

Ph. D. Student Evaluation Process
Von Allmen School of Accountancy
December 20, 2005^{1 2}

DOCUMENT STATUS:

1. Spring 2005 draft approved by Von Allmen School Ph. D. committee for use in the 2005-2006 academic year.
2. Committee will revise document during 2005-06 academic year.
3. Document and revision history:
 - a. 1st draft → March, 2005
 - b. Revised based on PH. D. committee & Ph. D. student comments → April, 2005
 - c. Revised based on additional comments → August, 2005
 - d. Distributed for Gatton College DGS (Director of Graduate Studies) meeting → October 2005
 - e. Revised based on Ph. D. committee comments → October 2005
 - f. Revised based on additional Ph. D. committee comments → November 2005
 - g. Presented at the Von Allmen School faculty meeting → November 2005
 - h. Revised based on comments from faculty and Ph. D. students at brownbag meeting → December 2005
 - i. Revised on 4-4-06 to request information on students' research assistantships.
 - j. Added request for statement of research interests and program GPA (9-12-06)

PREAMBLE

1. Evaluations of Ph. D. students serve the following goals (in approximate order of importance):
 - a. Developing students' skills & abilities to conduct scholarship (broadly defined) and to succeed in academic accounting positions
 - b. Assisting and improving student job placements
 - c. Allocating Von Allmen School resources among Ph. D. students (e.g., assistantships, fellowships, teaching releases, funding beyond the 4th year) and between programs (e.g., between the MAcc and Ph. D. program).
 - d. Allocating Gatton College resources to Ph. D. students.
 - e. Meeting the requirements of the Gatton College and Graduate School.

¹ This evaluation process is adapted from one used at The Ohio State University, Department of Management and Human Resources, available at:
http://fisher.osu.edu/mhr/programs/lhr_phd/lhr_phd_old/PhDAppraisalSystem.pdf.

² This document benefited from the comments of Associate Dean Mike Tearney, Diana Rast, Linda McDaniel, Dennis Chambers, Sean Pepper, Bob Ramsay, Jean Cooper, and the 2004-2006 Von Allmen School Ph. D. students (Stephen Brigham, Cam Cockrell, Mary Beth Holbrook, Tim Miller, Tim Mitchell, Wei-Cheng Shen and Teresa Stephenson).

Ph. D. COMMITTEE RECOMMENDATIONS TO THE VON ALLMEN SCHOOL DIRECTOR

- 1) Each Fall, the Ph. D. committee will:
 - a) make recommendations to the Director (who is ultimately responsible for allocating School resources to support students) regarding student progress and recommended financial and resource support.
 - b) submit a Ph. D. program budget for the following year that proposes resource allocations among the Ph. D. students. This budget will include a recommended number of total students in the program, and, the number of Ph. D. students to be admitted for the following fall.
 - c) choose Ph. D. students for awards and recurring funded conference attendance (e.g., to the AAA Doctoral Consortium)

APPRAISAL PROCESS

- 1) Overview – Advanced Students (beyond the first year)
 - a) Ph. D. appraisals are conducted during Fall Semester. The time period evaluated is Fall Semester of the previous academic year though Summer Semester of the current academic year (hereafter, the “evaluation period”).
 - b) Doctoral students will participate in this review process beginning in the fall of their second year.
- 2) Summary – Evaluation of First-Year Students
 - a) The committee will meet no later than February 1 to evaluate first-year students’ performance in the program.
 - b) The committee will review the students’ performance in the following activities:
 - i) Coursework (including grades and samples of student writing),
 - ii) Research & teaching assistantship
 - iii) Participation in the scholarly activities of the department, college, and university
 - iv) Committee evaluations of performance to date
 - c) Based on these evaluations, the committee will make recommendations to the director related to the following decisions:
 - i) Funding:
 - (1) Continue or discontinue funding, including the granting of an assistantship for the upcoming year
 - ii) Program continuance decision:
 - (1) Continuance or dismissal from the program, based on evidence indicating that the student is not making sufficient progress towards the development of scholarship skills
 - (a) Dismissal from the program will follow the procedures specified in the [Gatton College of Business Ph. D. student handbook](#)
- 3) Information provided by Advanced Ph. D. students (past the first year)
 - a) By November 1, students should prepare a Dossier of Relevant Accomplishments that includes:
 - i) Current vita

