School of Management

University at Buffalo The State University of New York

2009-2010

PhD HANDBOOK

Contents

ACADEMIC CALENDAR FOR 2009-10 4
INTRODUCTION 5
PHD PROGRAM DIRECTORY 5
STAFF DIRECTORY 6
UNIVERSITY OFFICES 7
SCHOOL OF MANAGEMENT FACULTY 8
CHAPTER I – PHD MANAGEMENT PROGRAM OVERVIEW OF REQUIREMENTS 10
Major Fields 10
Related Field 10
PhD Core Requirements 10
First-Year Paper 11
Second-Year Paper 11
Qualifying Examinations (Comprehensive Exams) 11
Dissertation 12
Teaching Skills 12
CHAPTER II – MAJOR AND MINOR REQUIREMENTS 14
Accounting 14
Finance 15
Management Science & Systems 18
Managerial Economics 20
Marketing 21
Operations Management & Strategy 24
Organization and Human Resources 27
CHAPTER III – DOCTORAL CANDIDATES 31
Qualifying Examinations (Comprehensive Exam) 31
Doctoral Program Committee 31
Application to Candidacy 31
Student Budgets 31
Dissertation Proposal and Defense Procedures 31
Oral Defense of a Doctoral Dissertation 32

Reviews of the Dissertation 32
Dissertation and Thesis Work 32
Doctoral Candidates 33
Dissertation Instructions 33
M-Form (Multipurpose Form) 33
CHAPTER IV – GRADUATE SCHOOL POLICY ON GRIEVANCE PROCEDURES FOR GRADUATE STUDENTS 34
CHAPTER V – DISCIPLINARY PROCEDURES FOR ACADEMIC INFRACTIONS 40
CHAPTER VI – GENERAL INFORMATION 49
Academic Standards 49
Academic Review/Probation 49
Probation 49
Advisor 50
Assistantships and Fellowships 50
Assistantship Review Procedures 50
Course Resignation 51
Deleting Courses from Record 51
Employment Opportunities 51
Evaluation 51
Federal Financial Assistance 51
Full-Time Status 52
Letter Grades 52
Core Courses 53
Grade Policy for Dissertation/Thesis Guidance 53
"F" Grade 53
"Incomplete" Grade 53
Satisfactory/Unsatisfactory (S/U) and Written Evaluation (with grades) 54
Graduation Checklist 54
Supervised Research 55
Leave of Absence 55
Library Privileges 55
Mail files 55
Computer Resources 55

Electronic Mail 55
Libraries 55
Overrides 56
Registration 56
Release of Student Information 56
Repeating Courses 56
Residency Requirement 56
Satisfactory Performance 56
Time Limits 57
Tuition 57
Financial Liability 57
Waivers 57

ACADEMIC CALENDAR FOR 2009-10

FALL 2009

Instruction begins……Monday, August 31
Labor Day Observed……..Monday, September 7
Rosh Hashanah (classes cancelled after 6 p.m.) ……..Friday, September 18
Rosh Hashanah (classes cancelled until 6 p.m.).....Saturday, September 19
Yom Kippur (classes cancelled after 6 p.m.)……Sunday, September 27
Yom Kippur (classes cancelled until 6 p.m.)……Monday, September 28
Fall recess ……Wednesday, November 25 – Saturday, November 28
Classes resume……..…Monday, November 30
Last day of classes ……Friday, December 11
Reading days……...Saturday, December 12 and Sunday, December 13
Semester final examinations……..Monday, December 14 – Monday, December 21
Winter recess begins……Tuesday, December 22

SPRING 2010

Instruction begins……...Monday, January 11
Martin Luther King Day Observed……..Monday, January 18
Spring recess ……..Monday, March 8 – Saturday, March 13
Classes resume……Monday, March 15
Last day of classes……..Monday, April 26
Reading days……Tuesday, April 27 and Wednesday, April 28
Semester final examinations ……..…..Thursday, April 29 – Thursday, May 6
Commencement weekend ……..…..Thursday, May 6 – Sunday, May 9
School of Management Graduate Commencement ……**5 p.m., Friday, May 7**

Registration Calendar for 2009-10

FALL 2009

LAST DAY TO DROP COURSES WITH NO FINANCIAL LIABILITY……..…….Friday, September 4
LAST DAY TO ADD COURSES AND LAST DAY TO DROP COURSES WITHOUT "R"……..…Friday, September 11
COURSES MAY BE DROPPED FOR GRADE OF "R" ……September 12 – November 13
COURSES DROPPED WILL BE ASSESSED 30% TUITION*……..…Saturday, September 5 – Friday, September 11
COURSES DROPPED WILL BE ASSESSED 50% TUITION*……..Saturday, September 13 – Friday, September 18
COURSES DROPPED WILL BE ASSESSED 70% TUITION*…..…..Saturday, September 19 – Friday, September 25
FIRST DAY ON WHICH COURSES DROPPED WILL BE ASSESSED 100% TUITION……Saturday, September 20
LAST DATE TO RESIGN FOR AN "R" GRADE……...……Friday, November 13

*Not applicable to full-time students – tuition is the same for 12 to 19 credits.

SPRING 2009

Please consult the Student Response Center website at: http://src.buffalo.edu/calendars/
Relevant dates were not posted at the time of publication.

Official calendars are posted on the University Web site 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 School Policies and Proceedures Manual, which can be found at http://www.grad.buffalo.edu/policies/index.php. 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, North 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.

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Student Representative: Jeong Hoon Choi

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Kathy Stange
Administrative Assistant

Jennifer Tsutsui
Assistant Director of Graduate Recruiting

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Assistant Director of Graduate Recruiting

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308 Alfiero Center

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108 Jacobs Management Center
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Melissa A. FitzGerald
Recruitment and Admissions Advisor – Executive and Professional MBA Programs

Lailani S. Gates
Academic Resource Coordinator – Executive and Professional MBA Programs

Elaine T. Renouf
Marketing and Business Development Manager – Executive Education

UNIVERSITY OFFICES

Student Response Center
645-2450
232 Capen Hall
All academic and financial services

CIT Help Desk
216 Computing Center
645-3542

International Student and Scholar Services
210 Talbert Hall
Phone: 645-2258

Parking and Transportation Services
102 Spaulding Quad
Phone: 645-3943

University Police
Bissell Hall
Phone: 645-2222 (Emergency)
Phone: 645-2227 (Non-Emergency)

Office of Disability Services
25 Capen Hall
Phone: 645-2608

Student Health Center
Michael Hall
Phone: 829-3316

University Counseling Service
120 Richmond Quad, Bldg. 2
Phone: 645-2720

University Operator
Telephone Numbers
Phone: 645-2000

University Visitor Information
Phone: 645-7330

SCHOOL OF MANAGEMENT FACULTY

Department Chairs

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Full-Time Faculty 2009-10

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Professor
WILLIAM KROSS, PhD, University of Iowa; CPA (Illinois)

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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 and Systems
Marketing
Operations Management and Strategy
Organization and 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. Minors available within the School include Accounting, Finance, Management Science and Systems, Managerial Economics, Marketing, Operations Management and Strategy, Organization and Human Resources. 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 <u>two statistics courses</u> and <u>two research methodology courses</u> 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 (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 (Master's level or higher) and two courses in economics beyond MGE 601; or One course in economics (e.g., MGE 601) and two courses in behavioral science Master's level or higher.

