The purpose of this Handbook is to serve as a detailed advising and information guide for doctoral candidates in Business, doctoral advisors, and departmental chairpersons. While the Program is flexible and tries to develop individualized plans of scholarship for all students, there are a number of guidelines with which you should be familiar. The goal of this Handbook is to provide these guidelines in one place and to provide helpful hints useful in designing a successful course of study for doctoral candidates. While we strove for accuracy in developing this Handbook, errors and omissions are inevitable. The Chairperson and Committees of the Program reserve the right to correct errors and provide official interpretation of ambiguous sections.

August 2008
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SECTION 1. Doctoral Program Degree Requirements

The Doctor of Philosophy (Ph.D.) in Business or the Doctor of Business Administration (DBA) degree in Business are granted to those students attaining the highest level of competence in the study of business administration and in business research. The objective of the Doctoral Program is to train researchers and scholars in various fields of business. The program attempts to attract outstanding students who desire to make a contribution to advanced business research and instruction.

Both programs are administered by the Doctoral Programs Office of the Kelley School of Business. Students may select either degree designation at the time of application. They are allowed to change from one degree program to another, provided they meet all the requirements of the new program. While the objectives and requirements for both degrees are quite similar, there are some differences. These are discussed in detail in the last portion of Section 1. Applicants should decide which degree best fits their career and intellectual objectives.

Policy formulation for the programs and supervision of their operation is done by the Doctoral Policy Committee and the Chairperson of Doctoral Programs in Business. Since programs of study at the doctoral level are highly individualized, both an advisory committee and a dissertation (research) committee are appointed to advise each candidate during his or her course of study. In addition, programs of Ph.D. candidates are also reviewed by the Dean of the University's Graduate School.

General Degree Requirements

Residence and Length of Program The length of stay in the program depends on several factors, including extent of previous course work and success in finding a dissertation topic. For a student with a recent MBA degree, the length of stay can be as short as three years, assuming everything goes smoothly. More often, however, doctoral students are on campus for four to five years.

During their tenure as doctoral students, Ph.D. candidates must complete a total of 90 credit hours, 30 of which must be earned while enrolled on campus. This 90 hour requirement includes Phase I work, and up to 30 of these hours can be transferred from another graduate program; while DBA candidates must complete 36 credit hours of Phase II course work and 24 credit hours of dissertation credit for a total of 60 hours.

All students (including any student not currently on campus) actively working towards completion of the degree requirements must continue to register (e.g., in X799 or G901) each semester of the academic year until they have graduated to remain officially enrolled in the Doctoral Program.
**Time Limitation for Completion of Dissertation Proposal**  Students are required to successfully defend a dissertation proposal within the first 10 semesters, following entry to the doctoral program (that is, by the end of the summer term of the fifth year). Students who do not do so will be required to leave the program. Students are well advised to schedule dissertation proposal defenses well in advance of this deadline, in case the initial defense is not successful.

Waivers from this policy will be granted by the Chairperson of Doctoral Programs, upon the recommendation of the doctoral student advisor, and with strong reason for granting a waiver. It should be understood that waivers will rarely be granted and that only a limited extension (e.g., two months) to the deadline will be provided.

**Time Limitation for Entrance to Candidacy**  A doctoral student is admitted to candidacy upon successful completion of the field examination(s) in the student's major area(s) as well as certification of requirements being met in the case of the minor and methodology areas. A candidate must be admitted to candidacy within five years of entering the program. Extensions to these deadlines are allowed only in extenuating circumstances. Any student whose candidacy has lapsed and wishes to reapply to degree candidacy must:

1. Obtain permission of the departmental chairperson;  
2. Have the approval of the Doctoral Policy Committee to whom such petition for reapplication must be made;  
3. Fulfill the departmental requirements in effect at the time of the application for reinstatement; and,  
4. Pass the current doctoral qualifying examination.

Any such reinstatement, if granted, will be valid for a period of one (1) year. No additional extensions will be granted.

**Time Limitation for Completion of Dissertation**  All degree requirements, including formal defense and acceptance of the dissertation, must be completed within four years from the date of formal admission to candidacy.

**Program Requirements**  The Ph.D. and DBA Program requirements are fulfilled in three basic phases of study. Although these phases may overlap, the program requires a logical sequence of coursework, field examinations, and dissertation research.

**PHASE I**  
It is important that a doctoral student in Business have a strong, graduate level working knowledge of appropriate areas in business and related fields. It is also desirable not to repeat coursework unnecessarily. For these reasons, each new doctoral student goes through Phase I counseling prior to registration for his or her first semester in the program.
During this counseling each student meets with a representative faculty member from his or her major department and/or other relevant academic departments offering Phase I courses to determine the course of study to be taken at Indiana University. The required Phase I work depends upon the student's major area. Marketing majors, for example, have a different set of requirements than Finance majors. The list of required Phase I requirements for each major area is available from the Doctoral Office. Exemption from any of these background areas normally depends upon the student’s educational background and is granted at the sole discretion of the major department.

PHASE II

The Phase II program of study is the central part of the student's doctoral-level coursework. Therefore, it is critical that the courses be selected to achieve the student's educational objectives. To this end, the Phase II program must be developed by each student early in the doctoral program. The student's proposed courses of study must be approved by advisors in the major and minor fields. In addition, courses for the methods/analysis field must be approved by the Chairperson of Doctoral Programs.

As an alternative to the major, minor, and methods/analysis plan of study, a doctoral student may elect to pursue a double major. This approach is designed to allow a student to develop two areas of special competence.

Major, Minor, and Methods/Analysis Requirements  The program of study for the major is planned with the candidate's advisor in his or her particular field. An initial meeting with the advisor is scheduled during orientation. The candidate's course schedule should be discussed with his or her advisor before enrolling each semester. The major field of study consists of a minimum of 18 hours of advanced graduate work.

There is no restriction limiting all 18 hours to courses in the administrative department or area represented by that major field. However, any courses taken outside the major field intended to fulfill the 18 hour requirement should be approved by the candidate's advisor. Course selection, as with many facets of the Doctoral Programs, is highly individualized and will be based upon the student's prior work and current interests. Areas in which candidates may major include:

- Accounting
- Business Economics and Public Policy
- Decision Sciences
- Entrepreneurship
- Finance
- Information Systems
- Marketing
- Operations Management
- Organizational Behavior and Human Resource Management
- Strategic Management and Organization Theory

**The minor**  Along with a major field, each student selects one minor (supporting) field. This requires a minimum of 9 credit hours of work beyond that expected of all doctoral candidates. These courses are usually a subset of those suggested for majors. The advisor in the candidate's major field is usually helpful when deciding what minor field best complements the major field and future research or teaching interests.

The minor field may be selected from the list of fields that qualify as majors plus the special minor of International Business. Eligible fields from other areas of the University include, but are not limited to, Political Science, History, Mathematics, Psychology, Sociology, and Law, as well as areas offered by the Department of Economics.

Obviously, minor requirements of departments that are not in the Kelley School of Business are not set by the Kelley School of Business. Another department, for example, may require 15 credit hours. It is true that the Kelley School of Business has set a minimum requirement of 9 hours. Importantly, however, the coursework that constitutes a minor is simply what any department specifies. Suppose, for example, that a department has instituted a 15 credit hour minor. A Kelley School of Business doctoral student takes 9 credit hours in this department believing that this qualifies as a minor because it meets the Business School minimum. It does not. Coursework taken to qualify for a minor for Kelley School of Business credit would have to qualify for a minor in the department that offers it. Specific requirements for each minor field in Business, as well as Mathematics, Psychology, Law, Economics, and Public and Environmental Affairs (SPEA) are listed in detail in a later portion of this handbook.

The minimum standard for waiver of a qualifying exam for a minor field is a 3.4 grade point average with no grade less than B-. Any department may set higher standards for its minors in terms of grade point average, use a qualifying exam as a substitute for this grade standard or require qualifying exams for all minors in the area. This minimum standard applies to minors both inside and outside of the Kelley School of Business, including the minor in business for non-business doctoral students. (Doctoral students who select a minor in a department outside of the Kelley School of Business which requires a minimum of at least 12 credit hours for successful completion will be exempt from this minimum grade point requirement.)

**The Methodology/Analysis Requirement**  All doctoral candidates must demonstrate competency in the areas of research methodology and statistical analysis. This is a nine (9) credit hour requirement. This requirement is intended to help provide the special proficiency in research design and analysis necessary for the candidate to conduct his or her research program.
Please remember that any three courses (9 credit hours) of statistics and research design do not necessarily constitute completion of the M&A requirement. A student's choice of these nine hours must be approved by the major department as well as the Chairperson of Doctoral Programs. The minimum standard for successful completion of the M&A requirement is 9 credit hours with a 3.3 grade point average or higher with no grade less than B-. Students who have not attained this standard must take a fourth M&A course to meet the requirement in this area.

The faculty has strongly endorsed the principle that the M&A requirement should be comprised of nine (9) credit hours of courses, the primary content of which focuses on methodological (e.g., research design) or analytical issues. It is recognized that there will be differences among academic departments in the manner by which this requirement might be met by its student majors. For example, Finance doctoral students might be advised to complete an econometric series, or a mathematics sequence to meet this requirement. Marketing students may find courses in experimental design, nonparametric statistics, and multivariate statistics to be more consistent with their objectives. Such differences are altogether reasonable.

