University community…” The foundations for the code are built upon concerns for academic achievement (personal behavior), integrity (plagiarism, etc.), and maintaining order and safety on campus. We expect our students to behave with honesty and integrity as they progress through the program. Students are responsible for abiding by the University’s policies on academic misconduct and scholastic dishonesty. The University’s Student Conduct Code defines scholastic dishonesty as “plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; or altering, forging, or misusing a University academic record; or fabricating or falsifying of data, research procedures, or data analysis.”

**Termination from Program** Typically, students are asked to discontinue their studies due to lack of progress or unsatisfactory performance, but they may also be terminated by the Graduate School for failure to register each semester (fall and spring semesters) unless they have been approved for a leave of absence.

When a student’s progress is found to be deficient, he or she will be notified verbally and/or in writing of the deficiencies and afforded a chance to demonstrate that improvement is possible. A written agreement as to what will be considered “demonstrated improvement” is made between the student, advisor, PhD Coordinator, and the Director of Graduate Studies. Written notification of both the warning and the agreement is sent to the student with a copy to the PhD Program Office. If a student is terminated after evaluation or failure to meet conditions following a warning, the PhD Coordinator writes a letter of termination to the student with a copy to the PhD Program Office. The Director of Graduate Studies will notify the Graduate School in writing.

Students who do not register in the Graduate School during a semester of the academic year (fall or spring) are considered to have withdrawn, and their Graduate School records are deactivated. Students who then wish to resume graduate work must request readmission to the Graduate School, and if readmitted, must register before they will be permitted to file Graduate School forms, take written or oral exams, or apply for graduation. If readmitted, a student may be required to satisfy additional degree requirements set by the graduate faculty or the Graduate School. See “Lapse of Registration” under the Program Requirements section of this Handbook for further details.

**Leave of Absence** Graduate students are expected to maintain active status through continuous registration from the time they matriculate until they graduate. Students who cannot maintain active status should consult with either the Director of Graduate Studies/PhD Program Director or Program Office staff as well as their advisor to determine whether taking a leave of absence is the most appropriate action. See the University policy on Leave of Absence and Reinstatement from a Leave at http://policy.umn.edu/education/gradstudentleave. A Leave of Absence form is required and available at the website above. Provide the reason and the specific dates during which they will be absent as determined in consultation with department PhD coordinator and advisor, but typically no more than one year initially, per program policy. The terms/years of the leave of absence will not count toward time to degree. While on leave of absence, students will not have access to University facilities or services which are available only to registered students. Students who do not have an approved leave of absence form on file and who are not continuously enrolled may be terminated from the program or experience other negative consequences related to academic issues, visa, financial aid, etc.

Students who obtain a college-approved leave of absence are eligible for reinstatement provided they enroll no later than the term immediately following the expiration of the leave (excluding summer). The approved Reinstatement from Leave of Absence form can be obtained through the PhD Office or online http://policy.umn.edu/education/gradstudentleave. Be advised that reinstatement to active status may be denied based on crimes or other serious misconduct occurring during the leave that would have been grounds for suspension or expulsion had the student engaged in the conduct while enrolled (see Board of Regents Policy: Student Conduct Code in Appendix C). Students whose leave of absence expires and who do not register for the next term (excluding summer) will be placed on inactive status and must apply for readmission.
4. Program Requirements

Registration/Maintaining Active Student Status
At coursework stage students are required to register full-time each fall and spring semester to maintain their student status with the Graduate School, unless they are taking an approved leave of absence (see page 7). In general this entails registering for at least six credits of coursework each semester (see exceptions below). Please refer to the Class Schedule, available online at http://onestop.umn.edu/calendars/cancel_add_refund_de adlines/index.html to determine the deadlines to add or cancel courses each semester and for the registration deadline to avoid late registration fees.

Pre-Thesis Stage/BA 8666. Students can register for at least six BA 8666 pre-thesis credits after they have completed all their coursework but before they have passed their oral prelim exam. This enables students to maintain active student status if/when they have no other coursework to register for.

Thesis Stage/BA 8888. Doctoral students must complete 24 doctoral thesis credits (BA 8888) typically beginning the semester after they pass the preliminary oral examination, though with advisor and DGS approval they may register for these credits after passing the written prelim, if they are working on dissertation research. Students should make every effort to complete all these credits over two semesters.

FTE Thesis Stage/BA 8444. If, after a student has completed their 24 thesis credits, they have not graduated, they must continue to register to maintain active student status. Students still on campus should register each semester for one BA 8444 FTE thesis credit only, after which they will incur lower student service fees and still be considered a full-time student. If a student wishes to register for a course at this stage, they must obtain approval from the department to ensure they receive additional tuition payment beyond the one credit.

Grad 999 A zero-credit, zero-fee, non-graded registration is available for those Graduate students who must register solely to meet the Graduate School’s registration requirement (typically those at placement before completing their final defense). This option is also available to international students who hold an F-1 or J-1 visa and have filed a “Reduced Course Load” form. F-1 visa holders see https://sisss.umn.edu/fstudent/rcd.html while J-1 visa holders go to http://www.sisss.umn.edu/forms/pdf/jf1/JException.pdf for more information on this registration option.

Lapse of Registration Effective Fall 2002, ALL Graduate School students are required to register in the Graduate School each fall and spring term in order to maintain active status. Students who have a lapse in registration (other than while on an approved leave of absence) must request readmission to the Graduate School by submitting the Express Readmit form and paying a fee of $75. Express Readmission forms are available online at: http://www.grad.umn.edu/admissions/readmission/index. html .

Program of Study All students must fulfill general requirements as well as individual department requirements as they complete their degree. Students confer with their PhD coordinator, advisor, and the PhD Office to ensure that they are meeting all requirements.

Prerequisites Students with a bachelor’s or master’s degree in Business Administration usually begin their major field coursework directly upon entry into the program. Students with degrees outside of Business Administration or students who lack other basic skills of a program area (e.g., mathematics) may be required to take additional prerequisite coursework. Each department determines which, if any, additional coursework is required. If new students lack sufficient prerequisite coursework, they may be encouraged to enroll in a math refresher course during the summer preceding entrance into the program.

Transfer of Credits Upon approval by their advisor/PhD coordinator, students may request that the Graduate School transfer graduate-level course credits from another institution by including the courses as part of their degree program plan (information will be provided via online form typically at the end of the 2nd year in the program). Students should discuss with the area program advisor the types of coursework that make sense to transfer to a doctoral program. The type and number of transferred credits to be included on the Graduate Degree Plan form should be considered carefully.

S/N Registration See also Academic Standards on page 5. Students may have the option of choosing the system under which they will be graded (A-F or S/N) as part of the registration process. However, we highly discourage the S/N option. Students should always check with the department’s PhD Coordinator before registering for any course with an S/N grade to determine the department’s policy on S/N registration.

Coursework Coursework, while important, does not play the same role in a doctoral program as it does in most undergraduate and master’s programs. In most areas in the doctoral program, relatively little structure is
imposed beyond the required PhD seminars, and students are encouraged to experiment and take risks in the selection of courses with the overall objective of developing research capabilities. They should do this after consulting with their advisor and/or PhD coordinator. Taking 4000-level undergraduate coursework is discouraged as it generally will not be approved as part of the degree coursework.

A student’s coursework for the PhD in Business Administration is chosen in consultation with a program advisor (see Appendix A: Department-Specific Requirements). The PhD Program does not require core courses that are taken by all students. Each department has its own sequence of required and preferred courses and seminars designed to provide the specialized training necessary to meet specific program goals.

The declared major field for all students is Business Administration. For purposes of filing the Graduate Degree Plan, however, the major courses may be everything other than the 16+ credits in the minor or supporting field(s). See PhD Office staff for help.

Specific courses to be included in the major field are selected by the student in consultation with an advisor. Students can fulfill the major field requirements by including courses from departments outside the area of concentration as well as outside Business Administration (e.g., research methodology courses). For example, if a student’s department is marketing and he or she takes courses in sociology or educational psychology and these are not part of the supporting program(s), they may be listed under the major or the supporting/other field.

The number of credits taken in the major field and the composition of these courses depends on the students’ background, interests, previous preparation, and the nature of the research undertaken. This may vary even within a particular concentration. A complete program—major plus minor or supporting field(s)—will consist of a minimum of 40 semester credits, plus 24 thesis credits. There is no minimum number of credits specified for the major field, though certain departments may specify this (see department PhD Coordinator and Appendix A).

Coursework in research methods is required to develop research skills, to support the PhD thesis work, and to expose the student to a variety of research approaches. This coursework is decided by the student’s program area but typically includes courses in fields such as applied or theoretical statistics, math, computer science, cognitive science, economics, psychology, and sociology. This coursework can be part of a supporting program or it may be included as part of the major field.

The PhD Program in Business Administration requires a minimum of 16 graduate credits for the minor or supporting program. With a traditional minor, the work is completed in a single field that complements or strengthens work in the major field (e.g. psychology, economics). Students declaring a minor must include one member from that minor field on his or her dissertation committee.

NOTE: All declared minor programs require the signature of the Director of Graduate Studies for the minor field on the degree coursework plan form, thus students should ensure that all minor coursework taken fulfills the requirements for a minor in that field.

The supporting program comprises a coherent set of courses from one or several disciplines and totaling at least 16 credits with at least 8 of those credits earned outside Business Administration. Three options are available for supporting programs:

- 8 credits from Business Administration but outside the area of concentration, and 8 credits outside Business Administration (8/8 split). With this option, coursework credits from both sides of the 8/8 split may be all in one area or in more than one area with the restriction that an area be represented by at least two classes.

- All 16 or more credits taken outside Business Administration in up to 3 areas with at least 2 classes from each area.

- All 16 credits outside Business Administration in one area (as for a minor), but declaring “supporting program” rather than “minor” on the degree program/plan form (so that students do not have to fulfill specific minor degree coursework or exam requirements).

As with the major field requirements, supporting field coursework is selected by students in consultation with an advisor. No written exam is required in the supporting field, but one faculty member from the supporting field (or the minor) should be included on the preliminary oral and final exam committees. Early in their program students should plan coursework in the minor or supporting field in consultation with their advisor and other appropriate faculty members.
5. Steps to Degree

Time Table for Completion The general expectation is that students complete the program within five years of admission. Below is an example of how a student might structure a program of study to complete the coursework within the first two years. The preliminary examinations and dissertation research occur during the last three years. Individual programs may differ from this example (see Appendices A and B for details of program- and department-suggested timeframe for completing steps to the PhD degree).

First Year:
- Check in with PhD Program Office
- Visit PhD coordinator to plan tentative class schedule
- Complete TA/RA assignments
- End of First Year Examination/Review/Research Paper (if required by department)
- Coursework (sample)
  - Major Area Courses ** 12 credits
  - Supporting Field Courses 8 credits
  - Total 20 credits

Summer Between 1st and 2nd Year:
- Complete summer fellowship research project

Second Year:
- Meet PhD coordinator/advisor before each semester to plan class schedule
- Complete TA/RA assignments
- File Graduate Degree Plan (GDP)
- Sign up for Written Prelim (paperwork sent to you by PhD Office and submitted to that office)
- Coursework (sample)
  - Major Area Courses ** 12 credits
  - Supporting Field Courses 8 credits
  - Total 20 credits

**The major field may include coursework from a variety of curriculum areas outside as well as inside Business Administration.

Summer Between 2nd and 3rd Year:
- Complete Written Prelim Exam
- Complete summer research fellowship project

Third Year:
- Assign preliminary oral exam committee online
- Schedule prelim oral exam online
- Complete Preliminary Oral Examination
- Complete TA/RA assignments
- Conduct Research
- Coursework (required)

Pre-Thesis Credits (BA 8666) at least six per semester, or other coursework totaling 6-14 credits, taken between the written and before oral prelim exams; Thesis Credits (BA 8888) 24 credits completed over two semesters after passing the oral prelim exam.

Summer Between 3rd and 4th Year:
- Complete summer fellowship research project

Fourth and Fifth Years:
- Register online your Dissertation Committee
- Complete Dissertation Proposal Defense (4th year)
- Complete Dissertation Research and Write Dissertation
- Schedule final defense online
- Complete Final Defense (by end of the fifth year)
- Graduation/Commencement
- Coursework (required)

Finish 24 required Thesis Credits (BA 8888); After completing the 24 thesis credits, you may then register for: FTE Thesis Credits (BA 8444) 1 credit per semester until final defense is completed (confers full-time status).

Summer Between 4th and 5th Year and after:
- Complete summer fellowship research project
- Begin placement activities

Graduate Degree Plan/Transfer of Credits The PhD Program in business requires their doctoral students to file the Graduate Degree Plan form late in the spring semester of their 2nd year in the program and prior to taking the written preliminary examination. With PhD coordinator approval, a student may request the transfer of graduate-level course credits from another recognized graduate institution by including the courses on the degree plan form and attaching official transcripts that include the courses that are being transferred. If the Graduate School admissions office has the final transcripts showing these courses, an official transcript does not have to be attached. In the case of transfer from a non-U.S. institution, the credits must have been earned in a program judged by the Graduate School to be comparable to a graduate degree program in the United States. The Graduate School does not have a transfer credit limit for doctoral students, but on a case-by-case basis, programs may restrict the number of credits a student may transfer. Transfer of graduate credits is not allowed for courses completed through independent (correspondence) study, courses taken through extension or other special categories at other institutions, courses taken before award of the baccalaureate degree, or courses that were audited.

The Graduate Degree Plan Form is available online at http://www.grad.umn.edu/students/forms/doctoral/index.
Petitioning Any changes to official degree program coursework or minor programs (changes to the minor program must be done before the oral prelim is completed) must be made through petition forms, available online at http://policy.umn.edu/forms/otr/otr190.pdf. The petition form must be signed by the student’s advisor and the Director of Graduate Studies before submission to the Graduate School. Students are encouraged to discuss the petition process with PhD Program Office staff.

Written Preliminary Examination The required paperwork to sign up for the written prelim exam will be given to eligible students by the PhD Office during the semester preceding the scheduled prelim date. Before the examination can be administered, the following must be satisfied:

- The student’s Degree Plan must be turned in to the PhD Office.
- No incompletes should appear in courses that are listed on the Degree Program form without prior approval of the PhD Office.

