Ph.D. Doctoral Student Policy Handbook

College of Business

Iowa State University

August 29, 2017
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I. PHD DEGREE REQUIREMENTS

Program Structure

The Ph.D. program builds on a set of six foundational courses in the business disciplines. Beyond this foundation, the Ph.D. program consists of two or more years of coursework and a dissertation. The coursework is in four inter-related areas – two required core courses (Philosophy of Science and Research Methods), a series of required and/or elective courses in the major area of specialization (Marketing, Information Systems, Supply Chain Management, or Management), three or more courses in a minor area (e.g., economics, psychology, etc.), and a variety of additional courses on research methodology and statistics. The overall course requirements for these areas are summarized in the following table.

<table>
<thead>
<tr>
<th>Modules</th>
<th>Courses</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foundation Requirements – Graduate Level Credits (if needed)</td>
<td>6</td>
<td>18</td>
</tr>
<tr>
<td>Ph.D. Core</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>Major Area of Specialization</td>
<td>6</td>
<td>14</td>
</tr>
<tr>
<td>Minor Area</td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td>Research Methods</td>
<td>4</td>
<td>12</td>
</tr>
<tr>
<td>Elective</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Dissertation</td>
<td></td>
<td>12</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>22</strong></td>
<td><strong>74</strong></td>
</tr>
</tbody>
</table>

Foundation Requirements (Pre-Doctoral Requirements)

Students that are admitted may enter the program with varying levels of preparation. The difference in preparation may arise for several reasons: (a) whether the student has completed a master’s degree; (b) whether the student’s background is a business or a non-business field; and (c) the type of institution from which the student has completed prior academic work.

The basis for the foundation requirement is that all doctoral students have minimum exposure to the different business disciplines. Accordingly, all students entering the program without an MBA degree will be required to complete 18 credits in the following graduate foundation areas (with each course having a minimum of 3 credits). A choice of one course from each of six different areas can be sued to fulfill this requirement.

- Financial or managerial accounting
- Corporate finance
- Management information systems
- Marketing
- Supply chain management
- Economics – micro
- Management

Additionally, all incoming students are expected to have a base knowledge in applied business statistics (3 credits). If students do not have this knowledge, they can take course STAT401 to meet this requirement.

In the case of non-MBA students who have work experience in one or more of the business disciplines, or a master’s degree than it not an MBA, the Ph.D. Director will consult with the Area Committee\(^1\) to evaluate whether specific foundation courses can be waived. If the Area Committee and the PhD Director do not agree, the PhD Director’s decision will be final.

The information about which of these foundation area courses a student will most likely be required to take will be provided in writing to the student at the time that their acceptance into the program is given to them, to the extent that such information is available and can be conveyed in the offer letter. If such information is not available, then the deadline for providing this information to the student is August 1. Required foundation area courses can be taken at any time during a student’s matriculation.

**Ph.D. Core**

Every student will take two core Ph.D. courses in the first two semesters: Philosophy of Science (MGMT 601) and Business Research Methods (BusAd 644). The purpose of the philosophy of science course is to help doctoral students understand a variety of basic problems common to the social sciences: the nature of explanation, the structure of theories, forms of knowledge, scientific laws, nature of theory, and research ethics. The purpose of the business research methods course is to provide an introductory treatment of different types of research methods used in business academic research such as exploratory methods, secondary data, surveys, etc.

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\(^1\) The Area Committee comprises of three faculty members in each major area who are nominated by their respective chairs and who are responsible for guiding the student in two areas—developing a research portfolio and selecting appropriate courses for completing the program requirements while taking into consideration a student’s research requirement.
experimental design, and analytical modeling. Students can choose further courses to develop in-depth knowledge of research methods that are specific to their research program.

**Major Area**

Students must select one (or possibly two) major areas of specialization: Entrepreneurship, Marketing, Supply Chain Management, Management, and Information Systems. Each major area requires a student to take at least four 3-credit courses and two one-credit courses for a total of 14 credits. For Marketing, two of the 3-credit courses are required in the major and the remaining are electives. For both Management and Supply Chain Management, four courses are required and there are no electives. For Information Systems, students choose between two tracks - behavioral and technical. All Information Systems students are required to take MIS 601 and 602, and their other courses will vary by track. All students in Entrepreneurship are required to take MGMT 603, MGMT 606 and MGMT607. In addition, all students will take two one-credit research courses during their first and second summers in the program.

<table>
<thead>
<tr>
<th>Major</th>
<th>Core Courses</th>
<th>Elective Courses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Marketing</strong></td>
<td>MKT 601: Consumer Behavior</td>
<td>MKT 603: CRM Strategy</td>
</tr>
<tr>
<td></td>
<td>MKT 602: Marketing Strategy</td>
<td>MKT 604: Marketing Issues in Inter-Orginalizational Relations</td>
</tr>
<tr>
<td></td>
<td>MKT 650 &amp; 651: Research Practicums</td>
<td>MKT 606X: Qualitative Consumer Research</td>
</tr>
<tr>
<td><strong>Information Systems</strong></td>
<td>MIS 601: Title being reviewed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>MIS 602: Title being reviewed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Behavioral Track:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Seminar on IS Strategy &amp; Structure</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Collaboration, Knowledge &amp; Intelligence in Organizations</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Technical Track:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>MIS 605: Technical Research</td>
<td></td>
</tr>
</tbody>
</table>

3
<table>
<thead>
<tr>
<th>Field</th>
<th>Courses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supply Chain Management</td>
<td>Methods in Information Systems</td>
</tr>
<tr>
<td></td>
<td>MIS 606: Economic Research Methods in Information Systems</td>
</tr>
<tr>
<td></td>
<td>Two Research Practicums</td>
</tr>
<tr>
<td></td>
<td>SCM 601: Theoretical Foundations of SCM</td>
</tr>
<tr>
<td></td>
<td>SCM 604: Logistics Management</td>
</tr>
<tr>
<td></td>
<td>SCM 603: Purchasing</td>
</tr>
<tr>
<td></td>
<td>SCM 605: Operations Management</td>
</tr>
<tr>
<td></td>
<td>SCM 650 &amp; 651: Research Practicums</td>
</tr>
<tr>
<td>Management</td>
<td>MGMT 602: Organizational Theory</td>
</tr>
<tr>
<td></td>
<td>MGMT 603: Strategic Management of Technology &amp; Innovation</td>
</tr>
<tr>
<td></td>
<td>MGMT 604: Seminar in Organizational Behavior</td>
</tr>
<tr>
<td></td>
<td>MGMT 605X: Seminar in Strategic Management</td>
</tr>
<tr>
<td></td>
<td>Two Research Practicums</td>
</tr>
<tr>
<td>Entrepreneurship</td>
<td>MGMT 603: Strategic Management of Technology and Innovation</td>
</tr>
<tr>
<td></td>
<td>MGMT 606: Historical Foundations of Entrepreneurship Research</td>
</tr>
<tr>
<td></td>
<td>MGMT 604: Organizational Behavior</td>
</tr>
<tr>
<td></td>
<td>MGMT 605: Strategy</td>
</tr>
<tr>
<td></td>
<td>MGMT 602: Organizational Theory</td>
</tr>
</tbody>
</table>
The requirements in the core and elective courses are the prerogative of the faculty members teaching the courses. Most courses will have a research paper requirement, though this will typically be limited to the preparation of a research proposal that may or may not also include details about the research design—including sample, measurement and research method data. The requirement will not include submission of the research work to a conference or journal, though this may be encouraged if the professor sees promise in the students’ work.