The following is a representative list of courses which are within the M&A charter. This list is by no means exhaustive:

- E671 - Econometrics I
- E672 - Econometrics II
- G651 - Econometrics I
- G652 - Econometrics II
- K605 - Multidimensional Scaling
- M650 - Research Methods in Marketing
- P653 - Analysis of Variance
- P654 - Multivariate Analysis
- S650 - Fundamentals of Social Statistics II
- S651 - Topics in Quantitative Sociology
- S655 - Experimental Methods
- S659 - Qualitative Methods
- X610 - Applied Behavioral Measurement
- X611 - Behavioral Research
- Z798 - Research Methods
Certainly, there are other courses offered by the various schools and departments of Indiana University which also meet the M&A requirement. The objective is to select a three course sequence which best prepares a student to do sound research in his or her discipline.

Many departments in the Kelley School of Business include courses in statistical analysis and research design as part of their major requirement. This is commendable. Please appreciate, however, that such courses cannot be "double-counted" as part of the major and to comply with the M&A requirement. The nine (9) hour M&A requirement cannot be used to fulfill additional requirements in a major or minor.

Remember also that those students who elect--and are approved--to be double majors do not actually have an M&A requirement. It should be noted, however, that it is highly unlikely that any double major would be approved unless it can be demonstrated that a portion of the overall coursework provides competency in research design and analysis.

**Double Major Option** Rather than follow the major, minor and M&A sequence, a student may elect to have two majors. The double major candidate has the option of two majors each with 18 credit hours or a first major with 21 credit hours with a second major of at least 15 credit hours. The requirements for each of the majors are listed later in this handbook.

There are two issues that a student electing a double major should consider. First, all double majors must successfully pass the qualifying examination for both majors. Second, it is highly unlikely that any double major would be approved unless it can be demonstrated that a portion of the overall coursework provides competency in M&A.

No doctoral student may unilaterally elect to be a double major. In order to do so, the student's petition for a double major must be approved by both departments as well as the Chairperson of Doctoral Programs.

**Program Form** The Program Form is used to list a student's Phase II courses. Separate Program Forms are available depending on whether the candidate intends to double major or complete a major, minor and M&A track. The appropriate forms may be obtained from the Doctoral Programs Office. Under either option, the student is asked to list previous relevant courses and proposed Phase II courses by course number, title, school, and instructor for each area of study: major, minor, and M&A, or the primary and secondary major. The major purposes of the Program Form are to ensure that the courses one takes for his or her program will in fact count for the program and to permit the student to develop an advanced program of doctoral study, in conjunction with faculty advisors, soon after matriculating.

NOTE: The Program Form must be filed in the Doctoral Programs Office by the beginning of a candidate's third semester in the program.
Students taking courses after their first year in the program prior to filing the Program Form run the risk of that coursework being disapproved by the Doctoral Programs Office. Any students failing to file and obtain approval of their Program Form by their third semester in the program will not be permitted to register for subsequent semesters. Exceptions may be made for those students who entered the program without an MBA or equivalent academic preparation in business. These exceptions will be granted on a case by case basis by the Chairperson of Doctoral Programs.

Once the student and the major advisor have decided upon a series of courses best suited for the student's background and career objectives, the Program Form can be filled out accordingly. Each of the three sections of the form, major, minor, and M&A (or two majors if the double major option is chosen) must then be approved by the appropriate advisor. Once all advisors have signed the Program Form, the student should return the completed form to the Doctoral Programs Office. Once approved by the Chairperson of Doctoral Programs, the forms will be returned to the student. If any problems arise that prevent a proposed program from being approved, they should be discussed with the major advisor and/or area advisors concerned. After the necessary revisions have been made, the Program Form must be signed by the appropriate advisor and submitted to the Doctoral Office for approval.

**Requesting Changes in Major, Minor, and M&A Courses** It is not unusual for students who have had their proposed program approved to subsequently request changes in the courses initially requested. Normally, such changes are routinely approved. Please remember, however, that courses cannot be substituted, minors changed, and so forth without the approval of the major department and the Chairperson of Doctoral Programs. Again, it is important to remember that the Program Form along with any changes is to be approved before courses are taken.

While unusual, it is possible for students to change their major. In order to change majors, students must have the approval of the department to which he or she seeks to transfer as well as the Chairperson of Doctoral Programs. Please remember that a department which approves such a petition may request changes in the student's minor and/or M&A requirements as a condition of the transfer. As is evident, this is not a decision to be taken lightly.

**Field (Qualifying) Exams** Evidence of the candidate's competence in all major fields must be demonstrated by examination. This may be a formal exam and/or the completion of a research paper. Furthermore, examinations may be required in some minor fields. Examination questions are prepared by any or all of the faculty members in the department offering the exam. The set of professors who compile exam questions typically grades the exams as well. Each question is given a grade of high pass, pass, marginal pass, or fail. Some departments may use different scales in their grading. These grades are then compiled and an overall exam grade is awarded.
Results of written qualifying exams must be reported to the Chairperson of Doctoral Programs within a three week time period from the date on which the exam is administered when classes are in session. If the results of the examination have not been communicated to the Doctoral Program Chairperson within the post-examination three weeks, the candidate(s) are assumed to have satisfied the examination requirements of that field.

Frequently, qualifying exams consist of an oral as well as a written component. Exams are taken upon the completion of all courses in the areas listed on the candidate’s Program Form. The qualifying exam is a general test of the candidate’s knowledge of the field. The student should be prepared to answer any question pertinent to the field. If the student fails the exam, he or she may retake it the next time it is given. A second failure will result in termination from the Program.

NOTE: Students must pass all qualifying exams and be admitted to candidacy within 5 years of entering the program.

Teaching Development Program

In the belief that all students in the Doctoral Program will need to effectively communicate the results of their research, the Kelley School of Business has a required teaching development component in the Doctoral Program, X630 which is a 1.5 credit hour course. This course is taken the student's first semester in the program and is required before the student may assume his or her Associate Instructor duties. Exemptions from this requirement are rare. The Chairman of the Doctoral Programs may exempt students having substantially identical academic experiences as offered in the course.

Awarding of The Master’s in Business Degree

Upon being admitted to candidacy for the Ph.D./D.B.A. degree, students become eligible for the Masters in Business degree from the Kelley School of Business. The student’s declared major field will determine the major field for the Masters in Business. For example, a declared marketing major will receive a Masters in Business with a major in marketing.

Dissertation Proposal

Phase II concludes with the completion of the dissertation proposal. This must be completed within 10 semesters of starting the Doctoral Program.

Forms to be Completed  For Ph.D. candidates, a "Nomination of Research Committee" form, available from the Doctoral Office, must be completed and signed by all members of the research committee prior to attempting to schedule a proposal defense. This, in turn, will be forwarded to the Graduate School for approval. For
DBA candidates, the dissertation committee is officially appointed by the Doctoral Programs Office.

NOTE: If the research involves human subjects, you must submit an application to the Human Subjects Approval Committee and attach a copy of the approval to the “nomination of research committee” form or, in the case of a DBA candidate, submit a copy of the approval letter to the Doctoral Programs Office. For more information on Human Subjects Approval, please contact Human Subjects Committee, Carmichael Center LL03, 855-3067.

The student is responsible for contacting the committee members to arrange a specific day and time for the defense. Please allow plenty of lead time to schedule the defense when submitting the proposal. Once approved by the Graduate School/Doctoral Programs Office, dissertation committees are rarely changed. Once the date and time are agreed upon, the doctoral candidate must submit the following to the Doctoral Programs Office at least 10 days prior to the proposal defense:

1. The exact day and time of the defense.
3. A biographical sketch.

**Purpose of the Dissertation Proposal Defense** The objective of the oral defense of a dissertation proposal is to provide the student with a forum in which to present formally the proposed research for his/her doctoral dissertation. This project will be critically, yet constructively, analyzed by a faculty committee. The purpose of the presentation, questioning, and discussion is to enable and encourage the student to delineate the topic more sharply, to select appropriate techniques more carefully, to explain the importance of the topic and the expected findings more clearly, and to relate the topic to existing literature more accurately.

In addition, the defense provides an opportunity for faculty members to learn about research techniques and research quality in business disciplines other than their own. It helps provide uniformity to, and increase the quality of, dissertation work. It gives the student the experience of presenting and defending his or her research ideas in a scholarly, formal atmosphere. It is an opportunity to get the dissertation committee together to avoid misunderstandings or conflicts and to work out the directions and ideas for the project.

**Timing of the Proposal Defense** The proposal should be written when the topic is well defined but before comprehensive findings or results have been completed. At the ideal stage for the defense, the student has a very good idea of how the research will be structured and why it is worthwhile. On the other hand, it is still at a stage where assistance from faculty members not on the dissertation committee can be worthwhile and alterations in the research design are feasible. To have a defense after
substantive results have been found is an insult to the members of the Examination Committee and is likely to create an adversarial, rather than a constructive, relationship in the defense.

The proposal defense will be scheduled after a student has completed all Phase I and Phase II requirements -- including passing all field exams. A small number of courses - but not field exams in one's major field(s) -- could be scheduled for completion during the current semester. Exceptions will be permitted from this time schedule only in unusual circumstances and upon request to the Doctoral Programs Office and approval by the Doctoral Policy Committee. These unusual circumstances might include, but are not limited to, the fact that required courses are not being offered during the current semester or that a research topic has been developed very early in the program and is unrelated to missing courses.

**Preliminaries for the Defense** The committee must consist of at least four faculty members for Ph.D. candidates or at least three faculty members for DBA candidates from at least two programs, departments, or schools. At least half of the committee, including the chair, must be Full, rather than Associate, members of the Graduate School faculty; a list of both Full and Associate members of the Graduate School faculty is available from the Doctoral Programs Office or from the website of the University Graduate School.