If a student needs to take additional degree program coursework in the semester after the written exam is to be completed, they should discuss this with both their advisor and the PhD Office. Only then may they include this planned coursework on their degree plan.

The preliminary written examination is administered by each department at least once each year, typically in June after students have completed their second year in the program. See department-specific written prelim requirements in Appendix A, since format of the exam varies by department. The preliminary written examination is constructed and evaluated by faculty in each program area. The grading procedure for the written examination is basically the same for each program area. Each student’s written examination is graded “blind” by multiple graduate faculty members. The evaluators within each area are chosen by the department faculty on the basis of interest and expertise. In order for a student’s score to be graded as a “Pass,” the overall average score must be agreed upon by the graders. If a student’s response is judged to be unsatisfactory, the department may allow the student to retake that part of the examination at a future date, usually within the next semester. No more than one retake of the exam is permitted, and this retake is at the discretion of the department faculty. Failure on the prelim, or on the retake, will constitute grounds for dismissal from the program. If no retake is allowed, the student will typically be dropped from the program at the end of the fall semester of the student’s third year.

Students are notified of the results of the examination both verbally and in writing by the department. Students are encouraged to discuss their responses to the questions with the committee members. Again, for further information on how the exam is run in a particular department, see Appendix A.

Selecting Oral Prelim and Final Defense Committees Prior to scheduling the date for their oral prelim or final dissertation defense, students should select and submit their official oral prelim committee or final oral defense committee names online at http://www.grad.umn.edu/students/forms/doctoral/index.html and select either (1) Assign/Update prelim oral exam committee or (2) Assign/Update final oral exam committee link. The committee assignments are then routed to the student’s advisor and to the Program Office/Director of Graduate Studies for final approval. Committee changes also take place through this online system but only after the student has discussed the planned change(s) with their advisor and the PhD Office staff. Changes to the advisor must be brought to PhD Office staff attention, as only they can make advisor changes online.

The oral preliminary examination committee as well as the final exam committee typically consists of three faculty members from the major field (the student’s area of concentration) and one from a minor or supporting field. The chairperson of the preliminary oral exam committee is usually the student’s advisor. For the final defense committee, the chairperson cannot be the advisor but can be either a tenure-track or tenured professor.

For the final defense committee, students select at least three committee members to be reviewers to sign off on the Reviewers Report Form (see Final Defense section on Page 14). The reviewers must include the advisor and the external person, plus at least one other internal member. Contact the PhD Program office for
information on selecting advisors, chairs, final exam reviewers, or committee members. Selecting a committee member from outside the University of Minnesota system requires additional steps. Contact the PhD Office for more information.

**Oral Preliminary Examination** The format of the preliminary oral examination is at the department’s discretion. It may be used to further assess both the breadth and depth of each student’s expertise in the major field and may include minor/supporting field questions as well. Alternately, the oral prelim may focus on a student’s proposed dissertation research. The student should discuss the format of the oral prelim with their advisor before scheduling the exam.

The oral prelim examination should be scheduled shortly after the student receives the “Pass” result on their written prelim exam (typically before the end of the student’s third year in the program). The exam is scheduled online at [http://www.grad.umn.edu/current-students-graduate-student-services-progress/preliminary-scheduling](http://www.grad.umn.edu/current-students-graduate-student-services-progress/preliminary-scheduling). Select prelim oral exam scheduling link. It should be scheduled online at least two weeks before the planned date of the exam. The student should also notify the PhD Program Office of the date of the oral prelim. (Student should select and register oral prelim exam committee before scheduling the oral prelim exam – see previous section). The Graduate School will then typically issue the preliminary oral examination report form directly to the examination committee chair in advance of the examination date, or the student may be advised to pick up the form in 160 Williamson Hall.

All committee members must be present at the oral prelim exam either in person or via Skype/conference call. Absence of any committee member will void the results of the exam. The outcome of the examination, with all committee members present and voting, is recorded in one of three ways: Pass, Pass with Reservations, or Fail. A vote to pass the student with reservations constitutes a passing vote, but the student may not proceed with thesis work until the reservations are satisfied. If this is the case, the student is informed immediately and the committee is permitted one week in which to convey its reservations to the student in writing/email, informing the student of the steps that must be taken to remove them. (A copy of this communication must also be sent to the Graduate School and the PhD Program Office). When the student has satisfied the committee’s reservations, a second letter informing the student, the Graduate School, and the PhD Program Office that the reservations have been removed and that the student may proceed toward the degree is also required. This second letter must be received no more than 4 months after the date of the original oral prelim exam. These letters should be written by the committee chair (typically the student’s program advisor).

Passing the preliminary oral examination advances the student to candidacy in the PhD Program. A photocopy of the signed preliminary oral examination report form must be given to the PhD Program Office before it is taken to the Graduate School.

If a student fails the preliminary oral examination, the examining committee may recommend one of the following:

- Dropping the student from the program.
- Unanimously recommending the student retake the oral examination providing the reexamination is conducted by the original preliminary oral examining committee.
- Requiring the student to retake both the written and oral examinations if a marginal pass was earned on the written examination.

In no case may the reexamination of the oral preliminary take place before at least ten weeks have passed. No more than one reexamination is allowed.

**Proposal Defense** Students are required to defend the proposed thesis research before their dissertation committee prior to undertaking extensive thesis research. Typically the proposal defense should take place within one year of successfully passing the oral preliminary exam. Prior to scheduling their actual proposal defense with the PhD Office, student must select their final defense committee using the online system (See Selecting Oral Prelim and Final Defense Committees section on page 12). Since the proposal defense is a requirement of the PhD in Business Administration, committee members from outside Business Administration are encouraged, but not required, to attend. If an outside committee member is unable to attend the proposal defense, students should solicit comments on the proposal from the member (in writing, if possible) and give feedback to the thesis advisor prior to the examination. In addition to the thesis committee, other interested faculty are frequently invited to attend the meeting where the candidate presents and defends his or her proposed thesis work.

To schedule the defense, students inform the PhD Office of the planned date and obtain the one-page thesis proposal form from the PhD Program Office. At least one week prior to the date of the proposal defense, students should supply the examining committee with copies of the proposal. The proposal should contain the
following information (this information may vary with departments):

- Statement of the problem to be investigated
- Justification—why the problem is important and the nature of the contribution of the thesis
- Hypotheses to be tested (where appropriate)
- Methodology to be used
- Sources of data
- Expected completion date

The proposal defense form is signed by those committee members present at the proposal defense and is then returned to the PhD Program Office after the defense. A unanimous vote by the examining committee is required for the candidate to pass the proposal defense and to proceed to thesis work. If the thesis proposal is not acceptable, the student may be invited to present a revised proposal to the committee. No candidate is allowed more than two opportunities to defend their thesis proposal. Two unsuccessful attempts will result in termination from the PhD Program.

**Final Defense** After approval of the proposal defense student should request the Graduation Packet online at [http://www.grad.umn.edu/current-students-graduate-student-services-progress/doctoral](http://www.grad.umn.edu/current-students-graduate-student-services-progress/doctoral) (choose Graduation Packet Request link). This packet includes all necessary instructions and forms needed to prepare for the final defense. This packet may include a copy of the Graduate School guidelines for the preparation of the thesis, though this is also available online [https://www.grad.umn.edu/sites/grad.umn.edu/files/grad_content_460854_0.pdf](https://www.grad.umn.edu/sites/grad.umn.edu/files/grad_content_460854_0.pdf). These guidelines must be strictly adhered to when formatting the dissertation.

Also included in the Graduation Packet is the Reviewers’ Report Form. When the student believes the dissertation is complete and ready for defense, he or she should have each of the reviewers copy and, if the dissertation is acceptable for defense, each reviewer should sign the Reviewers’ Report form. This form must then be returned to the Graduate School in 160 Williamson Hall at least one week in advance of the final defense date. At the same time, the student must also schedule the final defense at the Graduate School using the online system at: [www.grad.umn.edu/graduate-student-services-progress/final-schedule](http://www.grad.umn.edu/graduate-student-services-progress/final-schedule). Upon receipt of these materials, the Graduate School will prepare and send the Final Defense Form directly to the chair of the examining committee or email the student to pick the form up in 160 Williamson Hall.

To be approved for the final defense, students must have: completed all coursework as listed on the approved degree plan with grades recorded (no incompletes), completed the prelim written and oral exams, completed 24 BA 8888 thesis credits, completed the proposal defense, and submitted the signed Reviewer’s Report Form stating that the thesis is ready for defense.

The final oral examination focuses on a defense of all aspects of the dissertation research and is valid only if all committee members are present (either in person or via Skype conference call). The absence of a committee member will result in an invalid examination.

Upon successful completion of the presentation and examination, the candidate has fulfilled all the requirements for the PhD degree in Business Administration. A photocopy of the signed “Report of Committee on Final Doctoral Examination” form must be given to the PhD Program office before the original is taken to the Graduate School. Students should plan to return this form immediately to the Graduate School. If major dissertation revisions are required by the committee, the committee chair or advisor will notify the Graduate School that they are holding the final defense form until revisions are completed. The student is generally given a set timeframe for making the dissertation changes and returning the revised dissertation to their advisor for final approval. When this occurs, the advisor notifies remaining committee members that the revisions have been made and approved, and the final defense form is then signed by all committee members and submitted to the Graduate School in 160 Williamson Hall, with a copy to the PhD Office for the student file.

**Degree Clearance** Graduate School degrees are granted at the end of each month. If all forms, fees and thesis copies are not submitted by the appropriate day, graduation will be delayed until at least the next month.

The Application for Degree form must be submitted to GSSP via email at gssp@umn.edu or directly to 160 Williamson Hall, East Bank, by the first work day of the month in which a student wishes to graduate.

The following items must be submitted either directly to the Graduate School, 160 Williamson Hall, or online per instructions at: [http://www.grad.umn.edu/students/ThesisSubmission/index.html](http://www.grad.umn.edu/students/ThesisSubmission/index.html) on or before the last work day of the student’s intended month of graduation:

- Final oral examination report
- One copy of signature page signed by advisor (hard copy to Graduate School to ensure that advisor has read final copy of dissertation and any required changes have been made)
• One copy of the title page (hard copy to Grad School)
• One copy of thesis (typed according to specifications and submitted online at http://www.etdadmin.com/cgi-bin/school?siteId=79
• Complete Survey of Earned Doctorates at http://apps.grad.umn.edu/UMNSED/
• Optional: One completed copy of the Deposit Agreement Form found at http://www.grad.umn.edu/sites/grad.umn.edu/files/udc_deposit_agreement_1.pdf (hard copy to Grad School).
• Optional: Information on payment of $55 copyright fee is available online in the copyright section of the document located at http://www.grad.umn.edu/sites/grad.umn.edu/files/grad_content_460854_0.pdf

A complete review of degree clearance steps is available online at http://www.grad.umn.edu/current-students-graduate-student-services-progress/doctoral (click on Doctor of Philosophy under degree completion steps).

Commencement Attendance Students participate in Students are encouraged, but not required, to participate in Carlson School graduate commencement ceremonies which are held in May. To attend, the student should email the PhD Office before the end of March to notify them of their intent to participate. Students’ advisors may attend commencement to hood the student on stage. In order for the advisor to attend, the student must notify them of their intent to participate in commencement. Diplomas are not distributed at the ceremony but are mailed out 4-6 weeks after completion of all degree requirements. See the PhD Office for more information.

Letter of Certification of Degree Award If a student needs proof of completion of degree requirements before the degree transcript or diploma is available, they may request a letter of certification at http://onestop.umn.edu/grades_and_transcripts/certification_letters/. The Graduate School will issue the letter within a few days of the request if all requirements have been met and all fees have been paid. The PhD Program Office can also issue a letter stating the date of the successful final defense. This letter will include a copy of the signed final defense form.

Extension to Maximum Time Limit for Degree
(See Section 9: Policy on Time Limits to Degree, page 24.) Per University policy, all requirements for the doctoral degree must be completed and the degree awarded within eight calendar years after initial enrollment to the graduate program (students matriculating in fall 2013 or later), or within five years after passing the oral prelim exam, or a more restrictive time frame specified by the program. Students who are unable to complete the degree within the time limits described above may petition the program and collegiate unit for one extension of up to 24 months. The time extension request form is located at: http://policy.umn.edu/sites/policy.umn.edu/files/forms/um1777.pdf.

Students must obtain the approval of their advisor and the program DGS, then submit the petition at least six months prior to the end of the time limit. Upon approval, the student is notified in writing of the expectations for progress and of the month/year of degree conferral. If the petition is denied, the student is notified in writing that he or she will be terminated from doctoral candidacy and from the graduate program upon expiration of the time limit. Under extraordinary circumstances, students may file a second petition for an additional 24 month extension after the first 24 months have expired but such petitions must be reviewed and approved by the advisor, program DGS, and Vice Provost and Dean of Graduate Education. Students who have been terminated under these circumstances may apply for readmission to the program though readmission is not guaranteed.

MARS Conference This student-run conference occurs every summer and provides students (one from each department) a chance to present their research to PhD student conference attendees and receive feedback. All students should attend this conference each year.

Student Presentation Skills Workshop This workshop also occurs each summer. Students planning to present at a conference or going on the job market in the upcoming year should participate in this workshop, which consists of three parts: 1) an initial presentation by CEI staff; 2) the videotaping of each student’s job market presentation; 3) individual meetings with the CEI representative to obtain helpful feedback on the student’s presentation skills and presentation content.
6. Student Funding/Benefits

Carlson School Funding & Support Support for doctoral students comes in many forms, including stipends, fellowships, tuition, student fees and insurance waivers, office space, parking cost subsidies, and technology. Every student who is admitted to the PhD Program in Business Administration and who continues to make good progress receives financial aid for up to five years. Base funding from the PhD Program currently consists of a minimum stipend of $23,000 paid over the 9-month academic year. An additional $5,000 for a summer research fellowship is available to all students completing years 1-4 and making good progress in the program. Full tuition and student service fees waivers and health insurance are also provided, as is a $1,200-$1,500 research and teaching supplement (RATS). Receipt of funding assumes that the student is registered full time (total of 6-14 A/F and S/N credits each semester, or 1 credit of BA 8444 if at the FTE thesis stage after completing all 24 BA 8888 thesis credits). Audit registration is not sufficient to hold an assistantship, nor does it count towards the number of degree credits completed in a semester. See the Graduate Assistant Office Web site at http://www1.umn.edu/ohr/gae/index.html for further information about these policies.