- ii) Summary of significant achievements during the evaluation period
- iii) Summary of one-year goals (for the upcoming academic year)
 - (1) Students will work with advisors to outline goals.
- b) Supporting documentation will include:
 - i) Research papers
 - (1) List & description of planned research papers, including work schedules,
 - (2) List of working papers – including plan & work schedules for publication
 - (3) Papers under review
 - (4) Papers accepted for publication
 - (5) Papers submitted to conferences
 - (6) Statement of research interests (suitable for posting to the website)
 - ii) Teaching
 - (1) Teaching evaluations
 - (2) Syllabi from courses taught
 - iii) Research Assistantship
 - (1) Faculty served, responsibilities, hours.
 - iv) Grants
 - (1) Funding applications submitted
 - v) Coursework
 - (1) Course grades
 - (2) Univ. of Kentucky GPA
- 4) Information provided by Faculty
 - a) Each fall, the DGS will request information from all Von Allmen School faculty regarding individual Ph. D. students' scholarly progress and contributions to the Von Allmen School (broadly defined).
 - b) Before formation of a dissertation committee, the advisory committee chair and members shall provide an evaluation of the students' progress to the Ph. D. committee.
 - i) These evaluations will be provided to the committee each fall.
 - c) After Graduate School approval of the dissertation committee, the dissertation committee chair and committee members shall provide an evaluation of the students' progress to the Ph. D. committee.
- 5) Ph. D. Committee evaluations of Advanced Students
 - a) No later than December 1, the Ph. D. committee will complete the evaluation of each student's dossiers and progress. Using the Performance Appraisal Form, the faculty will evaluate each student on the five dimensions:
 - 1) **DEVELOPMENT AND DEMONSTRATION OF RESEARCH SKILLS**
 - 2) **PROGRESS TOWARDS DEGREE**
 - 3) **DEVELOPMENT AND DEMONSTRATION OF TEACHING SKILLS**
 - 4) **CITIZENSHIP**
 - b) Evaluations will be recorded on a scale of:
 - 1) exceeding expectations,

- 2) meeting expectations,
 - 3) below expectations,
 - 4) recommend discontinuation of fellowship and assistantship funding
 - 5) recommend dismissal from program.³
- c) No later than February 1, advisors and students will meet for a developmental discussion, to revisit goals for the coming year, and to discuss the ratings provided by the Ph.D. committee.
- i) Advisors and students may agree to revisions to goals, and may request that the the Ph. D. committee revisit its recommendations and evaluations
 - ii) After this meeting, the student will file a completed and signed Performance Appraisal Form with the Advisor and the Ph.D. Program Coordinator.
- 6) Appeals
- a) Student appeals of appraisals should be addressed to the Director of the Von Allmen School no later than February 15 of the year of the appraisal. At the Director's discretion, he or she may:
 - i) appoint a committee (that is independent of the PH. D. committee) to investigate these appeals.
 - ii) rule on the appeal(s) without appointing a committee.

ROLES AND EXPECTATIONS

I. STUDENTS

- A) **MAINTAINING RECORDS** - Students will document their accomplishments with regards to the evaluation criteria and evidence of progress towards their specified goals.
- B) **PREPARING AND SUBMITTING REQUIRED MATERIALS** – Students will provide complete and accurate information to their advisors and will work with advisors to complete the dossier of relevant accomplishments.
- C) **PLANNING AND SELF-EVALUATION** - Students will evaluate their performance with regard to the evaluation criteria and their previous goals. Students will also work with advisors to set new goals and develop action plans to meet those goals.

II. ADVISORS

- A) **ADVISING** – Advisors will provide year-round coaching, including monitor students' progress toward goals.
- B) **PREPARING MATERIALS** - Advisors will work with students to complete the dossier of relevant accomplishments.
- C) **EVALUATION AND DEVELOPMENT** - If the Ph. D. committee meets face-to-face or by phone conference to conduct evaluations, advisors will lead the faculty discussion of their respective students' progress and will record consensus (or committee) ratings on the five dimensions. Discussion points and critical incidents contributing to

³ Dismissal from the program will follow the procedures specified in the Gatton College of Business Ph. D. student handbook.

each rating should be noted on the appraisal form. Advisors will meet with students to discuss the faculty appraisal and to evaluate performance goals.

- D) MAINTAINING RECORDS - Advisors will retain copies of all completed dossiers and appraisal forms.

III. PH.D. PROGRAM COORDINATOR (who is also the Departmental DGS)

- A) ADVISING - The Coordinator is the initial advisor for all incoming students until research projects and meaningful exposure to other faculty serves to transfer this role to another faculty member.
- B) MAINTAINING RECORDS - The Coordinator will retain copies of all dossiers and appraisal forms.
- C) SOLICIT EVALUATIONS – The Coordinator will solicit evaluations from faculty.
- D) COORDINATE EVALUATION PROCESS – The Coordinator will coordinate the evaluation process.

IV. FACULTY

- A) EVALUATION – Faculty with relevant information about a student should share that information during the appraisal discussion. Faculty members should maintain the notes and records necessary to provide accurate and informative feedback to Advisors and the Ph. D. committee.