The defense will be scheduled after a written proposal is available and a dissertation committee is established. In addition, the Dissertation Committee must agree that the proposal is ready for defense. The program Chairperson, after receiving a copy of the proposal, will appoint a formal Examination Committee consisting of the thesis committee plus two other faculty members. One of the additional faculty members will be designated as proposal Chairperson and the other as constituent member of the Examination Committee.

The written proposal must be available at least three weeks before the student wishes the defense to be scheduled. More lead time may be necessary during summers. Furthermore, the announcement of the defense must be sent to all faculty members in the Kelley School of Business at least one week ahead of the scheduled time. It is the duty of the candidate to schedule a time agreeable to all the committee members and to be sure all members have a copy of the document.

The written proposal serves as background for the oral defense. It should clearly state the problem to be addressed in the thesis, why it is a significant issue, indicate some knowledge of past scholarship in the area, and provide clear guidelines of how the research will proceed. It should not include detailed results or findings.

**NOTE** It is anticipated that the document will not exceed 50 pages in length; proposals exceeding this length will be returned to the candidate for revision.
The Oral Examination of the Proposal  The proposal defense may be attended by all faculty members and doctoral students. However, only faculty members on the official examining committee will be allowed to vote.

The oral defense is directed by the Chairperson of the Examination Committee. Defenses normally are no more than two hours in length. A typical framework for the procedure would include:

a) A brief opening statement by the candidate summarizing the major objectives of the proposed thesis.

b) Questions, suggestions, or comments directed to the candidate by the formal committee, typically beginning with the constituent member and ending with the proposal chairperson. Questions should first be answered by the candidate and only secondarily by dissertation committee members.

c) Questioning by other faculty members.

d) All students, including the candidate, are excused from the examining room.

e) Discussion of the acceptability of the proposed research.

f) Voting by secret ballot.

There are three grades for the defense:

a) "Continue," which requires a later full defense of the same or a different topic with, possibly, a new examining committee.

b) "Passed Subject to Specific Alterations or Qualifications," whereby the committee has decided to require specific changes in the proposed research, or

c) "Passed Without Qualifications," in which case the research can proceed as indicated by the candidate in the written proposal and as directed by the dissertation committee.

These grades should be based on the acceptability of the topic and research procedure as a doctoral dissertation, the ability of the student to perform the proposed tasks, and the quality of the written proposal and its oral presentation and defense. A grade of Continue will be recorded if the majority of the vote so indicates or if the majority of the candidate's Dissertation Committee so vote even if the majority of the over-all vote is not Continue.

A grade of Passed Subject to Specific Alterations or Qualifications will be recorded if the majority so vote. In this case the qualifications will be written on the voting form.
or an attachment. The candidate is required to make the indicated adjustment(s) to the thesis. The Examination Committee can decide to recess to meet again with the candidate to discuss the changes. In addition, the candidate may be required to provide an addendum to the proposal specifically indicating what changes will be made. This addendum must be approved by the chairperson and constituent member of the Examination Committee; please note that this gives these two members of the Examination Committee “veto power” over the regular members of the Dissertation Committee. If an addendum is requested, a specific deadline should be set by the Chairperson of the Examination Committee for its submission. If this deadline is not met, the vote on the defense will automatically change to Continue.

A grade of Passed Without Qualifications will be recorded if the majority so vote and if both the chairperson and constituent member of the Examination Committee so vote. If there are qualifications indicated by the minority of the Examination Committee, it is the responsibility of the thesis chairperson to ensure that the candidate consider the suggestions in completing the dissertation.

Note there is no vote of Fail. A student cannot be dropped from the program solely because of a poor performance in the oral defense.

Following successful defense of the dissertation proposal, the chairperson and constituent member of the Examination Committee will not serve any formal role in the dissertation-writing process.

**PHASE III**

After completing the dissertation proposal defense, the candidate enters Phase III of the Doctoral Program. During Phase III the candidate concentrates solely on the completion of the dissertation as specified at the proposal defense. Since the dissertation represents a major research project, a year or more of full-time work in close cooperation with the candidate’s research committee is normally required to complete Phase III. For this reason, the candidate is strongly encouraged to remain in residence until all degree requirements have been met.

Students occasionally leave campus prior to the completion of Phase III and their dissertation. Any student choosing to do so must continue to enroll each semester of the academic year until graduation. Further, they should notify the Doctoral Programs Office of their plan. Failure to register each semester may automatically terminate candidacy, although a student does not have to be enrolled in a summer session unless he or she has the final defense or is graduating during a summer session.

Students who receive funding from another source, while off-campus, will not receive funding from the Doctoral Programs Office. Kelley School of Business funding requires the student to be in residence.
Phase III concludes with the final defense of the dissertation. For Ph.D. candidates, six months must elapse between the approval of the dissertation committee and the final defense of the dissertation. All candidates have four years from admission to candidacy to finish their dissertation. Official graduation occurs at the end of the month in which the student submits the final copy of the dissertation to the Graduate School Office (for the Ph.D.) or to the Doctoral Programs’ Office (for the DBA).

Procedures for the Dissertation Defense  Both Ph.D. and DBA students must submit to the Doctoral Programs Office two copies of the final draft of the dissertation in some form of temporary binding at least two weeks prior to the final defense date. Note that this two week period may not include University vacation periods. The copies are made available for circulation among members of the faculty.

Students Choosing the Ph.D.  Students choosing the Ph.D. are required to submit a one page announcement of the final defense of the dissertation to the Graduate School not less than four weeks prior to the agreed upon date for the defense. Upon successful oral defense of the dissertation, an electronic copy of the dissertation must be submitted to the Graduate School. Information and instructions about submitting your dissertation electronically are available at the following Web site: http://dissertations.umi.com/indiana/. Bound and unbound paper copies of the dissertation are no longer required. PLEASE INCLUDE THE UNSIGNED ACCEPTANCE PAGE AND UNSIGNED ABSTRACT IN YOUR ON-LINE DISSERTATION.

In addition to submitting the dissertation via the on-line system, the following items are required:

1. The Acceptance Page (with the original signatures) signed by the Research Committee; delivered to the Graduate School.

2. The Abstract Title Page (with the original signatures) signed by the Research Committee; delivered to the Graduate School.

3. Microfilm ($60) and Copyright ($65) Fee Receipts; delivered to the Graduate School.

Two additional items are optional:


2. A completed I.U. Exit Survey, available from the University Graduate School. To obtain a copy of this survey, please contact Dana Ruddick, Graduate Recorder, either by email at druddick@indiana.edu or by phone at 812/855-1117, or you may go to the University Graduate School located in Kirkwood Hall 111.
STUDENTS CHOOSING THE DBA Upon successful oral defense of the dissertation, DBA candidates are required to submit one unbound copy and one bound copy to the Doctoral Programs Office. The unbound copy is sent to University Microfilms, Inc. to be classified and microfilmed. The candidate is expected to assume the costs associated with the microfilm and copyright requirements.

Purpose of the Dissertation Defense The objective of the oral defense of the dissertation is to provide the student with a forum in which to present formally the research completed for the dissertation. This defense will be critically, yet constructively, analyzed by the faculty dissertation committee. The purpose of the presentation, questioning, and discussion is to assess the student’s understanding of the research results and their implications for theory, practice and future research on the topic.

Timing of the Dissertation Defense The dissertation should be defended when the research has been completed and the findings fully documented. Dissertation committee members should be in agreement prior to the defense that the dissertation is substantially complete. As a rule of thumb, no dissertation should be defended if committee members feel that any revisions required will be so major as to require more than three months for the candidate to complete those revisions and submit the electronic copy to the Graduate School. While problems may be revealed in the course of the defense, if a faculty member knows that there are major errors in the dissertation prior to the defense, he or she should not agree that the defense should take place. For example, the types of changes that might be expected after the defense would include correction of typographical errors or rewriting of brief sections for clarity. The types of changes that would not be appropriate following a successful defense would include additional data collection, reanalysis of data or substantial rewriting of the document (e.g., an entire chapter or more). If a dissertation is defended successfully but the candidate does not complete the revisions and provide the electronic copy to the Graduate School within three months, the dissertation defense will need to be completed again by the candidate and the committee within 6 months of the original defense date. At the conclusion of the defense, all documents must be submitted simultaneously to the Graduate School for Ph.D. candidates or to the Doctoral Programs Office for DBA candidates.

The Oral Examination of the Dissertation The dissertation defense may be attended by all faculty members and students within the Kelley School of Business. However, only faculty members on the official dissertation committee will be allowed to vote. All members of the committee should be present for the defense, but no more than one member may be absent from the defense if necessary. Prior to the defense, that member should send a letter to the Doctoral Programs Office with a copy to the chairperson of the dissertation committee, indicating acceptance of the dissertation.

The oral defense is directed by the chairperson of the dissertation committee. It is normally no more than two hours in length. A typical framework would include:
a) A brief opening statement by the candidate summarizing the major findings of the thesis.

b) Questions, suggestions, or comments directed to the candidate by the formal committee. Questions should first be answered by the candidate and only secondarily by dissertation committee members.

c) Questioning by other faculty members.

d) The candidate is excused from the examining room.

e) Discussion of the acceptability of the defense.

f) Voting by secret ballot.