Taxability of Funding Student funding in the form of assistantships and fellowships is typically subject to federal and state income taxes, though there are exceptions to this (see below). At the time of hire, a W-4 (Employee's Withholding Allowance Certificate) is completed. Tuition benefits and medical coverage are non-taxed benefits. For more information about taxes, see http://www1.umn.edu/ohr/pay/taxes/index.html or call the Human Resources Call Center at 612-624-8647. International students should see: https://isss.umn.edu/taxes/ or contact the Office of International Students and Scholar Services at 626-7100 for assistance with tax information and visit the FICA section at http://www1.umn.edu/ohr/pay/nonresident/fica/index.html for specific information on FICA Exemption Rules.

Taxability of Lump Sum Fellowships. For U.S. citizens and international students from a country where there is no U.S. tax treaty, your lump sum fellowships are considered taxable income by the U.S. government and must be claimed as income on your federal and state tax forms each year. For more information on the taxability of your non-service fellowship see: http://humanresources.umn.edu/pay-and-taxes/tax-information-non-service-fellowships. Typically the University does not take taxes out of these fellowships but considers it the student’s responsibility to include these taxable fellowships amounts on their tax forms each year. If you want taxes taken out of your lump sum fellowships to avert any tax liability, you must file the form Graduate Fellowship Income Tax Withholding Request to have a specified amount of federal or Minnesota state income taxes withheld. This form is available online at http://policy.umn.edu/sites/policy.umn.edu/files/forms/fellowship.pdf or in the PhD Office.

Graduate Assistantships Typically students have a 50% time research/teaching assistantship during each semester of the program. These assistantships qualify the student for a tuition waiver and health insurance benefits, as long as the student is registered full-time.

Fellowships

1) Summer Research Fellowships in the amount of $5,000 are available to all students completing years 1-4 in the program and who are making good progress. An application form for the fellowship must be completed indicating that the student has a research project in mind and a faculty mentor with whom to work during the summer. A report of progress made on the summer research project is due to the department early in fall semester in the form of a written or oral report depending on department requirements.

2) Carlson School Conference Presentation Travel Fellowships. Travel cost fellowships are available twice yearly by application (applications due during March and September each year) though students may apply for this fellowship only once per academic year. Application materials for these fellowships are available in the PhD Office or will be emailed to students. Award amounts are up to $500 for domestic conference presentation travel or $700 for international conference presentation travel. Awards are made on a competitive basis by the PhD Committee, and the funding is typically transferred into students’ RATS accounts.

3) Dissertation Fellowships in the amount of $23,000 plus an augment of $5,000 ($28,000 total) are available to students in their fifth year who are at dissertation stage. Late in fall semester, PhD Coordinators and eligible PhD students are notified of the Carlson School and Graduate School Dissertation Fellowship competitions. A memo or email is sent that details conditions of the awards. To apply for these fellowships, the following requirements must be met:

- Written and oral preliminary examinations must be completed by the deadline, and all program
coursework must be completed by the end of spring semester. The PhD Program Committee will consider exceptions to this requirement based on strong letters from faculty attesting to the fact that an applicant will finish by the end of summer of the following year.

- All incomplete grades on the official program of coursework should be removed before the deadline.
- The intent of the dissertation fellowship is to fund the final year of graduate work.
- Students receiving a CSOM dissertation fellowship should not accept other work assignments.

Award of fellowships is based on PhD coordinator review and rating of each candidate’s application materials. Award recipients and alternates are identified. Nominations for the Graduate School competition are forwarded to the Graduate School. When results of the Graduate School competition are known, any CSOM PhD winners may receive an additional amount from the PhD Program to bring the total fellowship amount to the CSOM award level.

**Tuition Waivers** Graduate Assistants who hold at least a 25 percent time appointment receive tuition benefits equal to twice the percentage of their appointment. For example, those holding a 25 percent appointment receive a 50 percent tuition benefit, while those with an appointment of 50 percent will receive 100 percent tuition benefit. These benefits only provide tuition waiver for up to 14 credits, and do not cover technology fees or course fees. If a student needs to register for more than 14 credits in a semester, they must notify the PhD Office and/or complete a Registration Exception Form (available in PhD Office or the PhD intranet site) that requires the approval of the department’s PhD coordinator. This completed form, or an emailed request, must then be turned into the PhD Office before a tuition waiver will be approved for the extra credits.

**Health Insurance** The Graduate Assistant Health Insurance Plan is subsidized by the University. Currently this insurance includes dental coverage at Boynton Health Services (see [https://shb.umn.edu/health-plans/gahp-home](https://shb.umn.edu/health-plans/gahp-home) for more information).

The insurance is available to graduate and professional school students who hold assistantships of 25 percent time or more. It is also available to students who hold a 9561 graduate fellow appointment (such as the dissertation fellowship) and who receive a stipend during the academic year equal to at least a 9-month, 50 percent-time graduate assistantship, provided their college or department agrees to pay the full insurance premium during the academic year. Carlson School does pay the total cost of the graduate assistant’s health insurance premium, though students are still responsible for the co-pays for office visits and prescriptions.

When departments pay for the healthcare plan as a non-service benefit (for a fellowship), that payment is considered taxable income. The amount of the direct departmental contribution is reported as income, and taxes are withheld on that amount.

To receive healthcare coverage, students must apply for it during the first semester of their assistantship or fellowship and by the enrollment deadline. For most students, this deadline is the end of the second week of classes. Once enrolled, a student remains a plan member until coverage is cancelled. When an appointment ends or drops below the qualifying level, the student loses eligibility for the plan on the last day of the month in which eligibility is lost. A student has the right to continue coverage at his/her own expense by applying for continuation within 30 days of losing eligibility. The continuation of coverage form must be completed and returned to the GAIO in N323 Boynton Health Service. Students enrolled in the plan spring semester remain eligible for summer.

Students receive a University contribution toward summer coverage based on the semesters during the academic year in which they held a graduate assistantship. Students holding 50% time assistantships both fall and spring semester will have 100% of their summer insurance cost covered.

Coverage for dependents of eligible students is available at a reduced cost to the student. Please check with the Graduate Student Insurance Office for more details [https://shb.umn.edu/health-plans/gahp-home](https://shb.umn.edu/health-plans/gahp-home).

**RATS Accounts** Students are provided with a $1,200-$1,500 Research and Teaching Supplement (RATS) account to be used for research and teaching-related expenses (e.g., printing costs, books for course development, software, conference travel expenses, etc.). This amount is in addition to the normal stipend provided. The CSOM Student RATS policy is included in the appendices (see Appendix D).

**Office Space** Office space for PhD students is allocated to the PhD Program by the Dean’s Office, typically for students in years 1-5, though as space allows, students in their 6th year may be provided with office space, and visiting PhD students having lowest priority. The program office then reallocates space annually as students leave the program in summer. Students may contact the PhD Office at any time before
June each year with any office space questions. We will make every effort to take these into consideration when allocating office space, and value your input; however, there is no guarantee that we can meet a request. Because this is a complex process, final decisions are based on the parameters given below:

1) All PhD students are guaranteed a shared office space and technology, though no specific type of office space is guaranteed;
2) Space is organized and allocated in the way that makes the most sense overall;
3) The number of office moves that occur each year is kept to a minimum, since this is a time-consuming process that often requires coordination with Facilities and OIT and can be costly in terms of moving technology, installing shelving, etc.;
4) More senior students are typically moved into outside-windowed offices as the space becomes available, though this is not a guarantee (depending on department considerations as noted in #5 below);
5) Departments often provide input into how they want students to share offices. This is not a simple process, and office space and technology reallocations take several weeks to finalize (usually by the end of June, with moves taking place in August).

**Student Technology** Each student is provided a desktop computer for office use. All basic Microsoft software packages (Word, Excel, PowerPoint, etc.) are provided and additional research-related software is available through CSOM’s server agreement with CLA or through the IT Department. (e.g., SAS, SPSS). Information on research computing resources can be found at https://intranet.csom.umn.edu/admin/IT/Research/Pages/default.aspx.

With their RATS funding, students may purchase specialized statistical software packages they need through either the University Bookstore or through the University’s Office of Information Technology. Information on software licenses available from the University can be found at http://it.umn.edu/hardware-software-purchasing. All software installations should be handled by CSOM’s OIT Dept.

To use RATS funding to upgrade their office computer, students must first obtain permission from the PhD coordinator/PhD Office before asking CSOM’s OIT Department to purchase anything.

Laptops are available in the PhD Office for students to check out for such things as conference or placement presentations. See Appendix E for information on program technology resource and printing lab policies.

For problems with the technology or software in student offices, students should contact CSOM’s OIT Department at csareait@umn.edu or 612-624-1154. For problems with the printers in the printing labs, please contact the PhD Office staff.

**Student Parking Costs Subsidy** Because many of our PhD students work in their offices late at night, and with their safety in mind, the program will subsidize student parking costs based on the following criteria:

1) Students must park in one of the two parking ramps near Carlson School (19th Avenue Ramp or 21st Avenue Ramp);
2) Students can enter the parking ramp at any time but if they enter before 5 p.m. they must stay in the ramp until at least 7 p.m. and leave before 7 a.m. the next day (cost typically will be $12 for the whole day if entering before 5 p.m., or if entering after 5 p.m., the Night Owl Rate is $6 if you leave before 7 a.m. the next day).
3) Students can turn in their parking receipts at minimum at the end of each month (or across multiple months) for reimbursement of $4 per receipt, if they meet the prior two criteria.

**Graduate School Funding** The Graduate School offers dissertation fellowships each year. The PhD Program in Business Administration and its students compete with the other doctoral programs across the University for these awards.

Each year the Carlson School’s PhD Committee can nominate doctoral students for the Graduate School dissertation fellowship competition. Students are ineligible if they have previously held this award or if they have incompletes on their transcripts at the nomination deadline. The review and selection of students for awards is conducted by a Graduate School Fellowship Committee.

**Direct Deposit of Checks** Students paychecks can be automatically deposited into an account at any bank or credit union in the country. Your pay will automatically be deposited each payday, and a pay statement will be available online at https://www.myu.umn.edu. To set up direct deposit, click on the My Pay tab, then “Direct Deposit Set-up” from the self-service links at the bottom of the page.
7. Campus Resources

**Bookstore**  The University of Minnesota Bookstore is located on the ground level of Coffman Memorial Union. The website for the bookstore is [http://www.bookstores.umn.edu](http://www.bookstores.umn.edu).

**Boynton Health Service**  BHS provides outpatient medical and dental care to University of Minnesota students, faculty and staff. For more information go to this website: [http://www.bhs.umn.edu/index.htm](http://www.bhs.umn.edu/index.htm).

**Bursar’s Office/One Stop Student Services**  The University of Minnesota offers online billing and payment of your student account bills (tuition, fees, housing, books, and other University charges). The University’s billing and payment system will automatically send an email notice to your University email address when the bill is ready to be viewed online. You will need your University-assigned Internet ID and password to log in to your University student account. For more information on how to make a payment, go to [http://onestop.umn.edu/finances/pay/](http://onestop.umn.edu/finances/pay/) or contact One Stop Student Services at 612-624-1111.

**Campus Safety and Security**  The University is committed to providing a safe and secure environment for everyone on campus. The Twin Cities campus has its own police department on duty 24-hours a day, seven days a week. An on-campus escort service (612-624-WALK) is staffed by student employees and provides a free, 24-hour a day walking service for students, staff, faculty and visitors. Escorts are provided on the West Bank, East Bank and St. Paul campuses, and surrounding areas. We advise students to use these escorts if they are alone on campus after hours or at night. In addition, the campus also features easily recognized Code Blue blue-light 9-1-1 phones that give immediate access to a 911 operator. Finally, the Carlson School provides a University of Minnesota Police Security Monitor to help keep our facility safe and secure. The security monitor is available for assistance Monday through Friday from 5:00 p.m. to 7:00 a.m. and is on duty 24 hours on Saturday and Sunday. The security monitor is stationed at the first floor kiosk desk or can be dispatched by calling 612-624-WALK or dial 911 (you don’t need an outside line for this) in an emergency situation. For more information about campus safety go to [http://www.carlsonschool.umn.edu/about-us/our-location-facilities/emergency-preparedness](http://www.carlsonschool.umn.edu/about-us/our-location-facilities/emergency-preparedness).

**Center for Educational Innovation**  This center supports broad initiatives to improve the teaching effectiveness of faculty and graduate teaching assistants.

It is located in the University Office Plaza, Suite 400, 2221 University Ave SE, Minneapolis. Learn more at [http://www.cei.umn.edu/](http://www.cei.umn.edu/).

**Center for Writing**  Student Writing Support provides free writing instruction for all University of Minnesota students—graduate and undergraduate—at all stages of the writing process. They offer face-to-face and online collaborative consultations to help students develop productive writing habits and revision strategies. For free support with writing go to: [http://writing.umn.edu/sws/](http://writing.umn.edu/sws/).

**Child Care**  For a list of the various child care opportunities both on and off campus, go to this website: [http://www.sphc.umn.edu/childcare.html](http://www.sphc.umn.edu/childcare.html).

**COGS**  The Council of Graduate Students (COGS) advocates for all graduate students at the University of Minnesota. The PhD Program in Business Administration usually has one representative each year on the COGS committee. Please see the COGS website for additional information [http://www.cogs.umn.edu/](http://www.cogs.umn.edu/).

**Digital Print Center**  The West Bank Digital Print Center is located in 33 Social Sciences Tower. Hours of operation are 8:00 am-6:30 pm Monday thru Thursday and 8:00 am-4:30 pm Friday. Copies must be charged to a University budget number (your RATS account). For information on copy centers available on campus, see [http://www.printing.umn.edu/centers/locations.html](http://www.printing.umn.edu/centers/locations.html).

**Student Counseling Services**  Student Counseling Services offers individual and group counseling and workshops on academic, career, personal, and relationship issues. They have locations on the East Bank, West Bank and St. Paul Campus. More information can be found at [http://www.uccs.umn.edu/](http://www.uccs.umn.edu/).

**Disability Resource Center**  The Disability Resource Center ensures access to University employment, courses, programs, facilities, services, and activities for faculty, students, and staff with disabilities. Located in the McNamara Alumni Center, Suite 180. See [https://diversity.umn.edu/disability/](https://diversity.umn.edu/disability/) for information.