MGG 700 - Introduction to Research Methods (should be taken during the first year)

In addition to the three 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 "Application 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 Graduate Programs Office, 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 Teaching & Learning Center (TLC).

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.

(1)A student with a SPEAK score at or below 45 will be strongly recommended to participate in the American English Pronunciation* course during the fall semester of Year 1. Subject to availability the student is recommended to take ESL 411 during the fall or ESL 412 during the spring semester. Finally the student should take ESL 512 during their second year in the program. In addition to these courses, students are strongly recommended to participate in ELI's Chat room.

The student will be required to retake the SPEAK test in December of Year 1. If they have not obtained the required score of 55 they must retake it until the requirement is fulfilled or they have meet the teaching certification interview requirement. The student is not certified to teach until they have reached a 55 on SPEAK or performed a teaching certification interview and passed.

(2) A student with a SPEAK score of 50 will be strongly recommended to take ESL 512. A teaching certification interview will be required for all PhD students in this category before they will be approved to teach.

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

* With permission of a PhD advisor a student with a 45 on the SPEAK may request the teaching certification interview
***** If the course requires extraordinary tuition (e.g., the $185 fee for the American English Pronunciation course), the School will underwrite the fee for the *first* session of a required remedial course.
*Failure to take recommended courses during their first semester in the program or failure to perform satisfactorily in the recommended course will result in an unsatisfactory performance evaluation.

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 II
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 795[2] Doctoral Seminar
Financial Track
MGA 606 Intermediate Financial Reporting
MGA 618 Seminar in Financial Accounting
MGA 796[2] Doctoral Seminar

No minor exam is required if the student achieves a 3.5 grade point average in minor courses.

[1]MGA 604 or equivalent.

[2]Substitutes 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 student's 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
2. 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 11.

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 typically should take:

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

An additional three courses must be selected from:
MGM 647 Supervised Research
MGM 656 Design, Manufacturing and Marketing of New Products
MGM 657 Distribution Strategy
MGM 659 Market Planning
MGM670 Advertising and Promotions
MGM671 Data Analysis for Marketing Decisions

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 Special Topics/Seminars in Marketing

Unless permission has been granted by the Marketing PhD Program advisor, students are 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
All students should prepare a literature survey approximately 15 pages in length on a topic of their interest. Though possible, it is not necessary for this to evolve into their second year paper or their thesis. The development of this survey paper can be guided and evaluated by any faculty member selected by the student in consultation with the PhD advisor, and will be presented to the department faculty by the beginning of the 3rd semester. All students are required to pass the evaluation.

Comprehensive Examinations
Comprehensive examinations in Marketing will be offered during the first two weeks of June 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, at the end of their 4th semester, which tests their knowledge of advanced areas of interest. Students not passing the exam must retake it the next time it is scheduled to be administered. Students failing the exam twice will be dismissed from the program.

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 presented at a departmental seminar and evaluated by a committee no later than the end of their 5th semester 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 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.

Dissertation Proposal
Students are required to defend their dissertation proposals by the end of their 6th semester (or soon after).

(See Chapter 3 for more details).

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 & 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 & 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
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 633: Supply Chains & Global Operations
MGO 636: Supply Chains: Design, Modeling & optimization
MGO 637: Purchasing & Global Supply Management
MGO 638: Logistics & Global Distribution 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)
MGO 617: Service Operations & Extreme Events Management
MGO 632: Strategic Quality Management

MGO 634: Project Operations Management
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)**
Structural Equation Modeling (PSY 614)**
Research Methods in Social Psychology (PSY 704)**
Field Research in Social Psychology (PSY 708)**
GEO 531 International Business and World Trade

Strategic Management Track
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)**
Structural Equation Modeling (PSY 614)**
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.

(2) 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:

1. Two Topical Seminars - MGB 702 I & II
2. 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.)
3. 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
[1]The 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 <u>not</u> 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/forms/students/atc.pdf

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 126 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 a member of Graduate Programs Office staff and the respective department. 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 may 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:

1. Maintain continuous registration until degree is conferred.
2. Complete a minimum of 72 credit hours of graduate study (see the related policy on use of prior coursework).
3. Fulfill a minimum residency requirement of one year, which must include two consecutive semesters of full-time study in residence under the auspices of the University.
4. Successfully complete a departmental preliminary or qualifying examination or equivalent.
5. Submit an Application to Candidacy within the proper deadline dates for approval at the department, decanal, (divisional committee where required), and Graduate School levels.
6. Submit a dissertation proposal, prospectus or abstract.
7. Complete an acceptable doctoral dissertation.
8. Complete UB's Responsible Conduct of Research (RCR) Training Requirement.
9. Complete additional requirements as the department or program might duly specify.
10. an approved Application to Candidacy (with all necessary attachments, including original transcripts)
11. an M-Form
12. electronic submission of dissertation through the Graduate School's website at www.grad.buffalo.edu/etd
13. Associated with the electronic submission is a mandatory $72.00 cataloging and processing fee
14. Survey of Earned Doctorates Form (http://www.grad.buffalo.edu/forms/students/sed.pdf)
15. Publishing and Copyright Billing Form (http://www.grad.buffalo.edu/forms/students/catcopy.pdf)

Dissertation Instructions

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.

CHAPTER IV – GRADUATE SCHOOL POLICY ON GRIEVANCE PROCEDURES FOR GRADUATE STUDENTS

Preamble

It is an objective of the University at Buffalo and its Graduate School to encourage the prompt consultative resolution of grievances of graduate students as they arise, and to provide orderly procedures for the formal consideration and resolution of complaints that cannot be resolved through consultation.