If a student is unable to complete their major area course requirements within the first two years of the program, he or she can opt to sign up for an independent study course with a mentor who is willing to offer the course. This option will enable the student to take his/her preliminary exam after the end of the second year in the program.

**Research Paper Review**

In at least one of the seminars in their area of specialization, students will have an opportunity to practice reviewing research articles. Reviewing papers submitted to journals for publication is an important part of academic life and a crucial service to one’s academic discipline. Seminar instructors will provide students with a review exercise, through which students will read and review one or more papers and then be able to compare their reviews with those from scholars who reviewed the article as part of an actual review process.

**Research Practicum**

Students have to complete two one-credit courses during their first and second summers. The practicum requires students to work on a research paper each summer and complete the front end of a potential manuscript before September 15 of their second and third years. This includes, for example, the introduction, model development and theory and/or hypotheses sections.

Students will work under a faculty advisor during the two summers. Students are allowed to choose their advisors from willing faculty members. Students can choose different supervisors for the two practicum courses.
Note that the research practicum requirement for the first summer is separate from the first-year research proposal. It could however be based on the research proposal submitted for any of the courses in the major area. The research practicum for the second summer could be the foundation for the student’s dissertation topic.

The faculty advisor supervising the practicum will assume responsibility for evaluating the student’s work and providing a grade. The evaluation will be completed and feedback provided to the student by October 1. If the supervisor feels that the quality of work is inadequate, he or she can give an “incomplete” grade. Students will have until the first day of the spring semester of the subsequent year to remove the incomplete grade.

**Minor Area**

Students are also required to select a supporting or minor area of study. The minor is a subject area that is distinct from the major area but complements it. Students can select the minor in consultation with members of the Area Committee and the major professor (if the student has already selected one). The minor can be in one of the other two major areas within the doctoral program or an area offered in one of the departments outside the college. The minor area which a student chooses for his/her program is expected to broaden and deepen his/her area of dissertation research.

A faculty member in the minor area will serve on the student’s POS Committee. Coursework in the minor must be approved for graduate credit and deemed appropriate by the POS Committee. Examples of relevant minor areas include:

- Marketing
- Supply Chain Management
- Information Systems
- Psychology
- Sociology
- Statistics
- Computer Science
- Industrial Engineering
- Economics
- Biological Sciences
- Advertising/Public Relations
- Anthropology
• Cultural Studies

This list is not exhaustive. Students may select an area not listed above that is relevant to their research objectives and interests.

The minor area of study will require a minimum of 9 credit hours of graduate-level courses. This minimum is for satisfying the requirements of the College of Business. There is a difference between an officially recognized minor, which is awarded by the minor department or program, and the minor area of study required by the Ph.D. Program. If the student wishes to fulfill the requirements for a formal minor that is officially recognized by the University (and that would explicitly appear on the student’s transcript), which is awarded by that other minor department or program (e.g., Psychology, Statistics), the student will need to complete all the requirements as specified by that other department. Students are advised to inform their minor advisor of the nine hour requirement from the College of Business.

Coursework for the minor can be drawn from programs inside and outside the College of Business but excluding the major area of the student. The college does not need a preliminary exam in the minor area.

Research Methods

Ph.D. students need to develop research skills for planning and executing research projects in the areas of literature review, conceptualizing research questions, justifying a research approach and methodology, developing a research design and selecting specific methods and techniques for answering the research questions. They need to be well versed in the process of theory construction and testing.

Students are required to take at least 12 credits of research methods courses, in addition to BusAd 644. The following courses are deemed appropriate for meeting the research methodology requirement. Most of the courses are offered outside the College of Business, often in the departments of statistics or psychology. This list is not exhaustive. Students will therefore have the option of taking courses not on this list, if approved by the Ph.D. Director or the Area Committee.

This list is current as of December 2, 2015. As departments can and do change their offerings, students should work with their advisor or POS chair to confirm courses are appropriate for the research methods requirement.
Students are advised to take courses at all levels—400, 500 and 600—instead of loading up at the lower levels.

**Statistics**

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>STAT 401</td>
<td>Statistical Methods for Research Workers</td>
</tr>
<tr>
<td>STAT 402</td>
<td>Statistical Design and the Analysis of Experiments</td>
</tr>
<tr>
<td>STAT 404</td>
<td>Regression for Social and Behavioral Research</td>
</tr>
<tr>
<td>STAT 407</td>
<td>Methods of Multivariate Analysis</td>
</tr>
<tr>
<td>STAT 421</td>
<td>Survey Sampling Techniques</td>
</tr>
<tr>
<td>STAT 432</td>
<td>Applied Probability Models</td>
</tr>
<tr>
<td>STAT 447</td>
<td>Statistical Theory for Research Workers</td>
</tr>
<tr>
<td>STAT 451</td>
<td>Applied Time Series Analysis</td>
</tr>
<tr>
<td>STAT 457</td>
<td>Applied Categorical Data Analysis</td>
</tr>
<tr>
<td>STAT 501</td>
<td>Multivariate Statistical Methods</td>
</tr>
<tr>
<td>STAT 503</td>
<td>Exploratory Methods and Data Mining</td>
</tr>
<tr>
<td>STAT 511</td>
<td>Statistical Methods</td>
</tr>
<tr>
<td>STAT 512</td>
<td>Design of Experiments</td>
</tr>
<tr>
<td>STAT 521</td>
<td>Theory and Applications of Sample Surveys</td>
</tr>
<tr>
<td>STAT 522</td>
<td>Advanced Applied Survey Sampling</td>
</tr>
<tr>
<td>STAT 542</td>
<td>Theory of Probability and Statistics I</td>
</tr>
<tr>
<td>STAT 543</td>
<td>Theory of Probability and Statistics II</td>
</tr>
<tr>
<td>STAT 544</td>
<td>Bayesian Statistics</td>
</tr>
<tr>
<td>STAT 551</td>
<td>Time Series Analysis</td>
</tr>
<tr>
<td>STAT 554</td>
<td>Introduction to Stochastic Processes</td>
</tr>
<tr>
<td>STAT 601</td>
<td>Advanced Statistical Methods</td>
</tr>
<tr>
<td>STAT 612</td>
<td>Advanced Design of Experiments</td>
</tr>
</tbody>
</table>

