



School of Management
University at Buffalo *The State University of New York*

2006-2007

PHD HANDBOOK

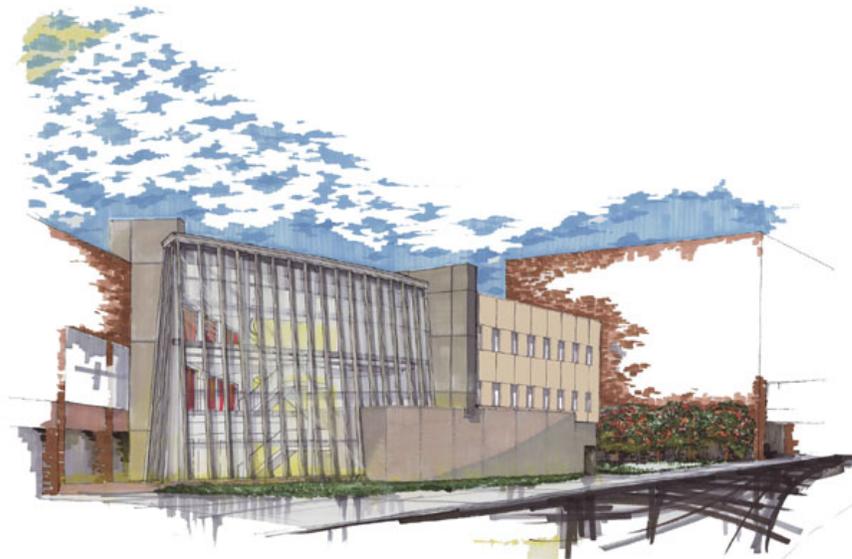


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Calendars

Academic Calendar for 2006-07

FALL 2006

| | |
|---|--|
| Instruction begins..... | Monday, August 28 |
| Labor Day Observed..... | Monday, September 4 |
| Day of Learning (classes cancelled)..... | Tuesday, September 19 |
| Rosh Hashanah (classes cancelled after 6 p.m.)..... | Friday, September 22 |
| Rosh Hashanah (classes cancelled until 6 p.m.)..... | Saturday, September 23 |
| Yom Kippur (classes cancelled until 6 p.m.)..... | Monday, October 2 |
| Fall recess..... | Wednesday, November 22 – Saturday, November 25 |
| Classes resume..... | Monday, November 27 |
| Last day of classes..... | Friday, December 8 |
| Reading days..... | Saturday, December 9 and Sunday, December 10 |
| Semester final examinations..... | Monday, December 11 – Monday, December 18 |
| Winter recess begins..... | Tuesday, December 19 |

SPRING 2007

| | |
|--|---------------------------------------|
| Martin Luther King Day Observed..... | Monday, January 15 |
| Instruction begins..... | Tuesday, January 16 |
| Spring recess..... | Monday, March 12 – Saturday, March 17 |
| Classes resume..... | Monday, March 19 |
| Last day of classes..... | Monday, April 30 |
| Reading days..... | Tuesday, May 1 and Wednesday, May 2 |
| Semester final examinations..... | Thursday, May 3 – Thursday, May 10 |
| Commencement weekend..... | Friday, May 11 – Sunday, May 13 |
| <i>School of Management Commencement</i> | 5:00 p.m., Saturday, May 12 |

Registration Calendar for 2006-07

FALL 2006

| | |
|---|---|
| LAST DAY TO DROP COURSES WITH NO FINANCIAL LIABILITY..... | Friday, September 1 |
| LAST DAY TO ADD COURSES AND LAST DAY TO DROP COURSES WITHOUT “R”..... | Friday, September 8 |
| COURSES MAY BE DROPPED FOR GRADE OF “R”..... | September 9 – October 20 |
| COURSES DROPPED WILL BE ASSESSED 30% TUITION..... | Saturday, September 2 – Friday, September 8 |
| COURSES DROPPED WILL BE ASSESSED 50% TUITION..... | Saturday, September 9 – Friday, September 15 |
| COURSES DROPPED WILL BE ASSESSED 70% TUITION..... | Saturday, September 16 – Friday, September 22 |
| FIRST DAY ON WHICH COURSES DROPPED WILL BE ASSESSED 100% TUITION..... | Saturday, September 23 |
| LAST DATE TO RESIGN FOR AN “R” GRADE..... | Friday, November 10 |

SPRING 2007

Please consult the Student Response Center website at:

<http://studentresponse.buffalo.edu/calendars/index.shtml>

Relevant dates were not posted at the time of publication.

Official calendars are posted on the University website in the Student Response Center area. Some dates above are not confirmed at time of publication. Students are advised to check the web site. Official University dates are binding.

STATE UNIVERSITY POLICY REGARDING STUDENT OBSERVANCE OF RELIGIOUS HOLY DAYS

“On those religious holy days when members of a faith typically observe the expectation of church or synagogue that they be absent from school or work, campuses will avoid the scheduling of such events as registration, the first day of classes, or student convocations, and individual students will be excused from class without penalty if expressly requested.” (From SUNY *Policy Manual*, 1975, Section No. 091.3.)

UNIVERSITY AT BUFFALO PROCEDURE ADDS:

“If such a requested absence results in a student's inability to fulfill an academic requirement of the course on that particular day, then instructors should provide an opportunity for the student to make up the requirement without penalty.”

Introduction

The purpose of this catalog is to acquaint doctoral applicants and students with the rules, policies, and procedures governing the PhD Program at the School of Management. The Graduate School of the University at Buffalo grants the PhD degree and establishes minimum standards for all graduate students in the University. These standards are described in the Graduate Bulletin, which may be obtained from the Graduate School Office, 402 Capen Hall, Amherst Campus (716-645-2939). Within these standards, individual academic units establish more detailed requirements and procedures for completion of their graduate programs. Questions which are not addressed in this catalog should be directed to the Graduate Programs Office, 203 Alfiero Center, Amherst Campus, Phone: 716-645-3204. Overall policy for the PhD Program is set by the PhD Program Committee, consisting of the chairman, a student representative, and six faculty members who serve as advisors for the various subject areas in the program. Incoming students should contact their respective advisors as early as possible to discuss their individual programs and course requirements. A Permanent Record is maintained by the Graduate Programs Office, 203 Alfiero.

PhD Program Directory

Dr. Raghav Rao
PhD Program Chairman
325 Jacobs Management Center
Phone: 645-3425

Dr. Howard G. Foster
Associate Dean for Academic Programs
160 Jacobs Management Center
Phone: 645-3222

David W. Frasier
Assistant Dean
Graduate Programs Administration
203 Alfiero Center
Phone: 645-3204

Ms. Jenny Young
Administrative Assistant
203 Alfiero Center
Phone: 645-3204

Advisors are available in each of the following areas:

Accounting
Finance and Managerial Economics
Management Science & Systems
Marketing
Operations Management & Strategy
Organization & Human Resources

Student Representative: tba

School of Management Faculty

Department Chairs

SUSAN S. HAMLEN, Chair,
Department of Accounting and
Law, PhD, Purdue University;
CMA

KEE H. CHUNG, Chair,
Department of Finance and
Managerial Economics, M&T
Bank Professor of Banking and
Finance, PhD, University of
Cincinnati

RAMASWAMY RAMESH,
Chair, Department of
Management Science and
Systems, PhD, State University
of New York at Buffalo

ALAN S. DICK, Chair,
Department of Marketing
PhD, University of Florida

NALLAN C. SURESH, Chair,
Department of Operations
Management and Strategy, PhD,
University of Cincinnati

JERRY M. NEWMAN, Chair,
Department of Organization and
Human Resources, PhD,
University of Minnesota,
Distinguished Teaching Professor

Full-Time Faculty

2006-07

**DEPARTMENT OF
ACCOUNTING AND LAW**
Chair: Susan S. Hamlen

SUNY Distinguished Teaching Professor

RONALD J. HUEFNER, PhD,
Cornell University; CPA (New
York); CMA

Associate Professors

CAROL ANN FROST, PhD,
University of Michigan

SUSAN S. HAMLEN, PhD,
Purdue University; CMA

Adjunct Associate Professors

ALEX B. AMPADU, MBA,
Rochester Institute of
Technology; CPA (New York);
CMA; CI

ANN B. COHEN, MBA, State
University of New York at
Buffalo; CPA (New York)

ARLENE M. HIBSCHWEILER,
JD,
State University of New York at
Buffalo

Assistant Professors

DANIEL BRYAN, PhD,
University of Oregon

FENG GU, PhD,
Washington University
TROY D. JANES, PhD,
University of Michigan

MYUNGSUN KIM, PhD,
Purdue University

PARUNCHANA PACHARN,
PhD,
Carnegie-Mellon University

SAMUEL L. TIRAS, PhD,
Ohio State University

WEIHONG XU, PhD,
Washington University

Lecturers

KATHLEEN S. NESPER, MBA,
State University of New York at
Buffalo

KATHY R. O'DONNELL,
MBA,
State University of New York at
Buffalo

MARTHA SALZMAN, JD,
University of Pennsylvania

DEPARTMENT OF FINANCE AND MANAGERIAL ECONOMICS

Chair: Kee H. Chung

SUNY Distinguished Professor

ISAAC EHRLICH, PhD,
Columbia University; Melvin H.
Baker Professor of American
Enterprise

Professors

KEE H. CHUNG, PhD,
University of Cincinnati, M&T
Chair in Banking and Finance

LEWIS MANDELL, PhD,
University of Texas at Austin

JOSEPH P. OGDEN, PhD,
Purdue University

MICHAEL S. ROZEFF, PhD,
University of Rochester, Louis
M. Jacobs Professor of Financial
Planning and Control

Associate Professors

WILLIAM A. HAMLEN, JR.,
PhD, Purdue University

PHILIP R. PERRY, PhD,
University of California at
Berkeley

Assistant Professors

DAVID DAEWHAN CHO,
PhD, University of Chicago

KENNETH A. KIM, PhD,
University of Rhode Island

CRISTIAN-IOAN TIU, PhD,
University of Texas at Austin

TAO WU, PhD,
University of Pennsylvania

Visiting Assistant Professor

HODAN S. ISSE, PhD,
George Mason University

Adjunct Assistant Professor

DEREK J. MOHR, JD,
Case Western Reserve University

**DEPARTMENT OF
MANAGEMENT SCIENCE
AND SYSTEMS**

Chair: Ramaswamy Ramesh

Professors

JOHN C.G. BOOT, PhD,
Netherlands School of Economics

RAMASWAMY RAMESH,
PhD, State University of New
York at Buffalo

H. RAGHAV RAO, PhD,
Purdue University

G. LAWRENCE SANDERS,
PhD, Texas Tech University

Associate Professor

RAJIV KISHORE, PhD,
Georgia State University

Assistant Professor

RAJ SHARMAN, PhD,
Louisiana State University

Visiting Assistant Professor

DAVID J. MURRAY, MBA,
State University of New York at
Buffalo

**DEPARTMENT OF
MARKETING**

Chair, Alan S. Dick

Professor

ARUN K. JAIN, PhD,
University of Pennsylvania;
Samuel P. Capen Professor of
Marketing Research

Associate Professors

ALAN S. DICK, PhD,
University of Florida

DEBABRATA TALUKDAR,
PhD, University of Rochester

MINAKSHI TRIVEDI, PhD,
University of Texas at Dallas

Assistant Professors

RAM BEZAWADA, PhD,
Purdue University

CHARLES D. LIDSEY, PhD,
Indiana University

SEKAR RAJU, PhD,
Ohio State University

RAJESH K. SHAH, PhD,
Cornell University

**DEPARTMENT OF
OPERATIONS
MANAGEMENT AND
STRATEGY**

Chair, Nallan C. Suresh

Professors

WINSTON T. LIN, PhD,
Northwestern University

NALLAN C. SURESH, PhD,
University of Cincinnati

JOHN M. THOMAS, PhD,
Massachusetts Institute of
Technology

Associate Professor

NATALIE C. SIMPSON, PhD,
University of Florida

Visiting Associate Professor

JOHN M. HANNON, PhD,
Cornell University

Assistant Professors

YONG LI, PhD,
University of Illinois

TONY TONG, PhD,
Ohio State University
CHARLES WANG, PhD,
Syracuse University

Visiting Assistant Professors

HAROLD STAR, PhD,
Concordia University

**DEPARTMENT OF
ORGANIZATION AND
HUMAN RESOURCES**

Chair: Jerry M. Newman

**SUNY Distinguished Teaching
Professor**

JERRY M. NEWMAN, PhD,
University of Minnesota

Professors

BRIAN E. BECKER, PhD,
University of Wisconsin

FRED DANSEREAU, PhD,
University of Illinois

HOWARD G. FOSTER, PhD,
Cornell University

Associate Professor

FRANK J. KRZYSTOFIAK,
PhD, University of Minnesota

Adjunct Associate Professor

JOSEPH F. SALAMONE, MBA,
State University of New York at
Buffalo

Assistant Professors

PRASAD BALKUNDI, PhD,
Pennsylvania State University

ALICIA BOISNIER, PhD,
University of California at
Berkeley

CORINNE COEN, PhD,
University of Michigan

ALEXANDRA MISLIN, PhD,
Washington University

Visiting Assistant Professor

JOSEPHINE M. ZUBEK, PhD,
State University of New York at
Buffalo

Adjunct Assistant Professor

MURIEL ANDERSON, MBA,
University at Buffalo

RAYMOND ORRANGE, MBA,
State University of New York at
Buffalo

Chapter I

PhD Management Program

Overview of Requirements

Major Fields

Each student is required to select a major field within the School of Management. The dissertation will be centered in this field. At present, a concentration may be selected from:

Accounting
Finance & Managerial Economics
Management Science & Systems
Marketing
Operations Management & Strategy
Organization & Human Resources

Courses in these fields are located within the six departments of the School. These departments are Accounting and Law, Finance and Managerial Economics, Management Science and Systems, Marketing, Operations Management and Strategy, and Organization and Human Resources. The Managerial Economics program is offered jointly by the Department of Economics and the Department of Finance and Managerial Economics.