There are two grades for the defense, as determined by majority vote of the dissertation committee: pass or fail. Dissertations that have been deemed to pass should require revisions so minor that they can be accomplished within three months’ time. Failed defenses may be rescheduled at a later date, when the candidate has made the changes required by the committee. If the dissertation research has essentially followed the path set forth in the dissertation proposal, dissertation committee members should not require substantial changes in the research design (e.g., additional data collection).

**Authorship of Subsequent Articles from the Dissertation**  
Dissertation committee chairpersons may or may not serve as coauthors of journal articles based on the dissertation. The norm for this varies by discipline and by whether the chairperson has to make substantial contributions to the progress of the dissertation. Doctoral students who are selecting chairpersons and other committee members should determine in advance what those faculty members’ expectations are with regard to subsequent publication. It is recommended that an explicit decision in this regard be reached by the student and the committee members in advance of creation of the dissertation committee.
Phase II: The Major Fields

This section provides a description of various aspects and requirements of each of the major fields offered by the Kelley School of Business at the doctoral level. For each major there is a brief discussion of Prerequisites, Program of Coursework, Teaching Load and Teaching Responsibilities, and Qualifying Exams. All students are required to take a minimum of 18 credit hours of coursework. Students choosing to double major have the option of two majors of 18 hours each or a first major of 21 credit hours and a second major of at least 15 credit hours. An overview of program requirements is provided below. For additional detail, contact the doctoral advisor or departmental chairperson.
# Major Field: Accounting

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>Phase I requirements and an adequate background in financial accounting and managerial accounting.</th>
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</thead>
</table>
| PROGRAM OF COURSEWORK | Accounting majors are required to complete a research methodology class (Z798) and a minimum of 18 credit hours of coursework in accounting at the doctoral level.  

The Accounting program consists of three six-hour courses. A601 is concerned primarily with Financial Market Based Research, A602 is concerned primarily with Experimental Research in Accounting, and A603 is devoted to Special Research Topics in Accounting.  

The objective of the Phase II program of coursework in Accounting is to provide the student with exposure to the important literature and issues in Accounting, to introduce the major current Accounting research methodologies, and to develop a more specialized knowledge in at least one particular area of Accounting.  

Papers are required in all Phase II Accounting courses. The type of paper required will vary with the particular class. This requirement may include a critique of a journal article and suggestions for further research, an evaluation of a major theory, the preparation of a preliminary dissertation proposal, a replication of a prior study, or a project complete with preliminary data analysis. |
| TEACHING LOAD AND RESPONSIBILITIES | Doctoral students in Accounting will fulfill the Kelley School of Business teaching requirement by lecturing in sections of A201/202, leading discussion sessions of A201/202.  

Doctoral students in Accounting may elect to fulfill a portion of the School's teaching assignment by teaching one section of an Accounting course beyond the A201/202 level, subject to the department's ability to create such opportunities. Doctoral students assigned to these courses will work under the tutelage of tenure-track faculty members teaching the same course. Election of this option is the doctoral student's prerogative, but requires approval by the Accounting Doctoral Committee.  

During semesters and summers in which they are not assigned as an Associate Instructor (AI), students will be assigned as a Research Assistant (RA) to conduct research with a faculty member for up to 10 hours a week. (Please see the section "Research Semesters." ) |
| QUALIFYING EXAMS | There is one qualifying exam in Accounting. It is normally taken within two months after the semester in which the student has completed the Phase II Accounting courses. A student who fails the qualifying examination has the right to re-examination. The Accounting Doctoral Committee will schedule this exam. A second failure will result in termination from the program. The qualifying exam in Accounting is normally offered once a year. |
**Major Field: Accounting**

| Summer Paper | During each of the first two summers in the program, the student is required to write papers. These papers must be completed by early September (Labor Day) of the second and third years. The papers require that Ph.D. students work with a faculty supervisor that students would be free to choose.  

**First Year Summer Paper: Literature Review/Synthesis** During the first summer, each student will select a faculty member to supervise a focused area of reading from the accounting literature. The student and the faculty member will negotiate a set of papers the student is to read. After the papers are read, the student will write a literature review/synthesis and seek to identify opportunities for future research. An alternative may be for the student to demonstrate familiarity in the use of financial databases by replicating an important empirical study. If the draft is not acceptable, the student needs to comply with the faculty's requests for revisions. When the faculty member supervising the readings or empirical study is satisfied with the paper, he or she will notify the department's Ph.D. student advisor that the student has completed the requirement. If the student has identified a topic that can be developed into a publishable paper, the student should be encouraged to pursue it as a second year paper.  

**Second Year Summer Paper: Original Research** During his or her second summer on campus each student would be required to write a research paper in his or her area of interest. There are a number of options that could be followed here. To the extent that a first year paper has identified a topic of research, it should be pursued. To the extent that students write proposals for their courses, the summer could be used to actually finish one of these proposals. To the extent that students actually write finished papers for their classes, the summer could be used to follow up on unusual features of those papers or to extend those papers in an appropriate manner. Alternatively, new projects could be started and completed if the student would so choose. These would be supervised by a faculty member with similar interests to the student. After completing revisions requested by the faculty supervisor, the paper will be presented in a workshop to be scheduled by the fall of third year. |
# Major Field: Business Economics and Public Policy

## Prerequisites

The primary objective of the doctoral program for students majoring in Business Economics and Public Policy is to give students a firm grounding in the field of industrial organization with a particular focus on applying the latest theoretical advances in this area to the study of business strategy.

## Program of Coursework

Majors are required to take the following core courses:

- G604 Industrial Organization & Business Strategy I
- G601 Industrial Organization & Business Strategy II
- G798 Recent Advances in Industrial Organization and Business Strategy
- G651 Econometrics I
- G652 Econometrics II

And, the following economics preparatory courses

- E521 Microeconomics
- E522 Macroeconomics
- E621 Advanced Microeconomics

In the methodology area, students must take

- M413 Introduction to Analysis I, E671 Econometrics I or an approved methodology area course,
- M414 Introduction to Analysis I, E673 Micro Econometrics or an approved methodology area course,
- A third approved methodology area course

The economics preparatory courses along with G651 and G652 will be taken in the first year of the student's program; the remaining courses, with the exception of G798 (which will be taken during the fall term of the third year), will be taken in the second year. In addition, the student will have to satisfy the requirements of a minor field, which usually consists of three courses.

During the first two years of the program, students receiving financial assistance must take a minimum of three courses per semester. During those semesters in which a student enrolls in 500 level courses, the student must take a minimum of four courses in the semester (again not including G798). With the exception of G798 and possibly a minor course, students are expected to complete all required coursework (major field, minor field, and methodology area) by the end of their second year in the program.
## Major Field: Business Economics and Public Policy

### Teaching Load and Responsibilities

Students appointed as AIs can generally expect to be assigned as an assistant in G202 for one semester, have a research assignment for a minimum of four semesters, and teach G300, G303 or another course, for the remaining semesters. During semesters and summers in which they are not assigned as an Associate Instructor (AI), students will be assigned as a Research Assistant (RA) to conduct research with a faculty member for up to 10 hours a week. (Please see the section "Research Semesters.")

### Qualifying Exams

Students will be required to take a qualifying examination by the end of the summer following the second year in the program. The exam will focus on industrial organization and business strategy but will certainly include some material covered in the general microeconomics courses. An oral exam may also be required if the examination committee believes additional evidence of competency is necessary. A student failing a qualifying examination may elect to retake the examination. A second failure on the qualifying examination will result in dismissal from the Doctoral Program. Students who do not attain a 3.5 average in G651 and G652 will be required to take a written qualifying examination in econometrics during the summer following the first year.

### Summer Paper

Under the supervision of the faculty mentor, a student will be expected to originate a research project during the summers following the first and second years of the program. The research will culminate in a research paper which must be presented and accepted by the Business Economics and Public Policy faculty in the subsequent fall semester. The presentation will take place during a departmental seminar. If the paper is unacceptable, the student will be required to revise the paper and present it again by the end of the spring semester of his/her third year.

### Faculty Mentor

The student will be assigned to a faculty member of the Department of Business Economics and Public Policy in the spring semester of the second year of the program. The designated faculty will act as a mentor and will supervise the student's further education.

### Pre-Proposal Departmental Seminar

Before formally defending a dissertation proposal, all students are required to present a pre-proposal seminar at the regular departmental seminar. It is expected that the pre-proposal seminar will take place in the fall semester of the student's fourth year. The dissertation proposal should be substantive enough to contain a research paper suitable for job placement. (Typically, the "interview conventions" and onsite job interviews take place during the first three months of the calendar year.)