**Sociology**

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOC 511</td>
<td>Intermediate Research Methods</td>
</tr>
<tr>
<td>SOC 512</td>
<td>Sociological Measurement</td>
</tr>
<tr>
<td>SOC 513</td>
<td>Qualitative Research Methods</td>
</tr>
<tr>
<td>SOC 613</td>
<td>Advanced Theory Construction and Causal Modeling</td>
</tr>
</tbody>
</table>

**Psychology**

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>PSYCH 440</td>
<td>Psychological Measurement</td>
</tr>
<tr>
<td>PSYCH 508</td>
<td>Research Methods in Applied Psychology</td>
</tr>
<tr>
<td>PSYCH 522</td>
<td>Scientific Methods in Human Computer Interaction</td>
</tr>
<tr>
<td>PSYCH 586</td>
<td>Research Methods in Social Psychology</td>
</tr>
</tbody>
</table>
Preliminary Examination (Comprehensives) in the Major and Research Methods

Preliminary exams (or comprehensives) will be offered by the college twice a year—once in early fall and again in mid-spring. There will be a single preliminary exam covering both the major area and research methods. To take this exam, students will need to complete course requirements in both the major and research methods. The preliminary exam will rigorously test a student’s knowledge of the major subject area as well as the student’s ability to analyze, organize, and present subject matter relevant to the field. It will also test the method skills of the student and assess if the student has the methods rigor and knowledge needed for execution of research ideas.

The preliminary exam is composed of two parts—a written exam and an oral exam. The written exam will be conducted in a classroom under the supervision of an examiner and will last six hours. The oral examination will be scheduled no later than three weeks after the written exam. The POS committee of the student will conduct the oral examination. Before the oral examination, members will provide feedback on the written exam. Additional feedback will be offered during the exam, and committee members will pose additional questions to the student. The written feedback could be presented in a stand-alone document or could be comments/questions written in the margins of the answer sheets. The examiners could also ask questions that are not related to the written exam, but related to the content of courses taken in the major by the student. The oral exam is typically closed to the public but may be open at
the discretion of the POS Committee. Please see page 14 for more details about the POS committee.

At the end of the oral examination, the POS Committee will deliberate and make a decision. There are four possible outcomes: Pass, Conditional Pass, Fail with the option of taking the exam again, and Fail with dismissal from the University. The final decision will be based on a majority opinion of the POS committee.

The preliminary written exam will include eight questions relating to the major and research methods. Of these, at least two questions will relate to research methods. Students will be given the option to answer six of the eight questions with the requirement that they answer both questions on research methods.

Major area questions: Questions for the preliminary exam will be developed by the major professor in consultation with the faculty who are responsible for the major area courses and the area committee representing the major area. Although the final evaluation will be the responsibility of the POS committee, the major professor may seek the help of the faculty writing the questions to evaluate the student’s written exam and provide feedback. It is very likely that the faculty writing the questions may also be a part of the POS committee for the student.

Methods questions: Questions for the methods section will be prepared by the area committee members. The latter may seek the help of both internal and external faculty (particularly the faculty teaching the research methods class inside the college) in constructing the questions.

If multiple students from an area take the preliminary exam at the same time, the major professors of those students along with all of the respective POS committee members and members of the students’ area committees will prepare the written exam questions jointly. The group will decide if customization is needed based on the set of courses taken by the student and the methods content that is relevant for a student’s research program.

Evaluation of the written exam will be performed by each member of the student’s POS committee and feedback provided before or during the “Preliminary Oral Examination.” Faculty on the POS committee may be willing to discuss their evaluations with the student prior to the oral examination; talking with them is a good way to prepare for the oral examination.

Preparing for the Written Exam: The major professor can share with the student the names of the faculty that may be writing preliminary exam questions. The student can then contact
faculty and obtain from them a reading list. The provision of a readings list is optional, but recommended.

Conditional Pass: If a student receives a grade of conditional pass, it is up to the POS committee to determine the conditions that must be met for the student to pass the exam. Typically, a student may be asked to rewrite one or two questions (but no more than two) from the written exam, where the student’s performance was judged to be unsatisfactory. In the case of a rewrite, the student will be asked to respond to the same question and in the same manner in which the written exam is conducted. The student will perform the rewrite, on a laptop provided by the COB, while alone in a designated space. The student will be given one hour to perform each rewrite. The POS committee will evaluate the rewritten responses. In some cases, the POS committee may also require an additional oral exam as one of the conditions.

The preliminary examination (i.e., written exam and oral examination) can be taken a maximum of two times. A student may earn a failing grade on the written exam and be given the opportunity to take the exam a second time for the part in which they earn a failing grade. The oral examination will need to be conducted a second time in such a case. Failure to pass the second time, within a one-year span after taking the first prelim exam, will result in the student’s termination from the Ph.D. program.

Timetable for Preliminary Exams

The preliminary exams will be offered twice each year—once in the fall and once in the spring. The exam will be offered during the first two weeks of the fall semester and the first two weeks after the Spring Break. Students that complete their major requirements in May can take the exam in August/September, while students that complete their major requirements by December can take the exam in March/April.

II. Sample Course Schedule

Ph.D. students who have completed the foundation requirements will take a total of 44 credit hours during the first two years of the program. Except for two credits of research practicum, the remaining 42 credits comprise course work in the fields of Ph.D. core, major, minor and research methods. If scheduled appropriately, a student should be able to complete all course work in five semesters. The dissertation phase is likely to span the next three semesters. A typical course schedule is presented below for each area. This schedule takes into consideration the current teaching schedule used by the different areas and may change
depending on exigencies in each area. Students who do not complete the course and overall program schedule listed below in a timely manner may be terminated from the program.