This set of procedures is designed to provide a well-defined, yet appropriately flexible structure that recognizes and reflects the issues unique to graduate education as well as academic areas common to all faculty-student or administrator-student relationships.

The following procedures provide a sequence of steps for the orderly and expeditious resolution of grievances initiated by graduate students. While recognizing and affirming the established principle that academic judgments and determinations are to be reached solely by academic professionals, it is the Graduate School's intention to secure, to the maximum extent feasible, equitable treatment of 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.

Grievance Definitions and Limits

1. **Definition**. A grievance shall include, but is not restricted to, a complaint by a graduate student:
   that he or she has been subjected to a violation, misinterpretation, or inequitable application of any of the regulations of the University, the Graduate School, a College or School, or Department; or
   that he or she has been treated unfairly or inequitably by reason of any act or condition that is contrary to established policy or practice governing or affecting graduate students at the University at Buffalo.
2. **Time Limit**. A grievance must be filed within one calendar year from the date of the alleged offense. The cognizant department chair, college or school dean, or the Dean of the Graduate School may extend this time limit upon demonstration of good cause.

Consultative Resolution

Virtually all disputes originate in the department or comparable administrative unit and should, if feasible, be resolved through consultation between the disputants. The parties should meet and exert a good faith effort to resolve the dispute amicably.

At the request of either or both parties, the consultation may be recorded by a departmental note-taker (a staff or faculty member, but not a student). If a departmental note-taker is present during the consultation, the student may have an additional note-taker of his/her choosing also in attendance. Neither note-taker may actively participate in the consultation between the parties to the grievance other than to request repetition or clarification of statements made by either party during the consultation session.

It may be useful for the student to seek first the assistance of his or her advisor, department chair, or director of graduate studies acting as a mediator to aid in evenhandedly resolving the dispute.

Formal Resolution

I. Departmental Level Review

Step 1. The student who believes that the grievance is severe or has been unable to obtain an acceptable consultative resolution should submit in writing to the cognizant department chair a description of his or her complaint, including any evidentiary or supporting materials, and a request for a hearing. (If the department chair is a party against whom the grievance is brought, either as a teaching faculty member or as chair, or where the chair can demonstrate that it will best serve the interests of the parties, direct petition to the school or college level may be pursued.)

Step 2. The cognizant department chair shall give the Department Grievance Committee (see Appendix A) and each principal a copy of the written grievance, including any evidentiary or supporting materials, and a copy of the Academic Grievance Policy and Procedures for graduate students.

Upon initial review of the materials and statements presented by the grievant, if the Department Grievance Committee finds the grievance does not have reasonable supporting grounds, the Committee shall conclude the grievance is without merit. In this initial review the Committee may also consider materials or statements submitted by the teaching faculty member(s) against whom the grievance is lodged. If the grievance is found without merit, the Committee shall report this denial to the cognizant department chair. The Committee shall complete this initial review within 15 academic days[1] of its receipt of the grievance. The cognizant department chair shall then submit a Statement of Decision to the principals (via certified, return receipt mail), the cognizant college or school dean, and the Dean of the Graduate School within 10 academic days[1] of receipt of the Committee decision.

If the Department Grievance Committee finds the statement of grievance has reasonable supporting grounds, the Committee shall proceed with hearings as provided below.

Step 3. The Departmental Grievance Committee shall convene hearing(s) as necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written and verbal, of each principal and of others who contribute information to the Committee.

The hearing shall convene within 20 academic days[1] of the department's receipt of the written grievance. The cognizant department will notify principals at least 72 hours prior to the hearing.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee. Hearing(s) shall be conducted in confidence (see Appendix B).

Step 4. The Departmental Grievance Committee shall submit its recommendation(s) in writing, including findings and reasons for the recommendations, to the cognizant department chair within 10 academic days[1] of the final meeting of the committee.

Step 5. The cognizant department chair shall consider the committee's findings and recommendations and render a final decision. This Statement of Decision and an indication of the student's right to appeal the department chair's decision (including time limit) shall be submitted, in writing, from the department chair to the principals (via certified, return receipt mail), the cognizant college or school dean, and the Dean of the Graduate School within 10 academic days[1] from receiving the Department Grievance Committee's written recommendations.

Files shall be maintained in the offices of the cognizant dean and the Office of the Dean of the Graduate School.

II. School or College Level Appeal

Step 1. If either principal wishes to appeal the departmental ruling, a written statement of the appeal, including any additional evidentiary or supporting materials, shall be filed within 10 academic days[1] of receipt of the department chair's Statement of Decision. The appeal shall be filed with the cognizant college or school dean. (If the dean is a party against whom the grievance is brought, either as a teaching faculty member or as dean, or where the dean can demonstrate that it will best serve the interests of the parties, a direct petition to the Graduate School level may be pursued.)

Step 2. Upon review of relevant materials, including all materials and statements presented during prior hearings, and materials and statements subsequently presented, if the cognizant college or school dean does not find that the statement of appeal provides reasonable grounds to appeal nor raises doubt concerning the adequacy of prior review, the dean may issue a formal decision regarding the appeal. In such a case, the dean shall submit a Statement of Decision to the principals (via certified, return receipt mail), the department chair, and the Dean of the Graduate School within 20 academic days[1] of receipt of the appeal.

Alternatively, if the dean deems it necessary or appropriate to consider further the circumstances of the appeal, he or she shall convene a Decanal Grievance Committee within 20 academic days[1] of receipt of the appeal. The Decanal Grievance Committee shall include two faculty members and two graduate students. In those college/schools comprised of multiple academic departments, the Decanal Grievance Committee shall not include representatives from the department(s) involved in the grievance (see Appendix C).

Step 3. The cognizant dean shall give the Decanal Grievance Committee and each principal a copy of the Academic Grievance Policy and Procedures for graduate students, the original written grievance, the written appeal to the school or college level, any supplemental materials and statements, and all documentation and recommendations from the departmental proceedings.

Step 4. The Decanal Grievance Committee shall convene hearing(s) necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of the principals as well as others who contribute information to the committee. The principals must be given at least a 72-hour prior notice of the hearing.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee. Hearing(s) shall be conducted in confidence (see Appendix B).

Step 5. The Decanal Grievance Committee shall submit its recommendation(s) in writing, including findings and reasons for the recommendations, to the cognizant college or school dean within 10 academic days[1] of the final meeting of the committee.

Step 6. The cognizant dean shall consider the committee's findings and recommendations and render a final decision. This Statement of Decision and a statement of the student's right to appeal the dean's decision (including time limit) shall be submitted in writing from the dean to the principals (via certified, return receipt mail), the department chair, and the Dean of the Graduate School within 10 academic days[1] from receiving the Decanal Grievance Committee's written recommendations.