Related Field Minor Area of Concentration

Students minor in one substantive area and thereby take a number of courses inside or outside the School. The content

of all official minors is listed at the end of Chapter II. The minors available within the School include Accounting, Finance, Management Science and Systems, Managerial Economics, Marketing, Operations Management and Strategy, Organization and Human Resources, . The minors available outside the School include Computer Science, Cognitive Psychology, Economics, Industrial Engineering, Organizational Communication, Social Psychology, Sociology, and Statistics. The advisor of the students' major area should approve the minor. Special minors are also available.

PhD Core Requirements

Calculus Prerequisite
A two-semester introductory calculus sequence covering topics in differential calculus, integral calculus, simple differential equations, and basic matrix algebra is required.

Core
Students take two statistics courses and two research methodology courses relevant to their major and **approved by the advisor**. These courses are usually offered by a department outside the School except for MGO 615 and MGO 616 - Econometric Methods And Managerial Applications I & II. Statistics courses include: Mathematical Probability (STAT 501), Mathematical Statistics (STAT 502), Econometrics (ECON 613 and 614), Statistical Inference II (CEP 523), Statistical Methods in Sociology (SOC 607 and 608). Research methods include Mathematics for Economists (ECON 611, 612), Applied Stochastic Processes (IE 576),

Marketing Research Methods (MGM 667), Research Methods in Sociology (SOC 606), Education and Psychological Seminar (CEP 509), Research Methods in Social Psychology (PSY 704) and methods of Field Research in Social Psychology (PSY 708). One course in behavioral science (e.g., MGB 601) and two courses in economics beyond MGE 601; *or* One course in economics (e.g., MGE 601) and two courses in behavioral science beyond MGB 601. MGG 700 - Introduction to Research Methods (should be taken during the first year) In addition to the 3 core courses and statistics and methods courses, each student is required to gain three hours of credit on a pass/fail basis in one or some combination of the four other non-major areas of study in the SOM. This can be accomplished by taking three workshops each for one credit each in other areas or by taking one 3-credit seminar in one other area.

First-Year Paper

All students should prepare a literature survey approximately 15 pages in length on the topic that they wish to start working on for their second year paper. This will be evaluated by a committee at the beginning of the spring semester of the second year and no later than the end of the spring semester of the second year. All students are required to pass the evaluation.

Second-Year Paper

All students must begin a research paper no later than one year after entering the PhD Program. The paper is to be evaluated by a committee no later than two and one-half years after the student enters the PhD

Program. The committee shall consist of two full-time faculty members selected by the student in consultation with the PhD advisor. At least one committee member must be a member of the graduate faculty. Failure to produce a satisfactory paper as determined by the committee will constitute unsatisfactory performance and will necessitate a review of the student by the PhD Program Committee. The student must produce a satisfactory paper before the major qualifying exam is taken. Students are also required to present this paper at a departmental seminar. The purpose of the paper is to provide an exposure to the *full* range of activities required to successfully conduct independent research. The research paper will have all of the characteristics of a publishable paper except that the overall *quality* need not be sufficient to merit publication. For example, the normal empirical paper will have *all* of the elements of a typical empirical article appearing in leading journals in the student's area. Similarly, a theoretical paper should have a broad enough range of development to warrant comparison with similar work published in the area.

Qualifying Examinations (Comprehensive Exams)

Doctoral candidates must take a written qualifying examination in their major field within three (3) years of entry into the program. The comprehensive examination in the major area may be taken before completing all courses in the minor. Examinations in minor areas are determined by the policy in that area. **All examinations must be**

completed successfully before the student applies for "Admission to Candidacy."

Normally, these examinations are taken immediately after completing coursework. Arrangements for taking an examination will be made through the appropriate PhD advisor by the student. If an examination is failed, it may be retaken. Only in unusual cases, and upon written petition to the PhD Program Committee of the School of Management, may the examination be taken more than twice. If such approval is not granted, the student will be terminated from the program. These examinations will be under the control of the department involved. Upon successful completion of each comprehensive, the department will notify the Office of Graduate Programs, with a copy to the student.

Dissertation

All students are required to complete a dissertation that is described in Chapter III.

Teaching Skills

1. Teaching Assistant Workshop

All PhD students are required to complete the Teaching Assistant Workshop offered by the University (currently it is offered by the Graduate School).

2. Before a PhD student teaches a course

The student should work with a professor in his/her department as a *Teaching* Assistant in a practicum before teaching that course. The practicum will expose the student to all aspects of teaching, including

preparation of class materials, selection of appropriate in-class activities/ exercises, preparation and grading of exams, leading class discussions, and actually teaching some classes while being observed by his/her professor. Each student enrolls for one credit (pass/fail) in the teaching practicum course before teaching.

3. The Mentoring Process For Teaching

Phase 1: Assign Mentor and Identify Course

The department Chair in concert with the PhD Committee will assign a mentor to a PhD student. This should be done at least one semester prior to the student's first teaching assignment. The mentor, the Department Chair and the PhD student will also work together to identify a course for the PhD student to teach.

Phase 2: Teaching Engagement

The PhD student will begin to prepare for the teaching assignment. This should include the following:

- Attends most, if not all, class sessions of one section taught by the mentor.
- The mentor *may provide* access to all course materials including the textbook (examination copy), lecture notes, PowerPoint slides, class handouts, assignments and examinations.
- The PhD student is encouraged to develop a syllabus, lecture notes, assignments and examinations as the semester progresses.
- The PhD student, in consultation with the mentor, will teach the mentor's course for *one or two weeks* during the semester. The PhD student and mentor will hold several

meetings prior to the two-week assignment to discuss the student's proposed teaching strategy. The faculty mentor will meet with the PhD student after each class to discuss class presentation and content. The PhD student will prepare examination questions for a midterm or final exam related to the material covered during the weeks.

Phase 3: Evaluation

Immediately after the PhD student has completed the teaching assignment, the mentor will administer an anonymous survey to the students in the course. This survey will be similar to the UBCATS instrument and will also attempt to elicit specific feedback concerning the PhD student's performance and areas where teaching might be improved. The mentor will send a memo to the Department Chair and the PhD Committee summarizing the PhD student's performance (e.g. comparison with SOM means and overall student reaction).

4. SPEAK Test Proficiency Requirement

The School of Management requires all incoming international PhD students to have their language skills evaluated prior to the beginning of their first semester in the program.

a) Students with inadequate language skills are directed to an appropriate remedial course taught by a member of the English as a Second Language Program staff.

(1) A student with a SPEAK score below 40 will be directed to take ESL 411 or 412 during the fall and ESL 512 during the spring of his or her first year in

the program. The student is not certified to teach.

(2) A student with a SPEAK score between 40 and 45 will be directed to retake the SPEAK test in December. If the student is not certified to teach, they will be required to take ESL 512 in the spring.

(3) A student with a SPEAK score of 50. Teaching certification interview requirement for those who intend to have instructional responsibilities at the University; some language coursework may be required.

(4) A student with a SPEAK score above 55 will be certified to teach without reservation.

b) If the course requires extraordinary tuition (e.g., the \$150 fee for the American English Pronunciation course), the School will underwrite the fee for the first session of a required remedial course.

c) Failure to take remedial courses during their first semester in the program or failure to perform satisfactorily in the remedial course will result in an unsatisfactory performance evaluation.

d) Upon completion of the remedial course but before the beginning of the second semester, students will have their language skills re-evaluated.

(1) Students with inadequate language skills (<55) will again be directed to an appropriate remedial course by a member of the English as a Second Language Program staff.

(2) These students will take remedial courses during their second semester in the program (without financial support by the School of Management).

(3) Upon completion of the remedial course but before the beginning of the next session, students will have their language3 skills re-evaluated. Failure to pass the SPEAK test will result in an unsatisfactory performance evaluation.

(4) If satisfactory progress is being made towards increasing English proficiency, an interview/presentation involving the ESL program staff may be used to gain teaching certification.

5. Teaching Requirement

All PhD students are required to teach at least one course that is a part of the School of Management curriculum before degree conferral.

a) Students will sit in on a section of the first course that they are to teach prior to their teaching introduction.

b) Courses taught by PhD students will be recorded on their permanent record maintained by the School of Management.

c) Copies of UBCATS (teaching evaluations) will be directed to area coordinators for each course taught by a PhD student.

d) A written evaluation of teaching performance will be provided to the area coordinator by either the course coordinator or the department chair for each course taught by a PhD student. (It is recommended that course coordinators review UBCATS and visit a class session.)

e) As a part of the annual review, the area coordinator will summarize information relating to the student's experience as an instructor and evaluate the student's overall teaching progress.

6. UBCATS

The PhD Committee will review UBCATS, written teaching evaluations by course coordinators or the department chairs, and area coordinators.

Where the committee believes that a student's performance as an instructor is substandard, the committee may seek additional input (discussions with the individual, discussions with the individual's students, class visitations).

When the committee finds that an individual is not making satisfactory progress as an instructor, they may recommend:

- 1) that the PhD Committee make an evaluation of unsatisfactory progress;
- 2) that the PhD Committee deny opportunities to teach for compensation;
- 3) that the PhD Committee suspend financial support;
- 4) that the committee review for termination.

Chapter II

Major and Minor Requirements

Accounting

Accounting is a field that deals with developing information which is useful to managers, investors, and other interested parties in evaluating an entity's financial position. At the PhD level, this involves directly measuring how users interact with accounting numbers as well as providing theories for accounting practice in the areas of Financial Accounting and Managerial Accounting

Prerequisites

An appropriate background in accounting, finance, and mathematics is assumed. Students may take MBA-level courses as necessary to fulfill any coursework deficiencies.

Major Requirements

The students majoring in Accounting take the following courses in addition to PhD core requirements.

Required Accounting Courses and Seminars

MGF 631 Corporate Financial Management
MGF 633 Investment Management
MGA 617 Seminar in Managerial Accounting
MGA 618 Seminar in Financial Accounting

The following required courses also satisfy the core requirements in methodology.
MGF 742 Information and Capital Markets
MGA 743 Research Methodology
MGA 795 Doctoral Seminar in Financial Accounting
MGA 796 Doctoral Seminar in Managerial Accounting

Economics Minor

The following courses satisfy the core requirements in statistics (two courses) as well as the requirements for a minor in Economics (a grade point average of 3.0 is required in minor courses).

ECON 611 Mathematics for Economists I
ECON 613 Introduction to Econometric Theory
ECON 665 Microeconomic Theory I
plus one course from the following:
ECON 614 Econometric Theory II
ECON 712 Econometrics: Time Series Analysis
ECON 731 Optimal Contract Theory
ECON 666 Microeconomic Theory I
MGO 795 and 796 accounting workshops are also required for one credit.

Independent Study and Supervised Research

Independent study can be useful to provide students with a detailed exposure to specialized topics in accounting. They can be used as substitutes for MGA 795 and 796 if either or both are not offered. Students are encouraged to undertake supervised research with faculty members with the objective of developing a publishable research paper.

Additional Area

With prior approval of the field advisor, a student must take three courses in an area of interest, such as Finance, Management Science, or Management Systems.

Second-year Paper

The required research paper (as noted in Chapter 1) must be completed by the end of the first semester of the third year of study.

Comprehensive Examinations

Accounting majors must successfully pass the comprehensive examination in Accounting. Students are expected to take the exam during their third year of study.

Typical Minors for Accounting Majors

Economics or Finance

Requirements for a Minor in Accounting

Students desiring an Accounting minor are expected to have an appropriate introductory-level background in financial and management accounting.¹

Minor requirements may be satisfied by taking either the financial or managerial track. Course requirements are:

Managerial Track

MGA 609 Management Accounting
MGA 617 Seminar in Management Accounting
MGA 795² Doctoral Seminar
Financial Track
MGA 606 Intermediate Financial Reporting
MGA 618 Seminar in Financial Accounting
MGA 796² Doctoral Seminar
No minor exam is required if the student achieves a 3.5 grade point average in minor courses.

¹MGA 604 or equivalent.

²Substitutes may be used for doctoral seminar including independent study and supervised research.

Finance

The Ph.D. Program in Finance provides effective and efficient education and training of students that will enable them to successfully pursue academic or professional careers associated with the financial management of corporations and financial institutions. Using the economics of uncertainty as applied to financial decisions

and a wide range of statistical tools, researchers in finance study three basic areas. First, researchers interested in investments study the 'efficiency' of the capital market, the pricing of financial assets, the management of portfolios, and the microstructures of the markets where assets trade. Second, researchers interested in corporate finance study capital structures, the market for corporate control, and the financial management of corporate assets. Finally, researchers interested in financial institutions study issues related to the management of such institutions. Majors in finance are expected to master the field sufficiently to conduct and publish research during their careers. Minors in finance are expected to understand the published finance research, and should seek to incorporate their knowledge in finance into their major area of study.