### Reviews

In general, students will receive a written review of their overall performance in the Program twice a year. In addition, personal reviews may be required with the departmental doctoral advisor, Chairperson, and/or the doctoral committee.
### Major Field: Decision Sciences

<table>
<thead>
<tr>
<th><strong>Prerequisites</strong></th>
<th>All entering Decision Sciences doctoral students are expected to have an acceptable background in mathematics. If they are lacking this knowledge, they will be required to take the appropriate course(s) from the Mathematics Department.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Program of Coursework</strong></td>
<td>Decision Sciences (DS) majors are required to complete 18 credit hours of coursework. Since they will be part of the Decision Sciences/Operations Management (DS/OM) Doctoral Consortium, this coursework will consist of &quot;K&quot; (Decision Sciences) and &quot;P&quot; (Operations Management) courses. Specifically, they must take the basic operations research sequence K601-602 and the basic operations management sequence P601-602. In addition, they must take simulation (K606) and a special topics course (K635). Depending on their backgrounds, they may also be required to take one of the doctoral statistics sequences. As with other Business majors, these courses will be supplemented by minor and M&amp;A courses that are appropriate to the particular student. The choice of these will be made in consultation with the department advisor.</td>
</tr>
<tr>
<td><strong>Teaching Load and Responsibilities</strong></td>
<td>Typically a DS Associate Instructor will teach such courses as K201, X201, P300, or P370. K201, X201, P300, or P370 instructors are responsible for the lecture presentations, administration and grading of quizzes and lab assignments, and the assignment of grades. Occasionally, doctoral AI's are assigned to teach a more advanced undergraduate course in Decision Sciences. This is determined by general staffing requirements and the abilities and seniority of the particular doctoral student. During semesters and summers in which they are not assigned as an Associate Instructor (AI), students will be assigned as a Research Assistant (RA) to conduct research with a faculty member for up to 10 hours a week. (Please see the section “Research Semesters.”)</td>
</tr>
<tr>
<td><strong>Qualifying Exams</strong></td>
<td>The qualifying exam process for Decision Sciences doctoral students is as follows: (1) a research presentation during the summer after their first year, (2) an exam during the summer after their second year, and (3) a research paper and presentation by the end of the fall semester of their third year. The exam will cover the first two years of courses. Students who fail to pass this exam will be allowed to take a second exam. Any students who fail both exams will be terminated from the program. The research paper involves writing an article judged suitable for submission to a journal. Each paper will be judged by a team of faculty members. When the faculty deems that the article is publishable quality, the student will have passed the qualifying exams.</td>
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**Major Field: Entrepreneurship**

<table>
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<tr>
<th><strong>PREREQUISITES</strong></th>
<th>See Phase I requirements. This requirement is usually met by graduating from an AACSB-accredited MBA program. Students entering without an MBA, exposure to Economics, Finance, and General Management or in cases where the faculty advisor and the student jointly identify a Phase I-type deficiency, a course of action to remedy it will be agreed to between the faculty advisor and the student.</th>
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<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Doctoral students majoring in Entrepreneurship are required to complete a minimum of 18 credit hours of doctoral level coursework. W610, Z798, J601 and J602 are required courses. The additional 6 credit hours may be fulfilled by taking D620, W601, Z601, Z615 and V669. The objective of the program of coursework is to provide the student with knowledge of entrepreneurship, through exposure to the current literature as well as to acquaint the student with research methods and designs. A series of Methods and Analysis (M&amp;A) courses are required to satisfy the M&amp;A requirement (check with the advisor).</td>
</tr>
<tr>
<td><strong>TEACHING LOAD AND RESPONSIBILITIES</strong></td>
<td>Students majoring in Entrepreneurship and being awarded an appointment as an Associate Instructor (AI)/Research Assistant (RA) in the Kelley School of Business are required to teach 12 credit hours in the Kelley School of Business. During semesters and summers during which the student is not teaching, the student will be assigned as a Research Assistant and be required to work 10 hours per week for the assigned faculty member(s). Teaching and Research Assistant responsibilities will be at the discretion of the Department of Management and Entrepreneurship Chairperson and/or Department of Management and Entrepreneurship Doctoral Policy Committee Chairperson.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Students majoring in Entrepreneurship must successfully pass a field exam that includes a content component and a research design/methods component. This exam must be taken following the completion of all major course requirements. The exam will be given once a year, typically during the summer semester. Students failing the exam may retake the exam once. Retakes must typically be completed no more than three months following the original exam date. A second failure on the exam will result in immediate dismissal from the Doctoral Program. Students receiving a grade of “pass with qualifications” on the exam will be subject to additional requirements, as determined by the Department of Management and Entrepreneurship Doctoral Policy Committee. Upon successful completion of these additional requirements, the student will have been determined to have successfully passed the exam requirements.</td>
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## Major Field: Finance

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>E520, E521, G651, and M463 or an equivalent background.</th>
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<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>The program in Finance consists of a minimum of 15 credit hours, or 5 courses. These five courses include a course in Asset Pricing Theory (F600), Corporate Finance (F605), Special Topics (F644), Empirical Finance (F625), and Market Microstructure (F635). The program is designed to give the student knowledge of the underlying theory and the present state of empirical methodology in the financial literature. Papers are required in the courses at the discretion of the professor. These papers are intended to give the student the opportunity to develop an idea extending or adding to the current literature as well as to develop a research style. Finance majors are strongly encouraged to select a minor area of quantitative analysis or economics. In addition to the formal coursework requirements a student is required to complete a research paper after completing the qualifying exam. The qualifying exam is offered in June of the second summer. The research paper must be presented to and accepted by the Finance faculty in the first semester of the student's third year in the program. Expectations are that the paper will demonstrate the student's ability to originate and conduct a research project. This exam paper and qualifying exam must be completed as a prerequisite for admission to candidacy.</td>
</tr>
<tr>
<td>TEACHING LOAD AND RESPONSIBILITIES</td>
<td>Typically, first and second year students are assigned as Research Assistants to finance faculty members. This involves working on the faculty member's research project(s). Best efforts are made to match the research interests of the student and the faculty member. Third year (and sometimes four year) students are usually assigned as Associate Instructors (AIs) to lead discussion sections of the introductory undergraduate finance course, F370 I-Core. AIs are responsible for designing, correcting, and discussing homework assignments and to use discussion sections and office hours to clarify any questions covered in F370 lectures. Further responsibilities include administration of midterm and final exams and guidance associated with the I-Core integrated case. AIs are responsible for approximately 20% of the student's grade in F370. Fourth and fifth year students often teach course(s) with full responsibility. A popular option is to teach summer courses. With input from other faculty who have taught the course before, the student chooses the textbook, creates a syllabus, delivers all classroom instruction/discussion, creates and grades exams and homework assignments, etc.</td>
</tr>
</tbody>
</table>
## Major Field: Finance

| Qualifying Exams | Qualifying exams in Finance are offered once a year, usually in June. The exam is six hours in length and consists of several questions. The exam questions cover all areas of Finance with a concentration on (but not strictly limited to) those topics covered in the courses offered. A student failing the qualifying examination may retake it on one occasion. A second failure will result in dismissal from the Doctoral Program. |
# Major Field: Information Systems

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>Phase I requirements as well as S500 or an equivalent background in MIS.</th>
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<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students majoring in MIS are required to complete a minimum of 18 credit hours of doctoral level coursework. Twelve of the required credit hours must consist of the four course sequence of S600, S601, S603, S604. S601, S603 and S604 are offered every other year. Z798 is a co-requisite for S600. The remaining six credit hours as well as any additional coursework should be selected by the student in consultation with the MIS doctoral student advisor. The objective of the MIS program of study is four-fold: 1) to provide the breadth of topical coverage in MIS needed by students in preparing for qualifying exams, 2) to present methodology useful in the study of MIS problems in the context of the operating environment, 3) to provide students with a basic understanding of research strategies and methodologies employed in current research, and 4) to involve students in research projects before the doctoral dissertation. Papers are required in the MIS doctoral level courses at the discretion of the professor instructing the course. Papers are intended to give the student an opportunity to pursue a particular area of interest in greater detail than seen in the course.</td>
</tr>
<tr>
<td>TEACHING LOAD AND RESPONSIBILITIES</td>
<td>Students entering the doctoral program in MIS are required to teach 12 credit hours over a 4-year period. Students will normally serve as Research Assistants for their first year and as Associate Instructors for their last three years. Each Research Assistant will be assigned to a research-active faculty member for ten hours per week and the student’s performance will be reviewed prior to the second semester. The Research Assistant will be assigned to another faculty member during subsequent years, as monitored by the MIS doctoral advisor with oversight by the Kelley School’s Doctoral Policy Committee (please see “Research Semesters” on page 46). Teaching responsibilities may be for any undergraduate Computer Information Systems courses for which the Associate Instructor is qualified. Scheduling of AI/RA semesters is a compromise between a student's research program needs and the department's instructional staffing needs.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>There are two qualifying exams in MIS. The first exam is a research paper (known as the “summer research project”) to be submitted to a journal or conference prior to taking the second exam. Work on the paper will commence during the summer after the student's first year, and the final paper must include data and empirical analysis. The goals of the summer research project assignment are to stress the importance of research, to improve the quality of education for the students, to get the students focused early in the doctoral program on research, to help them develop a mindset that they should try to turn (where appropriate) what they do into publishing opportunities, and, if possible, to enable them to develop something that is publishable early in their program. More details on the summer research project assignment are available from the MIS doctoral advisor.</td>
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<tr>
<td>Major Field: Information Systems</td>
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<tr>
<td>The second exam (referred to as the comprehensive field exam or “comps”) is normally taken upon completion of all MIS coursework and is a written exam. The written portion of the qualifying exam is generally a two-day exam consisting of 6 questions covering the MIS field. The objective of the qualifying exam is to allow students to demonstrate their knowledge of the research literature, their ability to synthesize ideas from all areas of MIS, and their ability to articulate their own perspectives of the research literature. The questions on the qualifying exam are, therefore, not course specific but integrative in nature. Students who perform inadequately on the written exam may be required to carry out one or more of the following actions: re-do their answers to some of the same questions under the same conditions; answer new or similar questions in a take-home format; complete additional coursework either for audit or for grade; retake the entire exam the following year or at a date close to the original exam date. This MIS qualifying exam is offered during July and February. The exact date is determined jointly by the MIS faculty and those students planning to take the exam. If a student should fail the first administration of the qualifying examination, it may be retaken once. A second failure will result in dismissal from the Doctoral Program. More details on the MIS major qualifying exam are available from the MIS doctoral advisor.</td>
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### Major Field: Marketing

#### PREREQUISITES

All students must have at least an elementary understanding of the business enterprise as viewed by senior management (especially in the areas of accounting, finance, and marketing management), and basic statistics. Since all accredited MBA programs provide this training, students entering the doctoral program with an MBA degree from an accredited program are assumed to have satisfied all Phase I requirements. Students entering without an MBA degree may be required to take coursework in these areas as part of their Phase I program. The academic records of these students will be reviewed by program advisors to determine which, if any, Phase I courses are required to provide the fundamental understanding of the business enterprise and basic statistics required by Phase II of the program.

