

Gatton College

Ph.D. in Business Administration
2025-2026 STUDENT HANDBOOK



Gatton College of
Business and Economics

GATTON COLLEGE OF BUSINESS & ECONOMICS . UNIVERSITY OF KENTUCKY

**Ph.D. in
Business Administration**

STUDENT HANDBOOK

2025-2026

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THE Ph.D. IN BUSINESS ADMINISTRATION

Program Administration

The program is administered for The Graduate School through the Office of the Associate Dean for Graduate Programs and Outreach. The organizational relationship between the College and The Graduate School can be represented as follows:

The Graduate School

The total graduate resources of the University are merged under The Graduate School, which monitors graduate programs, maintains the official copies of all graduate student files, and ensures that all degree requirements are met before a student is certified for graduation.

The Graduate Dean

The Dean of The Graduate School is charged with the administration of the policies adopted by the Graduate faculty and the University Senate. The Dean is responsible for determining and certifying to the Registrar candidates who have fulfilled requirements for advanced degrees.

Gatton College DGS

The Ph.D. program in Business Administration is administered through the Office of the Associate Dean for Graduate Programs and Outreach. The Associate Dean serves as the official representative of The Graduate School in the College, designated the Director of Graduate Studies (DGS) for the program.

Area Directors of Graduate Studies

The Gatton College has departmental DGS's that serve as advisors for the four areas of concentration within the Ph.D. in Business Administration Program. They are as follows:

Area of Concentration	DGS	Phone No.	E-mail
Accounting	Professor Monika Causholli	859-257-1799	monika.causholli@uky.edu
Finance & Quantitative Methods	Professor Russell Jame	859-257-1793	russell.jame@uky.edu
Management	Professor Dan Halgin	859-257-5607	danhalgin@uky.edu
Marketing & Supply Chain	Professor Adam Craig	859-257-2869	Adam.craig@uky.edu

The Assistant Director, Jeannie Graves, manages the day to day administration of the program.

Note: The administration of the program is guided by the following UK documents:

- *Student Rights and Responsibilities:* <https://ombud.uky.edu/students/students-academic-rights-appeals>
- *The Graduate School Bulletin:* <https://gradschool.uky.edu/bulletin-archive>
- *The Policies and Procedures Manual for Directors of Graduate Studies*
https://gradschool.uky.edu/sites/gradschool.uky.edu/files/DGSManual_2023_0810.pdf

Program Mission

The mission of the doctoral program is to prepare students for successful careers in higher education, at government institutes, “think-tanks”, business corporations and financial institutions- in other words, in places where advanced knowledge and high level research skills are essential. To accomplish this mission, the program prepares graduates to comprehend and evaluate research, to perform research that advances knowledge, and to provide effective instruction, all within a business-related discipline and in a supportive collegial environment. Specifically, the program is designed to provide:

- an academic understanding of the philosophies and basic methodological issues of academic inquiry
- an understanding of the theoretical foundations and state-of-the-art research methods in a specific discipline
- the ability to design and execute substantive research projects
- the ability to communicate research findings to various audiences

To this end students work closely with the area DGS, their advisory committee, and individual faculty, throughout the duration of their course of study.

Admission

The program is designed to provide specialization beyond the master’s level although applicants without master degrees will be considered, if suitably qualified. Those admitted without a master’s degree are first required to successfully complete a minimum of 20 hours of graduate level coursework and have the recommendation of their area DGS before the appointment of a Doctoral Advisory Committee can be recommended to the Graduate School by the Program DGS.

Program Expectations

Doctoral students are expected to conform to the highest academic, ethical and professional standards and to make satisfactory progress toward the degree at every stage of their program.

Program Description

The sections that follow are intended to serve primarily as a guide to continuing students as well as newly admitted doctoral students in Business Administration. Prospective doctoral students may also find the information helpful.

The Ph.D. Business Administration Degree

As a Gatton College Ph.D. student you will have the opportunity to

- Be mentored by faculty who are recognized experts in their fields
- Study with a select group of motivated and high achieving students
- Acquire a vast amount of knowledge in your chosen field
- Develop and conduct your own research
- Refine your teaching skills
- Become acquainted with the nuts, bolts, excitement and joys of the academic life

The Ph.D. programs starts with:

Orientation and Registration

A two-and-a-half-week-long orientation for new doctoral students is conducted during August each year prior to the start of the fall semester. All new students are required to attend orientation events that include:

- Gatton College Orientation
- Graduate School Orientation
- Teaching Methods course BA 700 (check if dept. prefers attendance in first or second year)
- Math Camp (if recommended by the student's area DGS)
- Networking and Social Activities

The complete Orientation Schedule is posted each year on the Gatton College Ph.D. program website.