**Email Accounts**  Each student at the Carlson School of Management is provided an email account through the University. Students receive their specific email address from the Graduate School when they accept the offer of admission.

**Minnesota English Language Program - College of Continuing Education**  This program provides a variety of credit and non-credit courses to
help current students improve their English skills. For further information see [http://cce.umn.edu/minnesota-english-language-program](http://cce.umn.edu/minnesota-english-language-program).

**Parking and Transportation Services PTS** provides information about parking, busing, light rail, walking and biking at the University. Further details are available at [http://pts.umn.edu/](http://pts.umn.edu/).

**Registrar’s Office/Transcripts** Two types of transcripts are available for University students: official and unofficial. Both can be requested through OneStop at [http://onestop.umn.edu/grades_and_transcripts/index.html](http://onestop.umn.edu/grades_and_transcripts/index.html).

**University Student Legal Service** The University Student Legal Service (USLS) offers legal services and education to University of Minnesota students. It is run by an administrative board of students. All legal services are provided by experienced legal professionals who work to educate students about their legal rights. They host many events on campus and are always willing to help put on educational events. For more information see [http://usls.umn.edu/what_we_do.html](http://usls.umn.edu/what_we_do.html).

**Student Loan Deferment/Enrollment Certification** Occasionally students need to have their status as a full-time student in the PhD Program certified in order to defer student loan payments. To do this, go to a One Stop Office (130 West Bank Skyway) for certification, or visit this website: [http://onestop.umn.edu/registration/guidelines/credit_loan/enrollment_certification.html](http://onestop.umn.edu/registration/guidelines/credit_loan/enrollment_certification.html).

**Student Conflict Resolution Center** SCRC provides confidential services to students with campus-based complaints or concerns. SCRC can help students deal with university regulations and policies, or misunderstandings between students and instructors or administrators. SCRC is located in 254 Appleby Hall, East Bank, 612-624-7272, or email sos@umn.edu. Further information can be obtained on their website at [http://www.scrc.umn.edu](http://www.scrc.umn.edu).

**U-Card Office** U Cards are obtained in Rm G22 of Coffman Memorial Union. The U Card allows access to the CSOM building after hours, checking out library materials, entering the rec center, etc. To replace a card, a new card can be issued at the U Card office for an additional $25 replacement fee. For more information see [http://ucard.umn.edu/umtc/home](http://ucard.umn.edu/umtc/home).

**University Libraries** The University of Minnesota Libraries System is housed in five major facilities and eleven branch sites. The Wilson Library Business Reference Service (BRS) is located on the West Bank and contains a large collection of annual reports and 10K reports (filed by many publicly held U.S. corporations with the Securities and Exchange Commission), as well as dictionaries, bibliographies, directories, periodical indexes, financial and investment services, statistical publications, and many other reference works. For the convenience of our students, BRS holds office hours in Rm 3-352 Carlson School on Thursdays from 2-4:30 p.m. or email busref@umn.edu. For more information and to connect to the online catalogs, please see [http://www.lib.umn.edu/](http://www.lib.umn.edu/).

**U.S. Mail/Post Office** Intercampus mail, as well as U.S. mail, can be sent through the University mail system. There is also a U.S. Post Office box (and a Fed Ex box) located in front of the Carlson School (northwest side of building), as well as a locked U.S. postal drop box in front of the Room L-142 in the lower level of Carlson School.
8. International Students

The University of Minnesota’s International Student and Scholar Services Office (ISSS) is the best source of information regarding all things related to your student visa status. If you have questions see http://isss.umn.edu/stop in 190 Humphrey Building or call 612-626-7100.

English Proficiency/SETTA Test University policy states that in order to be employed as a teaching assistant or instructor, all non-native English speaking Teaching Assistants (TAs) must demonstrate proficiency in spoken English appropriate to the demands of their teaching assistantship. Spoken English Proficiency is measured by one of three tests:

- Speaking section of TOEFL iBT (internet-based Test of English as a Foreign Language) with a score of at least 27;
- SETTA (Spoken English Test for Teaching Assistants) test with a score of 1;
- English Language Proficiency (ELP) rating of 1 earned through coursework (Grad 5102 or 5105) through the Center for Educational Innovation (CEI).

International students who are non-native speakers of English are required to take the SETTA test when they arrive or provide documentation of their speaking section score on the ibTOEFL (score of 27 needed). Graduate students should register for the first possible test date in the fall semester. For more information on the SETTA test see http://cei.umn.edu/courses-programs/international-teaching-assistant-program/spoken-english-test-teaching-assistants.

Health Insurance Requirements All international students must carry hospitalization insurance for themselves and any dependents. Insurance coverage must be continuous from the date of arrival in the U.S. through the final date of departure from the U.S. This means that international students must have insurance coverage even if they are registered for fewer than 6 credits or are away from campus for the summer or an academic semester. See “Student Funding” section for further information on PhD student health insurance coverage provided through the University of Minnesota’s Graduate Assistant Health Plan, for which we pay.

Full Course of Study Requirement All foreign students (not including visiting scholars) holding F-1 and J-1 visas are required by the Department of Homeland Security (DHS) and the Student and Exchange Visitor Information System (SEVIS) to register for a full course of study each fall and spring semester. To meet SEVIS requirements, graduate students are required to take a minimum of 6 credits per semester. Exceptions to this rule are possible only in a limited number of circumstances (e.g., BA 8444 one FTE thesis-credit registration). Except for BA 8444 registration, if you need to register for less than 6 credits during the academic semester, an exception form (Reduced Course Load) must be completed before you register, signed by the student’s advisor, and submitted to International Student and Scholar Services, 190 Humphrey Center, by the end of the second week of each semester for graduate students. See https://isss.umn.edu/fstudent/rcl.html or call 612-626-7100 for more information.

Degree Completion Time Limit Per University agreement with the U.S. Government, international students are issued an I-20 for only seven years during which time they must complete their degree. This can be modified under certain circumstances, because there is also a University deadline that allows students to take up to eight years total to complete their doctoral degree (degree awarded), beginning from initial date of matriculation to degree. However, our program typically expects students to finish their degrees within 5-6 years.

Resources for International Students The following on-campus resources exist for international students in addition to the ISSS Office in 190 Humphrey.

Minnesota International Student Association (MISA) MISA is a non-profit student organization that advocates for the interests of international students and scholars at the University. They are located in Rm 232 Coffman Union, and can be contacted at misa@umn.edu. See https://gopherlink.umn.edu/organization/184.

Global Programs and Strategy Alliance (GPS), 100 University International Center, 331-17th Ave SE, 612-624-5580, offers numerous opportunities for face-to-face meetings and educational exchanges within the Twin Cities community. For more information see http://global.umn.edu/about/contact.html.

For an in-depth listing of culturally-affiliated student groups on campus, see http://www.sua.umn.edu/groups.
9. University/Graduate School Policies

**E-Mail** E-mail is the University’s official means of communication with students. Students are responsible for all information sent via their University e-mail account. Students who forward their University e-mail account are still responsible for all information, including attachments, sent to their account.

**Filing Milestone Forms** See Section 5: Steps to the Degree for complete details on forms that need to be filed or entered online, and the timelines for filing these. Also see Appendix F for information on forms to be filed. The PhD Program office typically notifies students when milestones in the program are reached (prelim exams, proposal defense, etc.), and will provide students with the necessary forms or instructions on how to access them, as well as instructions on how to proceed.

**Degree Clearance/Graduation** Degrees are granted at the end of each month. To qualify for graduation for a particular month, students must complete their final thesis defense and all other requirements (filing of paperwork and forms by the last workday of that month). Instructions are provided in the Graduation Packet. See http://www.grad.umn.edu/students/doctoral/index.html and select Graduation Packet Request.

To proceed to the final defense and graduate the student must:

1) Assign/submit online the final oral exam (dissertation) committee for approval by the advisor and Director of Graduate Studies. The online committee submission form is located at: http://www.grad.umn.edu/current-students-graduate-student-services-progress-doctoral/assign-doc-final-committee.

2) Submit the Final Oral Exam Scheduling Form at least one week in advance of defense date. See http://www.grad.umn.edu/graduate-student-services-progress/final-schedule.

3) Submit the signed Reviewers’ Report Form (included in your Graduation Packet) to the Graduate School in 160 Williamson Hall.

4) Submit the Graduate Application for Degree form online (link to form is found in Graduation Packet and will go directly to GSSP in 160 Williamson Hall). The application for degree needs to be submitted by the first working day of the intended month of graduation.

5) Complete the final defense and return the signed final dissertation exam form to GSSP preferably within one working day of completing the final defense. If it will take longer than anticipated to submit the final defense form due to final dissertation revisions, the student’s advisor or committee chair may contact the Graduate School at gssp@umn.edu or 5-3490 explaining that there will be a delay in returning the Final Defense Form.

6) Submit to the Graduate School a) a hard copy of the dissertation signature page signed by the advisor(s) and b) one copy of the title page of your dissertation no later than the last working day of the month in which you intend to graduate. Both must be formatted according to instructions received in the Graduation Packet.

7) Submit a copy of your dissertation in PDF format (including the abstract of 350 words or less) online at http://www.etdadmin.com/umn. It must be formatted according to specifications in Preparing your Doctoral Dissertation (sent to you in your Graduation Packet or online http://www.grad.umn.edu/current-students-graduate-student-services-progress/thesis-submission. This should be submitted no later than the last working day of the month of intended graduation.

8) Submit the University of Minnesota Survey of Earned Doctorates found at http://www.grad.umn.edu/current-students-graduate-student-services-progress/thesis-submission (under quick links).

9) Submit to the Grad School in 160 Williamson Hall, a hard copy of the Deposit Agreement that is available in the Graduation Packet or online at http://www.grad.umn.edu/sites/grad.umn.edu/files/udc_deposit_agreement_1.pdf http://www.grad.umn.edu/sites/grad.umn.edu/files/udc_deposit_agreement_1.pdf. This allows use of your dissertation in the University of MN Conservancy. See http://conservancy.umn.edu/.

10) If you wish to copyright your dissertation, there is a fee of $55 (fees subject to change). See https://www.lib.umn.edu/copyright/disstheses for more information.

11) Diplomas are mailed out from the Registrar’s Office 4-6 weeks after submitting all paperwork, though the award of the degree will appear on transcripts within one month of the degree award date.

**Time Limits to Degree** While the PhD Program in Business Administration strives to enable students to complete their degrees within five years, the new Graduate School policy is that all requirements for the
doctoral degree including degree award must be completed within eight years after the semester of initial enrollment in the program. Petitioning for an extension of time can be done with advisement.

For international students, the Graduate School’s time limit also applies but there is the added issue of visa expiration after 7 years. Extensions beyond this time may be allowed, but students should check with the International Student and Scholar Services Office (612-626-7100) and the Carlson School PhD Program office to determine the steps to take if they need additional time to complete their doctorate.

**Petition for Extension of Time** If the student is unable to complete the degree by the deadline, he or she may petition Carlson School’s PhD Program for one extension of up to 24 months (one additional year for an international student who will need an I-20 extension, but the student must also work through ISSS on this). Such a petition should be submitted at least six months prior to the end of the time limit and be approved by both the student’s advisor(s) and the Program DGS.

A petition should include the following information:

1) Length of extension required in months.

2) A brief explanation for the delay in completion of the degree.

Student should be prepared to explain to their advisor or the DGS their progress to the degree and present a schedule for completing remaining steps to the degree. If additional information is required, you will be contacted via email.

If the petition is approved the student will be notified in writing of the expectations for progress and of the month/year of degree conferral. If the petition is denied, the student will be notified in writing of their termination from the graduate program at the end of their time limit. Students who are terminated under these circumstances may apply for readmission, though readmission is not guaranteed. The petition form is available at [http://policy.umn.edu/sites/policy.umn.edu/files/forms/um1777.pdf](http://policy.umn.edu/sites/policy.umn.edu/files/forms/um1777.pdf).

**Student Conduct Code** Matters concerning student conduct are addressed by the University student conduct code (See Appendix C for the code in full) rather than by Graduate School policies. Issues of special concern in graduate education include scholastic dishonesty, plagiarism and research fraud. The University student conduct code applies to both academic and non-academic misconduct. Alleged violations involving graduate students in either instance are governed by the procedures outlined in the code. Allegations of non-academic misconduct by graduate students are dealt with directly by the University conduct code coordinator.

Because the Graduate School does not utilize a scholastic standing committee or a disciplinary committee, responsibility for a full hearing concerning alleged academic misconduct by a graduate student most often lies with the department or program in which the student is majoring. When the alleged misconduct occurs in a course originating from a department or program outside the student’s major, and the matter cannot satisfactorily be resolved by the instructor, the allegation is forwarded to the conduct code coordinator (PhD Coordinator for the area or the PhD Program Director) for possible referral to a University disciplinary agency.

**Weapons Policy** The University of Minnesota Board of Regents Policy on the Possession and Carrying of Weapons on campus can be found at [http://regents.umn.edu/sites/regents.umn.edu/files/policies/Possession_CarryingWeapons.pdf](http://regents.umn.edu/sites/regents.umn.edu/files/policies/Possession_CarryingWeapons.pdf). It states that “no person, whether a student, employee, or visitor, shall possess or carry a weapon while on University property, except as authorized” for law enforcement and military personnel, for military training, or by presidential approval. Lawful storage of a firearm inside a personal motor vehicle is permitted on University property. Violations of this policy by students will be adjudicated per the Student Conduct Code.

**Research Involving Human Subjects** The University of Minnesota requires a basic level of Human Subjects’ Protection Training for all investigators and research personnel regardless of the source of funding. Please contact HRPP staff at 612-626-5654 or irb@umn.edu with any questions. See [http://www.research.umn.edu/irb/training.html](http://www.research.umn.edu/irb/training.html). The Board of Regents at the University of Minnesota adopts and continues its policy that all research involving human subjects conducted at the University of Minnesota shall be conducted in accordance with federal regulations including but not limited to the “Guidelines for Protection of Human Research Subjects” 45 Code of Federal Regulations (CFR) 46 established by the Office of Human Research Protections, and regulations to protect human subjects, 21 CFR 50, 56, 312, 812 as established by the Food and Drug Administration.