Major Requirements

Required Courses and Seminars

MGF 631 Corporate Financial Management
 MGF 633 Investment Management
 MGF 636 Complex Financial Instruments
 MGF 641 Financial Policies and Strategy
 MGF 740 Theory of Finance
 MGF 741 Corporate Finance
 MGF 742 Information and Capital Markets
 MGF 743 Research Methodology

Any of the first four courses may be waived if the student has had an equivalent prior course.

Elective Courses

In addition, the student may elect to take:

MGA 632 Financial Statement Analysis
 MGF 643 Value Creation
 MGF 661 Management of

Financial Institutions
 MGF 685 International Financial Management

Independent Study and Supervised Research

Students are encouraged to develop their knowledge in specialized topics through independent study and supervised research with the finance faculty. Such efforts may be undertaken with the objective of publishing a paper.

Economics Minor

The following courses must be taken in the Economics Department in lieu of the core courses in statistics (two courses), economics (two courses), and research methodology (one course {the other methodology course requirement is satisfied by MGF 740}):

ECON 609 Macroeconomic Theory I
 ECON 611 Mathematics for Economists I
 ECON 612 Mathematics for Economists II
 ECON 613 Introduction to Econometric Theory
 ECON 665 Microeconomic Theory I
 In addition, at least one of the following courses must be taken for the minor:
 ECON 614 Econometric Theory II
 ECON 615 Econometric Theory III
 ECON 666 Microeconomic Theory II
 ECON 712 Econometrics: Time Series Analysis
 ECON 721 Industrial Organization I
 ECON 731 Optimal Contract Theory

Recommended Courses

Each student is encouraged to take additional courses which develop their research skills. Depending on the student's specialization. Further

training in the following areas is very desirable:

- a) Economics (see list above)
- b) Statistics (e.g., STAT 521, 522)
- c) Management Science
- d) Mathematics (e.g., MATH 301, MATH 331- 332)
- e) Research courses in the School of Management (e.g., MGA 617, MGA 618)

The student must maintain a grade point average of 3.0 (B) to fulfill the requirement for a minor in Economics. However, we expect the student to achieve an average higher than this minimum.

Workshop Participation

Two semesters of workshop courses (MGO 795, 796) must be taken. The workshop is designed to expose the student to current research.

Second-year Paper

By the end of the fall semester of the third year, the student is required to complete an original research paper which is acceptable to an evaluation committee of three faculty members. The paper should demonstrate that the student has the research potential to complete an acceptable dissertation (and is not necessarily of publishable quality). Students should choose their evaluation committee as early as possible.

Comprehensive Examination

By the end of the summer after all finance seminars are completed (generally at the end of the second year), the student must take a written qualifying exam. The questions will be primarily based on material covered in the finance Ph.D. seminars. The comprehensive exam may be taken only twice.

Annual Review

The finance faculty will conduct an annual review and interview of each student in the program in the Spring semester. The purpose is two-fold: to determine whether the student is making adequate progress toward the degree, and to determine where the students interests are developing. The student's progress will be based on: (a) course grades; (b) comprehensive exam grade; (c) workshop participation; (d) performance as an RA or TA; (e) dissertation development; and (f) overall progress toward the degree.

Typical Minor for Finance Majors

Economics

Requirements for a Minor in Finance

Required Courses

MGF 633 Investment Management

MGF 636 Complex Financial Instruments

MGF 641 Financial Policies and Strategy

MGF 740 Theory of Finance
And two of:

MGF 636 Complex Financial Instruments

MGF 741 Corporate Finance

MGF 742 Information and Capital Markets

MGF 743 Research Methodology

Any of the 600-level courses may be waived if the student has had an equivalent prior course.

Electives

Any of the following courses may also be taken, but are not required:

MGF 642 Financial Planning and Evaluation

MGF 643 Value Creation

MGF 661 Management of Financial Institutions

MGF 685 International Financial Management

MGF 741 Corporate Finance

MGF 742 Information and Capital Markets

MGF 743 Research Methodology

Independent Study

Independent study may also be used to help a student develop specialized knowledge in finance.

Minor Exam

Students are required to take the morning segment of the finance comprehensive exam. The exam may be taken only twice. No minor exam is required if the student achieves a 3.5 GPA in the minor courses.

Management Science & Systems

The Management Science & Systems major has two tracks. The Management Science track covers the areas of mathematical programming, multi-criteria decision-making, design science, behavioral science, statistical methodology and application, and decision support systems. The track emphasizes the use of mathematical, statistical, and economic techniques to model complex management and management-related problems. The Management Systems track covers the areas of management information systems, design science, behavioral science, decision support systems, information assurance, e-commerce, global information technology management. The concentration emphasizes the use of systems analysis techniques, quantitative techniques, simulation, model and theory building, statistical analysis, and other analytic methods in the structuring and resolution of management problems related to the development, use, and impacts of information technology and information systems in organizational, individual, and societal domains.

The tracks have the following concentrations:

A. Management Science Track

1. Mathematical Programming and Decision Making
2. Statistical Methods and Applications (including Forecasting)

B. Management Systems Track

1. Information Assurance
1. Management Information Systems
3. Global IT Management

Prerequisites

Student must develop or have competence in accounting, economics, finance, marketing, organizational behavior/organizational theory, and strategic management equivalent to one first-year MBA course in each area before graduating from the Ph.D. Program.

Major Requirements

Management Science Track (see concentrations A1 and A2 above)

ECON 613** Introduction to Econometrics

ECON 614** Econometric Applications and Methods

IE 576** Applied Stochastic Processes

MGQ 614 Advanced Probability and Statistics or IE575

MGQ 616 Stochastic Models of Management Science or IE 572

MGS 785: Behavioral Information Science

MGS 786: Design Science

MGS 787: Information Assurance

MGS 788: Globally Distributed Work

MGQ 797 Doctoral Seminar (Fall: must register for two consecutive years)

MGS 797 Doctoral Seminar (Spring: must register for two consecutive years)

Plus four of the following:

MGS 616 Stochastic Models of Management Science (see Note

1)
 IE 573 Discrete Optimization
 IE 575 Stochastic Methods
 IE 551 Simulation and
 Stochastic Models
 IE 675 Game Theory
 MGS 650 Information
 Assurance
 MGS 659 E-Commerce

**Management Systems Track
 (see concentration B1, B2, and
 B3 above)**

ECON 613** Introduction to
 Econometrics
 STAT 503** Regression and
 Design of Experiments (or
 ECON 614)
 MGS 650 Information
 Assurance
 MGS 659 E-Commerce
 MGS 785: Behavioral
 Information Science
 MGS 786: Design Science
 MGS 787: Information
 Assurance
 MGS 788: Globally Distributed
 Work
 MGQ 797 Doctoral Seminar
 (Fall: must register for two
 consecutive years)
 MGS 797 Doctoral Seminar
 (Spring: must register for two
 consecutive years)

Plus six of the following:
 MGS 613 Management
 Information Systems I
 MGS 614 Management
 Information Systems II
 MGS 616 Decision Support
 Systems
 MGS 620 Management of
 Globally Distributed Work
 MGS 650 Information
 Assurance
 MGS 651 Managing Computer
 Networks
 MGS 655 Distributed
 Computing
 MGS 659 E-Commerce
 GEO 531 International Business
 and World Trade**
 ECO 721 Industrial Organization
 II
 ** Courses satisfying statistics
 and methodology requirements.
 Permission of the PhD advisor is

required for substitutions.
 Possible substitutions: MGO
 615 and MGO 616 -
 Econometric Methods &
 Managerial Applications I & II

Notes:

(1) Independent Studies with
 faculty in the area may be used
 in lieu of those required courses
 which are not offered regularly.
 Any of the above courses can be
 replaced by other courses if
 competence in the above course
 area can be demonstrated
 through prior coursework and/or
 research experience. Permission
 of the PhD advisor is required.
 (2) MGQ 797, Doctoral Seminar
 (Fall) carries one credit hour per
 semester.
 (3) MGS 797, Doctoral Seminar
 (Spring) also carries one credit
 hour per semester. A doctoral
 student is required to register for
 MGQ 797 or MGS 797 for at
 least four consecutive
 semesters.

First-year Paper

See details on Page 4.

Second-year Paper

The research paper must be
 completed by the end of the first
 semester of the third year.

Comprehensive Exam

All students are required to
 demonstrate competence in their
 respective fields by successfully
 completing a comprehensive
 written examination. The
 examination is taken following
 completion of the course
 requirements which include
 three of the following four
 doctoral research courses MGS
 785, MGS 786, MGS 787 and
 MGS 788. The examination will
 be over materials covered in the
 courses listed together along
 with the current departmental
 reading lists. Please note that all
 four of the doctoral research
 courses have to be taken prior to
 graduation..

PhD Proposal

The PhD *proposal* is the
 penultimate milestone to
 successful graduation. The
 student must present to the
 faculty sufficient evidence that
 the dissertation can be completed
 successfully before the proposal
 is approved. It may be
 appropriate for the student,
 therefore, to include some
 sample data in the proposal to
 show how the data will be used
 in the dissertation. However, the
 student should not be required to
 complete all data collection prior
 to making the proposal.

**Typical Minors for MSS PhD
 Students**

Cognitive Science, Computer
 Science, Industrial Engineering,
 Statistics, Organization and
 Human Resources, and
 Operations Management and
 Strategy

**Requirements for a Minor in
 MSS**

All minors:
 MGS 613 Management
 Information Systems I
 MGS 614 Management
 Information Systems II
Management Systems Track
 MGS 616 Decision Support
 Systems
 MGS 620 Management of
 Globally Distributed Work
 Competence in areas of
 accounting, finance, and
 marketing are prerequisite
 requirements for certain of these
 courses in Management
 Systems. Competence can be
 established by taking graduate
 courses in these areas.
 Independent studies may be used
 in lieu of any of the above
 courses which are not offered
 regularly.
Management Science Track
 MGQ 614 Advanced Probability
 and Statistics or equivalent
 MGQ 616 Stochastic Models of
 Management Science *or* **IE 575
 Stochastic Methods**

plus one of the following:
MGS 616 Decision Support Systems
MGS 650 Information Assurance
MGS 659 E-Commerce
Independent studies may be used in lieu of any of the above courses which are not offered regularly. A comprehensive exam is required for all minors.

Managerial Economics (Joint Program with Economics)

The Ph.D. Program in Managerial Economics is offered as a joint program of the School of Management's Department of Finance and Managerial Economics and the Department of Economics in the Faculty of Social Sciences. Students can be accepted into the program by either unit, and all students take a set of courses that form the common core of the joint program. Then the student must choose one of the units for continued study, and must then complete all of the requirements of the degree specified by that unit. (Information about program requirements specified by the Department of Economics can be obtained by contacting that department.)

The program in Managerial Economics offers a strong foundation in economic theory leading to further study and research in economics, with emphasis on the more applied areas of the field. The faculty in both units represent a wide range of specialties. For students choosing to complete their studies within the School of Management, the School offers them opportunities to combine graduate studies in economics with specialization in other fields such as finance, accounting and marketing. (Because of the flexibility of this concentration, prospective majors and minors

are urged to consult as early as possible with the department's advisor in order to plan their program.)

Major Requirements

The student must take the following courses, which form the common core of the joint program in Managerial Economics:
ECON 665 Microeconomic Theory I
ECON 666 Microeconomic Theory II
ECON 609 Macroeconomic Theory I
ECON 610 Macroeconomic Theory II
ECON 611 Math for Economists I
ECON 612 Math for Economists II
ECON 613 Econometric Theory I
ECON 614 Econometric Theory II

If the student then chooses to follow the degree program in the School of Management, in addition to the core listed above the student must take four advanced seminars in areas related to economic policy. These can be taken either in the School of Management or in other departments in the University (e.g., Economics or Statistics). These seminars must be approved in advance by the Managerial Economics PhD advisor in the School of Management, and must not be used to satisfy requirements for another major or minor. Waiver of any of the required core courses is possible if equivalent work has been done in a previous course.

Other Requirements

Other requirements for the degree include the completion of a research paper, passing a comprehensive exam, requirements for teaching, and completion of a

dissertation. Details pertaining to these requirements are given in other chapters of the catalog.

Minor Requirements

The student minoring in Managerial Economics must take at least two courses in the area beyond the Ph.D. core requirements. In addition, two advanced seminars are required, as described under the major requirements and subject to prior approval by the Ph.D. advisor for Managerial Economics. Students must earn a grade "B" or better in each of the courses listed above in order to satisfy the requirements for the minor.

Marketing

The Ph.D. Program in marketing deals with addressing managerially relevant issues such as the study of factors affecting profitability of firms, improving decision making, and the impact of consumer behavior. Some examples of the types of questions of interest include: What is the optimal price to charge for our product? How does advertising affect sales? What is the most effective way to control the flow of products between the firm, its suppliers and its customers? How should a product be positioned vis-à-vis its competitors? It often uses economic theory to build normative models and teaches students how to create new knowledge helpful to marketing managers. As such, it is designed to provide training in the behavioral and quantitative domains, necessary for a successful research and teaching career.