#### PROGRAM OF COURSEWORK

Phase II coursework consists of a series of seminars in marketing, a minor/supporting field of the student's choice, and research methodology. Students are required to take five seminars (15 credit hours) in marketing: Special Topics in Marketing (M798), Research Methods in Marketing (M650), Behavior in Markets (M651), Managerial Research in Marketing (M653), Marketing Models (M652). Additionally, students are required to take three courses (9 credit hours) in an approved minor/supporting field. These courses should be approved by both the marketing department and the minor/supporting field department. And finally, each student must gain a proficiency in research methodology by taking four research methods courses (12 credit hours). Three of these courses can be used to fulfill the Kelley School of Business "Methodology and Analysis" requirement.

#### TEACHING LOAD AND RESPONSIBILITIES

Doctoral students in marketing are expected to gain experience in teaching undergraduate classes during their time in the program. (Note that prior to receiving a teaching assignment, foreign students must demonstrate competency in English by passing the University's associate instructor language exam.) The exact nature of the teaching assignments will vary depending upon the student's background and the needs of the Marketing Department. However, in no instance, will students be required to: (1) teach more than 12 credit hours during their four years in the program, or (2) teach during their first year of the program. As their first teaching assignment, Marketing doctoral students are generally asked to lead M370 (Introduction to Marketing Management) discussion sections. Each instructor is expected to lead case discussions, assign and grade homework assignments, clarify any issues covered in the M370 lectures, administer three examinations, and provide guidance and grading assistance for the I-core integrated case exercise. After gaining some experience in this way, subsequent teaching assignments may involve teaching a section of M303 (Marketing Research) or an upper level undergraduate marketing course (e.g., M405, M415, etc.). Students asked to teach these courses are responsible for choice of text, design of syllabus, lectures, case discussions, assignments, tests, grading, and so on.

During semesters and summers in which they are not assigned as an Associate Instructor (AI), students are expected to conduct research. (Please see the section "Research Semesters.")
### Major Field: Marketing

#### Qualifying Exam

The qualifying exam is designed to assess a student's ability to think conceptually, creatively, and critically. Typically a published paper is provided by faculty and the student's task is to:

- (a) recognize strengths/contributions of the paper,
- (b) identify conceptual and methodological weaknesses,
- (c) discuss and evaluate alternatives to concepts, theories, hypotheses, and methods that would address the weaknesses of the paper,
- (d) propose and design an extension of the paper that would be a contribution to the field.

The qualifying exam should be completed by students at the end of their first academic year in May/June. The exam will be a take home exam.

#### Theory Paper

Students are required to demonstrate their research competency by conducting an original research project. The goal of the Theory Paper is to assess a student's ability to identify an area/domain and conduct an integrative theoretical review as a foundation to good research. Students should develop a conceptual framework and include theoretical propositions that are testable in principle. The paper should be capable of forming the basis for the dissertation, though it will typically be broader than the dissertation. It is hoped that the review paper may be publishable in one of the major journals in marketing.

Students should work on their research paper during their second year in the program. The research paper will have an oral presentation and a written component. Students will be expected to present the proposed research in April/May of their second year in the marketing seminar series. The purpose of the presentation is to provide the opportunity for faculty and students to ask questions and offer suggestions to the student on the proposed research. The research paper will be due on July 31 of the second summer. Students will submit a paper (no more than 50 pages in total) on a topic following the above guidelines to fulfill the written component. Given that this is an exam of the student's ability, faculty involvement in this paper is limited (e.g., provide references, engage in short discussions, etc.). Students will receive written feedback on the paper from faculty reviewers. The three possible outcomes are Pass, Revise and Resubmit according to comments, and Fail.
### Major Field: Operations Management

<table>
<thead>
<tr>
<th><strong>Prerequisites</strong></th>
<th>All entering Operations Management doctoral students are expected to have an acceptable background in business and its operations. If they are lacking this knowledge, they will be required to take appropriate course(s) recommended by the departmental advisor.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Program of Coursework</strong></td>
<td>Doctoral students majoring in Operations Management (OM) are required to take a minimum of 18 credit hours of doctoral level course work. Twelve of the required credit hours must consist of P601, P602, and 2 semesters of the special topics course P635. The remaining six hours are chosen by the student in consultation with the faculty advisor. The selection of these courses tailors the program to the student’s individual interests and career goals. The program objective is to provide the student with knowledge of the basic theory, current practice, and research methods of Operations Management. Papers are often required in Phase II courses in Operations Management. These papers are intended to provide the student an opportunity to 1) review the literature and summarize the literature to date, 2) identify new avenues of research, and 3) design and execute a research study in the OM area.</td>
</tr>
<tr>
<td><strong>Teaching Load and Responsibilities</strong></td>
<td>Students who are awarded Associate Instructorships (AIs) in Operations Management will normally be assigned to teach such courses as K201, X201, P300, or P370. Responsibilities include presentation of lectures and quizzes, construction and administration of homework, and assignment of grades. AIs will also be asked to submit exam questions to the faculty coordinator to be included on midterms and the final exam. During semesters and summers in which they are not assigned as an Associate Instructor (AI), students will be assigned as a Research Assistant (RA) to conduct research with a faculty member for up to 10 hours a week. (Please see the section “Research Semesters.”)</td>
</tr>
<tr>
<td><strong>Qualifying Exams</strong></td>
<td>The qualifying exam process for Operations Management (OM) doctoral students is as follows: (1) a research presentation during the summer after their first year, (2) an exam during the summer after their second year, and (3) a research paper and presentation by the end of the fall semester of their third year. The exam will cover the first two years of courses. If a student fails the exam, it may be retaken once. A second failure will result in dismissal from the Doctoral Program. The exam focuses on building a student’s research skills by reviewing research methodology, proposal writing, and conducting prototype research studies. For the OM major, the student will submit a publishable research paper to the OM faculty for evaluation. As with the exam, a student has two opportunities to complete this task in a satisfactory manner.</td>
</tr>
</tbody>
</table>
**Major Field: Organizational Behavior and Human Resource Management**

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>See Phase I requirements. This requirement is usually met by graduating from an AACSB-accredited MBA program. For students entering without an MBA, exposure to Economics and General Management, or in cases where the faculty advisor and the student jointly identify a Phase I-type deficiency, a course of action to remedy it will be agreed to between the faculty advisor and the student.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Doctoral students majoring in Organizational Behavior (OB) and Human Resource Management (HRM) are required to complete a minimum of 18 credit hours of doctoral level coursework. Students may emphasize either OB or HRM. Z601, Z615, and Z798 are required courses. The additional 9 credit hours may be fulfilled by taking J601, J602, W601, W610, D620, or other approved elective. The objective of the program of coursework is to provide the student with the knowledge of the fields of Organizational Behavior and Human Resource Management through exposure to the current literature as well as to acquaint the student with research methods and designs. A series of methods and analysis (M&amp;A) courses are required to satisfy the M&amp;A requirement (check with the advisor).</td>
</tr>
<tr>
<td><strong>TEACHING LOAD AND RESPONSIBILITIES</strong></td>
<td>Students majoring in Organizational Behavior and Human Resource Management and being awarded an appointment as an Associate Instructor (AI)/Research Assistant (RA) in the Kelley School of Business are required to teach 12 credit hours in the Kelley School of Business. During semesters and summers during which the student is not teaching, the student will be assigned as a Research Assistant and be required to work 10 hours per week for the assigned faculty member(s). Teaching and Research Assistant responsibilities will be at the discretion of the Department of Management and Entrepreneurship Chairperson and/or Department of Management and Entrepreneurship Doctoral Policy Committee Chairperson.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Students majoring in Organizational Behavior and Human Resource Management must successfully pass a field exam that includes a content component and a research design/methods component. This exam must be taken following the completion of all major course requirements. The exam will be given once a year, typically during the summer semester. Students failing the exam may retake the exam once. Retakes must typically be completed no more than three months following the original exam date. A second failure on the exam will result in immediate dismissal from the Doctoral Program. Students receiving a grade of “pass with qualifications” on the exam will be subject to additional requirements, as determined by the Department of Management and Entrepreneurship Doctoral Policy Committee. Upon successful completion of these additional requirements, the student will have been determined to have successfully passed the exam requirements.</td>
</tr>
</tbody>
</table>
**Major Field: Strategic Management and Organization Theory**

**Prerequisites**
See Phase I requirements. This requirement is usually met by graduating from an AACSB-accredited MBA program. For students entering without an MBA, exposure to Economics, Finance, and General Management or in cases where the faculty advisor and the student jointly identify a Phase I-type deficiency, a course of action to remedy it will be agreed to between the faculty advisor and the student.