In furtherance of that policy the Board of Regents and the University have established an Institutional Review Board (IRB) whose members are appointed by the Vice
President for Research. The IRB and its staff are responsible, in conjunction with administrative officers of the University of Minnesota, for assuring that all University personnel, and student researchers, comply with applicable federal regulations and guidelines. The two main standards that the IRB upholds are that subjects not be placed at undue risk and that they give uncoerced informed consent to their participation in a research project. The IRB shall review and approve, require modifications of or disapprove all University research involving human subjects in accordance with the administrative policies and procedures to be established hereunder. In addition, the IRB shall monitor and conduct continuing review of research at intervals of at least once per year. It shall continue to be the responsibility of the administrative officers of the University of Minnesota and each principal investigator to carry out the decisions of the IRB. For more information on the IRB, go to their website at http://www.research.umn.edu/irb/index.html.

Smoke-Free Campus Policy The University of Minnesota, Crookston, Duluth, Rochester, and Twin Cities are smoke- and tobacco-free campuses. All students, staff, faculty, and visitors are prohibited from smoking and using, selling, free distributing, and advertising tobacco products and electronic cigarettes in all facilities and on all University property. See policy at: http://policy.umn.edu/operations/smoketobacco. Exceptions to the policy include the following:

- Tobacco use will be permitted on University property only in these situations:
  - Peer-reviewed, approved scientific studies that require participants to use tobacco, require advance approval (see procedure).
  - Tobacco use as part of a traditional Native American spiritual or cultural ceremony is permitted without prior approval. To ensure that ceremonies held indoors do not inadvertently activate fire alarms or sprinkler systems, event organizers must follow the attached procedures.
  - Theatrical productions where actors and actresses are permitted to use tobacco as part of the theatrical performance, theatre staff must meet the notification requirements (see procedure).
  - Enclosed, privately-owned vehicles, while driving on campus or parked in surface parking lots as defined by Parking and Transportation Services, provided users make a reasonable effort to contain smoke and tobacco materials inside the vehicle.

Drug-Free Campus Drug and alcohol abuse affects the health, safety and well-being of all employees and students and restricts the University’s ability to carry out its mission. Therefore, the University of Minnesota:

- Prohibits the unlawful possession, use, or distribution of alcohol and illicit drugs by students and employees on all campuses and at all facilities of the University, or as part of the University’s activities
- Prohibits the unlawful manufacture, distribution, dispensation, possession or use of controlled substances in the workplace.

Students and employees must be aware that there are significant criminal penalties, under state and federal law, for the unlawful possession or distribution of alcohol and illicit drugs. Penalties include prison terms, property forfeiture and fines. The complete policy can be found at: http://policy.umn.edu/operations/drugfree. For additional information about the health risks associated with alcohol and specific drugs, and educational and treatment programs available in the Twin Cities, call Student Counseling Services at 612-624-3323.

Racial/Ethnic Harassment Racial or ethnic harassment is not tolerated at the University. Racial or ethnic harassment is defined as using racial or ethnic slurs against a student, University employee, or visitor to a University facility; posting written or graphic material that is intended to be derogatory of a racial or ethnic group; defacing signs or other property in a way that is intended to be derogatory of a racial or ethnic group; making mail or telephone communications that harass an individual because of the individual’s racial or ethnic identity. The official University policy covering this topic can be found at: http://regents.umn.edu/sites/regents.umn.edu/files/policies/Equity_Diversity_EO_AA.pdf. For additional information, contact the Office of Equal Opportunity and Affirmative Action, 274 McNamara Alumni Center, 612-624-9547, https://diversity.umn.edu/oeaa/. For immediate police assistance, call 911 or the University police at 624-2677.

Sexual Harassment Sexual harassment in any situation is reprehensible. It is viewed as a violation of Title VII of the 1964 Civil Rights Act. Sexual harassment is not tolerated at this University. Copies of the complete statement and related procedures are available from the Office of Equal Opportunity and Affirmative Action in 274 McNamara Alumni Center or at http://policy.umn.edu/hr/sexualharassment.
Sexual Assault Victim’s Rights Policy. Individuals may file a criminal charge with the University of Minnesota Police Department at 612-624-2677. For assistance in notifying the proper law enforcement and campus authorities, contact the Aurora Center 24 hours a day, 7 days a week at 612-626-9111. Also see http://aurora.umn.edu/. Individuals also have the right to assistance from the State of Minnesota Crime Victim’s Reparations Board and the Office of the Crime Victim Ombudsman. Upon receipt of a complaint, the University will investigate and respond to the complaint. Individuals may participate in University disciplinary proceedings concerning their sexual assault complaint. Individuals may also have a support person or their attorney present, if desired.

Individuals have the right to be notified of the outcome of any University disciplinary proceeding concerning their complaint, subject to the limitations of the Minnesota Government Data Practices Act. The University will follow the direction of law enforcement authorities in obtaining, securing and maintaining evidence relating to any sexual assault incident. University authorities will also assist in preserving materials which are relevant to a University disciplinary proceeding. If requested, the University will assist individuals, as is reasonable and feasible (in cooperation with law enforcement authorities), in shielding them from the alleged assailant. This may include providing alternative work, academic, or living arrangements if these options are available and feasible.

Grievance Policies/Procedures. Student grievances should be submitted to the Office for Conflict Resolution in 662 Heller Hall, 612-624-1030, http://ocr.umn.edu/. Such grievances might arise from teaching or research, from alleged unfairness within a program in the application of Graduate School regulations, or relative to the rights of students or faculty in the conduct of programs. Grievances arising directly from alleged violations of principles of academic-related issues by the Dean of the Graduate School, by staff officers, or by civil service employees of the Graduate School are presented directly to the University Grievance Officer.

Informal conflict resolution services are available for employment related conflicts of all kinds. For some issues (faculty tenure, etc.), referral to a different University office may be appropriate. Formal conflict resolution processes are governed by time limits. A University employee (including TA/RAs) must submit the issue to the OCR within 6 weeks of the occurrence or notice of action being challenged. For further information about this policy and resolution procedures, see http://ocr.umn.edu/.

International Travel Insurance. If traveling on University business (e.g., for conferences), students must always complete and turn in to the PhD Office the International travel insurance form & waiver available at: http://global.umn.edu/travel/insurance/outgoing.html#who_must_apply-tab.
10. Appendices

Appendix A. Department-Specific Requirements

Accounting Department Accounting PhD students can choose to work under one of two research paradigms: analytical or empirical. Each area requires the student to take a series of courses/seminars within and outside the department to fulfill coursework requirements and move to the preliminary exams. The coursework of each student is tailored to meet his/her needs or background.

1) Coursework Coursework is chosen in consultation with the student’s advisor and/or PhD Coordinator. The program requires students to have a minimum of 40 degree program credits to move to the prelim exams. In general, students are required to take:

- All accounting PhD seminars offered for a total of at least 24 credits.
- a minimum of 16 credits of supporting coursework (e.g., in economics, psychology, statistics, etc.)
- supplemental courses in fields related to the student’s research interests

2) 1st Year Exam This consists of a first-year paper requirement. This paper must be completed during the summer following the first year. A presentation of the completed research paper is required at the beginning of the fall semester of the student’s second year in the program.

3) Written Prelim The written prelim in accounting is typically taken during June after the end of the student’s second year in the program. The questions may include problem solving, design of experiments, research design for empirical tests, and methodology-related issues

4) Research Paper A major research paper is to be completed by the end of summer after the second year in the program. The paper will be evaluated by two faculty readers and must be presented at a workshop attended by Accounting faculty and students during fall semester of the student’s 3rd year in the program.

5) Oral Prelim In accounting, the oral exam may be based on the student’s planned dissertation topic or an extended/revised version of the 2nd-year paper. The prelim should be completed by the end of the third year.

6) Proposal Defense Must be completed at the latest two semesters before the student’s planned graduation date.

7) Other None

Finance Department At Carlson School, finance is viewed as a field of applied economics. The program requires students to have a strong background in and show mastery of, economic theory and empirical methods.

1) Coursework. Students are required to complete all finance PhD seminars offered plus an additional 8 credits of required ECON coursework: either the Econ 8001-04 sequence or the Econ 8101-04 sequence for a total of at least 24 major field credits. Students must also complete a minimum of 16 additional credits of supporting field coursework in areas such as economics, statistics, and accounting, for a total of at least 40 credits of degree program coursework to progress to the prelim exams.

2) 1st Year Exam First year students will be tested on two intro and two intermediate courses that have been taken during their first year. Students must take and pass this exam in the summer between their 1st and 2nd years in the program. A retake of this exam may be permitted, pending department approval. Those who retake the exam must pass it before the end of their 2nd year in the program. Failing this exam twice will result in the student’s removal from the program.

3) Research Papers Students are expected to work on research during the summer. Their 1st summer paper is due by Sept 15th of the 2nd year. The goal of the 1st summer paper is to get the students started on independent research. The topic and the scope of the paper must be approved by the PhD coordinator in consultation with the student’s advisor. The requirements for the 2nd summer paper are more stringent. It should be original research. The 1st draft of the paper is due on Sept. 15 of the 3rd year. To satisfactorily meet the requirement, the paper has to be approved by 2 readers and the presentation has to be deemed satisfactory by the department’s faculty. Students are expected to incorporate feedback and submit the final draft by Dec 15th of the 3rd year. After the final draft is turned in, students can progress to the oral exam, which is based on this research paper.

4) Second Year Written Prelim Second year students will be tested on the two intermediate courses taught in their second year. Students will take the written exam in early summer after completion of the second year.
Though subject to change, the exam is usually given over a series of days during a 2-week time period in June.

5) Oral Prelim The oral exam is often based on the summer research paper that students complete by the beginning of their 3rd year in the program, though this format is not mandatory. The exam will normally occur during spring semester of the student’s third year.

6) Proposal Defense Should be completed in spring semester of the fourth year.

7) Other In the third and the fourth years, students will independently teach at least three credits per year. The timing of the courses can be adjusted depending on departmental need.

Information and Decision Sciences Department

The IDS program is designed to produce world-class scholars with capabilities in research, teaching and service. Students are expected to develop skills in recognizing and conceptualizing critical research questions and problems that need to be addressed in one or more areas that make up IDS. Students must also master one or more methodologies for conducting empirical or theoretical inquiry. These methodologies must be both grounded in basic academic disciplines (e.g., psychology, economics, computer science), and potentially fruitful for the study of how individuals and organizations use information and make decisions with the aid of technology.

1) Coursework. Students must take a minimum of 40 semester credits of coursework. Required major field coursework includes all offered IDS PhD seminars (IDS 8511, 8521, 8531, 8541, 8721, and 8801) in addition to APEC 8211 and 8212 for a total of 24 major field credits. At least 16 credits of supporting/methodology coursework is required. These credits must be 5000-level or above and can include such courses as regression, experimental design, multivariate statistics, econometrics, microeconomics, game theory, data mining, or business intelligence. Students who lack in technical and business knowledge of IDS will need to take MBA courses to make up any deficiencies.

2) 1st Year Exam The first-year exam consists of students reviewing a selected set of papers, with consideration given to students’ respective areas of interest. Students are asked to define their interest area (e.g., organizational, computer science, economics, or behavioral decision theory). IDS faculty choose papers to be critiqued from published and unpublished papers of varying quality. Four articles are assigned to each student usually in early May with the reviews being due in late May. After faculty examine the reviews, an oral exam takes place to provide faculty with additional input to more fully evaluate areas of weakness that may have been identified in the written reviews. Immediately after the oral exam students are given oral feedback on their performance on the exam as well as on coursework and their TA/RA assignments. Students not performing up to standards will be encouraged to address their deficiencies or withdraw from the program.

3) Second-Year Original Research Paper After the first year exam, students are expected to work towards a second-year original research paper under the supervision of a second-year paper committee. The committee will be created by the end of first year summer, consisting of the PhD coordinator and two other IDS tenure track faculty members. A second-year paper proposal needs to be submitted by the beginning of September of the student’s second year in the program. By the beginning of December, students should turn in a work-in-progress paper for the first mid-term review. By the beginning of March, students should turn in the first draft of their second-year paper for the second mid-term review. By the beginning of May, students should turn in the final draft of the second-year paper. The second-year paper should be independent work, and students need to be the principal writer of the paper. At the beginning of July, students will make a half-hour presentation of the second-year paper to the full IDS faculty.

4) Comprehensive Exam (written prelim). Both the second-year paper and the comprehensive exam are part of the written preliminary exam. The comprehensive exam is an in-house exam based on core materials discussed in the required IDS seminars (IDS 8521, 8531, 8541, and 8721). The in-house exam is open book/note, conducted in mid-June for a period of two days, with three hours allocated to each subject. The comprehensive exam will be evaluated by the full IDS tenure track faculty.

5) Oral Prelim Students must schedule an oral exam before the end of the semester following completion of the written prelim exam (usually the fall semester of their third year). Format varies based on committee makeup.

6) Proposal Defense Students must develop a written dissertation proposal describing their research problem and method of addressing that problem. The proposal must be defended before the dissertation committee, generally during the fourth year.

7) Other All students are required to attend the IDS Friday workshops and PhD brownbag seminars. First and
second-year students are required to discuss and obtain approval for their courses with the PhD coordinator. Third-year and above students also need approval of the PhD coordinator for taking non-thesis credits. Students should TA at least one MBA course to help develop their teaching skills and also help prepare and deliver at least one class session under the tutelage of the faculty instructor. Two course instructor experiences are expected, usually during the 3rd & 4th years. Prior to interviewing for a faculty position, each student should have a defended proposal and presented their thesis work at an IDS workshop where they can obtain constructive feedback.

Marketing Department  The nationally renowned marketing faculty represent a diverse set of research interests ranging from consumer behavior to marketing strategy. Students develop individualized programs of study in close consultation with a faculty mentor or PhD Coordinator. The program is structured flexibly, providing students with a common orientation to marketing methods and issues, but also affording opportunities for specialized study in either a behavioral (psych/soc/anthro) or quantitative (econ/stats) track.

1) Coursework  Students must complete all marketing PhD seminars in their chosen track of specialization (behavioral or quantitative) as well as at least 6 seminar credits of their choice from the other track (quant or behavioral) in marketing for a total of at least 24 credits. They should also complete at least 16 credits of supporting field/minor coursework, which should include 12 credits in methods courses (which can overlap with the 16 required supporting field courses). Minimum number of degree credits required is 40, covering the major area, methods and supporting/minor areas.