**Information Systems**

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>PhD Core: BUSAD 644&lt;br&gt;RM 1&lt;br&gt;Major 1: MIS 601</td>
<td>PhD Core: MGMT 601&lt;br&gt;RM 2&lt;br&gt;Major 2: MIS 603 or 605</td>
<td>RM 3&lt;br&gt;RP 1</td>
</tr>
<tr>
<td>Year 2</td>
<td>Major 3: MIS 602&lt;br&gt;RM 4&lt;br&gt;MN 1</td>
<td>Major 4: MIS 604 or 606&lt;br&gt;MN 2&lt;br&gt;MN 3</td>
<td>RP 2&lt;br&gt;Elective</td>
</tr>
<tr>
<td>Year 3</td>
<td>Teaching; Preliminary Oral Exam; Proposal Defense</td>
<td>Teaching; Dissertation Research</td>
<td>Dissertation Research</td>
</tr>
<tr>
<td>Year 4</td>
<td>Teaching; Dissertation Research</td>
<td>Dissertation Research; Final Thesis Defense</td>
<td></td>
</tr>
</tbody>
</table>

**Supply Chain Management**

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>PhD Core: BUSAD 644&lt;br&gt;RM 1&lt;br&gt;Major 1: SCM 601</td>
<td>PhD Core: MGMT 601&lt;br&gt;RM 2&lt;br&gt;Major 2: SCM 602</td>
<td>RM 3&lt;br&gt;RP 1</td>
</tr>
<tr>
<td>Year 2</td>
<td>Major 3: SCM 603&lt;br&gt;RM 4&lt;br&gt;MN 1</td>
<td>Major 4: SCM 604&lt;br&gt;MN 2&lt;br&gt;MN 3</td>
<td>RP 2&lt;br&gt;Elective</td>
</tr>
<tr>
<td>Year 3</td>
<td>Teaching; Preliminary Oral Exam; Proposal Defense</td>
<td>Teaching; Dissertation Research</td>
<td>Dissertation Research</td>
</tr>
<tr>
<td>Year 4</td>
<td>Teaching; Dissertation Research</td>
<td>Dissertation Research; Final Thesis Defense</td>
<td></td>
</tr>
</tbody>
</table>

**Marketing**

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>PhD Core: BUSAD 644&lt;br&gt;RM 1&lt;br&gt;Major 1: MKT 603</td>
<td>PhD Core: MGMT 601&lt;br&gt;RM 2&lt;br&gt;Major 2: MKT 601</td>
<td>RM 3&lt;br&gt;RP 1</td>
</tr>
<tr>
<td>Year 2</td>
<td>Major 3: MKT 602&lt;br&gt;RM 4&lt;br&gt;MN 1</td>
<td>Major 4: MKT 604&lt;br&gt;MN 2&lt;br&gt;MN 3</td>
<td>RP 2&lt;br&gt;Elective</td>
</tr>
</tbody>
</table>

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2 RM – research methods; MN – minor; RP – research practicum

12
Students that have to complete foundation requirements will potentially take more than five semesters to complete all course work.

### Transfer Credits

At the discretion of the POS committee, and with the approval of the program and the Graduate College, graduate credits earned as a graduate student at another institution or through a distance education program offered by another institution may be transferred if the...
grade was B or better. Such courses must have been acceptable toward an advanced degree at that institution and must have been taught by individuals having graduate faculty status at that institution. If a student wishes to transfer credits from graduate courses taken at or through another university as an undergraduate student, it is that student’s responsibility to provide verification by letter from that institution that those graduate courses were not used to satisfy undergraduate requirements for a degree. (Grades from courses taken at another institution will not be included in ISU grade calculations, nor will the grades be displayed on an ISU transcript.)

A transcript must accompany the POS in order to transfer credits. The POS committee may ask for other materials, such as a course outline or accreditation of the institution, to evaluate the course. Transfer courses not completed when the POS is submitted must be completed before the term in which the student graduates. A transcript must then be submitted for review and final approval.

III. POS Committee (POSC)

The POS Committee can be set when a student has narrowed his or her field of research and study. For most students, this will typically happen in the second year of the program. As per the Graduate College guideline, in no case can the committee be formed later than the term before the preliminary oral examination. The student will select a major professor who will recommend to the student other members of the POS Committee.

To select a committee, the following procedure has to be followed:

- Identify your department or program’s POSC requirements and deadlines (in addition to those of the Graduate College).
- Complete the online Program of Study Committee form, and begin the online approval process. Committee members and the Program’s Director of Education (DOGE) must

3 The Area Committee will assume the role of the POS Committee until it is set up. During this time, the Area Committee will guide the student in selection of research areas and development of a program of study. They will also take on the task of reviewing periodically the progress of the student. The Area Committee can advise students on how best to prepare for the preliminary exams in the major area.
approve it. More information on the POSC forms can be found here: http://www.grad-college.iastate.edu/common/POSC/index.php

- Check the status often, and send email reminders to faculty who seem slow to respond.
- Check to make sure it is approved by the Graduate College.
- Obtain the “Recommendation for Committee Appointment” form from the Graduate College Web site at http://www.grad-college.iastate.edu/forms/forms.html
- Obtain the appropriate committee and program approvals, including from the Director of Graduate Education (DOGE).
- Submit the form for Graduate College approval.

The major responsibilities of the POS Committee are:

- Evaluate and approve the student’s program of study
- Conduct the preliminary oral examination
- Advise a student during the development of the dissertation
- Read and approve the dissertation
- Conduct the final oral examination or thesis defense

The Graduate College Handbook provides a detailed description of the roles and responsibilities of the POS committee. It spans areas such as procedures, research and dissertation, major professor’s relationship with the student and resolution of problems that may arise in the relationship. It also describes the role of the committee member in these areas. Please refer to pages 54 to 56 of the Graduate Handbook.

**POS Committee Makeup**

**The Major Professor**

The major professor serves as chair of the POS committee and must be a member of the graduate faculty in the student’s declared major.

**Co-Major Professors**

A student may decide to select a co-major professor for the following reasons:

- When a student has a co-major or joint major, each of the major fields must be represented by a different major professor
- When a student’s dissertation work requires expertise from more than one professor
• If the major professor resigns or retires from the university, he/she may continue to serve, but a co-major professor who is a member of the graduate faculty must be appointed.

When a student has co-major professors, both will have to sign and approve all required forms of the Graduate College.

**Members of the Committee**

Any graduate faculty member may serve as a member of a student’s POS committee. Members could also be drawn from the student’s minor area and from among the faculty that has taught a research methods course. If a graduate minor has been declared, a graduate faculty member from the minor area must serve on the POS committee.