Files shall be maintained in the offices of the cognizant dean and the Office of the Dean of the Graduate School.

III. Graduate School Level Appeal

On rare occasions, when all established procedures within a college or school have been exhausted, it may be appropriate for the Dean of the Graduate School to consider a final University appeal. In general, the Dean of the Graduate School will consider only those appeals that document violations of applicable due process in prior proceedings or which establish sound cause to believe that prior proceedings have resulted in a decision contrary to law, the Polices of the SUNY Board of Trustees, or policies of the University at Buffalo. In general, the Dean of the Graduate School will not consider appeals that merely challenge the appropriateness of a judgment reached following a full and fair review of a matter by the department and the dean of the college or school.

Step 1. If either principal wishes to appeal the decision(s) of the college or school dean, the written statement of appeal, including any additional evidentiary or supporting materials, shall be filed within 10 academic days[1] of receipt of the Statement of Decision. The appeal shall be filed with the Dean of the Graduate School.

Step 2. Upon review of relevant materials, including all materials and statements presented during prior hearings, and any materials and statements subsequently presented, if the Dean of the Graduate School does not find that the statement of appeal provides reasonable grounds to appeal nor raises doubt concerning the adequacy of prior review, the Dean of the Graduate School may issue a formal decision regarding the appeal. In such a case, the Dean of the Graduate School will submit a Statement of Decision to the principals (via certified, return receipt mail), the department chair, and cognizant dean within 20 academic days[1] of receipt of the appeal.

Alternatively, if the Dean of the Graduate School deems it necessary or appropriate to consider further the circumstances of the appeal, he or she shall convene a Graduate School Grievance Committee within 20 academic days[1] of receipt of the appeal (see Appendix D).

Step 3. The Graduate School shall give the Graduate School Grievance Committee and each principal a copy of the Academic Grievance Policy and Procedures, the original written grievance, the written appeals to both the school/college and the Graduate School levels, any supplemental materials and statements, and all documentation and recommendations from the departmental and decanal proceedings. The Graduate School will notify principals at least 72 hours prior to the hearing.

Step 4. The Graduate School Grievance Committee shall convene hearing(s) as necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of the principals as well as others who contribute information to the Committee.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the chair, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee. Hearing(s) shall be conducted in confidence (see Appendix B).

Step 5. The Graduate School Grievance Committee shall submit its letter of recommendations, including findings and reasons for recommendations, to the Dean of the Graduate School within 10 academic days[1] after the final meeting of the committee.

Step 6. The Dean of the Graduate School shall consider the Committee's findings and recommendations and render a final University decision/determination. The Dean of the Graduate School's Statement of

Decision shall be submitted in writing to the principals (via certified, return receipt mail), the department chair, and the cognizant academic dean within 10 academic days[1] from receiving the Graduate School Grievance Committee's written recommendations.

The determination/decision of the Dean of the Graduate School constitutes the final step in the University review process and may not be further appealed.

Files shall be maintained in the office of the cognizant dean and the Graduate School.

Note:

[1] Academic days are defined as weekdays when classes are in session, not including the summer sessions.

Appendix A: Departmental Grievance Committee Membership

The cognizant department chair, or the chair of the departmental Grievance Committee, shall assemble, from a pool of individuals comprising the Departmental Grievance Pool, a Departmental Grievance Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. The departmental representatives in the Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Departmental Grievance Pool may also serve as the Departmental Academic Integrity Pool.

The members of the Grievance Pool and the Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the Committee inappropriate, the party shall transmit, within five academic days[1] of the naming of the committee, a written statement of the grounds for this "challenge for cause" to the cognizant department chair who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

Appendix B: Confidentiality of Proceedings.

Once the department chair, college or school dean or the Dean of the Graduate School initiates a grievance hearing, principals and committee members shall have the obligation to maintain the confidentiality of the proceedings and of all materials or testimony presented in hearing proceedings, until a decision is formally transmitted to the principals involved in the grievance.

If a breach of confidentiality by either principal (as defined above) is formally brought to the attention of the Grievance Committee, upon a majority vote of the committee, it may choose to consider this breach a case of possible misconduct. If a committee member is charged with a possible misconduct, such charge will be heard at the next highest level Grievance Committee. Such consideration shall take precedence over the pending grievance, and a misconduct hearing shall be conducted, and findings shall be transmitted, in writing, to the principals and committee members, and shall be placed in a supplemental file of the grievance proceedings. Such findings may then be considered in the subsequent review of the grievance.

Appendix C: Decanal Grievance Committee Membership.

The cognizant college or school dean, or the chair of the school or college Grievance Committee, shall assemble, from a pool of individuals comprising the college or school Grievance Pool, a Decanal Grievance Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. In those college/schools comprised of multiple academic departments, the Decanal Grievance Committee shall not include representatives from the department(s) involved in the grievance. The college or school Grievance Pool shall include two representatives, as appropriate, from each department: one faculty member and one graduate student. The departmental representatives in the Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Decanal Grievance Pool may also serve as the Decanal Academic Integrity Pool.

The members of the Grievance Pool and the Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the Committee appointed to hear the grievance. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days[1] of the naming of the committee, a written statement of the grounds for this "challenge for cause" to the cognizant academic dean who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

Appendix D: Graduate School Grievance Committee Membership

The Graduate School Grievance Committee shall be comprised of no fewer than two faculty members and two graduate students (all from outside the cognizant academic department[s]) or a larger number of participants maintaining this same ratio. The departmental representatives comprising the Graduate School Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Graduate School Grievance Pool may also serve as the Graduate School Academic Integrity Pool.

The members of the Graduate School Grievance Pool and the Graduate School Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the committee appointed to hear the grievance. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days[1] of the naming of the committee, a written statement of the grounds for this "challenge for cause" to the Dean of the Graduate School who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

Panel Development

The Dean of the Graduate School shall encourage departments to nominate faculty and student representatives for the departmental and decanal pools and to encourage departments to facilitate development of faculty and student representatives in order to ensure a suitable pool of personnel for departmental, decanal, and Graduate School grievance hearings.

Amended Policies Promulgated by President John B. Simpson, 26 June 2008

Effective, 25 August 2008

CHAPTER V – DISCIPLINARY PROCEDURES FOR ACADEMIC INFRACTIONS

Preamble

Academic integrity is a fundamental university value. Through the honest completion of academic work, students sustain the integrity of the university while facilitating the university's imperative for the transmission of knowledge and culture based upon the generation of new and innovative ideas.