2) 1st Year Evaluation  Rather than require a first-year examination, the Marketing Department now does a more comprehensive progress review/evaluation of its doctoral students at the end of the first year.

3) Written Prelim  After their second year in the program, students take a written area of concentration exam, which assesses their breadth of knowledge in the area in which they intend to specialize.

4) Research Paper  At the end of students’ second year and after they have completed the written prelim (described above), students prepare a paper and deliver a presentation of original research they have conducted.

5) Oral Prelim  The oral exam usually occurs within one semester of passing the written exam. It is usually based on a presentation of the 2nd-year research paper.

6) Proposal Defense  This should occur no later than two semesters before the student plans to graduate or go to placement.

7) Other  None.

Strategic Management and Entrepreneurship Department  SME focuses on the management of organizations from a top or general management perspective. It addresses both the external relations between the organization and its environment and the internal processes of organization adaptation and change. Students develop an individual program of study in consultation with their faculty advisor. The program combines coursework with active involvement in faculty research, research seminars, and opportunities for teaching.

1) Coursework  Students must take a minimum of five (20 credits) semester-long SME PhD seminars (Mgmt 8101, 8302, 8401, 8402 and either Mgmt 8202 or 8501), which includes at least one organization studies core seminar, one strategy core seminar, and one seminar in ethics, international management, or entrepreneurship. In addition, students must take all seminars in their major area of concentration (e.g., org studies, strategy, etc.). Alternatively, students may choose to combine two areas as their major area of concentration (e.g., org studies, strategy, etc.). Students should also complete Grad 8101 and APEC 8211. As part of the supporting field requirements, students must take a strong methods sequence, which can be tailored to individual needs. They are also strongly encouraged (but not required) to develop a good understanding of the fundamentals in a particular discipline (e.g., economics, sociology, etc.). All department PhD seminars and methods coursework must be taken A-F.

2) 1st Year Exam  At the end of their 1st year in the doctoral program, students must complete two requirements: an Article Review Exam and an Oral Article Presentation. In the Article Review Exam each student must prepare independently a short written critique of one published research paper from a field journal assigned to them. In the short Oral Article Presentation they are required to successfully defend their critique before a faculty panel.

3) The Second Year Paper  This is due after the second summer in the program and is an original research
requirement that involves an empirical written paper that demonstrates the student’s original research efforts. The purpose of the Second-Year Paper is to assess each student’s scholarly development and his/her ability to identify and investigate theoretically rich, important issues in a way that will significantly expand current knowledge. Guidelines for the second-year paper will be provided by the PhD coordinator.

4) Written Prelim During the summer after the students’ second-year in the program, they take an in-house, open-notes exam covering two and a half days. The first two days of the exam typically cover strategy, organization theory, and research methods; the last day typically covers either entrepreneurship or international business.

5) Oral Prelim The oral exam usually occurs during the student’s third year in the program, typically by the end of fall semester of the third year. The format will be a presentation of the Second-Year Paper to the oral prelim committee who will then evaluate the student’s work.

6) Proposal Defense Can occur within one semester of passing the oral prelim, but no later than two semesters before a student plans to graduate or leave for placement.

7) Final Dissertation Defense Preferably this will occur prior to the student leaving for placement.

8) Other Students are expected to get involved in research with department faculty as quickly as possible. Each year, students will be assigned as a faculty RA, but the PhD student should also seek out additional opportunities to engage in research with faculty. They are also expected to attend all department-organized research colloquia, job talks, and workshops. Students are required to serve as teaching assistants and are expected to teach at least one section of a course. They will meet with the PhD Coordinator in the fall and spring semesters of each year to discuss progress goals and receive feedback on performance. For more information students may refer to the SME PhD PhActs, an informal student-maintained handbook that offers an overview of the management field as well as descriptions of specific courses that might help students develop an individual course plan.

Supply Chain and Operations Department.

This program is structured to give students a strong methodological and theoretical foundation and an appreciation for the important research questions in SCO. Students graduating from this program will have a broad understanding of the field of operations management, and a deep understanding in their specific area of interest.

1) Coursework Students must take all seven SCO courses (21 credits including SCO 8651, 8652, 8711, 8721, 8735, 8745, and 8755) in addition to the 4-credit course Mgmt 8101. They will also complete at least 16 credits in minor/supporting field(s) coursework (frequently some Stats courses). The department also recommends that students take the Mgmt 8302 Org Theory course. Some students choose to obtain an MS in Statistics while working on their PhD coursework in SCO. Talk with the PhD Coordinator about this possibility.

2) Written Prelim For the written prelim an in-house portion is given based on topics covered in the required courses offered in the student’s first two years. There is also a take-home exam.

3) Research Paper Students are required to complete a 1st-year paper during the summer after their first year, as well as produce a publishable-quality paper, under faculty supervision prior to moving to the oral prelim exam in their third year in the program.

4) Oral Prelim Students typically will complete their oral prelim by the end of fall semester of their third year in the program. Format of this exam will vary depending on the committee chair and advisor.

5) Proposal Defense Students are expected to defend their dissertation proposal no later than the end of their fourth year in the program.

6) Other None.

Work and Organizations Department

WOrg research seeks to understand all aspects of work, the employment relationship, managing and leading people and organizations, the behavior of individuals, groups, and organizations, and work-related institutions and public policies. Students will focus on individuals, teams, and/or organizations, with supporting fields including organizational behavior, human resource management, organizational economics, industrial/organizational psychology, labor relations, and related areas. Students gain a rigorous, multidisciplinary understanding of research questions, theories, empirical methodologies, and analytic approaches across the breadth of the concentration, while pursuing in-depth and focused research within particular domains based on faculty expertise and student interest. The program provides rich opportunities for research collaboration.
along with the ability to develop a teaching portfolio in support of rewarding academic careers.

1) Coursework  Students follow a pre-set program integrating WORG specialty seminars, methods, and outside theory and methods course. They must complete all department PhD seminars totaling at least 24 credits, as well as methods coursework totaling at least 16 credits. All coursework must be taken A-F. Outside theory and methods courses should be developed in consultation with the student's advisor. An outline of the courses offered can be found on the department’s web page.

2) Written Prelim  The written prelim exam occurs in June after the students’ second-year in the program. The first day is closed book, no notes and in house. Students will answer an integrative question, two questions from their MINOR areas, and research methods. On days 2 and 3, students complete a take-home exam in their major area and research methods.

3) Third-Year Paper/Oral Prelim Exam  WOrg students must present a paper which will serve as their oral prelim exam in the third year. Students will write and present a paper that entails developing and presenting either 1) a research paper the student has taken an authorship role in developing, or 2) a formal proposal for a future study. The paper to be evaluated should be consistent with the quality standards for journal submission for the field, though is option 2, actual data and results can be replaced by a detailed description of the planned data collection and estimation methods.

With the agreement of their committee, the student may collaborate with others in the creation of the paper, but the student being examined must have the primary design and authorship role in the project.

The presentation of the paper will demonstrate that the student is prepared to independently pursue his or her dissertation. It is the student’s responsibility to manage this process, with faculty acting to develop clear expectations for the work to be completed, timelines for completion, and advice on the paper as it progresses.

Early in the student’s third year, the student and advisor should come to an agreement on the parameters of the paper required for qualifying for advancement. The student and advisor must also communicate the form and expectations for the paper in advance, so that the committee can provide input and consistently evaluate the final product.

4) Proposal Defense  This may occur within one semester of passing the oral prelim, but no later than two semesters before a student plans to graduate or leave for placement. Most students do their proposals in the spring of year 4 or fall of year 5.

5) Other  Students are expected to get involved in research with department faculty as quickly as possible. They are also expected to attend all department-organized research colloquia, job talks, and workshops. Students are required to serve as teaching assistants and are expected to teach at least one section of a course. They will meet with the PhD Coordinator in the fall and spring semesters of each year to discuss progress goals and receive feedback on performance.
Appendix B. Guidelines for PhD Student Appointments & Activities  
(Revised 07/31/15)

This document provides information regarding the allocation of student effort during time in the PhD Program. The document is divided into two sections. The first section is divided into three parts: 1) a brief overview; 2) basic principles for TA, RA and teaching appointments; and 3) specific activities and registration requirements for students to complete each year. This section applies to all departments comprising the PhD Program in Business Administration. The second section contains addendums that are specific to each department.

I. Overview

Our assumption is that students who are teaching will have mentoring/teaching support to help them prepare for and manage teaching duties. In the case of RA assignments, we assume that students will be working with faculty on research projects to learn the skills they need to become good academicians. In general, students are not to be compensated for work above and beyond the activities that are part of their assigned teaching and research duties at CSOM.

II. Basic Principles of Funding and Appointments

1) PhD students will complete up to 10 semesters as 25%-time teaching assistants (~ 16 credits per year; 10 hours per week) during their time in the program (typically 5 years).
   a. Students may reduce their TA assignments if: (1) they are funded by external research grants; (2) they are funded by another school/government; or (3) they graduate from the program in less than five years. In the latter case, the expectation for TA work will be in proportion to the time they have been in the program.
   b. Individual departments, through policy or practice, can also reduce the load below this expectation for their students.
   c. Our understanding of a TA appointment is that students will be holding office hours, grading papers, and carrying out other responsibilities as assigned by the instructor up to the number of hours in the appointment, etc.

2) All students will complete up to five years (10 semesters) of 25%-time RA work as part of their training in the skills of research. Those funded from outside sources, such as research grants that support the development of research skills, may count this towards their 10 semesters of skill development work. If the student graduates in less than five years, the expectation is in proportion to their time in the program.

3) As part of their development of teaching skills, students will complete up to two semesters of classroom teaching regardless of their source of funding (e.g., research grants, international government, etc.).
   a. This classroom teaching generally presumes that students will have served at least once as a TA for each class they will be teaching.
   b. To document their teaching skills, students should develop a teaching portfolio that includes: (1) their SRT scores and syllabi from each course they have taught, (2) a teaching philosophy statement, and (3) any other materials they have developed during their teaching experiences. The University’s Center for Educational Innovation (CEI) has excellent information in this area (see their website at cei.umn.edu).
   c. Generally, if a student is asked to teach a class with an enrollment of more than 60 students, they should be given a higher percentage appointment, e.g., 33% or 38% rather than 25% time.
III. PhD Student Degree Completion Activities (Revised 7/31/15)

Students have up to five years of funding to complete their PhD degree per the Basic Principles described on the previous page. Students who complete the program in less than five years will modify these steps as appropriate. The following “steps to degree” are grounded in Graduate School procedures and are used to evaluate student progress each year. The registration requirements mandated by these “steps to the degree” are as follows: (1) completion of at least 40 semester credits of coursework, which includes (2) all required major field seminars, and (3) at least 16 credits of minor or supporting field/methodology coursework, of which no more than 8 of these credits can be from a CSOM department other than the student’s area of concentration.

Timeline for Steps to the PhD Degree:

1) **Year 1: Coursework**
   a. Develop (in consultation with faculty advisor) a program of coursework (PhD seminars and methods/supporting field courses); this program is to be submitted to the PhD Office by end of 2nd year.
   b. Enroll in program coursework (required major field PhD seminars and minor or supporting fields/methods coursework).
   c. Maintain a 3.3 cumulative GPA.
   d. Complete annual student evaluation form (spring).
   e. Prepare for summer research fellowship project/first-year paper with faculty mentor.
   f. Complete end-of-first-year examinations, as required by department.

2) **Year 2: Coursework and Written Prelim Exam**
   a. Complete approved degree program coursework in order to proceed to written exam (40 credits minimum by end of 2nd year including major field PhD seminars and minor or supporting fields/methods courses).
   b. Maintain a cumulative 3.3 GPA.
   c. Complete written/oral presentation of accomplishments from summer research fellowship as required.
   d. File Written Prelim Signup Form and Graduate School Degree Program Form with the PhD Office, listing program coursework and prelim committee (spring semester).
   e. Complete annual student evaluation form (spring).
   f. Prepare for summer research fellowship project with faculty mentor.
   g. Take written preliminary exam before end of summer. Results of exam to be available to student within 1 month after completing all exam requirements.

3) **Year 3: Oral Exam and Initiation of Dissertation Research**
   a. Retake written exam if failed and a retake is recommended by department.
   b. Register for at least 6 credits of BA 8666 pre-thesis credits each semester beginning in the 3rd year until oral prelim exam is passed.
   c. Complete written or oral presentation of accomplishments from summer research fellowship as required.
   d. Assign oral prelim committee online, then schedule and complete oral prelim exam.
   e. Once oral exam has been passed, begin registering for 12 BA 8888 thesis credits per semester until 24 have been completed.
   f. Begin work on dissertation research with faculty mentor.
   g. Complete annual student evaluation form (spring).
   h. Prepare for summer research fellowship project with faculty mentor.
   i. Present approved research paper to department faculty before end of summer of the 3rd year.
4) Year 4: Dissertation Research
   a. Complete BA 8888 thesis credit requirement (24 credits). Once all 24 credits have been completed, register for one (1) BA 8444 FTE thesis credit per semester until degree is completed.
   b. Complete written/oral presentation of accomplishments from summer research fellowship as required.
   c. Complete proposal defense as required by department (form available in PhD Office).
   d. Continue in-depth work on dissertation research
   e. Complete annual student evaluation form (spring).
   f. Prepare for summer research fellowship project with faculty mentor.

5) Year 5: Complete Dissertation/Final Defense/Placement Activities
   a. Register for 1 BA 8444 FTE thesis credit.
   b. Complete written/oral presentation of accomplishments from summer research fellowship as required.
   c. Schedule placement interviews.
   d. Complete dissertation work and thesis documents.
   e. Complete annual student evaluation form (spring).
   f. Assign final oral exam committee online; then schedule and complete final dissertation defense.
   g. Submit degree paperwork to Graduate School per instructions.
Accounting students choose to work under one of two research paradigms: analytical and empirical. Students must complete a minimum of 40 credits, including 12 credits of accounting seminars, to move to prelim stage.

**Yr 1:**
- a) Complete coursework requirements in consultation with PhD coordinator/advisor.
- b) Complete TA/RA assignments
- c) Complete first-year paper requirement. The paper will be evaluated by one faculty reader and must be presented at a workshop attended by Accounting faculty and students before the end of fall semester of the 2nd year.