**Non-Voting Members**

When a non-member of the Graduate Faculty has expertise that is relevant for a student’s dissertation, he or she may be appointed to the POS committee as a non-voting member. In such cases, an explanatory memo should be attached to the “Recommendation for Committee Appointment” form.

**Size**

The POS committee for a doctoral program should have at least five members of the graduate faculty. It must include three members, including the major professor, from the student’s major area. It must include members from different fields of emphasis (minor, research methods) so as to ensure diversity of thought and perspectives.

**POS Committee Changes**

Students can change the make-up of the POS Committee to meet their evolving research interests. Recommendations for changes in the POS committee must have the approval of the student, major professor, DOGE, and all committee members involved in the change before seeking approval of the Graduate College. Committee members who are on Faculty Professional Development Assignment, retired or resigned do not have to sign the change form. Changes can be made online through Access Plus. These changes must be approved by the Dean of the Graduate College.
Developing the Program of Study

The student should complete the POSC form as early as possible. The form will list the complete set of courses the student will take during the program. Courses will need to be selected to correct deficiencies in academic preparation and allow study of subject matter in the major and minor areas chosen by the student. Courses will also be selected from the research methods area and which will provide a solid foundation for designing and implementing research projects.

The student can complete the POSC form with the help of the Area Committee. In cases where the student has made an early decision on his/her major professor, the POSC form can be completed in consultation with the major professor. Thus, the role of the Area Committee is restricted to only those students that have not made a decision on the major professor.

POSC forms are available online through AccessPlus under the Student tab, Graduate Student Status. The POSC form is approved by the student, committee members, and the DOGE. When the Graduate College has approved the POSC, the status of POSC approval can be checked in the AccessPlus Student tab. Approving parties are notified by e-mail when a form is ready for their approval.

IV. Dissertation

Dissertation Format

Students can take one of two approaches to the dissertation. The first approach is a multi-paper model. Under this model, students can submit as dissertation work multiple separate but interrelated papers. These papers must have a common focus and be of a quality that the Dissertation Committee feels would be suitable for submission to appropriate academic journals. Each paper must contribute significantly to existing body of research; and there should not be considerable overlap in the material covered in these papers. Co-authored papers, with the student as the lead author are acceptable. The second approach is the traditional dissertation wherein the student works on a single major idea and empirically validates the study hypotheses or addresses a set of research questions to great depth.

Proposal Defense

Students are required to take an oral dissertation proposal defense within one year after the successful passing of the preliminary oral exam in their major and research methods. The purpose of the proposal defense is to provide an early assessment of a student’s proposed
dissertation research topic. The dissertation committee will specifically evaluate the suitability of the proposed topic as well as the student’s preparation to conduct the proposed research and the viability of the research methodology.

Two weeks prior to the defense, a dissertation proposal document should be submitted to the POS committee. This proposal should include the following:

- **Title page:** proposed title of dissertation; name of student; date of submission
- **Abstract:** a 50 to 100 word abstract that specifies the nature of the problem to be pursued, objectives of the study, and data and methods to be employed
- **Introduction and Justification:** A specific statement of the problem as a researchable issue, its managerial and theoretical relevance, its relationship to past and present research, specific gaps that it fills in the literature
- **Literature Review:** Discussion of the pertinent literature and placing the proposal in the context of the literature
- **Theory Development, Hypotheses, and/or Model Setup:** Development of a conceptual model, choice of supporting theory or theories, development of hypotheses to be tested, justification of model assumptions, etc.
- **Methodology:** Discussion of the proposed research design along with sample and method details
- **Timetable:** a timetable for milestones to be reached during dissertation research, including research, data collection, analysis and writing phases
- **Bibliography:** listing the works that most clearly relate to the study as sources of theory, data or methodology

Proposals prepared for two- or three-essay dissertations will have a different layout, which may include a separate outline for each essay.

The POS committee of the student will assume full responsibility for the proposal defense. The proposal defense can only be taken twice. The second defense must be taken within one year of the first defense. Failure to pass the second time, as decided by the POS committee, will lead to the student’s termination from the Ph.D. program. The proposal defense may be open to the public or closed, at the discretion of the POS Committee.
Dissertation Defense

All Ph.D. degree candidates must pass final dissertation defense (or final oral examination). The final defense must be held by the final oral examination deadline date for the semester in which the degree is granted.

Graduate students must register at Iowa State University for the equivalent of two credits, or for the R-credit course GR ST 600 (Examination Only) if no course work is needed, during the semester in which the final dissertation defense is taken. Taking only an R-credit course where the fee is not equivalent to the 2-credit minimum charge is not acceptable for the term of the final defense. International students, even those in their final term, must be registered full-time or previously approved by the International Students and Scholars (ISS) to reduce their course load.

The following conditions must be met before the “Request for Final Oral Examination” form is submitted to the Graduate College:

• Full admission status,
• Approved “Recommendation for Committee Appointment” form,
• Approved POS form with all coursework completed or in progress,
• English requirement met (for nonnative English speakers),
• Not on probation,
• Time limit not exceeded,
• Approved “Report of Preliminary Examination” form,
• “Application for Graduation” form (diploma slip) submitted,
• Registered for term in which final oral examination is taken for the equivalent of two credits or for the R-credit fee GR ST 600 (Examination Only) if no course work is needed,
• Overall G.P.A. above 3.00, or petition filed and approved stating extenuating circumstances,
• 24 credits earned in residency during 2 consecutive semesters and 1 summer session or at least ½-time employment at ISU (see Chapter 4 for residency information), and
• A minimum of six months between the preliminary oral and final oral examinations.
The Ph.D. final defense, conducted after the dissertation is finished, is oral and limited to a defense of the dissertation. To receive the degree at the end of a given semester, the student must hold the final defense before the final oral examination deadline for the semester.

The candidate is responsible for initiating the “Request for Final Oral Examination” form, which must be submitted to the Graduate College at least three weeks before the examination. The candidate must submit copies of the manuscript to members of the POS committee at least two weeks before the examination. A committee member who does not receive the thesis at least two weeks before the final oral examination may cancel the examination.

The entire POS committee must be convened for the final oral examination. Any request to change the makeup of the committee needs to be submitted in writing to the Graduate College and approved by the Dean of the Graduate College before the final oral examination is held. The request must be signed by the student, all committee members involved in the change, and the DOGE. With the approval of the major professor and concurrence of the candidate, interested faculty members and graduate students may attend final oral examinations and, at the invitation of the major professor, may ask questions.