Orientation and International Students

All new international students are also required to attend these separate orientation events during the first week of orientation:

- The International Center Orientation
- The Graduate School International Teaching Assistant Orientation and Language Screening.

English as a Second Language (ESL) Training

International teaching assistants may be asked to undertake additional ESL training under the following circumstances:

- A. If an international TA fails the initial fall ITA screening, then the student in question will be required to undertake further ESL training during their first academic year as follows.
 - Fall semester enrollment in ENG 098 and successful completion of the course
 - Spring semester enrollment in DGS recommended courses offered by UK or the UK Center for English as a Second Language
- B. A student who passes the ITA screening but nevertheless continues to experience language difficulties may, upon the recommendation of the area DGS and approval of the Associate Dean, be required to take ESL training at any time during their studies. Students who fail to make the recommended improvements in necessary English skills following additional ESL training may be subject to non-renewal of their teaching assistantship.

Registration for Courses

Following consultation with their area DGS, course registration dates will be announced by the Graduate School. Thereafter, for every subsequent semester, students are expected to register for courses during the Advance Priority Registration period. Students who experience problems with registration should contact Jeannie Graves in the Graduate Center, Gatton College, Suite 359.

Role of the Graduate School

Doctoral students are expected to familiarize themselves with the rules and regulations of The Graduate School with regard to all stages of progress toward the degree. They are also encouraged to avail themselves of the opportunities offered by the Graduate School for professional development, networking with other graduate students and enhanced teaching practices. The Graduate School website <https://gradschool.uky.edu/> is a resource that should be referred to frequently by every doctoral student.

Degree Requirements

Minimum requirements for the doctoral degree are 40 hours of graduate level coursework and successful completion of the Qualifying Examination followed by registration for a minimum of two consecutive semesters for dissertation residence credit and a successful defense of the dissertation. Registration for dissertation residence credit is required until the dissertation is defended and the degree awarded.

1. Core Requirements (Total Credit hours in the core = 19)

- a. 3 credit hours in research methodology
- b. 6 credit hours in theoretical foundations
- c. 9 credit hours in research tools (including statistics)
- d. 1 credit hour in techniques for business education

2. Major Field Requirements (minimum credit hours = 21)

A major field consists of at least 21 credit hours of graduate level coursework including at least 12 credit hours of 700 level courses exclusive of the core. Currently available major fields include:

Accounting
Finance and Quantitative Methods
Management
Marketing and Supply Chain

3. Post Qualifying Examination Requirements

- a. A dissertation based on original research on a significant topic is required. The dissertation is defended in an oral examination.
- b. Two consecutive (4 credit hours minimum) semesters of dissertation research residence credit.

Substitutions and Waivers

To substitute an alternative course for a required core course, the student must present the alternative course material to the instructor of the core course. The core course instructor must certify to the DGS that the courses are equivalent. A student may receive a waiver for a particular required course if the student demonstrates to the DGS and Advisory Committee (if already appointed, see below) extensive background in the subject area. When a waiver is granted, the DGS and the student's Advisory Committee usually recommend another course to be taken in substitution for the waived course.

Advisory Committee: Coursework Stage

Initially, doctoral students are guided and advised by their area DGS on matters concerning recommended coursework, research, and academic progress. Subsequently, their Advisory Committee, most particularly their Committee Chairperson, assumes these responsibilities. Students are expected to play an active role in soliciting faculty members for their Advisory Committee which normally should be constituted by the end of the second semester of study. Faculty members so approached elect to serve on the Advisory Committee at their discretion. The program DGS then recommends the composition of the Advisory Committee to the Dean of the Graduate School and the Committee is formally established. Any revisions of the Committee, likewise, must be filed in The Graduate School. It is the student's responsibility to ensure that the Advisory Committee is formed in a timely manner and that any changes to the committee are filed with the Graduate School as soon as they occur. Doctoral degree candidate forms may be found on The Graduate School link below:

https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

The Advisory Committee has a core of four members all of whom must be members of the Graduate Faculty of the University of Kentucky. Constituting the core is the major professor as chair, two other members from within Business Administration and an Outside Member. At least three of the four members (including the chairperson or co-chairperson) must be Full (as opposed to Associate) members of the Graduate Faculty. Additional faculty members may also serve on the advisory committee. The Graduate School website maintains a listing of members of the Graduate Faculty. This resource should be referred to when forming an Advisory Committee.

