

Ph.D. Doctoral Student Policy Handbook

Ivy College of Business

Iowa State University

September 27, 2021

Contents

I. Ph.D. Degree Requirements	
Program Structure	1
Major Area	2
Research Paper Review	4
Research Practicum	4
Minor Area	5
Research Methods	6
Preliminary Examination in the Major Area and Research Methods	8
II. Sample Course Schedule	11
Transfer Credits	14
III. POS Committee	15
POS Committee Make-Up	16
Major Professor	16
Co Major Professors	16
Members of the Committee	16
Non-Voting Members	16
Size	17
POS Committee Changes	17
Developing the Program of Study	17
IV. Dissertation	18
Dissertation Format	18

Proposal Defense	18
Dissertation Defense	19
V. Key Program of Study Evaluations	21
VI. Teaching Responsibility	23
VII. Student Performance Evaluation	23
Academic Requirements	24
Annual Performance Evaluation	24
Completion Time	25
VIII. Travel Funding	25
IX. Dissertation Grant	25
X. Updating this Handbook	26
Appendices	
Ph.D. Progress Report	27
COB Doctoral Student Travel Approval Form	32
POSC Online Form Example	33
College of Business PhD Student Review and Evaluation 2016	34
Oral English Certification Test (OECT)	38

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 three inter-related areas –a series of required and/or elective courses in the major area of specialization (Marketing, Information Systems and Business Analytics, Supply Chain Management, Entrepreneurship, Finance 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.

Modules	Courses	Credits
Foundation Requirements – Graduate Level Credits (if needed)	6	18
Major Area of Specialization	6	14
Minor Area	3	9
Research Methods	4	12
Electives	3	9
Dissertation		12
Total	22	74

Students 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.

Students who enter the program with a master's degree may transfer up to 18 credits of graduate credits from their master's program(s). The courses eligible for transfer will be decided by the student's Area Committee, in consultation with the PhD program director. If the Area Committee determines there are not enough eligible credits to transfer (i.e., less than 18 credits), they may suggest or require other courses the student can take at Iowa State to make up for the credit deficit. Undergraduate courses may not be transferred. Students entering the program with only an undergraduate degree will work with their Area Committees to determine how to address the 18 credit deficit.

Major Area

Students must select one (or possibly two) major areas of specialization: Entrepreneurship, Marketing, Supply Chain Management, Management, and Information Systems and Business Analytics, and Finance. 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, three 3-credit courses are required in the major, and students choose between MKT 603 and MKT 604. For Management, Information Systems and Business Analytics, Supply Chain Management, and Finance, four courses are required and there are no electives. 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.

Major	Core Courses	Elective Courses
Marketing	MKT 601: Consumer Behavior MKT 602: Marketing Strategy MKT 605X: Marketing Analytics: Quantitative Models & Applications MKT 603: CRM Strategy OR MKT 604: Marketing Issues in Inter-Organizational Relations Two Research Practica	
Information Systems and Business Analytics	MIS 620X: Overview of IS Research MIS 635X: Computational Research in MIS MIS 630X: Empirical Research in MIS MIS 625X: Analytical Research in IS Two Research Practica	

Supply Chain Management	<p>SCM 601: Theoretical Foundations of SCM</p> <p>SCM 604: Logistics Management</p> <p>SCM 603: Purchasing</p> <p>SCM 605: Operations Management</p> <p>SCM 650 & 651: Research Practica</p>	
Management	<p>MGMT 602: Organizational Theory</p> <p>MGMT 603: Strategic Management of Technology & Innovation</p> <p>MGMT 604: Seminar in Organizational Behavior</p> <p>MGMT 605X: Seminar in Strategic Management</p> <p>Two Research Practica</p>	
Entrepreneurship	<p>MGMT 603: Strategic Management of Technology and Innovation</p> <p>MGMT 606: Historical Foundations of Entrepreneurship Research</p> <p>MGMT 607: Current Topics in Entrepreneurship Research</p> <p>Two Research Practica</p>	<p>MGMT 604: Organizational Behavior</p> <p>MGMT 605: Strategy</p> <p>MGMT 602: Organizational Theory</p>

Finance	FIN 600: Finance Theory FIN 610: Corporate Finance FIN 650: Empirical Asset Pricing FIN 660: Current Topics in Finance Research Two Research Practica	
---------	---	--

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 should be encouraged if the professor sees promise in the students’ work.