In some cases, it may only be possible to convene the committee in a timely manner if one of the committee members participates at a distance. This is permitted if the distance participation is agreeable to all committee members, if the mode of communication permits the full participation of the committee member at a distance, and if the Graduate College is notified in advance of the examination in writing by the major professor and advised who will sign for the distant committee member at the conclusion of the examination. The preferred method of distance participation is video conferencing, but speaker phone is acceptable in cases where visual presentation is not critical. The distant committee member must participate for the entire examination.

This final exam can only be taken twice. As per Graduate School requirements, the candidate has a maximum of five years from the date of passing the preliminary examination to take the final oral examination and deposit the dissertation. Failure to take the final oral examination within a maximum of five years after passing the preliminary examination requires the candidate to take another preliminary examination, and be admitted to candidacy a second time.
V. Key Program of Study Evaluations

Although laid out in the different sections of the handbook, the evaluations a student will go through during the program are summarized in this section.

**Competency in foundation areas:** Competency is defined in terms of GPA in the foundation courses. Students should earn an average of at least 3.0 in the foundation courses recommended by the program (taking into consideration the possibility that courses would be waived based on a student’s work experience), whether taken at ISU or elsewhere.

**Research Practicum – Summer I:** Students will have to work on a research topic in their respective major areas and submit a proposal which includes introduction, problem identification, conceptual model, hypotheses, and a research design for data collection or a format approved by the supervising professor. The submission date is September 15 of the second year. The proposal will be submitted to the professor under whose supervision the practicum is being completed. Students will receive a grade from the supervising professor by October 1. If the supervisor feels that the quality of work is inadequate, he or she can give an “incomplete” grade. Students will have until the first day of the spring semester of the subsequent year to remove the incomplete grade.

**First/Second Year Review:** Students have to submit to their Area Committee a professional report (see Appendix B for a copy of the report) detailing their first/second year activities by June 1. The Area Committee will provide feedback to the student by June 15.

**Third and Fourth Year Reviews:** The third and fourth year reviews will be conducted by the major professor. Students are required to submit their progress report, including the teaching evaluation numbers, to the major professor by June 1. The major professor will provide feedback to the student on research and teaching performance.

**Research Practicum – Summer II:** All students are likely to have completed their major course prerequisites by the spring semester of the second year. Students are required to submit a research proposal in their major area which includes introduction, problem identification, conceptual model, hypotheses, and a research design for data collection, or a format approved by the supervising professor. The submission date is September 15 of the third year. The proposal will be submitted to the professor under whose supervision the practicum is being completed. Students will receive a grade from the supervising professor by October 1. If the supervisor feels that the quality of work is inadequate, he or she can give an “incomplete” grade. Students will have until the first day of the Spring semester of the subsequent year to
remove the incomplete grade. This research practicum could be the foundation for the student’s dissertation topic.

**Preliminary Examination:** Students will undergo a preliminary exam in their major area of specialization and research methods at the end of the second year (or upon completion of all major area and methods requirements). The preliminary exam will be partly based on a six-hour written exam. Within three weeks of the completion of the written exam, the student will sit for an oral exam with the POS Committee. After the oral presentation, a decision of Pass, Conditional Pass, or Fail will be taken by the POSC committee as a whole. If the decision is Fail, the committee will make a decision on what the recourse will be for the student. This could include a second exam or termination from the program.

**Dissertation Proposal Defense** – Admission to Candidacy: Students are required to take an oral dissertation proposal exam within one year after the successful passing of the preliminary exam. The purpose of the proposal defense is to provide an early assessment of a student’s proposed dissertation research topic. Two weeks prior to the defense, a dissertation proposal document should be submitted to the POS committee. The POS committee of the student will assume full responsibility for the proposal defense. The proposal defense can only be taken twice. The second defense must be taken within one year of the first defense. Failure to pass the second time, as decided by the examination committee, will lead to the student’s termination from the Ph.D. program.

**Final Dissertation Defense:** The Ph.D. final oral examination, conducted after the dissertation is finished, is oral and limited to a defense of the dissertation. To receive the degree at the end of a given semester, the student must hold the final oral examination before the final oral examination deadline for the semester. The candidate is responsible for initiating the “Request for Final Oral Examination” form, which must be submitted to the Graduate College at least three weeks before the examination. The candidate must submit copies of the dissertation manuscript to members of the POS committee at least two weeks before the examination.

**VI. Teaching Responsibility**

The experience of teaching is viewed as an integral part of graduate student training for the Ph.D. degree in Business and Technology. The College of Business is strongly committed to training its Ph.D. students to become high quality teachers. This commitment to quality will not only enhance placement opportunities for the student, it also will ensure that undergraduate students receive excellent instruction.
Ph.D. students are required to teach three sections during the third and fourth years of the program. Teaching will typically be at the undergraduate level. Teaching may be limited to the principles course in each discipline, but may cover other areas depending on the background and experience of the Ph.D. student. Students may be given the option of teaching multiple courses during the three semesters to expand their teaching portfolio. This will be done only at the request of the student.

Students are required to take the Center for Excellence in Learning and Teaching (CELT) Teaching Symposium before they begin their teaching duties. The CELT Training Symposium is offered once a year (in August). The Symposium Goals are

- To learn about policies, practices and resources that effect teaching and learning at Iowa State University.
- To become familiar with common student issues, successes and be able to guide students to various campus resources.
- To discover the services, resources and development opportunities provided by CELT.

Before taking direct responsibility for teaching, students will be assigned a teaching mentor by the department chair in their fourth semester. Students may be required to sit in on a course taught by the mentor and learn teaching points through observation. The mentor may also ask the student to teach one or more class sessions, and will provide feedback on the student’s teaching style and effectiveness.

The student’s major professor will be responsible for evaluating the student’s teaching at least once per semester through a peer review process. The professor will provide feedback to the student about his or her teaching performance.