The Outside Member must be selected from a discipline outside that of Business Administration under which rubric are included Accounting, Finance & Quantitative Methods, Management and Marketing & Supply Chain. Economics, Statistics, Psychology and Computer Science are examples of disciplines where Graduate Faculty have served as Outside Members for doctoral students in Business Administration. The Advisory Committee will meet to approve the student's program of study. The student's program of study form must be approved by the area DGS.

In the event that a change in the chairperson becomes desirable, the chairperson of the Advisory Committee (Major Professor) and the student's area DGS share responsibility for helping the student determine the dissertation director. The membership may remain the same during both the coursework and dissertation stages, or the committee may be reformulated during the dissertation phase to better serve the student's research interests.

The Qualifying Examination

Prior to taking the qualifying examination, the student must:

1. Complete any prerequisites previously identified by the area DGS and complete the core courses
2. Complete major courses
3. Remove all "I" (Incomplete) grades from his/her record
4. Have the written approval of the student's DGS and Advisory Committee for the student's program of study

Students who wish to sit for the examination must notify in writing their Advisory Committee Chairperson and their area DGS two months prior to the scheduled examination.

The Qualifying Examination is considered as one examination that includes written and oral components.

a) Written Component

The written component consists of an examination over the major field. Each concentration has developed its own administrative procedures. See Appendix I for details on the administration of the examination by concentration.

The major area faculty members on the student's Advisory Committee coordinate the preparation and evaluation of the examination. The Advisory Committee chairperson will coordinate the overall scheduling, preparation and evaluation of the student's qualifying examination.

b) Oral Component

The student is examined orally by his/her Advisory Committee. The content of the examination will be restricted to the subject matter in the student's major area. Formal notification of the scheduling of an oral examination must be filed electronically with the Graduate School by completion of a *The Qualifying Examination*. The link for Doctoral Degree Candidate Forms may be found at the following link:

https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

It is the student's responsibility to ensure that the appropriate paperwork is filed in a timely manner. The Graduate School issues a Qualifying Examination Card that is forwarded to the Chair of the Advisory Committee. Upon completion of the Examination, results are recorded on the card which is returned to the Office of the Associate Dean for forwarding to the Graduate School.

For the student to pass the Qualifying Examination he/she must pass the major area written and oral exam or the Advisory Committee will signify a failed examination to The Graduate School. If the student fails the major area, he/she must retake the exam. In accordance with Graduate School rules, no student is permitted to take an examination in any area more than twice. Upon passing the Qualifying Examination, the student becomes recognized as a Candidate for the doctoral degree and can then register for Dissertation Research Residence Credit.

Dissertation Research Residence Credit

In order to receive Dissertation Residence Credit for the semester, a student must have successfully passed the Qualifying Examination and it must show up on the student transcript **prior** to enrolling in the 767 dissertation credit.

Once the Qualifying Examination is passed successfully, a candidate must register for dissertation residence credit every semester (fall & spring) until he/she graduates. Tuition for two credit hours (constitutes full time) is assessed each semester.

Dissertation Proposal

Each student develops a dissertation proposal with the help of his/her Advisory Committee. The student submits a written, formal dissertation proposal to the Committee for its approval.

The Advisory Committee will ask the student to prepare an oral defense of this proposal. The defense will be made to the Committee. Only the Advisory Committee shall vote on the acceptability of the proposal, which must be accepted formally. There is no requirement to notify the Graduate School about the oral defense of the dissertation proposal.