Major Requirements

Beyond a basic graduate course in marketing (MGM 625 or equivalent), all students should take:

MGM 651 Consumer Behavior
MGM 663 Seminars in Marketing
or
MGM 795/796 Special Topics in Marketing
MGM 667 Marketing Research
MGM 797 Workshop (every semester until student reaches ABD status)

Select an additional three courses from

MGM 647 Supervised Research
MGM 656 Product and Production Management
MGM 657 Distribution Strategy
MGM 659 Marketing Planning and Strategy
MGM 683 International Marketing

The major field core research requirement in Marketing is satisfied by:

MGM 647 Supervised Research *plus*
MGM 667 Marketing Research
or
MGM 795/796 PhD Seminar in Marketing

Unless permission has been granted by the Marketing PhD Program advisor, students are also expected to take MGM 796 whenever it is offered, irrespective of whether their other course requirements have been met.

While choice of a minor depends on the student's areas of interest within marketing, it is to be chosen carefully upon consultation with the departmental PhD advisor and other members of the Marketing faculty. It is recommended that students wishing to develop background skills in the application of behavioral sciences to marketing problems take a minor in Social Psychology.

Students wishing to develop background skills in the analysis of management problems in marketing may wish to minor in Economics, Management Science, or Management Systems. Since skills in empirical analysis are important in marketing, these students will wish to pursue advanced training in statistics within these minors. For example, those minoring in Economics or Management Science should take one or more courses in econometrics.

First-year Paper

See details on Page 4.

Second-year Paper

The research paper must be completed by the end of the first semester of the third year.

Comprehensive Examinations and Dissertation Proposal

Comprehensive examinations in Marketing will be offered during the last two weeks of January and the last two weeks of May each year. Both majors and minors must take a general exam which will draw upon all of the various marketing subject areas and which requires integrative responses from the students. This general exam is a written exam which lasts for three hours. Majors in Marketing take an additional written exam, normally on the same day as the general exam, which tests their knowledge of advanced areas of interest.

Marketing majors entering the program are also subject to the following requirements:

1. Students must first take the exam no later than during the January administration, two years after entering the program (i.e., during their fifth semester in the program).
2. Students not passing the exam must retake it the next time it is scheduled to be administered.

3. Students failing the exam twice will be dismissed from the program.

4. Students successfully passing the comprehensive exam are required to successfully defend their dissertation proposals within 20 weeks of the exam administration date.

Typical Minors for Marketing Majors

Economics, Social Psychology.

Economics Minor

The following courses satisfy the core requirements in statistics (two courses), economics (two courses), and research methodology (one course {the other methodology course requirement is satisfied by MGM 667}), as well as the requirements for a minor in Economics (a grade point average of 3.0 is required in minor courses).

ECON 611 Mathematics for Economists I

ECON 612 Mathematics for Economists II

ECON 613 Introduction to Econometric Theory

ECON 665 Microeconomic Theory I

Plus two courses from the following:

ECON 614 Econometric Theory II

ECON 666 Microeconomic Theory I

ECON 712 Econometrics: Time Series Analysis

ECON 713 Advanced Econometric Methods I

ECON 714 Advanced Econometric Methods II

ECON 721 Industrial Organization I

ECON 722 Industrial Organization II

Requirements for a Minor in Marketing

Beyond a basic graduate course in marketing (MGM 625 or equivalent), students minoring in Marketing should take:

MGM 651 Consumer Behavior
 MGM 663 Seminars in
 Marketing
 or 795
 or 796
 MGM 667 Marketing Research
 Students should also take a
 minimum of one additional
 graduate course in marketing,
 subject to departmental approval.
 This may come from the
 following list: MGM 647, MGM
 656, MGM 657, MGM 659.

A comprehensive exam is also
 required.

Operations Management and Strategy

The Operations Management &
 Strategy (OMS) major has two
 tracks: 1) Supply Chain &
 Operations Management and 2)
 Strategic Management. The
 objective of this Ph.D. program
 is to train high-quality
 researchers and educators, and
 other professionals who can
 advance and disseminate
 knowledge in the areas of supply
 chain, manufacturing and service
 operations, and business policy,
 strategy and entrepreneurship.

The Supply Chain & Operations
 Management track covers the
 two sub-areas of: a) supply chain
 management, and b)
 manufacturing & service
 operations management. Supply
 chain management emphasizes
 inter-firm communication,
 coordination, and integration of
 key business processes in the
 supply chain areas of purchasing
 and global supply management,
 production, inventory
 management, transportation,
 logistics, and application of
 inter-organizational information
 systems and technologies.
 Manufacturing and service
 operations management deal
 with design of manufacturing
 and service delivery systems,
 planning and control

mechanisms such as
 manufacturing resource planning
 (MRP II), just-in-time (JIT) or
 lean manufacturing, application
 of enterprise resource planning
 (ERP) systems, internet
 technologies and e-commerce
 applications, and continuous
 improvement (kaizen)
 methodologies and Six Sigma.
 Emerging areas of interest
 include design and management
 of emergency response systems,
 service operations, management
 of extreme events and supply
 chain resilience in global
 business context.

Research based on both
 analytical modeling and
 empirical (survey-based,
 statistical) research is
 encouraged. Analytical modeling
 involves the use of
 methodologies such as
 mathematical programming,
 multi-criteria decision-making,
 statistical methods, queuing
 theory, simulation and
 econometric methods, for
 analysis, evaluation and
 optimization of supply chain,
 manufacturing and service
 operations. Empirical research
 involves the use of secondary
 data, and collection of primary
 data through surveys, and
 analysis utilizing econometric
 models and statistical tools such
 as structural equation modeling,
 partial least squares methods,
 stochastic frontiers, etc.

Strategic Management track
 addresses research questions
 relating to competitive
 advantage and performance of
 organizations in turbulent, global
 business contexts. The areas of
 investigation include
 competitive strategy and
 competitive positioning,
 diversification strategies, vertical
 integration, corporate
 governance, acquisitions and
 alliances, technology strategy,
 inter-firm rivalry, firm
 capabilities and resources,

strategic decision-making
 processes, new venture creation
 and entrepreneurship, and
 strategy implementation
 mechanisms. Both research
 based on analytical modeling
 and empirical (survey-based,
 econometric, statistical) research
 are encouraged.

Prerequisites

Students must develop or have
 competence in accounting,
 finance, and marketing
 equivalent to one first-year MBA
 course in each area before
 graduating from the Ph.D.
 Program.

Major Requirements Supply Chain & Operations Management Track

MGG 700 Introduction to
 Research Methods
 MGO 615**: Econometric
 Methods & Managerial
 Applications I (required)
 MGO 616**: Econometric
 Methods & Managerial
 Applications II (required)
 MGO 630: Operations & Service
 Management
 MGO 631: Production &
 Inventory Planning
 MGO 632: Strategic Quality
 Management
 MGO 633: Supply Chains &
 Global Operations
 MGO 634: Project Operations
 Management
 MGO 795: Seminar in SCOM /
 Strategic Management
 MGO 797 Doctoral Seminar
 (must register for two
 consecutive years)
 Plus *three* of the following:
 (subject to approval of Ph.D.
 program advisor)
 IE 504: Facilities Design
 IE 506: Computer Integrated
 Manufacturing
 IE 551: Simulation & Stochastic
 Models
 IE 572: Linear Programming**
 IE 573: Discrete Optimization**
 IE 575 Stochastic Methods**

IE 576 Applied Stochastic Processes**
 IE 603: Location Theory
 IE 661: Scheduling Theory
 IE 662: Queuing Theory**
 IE 671: Nonlinear Programming**
 IE 674: Integer Programming**
 IE 675: Game Theory**
 IE 677: Network Optimization**
 MGS 659 E-Commerce**
 MGB 734 Organization Theory**
 MGM 667: Marketing Research Methods**
 MGG 619 (MGO 635): Business Forecasting**
 STAT 501, 502: Mathematical Probability & Statistics**
 ECON 611, 612: Mathematics for Economists**
 ECON 613, 614: Econometrics**
 ECO 721 Industrial Organizations II
 SOC 578: Survey Research**
 SOC 606: Research Methods in Sociology**
 SOC 607, 608: Statistical Methods in Sociology**
 Statistical Inference II (CEP 523)**
 Education and Psychological Seminar (CEP 509)**
 Research Methods in Social Psychology (PSY 704)**
 Field Research in Social Psychology (PSY 708)**
 GEO 531 International Business and World Trade

Strategic Management Track

MGG 700 Introduction to Research Methods
 MGO 615**: Econometric Methods & Managerial Applications I (required)
 MGO 616**: Econometric Methods & Managerial Applications II (required)
 MGO 641: Strategic Management
 MGO 660: Intro to Entrepreneurship
 MGO 680: International Business Environment
 MGO 795: Seminar in SCOM / Strategic management

MGO 630: Operations & Service Management
 MGO 633: Supply Chains & Global Operations
 MGO 797 Doctoral Seminar (must register for two consecutive years)
 Plus *three* of the following: (subject to approval of Ph.D. program advisor)
 MGO 661: New Venture Development
 MGO 662: New Venture Launch
 MGG 621: Game Theory
 IE 675: Game Theory**
 MGS 659 E-Commerce**
 MGB 734 Organization Theory**
 MGM 667: Marketing Research Methods**
 MGG 619 (MGO 635): Business Forecasting**
 STAT 501, 502: Mathematical Probability & Statistics**
 ECON 611, 612: Mathematics for Economists**
 ECON 613, 614: Econometrics**
 ECO 721 Industrial Organizations II
 SOC 578: Survey Research**
 SOC 606: Research Methods in Sociology**
 SOC 607, 608: Statistical Methods in Sociology**
 Statistical Inference II (CEP 523)**
 Education and Psychological Seminar (CEP 509)**
 Research Methods in Social Psychology (PSY 704)**
 Field Research in Social Psychology (PSY 708)**
 GEO 531 International Business and World Trade
 ** Courses satisfying statistics and methodology requirements.
 Notes:
 (1) Independent Studies with faculty in the area may be used in lieu of those required courses which are not offered regularly. Any of the above courses can be replaced by other courses if competence in the above course area can be demonstrated through prior coursework and/or research experience.

Permission of the PhD advisor is required.

(1) MGO 797, Doctoral Seminar carries one credit hour per semester.

First-year Paper

Must be completed by the end of the first semester of the second year.

Second-year Paper

The research paper must be completed by the end of the first semester of the third year.

Comprehensive Exam

All students are required to demonstrate competence in their respective fields by successfully completing a comprehensive written examination. The examination is taken following completion of the course requirements. The examination will be over materials covered in the courses listed together along with the current departmental reading lists.

PhD Proposal and Dissertation

The PhD *proposal* is the penultimate milestone to successful graduation. The student must present to the faculty sufficient evidence that the dissertation can be completed successfully before the proposal is approved. It may be appropriate for the student, therefore, to include some sample data in the proposal to show how the data will be used in the dissertation. However, the student should not be required to complete all data collection prior to making the proposal. The student must successfully defend his/her dissertation before the end of the seventh year in the program.

Typical Minors for OMS PhD Students

Industrial Engineering,
Statistics, Finance, OB/HR,
Marketing, Management
Information Systems

Requirements for a Minor in OMS

Supply Chain & Operations Management Track
MGO 630: Operations & Service Management
MGO 631: Production & Inventory Planning
MGO 632: Strategic Quality Management
MGO 633: Supply Chains & Global Operations
MGO 634: Project Operations Management
MGO 795: Seminar in SCOM / Strategic management

Strategic Management Track

MGO 641: Strategic Management
MGO 660: Intro to Entrepreneurship
MGO 615: Econometric Methods & Managerial Applications I
MGO 616: Econometric Methods & Managerial Applications II
MGO 680: International Business Environment
MGO 795: Seminar in SCOM / Strategic management

Competence in areas of accounting, finance, and marketing are prerequisite requirements for certain of these courses. Competence can be established by taking graduate courses in these areas. Independent studies may be used in lieu of any of the above courses which are not offered regularly. A comprehensive exam is required for all minors.

Organization and Human Resources

Within a consolidated program designed to develop strong research skills and a broad integrative exposure to the substantive fields of organizational science, the program in Organizational Behavior. Studies in OB focus on the behavior of individuals and groups in organizations; the relations between individuals and organizations; organizations themselves; and the behavioral/social science foundations of these subjects. The area also has the Center for International Leadership, which offers research opportunities to PhD students.

Major Requirements

1. *Two Topical Seminars (required of all OHR PhD students)*

MGB 702 Topical Seminar in OB (I & II)
Two courses in research methods (PSY 704, PSY 708, MGB 733, or other suitable alternatives approved by the department).
One course in measurement (e.g., CEP 509 or an alternative approved by the department).
At least one substantive OB or HR seminar during each of the first three years of participation in the program.

Registration in a suitably designated one-credit course for supervised research during each of the first four semesters in the program. (Arrangements for these research experiences will be made by the student in consultation with the department's PhD advisors. The requirement may be waived for a student serving as research assistant to a faculty member of the department.)

2. *Concentration--Options*

Each student's PhD Program is planned in consultation with a faculty advisor. The program plan is expected to include selection of a **major field** of study (OB), and a program

for its accomplishment. The program must be submitted to the department for approval by the end of the second year of graduate study.

Second-year Papers

Each student in the OHR PhD Program is required to complete a research paper. This is intended both to help develop students' research skills and to provide opportunities for faculty to evaluate their progress. It is assumed, too, that work on the paper will help define and deepen a student's interests and areas of concentration. It is the responsibility of the student to recruit a major area faculty member or members with whom to work on this project, and for dissertation research as well.