If a student is unable to complete his/her 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 August 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. The research practicum for the second summer may 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 September 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 another major area within the Ivy doctoral program or an area offered in one of the colleges outside the Ivy college. The chosen minor area is expected to broaden and deepen the student's 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 Area Committee. Examples of relevant minor areas include:

- Marketing
- Supply Chain Management
- Information Systems and Business Analytics
- Management
- Entrepreneurship
- Finance
- 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 (such as the Graduate Minor in Statistics), 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.

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. 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 March 4, 2019. 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

STAT 341	Introduction to the Theory of Probability and Statistics I
STAT 342	Introduction to the Theory of Probability and Statistics II
STAT 402	Statistical Design and the Analysis of Experiments
STAT 404	Regression for Social and Behavioral Research
STAT 407	Methods of Multivariate Analysis
STAT 421	Survey Sampling Techniques
STAT 432	Applied Probability Models
STAT 451	Applied Time Series Analysis
STAT 457	Applied Categorical Data Analysis
STAT 501	Multivariate Statistical Methods
STAT 503	Exploratory Methods and Data Mining
STAT 511	Statistical Methods II
STAT 512	Design of Experiments
STAT 521	Theory and Applications of Sample Surveys
STAT 522	Advanced Applied Survey Sampling
STAT 542	Theory of Probability and Statistics I
STAT 543	Theory of Probability and Statistics II
STAT 544	Bayesian Statistics
STAT 551	Time Series Analysis
STAT 554	Introduction to Stochastic Processes
STAT 587	Statistical Methods for Research Workers (required for statistics minor)
STAT 588	Statistical Theory for Research Workers (required for statistics minor)
STAT 601	Advanced Statistical Methods
STAT 612	Advanced Design of Experiments

Sociology

SOC 511	Research Methodology for the Social Sciences
SOC 512	Applied Multivariate Statistics for Social and Behavioral Sciences
SOC 513	Qualitative Research Methods
SOC 613	Structural Equation Models for Social and Behavioral Sciences

Psychology

PSYCH 440	Psychological Measurement I
PSYCH 508	Research Methods in Applied Psychology
PSYCH 522	Scientific Methods in Human Computer Interaction
PSYCH 542	Applied Psychological Measurement

Anthropology

ANTHR 531	Ethnographic Methods
-----------	----------------------

Computer Science

COM S 555	Simulation: Algorithms and Implementation
-----------	---

Industrial Engineering

I E 413	Stochastic Modeling, Analysis and Simulation
I E 448	Manufacturing Systems Engineering
I E 510	Network Analysis
I E 519	Simulation Modeling and Analysis
I E 534	Linear Programming
I E 583	Data Mining

Economics

ECON 500	Quantitative Methods in Economic Analysis
ECON 601	Microeconomic Analysis I
ECON 603	Microeconomic Analysis II
ECON 671	Econometrics I
ECON 672	Econometrics II
ECON 673	Microeconometrics
ECON 674	Macroeconometrics

Preliminary Examination (Comprehensives) in the Major and Research Methods

The preliminary or comprehensive exam has two parts: 1) a written qualifying exam, and 2) a preliminary oral exam. The latter is required by the Graduate College. The former is a requirement of the Ivy College.

The qualifying exam will be given either in August/September or February/March of each year, after the student has completed his/her coursework 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.

Qualifying Written Exam:

The qualifying written exam will include eight or more questions relating to the major area and research methods. At least two questions must be related to research methods. Students will be required to answer at least six questions, two of which are related to research methods. The written exam will be conducted in a classroom under the supervision of an examiner. Questions for the qualifying written exam will be developed by the Area Committee, in consultation with the faculty who are responsible for the major area courses, the major professor, and others as deemed appropriate. Although the final evaluation will be the responsibility of the Area Committee, they will seek help of the faculty writing questions and/or experts in the assessed area, including the major professor, to evaluate the student's written exam and provide feedback.