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 consultative resolution between the student and the instructor.

It is recommended that the instructor and student each consult with the department chair, School or College dean, or the Graduate School if there are any questions regarding these procedures.

Examples of Academic Dishonesty

Academic dishonesty includes, but is not limited to, the following:

- **Previously submitted work**. Submitting academically required material that has been previously submitted -- in whole or in substantial part -- in another course, without prior and expressed consent of the instructor.
- **Plagiarism**. Copying or receiving material from any source and submitting that material as one's own, without acknowledging and citing the particular debts to the source (quotations, paraphrases, basic ideas), or in any other manner representing the work of another as one's own.
- **Cheating**. Soliciting and/or receiving information from, or providing information to, another student or any other unauthorized source (including electronic sources such as cellular phones and PDAs), with the intent to deceive while completing an examination or individual assignment.
- **Falsification of academic materials**. Fabricating laboratory materials, notes, reports, or any forms of computer data; forging an instructor's name or initials; resubmitting an examination or assignment for reevaluation which has been altered without the instructor's authorization; or submitting a report, paper, materials, computer data, or examination (or any considerable part thereof) prepared by any person other than the student responsible for the assignment.
- **Misrepresentation of documents**. Forgery, alteration, or misuse of any University or Official document, record, or instrument of identification.
- **Confidential academic materials**. Procurement, distribution or acceptance of examinations or laboratory results without prior and expressed consent of the instructor.
- **Selling academic assignments**. No person shall sell or offer for sale to any person enrolled at the University at Buffalo any academic assignment, or any inappropriate assistance in the preparation, research, or writing of any assignment, which the seller knows, or has reason to believe, is intended for submission in fulfillment of any course or academic program requirement.
- **Purchasing academic assignments**. No person shall purchase an academic assignment intended for submission in fulfillment of any course or academic program requirement.

Consultative Resolution

Step 1. If an instructor has reason to believe that a student may have committed an act of academic dishonesty, the instructor shall notify the student suspected of academic dishonesty by e-mail to the student's UB IT address with receipt requested, by certified mail return receipt requested, or by written notice delivered in person with a copy countersigned by the student and retained by the instructor within 10 academic days[1] of discovery of the alleged incident.

Once the alleged incident has occurred, the student may not resign from the course without permission of the instructor.

The instructor shall meet and consult with the student within 10 academic days[1] of the date of notification. If the student fails to attend the consultative meeting, the instructor has the authority to reach a decision and to impose a sanction (if appropriate) without the student consultation.

At consultation, the instructor shall inform the student of the allegations relating to the specific infringement, and the student shall be given a copy of the Academic Integrity Policy and Procedures.

At the request of either or both parties, the consultation may be recorded. A departmental note-taker (a staff or faculty member, but not a teaching assistant) may record consultation proceedings. The student must agree to the presence of the note-taker, and the student may also have a note-taker in attendance.

Step 2. If, after consultation with the student, the instructor believes the student did not commit an act of academic dishonesty, no sanctions may be imposed. The instructor will orally inform the student of that finding and, if the student so requests, will provide the student with a written statement confirming that finding. Procedures end.

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

1. **Warning**. Written notice to the student that he/she has violated a University academic integrity standard and that the repetition of the wrongful conduct may be cause for more severe sanctions.
2. **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 "I" [Incomplete] pending replacement or revision of the work.)
3. **Reduction in Grade**. With respect to the particular assignment/exam or final grade in the course.
4. **Failure in the Course**. To be indicated on the transcript by a grade of "F" without comment.
5. **Such other reasonable and appropriate sanction(s)** as may be determined by the instructor (or Committee at later levels of review) with the exception of those subsequently described under #6.
6. **Recommendation of any of the following University sanctions** (these require approval at the department, College/School, and Graduate School levels).
    1. *Failure in the Course with Citation of Academic Dishonesty:* To be indicated by an "F" on the transcript with the notation that the grade of "F" was assigned for reason of academic dishonesty. Only the Dean of the Graduate School or his or her designee may impose this sanction.
    2. *Suspension from the University:* For a definite term upon stated conditions. Only the University President or his/her designee may suspend a student from the University.
    3. *Expulsion from the University:* With comment on the transcript. Only the University President or his/her designee may expel a student from the University.

Step 3. The instructor shall provide the student with a copy of the decision, sanction(s) imposed, and the student's right to appeal that decision. The instructor's decision letter shall be sent to the student (via certified, return receipt mail), the department chair, and the Dean of the Graduate School within 10 academic days[1] of the date of the consultation meeting. This statement of decision shall be included in the student's confidential file maintained in the Graduate School. The student shall have access to this file.

University Sanctions. If the sanctions imposed at the instructor level include recommendation of University sanctions (as listed in Step 2.6), departmental level procedures are required, and shall be initiated within 10 academic days[1] of the department chair's receipt of the statement of decision.

Right to Appeal. The student may appeal the instructor's findings. The student's request for an appeal, including specification of the grounds for appeal, must be submitted in writing to the instructor and to the department chair no later than 10 academic days[1] after the instructor has notified the student of his or her decision.

Departmental Level Procedures

Step 1. The instructor and student have no more than 10 academic days[1] following the filing of the request for the initiation of departmental proceedings to deliver evidentiary materials to the department chair. The instructor and student shall each provide the department chair with a written statement of evidence supporting his or her position, any relevant documentation, and the names of potential witnesses.

If the department chair is the faculty member who has brought the academic dishonesty charge against the student, or if a department is unable to assemble a committee because of a limited number of faculty or students, direct consideration at the college or school level may be requested.

Pending resolution, the instructor shall temporarily assign a grade of "I" (Incomplete). This "I" grade can only be adjusted by resolution of the case.

Step 2. Upon review of relevant materials (including all evidence and statements communicated during consultation), if the department chair does not deem it necessary to consider further the circumstances of the case, the department chair will notify the student (via certified, return receipt mail), the instructor, the cognizant academic dean, and the Dean of the Graduate School of his or her decision within 20 academic days[1] of receipt of the student's appeal or instructor's recommendation. If the sanctions imposed at this stage include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), decanal level procedures are required (see "Decanal Level Procedures").

Alternatively, if the department chair deems it necessary to consider further the circumstances of the case, he or she shall convene the Departmental Adjudication Committee within 20 academic days[1] of the date the department office received the request for initiation of departmental proceedings (see Appendix A).