Oral Defense of the Dissertation

The student will be given a final examination to defend the dissertation – the Oral Defense of the Dissertation. The examination may be as comprehensive in the major area as the Committee desires. The following schedule lists the steps and deadlines for setting up a dissertation defense which is coordinated through the Office of the Associate Dean:

1. A minimum of eight weeks before the final oral defense is to take place after completion of two semesters of post-qualifying residency:
The *Notification of Intent to Schedule a Final Doctoral Examination* form must be filed electronically (at the website cited above under Oral Component) with the Graduate School. The title of the dissertation as well as the dissertation abstract must be included on the form. The student's academic record will be checked and the student will be notified if any deficiencies exist. The Outside Reader will be assigned by The Graduate School.
2. A minimum of two weeks before the final examination is to be given:
The *Request for Final Doctoral Examination* must be submitted electronically with the Graduate School. The Advisory Committee Chair will receive the Final Examination Card.
3. A maximum of two weeks after administration of the final examination:
The signed Final Examination Card should be returned to the Office of the Associate Dean from where it is forwarded to The Graduate School. Candidates are not permitted to handle the examination card.
4. Within sixty days after the final examination, all doctoral dissertations must be submitted in electronic format. Instructions are available at:
http://www.research.uky.edu/gs/CurrentStudents/electronic_dissertation_instructions.html.

Time Limit for the Degree and Qualifying Re-examination

Candidates who have not completed all requirements for the doctorate (usually the dissertation) within 5 years (beginning with the next full semester, fall or spring) following the original successful completion of the Qualifying Examination may request extensions up to an additional 5 years subject to the approval of the director of their dissertation, their Advisory Committee and the program DGS. Extensions up to one year may be approved by the Dean of the Graduate School. Extensions for a longer period must be approved by the Graduate Council. Graduate Council approval requires that the Qualifying Exam be retaken and passed. Failure to pass the re-examination results in termination of candidacy; a second re-examination is not permitted. The qualifying reexamination must be on the basis of current qualifying examination processes, not on those which were in place at the time of the candidate's original successful qualifying

examination. All qualifying reexaminations must be scheduled with the Graduate School. A Candidate who fails to complete all the degree requirements within 10 years of first taking the Qualifying Examination has his/her degree candidacy terminated.

Dismissal from the Program

Doctoral students are held to the highest academic standards. Failure to meet expectations of academic progress can result in academic probation or even dismissal from the program.

Graduate School Regulations

University of Kentucky Graduate School regulations indicate that a graduate student who does not maintain at least a 3.00 grade point average will be placed on academic probation for the next semester. If the student fails to attain an increase in his or her grade point average to a 3.00 by the end of the probationary semester, the student will be dismissed from the Graduate School.

A. In addition to Graduate School regulations regarding the maintenance of good academic standing (GPA of at least a 3.00) students in the Ph.D. program in Business Administration may be placed on academic probation if the following occurs.

Academic Probation

Students will be placed on academic probation if they receive a grade of C in three credit hours of coursework.

Program Dismissal

A. Students may be dismissed prior to or immediately following the Qualifying Examination if:

1. The student receives a grade of C in six credit hours of coursework regardless of the number of offsetting A grades that might achieve a 3.00 grade point average required to remain in good standing with the UK Graduate School.
2. The student receives an E grade in any of his or her Ph.D. coursework.
3. The student fails the Qualifying Examination

B Students may be dismissed after passing the qualifying examination if

In the judgment of the student's Advisory Committee the student is not making satisfactory progress toward the completion of a dissertation. The Advisory Committee will meet annually to review the student's progress. A majority vote by the Advisory Committee will be needed to recommend dismissal of the student.

C. After 5 year time limit has expired: A student will be dismissed from the program upon failure of the Qualifying Re-examination.

D. After passing the Qualifying Re-examination: The procedures described in B above will be followed.

Appeals Process

The student's Advisory Committee Chairperson will notify the Director of Graduate Studies for Business Administration in writing a recommendation for dismissal. The DGS will then notify the Graduate School of the decision to dismiss the student. In the event of such a dismissal action, the student has the right to appeal his or her dismissal to the Gatton College Graduate Studies Committee. The decision of that Committee regarding the dismissal appeal shall be final.

The process outlined above in no way precludes a student from using any other avenues of appeal available within the University (such as the University Ombudsman).

Academic Rights of Students

Doctoral students should thoroughly familiarize themselves with the regulations governing students' rights in the Student Rights and Responsibilities Handbook available on line at <https://ombud.uky.edu/students/students-academic-rights-appeals>

Failure to comply with the regulations as stipulated in the handbook may result in dismissal from the Doctoral Program in Business Administration.