Preparing for the Written Qualifying Exam: The Area Committee 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, but the exam questions are typically based on the syllabus of the course the student took from the faculty. *A readings list is optional.* If multiple students from an area take the written qualifying exam at the same time, the Area Committee members and faculty teaching doctoral seminars along with the major professors of those students will prepare the written exam questions jointly. The group will decide if customization is needed based on the set of courses taken by the students and the methods content that is relevant for each student's research program.

Questions for the methods section will be prepared by the Area Committee members. The Area Committee 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 the student has declared an official statistics minor, then the methods questions must be prepared and graded by a faculty member from the Statistics Department.

Evaluation of the qualifying written exam will be performed by each member of the Area Committee and other persons who wrote questions as well as the major professor. Faculty on the Area Committee are encouraged to discuss their evaluations of the qualifying written exam with the student prior to the preliminary oral examination; talking with them is a good way to prepare for the oral examination.

The qualifying written exam grading will be based on 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 Area Committee.

Conditional Pass: If a student receives a grade of conditional pass, it is up to the Area 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 two hours to perform each rewrite. The Area Committee will evaluate the rewritten responses. In some cases, the Area Committee may also require an additional oral exam as a condition.

Preliminary Oral Exam:

The preliminary oral examination should be scheduled after the student has successfully passed the written qualifying exam. There has to be at least three months between approval of the POSC and the preliminary oral exam. No more than three weeks should pass between the date of the student passing the qualifying written exam and the date of preliminary oral exam. The student must apply to the Graduate College to take the preliminary oral exam by completing the "Preliminary or Final Oral Exam Request" form online.

The student's POSC will conduct the preliminary oral examination. It is up to the discretion of the POSC chair as to whether others are allowed to attend the exam. The POSC members may ask questions that are not related to the written qualifying exam but are related to the content of courses taken in the major of the student or methods courses the student has completed. The preliminary oral exam typically does not cover the student's minor. However, in the case where the student has declared an official university minor (such as Statistics), one of the POSC members is from the department offering the minor, and that faculty member will examine the student from the perspective of the minor.

At the end of the preliminary oral examination, the POSC 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 POSC, as dictated by Graduate College policy.

Each part of the comprehensive exam, the written qualifying exam and the preliminary oral

exam, can be taken a maximum of two times. A student may earn a failing grade on the written qualifying exam and be given the opportunity to take the exam a second time for the part in which a failing grade was received, as outlined previously. The preliminary oral examination will not be conducted until after the written qualifying exam is administered for the second time (if needed). In instances in which a student fails the initial preliminary oral exam, a second oral exam can be scheduled. The second/repeat preliminary oral exam must be retaken within a one-year span after taking the first oral exam or the student will be terminated from the Ph.D. program. The Graduate College dictates that at least six months must pass between exams.

Forming a Program of Study Committee:

The Graduate College requires a student to have his/her POSC approved no less than three months before he/she plans to sit for the preliminary oral exam. For College of Business PhD students, this means POSCs should be approved no later than June 1 to sit for the preliminary oral exam in September, and December 1 for the March oral exam. Students should be aware that the approval of a POSC takes time. The application is completed and routed online. It goes first to the DOGE as an FYI. Then it goes to the major professor for approval. Once the major professor approves, it is routed to the rest of the committee for approval. It then returns to the DOGE for approval. Finally, the Graduate College reviews the application and either approves it or rejects it. If rejected, the POSC application will need to be revised by the student and resubmitted, and the entire online approval process will start again. This process can take several weeks, depending on the committee members and their attention to the POSC. Students should plan accordingly.