The "Research Paper"

This must be a report of empirical research in the form of a journal article. It is to be supervised by a two-person faculty committee; and, upon completion (not later than the end of the first semester of the third year of graduate study), it is to be the subject of a formal presentation by the student at a scheduled seminar open to all students and faculty. (This paper satisfies a requirement of the School of Management.)

Typical Minors for OHR PhD Students

Social Psychology, Sociology, or Organizational Communications

Requirements for a Minor in OHR

Students seeking a minor in OB or HR/IR are required to complete the following courses, with a GPA not lower than 3.5:

- Two Topical Seminars - MGB 702 I & II
- Two courses approved by the appropriate OHR PhD coordinator in either the Organization or the Human Resources area. (Neither MGI

601 nor MGB 601 will be accepted for credit toward a PhD minor in OHR.)

A comprehensive examination is not required for OHR minors.

Student Evaluation

Comprehensive Examination

Students must pass an integrative written examination. The examination will require two full days and will be administered at the end of the spring semester following completion of the OHR Topical Seminar Series (MGI 701/MGB 702). The examination will be based on the content of these seminars and a supplemental reading list prepared by the OHR faculty. It will not be limited to specific materials presented in classes. Questions will be prepared and graded "Pass" or "Fail" by faculty participating in the seminars.

Annual Evaluation

Individual students in the OHR PhD Program are evaluated annually by its faculty, ordinarily at the end of the spring semester. This evaluation includes review and assessment of each student's program, and considers not only the progress of the student in the program and compliance with University requirements, but also the student's development as an independent scholar. On the basis of its evaluation, the department may make specific recommendations to the student and/or SOM PhD Committee, including recommendations of termination in the program. The most important of the annual evaluations will usually be those following the second and third years of a student's program. The second year evaluation determines whether or not the student is encouraged to continue in the program. The third year evaluation leads to a decision on whether or not the student is to be admitted to candidacy for the PhD degree.

Students admitted to candidacy are expected to begin formal work on their doctoral dissertations promptly under the supervision of a major professor and a suitable committee of faculty, and to aim for completion during the fourth year of the program.

The faculty will also evaluate the overall performance of all students with research assistantships and decide who among the eligible OHR doctoral students will be awarded aid for assistantship appointments based on their academic record, as well as their performance as a research and/or teaching assistant.

Minors Outside of the School of Management

The School of Management offers minors for PhD students in all areas of study. In addition, various departments in the University offer the following minors:

Computer Science:

Three courses are required beyond CS 503 and CS 504 or the equivalent.
CS 503 Computer Science for Non-Majors I
CS 504 Computer Science for Non-Majors II
CS 505 Fundamentals of Programming Systems
CS 521 Introduction to Operating Systems
CS 531 Analysis of Algorithms I
CS 572 Introduction to Artificial Intelligence
CS 574 Introduction to Cognitive Science
CS 632 Analysis of Algorithms II

Cognitive Psychology

A minor in Cognitive Psychology consists of Psychology 639: Cognitive Processes and two courses from the following list. However, only one of the courses marked with an asterisk may be used for the minor.

PSY 627 Perception
PSY 635 Artificial Intelligence
PSY 642 Psycholinguistics
PSY 645* Perceptual and Cognitive Development
PSY 718* Memory and Cognitive Development
PSY 728 Memory
PSY 747* Language Development

Economics

An economics minor consists of at least one micro theory course (656-666), at least one macro theory course (609-610) and two other courses numbered above 600, all of which must be completed with an average of "B" or better. The possible courses are:

609 Macroeconomic Theory I
610 Macroeconomic Theory II
613 Introduction to Econometric Theory
614 Econometric Theory
665 Microeconomic Theory I
666 Microeconomic Theory II
712 Applied Econometrics
713 Advanced Econometric Meth I
714 Advanced Econometrics Methods II
721 Industrial Organization I
722 Industrial Organization II
725 Growth of Underdeveloped Economies I
726 Growth of Underdeveloped Economies II
743 Labor Economics I
744 Labor Economics II
751 Monetary Theory and Policy I
752 Monetary Theory and Policy II
757 Topics in Capital Theory
758 Marxian Economic Analysis
761 Theory of Economic Theory I
762 Theory of Economic Growth II
763 Public Finance & Fiscal Policy I
764 Public Finance & Fiscal Policy II
765 Activity Analysis
767 Advanced Economic Analysis I
768 Advanced Economic Analysis II
771 Mathematical Economics I
772 Mathematical Economics II
775 International Economics I
776 International Economics II
797 Research in Economics

Industrial Engineering:

3 courses

IE 500 Discrete or
IE 505 Production Planning and

Control

IE 506 Computer Integrated
Manufacturing
IE 551 Simulation and Stochastic
Models
IE 572 Linear Programming
IE 576 Applied Stochastic Processes
IE 675 Game Theory

Organizational Communication

The following three courses
compose the organizational
communication minor:
COM 537 Organizational
Communication
COM 602 Network Analysis
COM 635 Advanced Organizational
Communication

Social Psychology

The minor in Social Psychology
consists of satisfactory completion
(grade of "B" or better) of
Psychology 680: Advanced Social
Psychology and two courses from
among those listed below. However,
only one of the two courses marked
by an asterisk may be used for the
minor.

610 Theoretical Approaches to
Personality
616 Social Motivation
686 Small Group Processes
687 Theories and Strategies of
Social Change
704* Research Methods in Social
Psychology
708* Methods of Field Research in
Social Psychology
720 Social Influence Processes and
Interpersonal Perception
725 Attitude Structure, Function,
and Change
735 Psychology of Social
Interaction
740 Theory and Research on
Achievement Behaviors
761 Psychology of Social Conflict
765 Organizational Behavior
821 Topical Seminar

¹The requirements are subject to
change at the discretion of the
department offering the minor.

Sociology

The following three courses
compose the sociology minor:
SOC 567 Classical Theory
SOC 568 Contemporary Theory
One other Sociology elective (such
as SOC 580, Sociology of Groups)

Statistics

Five courses from the following list
at least two of which are at the 500
level in the Department of Statistics,
and at least two of which are not
cross-listed with undergraduate
courses, with a grade average of B
(3.0) or better.

STA 503 Regression and Design of
Experiments I
STA 504 Regression and Design of
Experiments II
STA 505 Statistical Computation
STA 506 Introduction to Data
Analysis
STA 509 Statistical Quality Control
CEP 523 Statistical Inference II
ECO 614 Econometric Applications
and Methods

Chapter III

Doctoral Candidates

Qualifying Examinations (Comprehensive Exam)

Doctoral candidates must take written qualifying examinations in their major and related field if they are enrolled in the School of Management. Examinations in other areas are determined by the department advisor in that area. All examinations must be completed successfully within three years (36 months). Normally, these examinations are taken immediately after completing coursework. Arrangements for taking an examination will be made through the appropriate PhD advisor by the student. If an examination is failed, it may be retaken. Only in unusual cases, and upon written petition to the PhD Program Committee of the School of Management, may the examination be taken more than twice. If such approval is not granted, the student will be terminated from the program. These examinations are under the control of the department involved. Upon successful completion of each comprehensive, the department will notify the Graduate Programs Office, with a copy to the student.

Doctoral Program Committee

Faculty members appointed as advisors by the major department supervise and assist students in planning a program until they choose a major professor. Thereafter, a committee, selected by the students in accord with their departments, oversees the remainder of the work. These committees must be composed of a major professor who is a member of the graduate faculty, and at least two additional

members who hold the rank of assistant professor or above in the University faculty. If the chairman or a member of the committee leaves the University, he or she may remain on the committee for a period of one year if approved by the Dean of the Graduate School.

Application to Candidacy

An Application to Candidacy should be filed after six (6) semesters of full-time enrollment for a doctoral degree student. In no case, however, should the Application to Candidacy be filed less than two (2) semesters before the completion of the doctoral degree.

<http://www.grad.buffalo.edu/docs/atc.doc>

If a student has completed all required coursework for the core requirements, the major and the minor; and has completed the research paper but has not passed the comprehensive exams, he/she may register for dissertation research. At this stage, the application for candidacy must be submitted. The Application to Candidacy does not require submission of an abstract of the dissertation proposal to the Graduate School. The Graduate School bylaws specify, however, that it is the responsibility of the divisional committee to review and approve or disapprove of proposal abstracts. (Section 3.3.1f.)

When the Graduate School receives and approves the student's Admission to Candidacy forms, a letter of acceptance to candidacy will be sent to the student with a copy to the Graduate Programs Office for the student's file.

Student Budgets

PhD students are eligible for a one-time \$300 fund to provide support for doctoral research activities after the Application for Candidacy has been

submitted. Eligible students should apply to the Business Manager, Resource Management Department in 131 Jacobs with a letter from the chairman of the department supporting the request.

Dissertation Proposal and Defense Procedures

Students must complete all of their core courses (grade "B" or better), their research papers, and their comprehensive exams before giving their thesis proposals.

Dissertation proposals and dissertation defenses may be held on any day when regularly scheduled classes and/or exams are being held at the University. Such events should be scheduled with the Administrative Assistant in the Graduate Programs Office.

Defenses of both proposals and dissertations are open to all faculty and PhD candidates. Students are strongly advised to attend the defenses of others prior to their own in order to become familiar with the process and its requirements.

A dissertation or proposal defense must be attended by a member of the PhD Committee. Ordinarily this will be the advisor in the major area of the defending doctoral candidate. If the advisor is unable to attend, the PhD Committee will select an alternative representative.

A brief outline of the proposal (at least 350 to 500 words) or summary of the dissertation, as appropriate, not to exceed ten pages, shall be distributed to all faculty members and PhD students in the School of Management along with the announcement of such proposal or defense. The individual PhD candidate is responsible for the preparation of such outline or summary.

TWO (2) COPIES OF THE PROPOSAL MUST BE SUBMITTED TO THE

GRADUATE PROGRAMS OFFICE AT LEAST FIVE (5) DAYS IN ADVANCE OF THE PRESENTATION DATE. IN THE CASE OF A DEFENSE, TWO (2) COPIES OF THE DISSERTATION MUST BE SUBMITTED AT LEAST TEN (10) DAYS IN ADVANCE.

These notice requirements will be strictly enforced, and any doubts as to what constitutes a "school" day should be resolved through consultation with the Graduate Programs Office. At the conclusion of the public proposal presentation, it will be the dissertation chairman's responsibility to summarize for those present any suggested changes, modifications, etc. As soon after the proposal defense as possible (no longer than two weeks), this summary will be submitted, in writing, to the PhD Program chairman.

Oral Defense of a Doctoral Dissertation

The *Oral Defense* is a public event scheduled by the major department and is attended by the candidate's major professor and graduate committee, members of the faculty from the major department, and the outside reader, when feasible. At the discretion of the major department, the defense-of-thesis examination may take the form of a seminar with a more varied selection of participants. Examination questions will always include questions arising from the thesis itself. In many cases, particularly where departments have not required extensive examinations during the course of the graduate's work, questions will be more general and the examination longer.

Reviews of the Dissertation

The dissertation must be examined and approved by the candidate's committee and the

major department, and must be examined by an outside reader.

Outside Reader

In addition to the required three committee members, the doctoral dissertation **may** be examined and approved by an outside reader **as decided by the student's committee**. An outside reader is a qualified individual appointed outside the School of Management who normally holds the highest degree in his or her respective field. Departments must invite faculty from other research (PhD granting) institutions to accept this professional responsibility. If the outside reader is chosen from within the University, he or she would normally be a member of the graduate faculty. Any exception to this will require approval by the PhD Program Chair and/or Committee.

The outside reader provides an independent evaluation of the student's research. Normally this would be limited to an examination of the final draft of the dissertation. The candidate's committee may, however, request that the outside reader become more actively involved in the research.

A letter from the outside reader approving the dissertation must be received by the Dean of the Graduate School before a student can be cleared for graduation.

The approval should appear either on an appropriate reader's report form or on an institutional letterhead.

Since the purpose of an outside reader is to obtain an objective expert's opinion, it is obviously inappropriate to select someone who has been associated with the research to serve in this capacity. The letter from the outside reader is required before the date of graduation but is helpful to the committee prior to the defense.

Dissertation and Thesis Work

"Satisfactory" (S) or "Unsatisfactory" (U) or letter grades should be assigned each semester for dissertation and thesis work, since these grades do not imply approval of the dissertation or thesis itself. Many departments use the term "Research" for work being performed by students who are at the dissertation stage, and such work is normally graded on an "S" or "U" basis each semester.

The grade of "L" may be assigned to dissertations, theses, and projects in which continuing registration is required by the University. It will connote registration and faculty workload, but it will not have any quality points associated with it. Professors may convert an "L" grade to a letter grade or an "S" or "U" grade when the dissertation, thesis, or project is completed.

Doctoral Candidates

The following degree requirements must be completed by all doctoral candidates before degree conferral is possible:

- Students must maintain continuous registration.
- Completion of a minimum of three academic years of graduate study (72 credit hours).
- Fulfillment of a minimum residence requirement of one year (24 credit hours). This must include two semesters of continuous full-time residence under the auspices of the University. Students who believe they can complete the substantive degree requirements in less than the recommended time may petition for relief.