The department office shall convey all evidentiary materials to the Departmental Adjudication Committee, the student, and the instructor at the time the notice of the hearing is delivered. The student and the instructor shall be given at least 72 hours notice of the hearing.

At hearing(s), the Departmental Adjudication Committee shall provide sufficient opportunity for both principals to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of those who contribute information to the committee.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case will the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee.

The technical and formal rules of evidence applicable in a court of law are not controlling, and the committee may hear all relevant and reliable evidence that will contribute to an informed result. The Departmental Adjudication Committee shall only consider evidence presented at hearing(s). Discussion of a student's formerly alleged or documented academic misconduct shall not be admissible as evidence to determine whether the student is responsible for breaching the university's academic integrity code in the

current case, although such history may be introduced and considered during the sanctioning phase. Hearings shall be confidential (see Appendix B).

The Departmental Adjudication Committee shall provide the department chair with a written statement of recommendations and reasons for recommendations within 10 academic days[1] after the final meeting of the committee. Recommendations may include:

1. **Findings Overturned**. Finding that no academic dishonesty took place and that no sanctions should be imposed.
2. **Findings Sustained**. Finding that academic dishonesty occurred, and the committee is in agreement with the sanction(s) previously imposed or recommended.
3. **Finding of Different Sanction**. Finding that academic dishonesty occurred, but that the sanction(s) previously imposed or recommended are inappropriate and that greater or lesser sanction(s) should be imposed.

Step 3. The department chair considers the Committee's findings and recommendations and renders a final decision. The department chair's decision and the student's right to appeal that decision shall be submitted in writing from the department chair to the student (via certified, return receipt mail), the instructor, the cognizant academic dean, and the Dean of the Graduate School within 10 academic days[1]. from receiving the Departmental Adjudication Committee's statement of recommendations.

The department chair shall forward the record of the matter consisting of all written communications, all written evidence, an audiotape or other record of the hearing, and its statement of recommendations to the Dean of the Graduate School, where a confidential file will be maintained. The student shall have access to this file.

University Sanctions. If the sanction(s) imposed at the departmental level include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), decanal level procedures are required, and shall be initiated within 10 academic days[1] of the dean's receipt of the statement of decision.

Right to Appeal. The student or the instructor may appeal the department chair's findings. The request for an appeal, including specification of the grounds for appeal, must be submitted in writing to the department chair and to the cognizant academic dean no later than 10 academic days[1] after the department chair has notified the student of his or her decision.

Decanal Level Procedures

Step 1. The instructor and student have no more than 10 academic days[1] following the filing of the request for the initiation of decanal level proceedings to deliver evidentiary materials to the cognizant academic dean. The instructor and student shall each provide the academic dean with a written statement of evidence supporting his or her position, any relevant documentation, and the names of potential witnesses.

Pending resolution, the temporarily assigned grade of "I" (Incomplete) will continue in place. This "I" grade can only be adjusted by final resolution of the pending case.

Step 2. Upon review of relevant materials (including all evidence and statements communicated during consultation), if the academic dean does not deem it necessary to consider further the circumstances of the case, the academic dean will notify the student (via certified, return receipt mail), the instructor, the department chair, and the Dean of the Graduate School of his or her decision within 20 academic days[1] of receipt of the student's appeal or instructor's recommendation. If the sanctions imposed at this stage include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), a hearing

at the decanal level is required, and procedures below shall be initiated within 20 academic days[1] of the academic dean's receipt of the department chair's statement of decision.

Alternatively, if the academic dean deems it necessary to consider further the circumstances of the case, he or she shall convene the Decanal Adjudication Committee within 20 academic days[1] of the date which the academic dean received the request for initiation of decanal level proceedings (see Appendix C).

The academic dean's office shall convey all evidentiary materials to the Decanal Adjudication Committee, the student, and the instructor at the time the notice of the hearing is delivered. The student and the instructor shall be given at least 72 hours notice of the hearing.

At hearing(s), the Decanal Adjudication Committee shall provide sufficient opportunity for both principals to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of those who contribute information to the committee.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee.

The technical and formal rules of evidence applicable in a court of law are not controlling, and the committee may hear all relevant and reliable evidence that will contribute to an informed result. The Decanal Adjudication Committee shall only consider evidence presented at hearing(s). Discussion of a student's formerly alleged or documented academic misconduct shall not be admissible as evidence to determine whether the student is responsible for breaching the university's academic integrity code in the current case, although such history may be introduced and considered during the sanctioning phase. Hearings shall be confidential (see Appendix B).

The Decanal Adjudication Committee shall provide the academic dean with a written statement of recommendations and reasons for recommendations within 10 academic days[1] after the final meeting of the committee. Recommendations may include:

1. **Findings Overturned.** Finding that no academic dishonesty took place and that no sanctions should be imposed.
2. **Findings Sustained.** Finding that academic dishonesty occurred, and the committee is in agreement with the sanction(s) previously imposed or recommended.
3. **Finding of Different Sanction**. Finding that academic dishonesty occurred, but that the sanction(s) previously imposed or recommended are inappropriate and that greater or lesser sanction(s) should be imposed.

Step 3. The academic dean considers the Committee's findings and recommendations and renders a final decision. The academic dean's decision and the student's right to appeal that decision shall be submitted in writing from the academic dean to the student (via certified, return receipt mail), the instructor, the department chair, and the Dean of the Graduate School within 10 academic days[1] from receiving the Decanal Adjudication Committee's statement of recommendations.

The academic dean shall forward the record of the matter consisting of all written communications, all written evidence, an audiotape or other record of the hearing, and its statement of recommendations to the Dean of the Graduate School, where a confidential file will be maintained. The student shall have access to this file.

University Sanctions. If the sanction(s) imposed at the decanal level include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), Graduate School level procedures are required, and shall be initiated within 10 academic days[1] of the Dean of the Graduate School's receipt of the statement of decision.

Right to Appeal. The student or the instructor may appeal the academic dean's findings, but only based on claims of limitations on, or violations of, applicable due process. Any such appeal request must describe the specific due process violation(s) claimed and must be submitted in writing to the academic dean and to the Dean of the Graduate School no later than 10 academic days[1] after the academic dean has notified the student of his or her decision.

Graduate School Level Procedures

Step 1. The instructor and student have no more than 10 academic days[1] following the filing of the request for the initiation of Graduate School level proceedings to deliver evidentiary materials to the Dean of the Graduate School. The instructor and student shall each provide the Dean of the Graduate School with a written statement of evidence supporting his or her position, any relevant documentation, and the names of potential witnesses.