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 major(s), minor(s) research methods and others as deemed appropriate by the area committee and the major professor, if the student has chosen one. 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 five 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*

	Fall	Spring	Summer
Year 1	RM 2 or Minor 1 RM 1 Major 1: MIS 620X or 630 X	Minor 1 or 2 RM 2 Major 2: 625X or 635X	RM 3 RP 1
Year 2	Major 3: MIS 620X or 630 X RM 4 Minor 1	Major 4: MIS 625X or 635X Minor 2 RM	RP 2 Elective Qualifying Exam
Year 3	Teaching Preliminary Oral Exam	Teaching Dissertation Research	Dissertation Research
Year 4	Dissertation Research Proposal Defense	Teaching Dissertation Research	Dissertation Research
Year 5	Teaching Dissertation Research	Teaching Dissertation Research Final Defense	

Supply Chain Management

	Fall	Spring	Summer
Year 1	SCM 604 Logistics RM 1 RM 2	SCM 601 Theory Minor 1 RM 3	RM 4 or Elective RP 1
Year 2	SCM 603 Purchasing Minor 2 RM 4 or Elective	SCM 605 Operations Mgmt. Minor 3 or Elective RM	RP 2 Elective Qualifying Exam
Year 3	Teaching Preliminary Oral Exam	Teaching Dissertation Research	Dissertation Research
Year 4	Teaching; Dissertation Research; Proposal Defense	Teaching; Dissertation Research	Dissertation Research
Year 5	Dissertation Research Proposal Defense	Teaching Dissertation Research	Dissertation Research

Marketing

	Fall	Spring	Summer
Year 1	Major 1: MKT 601 (Consumer Behavior 1) RM 1 Minor 1	Major 2: MKT 603 (Strategy 1) RM 2 Minor 2	RM 3 RP 1

Year 2	Major 3: MKT 605 (Modelling) RM 4 Elective 1	Major 4: MKT 602 (Strategy 2) OR MKT 606 (Consumer Behavior 2) Minor 3 Elective 2	RP 2 Elective 3 Qualifying Exam
Year 3	Teaching Preliminary Oral Exam	Teaching Dissertation Research	Dissertation Research
Year 4	Dissertation Research Proposal Defense	Teaching Dissertation Research	Dissertation Research
Year 5	Teaching Dissertation Research	Teaching Dissertation Research Final Defense	

**Note: Teaching assignments are indicative and subject to change*

Management

	Fall	Spring	Summer
Year 1	RM1 - MGMT 609 Major 1: ENTSP 611 Major 2: MGMT 612	MGMT/ENTSP 620x6 RM 2	RM 3 RP 1
Year 2	Major 3: MGMT 605 MGMT/ENTSP 620x3 RM 4	MGMT/ENTSP 620x3 Minor 1 Minor 2	RP 2 Minor 3 Qualifying Exam
Year 3	Teaching; Preliminary Oral Exam	Teaching; Dissertation Research	Dissertation Research
Year 4	Dissertation Research Proposal Defense	Teaching Dissertation Research	Dissertation Research
Year 5	Teaching Dissertation Research	Teaching Dissertation Research Final Defense	

Entrepreneurship

	Fall	Spring	Summer
Year 1	RM1 - MGMT 609 Major 1: ENTSP 611 Major 2: MGMT 612	MGMT/ENTSP 620x6 RM 2	RM 3 RP 1
Year 2	Major 3: MGMT 605 MGMT/ENTSP 620x3 RM 4	ENTSP 607 Minor 1 Minor 2	RP 2 Minor 3 Qualifying Exam
Year 3	Teaching Preliminary Oral Exam	Teaching Dissertation Research	Dissertation Research

Year 4	Dissertation Research Proposal Defense	Teaching Dissertation Research	Dissertation Research
Year 5	Teaching Dissertation Research	Teaching Dissertation Research Final Defense	