- A preliminary examination must be successfully completed.
- Completion of an evaluation of the student's work in a program. The nature and time of the evaluation will be determined by the department or program concerned and will be specified in the academic requirements approved by the appropriate divisional committee.
- Application to Candidacy (ATC) must be filed with the Graduate School and approved by the divisional committee within the appropriate dates.
- An oral defense of the dissertation must be authorized and held.
- The following must be on file in the Graduate School:
 - an approved Application to Candidacy (ATC);
 - an M-Form (a Multipurpose Form);
 - one unbound copy of the dissertation;
 - an approval from the outside reader (if required);
 - survey, microfilm, and Office of Student Accounts form.
- In the Student Response Center:
 - transcripts for courses taken at other schools and universities.
- Satisfactory completion of all courses to be applied toward the degree.

This should be an original contribution in the field as determined by the department or program concerned.

Please consult the Graduate School guidelines on dissertations for complete instructions on dissertation format and submission.

<http://www.grad.buffalo.edu/etd/index.php>

M-Form (Multipurpose Form)

As the name implies, the M-Form is used for several purposes. Related to the thesis or dissertation, the form is submitted to the Graduate School Office to certify that defense of thesis was satisfactorily completed and that ALL requirements for the degree have been satisfied. This form must be signed by the major professor, the committee members, and by the chair or graduate director of the department. Here, too, the form may be submitted prior to presenting the thesis/dissertation to the Graduate School Office.

Dissertation Instructions

Chapter IV

Graduate School Policy on Grievance Procedures for Graduate Students

Preamble

It is an objective of the Graduate School to encourage the prompt and informal resolution of grievances of graduate students as they arise and to provide recourse to orderly procedures for the satisfactory resolution of complaints.

This set of procedures is designed to establish a well defined but flexible structure including in its purview the issues unique to graduate education as well as academic areas common to all faculty-student or administration-student relationships.

The grievance procedures constitute a framework for the orderly and expeditious resolution of disputes. Effectiveness and efficiency, therefore, are key elements of such a framework. However, the concern of the Graduate School goes well beyond an administrative interest in providing steps to be taken when one of its members has a quarrel with another. While recognizing and affirming the established principle that academic determinations are to be reached solely by academic professionals, it is the School's intention that to the maximum extent feasible its procedures secure equitable treatment to every party to a dispute. To that end, those who oversee the grievance process are charged to pay heed not only to issues of procedural integrity but also to considerations of substantive fairness.

Procedures

I. Definition and Jurisdiction

A. A grievance shall include but not be restricted to a complaint by a graduate student:

1. that there has been to one's self a violation, misinterpretation, or in-equitable application of any of the regulations of the University, Graduate School, faculty, or department, or

2. that there has been unfair or inequitable treatment by reason of any act or condition contrary to established policy or practice governing or affecting graduate students.

B. A grievance must be filed within one year from the date of the alleged offense. This time limit may be extended by the graduate dean upon good cause.

II. Grievance Resolution Process

A. *Primary Level* - the department or comparable administrative unit

1. *Informal Discussion*

Virtually all disputes originate at the department or comparable administrative unit and should, if feasible, be resolved informally by the disputants. These parties should attempt to resolve amicably the dispute involved. It may be useful for the student to seek the assistance first of his or her advisor and then of the department chairperson or director of graduate studies as a mediator to resolve the issue evenhandedly.

2. *Formal Review*

The student who feels the grievance is severe should request a hearing with the departmental Grievance Committee. The chairperson shall rule on the case within 30 days of receiving the

grievance or stipulate in writing the reason(s) why this is impossible.

If the department chairperson is the party against whom the grievance is brought either as a teaching faculty member or as chairperson, an associate chair or director of graduate studies shall convene and chair the Grievance Committee.

B. Divisional Level -If the student wishes to appeal the departmental ruling, the written statement of the grievance shall be filed (within 30 days) with the divisional dean. If the dean finds the statement of grievance provides reasonable grounds to grieve or raises doubt of prior appropriate review, he or she shall convene a Grievance Committee to review the dispute. The committee shall issue a written statement (within 60 days of its receipt of grievance) indicating its findings, recommendations, and the reasons for the recommendations to the pertinent parties to the dispute, the departmental chairperson, the division dean, and the Office for Graduate Education.

1. *Composition of the Committee*

The divisional Grievance Committee shall include a minimum of three faculty members and one graduate student, but shall not include representatives from the department involved in the grievance. The divisional dean shall select the committee members from the divisional panel which consists of at least one faculty and one student representative of each department. At the beginning of each new academic year, the composition of the divisional panel will be forwarded to the Office for Graduate Education. The process for selecting division panel members will be determined by each division.

The members of these committees shall be selected so that no panel member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating the reason, the replacement of one member of the committee hearing the grievance. If any principals find other members or replacements inappropriate, the party shall transmit, within ten days of the naming of the committee, a written statement of the grounds of this "challenge for cause" to the divisional dean, who shall rule on its merits and either retain or replace the committee member so challenged. Each panel member selected shall have the option of disqualifying himself or herself from the committee by stipulating reasons why this panel member feels unable to deal unbiasedly on the grievance.

2. Operating Procedures

The divisional dean shall give the divisional Grievance Committee copies of the written grievance, all documentation and recommendations from the departmental proceedings, as well as a copy of the Grievance Procedures for Graduate Students. The principals shall also receive a copy of this file' Each principal shall receive copies of all information presented to the committee. The committee shall convene review(s) necessary to allow both principals the opportunity to present their positions, and shall allow each principal the right to question the presentation (written or verbal) of those who contribute information to the committee. Each principal shall have the right to be present and to have one or two advisors present at all reviews. In no case shall the advisor be an attorney unless he or she is a member of the faculty not acting in the

capacity of a member of the bar. Such review shall be conducted in confidence. A record of each meeting of the committee shall be kept and transmitted to the principals.

The committee shall issue a written statement (within 60 days of receipt of grievance) indicating its findings, recommendations, and the reasons for the recommendations to the pertinent parties to the dispute, the departmental chairperson, the divisional dean, and the Office for Graduate Education. Notice will be by certified mail. The grievant will be allowed 30 days from receipt of notice to appeal.

C. Graduate School Level - On rare occasions, when all established procedures within a division have been exhausted, it may be appropriate for the graduate dean to consider a final University appeal.

Jurisdictional Guidelines

Appeal to the graduate dean will be allowed upon satisfaction of the following requirements:

1. The student grievant must submit three (3) copies of a written statement to the graduate dean describing the specific reason(s) for the requested appeal.

2. The dean of the division in question must certify that the student grievant has exhausted all procedures provided within the division and that the dean's decision is a final decision of the division.

In general, the graduate dean will consider only those appeals in which there is good cause to believe that prior proceedings have resulted in a decision contrary to law, the Policies of the Trustees, or policies of SUNY at Buffalo. In general, the graduate dean will not consider appeals which merely challenge the appropriateness of a

judgment reached after a full and fair review and disposition of a matter by the department and the dean of the division

Procedure

The initial appeal petition must be submitted by the grievant within 30 days of receipt of the final decision at the division level. The graduate dean (or a designee) will review the petition submitted by the grievant and make a preliminary determination regarding the jurisdiction of the graduate dean. If it is determined that the graduate dean should not exercise jurisdiction, the grievant will be so informed, and given leave to file an amended statement of grievance. Notice will be by certified mail, and the grievant will be allowed 30 days from receipt of the notice to file an amended statement. If no amended statement is filed, or if an amended statement is still judged deficient on jurisdictional grounds, the appeal will be dismissed, and notice of dismissal of the appeal will be sent to the grievant by certified mail.

If it is determined that the graduate dean should exercise jurisdiction, the graduate dean or designee, within 30 days of receipt of the appeal petition, shall:

1. forward a copy of the student's statement of grievance to the divisional dean;

2. give the divisional dean an opportunity to respond to the student's statement of grievance;

3. take appropriate steps to resolve the dispute informally, in consultation with the parties.

The graduate dean (or designee) shall consider the written grievance appeal from the student, all documentation and recommendations arising from

the departmental procedures, and all recommendations made by the dean of the division concerned.

Each principal and the divisional dean shall receive copies of all written material presented to the graduate dean. The graduate dean may convene hearings to allow the principals the opportunity to present their positions and allow each principal the right to question the presentation (written or verbal) of those who contribute information. Each principal shall have the right to be present and to have an advisor present at the hearings. In no case shall the advisor be an attorney unless he or she is a member of the faculty not acting in the capacity of a member of the bar. Such review shall be conducted in confidence. Minutes of each meeting of the committee shall be kept and transmitted to the principals.

The graduate dean will make a determination and notify the student of the final decision in writing. Such decision shall be sent certified mail, return receipt requested, with a copy to the University provost. At any point in the proceedings the graduate dean may make a determination that jurisdiction was inappropriately taken, and may dismiss the petition on that ground. In such case, written notice of the jurisdictional determination and the reasons thereof will be provided to the parties. If the graduate dean decides that further review is necessary, he will consult with whatever parties he deems appropriate and determine what additional review is necessary.

Confidentiality of Proceedings

Once the graduate dean initiates a grievance review, principals shall have the obligation to maintain the confidentiality of the proceedings and of such materials or testimony presented

in review proceedings, until a decision is formally reached. If breach of confidentiality is formally brought to the attention of the graduate dean, the graduate dean may choose to consider this breach as a case of possible misconduct. Such consideration shall take precedence over the pending grievance, and a misconduct review shall be transmitted in writing to the principals and shall be placed in the file of the grievance proceedings. Such findings may then be considered in any subsequent review of the grievance.

Chapter V

Disciplinary Procedures for Academic Infractions

Academic Integrity: Code of Ethics It is the conviction and a guiding principle of the School of Management that education is concerned with the development of personal character as well as the acquisition of knowledge and skills. It is further the belief of the School that each individual bears the primary responsibility for his or her own ethical behavior.

Because of these beliefs, it is the intent of the School to encourage and to do all that is possible to support a high standard of ethical behavior. It is incumbent upon all faculty, students, and staff of the School of Management to maintain the fullest commitment to academic integrity.

Faculty, students, and staff all have an obligation to each other to maintain high personal standards of integrity and to expect high standards of integrity from each other, for the reputation of the School of Management is derived from the performance of all its members. Faculty, students, and staff all have an obligation to be aware of their own and one another's rights and responsibilities with respect to matters involving academic integrity and to insist on the observance of these rights and responsibilities.

Standards of Academic Integrity

Although it is difficult to define academic dishonesty precisely, the general understanding of that term by students and faculty, and the meaning established by tradition, will serve as guidelines in reviewing each case of academic dishonesty.

Furthermore, because honesty is such a fundamental requirement within the academic community, the faculty jointly with students assumes full responsibility for identifying and dealing with dishonest practices.

To meet this responsibility, the faculty must:

1. promulgate rules to guide the student;
2. supervise students during those periods when there would be an opportunity or a temptation to cheat;
3. be explicit about whether students should be working together or alone on homework; and,
4. bring questionable cases to the attention of the student.

For its part, the student body must assume its share of responsibility by:

1. understanding and following the guidelines set forth by the course instructor;
2. bringing to the attention of the faculty member any evidence of academic dishonesty or any conditions which have a potential of creating academic dishonesty; and
3. assisting faculty committees in preparing the rules and/or adjudicating questionable cases.

Disciplinary Procedures for Academic Infractions

The University community depends upon shared academic standards. Academic dishonesty in any form by any member of the University community represents a fundamental impairment of these standards. When an instance of suspected or alleged academic dishonesty by a student arises, it shall be resolved according to the procedures set forth herein.

These procedures assume that many questions of academic dishonesty will be resolved through informal consultations between the student and the instructor. If, however, such informal consultation fails to resolve the questions, or the instructor considers formal proceedings warranted, the formal procedures described in Part II must be used.

1. Informal Proceedings

A. When Used

Informal consultation between the student and the instructor is the desired method of resolving many questions of academic dishonesty. If an instructor has reason to believe that a student may have committed an act of academic dishonesty, the instructor shall consult with the student within a reasonable period of time but as close as possible to the discovery of the suspected act. If the instructor is investigating a suspected or alleged act of academic dishonesty, the instructor may consult with the students who may have some knowledge of the alleged act of academic dishonesty. The student suspected of academic dishonesty shall be notified by the instructor in advance of such a consultation.

B. Procedures

At the consultation, the instructor shall inform the student of the allegations relating to the specific infringement, and the student shall be given a copy of these procedures and criteria. The student shall be provided with the opportunity to explain any suspected or alleged misconduct, including any extenuating or mitigating circumstances, to present evidence of innocence, or to give information relevant to an investigation. Neither the instructor nor the student shall be represented or accompanied

by an attorney or any other advisor, and no record of this informal consultation need be preserved.

C. Decision

1. Finding of Guilty/Sanctions Imposable

If, after consultation with the student, the instructor believes the student committed an act of academic dishonesty, the instructor has the authority to impose one or more of the following sanctions:

- a) Admonition-An oral statement to the student that he or she has violated a University standard of academic dishonesty.
- b) Warning-Written notice to the student that repetition of the wrongful conduct may be cause for more severe sanctions. A copy of this letter shall become part of the confidential file maintained with respect to the matter. (See Section III, A.)
- c) Revision of Work - Requiring the student to replace or revise the work in which dishonesty occurred. (The instructor may choose to assign a grade of "Incomplete" pending replacement or revision of the work.)
- d) Reduction in Grade - With respect to the particular assignment/exam or the course.
- e) Mandatory Resignation - To be indicated on the transcript by an "R".
- f) Failure for Reason of Academic Dishonesty - To be indicated on the transcript by an "F".