Pending resolution, the temporarily assigned grade of "I" (Incomplete) will continue in place. This "I" grade can only be adjusted by final resolution of the pending case.

Step 2. Upon review of relevant materials (including all evidence and statements communicated during consultation), if the Dean of the Graduate School does not deem it necessary to consider further the circumstances of the case, the Dean of the Graduate School will notify the student (via certified, return receipt mail), the instructor, the department chair, and the cognizant academic dean of his or her decision within 20 academic days[1] of receipt of the student's appeal or instructor's recommendation. If the sanctions imposed at this stage include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), the Dean of the Graduate School will pursue appropriate steps to implement or seek implementation of such sanction(s).

Alternatively, if the Dean of the Graduate School deems it necessary to consider further the circumstances of the case, he or she shall convene the Graduate School Adjudication Committee within 20 academic days[1] of the date on which the Dean of the Graduate School received the request for initiation of Graduate School level proceedings (see Appendix D).

The Graduate School shall convey all evidentiary materials to the Graduate School Adjudication Committee, the student, and the instructor at the time the notice of the hearing is delivered. The student and the instructor shall be given at least 72 hours notice of the hearing.

At hearing(s), the Graduate School Adjudication Committee shall provide sufficient opportunity for both principals to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of those who contribute information to the committee.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee.

The technical and formal rules of evidence applicable in a court of law are not controlling, and the committee may hear all relevant and reliable evidence that will contribute to an informed result. The

Graduate School Adjudication Committee shall only consider evidence presented at hearing(s). Discussion of a student's formerly alleged or documented academic misconduct shall not be admissible as evidence to determine whether the student is responsible for breaching the university's academic integrity code in the current case, although such history may be introduced and considered during the sanctioning phase. Hearings shall be confidential (see Appendix B).

The Graduate School Adjudication Committee shall provide the Dean of the Graduate School with a written statement of recommendations and reasons for recommendations within 10 academic days[1] after the final meeting of the committee. Recommendations may include:

1. **Findings Overturned**. Finding that no academic dishonesty took place and that no sanctions should be imposed.
2. **Findings Sustained**. Finding that academic dishonesty occurred, and the committee is in agreement with the sanction(s) previously imposed or recommended.
3. **Finding of Different Sanction**. Finding that academic dishonesty occurred, but that the sanction(s) previously imposed or recommended are inappropriate and that greater or lesser sanction(s) should be imposed.

Step 3. The Dean of the Graduate School considers the committee's findings and recommendations and renders a final decision. The Dean of the Graduate School's decision shall be submitted in writing to the student (via certified, return receipt mail), the instructor, the department chair, and the cognizant academic dean within 10 academic days[1] from receiving the Graduate School Adjudication Committee's statement of recommendations.

The Dean of the Graduate School shall file the record of the matter consisting of all written communications, all written evidence, an audiotape or other record of the hearing, and statements of recommendations to the Dean of the Graduate School, in the confidential file located in and maintained by the Graduate School. The student shall have access to this file.

University Sanctions. If the sanction(s) imposed at the Graduate School level include implementation or recommended implementation of University sanctions (as listed in Consultative Resolution Step 2.6), implementation or recommended implementation of those sanctions shall be initiated within 10 academic days[1] following the Dean of the Graduate School's decision in the matter.

No Right to Further Appeal. The decision of the Dean of the Graduate School is final, and no further appeal is available.

Note:

[1] Academic days are defined as weekdays when classes are in session, not including the summer sessions.

Appendix A: Departmental Adjudication Committee Membership.

The department chair or the chair of the departmental adjudication committee shall assemble, from a pool of individuals comprising the departmental Academic Integrity Pool, a Departmental Adjudication Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. The departmental Academic Integrity Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Departmental Academic Integrity Pool may also serve as the Departmental Grievance Pool.

The members of the Academic Integrity Pool and the Adjudication Committee shall be selected so that no member is involved in a disproportionate number of cases. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the Committee appointed to hear the case. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days[1] of the naming of the committee, a written statement of the grounds for this "challenge for cause" to the cognizant department chair who shall rule on the merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the case in an unbiased fashion.

Appendix B: Confidentiality of Proceedings.

Once the department chair, college or school dean or the Dean of the Graduate School initiates an academic integrity hearing, principals and committee members shall have the obligation to maintain the confidentiality of the proceedings and of all materials or testimony presented in hearing proceedings, until a decision is formally transmitted to the principals involved in the case.

If a breach of confidentiality by either principal (as defined above) is formally brought to the attention of the Adjudication Committee, upon a majority vote of the committee, it may choose to consider this breach a case of possible misconduct. If a committee member is charged with a possible misconduct, such charge will be heard at the next highest level Adjudication Committee. Such consideration shall take precedence over the pending case, and a misconduct hearing shall be conducted, and findings shall be transmitted, in writing, to the principals and committee members, and shall be placed in a supplemental file of the case proceedings. Such findings may then be considered in the subsequent review of the case.

Appendix C: Decanal Adjudication Committee Membership.

The cognizant college or school dean, or the chair of the school or college Adjudication Committee, shall assemble, from a pool of individuals comprising the college or school Academic Integrity Pool, a Decanal Adjudication Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. In those college/schools comprised of multiple academic departments, the Decanal Adjudication Committee shall not include representatives from the department(s) involved in the case. The college or school Academic Integrity Pool shall include two representatives, as appropriate, from each department: one faculty member and one graduate student. The departmental representatives in the Academic Integrity Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Decanal Academic Integrity Pool may also serve as the Decanal Grievance Pool.

The members of the Academic Integrity Pool and the Adjudication Committee shall be selected so that no member is involved in a disproportionate number of cases. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the Committee appointed to hear the case. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days[1] of the naming of the committee, a written statement of the grounds for this "challenge for cause" to the cognizant academic dean who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the case in an unbiased fashion.

Appendix D: Graduate School Adjudication Committee Membership.

The Graduate School Adjudication Committee shall be comprised of no fewer than two faculty members and two graduate students (all from outside the cognizant academic department[s]) or a larger number of participants maintaining this same ratio. The departmental representatives comprising the Graduate

School Academic Integrity Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Graduate School Academic Integrity Pool may also serve as the Graduate School Grievance Pool.

The members of the Graduate School Academic Integrity Pool and the Graduate School Adjudication Committee shall be selected so that no member is involved in a disproportionate number of cases. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the committee appointed to hear the case. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days1 of the naming of the committee, a written statement of the grounds for this "challenge for cause" to the Dean of the Graduate School who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to deal with the case in an unbiased fashion.