DIMENSIONS FOR Ph. D. STUDENT APPRAISAL

- I) DEVELOPMENT AND DEMONSTRATION OF **RESEARCH SKILLS**
- a) *Research Related Course Work*
 - i) Behavioral examples:
 - (a) Performance in research methods and statistics courses
 - (b) Performance in research related independent studies
 - (2) Completing required research courses
 - b) *Involvement in Research Projects*
 - i) Behavioral examples:
 - (a) Assisting in faculty research projects
 - (b) Initiating independent research projects
 - (c) Receiving an award for independent research
 - c) *Presentations*
 - i) Behavioral examples:
 - (a) Submissions to professional meetings
 - (b) Presentations at professional meetings
 - (c) Presentations at seminars, lunch bags, workshops, etc.
 - d) *Working Papers & Publications*
 - i) Behavioral examples:
 - (a) Completed working papers
 - (b) Submissions to conferences
 - (c) Submissions to refereed journals
 - (d) Acceptances at refereed journals
 - (e) Other publications
 - e) *Participation in Research Workshops & Brown Bags*
 - i) Behavioral examples:
 - (a) Attendance
 - (b) Thoughtful questions and substantive comments
 - (c) Providing written comments to presenters
- II) **PROGRESS TOWARDS DEGREE**
- a) Performance In **Coursework**
 - i) Performance in Seminars
 - ii) Performance in Other Courses
 - iii) Matching of Electives to Interests
 - b) Key Milestone
 - i) Initial Coursework Program approved
 - ii) Form Advisory Committee
 - iii) Progress towards completion of Coursework Program
 - iv) Scheduled Comprehensive Exams
 - v) Comprehensive Exams completed
 - vi) Form Dissertation Committee
 - vii) Dissertation proposal defended
 - viii) Submit Dissertation schedule
 - ix) Dissertation completed

III) DEVELOPMENT AND DEMONSTRATION OF **TEACHING SKILLS**

- a) *Teaching Experience & Ability*
 - i) Behavioral examples:
 - (1) Development of portfolio of teaching experiences
 - (2) Willingness to assume multiple teaching preparations (within or between-semesters) when requested to do so by Director
 - (3) Teaching evaluations
 - (4) Development of teaching materials when required by course demands
 - (5) Nominations for teaching awards
 - (6) Receipt of teaching awards

IV) **CITIZENSHIP**

- a) *Professional Associations*
 - i) Behavioral examples:
 - (a) Attending professional meetings
 - (b) Membership in professional associations
 - (c) Participation in professional associations
- b) *Service*
 - i) Behavioral examples:
 - (a) Attending Ph. D. student meetings
 - (b) Meeting with prospective Ph. D. candidates
 - (c) Committee service
 - (d) Mentoring "junior" Ph. D. students
- c) *Collegiality*
 - i) Behavioral examples:
 - (a) Peer support and interaction with other students
 - (b) Interaction with faculty
- d) *Attendance at Events*
 - i) Behavioral examples:
 - (a) Presentations, lunch bags, guest speakers, etc.
 - (b) Receptions and special events

PERFORMANCE APPRAISAL FORM (to be completed by Ph. D. Committee)

Student:

Evaluation Period:

I. DEVELOPMENT AND DEMONSTRATION OF RESEARCH SKILLS:

II. PROGRESS TOWARDS DEGREE:

III. DEVELOPMENT AND DEMONSTRATION OF TEACHING SKILLS:

IV. PERFORMANCE IN COURSE WORK:

V. CITIZENSHIP:

VI. SUMMARY EVALUATION

Student signature: _____ Date: _____

Advisor signature: _____ Date: _____

Ratings: below expectations, meets expectations, exceeds expectations

VA School of Accountancy
Ph. D. Program
Summary of Achievements and Goals (to be completed by Ph. D. students)

Student:

Goal Period:

1) DEVELOPMENT AND DEMONSTRATION OF RESEARCH SKILLS:

a) Activities & accomplishments over the past year

b) Goals for the next year

2) II. PROGRESS TOWARDS DEGREE:

a) Activities & accomplishments over the past year

b) Goals for the next year

3) III. DEVELOPMENT AND DEMONSTRATION OF TEACHING SKILLS:

a) Activities & accomplishments over the past year

b) Goals for the next year

4) IV. PERFORMANCE IN COURSE WORK:

a) Activities & accomplishments over the past year

b) Goals for the next year

5) V. CITIZENSHIP:

a) Activities & accomplishments over the past year

b) Goals for the next year

Student signature: _____ Date: _____

Advisor signature: _____ Date: _____