International students are required to meet the University minimum requirements for English language proficiency prior to teaching a course. OPI and TEACH scores are combined to give results at one of 4 levels of English oral proficiency. You must receive Level-1 full certification or you are expected to take English 180 during or before your first semester on appointment. More information can be found here: [http://acp.grad-college.iastate.edu/oral-english-certification-test/who-needs-to-take-oect](http://acp.grad-college.iastate.edu/oral-english-certification-test/who-needs-to-take-oect)
VII. Student Performance Evaluation

Academic Requirements

Students have to show at all times “satisfactory progress” in the program. Evidence of such progress includes maintenance of a minimum 3.0 cumulative grade point average each term. If a student fails to maintain the 3.0 minimum cumulative GPA, he/she will be placed on probation. Students placed on probation must raise their performance to reach a 3.0 minimum cumulative average within two successive terms following the term in which the deficiency occurred. Failure to meet this requirement will subject the student to dismissal at the discretion of the Area Committee. Graduate students must have a minimum 3.0 cumulative GPA in order to graduate. In addition, any student who receives two or more course grades of C or below will be subject to dismissal from the program at the discretion of the Area Committee.

Annual Student Performance Evaluations

The College of Business conducts an annual evaluation of each Ph.D. student. The aims of the annual evaluation are twofold: (a) provide constructive feedback to the student and (b) enable the College to monitor the progress of students and take appropriate action when necessary. The evaluations are conducted by the Area Committees for the first two years. Evaluations are performed by the major professor after the second year since students will also have teaching responsibility. The evaluations consider the progress of the student in research, teaching and service. Students that receive an unsatisfactory overall progress evaluation in their annual review may be dismissed from the program at the discretion of the Area Committee and the Chair. A copy of the evaluation form that will be used is attached in the Appendix.

A structured evaluation process appears in the Appendix, along with a flow chart that illustrates the timing. This process was approved by the PhD Program Committee in Fall 2015.

Completion Time

Students are expected to complete the program in four years. Those that are making satisfactory progress toward the degree but are unable to complete the program in four years may be able to obtain funding for a fifth year. However, funding for the fifth year is not guaranteed and will depend on the availability of funds. Students that receive funding for the fifth year should expect to teach at least two sections per year. Priority for funding will be given to students whose research looks promising and who have exhibited teaching effectiveness in prior teaching opportunities.
In the case of students that have to fulfill foundation requirements, the expected completion time will be five instead of four years.

**Fifth Year Funding**

Students receive financial support for the first four years based on satisfactory progress. All students who wish to stay for a fifth year have to apply for funding, regardless of how their financial support was funded during the first four years. Although some students may have received partial or full external funding for their first four years, such funding will not have a material difference on the need to apply for fifth year funding.

All students will be expected to teach three sections in four years or five sections in five years as part of their doctoral education. There will be no exceptions to this policy.

If a student needs to stay beyond the fifth year, the terms of stay will be negotiated between the student and the funding sources, and must be approved by the College Ph.D. Committee. The Ph.D. Program office, however, will not provide a stipend for any student beyond the fifth year. The PhD Policy Committee will not approve funds for travel, health insurance, tuitions waivers, or any other purpose for any student beyond fifth year.

**VIII. Travel Funding**

Students are strongly recommended to present their research work at top conferences in their respective fields. To help support participation in these conferences, each first and second year student will be allotted a sum of $1200 each year. Third, fourth and fifth year students will be allotted $2000 per year. This money can be used towards conference registration, travel and lodging expenses, and membership in the major area’s primary conference organization. Other monies may be available through the Graduate College. For example, students are eligible to apply for a $200 PAG grant each year. Students are advised to avail of all sources within the university to supplement the above amount.

To obtain funding, students must first obtain approval from the Area Committee and Department Chair. Students must then complete the ‘Doctoral Student Travel Approval Form’ and send it via email to the doctoral program DOGE for approval. Students must adhere to the travel reimbursement policies of their academic department. Expenses that appear to be excessive will not be reimbursed. Students must follow the business travel guidelines set forth by the University.
IX. Dissertation Grant

Any doctoral student in the College who has successfully completed the dissertation proposal defense is eligible for a dissertation research grant. Up to $4,000 may be granted to an approved application, and each student is eligible for one dissertation grant, regardless of the format of the dissertation and research.

The fund can be used for all data collection and experiment-related activities, including payment to subjects, labs, assistants, and third parties; materials and supplies to complete experiments; and travel to and from data collection sites (travel and lodging costs only).

The fund cannot be used for travel to conferences, pre- or post-dissertation research projects, or subsidizing other research projects of the student or the advisors.

The doctoral student initiates the application after successfully defending the dissertation proposal. The standard application form is available in the doctoral program office.

The POS committee reviews and either approves or recommends change to the grant application. If approval is recommended, the POS chair signs off the application and forwards it to the Associate Dean for Graduate Programs;

The Associate Dean for Graduate Programs reviews and either approves or recommends change to the grant application. If approved, the Associate Dean signs off on the application and forwards it to the Fiscal Officer for processing.

X. Updating this Handbook

The College of Business PhD Program Committee is responsible for maintaining and revising this handbook. Revisions shall be approved by a majority vote of the College of Business PhD Program Committee. No other approvals are required.
I. RESEARCH PUBLICATIONS. Provide a list of papers that you have published or have been accepted for publication during this academic year. Provide full citation. Include: co-authors (in proper order of authorship, title of publication, journal, conference proceedings or book in which the publication appears, volume number (if appropriate), date, publisher and place of publication (if appropriate), etc.

II. Research Papers under Review. Indicate title, co-authors, journal or conference proceeding and stage of review process.
III. Research Papers in Process Indicate title, co-authors, length and target journal or conference.
IV. Conferences Attended: Provide information on conferences or workshops attended and discuss your role at the conference.

V. List the activities you performed in your role as a graduate assistant during the last 12 months.
VI. Describe any professional service activities that you performed in the last 12 months. Include service to the profession such as reviewing articles.
Please list any articles published before you joined the PhD Program. This will be a one-time input.

Describe any teaching-related activities that you were involved in prior to joining the PhD Program.
**COB Doctoral Student Travel Approval Form**

Student Name:

Conference Name:

Destination:

Trip Description:

Anticipated Departure Date:

Anticipated Return Date:

Reason for Trip (check as many as apply):

- Presenting a paper
- Member of a panel
- Interviewing for a job
- Volunteer work for a conference
- Meetings related to service to the discipline (e.g., conference program committee)
- Other - please provide details below:

**Estimated Expenses:**

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<th>Amount</th>
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<td>Airfare</td>
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<td>Conference Registration</td>
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<td>Meals (total)</td>
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<td>Miscellaneous (label &amp; itemize below)</td>
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<td><strong>TOTAL</strong></td>
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Approved:

(Must be approved by PhD Program DOGE, Joey F. George) Date:
College of Business PhD Student Review and Evaluation 2016

In order to ensure student progress, the Doctoral Supervisory Faculty periodically reviews the progress of students through the program requirements. Each student is expected to work with the major professor and the members of the POS committee in order to complete the graduate degree within the time limits established by the Graduate College.