Finance

	Fall	Spring	Summer
Year 1	Econ 500 Stat 588 Econ 601 Major: MGMT 606	Major: Fin 600 Major: Fin 605 Econ 603	RP 1 RM1
Year 2	Major: Fin 650 Econ 671 Elective	Major: Fin 610 Econ 673 Fin 691 Or Elective Paper RM 4	RP 2 Elective Qualifying Exam
Year 3	Teaching Preliminary Oral Exam	Teaching Dissertation Research	Dissertation Research
Year 4	Dissertation Research Proposal Defense	Teaching Dissertation Research	Dissertation Research
Year 5	Teaching Dissertation Research	Teaching Dissertation Research Final Defense	

*RM – research methods; RP – research practicum

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 Area Committee, and with the approval of the DOGE 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 Area Committee may

III. POS Committee (POSC)

The POS Committee can be set when a student has narrowed his or her field of research and study.¹ For most students, this will typically happen in the second year of the program. As per the Graduate College guideline, **the POSC must be approved no less than three months before the preliminary oral exam.** The student will select a major professor who will recommend to the student other members of the POS Committee.

To select a POS 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).
- Go to <https://www.grad-college.iastate.edu/posc/> and complete the online Program of Study Committee form. Once submitted, the form must be approved by the Committee members and the Program's Director of Education (DOGE). A paper practice form is here: <https://www.grad-college.iastate.edu/documents/forms/POSC.pdf>.
- After submission, 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.

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

¹ The Area Committee will guide students with course related issues and assume responsibility for creating and administering the Written Preliminary Exam. 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.

- 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 Chapter 6.4 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

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 POS 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 POS form with the help of the Area Committee. In cases where the student has made an early decision on his/her major professor, the POS 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.

POS forms are available online through AccessPlus under the Student tab, Graduate Student Status. The POS form is approved by the student, committee members, and the DOGE. When the Graduate College has approved the POS, the status of POS 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 inter-related 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 to two years before the student's proposed dissertation defense date. 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 "Final Oral Exam Request" form is submitted to the Graduate College:

- Full admission status,
- 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 Final Oral” & “Graduate Student Approval” forms,
- “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, required by the Graduate College, is 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 “Final Oral Exam Request” 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 with the “Preliminary or Final Oral Examination with Committee Member at a Distance” form. 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 College 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.

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 August 15, at the end of the first 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 September 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.

Annual Student Evaluations: The College conducts an annual evaluation of each Ph.D. student in the spring of each year. 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. Students are required to submit a completed progress report and a current c.v. for the evaluation process and meet face-to-face with either the Area Committee or his/her major advisor. The structured evaluation process is discussed in more detail in the Appendix, where there is also a flow chart that illustrates the timing.

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 August 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 September 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.

Comprehensive Examination: Students will undergo a comprehensive exam in their major area of specialization and research methods at the end of the second year and start of the third year. There are two parts to the exam. The qualifying written exam will be conducted in a classroom under the supervision of an examiner, with six hours allocated. This exam will be prepared and evaluated by the student’s Area Committee, in consultation with the faculty who are responsible for the major area courses, the major professor, and others deemed appropriate. If the student passes, then he/she will take the preliminary oral exam, which will be administered by the POSC, as required by the Graduate College. There can be no more than three weeks between the successful passing of the written qualifying exam and the preliminary oral exam. Both parts of the comprehensive exam are described in more detail elsewhere in the Handbook.

Dissertation Proposal Defense – Admission to Candidacy: Students are required to take an oral dissertation proposal exam within one to two years before the student’s proposed dissertation defense date. 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 is required by the Graduate College and will be conducted after the dissertation is finished. It 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, as required by the Graduate

College.

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. Ph.D. students are required to teach two sections during their fifth year. 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. The Oral English Certification Test (OECT) combines OPI and TEACH scores 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.

Graduate students whose native language is not English, and whose English proficiency test scores fall below the minimum required for exemption, must take the English Placement Test unless they meet one of the other exemption criteria (see the appendix.)

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 five years. In rare cases, a student may need a sixth year to complete his/her degree. However, the College will not provide any funding, including tuition waivers, to any sixth year student. The College will provide office space to a sixth-year student only when space is available.

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- and fourth-year students will be allotted \$2000 per year. Fifth year students will receive \$3000. 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 passed the preliminary oral exam 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 appropriate Associate Dean (for Research or for Graduate Programs).