The student shall be notified of the decision by letter (certified mail), a copy of which shall become part of the confidential file maintained with respect to the matter. (See Section III, A.) The letter shall advise the student of the sanction(s) imposed or of the institution of formal proceedings.

2. Appeal

The student shall have the right

to appeal the instructor's decision. The appeal shall be submitted in writing to the instructor and the dean of the School of Management no later than 10 academic days after the faculty member has notified the student of his or her decision. A copy of the appeal shall become part of the confidential file maintained with respect to the matter. (See Section III, A.) Pending resolution, the student will be assigned a grade of "Incomplete". The dean shall convene a committee composed of an equal number of faculty members and students to hear the appeal and to provide him or her with their recommendation. The dean's decision shall be final.

II. Formal Proceedings

A. When Used

If the instructor has reason to believe that a student may have committed an act of academic dishonesty, and the instructor believes that formal proceedings and the harsher sanctions imposable thereunder are warranted, the formal procedures outlined here shall be used.

B. Procedures

When these formal procedures are to be used, a hearing shall be conducted by a tribunal, to be known as the Adjudication Committee. The Adjudication Committee shall be constituted in accordance with the by-laws of the Office for Graduate Education.

The Adjudication Committee shall give the student reasonable advance notice (not less than 72 hours) of the hearing. The instructor shall provide the committee with a written statement of the evidence against the student and the names of potential witnesses. The committee shall convey this information to the student prior to the hearing, and shall

indicate the possible sanctions that can be imposed if the student is found guilty.

At the hearing, the student shall be entitled to present evidence in his or her own behalf, examine all evidence against him or her, and cross-examine all witnesses against him or her. Neither party may be represented by an attorney or anyone else, but the student may be accompanied by an advisor of his or her choice, who may advise but not represent him or her during the proceedings. If the advisor chosen is an attorney, he or she may not act in his or her own capacity as a member of the bar. The technical and formal rules of evidence applicable in a court of law are not controlling, and the Adjudication Committee may hear all relevant material and reliable evidence which will contribute to an informed result. Irrelevant or unduly repetitious evidence or cross-examination may be excluded by the chair of the committee.

C. Decisions

1. Finding of Guilty/Sanctions Imposable or Recommendable If a majority of the Adjudication Committee's members present are convinced the student committed an act of academic dishonesty, the Adjudication Committee has the power to impose one or more of the following sanctions to which a majority of its members agree:

- a) Any of the sanctions that the instructor, chairperson, and/or dean could have imposed. (See Section I, C.1.)
- b) Probation - To be upon stated terms with any violation being a ground for suspension of expulsion.
- c) Such other reasonable and appropriate sanctions as may be determined by the committee, with the exception of those stated subsequently in (d).
- d) In addition, the Adjudication Committee shall have the power

to recommend to the University president imposition of the following sanctions:

- 1) Suspension - For a definite term upon stated conditions.
- 2) Expulsion - To be outright. "For reason of academic dishonesty" shall be noted on the transcript.
- 3) Mandatory Resignation from or Failure in the Course--"For reason of academic dishonesty" shall be noted on the transcript. The student shall be notified of the decision by letter, a copy of which shall become part of the confidential file maintained with respect to the matter. (See Section III, B.) The letter shall advise the student of the sanction(s) imposed or recommended to the president.

2. Finding of Not Guilty
The student shall be notified of the decision in writing, but neither the decision letter nor other materials pertinent to the review shall be maintained in the file.

3. Appeal
Neither the student nor the faculty member shall have a right of formal appeal.

III. Miscellaneous Provisions

A. A decision letter of the instructor finding the student guilty shall be kept in a confidential file, maintained by the School of Management dean until the student graduates or has not been enrolled at the University for a period of one year. At that time, the letter shall be destroyed. The student shall have access to such file.

B. The Adjudication Committee shall, if it finds the student guilty, keep a record of the matter consisting of all written communications, all written

evidence, an audio tape or other record of the hearing, and its decision letter. This record shall be kept in a confidential file until the student graduates or has left the University for a period of one year. The student shall have access to such file.

C. Once the student is notified of the scheduling of a consultation or hearing, the student may not withdraw from the course without the permission of the instructor.

Forms of Academic Dishonesty

For purposes of these policies, procedures, and sanctions, the following actions, carried out knowingly and willingly, are examples of academic dishonesty:

1. *Cheating.* Obtaining information from another student or other unauthorized source, or giving information to another student, in connection with an examination or assignment. This includes taking or giving answers during an in-class examination either orally or by copying; collaboration on a take-home examination or assignment where such collaboration is prohibited by the instructor; bringing to and/or using in an examination unauthorized material (books, notes, etc.)

2. *Plagiarism.* Copying material from a source or sources and submitting this material as one's own without acknowledging, through specific footnoting and quotation marks, the particular debt to the source. This includes copying material from published sources or unpublished sources (e.g., another student's work). Simply citing a source in the bibliography, without specifying which portions of the submitted paper come from the source, or without specifying that not only ideas but also language is drawn from the source, will not

avoid a charge of plagiarism.

3. *Previously Submitted Materials.* Submission of material submitted earlier or concurrently, in whole or substantial part, to satisfy the academic requirements of another course, without the express consent of that instructor. The guiding rule is that the student should not try to receive double credit for a piece of work without clearing it with the instructor first.

4. *Falsification of Academic Materials.* Fabricating data or other information, forging an instructor's name or initials for any purpose, changing entries in an instructor's record or official University records, taking an examination under another student's name or engaging any person to take an examination under your name, or submitting an assignment of any kind, prepared in whole or part, by any person other than the person responsible for the assignment. This includes using falsified or unauthorized material for registration purposes.

5. *Other.* Procurement, distribution, or acceptance in advance of examinations, examination answers, or any confidential materials without prior and expressed consent of the instructor.

Chapter VI

General Information

Academic Standards

Good Academic Standing

Good academic standing means that a student is making acceptable progress towards a graduate degree and is eligible to register and take academic coursework at this University for the current semester. All graduate students are expected to remain in good academic standing throughout the entire course of their study.

Minimum academic requirements for good academic standing established by the Graduate School are as follows: (Individual divisions may establish additional academic standards.)

1. Exclusive of "S" grades, courses submitted for candidacy in a doctoral program must average a 3.25 grade point average or better (departmental policy).
2. An "S" grade will be awarded only in those instances where the student's letter grade would have been a "C" (2.00) grade point or better.

Academic Review/Probation

Each student's progress is reviewed each year by a committee in the student's major department. Feedback is provided to the student to assist the student in his/her progression through the program.

Any graduate student who receives a grade of "U", "F", or "D" in any course required for completion of a degree program (e.g., seminar or research course, practicum, student teaching course, internship, field course or similar application course, or thesis), or who indicates a lack of ability as determined by the

program faculty, will receive an immediate academic review by his or her graduate program faculty. Upon completion of the academic review, the graduate program faculty may place the student on academic probation. Such notice will be made in writing by the department chair or designee prior to the end of the add/drop period of the next semester and should indicate the terms of the probation and its removal.

Academic Dismissal and Transcripts

Any graduate student not meeting the written terms of his or her academic probation may be academically dismissed from the University by his or her department/graduate program. Such dismissals should be done in a timely fashion but no later than three weeks after the completion of the semester final examinations. The Graduate School will be notified in writing of all such academic dismissals. Reinstatement

A graduate student who has been officially dismissed and who seeks reinstatement shall submit a formal request for reinstatement along with a supporting statement of explanation to the chair of the academic department. The request shall be acted upon by the established procedure or review group within the particular graduate program. Only if such students are subsequently readmitted to the program from which they were dismissed will the dismissal notations be removed from their transcripts by written request to the Graduate School.

Advisor

The student's PhD Program advisor will serve only until the official doctoral committee is established for the student. Once a student is well into the coursework of his fields of

interest, he should confer with his advisor concerning a potential area of dissertation and the selection of the professor who would supervise the dissertation.

Assistantships and Fellowships

All students who are awarded graduate assistantships will be required to work 270 hours per semester under the supervision of a professor in the School of Management. Such work may include research, teaching, or a combination of both.

Assistantships are awarded on a semester-by-semester basis, and continuation of an assistantship is based on satisfactory performance in the program and a satisfactory rating by the supervising professor.

Assistantships are for a nine-month period (September 1 to May 31), although a student is paid for a ten-month period.

Graduate students holding assistantships must maintain a full registration concurrent with their appointments (normally 9 credit hours) during each fall and spring semester.

Tuition waivers are not available for the summer sessions for the students who have been on assistantships for the regular school year.

Assistantship Review Procedures

A. Purpose

Presently, PhD assistantships are awarded to doctoral students for four years. They are renewed each year based on academic and professional performance. The procedures described below are designed to detect early problem cases and to make appropriate decisions as to whether to retain or terminate assistantships. The ultimate purpose of the procedures is to monitor the effectiveness of assistantships in terms of recruiting good quality doctoral students and of

providing quality research assistance to SOM faculty.

B. Semester-End Review to Detect Problem Cases

1. At the end of each semester, a subcommittee of the PhD Program Committee reviews performance of PhD assistants using the supervisors's evaluation reports (submitted to the PhD Committee). The primary role of this review is to detect problem cases. It is suggested that a common evaluation form be used by all supervisors to facilitate the committee's work.

2. A potential problem case is defined as the one where the supervisor indicates one or more of the following:

- a) overall performance of the RA/TA is reported unsatisfactory;
- b) the supervisor does not want the same RA to be assigned to him/her;
- c) the supervisor recommends that the RA be discontinued on an assistant-ship.

3. Academic performance is to be monitored every semester and a problem case is defined as one of the following:

- a) the cumulative grade point average falls below 3.25;
- b) the grade point average for the semester falls below 3.25;
- c) the second-year paper is not approved within six months after the completion of the second year;
- d) the student fails to pass the major area comprehensive examination within the time limit set by the area faculty and/or the PhD Program;
- e) the student is placed on probation by the PhD Program Chair;

f) required courses must be completed.

4. When a problem case is detected, the subcommittee and the departmental representative of the involved student will review the case and make a recommendation to the PhD Program Committee about how to resolve the problem. The PhD Committee will then make the final determination as to the disposition of the case.

Course Resignation

Students may resign courses up until the end of the eighth week of classes in each regular semester. All course resignations which are processed during the official published dates (the end of the second week of classes until mid-semester) will be indicated as officially resigned courses by the notation "R" on all grade reports, transcripts, and other official University documents.

Resignation from all courses may be done through BIRD or SOAR:WebReg. Deleting Courses from Record Graduate students who have a documented illness or military induction in the first half of the semester, may request deletion of coursework from their record with instructor approval. This request must be submitted to 203 Alfiero, where it will be reviewed and sent to the Office of Records and Registration within the following two semesters (excluding summer).

Employment Opportunities

The School regularly receives notices of academic job openings. These notices are kept on file throughout the academic year. Students may consult the files in their department at any time.

Evaluation

The progress of each PhD student is evaluated annually by advisors and dissertation chairmen. A copy of the evaluation is sent to each student.

Federal Financial Assistance

Federal regulations require that post-secondary institutions set academic standards for pursuit of program to serve as criteria to determine a student's eligibility for these Title IV programs:

- College Work/Study
 - Guaranteed Student Loan
 - National Direct Student Loan
 - Plus Loan
 - State Incentive Grant Program
 - Supplemental Educational Opportunity Grant
- Financial Support/ Time Limit for Support

In order to be eligible for a full tuition scholarship, a student must have been awarded a graduate teaching or research assistantship or a fellowship.

Tuition award forms are available in 126 Jacobs.

The student assistant is responsible for completing the tuition award form for each and every semester, getting the appropriate signatures, and returning it to the department for forwarding to the Graduate School Office prior to the deadline date.

Doctoral candidates are eligible to receive no more than three (3) years of full tuition award. After three years, they are to have filed an Application for Candidacy, allowing them to register for one hour as full-time status.

Supported doctoral students will receive one tuition hour of support per semester in their fourth year. The four-year limit includes any assistantships held while the student was in a master's degree program.

Full-Time Status

All graduate students must be registered for a minimum of 12 credit hours during each fall and spring semester (a minimum of 9 hours with a graduate, teaching, or research assistantship) to be considered full time for loan agencies, Immigration Service, for tuition award purposes, and good standing in the program. Students registered for less who are working on dissertations can be certified as full time, if the student:

1. a) has completed all coursework and other departmental requirements;
- b) has filed an approved Application for Candidacy with the Graduate School;
- c) is working on a PhD dissertation;

or

2. is pursuing the equivalent of a full course of study participating in a University-approved foreign exchange program. Grading The minimum quality point average necessary for completion of the PhD in Management degree is 3.25.