Articles 6.3.0 – 6.3.3 in regard to Academic Offenses included within the Student Rights and Responsibilities Handbook are reproduced here

Article 6.3.0 Academic Offenses and Procedures

Students shall not plagiarize, cheat, or falsify or misuse academic records (US: 3/7/88: 3/20/89)

6.3.1 Plagiarism

All academic work, written or otherwise, submitted by students to their instructors or other academic supervisors, is expected to be the result of their own thought, research, or self-expression. In cases where students feel unsure about a question of plagiarism involving their work, they are obliged to consult their instructors on the matter before submission.

When students submit work purporting to be their own, but which in any way borrows ideas, organization, wording, or anything else from another source without appropriate acknowledgement of the fact, they are guilty of plagiarism.

Plagiarism includes reproducing someone else's work, whether it be published article, chapter of a book, a paper from a friend or some file, or whatever. Plagiarism also includes the practice of employing or allowing another person to alter or revise the work that a student submits as his/her own, whoever that other person may be. Students may discuss assignments among themselves or with an instructor or tutor, but when the actual work is done, it must be done by the student, and the student alone.

When a student's assignment involves research in outside sources or information, the student must carefully acknowledge exactly what, where and how he/she has employed them. If the words of someone else are used, the student must put quotation marks around the passage in question and add an appropriate indication of its origin. Making simple changes while leaving

the organization, content and phraseology intact is plagiaristic; however, nothing in these Rules shall apply to these ideas which are so generally and freely circulated as to be a part of the public domain.

6.3.2 Cheating

Cheating is defined by its general usage. It includes, but is not limited to, the wrongfully giving, taking, or presenting information or material by a student with the intent of aiding himself/herself or another on any academic work that is considered in any way in the determination of the final grade. Any question of definition shall be referred to the University Appeals Board

6.3.3 Falsification or Misuse of Academic Records (US: 3/20/89)

Maintaining the integrity, accuracy, and appropriate privacy of student academic records is an essential administrative function of the University and a basic protection of all students. Accordingly, the actual or attempted falsification, theft, misrepresentation or other alteration or misuse of any official academic record of the University, specifically including knowingly having unauthorized access to such records or the unauthorized disclosure of information contained in such records is a serious academic offense. As used in this context “academic record” includes all paper and electronic versions of the partial or complete permanent academic record, all official and unofficial academic transcripts, application documents and admission credentials, and all academic record transaction documents. The minimum sanction for falsification or attempted falsification or other misuse of academic records as described in this section is suspension for one semester.”

Financial Assistance

Qualified students may be awarded financial assistance through the College of Business and Economics and The Graduate School. The majority of doctoral students receive financial assistance in the form of Teaching or Research Assistantships. Assistantship continuations are contingent upon demonstration of satisfactory academic progress in the program and satisfactory performance of assistantship responsibilities. For first-year students, the student's area DGS will determine student progress at the end of the first semester and may, if necessary, recommend the continuation of the assistantship for one probationary semester if academic progress is not meeting the expectations for a first year student.

Teaching Assistantships: The College of Business and Economics awards a number of teaching assistantships each year. New students are notified of their assistantship by an award letter issued at the time of admission. Continuing students receive notification of continuation of their assistantship for the following academic year by March 1 of the preceding academic year. Students generally teach two sections of an introductory level course in their major area.

Research Assistantships: Research assistants work with a professor on a research project. Also offered through the College, research assistantships provide the same stipend as teaching

assistantships. An award letter is issued at the time of the appointment to the research assistantship.

Summer Support

A limited number of teaching assistantships are available during University Summer Sessions depending on departmental need. Such assistantships are usually awarded to students who have completed at least two years of study in the program.

Tuition Scholarships

Students who are the recipients of teaching assistantships are eligible for tuition scholarships awarded by the Graduate School. Teaching assistants are nominated for tuition scholarships by the Director of Graduate Studies. Full-time teaching assistants receive tuition scholarships that cover both in-state and out-of-state tuition and most student fees. A teaching assistant on a half- time appointment receives a scholarship equivalent to half tuition and fees.

Research Assistants are nominated for Graduate School scholarships that cover both in and out-of-state portion of tuition. A research assistant on a half time appointment receives a scholarship equivalent to half tuition and fees.

Termination of Financial Support due to Unsatisfactory Performance of Assistantship Duties

As Graduate Assistants are regarded as employees of the University of Kentucky, they are expected to perform the duties assigned by their academic unit head, other administrative unit or research center director in return for the compensation they receive.