The Associate Dean 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.

Appendices

IOWA STATE UNIVERSITY
COLLEGE OF BUSINESS
PHD PROGRESS REPORT

NAME:

DATE:

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:

Expense	Amount
Airfare	
Hotel (nights @ \$ per night)	
Conference Registration	
Cab/Shuttle	
Meals (total)	
Miscellaneous (label & itemize below)	
TOTAL	

Approved:

(Must be approved by PhD Program DOGE, Joey F. George) Date:

POSC Worksheet
***Not Official Form**

Not Official Form. This is a practice worksheet for the online POSC form.

I. STUDENT INFORMATION:

Student Name:

(Last)

(First)

(ISU ID#)

II. GRADUATE DEGREE PROGRAM:

1st Major: Area of Specialization

Co-Major: Area of Specialization

1st Minor:

2nd Minor:

III. MODIFY DEGREE PROGRAM:

1st Major: Area of Specialization

Co-Major: Area of Specialization

1st Minor:

2nd Minor:

IV. COMMITTEE:

Tips

- Members need to have Graduate Faculty status.
- Students need to have at least three members, two of which are in their major. One member needs to be marked outside.
- Ph.D. students need to have at least five members, three of which are in their major. One member needs to be marked outside.

Committee Member Name
 First and Last

Role
 Major Professor or Committee Member

Outside Minor
 Rep

V. PROGRAM OF STUDY:

COURSES TAKEN AS AN UNDERGRADUATE

- No more than ten (10) credits earned under the undergraduate degree can be used toward a graduate degree (three 3-credit classes or two 3-credit and one 4-credit class). These courses cannot have been used toward the undergraduate degree.

Department (Abbreviation)	Course Number	Course Title (Abbreviate to fit on one line)	Credits	Term	Year (XXXX)	Grade
------------------------------	------------------	---	---------	------	----------------	-------

Not Official Form. This is a practice worksheet for the online POSC form.

For the complete PDF file, go to: http://www.grad-college.iastate.edu/common/forms/files/POSC_r.pdf

College of Business PhD Student Review and Evaluation 2016⁴

In order to ensure student progress, the **Doctoral Supervisory Faculty**⁵ 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 HDFG 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:

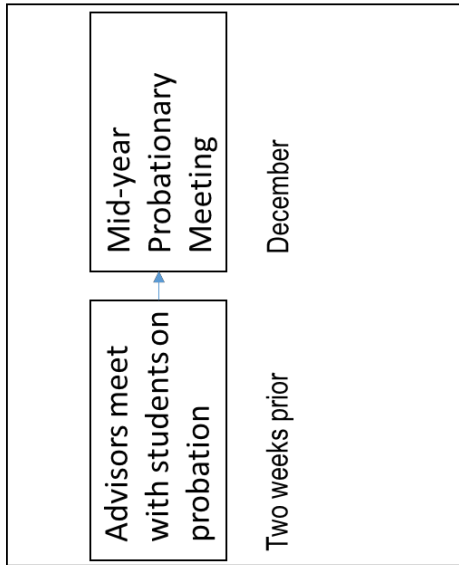
1. Satisfactory, with no concerns;
2. Satisfactory, with concerns;
3. Unsatisfactory, with probation warning (i.e., a time line for improvement is imposed)
4. Dismissal.

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.