**Program of Coursework**
Doctoral students majoring in Strategic Management and Organization Theory are required to complete a minimum of 18 credit hours of doctoral level coursework. J601, J602, W601, and Z798 are required courses. The additional 6 credit hours may be fulfilled by taking W610, Z601, Z615, or D620. The objective of the program of coursework is to provide the student with knowledge of the fields of strategic management and organization theory, through exposure to the current literature as well as to acquaint the student with research methods and designs. A series of Methods and Analysis (M&A) courses are required to satisfy the M&A requirement (check with the advisor).

**Teaching Load and Responsibilities**
Students majoring in Strategic Management and Organization Theory and being awarded an appointment as an Associate Instructor (AI)/Research Assistant (RA) in the Kelley School of Business are required to teach 12 credit hours in the Kelley School of Business. During semesters and summers during which the student is not teaching, the student will be assigned as a Research Assistant and be required to work 10 hours per week for the assigned faculty member(s). Teaching and Research Assistant responsibilities will be at the discretion of the Department of Management and Entrepreneurship Chairperson and/or Department of Management and Entrepreneurship Doctoral Policy Committee Chairperson.

**Qualifying Exams**
Students majoring in Strategic Management and Organization Theory must successfully pass a field exam that includes a content component and a research design/methods component. This exam must be taken following the completion of all major course requirements. The exam will be given once a year, typically during the summer semester. Students failing the exam may retake the exam once. Retakes must typically be completed no more than three months following the original exam date. A second failure on the exam will result in immediate dismissal from the Doctoral Program. Students receiving a grade of “pass with qualifications” on the exam will be subject to additional requirements, as determined by the Department of Management and Entrepreneurship Doctoral Policy Committee. Upon successful completion of these additional requirements, the student will have been determined to have successfully passed the exam requirements.
Phase II: The Minor Fields

This section provides a listing of the various aspects and requirements of each of the minor fields offered by the Kelley School of Business, as well as Mathematics, Psychology, Law, Economics and SPEA. For each department a brief discussion of Prerequisites, Program of Coursework, and Qualifying Exams is included.

Once the student has completed all coursework in the minor area and has passed or exempted the qualifying exam, a memo should be sent from the minor department advisor to the Chairperson of Doctoral Programs stating that all work in the minor field has been completed. This memo should include a listing of courses taken as part of the minor field and grades received. These should be the same courses as those listed on the Program Form. Also, the completion of a qualifying exam or an exemption from the exam should be indicated. Unless otherwise specified, minor advisors for each of the departments in the Kelley School of Business coincide with the major advisor in the area.
### Minor Field: Accounting

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>Phase I requirements and an appropriate background in Accounting.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>A doctoral candidate who minors in Accounting is required to take a minimum of 12 credit hours of coursework. The objective of the Accounting minor course plan is to support and add to the student's major field of study. The program is developed in consultation with the department advisor and is based on policies determined by the departmental doctoral committee.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>A student who minors in Accounting is considered exempt from a qualifying exam in Accounting if the student achieves at least a 3.5 GPA in Accounting Phase II level coursework with no grade below B.</td>
</tr>
</tbody>
</table>

### Minor Field: Business Economics and Public Policy

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
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</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Doctoral students who minor in Business Economics are required to complete a minimum of nine credit hours of coursework. Six of the minimum nine credit hours must consist of two courses in one of the basic areas (i.e., macroeconomic and microeconomic theory and policy). The third course should be selected in consultation with the student's major advisor and the Business Economics minor advisor. The objective of the Business Economics minor course plan is typically to support and complement the candidate's major field of study.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Students who minor in Business Economics must achieve a 3.4 GPA for those courses taken as part of the minor area and a grade of at least a B in every course taken as part of the minor. Generally the student failing to achieve a 3.4 GPA in all courses taken as part of the minor or a B in a course taken as part of their minor will be required to take an additional course in order to achieve these standards to complete the minor requirements.</td>
</tr>
</tbody>
</table>
### Minor Field: Decision Science

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>Same as majors.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Business students who minor in DS are required to complete 9 credit hours of coursework with the approval of the DS Department advisor. The objective of the minor area course plan in DS is to supplement the student's major course plan. The needs and goals of the student are a major consideration when designing the minor area coursework. As a result, the typical course load for the DS minor consists of courses which fit into a single area or which shows some logical correlation.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Students choosing to minor in the DS area must receive a 3.4 GPA in classes taken as part of the minor with no grade below B+. Students failing to do so during a regular class session must subsequently arrange a way of demonstrating competence with the department advisor and the professor(s) of the course(s) in the particular area(s) in which a grade of B+ was not received. A grade of B+ or better must be recorded in every course in the minor area before a student is considered to have completed his or her minor in DS.</td>
</tr>
</tbody>
</table>

### Minor Field: Entrepreneurship

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>See Phase I requirements for majors.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Doctoral students who minor in Entrepreneurship are required to take 9 credit hours of Phase II coursework. W610 and J602 are required courses. The additional 3 credit hours may be fulfilled by taking D620, J601, W601, Z601, V669, or Z798.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Doctoral students who minor in Entrepreneurship will be exempt from a qualifying exam provided they attain at least a 3.4 GPA with no grade below B- in the courses approved for the minor area. Students who do not meet this requirement will be required to take a qualifying examination or an additional approved course to reach the minimum GPA. This choice will be approved by the Department of Management and Entrepreneurship. A 45-day notice is required of doctoral students intending to take the exam.</td>
</tr>
</tbody>
</table>
### Minor Field: Finance

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>G651, G604 and M413 or an equivalent background in probability/statistics, microeconomics and mathematics.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Students who minor in Finance are required to complete a minimum of 9 credit hours of coursework with the approval of the Finance Department advisor. All Finance minors must take F600. The Finance minor coursework may be completed by taking any two of the five remaining doctoral-level seminars offered by the Finance Department (i.e., F605, F620, F625, F635, and F644 if offered). The objective of the coursework for the Finance minor is to provide the student with a basic understanding of financial theory.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>Students choosing to minor in the Finance area must achieve a 3.4 grade point average for the courses taken as part of the minor with no grade below B-. Students failing to do so must demonstrate a proficiency in Finance by taking a three-hour written qualifying exam. This exam consists of approximately three major essay questions covering the courses taken as part of the minor. This exam is administered once a year usually in June. A student failing the qualifying examination may retake it once. A second failure will force the student to select another minor field.</td>
</tr>
</tbody>
</table>

### Minor Field: International Business

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>Phase I requirements for Strategic Management &amp; Organization Theory majors.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students who minor in International Business are required to complete, in addition to the Phase I requirements for Strategic Management &amp; Organizational Theory majors, 9 credit hours of Phase II courses. D620 is a required course. The additional 6 credit hours may be fulfilled by taking J601, J602, V669, W601, W610, Z601, Z615, or Z798.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>Doctoral students who minor in International Business will be exempt from a qualifying exam provided they attain at least a 3.4 GPA with no grade below B- in the courses approved for the minor. Students who do not meet this requirement will be required to take a qualifying examination or an additional approved course to reach the minimum GPA. This choice will be approved by the Department of Management and Entrepreneurship. A 45-day notice is required of doctoral students intending to take the exam.</td>
</tr>
</tbody>
</table>
### Minor Field: Information Systems

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>S500 or an equivalent background in MIS.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students who minor in MIS are required to complete a minimum of 9 credit hours of doctoral level coursework. The program requires that the student take S600, plus two other courses (S601, S603, S604 or alternate courses approved by the MIS doctoral student advisor). The minor field in MIS is intended to provide students majoring in other fields with some research experience in the MIS field as well as to provide the student with a background sufficient to allow the student to teach introductory MIS courses.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>Students who minor in MIS are exempted from a qualifying exam provided they maintain a GPA of 3.65 or better and receive no grade below a B+ in all courses taken as part of their minor field coursework. Students failing to achieve this level will be required to take a qualifying exam in MIS. The qualifying exam for MIS minors will be a one-week take-home examination. The questions will vary with the particular program of study the student has completed. Students failing to perform adequately on the written portion of the exam may be required to take an oral exam or further written assignments. The oral exam is intended to give the student an opportunity to clarify his or her answers on the written exam as well as to demonstrate an oral proficiency in MIS.</td>
</tr>
</tbody>
</table>

### Minor Field: Marketing

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>Same as majors.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Business students who minor in Marketing are required to complete 9 credit hours of coursework with the approval of the Marketing Department advisor. Six of these credit hours must consist of two of the three Marketing research seminars: M650, M651, and M653. The last three credit hours can be another of the above research seminars, M652, M798, an X680 readings course focusing on some aspect of Marketing, or possibly a 500 level Marketing course which appears particularly relevant to the candidate's program (for all 500 level Marketing courses, it is required that the doctoral candidate do work beyond that normally expected of MBAs for the course to count toward his or her minor). The objective of the Marketing minor area course plan is to strengthen and support the student's major area of study as well as to provide the background needed to enable the student to teach in the Marketing area.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>A student choosing to minor in Marketing must achieve a 3.4 GPA in his or her Marketing minor courses with no grade below B-. Students failing to do so are required to take a Marketing minor field exam. This exam will cover only the material included in the candidate's Marketing minor courses. This exam can be either oral and/or written at the discretion of the Marketing Doctoral Committee.</td>
</tr>
</tbody>
</table>
### Minor Field: Operations Management

**PREREQUISITES**  
Same as majors.

**PROGRAM OF COURSEWORK**  
Doctoral students who minor in Operations Management are required to complete a minimum of 9 credit hours of doctoral level course work. These nine hours consist of a three course program of P601, P602 and an approved elective. The objective of the Operations Management minor program is to broaden the student's research background as well as to provide the background to enable the student to teach in the Operations Management field.