Graduate Student Assignment Expectations

1. Full- time graduate assistants are expected to devote up to 20 hours a week to their assigned duties, half- time assistants up to 10 hours a week
2. Perform their duties in a timely and prompt fashion
3. Meet all deadlines as required or requested
4. Report regularly to faculty supervisors
5. Implement any recommendations they receive on performance improvement
6. In case of sudden illness, emergency or unavoidable absence, graduate assistants are expected to inform their faculty supervisor and their School Director in as timely manner as possible
7. In the event of a planned short-term temporary absence, assistants are expected to apply for leave of absence from their faculty supervisor at least ten days in advance of the anticipated absence
8. If an assistant needs to be absent for a semester then leave of absence must be requested and approved the semester before the anticipated absence

Graduate Assistants who fail to meet any of these expectations are, upon review of the unsatisfactory performance by the supervisor, school director, and the associate dean, subject to

- Withdrawal of their assistantship during the academic year
- Non renewal of the assistantship in subsequent years
- Having to reapply for admission to the program

Health Insurance

Students employed as full-time teaching or research assistants or those who are recipients of full Graduate School Fellowships receive catastrophic and major medical student health insurance at no cost. Detailed information on the health insurance available for graduate assistants is available on the Graduate School website <https://gradschool.uky.edu/>

However all graduate students are expected to pay a mandatory Student Health Fee each semester. The Student Health fee provides access to the regular services of the UK Student Health Center. The website www.ukhealthcare.uky.edu/ has information on the services provided. The University Health Service also assists self-paying students to find health insurance. Enrollment in a health insurance plan is mandatory for all international students.

Fellowships

Graduate School

Several fellowships are awarded by the Graduate School each year as a result of University-wide competition. Awards are made based primarily on academic excellence and research potential. Dependent on fellowship type, awards may be renewable for up to three years. Some fellowships can be used to supplement teaching or research assistantship stipends; others are of the non- service type. A complete listing of awards and eligibility is available at

<https://gradschool.uky.edu/fellowships>

Applicants to the program in Business Administration are eligible for consideration for the following Graduate School Fellowships:

Lyman T. Johnson Awards

Continuing students are eligible for consideration for the following Graduate School Fellowships:

Presidential Fellowship
Academic Excellence Scholarship

Fellowship nominations are submitted starting in February for awards to be made starting in the following fall semester. The Director of Graduate Studies, in conjunction with recommendations from the Graduate Studies Committee, nominates suitably qualified individuals for these fellowships.

Gatton College Fellowships

Gatton College Fellowships are awarded on an annual basis to incoming and current doctoral students who are nominated by their Director of Graduate Studies. The fellowships can be used as an add-on to teaching assistantships or Graduate School Fellowships. College Fellowships include:

- Von Allmen School of Accountancy Fellowships
- Gatton College Fellowships
- Luckett Fellowships
- Max Stuckert Fellowships

Other Support

For advanced doctoral students the Graduate School also offers a limited range of support funding for research expenses and presentations at professional conferences and meetings.

Placement

Faculty members actively assist students in obtaining employment. The majority of recent UK Ph.D. Business Administration graduates hold tenure-track positions at various public and private universities and colleges in the U.S., as well as abroad. More senior alumni occupy tenured associate and full professorships as well as senior administrative positions at a variety of institutions of higher education. These Gatton College alumni serve as a valuable additional placement resource. The Associate Dean's Office also receives notifications of job openings that are forwarded to the appropriate areas. Students are eligible to use, without charge, the services of the Graham Office of Career Management located in Room 132, Gatton Building or the University Career Center, Stuckert Building, 408 Rose Street, for assistance in locating employment. Some recent placements include Auburn, Clemson, Ohio, Texas Tech, Michigan State, Wayne State, Kent State, Queens University (Canada), Georgia State, Northern Iowa, and Butler.

APPENDIX I

ADMINISTRATION OF THE QUALIFYING EXAMINATION BY CONCENTRATION

ACCOUNTING

Purpose:

The Von Allmen School of Accountancy qualifying exam is designed to allow a student to demonstrate that the student is qualified to pursue dissertation research. It consists of written and oral portions that test a student's comprehension of research methodology, research tools, and accounting subject matter.