“The Graduate College’s time-to-degree limit for all graduate students, both master and Ph.D., is seven years...[A] student beginning a Ph.D. degree program at ISU with a master’s degree could be expected to complete the program within three or four or five years, while a student beginning a Ph.D. degree program without the master’s degree could be expected to complete the program within five or six or seven years. (Iowa State University Graduate Student Handbook 2015, p. 42).”

Annual reviews of each student’s progress are intended to facilitate communication and problem solving through the graduate program. The evaluation process should give students timely feedback that allows them to optimize their graduate education. At any time during the year, any faculty member may provide feedback or express concerns relevant to the progress of a graduate student directly to the student or the student’s major professor.

In the spring of each year, graduate students will be asked to submit a Curriculum Vitae as well as a Ph.D. Progress Report (see the Appendices). This form includes information regarding research publications (published, under review, and in process), conferences attended, graduate assistant responsibilities, and professional service activities. Where relevant, the teaching evaluations for each student will be completed by the student’s advisor by the time the student is asked for a c.v. and a Ph.D. Progress Report.

Annually, each major professor or area committee chair is expected to meet with each of his/her graduate advisees at least two weeks prior to the scheduled Graduate Student Review Meeting. The Graduate Student Review Meeting will be attended by the PhD Program Committee and any COB faculty currently chairing or co-chairing a dissertation committee. The major professor/area committee chair and student should identify any problems or delays, and plan for the resolution of these difficulties. At the end of the meeting, the major professor/area committee chair needs to inform the student whether the progress and plan indicate satisfactory progress. During this meeting, the major professor/area committee chair should inform the student in writing of his/her recommendation to the Doctoral Supervisory Faculty as to the continuation of that student in the COB Ph.D. program.

Possible recommendations including:

4 Based on Appendix J in the HDFS Graduate Program Handbook, 2014
5 The Doctoral Supervisory Faculty are defined as the members of the PhD Program Committee and any other faculty member who is currently chairing or co-chairing a doctoral dissertation committee.
1. Satisfactory, with no concerns:
2. Satisfactory, with concerns;
3. Unsatisfactory, with probation warning (i.e., a time line for improvement is imposed)
4. Dismissal.

The recommendation to dismiss a student can only be made if the student is currently on probation. If a major professor/temporary advisor and student are unable to meet, it is the responsibility of the major professor/area committee chair to provide the student with written feedback no later than two weeks prior to the scheduled Graduate Student Review Meeting.

If a student believes that evaluation by the major professor/area committee chair is based on inaccurate or incomplete information, the student may submit to the DOGE, one week prior to the review meeting, a written report that presents his/her case for continuation. At this time the student must also inform the DOGE if he/she desires to present his/her case orally to the faculty at a time designated during the Graduate Student Review meeting.

**Graduate Student April Review Meeting.**

Student progress will be reviewed by the Doctoral Supervisory Faculty during a meeting of the Doctoral Supervisory Faculty in April of each year. The major professor/area committee chair will be expected to report on his/her recommendation for each student’s continuation in the program, including:

1. Satisfactory, with no concerns:
2. Satisfactory, with concerns;
3. Unsatisfactory, with probation warning (i.e., a time line for improvement is imposed)
4. Dismissal

At this time, other faculty may identify concerns (e.g., incomplete grades, unsatisfactory performance on assistantships). The DOGE will present a summary of any student’s written request. Any student who has submitted a written report requesting continuation may request time at this meeting to present his/her case. The faculty present at the meeting will vote on the recommendation of the major professor/area committee chair to continue, place on probation, or dismiss each graduate student. Only those students currently on probation can be dismissed. If the recommendation is not supported by a majority of the faculty present, a new recommendation will be invited and voted upon.

Within one week of the meeting, the major professor/area committee chair will provide each graduate student with a written report of the faculty’s action and a summary of the feedback. Any student whose recommendation involves either probation or dismissal will receive a letter from the DOGE confirming the action of the faculty and either specifying the reasons for dismissal or providing the following information related to the recommendation for probation:

1. the nature of the deficiency, as perceived by the faculty
2. the specific actions needed to rectify the deficiency
3. the deadline for rectifying the deficiency
4. the penalty for failing to meet these criteria

**Mid-Year Probationary Meeting.** Students on probation will be informed what progress must be achieved in fall semester in order to continue in the program. At the end of fall semester, in December, a Doctoral Supervisory Faculty Meeting will occur to Review Graduate Students on Probation. **Two weeks prior to this meeting, the major professor or area committee chair is expected to meet with his/her graduate advisees on probation and should identify if the probationary deficiencies have been met.** At the end of the meeting, the major professor/area committee chair needs to inform the student whether the progress and plan indicate satisfactory progress. During this meeting, the major professor/area committee chair should inform the student in writing of his/her recommendation to the Doctoral Supervisory Faculty as to the continuation of that student in the COB PhD program. Possible recommendations including:

1. Satisfactory, with no concerns:
2. Satisfactory, with concerns;
3. Unsatisfactory, with probation warning (i.e., a time line for improvement is imposed)
4. Dismissal.

**Right to Appeal Annual Review Recommendation.** Any student has the right to appeal the recommendation of the Doctoral Supervisory Faculty through due process. Any student may request that a dismissal or probationary action be reconsidered. In the appeal of the review decision, the student will provide a written report that addresses the specific issues identified in the report of results by the major professor/area committee chair and DOGE. The student should submit this written report, in addition to any other relevant information, to the relevant COB Department Chair and to the student’s POS committee within two weeks following receipt of the dismissal/probation action. The Department Chair will assign the student’s POS committee the task of investigating and reconsidering the decision in light of the additional information provided by the student.

Following the investigation and reconsideration of the student’s appeal, and no later than two weeks after the appeal is received, the review committee must present the student’s request, the investigation results, and a recommendation for a specific decision for action to the Department Chair and the Doctoral Supervisory Faculty. The student must be informed in writing within 48 hours of the resulting decision and the explanation for the basis of that decision.

Further appeals by the student may be made according to the ISU Graduate College appeal procedures (see Graduate College handbook).
Fall semester

Advisors meet with students on probation

Two weeks prior

Mid-year Probationary Meeting

December

Spring semester

Student submits c.v. & progress report

At least two weeks before Graduate Student Review Meeting

Student meets with advisor

April

Graduate Student Review Meeting held

Within one week of the Graduate Student Review Meeting

Advisor provides written feedback