Panel Development

The Dean of the Graduate School shall encourage departments to nominate faculty and student representatives for the departmental and decanal pools and to encourage departments to facilitate development of faculty and student representatives in order to ensure a suitable pool of personnel for departmental, decanal, and Graduate School academic integrity hearings.

Amended Policies Promulgated by President John B. Simpson, 26 June 2008

Effective, 25 August 2008

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 Ph.D. student's academic progress must be evaluated annually by the Director of Graduate Studies (DGS) and, if appropriate, the student's dissertation advisor. The most appropriate time for annual review is mid-May, thereby permitting appropriate academic planning for the following semester, and allowing for timely responses to inquiries about students in jeopardy of losing federal and/or state financial aid. Alternatively, though not ideal, review can take place in mid-October. Additionally, each Ph.D. student's academic progress must be reviewed after their first semester of enrollment, in order to identify any academic problems early in the program. Directors of Graduate Study are required to communicate the annual academic evaluation to the student in writing.

Each graduate program is encouraged to develop its own process for student evaluation and advisement. However, certain elements must be included in PhD student annual evaluation.

1. Review of the student's academic record including
   a) checking the overall grade point average;
   b) addressing any incomplete and/or resigned courses;
   c) monitoring overall progress toward completing the coursework phase of the program.
2. Checking on progress in completing or preparing for the preliminary or qualifying exam(s) or paper(s).
3. Planning for a timely defense of the dissertation research proposal or prospectus.
4. Monitoring adequate progress in research including timeliness of degree completion.

Probation

Any master's level or PhD student who receives a grade of "U", "F", or "D" in any course required for completion of a graduate degree program, falls below the minimum academic requirements detailed above, or who indicates a lack of ability as determined by the director of graduate studies or student's academic advisor, will receive an immediate academic review. Upon completion of the academic review, the director of graduate studies may place the student on academic probation.

Students determined to be making unsatisfactory academic progress must be placed on academic probation. A probationary letter is issued to the student (with a copy to the advisor, if applicable) indicating the conditions that must be met and outlining an appropriate time frame in which to regain good academic standing in the graduate program. The outcome that will result if the conditions are not met

must also be included in the probationary letter. Probationary letters will be made in writing by the director of graduate studies, or department chair or designee at the end of the academic year (mid-May) and will indicate the terms of the probation and its removal. After the specified time frame outlined in the probation letter, the student must be sent a letter removing the probationary status, or a dismissal letter, or a second probationary letter with a new set of conditions for regaining good academic standing.

Academic Dismissal and Transcripts
Graduate students not meeting the written terms of their academic probation may be academically dismissed from the University by the director of graduate studies, chair of the department, or graduate program director. Such dismissals shall 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.

Graduate students who are dismissed for academic reasons from a graduate program will have a "Y" (Graduate School) check-stop placed on their academic record to prevent future registration.

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 appropriate to the particular graduate program. If a student is subsequently readmitted to the program from which he/she was dismissed or admitted into another graduate program, the "Y" checkstop will be removed from the student record 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. All graduate assistants are also required to assist SOM faculty by proctoring two exams during the academic year.

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 supervisor'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 will be sent these announcements electronically.

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 to previously recorded grades must be submitted within twelve months following the end of the term during which the student was registered for the course. Changes from one weighted grade to another must be initiated by the instructor on a Universal Grade Change Form, signed by the instructor and the department chair, and then submitted to the Graduate School for review. A reason for the requested change must be provided before the request will be reviewed.

After one year (or when a student graduates, if sooner), grades are considered final. Any requests for a change of grade after one year require documentation describing why the work was not complete in a timely manner and why the Universal Grade Change Form was not filed during the appropriate period.

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.

The default "U" grade shall become the grade of record if the "I/U" is not replaced by a permanent grade within twelve (12) months after the close of the term for which the "I/U" is assigned according to the following chart.

Courses Taken In Any Given Year During	Deadline for Change of Grade or Petition for Extension of Deadline
Summer Semester	Aug. 31st of the following year
Fall Semester	Dec. 31st of the following year
Spring Semester	May 31st of the following year

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 52.)

Satisfactory/Unsatisfactory (S/U) and Written Evaluation (with grades)

An "S" indicates credit earned and "U" indicates no credit earned. The "S" grade should be awarded only in those instances where a student's weighted grade would have been equivalent to a "C" or better. No more than 25 percent of required course credits in a student's graduate program (not including courses taken as research, thesis, project, portfolio, or dissertation guidance) shall be graded on an S/U basis. Satisfactory (Written) "SW" grades shall not be construed as "S" grades for this purpose. An academic unit may establish a lower percentage limit.

Exclusive of "S" grades, courses to be included as satisfying degree program requirements must average "B" or better. The "U" grade indicates unsatisfactory performance, but is not computed in the overall grade point average reflected on the official transcript.

Graduation Checklist

In order to graduate, the following must be on file in the Graduate School:

- an approved Application to Candidacy (with all necessary attachments, including original transcripts) (http://www.grad.buffalo.edu/forms/students/atc.pdf)
- an M-Form (http://www.grad.buffalo.edu/forms/faculty/MForm.pdf)
- electronic submission of dissertation through the Graduate School's website at www.grad.buffalo.edu/etd
- Associated with the electronic submission is a mandatory $72.00 cataloging and processing fee
- Survey of Earned Doctorates Form (http://www.grad.buffalo.edu/forms/students/sed.pdf)
- Publishing and Copyright Billing Form (http://www.grad.buffalo.edu/forms/students/catcopy.pdf)

In addition, the Graduate School will verify satisfactory completion of all courses and minimum number of credits to be applied toward the degree.

In the Office of Records and Registration
· transcripts for courses taken at other schools and universities;
· satisfactory completion of all courses to be applied toward the degree.

Supervised Research

Supervised research projects 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. Supervised research forms are available online at: http://mgt.buffalo.edu/home/programs/mba/forms .
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 (http://www.grad.buffalo.edu/forms/students/pet_loa.pdf) 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, 433 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 graduate student repeats a course that is not normally "repeatable" ("repeatable" courses include dissertation, research, thesis, project or portfolio guidance; independent study; directed readings, etc.), only the highest grade earned in the course will be counted toward the degree and used to calculate the grade point average associated with the graduate degree program requirements. However, the student's official transcript will record all courses attempted (including repeated courses). All resulting grades earned are calculated in the GPA reflected on the students' final official transcript.

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://www.src.buffalo.edu/studentaccount/falltuition.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