Written qualifying examination:

1. Timing. Students will take the written portion of the qualifying examination in May of their second year in the program, after completing all VASOA PhD seminars and courses, unless the PhD oversight committee grants permission to take the examination later. Students must pass the written portion of the qualifying examination by June of their third year in the program. Failure to do so results in termination from the program.
2. Coverage. The written qualifying examination will cover the content of the program up to the date of the exam. This includes, but is not limited to, content and integration of the content from:
 - a. accounting research seminars, and
 - b. workshops and brownbags.
3. Structure and Procedure.
 - a. The examination shall include a one-day in-class portion and take-home critique of a research paper.
 - b. Seminar instructors will write the exam unless they are unavailable or unable to do so (incapacitated, retired, on sabbatical, left UK). If unavailable, PhD oversight committee members will write missing portions of examination. The research paper shall be selected by the examining committee
 - c. Exam grading will be by seminar instructors and the PhD oversight committee, supplemented by VASOA research faculty, as needed.
 - d. Outcomes. The grading of the examination will result in one of three outcomes:
 - i. Pass. The student advances to proposal stage.
 - ii. Marginal pass. The grading committee delineates a program of study, which may include additional examination(s) and coursework. Upon success completion, the student advances to proposal stages.
 - iii. Fail.
 1. First attempt. The student has the option of withdrawing from the program or retaking the examination once. The time of a second examination shall be determined by the PhD oversight committee but shall be no later than one year and one month from the original examination date.
 2. Second attempt. Termination from the program.

Oral qualifying examination:

1. Graduate School procedures govern the oral examination.
2. Timing. Under normal circumstances, students will take the oral examination between May of their second year and the last day of the Spring semester of their third year in the program. In exceptional circumstances, students may request to schedule the exam after the Spring semester of their third year, but in no cases later than the last day to add classes for the Fall semester of their fourth year in the program. The student shall request a date for the oral examination at least one month before their desired examination date.
3. Prior to scheduling the examination, the student must have completed all prerequisite courses, removed all "I"s from her/his record, passed the first and second year research paper courses, passed the written qualifying examination, and have the approval of the VASOA Director of PhD Studies and the students' Doctoral Advisory Committee.
4. The exam consists of defending a written research proposal which: (1) will guide the student's dissertation research, and, (2) which evidences high quality and contribution.
5. As governed by the Graduate School, the students' Doctoral Advisory Committee shall determine the outcome of the examination. This determination shall be in consultation with the VASOA faculty and PhD oversight committee.
6. In the event the student fails the first examination, the students' doctoral committee shall propose a course of revision and study, with additional milestones, that will, upon completion, result in passing the examination. Recommended actions may include retaking the oral qualifying examination. If required, the students' Doctoral Advisory Committee shall, in consultation with the student set a new examination date that is consistent with graduate school requirements.
7. Two failures of the oral qualifying examination will result in termination from the program.

Passing both the written and oral exams advances the student to candidacy.

Candidacy requirements:

1. PhD student will prepare a statement of progress, approved by a majority of the dissertation committee (and evidenced by committee signatures), each semester to the PhD oversight committee, that reports on their dissertation progress. This document is due on the last day of each Fall and Spring semester and will inform the PhD oversight committee's decision as to whether the student is "making good progress towards their degree," in accordance with Graduate School requirements.

FINANCE & QUANTITATIVE METHODS

After satisfactorily completing all coursework, Finance students take a day-long, in-room, closed-book written comprehensive exam. The exam normally occurs in the summer following the second academic year. The area DGS solicits questions from area faculty on any finance-related topic that well-qualified students could reasonably be expected to successfully address. Questions are graded as either 1) high pass, 2) pass, 3) deficient, or 4) fail. A grade of “fail” on any question results in automatic failure of the exam. One or more “deficient” may also result in an overall failing grade. The final determination in such cases is made by the student’s advisory committee.

It is the policy of the Finance area that students are not automatically permitted a second attempt following a failed exam. Instead the student must petition the advisory committee in writing. The advisory committee, in consultation with the area DGS, will evaluate the student’s overall performance in deciding whether to allow a second attempt.

After successfully completing the written comprehensive exam, the student must pass an oral qualifying exam. It is the policy of the Finance area that the oral qualifying exam is the student’s dissertation proposal defense.

MANAGEMENT

The qualifying exam in the Management Area shall consist of three components:

1) 8 hour, written, in-room exam. This component is designed to test basic knowledge in the areas of organizational behavior (OB), human resources (HR), organizational theory (OT), strategy (STR), and research methods (RM). No notes are allowed. The student is required to answer questions in three of the areas; one of the excluded areas is the student’s primary area of emphasis. For example, a strategy student may be required to answer questions in OB, OT, and RM. An OB student might answer questions in HR, STR, and RM.