Letter Grades

Grade Quality Points

| | |
|-----|-------------------------------------|
| A | 4.0 |
| A- | 3.67 |
| B+ | 3.33 |
| B | 3.0 |
| B- | 2.67 |
| C+ | 2.33 |
| C | 2.0 |
| D | 1.0 |
| F | 0 |
| I | Incomplete |
| J | Reporting Error |
| R | Resigned offically by deadline date |
| S/U | Satisfactory/Unsatisfactory |

Changes in Grade

Changes from one letter grade to another must be initiated by the instructor utilizing a Change of Grade form. It is to be signed by the instructor and the department chair and must be approved by the Graduate School. Reasons for the change should be fully explained and justified according to Graduate School policies.

Core Courses

The core courses in the program must be taken on a letter-grade basis. Doctoral students must earn a grade of "B" or better in each course. A student earning less than "B" in a core course is required to repeat the course.

The grade of "B-" is not sufficient.

Grade Policy for

Dissertation/Thesis Guidance

"Satisfactory" (S) or

"Unsatisfactory" (U) or letter

grade should be assigned each

semester for dissertation and

thesis work since these grades do

not imply approval of the

dissertation or thesis itself. Many

departments use the term

"Research" for work being

performed by students who are

at the dissertation stage, and

such work is normally graded on

"S" or a "U" basis each semester.

The grade of "L" can be assigned

to dissertations, theses, and

projects where continuing

registration is required by the

University. It will connote

registration and faculty

workload, but it will not be

considered an academic grade

and will not have any quality

points associated with it.

Professors may convert an "L"

grade to a letter grade or an "S"

or a "U" grade when the

dissertation, thesis, or project is

completed.

"F" Grade

Grades of "F" receive no credit (neither quality points nor hours earned). If a student receives an "F" in a required course, he or she must retake the course.

If the "F" is received in an elective, he or she can retake the course or substitute an additional course. "F" grades are computed in overall GPA.

"J" Grade, Reporting Error

1. Any error or misread grade on the grade form shall result in a grade of "J", and all grade report forms and transcripts shall note that the meaning of this grade is "Reporting Error."

2. Blank or unrecorded grades shall no longer appear on grade report forms and transcripts as "F", instead they shall appear as "J".

3. Every "J" grade will automatically change to "F" either at the end of the semester following its recording or at the time of graduation, whichever occurs first, unless corrected by the instructor or department in charge of the course before that deadline. Appropriately modified Removal of Incomplete forms shall be used to remove the "J" grade.

"Incomplete" Grade

A grade of "Incomplete" (I) may be given only in those instances in which the student has not been able to complete all of the assigned projects and/or examinations in a course due to illness or other unforeseeable and compelling circumstances. "Incompletes" are not available to students who have not satisfactorily completed the other academic requirements of the course.

"Incompletes" should not be used for dissertation guidance, theses, or projects in which continuing registration is required by the University. The current "Incomplete" grade policy allows a student two semesters plus an intervening summer to complete an "I" grade before it reverts to an "Unsatisfactory" (U) grade.

Students who can justify an extension of the deadline must immediately file a petition endorsed by the course instructor and department chair with the Graduate School.

"I" Supplementary Grades grade reports received to Records and in Registration by

| | |
|-------------|-------------------|
| Summer 2006 | August 31, 2007 |
| Fall 2006 | December 31, 2007 |
| Spring 2007 | May 31, 2008 |
| Summer 2007 | August 31, 2008 |
| Fall 2007 | December 31, 2009 |
| Spring 2008 | May 31, 2009 |

The individual instructors may set their own conditions for removing "Incompletes" as long as the time limit is not longer than the time limit specified above. Furthermore, the instructors must clearly state their policy so that all students in their classes are fully aware of such a policy.

Once an "Incomplete" is changed to a "U" grade, the course, if offered again, may be repeated for credit.

A student may not register for a course in which he or she holds an "Incomplete".

The petition should include: (1) the reason the grade cannot be removed within the specified time period; and (2) permission of the instructor who originally gave the "Incomplete" and the chair of the instructing department.

Note that while these deadlines apply to University deadlines for grade conversion, the School of

Management policy on "Incompletes" is somewhat stricter as it applies to satisfactory performance. (See "Satisfactory Performance", page 33.)

"S/U" Grading

Satisfactory/Unsatisfactory: with "S" indicating credit and "U" indicating no credit. The "S" grade will be awarded only in those instances where a student's letter grade would have been equivalent to "C" or better. PhD students in the School of Management are permitted to take up to 25 percent of their course credits on "S/U" basis, not counting credits taken as "dissertation research". "S/U" petitions are due by the end of the fourth week of class.

Graduation Checklist

To graduate, the following must be on file:

In the Graduate School

- an approved Application to Candidacy (ATC);
- an M-Form;
- electronic dissertation submission; see: <http://www.grad.buffalo.edu/etd/index.php>
- an approval letter from the outside reader (if required by the department);
- survey, and Office of Student Account form.

In the Office of Records and Registration

- transcripts for courses taken at other schools and universities; and
- satisfactory completion of all courses to be applied toward the degree.

Independent Study

Independent studies (supervised research) are usually limited to 3 hours, and normally no more than 9 semester hours in total are allowed except when a student takes more than the required electives. Independent

Study forms are available in the Graduate Programs Office. The form must be completed and returned to 203 Alfiero, where an Exception Registration is processed.

Leave of Absence

Since continuous active full-time participation in the PhD Programs is essential for proper doctoral training, a leave of absence is not granted lightly. Graduate students in good academic standing who cannot maintain continuous registration should apply for a leave of absence by the beginning of the semester in which the leave is to begin. ALL REQUESTS BASED ON MEDICAL REASONS, MUST INCLUDE A WRITTEN RECOMMENDATION FROM THE UNIVERSITY HEALTH SERVICE. "PERSONAL REASONS" IS NOT A SUFFICIENT EXPLANATION FOR REQUESTING LEAVE. AT THE END OF THE LEAVE, WHICH MAY BE GRANTED FOR UP TO TWO SEMESTERS, A GRADUATE STUDENT MAY NOT BE ON LEAVE IN THE SEMESTER PRECEDING DEGREE CONFERRAL.

International graduate students are advised to consult with the International Student and Scholar Services Office, 210 Talbert Hall, prior to applying for a leave of absence.

Leaves of absence are filed by completing a Graduate Student Petition Form available in 203 Alfiero and are reviewed by the chair of the PhD Program Committee, and the Graduate School Office.

Library Privileges

(For Students Not Currently Registered)

Summer

Graduate students who were registered or on official leave of absence during the spring semester and are intending to register in the fall can be granted summer library privileges. The procedure to follow is for the department to send a list of those qualified students (including name and Social Security Number of each student) to Coordinator, University Libraries, 116 Capen Hall, North Campus.

Academic Year

Graduate students who are on an official leave of absence, approved through the Graduate School, will be accorded library privileges by showing their student identification cards at any of the University libraries.

Mail files

The PhD Program maintains a mail file for each student. The file is located in 206 Jacobs. It is advised that students check their mail files at least once a week.

Computer Resources

The School of Management's computer lab is located in 208 Jacobs. This facility houses networked personal computers that are linked to the Internet. It is generally open from 8:00 a.m. to 11:00 p.m. each day. A consultant is on duty to assist users. Additional computer facilities are located throughout the campus, such as those in Baldy Hall, Bell Hall, Clemens Hall, and the Undergraduate Library in Capen.

Electronic Mail

Each student is expected to have an e-mail address on the University's UNIX system for communication with faculty, administrators, and fellow students. See <http://ubit.buffalo.edu/mail/>

Libraries

The University's Management and Economics collection consists of more than 75,000 volumes and receives more than 1,000 journals, serials, and other periodicals. Housed just across the quadrangle in Lockwood Memorial Library, the collection also has 10K reports for all NYSE and AMEX companies on microfiche and annual reports in hard copy. Also located in Lockwood is the Government Documents section which contains U.S., New York State, and Canadian documents, and other publications of interest to business researchers.

The library offers access to computer databases such as Management Contents and ABI/Inform for students interested in doing research beyond the scope of the Lockwood collection. Any materials that are not in the collection can be obtained through an interlibrary loan.

Overrides

Graduate students are limited to 19 credit hours registration each academic semester and up to 14 credit hours during the summer. Requests to override maximum credit hours must be justified by the chair or graduate director and approved by the Graduate School.

Registration

Registration dates are published by the Student Response Center and must be strictly adhered to. See registration calendar at <http://src.buffalo.edu/calendars/index.shtml>

Release of Student Information

The University will release certain information about a student if he or she has answered "YES" to the question, "Do you wish to be listed in the Student Directory?"

The information which the "YES" authorizes the University to release includes current address, telephone number, major field of study, dates of attendance, and degrees awarded.

A student may check the status of "Director Indicator" at any time by inquiring at Records and Registration at Hayes B or 232 Capen, and may change "Directory Indicator" at any time at either of these offices.

Repeating Courses

If a student wishes to repeat a course to raise his or her grade, the grade and quality points earned the first time are counted. The repeated course, grade, etc., will show on permanent record; but the credit and quality points will not be counted, and the notation "Duplicate Credit" will appear. Exception: Students who have failed or resigned from a course may repeat it for credit. In the case of the Statement of Program review, the duplicate credit will be accepted toward the degree.

A graduate student repeating a course to improve an original grade in which a grade of "C" or better had been earned originally cannot include the repeated course as part of the student's minimum full-time or part-time course load for financial aid eligibility. The one exception at the graduate level would be for thesis or dissertation courses where students are allowed to repeat this course for credit until the thesis/dissertation is completed.

Residency Requirement

The minimum requirement for the PhD degree is one year of residence. Included within this one-year period must be two consecutive semesters of full-time residence. The School of Management, moreover, requires that this one-year, full-time residence requirement be

satisfied within the first two years of the student's initial matriculation.

If a student follows the School of Management's minimum full-time status registration of twelve (12) hours per semester, then he or she will satisfy all requirements as stated above. Aggregate graduate credits, including those for dissertation research, must total 72 credit hours after baccalaureate degree. AT LEAST HALF OF THESE CREDITS MUST BE EARNED AT THE UNIVERSITY AT BUFFALO. IF A STUDENT HAS GRADUATE CREDITS BEYOND THE U/G DEGREE, THESE HOURS MAY GO TOWARDS THE FULFILLMENT OF THE REQUIRED 72 CREDIT HOURS.

Satisfactory Performance

The following is the School of Management policy on satisfactory performance:

- Full-time status in the PhD Program.
- In courses other than independent study, workshops, or directed research, no more than one "Incomplete" may be received in a semester. It is expected that this "Incomplete" will be completed by the end of the next semester or summer, whichever is later.
- A 3.25 GPA average must be maintained (departmental rule).
- A student's academic performance evaluation by his or her advisor must be satisfactory.
- For students on assistantships, in addition to above requirements, the performance appraisals for their work must be satisfactory.
- Students who are being supported must not undertake outside employment during the academic year without the approval of their advisor and PhD chairman.
- Students must obtain approval from their advisor for the courses they take.
- Students must complete their research papers, coursework,

qualifying examinations, proposal defenses, and oral defense of the dissertations within the time limits.

· Unsatisfactory performance will result in automatic review by the PhD Committee, and may result in loss of financial aid and/or dismissal from the program.

· The PhD Program Committee has established a time limit of three (3) years for filing an Application to Candidacy (ATC) with the Graduate School. Students are thus to complete their coursework and qualifying exams within three years of their matriculation in the program. NOTE THAT THE SCHOOL OF MANAGEMENT'S POLICY ON SATISFACTORY PERFORMANCE IS IN SOME CASES MORE STRINGENT THAN THE UNIVERSITY REQUIREMENTS, WHICH ARE DESCRIBED ELSEWHERE IN THIS HANDBOOK.

Time Limits

Students entering the PhD Program will have seven (7) years to complete their doctoral studies. The time limits refer to all components of the doctoral program, including the oral defense of the dissertation. In addition, the PhD Program Committee has established a time limit of four (4) years for completion of all requirements except the completed dissertation. Students are thus to complete their coursework, qualifying examinations, and dissertation proposals within four years of their matriculation in the program. Finally, the PhD Program Committee has established a time limit of two and one-half years for completion of the research paper. Time limits may be extended only in unusual circumstances.

TIME LIMIT CHART AFTER ENTRANCE TO PhD PROGRAM

TWO AND ONE-HALF YEARS - Completion of research paper.

THREE YEARS - Pass comprehensive exams and complete courses.

FOUR YEARS - Completion of dissertation proposal.

SEVEN YEARS - Completion of doctoral studies and defense of dissertation

Tuition

Tuition and fees are set by the Board of Regents and the NYS Legislature – see the link below for current rates :

<http://studentresponse.buffalo.edu/u/studentaccount/tuition.shtml>

Financial Liability

When a student registers, it is specifically understood that he or she will pay in full all charges assumed at registration. Simply failing to attend class does not change the payment due or entitle the student to a refund. To cancel the liability for a registration, a student must drop the course(s) at one of the drop/add sites before the last day to drop courses without financial penalty. All courses dropped after this date will be assessed pro-rated tuition. Waivers Students may petition the PhD Program Committee for changes or waivers of policies and procedures in the School. If a student wishes to submit a petition to the committee, the proper procedure is to file it with the Graduate Programs Office for consideration by the PhD Program Committee. The Graduate Programs Office will advise the student of the outcome.

IF A COURSE HAS BEEN WAIVED, THE WAIVER MAY NOT BE RESCINDED; THE COURSE MAY NOT BE TAKEN; AND CREDIT WILL NOT BE GIVEN IF THE COURSE IS TAKEN.