**Yr 2:**
- a) Present first-year paper to faculty.
- b) Complete coursework requirements in consultation with PhD coordinator/advisor.
- c) Complete TA/RA assignments
- d) Sign up for and complete written exam by the end of June after the second year in program. This exam may be in-house or take-home and occurs over 1 week.

**Yr 3:**
- a) Complete TA/RA or teaching assignments
- b) Turn in major, single-authored research paper due in fall semester of third year. The paper will be evaluated by two faculty readers and must be presented at a workshop attended by Accounting faculty and students before the end of fall semester.

**Yr 3-4:**
- a) Complete oral prelim exam.

**Yr 4:**
- a) Complete RA and teaching assignments

**Yr 4-5:**
- a) Complete proposal defense

**Yr 5:**
- a) Complete RA assignment
- b) Complete dissertation research
- c) Complete final defense
ADDENDUM for DEPARTMENT OF FINANCE  
(Revised 4/07/14)

Finance is viewed as a field of applied economics. Student achieves a strong foundation in economic theory and empirical methods while taking finance seminars and supporting/methods coursework. Students must complete a minimum of 40 credits to move to prelim stage.

Yr 1:  
a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
b) Complete TA/RA assignments.  
c) Students who take Econ 8001-04 (due to lack of mathematical background) and students obtaining less than a 3.3 (B+) GPA in the Econ 8101-04 sequence must pass the microeconomics written prelim exam at the minor level during the summer after the 1st year in the program. One retake of this exam may be allowed (failure of the exam twice will result in removal from the program).  
d) Complete first-year exam.  
e) Complete first-year paper.

Yr 2:  
a) Draft of first summer paper is due by September 15 of second year in program (topic must be approved by coordinator and advisor). Summer paper must be presented to the finance faculty in the fall semester of the second year. Given that an ability to communicate ideas is critical for success in our profession, the finance department requires the students to exhibit adequate proficiency in this area.  
b) Complete coursework requirements in consultation with PhD coordinator/advisor.  
c) Complete TA/RA assignments.  
d) Signup for and complete written exam during early summer after 2nd year in program. This exam is in-house and occurs over a 2 week period.  
e) Draft second-summer original research paper.

Yr 3:  
a) First draft of second summer paper (original research) is due by September 15 of third year in the program. After presentation to faculty, a revised draft based on feedback received, must be turned in by December 15 of the fall semester of third year. At this stage we require students to exhibit a high degree of proficiency in communicating their research, both orally and in writing.  
b) Complete TA/RA or teaching assignments.  
c) Complete oral exam, which may be based on the second-summer research paper, during spring semester.

Yr 4:  
a) Complete RA and teaching assignments.  
b) Complete proposal defense by the spring semester of 4th year.

Yr 5:  
a) Complete RA assignment.  
b) Complete dissertation research.  
c) Complete final defense.
IDSc students are expected to develop skills in recognizing and conceptualizing critical research questions in the areas that make up IDSc. Students master one or more methodologies for conducting empirical or theoretical research. They take IDSc seminars and supporting field/methods coursework from outside disciplines (psychology, computer science, and economics). A total of at least 40 credits of coursework must be completed before a student moves to prelim stage. Students must also attend the weekly IDSc workshops.

Yr 1:  
a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
b) Complete TA/RA assignments as determined by department  
c) Complete 1st-year exam, both written and oral

Yr 2:  
a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
b) Complete TA/RA assignments as determined by department  
c) Recommend that by end of 2nd year the student should have produced a publishable quality paper that may be co-authored with faculty and submitted to a journal or conference (may also be presented at department workshop)  
d) Sign up for and complete written exam during summer after 2nd year in program. This exam is in two parts: 1) an in-house exam based on the required IDSc seminars; and 2) a research portfolio.

Yr 3:  
a) Complete TA/RA or teaching assignments as determined by department  
b) Complete oral exam by end of fall semester of third year

Yr 3-4:  
a) Complete proposal defense

Yr 4:  
a) Complete RA and teaching assignments as determined by department

Yr 5:  
a) Complete RA assignment as determined by department  
b) Complete dissertation research  
c) Complete final defense
ADDENDUM for DEPARTMENT OF MARKETING
(Revised 08/02/13)

Marketing students develop individualized programs of study in close consultation with a faculty mentor/PhD coordinator. A flexible program provides students an orientation to marketing methods and issues as well as specialized study in either behavioral or quantitative areas. Students must complete department seminars along with coursework taken in supporting field/methods courses outside the area (psychology, economics, etc.). Students must complete a minimum of 40 credits to move to prelim stage.

Yr 1:  
   a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
   b) Complete TA/RA assignments

Yr 2:  
   a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
   b) Complete TA/RA assignments  
   c) Sign up for and complete written preliminary exam during summer after 2nd year in program. There are two versions of the exam, one for students focusing on the consumer behavior area and one for students focusing on the quantitative/strategy area.  
   d) Complete second-year paper which will be presented as part of oral prelim exam in third year.

Yr 3:  
   a) Complete RA and TA/teaching assignments  
   b) Complete oral prelim exam by end of fall semester of third year. This exam requires students to present an original research paper (2nd-year paper) and field questions about the research with their oral prelim committee.

Yr 4:  
   a) Complete RA and TA/teaching assignments

Yr 4-5 a) Complete dissertation proposal defense

Yr 5:  
   a) Complete RA and TA/teaching assignment  
   b) Complete dissertation research  
   c) Complete final dissertation defense
ADDENDUM for DEPARTMENT OF SUPPLY CHAIN & OPERATIONS  
(Revised 04/07/12)

The program is structured to give SCO students a strong methodological and theoretical foundation and an appreciation for important research questions in SCO. Students take a set of seminars offered within the department as well as outside supporting/methods coursework. They must complete a minimum of 40 credits to move to prelim stage.

Yr 1: a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
   b) Complete TA/RA assignments  
   c) Complete first-year paper requirement during summer

Yr 2: a) Complete coursework requirements in consultation with PhD coordinator/advisor.  
   b) Complete TA/RA assignments  
   d) Sign up for and complete written exam during summer after 2nd year in program. This exam is in two parts: 1) an in-house exam based on topics covered in seminar coursework; and 2) a take-home exam.

Yr 3: a) Complete TA/RA or teaching assignments  
   b) Complete oral prelim exam by end of the third year.  
   c) Complete publishable-quality research paper prior to proposal defense.

Yr 3-4 a) Complete proposal defense before end of 4th year at latest.

Yr 4: a) Complete RA and teaching assignments

Yr 5: a) Complete RA assignment  
   b) Complete dissertation research  
   c) Complete final defense
ADDENDUM for DEPARTMENT OF STRATEGIC MANAGEMENT & ENTRPRENEURSHIP
(Revised 04/17/14)

The SME program combines coursework with active involvement in faculty research, research seminars, and opportunities for teaching. Students take a set of seminars offered within the department (strategy, IB, entrepreneurship, etc.), as well as outside supporting/methods coursework. Students must complete a minimum of 40 credits to move to prelim stage. It is expected that students will teach at least 6 credits by the end of their 4\textsuperscript{th} year in the program.

Yr 1:  
\begin{itemize}
  \item a) Complete coursework requirements in consultation with PhD coordinator/advisor.
  \item b) Complete TA/RA assignments
  \item c) Complete 1st-year journal article review paper and presentation as per instructions from PhD coordinator.
\end{itemize}

Yr 2:  
\begin{itemize}
  \item a) Complete coursework requirements in consultation with PhD coordinator/advisor.
  \item b) Complete TA/RA assignments
  \item c) Sign up for and complete written exam during summer after 2\textsuperscript{nd} year in program. This exam is in-house, open-note exam completed over two days. It covers major areas in the program, individual student’s major area of concentration, and may include methodology questions.
  \item d) Complete second-year paper requirement.
\end{itemize}

Yr 3:  
\begin{itemize}
  \item a) Complete TA/RA or teaching assignments (students are required to teach at least one course over the semester during their program)
  \item b) Complete oral prelim exam, typically by end of fall semester of third year (consists of presentation of second-year paper).
\end{itemize}

Yr 4  
\begin{itemize}
  \item a) Complete TA/RA or teaching assignments
  \item b) Complete proposal defense
\end{itemize}

Yr 5:  
\begin{itemize}
  \item a) Complete RA assignment (or teaching assignment if not completed)
  \item b) Complete dissertation research
  \item c) Complete final defense
ADDENDUM for DEPARTMENT OF WORK AND ORGANIZATIONS
(Revised 04/07/14)

The WOrg program combines coursework with active involvement in faculty research, research seminars, and opportunities for teaching. Students take a set of seminars offered within the department (strategy, IB, entrepreneurship, etc.), as well as outside supporting/methods coursework. Students must complete a minimum of 40 credits to move to prelim stage. It is expected that students will teach at least 6 credits by the end of their 4th year in the program.

Yr 1:  a) Complete coursework requirements in consultation with PhD coordinator/advisor.
     b) Complete TA/RA assignments
     c) Develop research agenda with advisor/RA assignment—clearly outlining steps to be taken in summer.

Yr 2:  a) Complete coursework requirements in consultation with PhD coordinator/advisor.
     b) Complete TA/RA assignments
     c) Sign up for and complete written exam during summer after 2nd year in program. This exam are an in-house, and an open-note exam completed over three days. It covers major areas in the program, individual student’s major area of concentration, and may include methodology questions. It is taken in June.
     d) Complete second-year paper requirement in alignment with your advisor.

Yr 3:  a) Complete RA and teaching assignments (students are required to complete two semesters of classroom teaching over their degree program)
     b) Complete oral prelim exam, typically by end of fall semester of third year (consists of presentation of second-year paper).

Yr 4  a) Complete TA/RA or teaching assignments
     b) Complete proposal defense

Yr 5:  a) Complete RA assignment (or teaching assignment if not completed)
     b) Complete dissertation research
     c) Complete final defense
Appendix C. Student Conduct Code

University of Minnesota Board of Regents

STUDENT CONDUCT CODE

Subd. 1. Policy Statement. It is the policy of the University of Minnesota (University) that certain minimum standards of conduct are necessary to safeguard the rights, opportunities, and welfare of students, faculty, staff, and guests of the University community and to assure protection of the interests of the University as it seeks to carry out its mission.

The University requires a community free from violence, threats, and intimidation; protective of free inquiry; respectful of the rights of others; open to change; supportive of democratic and lawful procedures; and dedicated to a rational and orderly approach to the resolution of conflict.

Subd. 2. Delegation of Authority. The president or delegate shall promulgate these standards of conduct on all campuses with appropriate explanation, including publication and distribution of the Student Conduct Code (Code), procedures, and standards governing student conduct at the University.

Subd. 3. Application. This policy applies to all students and student organizations of the University.

SECTION I. INTERESTS OF THE UNIVERSITY RELEVANT TO A CODE.

Over a period of years, University adjudicative bodies have decided questions of jurisdiction by identifying University interests. The interests listed below provide a substantial foundation for the building of a code.

(1) The University has a primary concern with matters that impinge upon academic achievement and integrity.

(2) The University has a fundamental concern with conduct that breaches the peace, causes disorder, and substantially interferes with the rights of others.

(3) The University has a fundamental concern with behavior that threatens or actions that imperil the physical and mental health and safety of members of the University community.

(4) The University has an obligation to protect its property and the property of members of its community from theft, damage, destruction, or misuse.

(5) The University has a commitment to enforce its contractual agreements.

(6) The University has an obligation to support and be guided by applicable state and federal laws.
(7) The University has a concern about behavior repugnant to or inconsistent with an educational climate.

SECTION II. THE RESPONSIBILITIES OF DUAL MEMBERSHIP.

Students are both members of the University community and citizens of the state. As citizens, students are responsible to the community of which they are a part, and the University neither substitutes for nor interferes with regular legal processes. Students are also responsible for offenses against that academic community. Therefore, an action involving the student in a legal proceeding in a civil or criminal court does not necessarily free the student of responsibility for this conduct in a University proceeding. When a student is charged in both jurisdictions, the University will decide on the basis of its interest and the interest of the student whether or not to proceed with its internal review simultaneously or to defer action.

SECTION III. DISCIPLINARY OFFENSES.

Listed below are the disciplinary offenses actionable by the University.

(1) **Scholastic Dishonesty.** Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; or altering, forging, or misusing a University academic record; or fabricating or falsifying of data, research procedures, or data analysis.

(2) **Disruptive Classroom Conduct.** Disruptive classroom conduct means engaging in behavior that substantially or repeatedly interrupts either the instructor's ability to teach or student learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities.

(3) **Falsification.** Falsification means willfully providing University offices or officials with false, misleading, or incomplete information; forging or altering without proper authorization official University records or documents or conspiring with or inducing others to forge or alter without proper authorization University records or documents; misusing, altering, forging, falsifying, or transferring to another person University-issued identification; or intentionally making a false report of a bomb, fire, natural disaster, or other emergency to a University official or an emergency service agency.

(4) **Refusal to Identify and Comply.** Refusal to identify and comply means willfully refusing to or falsely identifying one's self or willfully failing to comply with proper order or summons when requested by an authorized University official.

(5) **Attempts to Injure or Defraud.** Attempts to injure or defraud means making, forging, printing, reproducing, copying, or altering any record, document, writing, or identification used or maintained by the University when done with intent to injure, defraud, or misinform.
(6) **Threatening, Harassing, or Assultive Conduct on Campus.** Threatening, harassing, or assultive conduct on campus means engaging in conduct on campus that endangers or threatens to endanger the health, safety, or welfare of another person, including, but not limited to, threatening, harassing, or assultive behavior.

(7) **Disorderly Conduct on Campus.** Disorderly conduct on campus means engaging in conduct on campus that incites or threatens to incite an assault or breach of the peace; breaching the peace; obstructing or disrupting teaching, research, administrative, and public service functions; or obstructing or disrupting disciplinary procedures or authorized University activities.

(8) **Possession or Use of Weapons on Campus.** Possession or use of weapons on campus means possessing or using on campus weapons or articles or substances usable as weapons, including, but not limited to, firearms, incendiary devices, explosives, and dangerous biological or chemical agents, except in those instances when expressly authorized by an appropriate University authority for activities properly requiring the use or possession of the item.

(9) **Unauthorized Possession or Use of Drugs or Alcohol on Campus.** Unauthorized possession or use of drugs or alcohol on campus means possessing or using drugs or alcohol without authorization.