2) 48 hour, written, take-home exam. This component is designed to test in-depth knowledge in the student’s primary area of emphasis and research methods relating to that area. For example, a strategy student will be tested in STR and RM; an OB student will be tested in OB and RM. This portion should follow within two days the completion of the in-room exam. The student may use notes and other written materials but cannot consult with other people.

3) Oral defense. This component is designed to test student’s ability to orally defend the answers provided to the two written components of the exam. The student’s committee may also ask questions about any related material that they feel the student should know. This portion should follow within two weeks the completion of the written portions of the exam.

The written portions of the comprehensive exam will be administered by the DGS who will solicit questions and grades from the entire faculty in the management area. Any student questions during the exam should be directed to the DGS. Each faculty member may choose to

grade as many answers as s/he feels appropriate. Grades will be recorded as “Excellent,” “Pass,” “Not Pass.” The DGS will tabulate the grades and report the summary (without attributing grades to individual faculty members) to the student’s committee. The student’s committee has the ultimate responsibility to judge whether the student has passed the entire comprehensive exam (all three components).

MARKETING AND SUPPLY CHAIN

By April 15th of the second year, the student files a request to take the written and oral qualifying examinations. Prior to scheduling the examinations, the student must have completed: all prerequisite, core, and major courses and the summer research paper and presentation; removed all “I”s from her/his record; and have written approval of the Director of Graduate Studies for the student’s program of study. The purpose of the written exam in marketing is to ensure a basic proficiency in the Marketing discipline. Philosophically, it is possible to distinguish proficiency from the ability to demonstrate this proficiency in writing in a time-pressured setting. Operationally, we do not make the distinction. In that your expertise is marketing, you are expected to align knowledge with its expression as you should by now recognize the utilities derived from packaging.

The domain of marketing has been expanding rapidly. Accordingly, your scope of study for the basic marketing exam will be quite broad. Remember, it is a comprehensive exam. Students should have a sound conceptual foundation and familiarity with empirical research in a number of areas. While specific Marketing courses are offered in theory, strategy, and buyer behavior, other topics are also relevant to a broad knowledge of the discipline. Students are responsible for the seminal Marketing articles as well as the most recent 4 years of JM, JMR, and JCR and all forthcoming articles in these three journals. Students are expected to integrate material and extend the implications of this research. This is the key objective of the program. A Ph.D. candidate is more than a storehouse of facts and citations, but a person who has the skills for evaluating, synthesizing, and expanding knowledge.

The written exam will be completed over two days and include questions focused on the field of marketing as well as on research and theoretical issues.

All members in the Marketing Area faculty will undertake the evaluation of your exam. All students are encouraged to talk with each Marketing faculty member individually regarding the nature, scope, and philosophy in preparation for the qualifying exam.

The events that occur at an oral exam are more spontaneous than in the written setting. The oral exam generally occurs within two weeks of the written exam. Your qualifying exam committee and any other interested faculty members will be present for your orals. Typically, they will ask questions of a general nature – allowing you to direct the diversity of sub-issues – or may pose specific questions in an attempt to test your ability to reason and apply prior knowledge. The scope of the subject matter will vary widely. Topics may range from the current research interests of the committee, or another member’s question and/or prior course work, to noted areas of weakness in your written exam.

The oral exam should not be construed as a mere formality. You are again tested on your ability to apply a broad base of knowledge and think on your feet. The committee will expect expertise in several areas of the marketing discipline. Again, more than your memory, your mind will be challenged.

There are several things to do in preparation for the oral. First, schedule the oral exam so that all committee members will be available. Delaying the exam may mean losing an important “edge” in marketing proficiency or confidence. Organize and systematize your material and know your committee and their interests. Finally, come to the oral exam with confidence and a clear head. Since the exam typically runs 90 to 120 minutes, do what you must prior to the exam (eat, sleep) to remain alert during the period.

Once you complete the oral portion of the exam, you are asked to leave the room while the qualifying exam committee members discuss your display of knowledge. If the committee feels that you have sufficiently displayed knowledge of the discipline each member signs the Ph.D. Qualifying Examinations form. While passing the written part of the exam is an excellent start, the student is reminded that the written and oral exams are distinct, and the success on either/both is not automatic. When a student passes both the written and oral exams he/she is then a candidate for the degree.