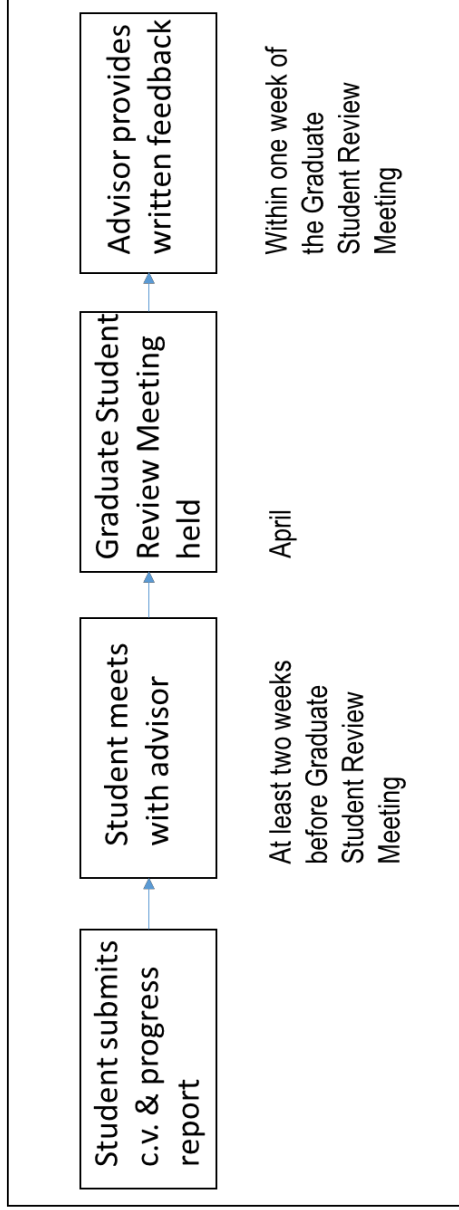
Following the investigation and reconsideration of the student's appeal, and no later than two weeks after the appeal is received, the review committee must present the student's request, the investigation results, and a recommendation for a specific decision for action to the Department Chair and the 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



Spring semester



Testing of Nonnative English Speaking Students

Test #1: Oral English Certification Test (OECT) for International Teaching Assistants (ITAs)

Graduate students who do not speak English as their first language are required to take the Oral English Certification Test (OECT) (<https://cce.grad-college.iastate.edu/speaking/oect-for-itas/overview>) in any of the following situations:

- they have been offered a teaching assistantship
- they will have some teaching responsibilities even if they are not teaching assistants, e.g. an occasional discussion leader, a substitute presenter, etc.
- they are applying to the Preparing Future Faculty (PFF) or Graduate Student Teaching Certificate (GSTC) Programs.

This language test measures the ability to use spoken English for teaching purposes and is different from the English Placement Test (EPT) that measures general academic English proficiency. This test is administered by the [Center for Communication Excellence](#), Graduate College. The OECT levels are used to make language proficiency-based recommendations to academic departments and graduate programs regarding their students' teaching duties. Students who do not receive OECT certification, i.e. test at OECT Level 2, 3, or 4, are required to take one or more section of English 180 which will provide them with English language support as necessary. These English courses must be completed during the first year of study, and registration holds are placed if the student does not register for these during the first two semesters from the time of appointment.

Graduate students who speak English as their first language can seek an exemption if they reside in certain countries where English is the official language. Additionally, graduate students can seek an exemption if they present TOEFL, IELTS, or PTE results that fall within the OECT exemption criteria (see <https://cce.grad-college.iastate.edu/speaking/oect-for-itas/candidates>).

Instructions and test registration dates are available at <https://cce.grad-college.iastate.edu/speaking/oect-for-itas/schedule>.

For questions about the OECT, please email itas@iastate.edu.

Test #2 English Placement Test (EPT) for all international graduate students

Graduate students whose native language is not English and whose English proficiency test scores fall below the minimum required for exemption,* must take the English Placement Test unless they meet one of the other exemption criteria.** This test is administered by the Department of English. Students must take the EPT at the beginning of their first semester of enrollment. Students who do not pass the EPT are placed into one or more courses in the English 99 or 101 series. These English courses must be completed during the first year of study, and registration holds are placed if the student does not register for these during the first year of study.

*English proficiency test scores required for exemption from the EPT:

- Minimum TOEFL PBT score of 600, or TOEFL iBT score of 100
- Minimum IELTS Academic score of 7.5
- Minimum PTE (Pearson Test of English) Academic score of 72

**Additional exemption criteria, course fees, and other information about the test can be found at <https://apling.engl.iastate.edu/english-placement-test>.