(10) **Unauthorized Use of University Facilities and Services.** Unauthorized use of University facilities and services means wrongfully using University properties or facilities; misusing, altering, or damaging fire-fighting equipment, safety devices, or other emergency equipment or interfering with the performance of those specifically charged to carry out emergency services; or acting to obtain fraudulently through deceit, unauthorized procedures, bad checks, or misrepresentation of goods, quarters, services, or funds from University departments or student organizations or individuals acting in their behalf.

(11) **Theft, Property Damage, and Vandalism.** Theft, property damage, and vandalism include theft or embezzlement of, damage to, destruction of, unauthorized possession of, or wrongful sale or gift of property belonging to the University, a member of the University community, or a campus guest.

(12) **Unauthorized Access.** Unauthorized access means accessing without authorization University property, facilities, or services, or obtaining or providing to another person the means of such unauthorized access, including, but not limited to, using or providing without authorization keys, access cards, or access codes.

(13) **Disruptive Behavior.** Disruptive behavior means willfully disrupting University events; participating in a campus demonstration that disrupts the normal operations of the University and infringes on the rights of other individuals; leading or inciting others to disrupt scheduled or normal activities of the University; engaging in intentional obstruction that interferes with freedom of movement, either pedestrian or vehicular, on campus; using sound amplification equipment on campus without authorization; or making or causing noise, regardless of the means, that disturbs authorized University activities or functions.
(14) **Violation of University Rules.** Violation of University rules means engaging in conduct that violates University, collegiate, or departmental regulations that have been posted or publicized, including provisions contained in University contracts with students.

(15) **Violation of Federal or State Laws on Campus.** Violation of federal or state laws on campus means engaging in conduct on campus that violates a federal or state law, including, but not limited to, laws governing alcoholic beverages, drugs, gambling, sex offenses, indecent conduct, or arson.

(16) **Persistent Violations.** Persistent violations means engaging in repeated conduct or action in violation of this Code.

**SECTION IV. PROCEDURES AND SANCTIONS.**

Listed below are the sanctions available if any student or student organization is found guilty or pleads guilty to an offense under this Code.

(1) **Warning and Admonition.** A warning or admonition means the issuance of an oral or written warning, admonition, or reprimand.

(2) **Required Compliance.** Required compliance means satisfying a bona fide University requirement as a condition for admission or continued membership in the University; restriction of privileges; restitution; removal from quarters; or withholding of diploma and degree for a specified period of time.

(3) **Confiscation.** Confiscation means confiscation of goods used or possessed in violation of University regulations or confiscation of falsified identification or identification wrongly used.

(4) **Probation.** Probation means special status with conditions imposed for a limited time after determination of misconduct.

(5) **Suspension or Expulsion.** Suspension or expulsion means termination of status in a given course for not more than one calendar year, termination of student status for not more than one calendar year, or indefinite termination of student status.

(6) **Interim Suspension.** Pending a hearing before the appropriate disciplinary committee, the president or delegate may impose immediate suspension with resultant loss of all student rights and privileges after evaluating the evidence received the identification of parties, and the safety and well-being of students, faculty, staff, campus guests, and University property. Immediate suspension is reserved for those cases in which: (a) there is an indication that a student's misconduct will be repeated or continued ‗r (b) where the president or delegate believes immediate suspension is necessary to permit the University to carry on its functions. The student has a right to a prompt hearing before the president or delegate on the limited questions of identification and whether the interim suspension should remain in effect until the full hearing is completed.

**SECTION V. APPEALS OF STUDENT DISCIPLINE.**
Any student or student organization charged with violation of a University rule or standard must have the opportunity to receive a fundamentally fair hearing and access to at least one campus-wide appeal. In order to safeguard the rights of students and student organizations, the president or delegate shall ensure that each campus has an appeals procedure to govern alleged violations of this policy. The appeals procedure shall reflect the University's concern for both substantive and procedural fairness for the accused student or student organization, including the right of all parties to resolution of a case within a reasonable period of time.

The procedure must specifically include sections stating:

(1) grounds for an appeal;

(2) procedures for filing an appeal; and

(3) the nature of an appellate review.

**Supersedes:** Existing disciplinary appeals policies in contradiction and specifically repeals the appeals policies dated February 9, 1979.
Appendix D. PhD Student RATS Policy

PhD STUDENT RESEARCH AND TEACHING
SUPPLEMENT (RATS) POLICIES
(Revised October 2012)

Effective July 1, 2007, all internally and externally funded PhD students in good standing, through year 5 in the program, will receive an annual Research and Teaching Supplement (RATS) allocation. Beginning with their first year in the program, all students will receive a $1,200 annual RATS allocation. When students reach written prelim exam stage (typically at the end of their 2nd year in the program), students’ RATS allocations will increase to $1,500 per year through year 5 in the program. All expenditures from these accounts must conform to accepted University and Carlson School policies, which are summarized below. Students should carefully monitor their RATS expenditures each year and consider long-term RATS needs. Students frequently find that they have higher expenses as they enter their senior years in the program (for travel, technology, etc.)

1. HOW TO OBTAIN RATS DOLLARS

See your department administrator to be reimbursed for research/teaching expenses or to have photocopy charges billed directly to your RATS account. It is important that you keep itemized receipts of all expenditures for which you seek RATS reimbursement. Requests for reimbursement should be made as soon as possible after the expense is incurred. Requests for expenses more than 60 days old will not be honored. Any unusual requests (e.g., for items not on the list below) need to go to the department’s PhD coordinator or the PhD Program Director of Graduate Studies for approval.

2. APPROVED USES OF RATS MONEY

- Conference travel
- Payment of research subjects
- Backup drives/upgrades of office computers (more memory, hard drive, etc.). **
  The use of RATS dollars to purchase eReaders or iPads will typically not be approved, as the cost can quickly deplete a student’s RATS account, and such technology may too often be used more for personal rather than academic purposes.
- Software related to research needs that is not provided by CSOM or the PhD Program (e.g., SPSS and SAS). All software purchased with RATS money becomes the property of the University
- Long distance telephone calls and faxes, related to your research or placement activities (see dept. administrator for UPAC number)
- Photocopying (see your dept. administrator for the correct RATS account number to enter when doing photocopying in the department or at Wilson Library)
- Mass mailing supplies of research-related materials (letterhead, envelopes, stamps)
- Association membership dues
- Journal subscriptions (but not newspapers unless related to your research)
- Business cards
Fees for scoring computer answer sheets
Research-related books (we discourage using RATS to purchase books for coursework)
Special supplies (basic supplies, e.g., pens, pencils, plain paper, letterhead, paper clips, are normally supplied to you free of charge by the department)

3. CAVEATS

You may use RATS money for computer software, but not computer hardware (except as indicated on the prior page and as approved by the PhD coordinator). Keep in mind that if you use your RATS money to pay for all or part of any computer, such technology belongs to the University. The same policy applies to laptops or other devices, such as eReaders or iPads, which will rarely be approved for purchase with RATS dollars. Remember that laptops are available to check out from the PhD Office or the OIT Help Desk.

For travel reimbursement you will need to pay the ticket cost “out of pocket” and then be reimbursed for expenses from your account. Check with your department administrator about how to access an expense reimbursement form.

Balances remaining in your RATS account at the end of the year may be carried over to the next year. Balances remaining in your account when you graduate will be recovered by the Carlson School of Management.

Deficits in your RATS account may result in a “HOLD” being put on your account until arrangements are made to replenish the account, or your next year’s allocation is made. Before graduating, students must personally cover any deficit in their RATS account.

4. FOR FURTHER INFORMATION, CONTACT YOUR DEPARTMENT ADMINISTRATOR.

** Requests to upgrade computers (minitowers) for research purposes must be approved by the PhD Coordinator prior to ordering anything, with that approval relayed to the PhD Office and Carlson School’s IT Department for ordering and monitoring of the new equipment.
Appendix E. PhD Program Technology and Printer Use Policies

PhD Program Technology Resources & Policies

Software Server:

Carlson School’s Information Technology Department (IT) currently provides students with software through a server environment shared with the College of Liberal Arts. The primary software packages available include SPSS, SAS, StatTransfer, STATA, Mathematica, etc. Manuals for certain software will also be housed in the OIT Help Desk Office in Room 3-352. Because they now have RATS funding, students are expected to use their RATS money to purchase individual copies of specialized statistical software (not available on the server) that they need specifically for their own coursework and research.

Current policies for hardware and software:

1) All students through 5th year who maintain offices at the Carlson school are issued computers for on-site office use when they begin the program. Students are entitled to computer upgrades as PhD Program policy and need dictate (typically students just passing their written exams will be issued a new computer). IT tech reps will handle set up and maintenance of office computers. Students requesting upgrades to older technology must obtain approval from their PhD coordinator and the PhD Office, before approaching OIT to order upgrades.

2) Students in their 6th year and beyond are no longer guaranteed new office computers. If available, older machines may be issued to these students for use in completing the program.

3) Students currently access most stats software packages through a server environment. Individually purchased software should be installed with help from IT technical staff.

PhD Student Printer Lab and Repair Policy

1) When a student discovers a printer problem:
   a. They should cancel all of their print jobs, inform the PhD Office immediately, and then switch to the back-up printer or save what they are printing to a CD for printing in another available lab.
   b. The PhD Office will then send an e-mail to all applicable students informing them that they should not print any jobs until further notice and requesting that they cancel all current print jobs and switch to the back-up printer.
   c. Depending on the issue, the PhD Office will then contact the CSOM IT dept for technical problems. If the problem is supply-based, students are responsible for replacing paper and toner when they use it up.
   d. If the problem requires bringing in an outside repair company, the PhD Office will call the repair company to schedule a repair as soon as it is determined that it cannot be corrected in-house.
2) Students are responsible for proper use of the printers. It is not acceptable for students to be printing large jobs that tie up the printers and prevent other students from having timely access. Students are to use the Cluster Office printers for large jobs (e.g., classroom materials if they are teaching; large numbers of journal articles, etc.) and use their RATS money to pay for the cost.

3) The following is a list of examples of things that should not be printed: large-scale documents of 50+ pages (including books, articles, or any PDF that may cause memory problems in the printer), multiple sets of the same document (such as printing multiple copies of syllabi or course materials) which should be reproduced by Printing Services, or any other job that could cause significant wear and tear to the printer or excessive delay in other students having the chance to print.

4) Students should not attempt to print documents multiple times when their document doesn’t print initially (this overloads the print queue and can further exacerbate problems). They should not stick items in the printer (such as pens to fix a paper jam, etc.), or attempt any service of the printer, other than adding paper and changing a toner cartridge.

5) Students encountering problems after standard business hours should inform the PhD Office by e-mail as well as any other students who use the same printer. Students looking for immediate assistance should contact the IT Help Desk (4-1154 or Rm 3-351). They should also inform the PhD Office that the Help Desk was contacted and who responded.
Appendix F. Graduate School and PhD Program Forms

At specific points during your tenure in the PhD Program, you will be required to file paperwork and/or take examinations to progress to the next step in the program. Listed in the tables below are important forms that you will need. All forms are available online or in the PhD Program office unless otherwise stated.

<table>
<thead>
<tr>
<th>REQUIRED FORMS</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Graduate Degree Plan (GDP)</strong></td>
<td>Filed with the PhD Program Office at least one month before the written prelim takes place. The form can be found at: <a href="http://policy.umn.edu/forms/otr/otr198.pdf">http://policy.umn.edu/forms/otr/otr198.pdf</a></td>
</tr>
<tr>
<td><strong>Written Prelim Signup Form</strong></td>
<td>AVAILABLE ONLY THROUGH THE PhD OFFICE. Sent to students by PhD Office. This form must be completed, signed by the advisor, and returned to the PhD Office along with the Graduate Degree Plan form.</td>
</tr>
<tr>
<td><strong>Written Prelim Exam Form</strong></td>
<td>AVAILABLE ONLY THROUGH THE PhD OFFICE. Form will be forwarded to the Department's PhD Coordinator at the scheduled time for the written prelim exam.</td>
</tr>
<tr>
<td><strong>Oral Prelim Committee and Scheduling Forms</strong></td>
<td>COMPLETED ONLINE AT: To assign and register online your oral preliminary exam committee, see <a href="http://www.grad.umn.edu/students/forms/doctoral/index.html">http://www.grad.umn.edu/students/forms/doctoral/index.html</a>. The oral prelim is usually scheduled within one semester after completing the written prelim. You must schedule this online through the Graduate School, and notify the PhD Office of the planned date of the oral exam. The link to oral prelim scheduling is available at: <a href="http://www.grad.umn.edu/students/prelimschedule/index.html">http://www.grad.umn.edu/students/prelimschedule/index.html</a>.</td>
</tr>
<tr>
<td><strong>Oral Prelim Exam Form</strong></td>
<td>The Graduate School will automatically send this form to your program committee chair after you turn in the Oral Prelim Scheduling Form OR they may have the student pick up the form in 160 Williamson Hall, with the student responsible for seeing that committee chair has the oral prelim form before the start of the oral exam. After the exam, the student is also responsible for turning in a copy of the signed form to the PhD Office and taking the original signed form back to the Graduate School within 24 hours of taking the exam.</td>
</tr>
<tr>
<td><strong>Proposal Defense Form</strong></td>
<td>AVAILABLE ONLY THROUGH THE PhD OFFICE. This must be completed and returned to the PhD Office upon completion of your proposal defense, typically in your fourth or fifth year in the program.</td>
</tr>
<tr>
<td><strong>Graduate Packet</strong></td>
<td>This packet contains everything you need to know to complete your final defense. Request your grad packet at <a href="http://www.grad.umn.edu/students/doctoral/index.html">http://www.grad.umn.edu/students/doctoral/index.html</a>.</td>
</tr>
<tr>
<td><strong>Final Defense Committee and Scheduling Forms</strong></td>
<td>TO BE COMPLETED ONLINE AT: To assign and register online your final dissertation committee, see <a href="http://www.grad.umn.edu/students/forms/doctoral/index.html">http://www.grad.umn.edu/students/forms/doctoral/index.html</a>. The final defense must be scheduled online with the Graduate School at least one week prior to the planned date of the final defense. This can be done online at: <a href="http://www.grad.umn.edu/students-finalschedule/index.html">http://www.grad.umn.edu/students-finalschedule/index.html</a>.</td>
</tr>
</tbody>
</table>