**QUALIFYING EXAMS**  
Students who minor in Operations Management are exempted from a qualifying exam provided they maintain a GPA of 3.5 or better in all courses taken as part of their minor field work (as approved on their Program Form). Students failing to achieve this level will be required to take a qualifying exam.

### Minor Field: Organizational Behavior and Human Resource Management

**PREREQUISITES**  
See Phase I requirements for majors.

**PROGRAM OF COURSEWORK**  
Doctoral students who minor in Organizational Behavior and Human Resource Management are required to take 9 credit hours of Phase II coursework. Z601 and Z615 are required courses. The additional 3 credit hours may be fulfilled by taking D620, J601, J602, W601, or Z798.

**QUALIFYING EXAMS**  
Doctoral students who minor in Organizational Behavior and Human Resource Management will be exempt from a qualifying exam provided they attain at least a 3.4 GPA with no grade below B- in the courses approved for the minor area. Students who do not meet this requirement will be required to take a qualifying examination or an additional approved course to reach the minimum GPA. This choice will be approved by the Department of Management and Entrepreneurship. A 45-day notice is required of doctoral students intending to take the exam.
## Minor Field: Strategic Management and Organization Theory

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>See Phase I requirements for majors.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students who minor in Strategic Management and Organization Theory are required to take 9 credit hours of Phase II coursework. J601 and J602 are required courses. The additional 3 credit hours may be fulfilled by taking D620, W601, or W610.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>Doctoral students in the Kelley School of Business who minor in Strategic Management and Organization Theory will be exempt from a qualifying exam provided they attain at least a 3.4 GPA with no grade below B- in the courses approved for the minor area. Students who do not meet this requirement will be required to take a qualifying examination or an additional approved course to reach the minimum GPA. This choice will be approved by the Department of Management and Entrepreneurship. A 45-day notice is required of doctoral students intending to take the exam.</td>
</tr>
</tbody>
</table>

## Minor Field: Economics

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>None.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students who minor in Economics should contact the Graduate Studies Office, Wylie Hall 229, 855-8453. A candidate for a graduate degree in another department who elects to take Economics as an outside minor must take 12 hours of Economics from Indiana University Bloomington, including at least one semester each of Ph.D.-level microeconomic theory and macroeconomic theory. Within these 12 hours, you must also take six additional hours of courses which carry credit for graduate degrees in Economics as listed in the Graduate School Bulletin. These courses must be selected in consultation with the Director of Graduate Studies.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>All courses taken to satisfy the requirements for an outside minor in Economics must be passed with a grade of B (3.0) or better. A separate written or oral examination will not be required.</td>
</tr>
</tbody>
</table>
### Minor Field: Global Studies

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>Minors are expected to demonstrate foreign language competency at a level determined as appropriate by the student’s approved Program of Study. The Global Studies Ph.D. minor firmly believes that foreign language skills are vital to preparing students to be effective and responsive actors in an increasingly interdependent world.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Doctoral students who minor in Global Studies should contact Dr. Hilary E. Kahn, Associate Director, Center for the Study of Global Change. Students seeking additional information should also visit <a href="http://www.indiana.edu/~global/minor/">http://www.indiana.edu/~global/minor/</a>. Students must complete one core course, GRAD I701: <em>Issues and Approaches in Global Studies</em>, and supporting graduate elective courses for a minimum total of 15 credit hours, 12 credits of which must be outside the student’s major field. This group of electives must be selected from at least two different disciplines, and must reflect a coherent, purposive, thematic approach to the study of Global Studies. Graduate students will work with the Global Studies Director to design a course of study which reflects a theme or sub-field of Global Studies. All students are required to complete a “capstone project” which may be one of the following options: a course such as GRAD I702: <em>Global Studies Capstone Project</em>; an international internship or field work that results in a substantive project; a one-credit research paper taken under the direction of a faculty member through GRAD I790: <em>Readings in International Studies</em>; or a question on the student’s qualifying examination. The capstone project should synthesize the student’s course of study and understanding of Global Studies.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Although a 3.7 or higher GPA in Global Studies courses would normally exempt the student from having to take a written comprehensive examination, the final decision regarding a qualifying examination rests with the student’s doctoral field advisor and the Global Studies Director. Students who opt for the qualifying examination to satisfy their capstone project are required to take a written comprehensive examination regardless of their GPA.</td>
</tr>
</tbody>
</table>
### Minor Field: Law

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>None.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students who minor in Law are required to complete between 13 and 16 credit hours of coursework in the Law School. Students are required to take a basic methodological course (e.g., Contracts, Introduction to Constitutional Law, Corporations, Property, Torts, or Civil Procedure) and two hours of credit in either a research seminar or independent research. Other courses to be taken will depend on the student's interests and needs, with prior approval by Dean Fromm and the Doctoral Policy Committee.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>Examinations are required for individual courses, but none is required for the overall minor. Only grades of C+ or better are counted toward the completion of degree requirements. The overall 3.4 average for minors is waived in this case since &quot;law&quot; is an outside field where at least 12 credit hours of coursework are required. (See the earlier general discussion of &quot;minors&quot;).</td>
</tr>
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</table>

### Minor Field: Mathematics

<table>
<thead>
<tr>
<th>PREREQUISITES</th>
<th>None.</th>
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</thead>
<tbody>
<tr>
<td>PROGRAM OF COURSEWORK</td>
<td>Doctoral students who minor in Mathematics should contact Dr. Ji-Ping Sha, Director of Graduate Studies, Rawles Hall 130, 855-1503. Doctoral students who minor in Mathematics are required to complete a minimum of 9 credit hours of coursework at the 400-700 level in mathematics. In addition, reading courses (e.g., M800) and courses taken at other universities will not satisfy the course requirements for the PhD minor. Students should note that there is no &quot;statistics&quot; minor although students may include mathematical statistics courses as part of this minor.</td>
</tr>
<tr>
<td>QUALIFYING EXAMS</td>
<td>Students who minor in math must achieve a 3.0 GPA in courses taken as part of their minor with no grade below 2.3 (C+). Students failing to meet this GPA requirement must take an additional course(s) to meet this requirement.</td>
</tr>
</tbody>
</table>
### Minor Field: Psychological and Brain Sciences

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>None.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Students choosing to minor in Psychology are required to complete a minimum of four courses at the 400 level or above.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>A student must achieve a grade of at least B- in each course and an overall grade point average of at least 3.0. The specific courses must be approved by a faculty advisor and may include no more than 3 credit hours of research (P895). The courses taken as part of the minor program should be selected by the student in consultation with the psychology professor the student selects as an advisor and his/her major department advisor and must be approved by the psychology professor.</td>
</tr>
</tbody>
</table>

Note: Choice of advisor is up to the discretion of the student. The advisor must, however, be a member of the Psychology faculty as well as a member of the Graduate School faculty. Students initiate contact with the psychology faculty. A list of faculty, and their research interests, is available at www.psych.indiana.edu

### Minor Field: SPEA

<table>
<thead>
<tr>
<th><strong>PREREQUISITES</strong></th>
<th>None.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAM OF COURSEWORK</strong></td>
<td>Doctoral students interested in minoring in one of five available fields, Public Management, Policy Analysis, Regional Economic Development, Urban Affairs, Nonprofit Management, and Environmental Studies, should contact the Ph.D. Programs Office in SPEA Room 441 or call 855-2457. An advisor may be selected by the student based on the student's particular area of study and interests and the faculty member's agreement to serve as advisor. Students are required to complete 12 credit hours of coursework as part of a minor in SPEA. The courses will be selected by the student in consultation with his or her advisor.</td>
</tr>
<tr>
<td><strong>QUALIFYING EXAMS</strong></td>
<td>Grade requirements and terms for or exemption from a qualifying exam will be set up on an individual basis by the student's advisor.</td>
</tr>
</tbody>
</table>
The Minor in Business

The following outlines the program planning and advising procedures for non-business doctoral students who elect a minor field in business.

A student may elect one of two options, either a specialized minor or a non-specialized minor.

A. A specialized minor field may be selected from any business field in which a business student may major. (Explicitly, these are the fields listed in the Graduate School of Business Bulletin.) A field shall consist of a minimum of nine credit hours of graduate work of which at least six hours shall be at the 600 level or above. Additional requirements may be added by the faculty in any given area of specialization.

B. A broad, non-specialized field comprising a minor in business may be selected. This program will consist of a minimum of nine credit hours of graduate work at the 600-level.

1. Each student must prepare and submit to the Doctoral Programs Office a program of study for his/her minor field prior to beginning the coursework. The program for any individual student will be structured by a faculty advisor in the student's area of specialization or interest. A list of the faculty advisors for each of the individual areas is available in the Doctoral Programs Office.

2. The student should list all work completed, excluding those courses intended to fulfill the minor field requirements, in the appropriate section, "Previous Academic Work -- Undergraduate and Graduate," on the appropriate Program Form. This listing should include both undergraduate and graduate courses in the minor field and closely related courses in other fields or departments.

3. The faculty advisor in consultation with the student will specify the courses to be taken by the student to fulfill the minor field requirements and will also specify the criteria for certification (grade requirements, exam requirements, etc.). No more than one independent study (i.e., X680) will count toward the minor requirement. Qualifying examinations may be required for certification in some areas of specialization. In any case, the student must achieve an overall grade point average of at least 3.4 in courses for a minor and at least a B- in every course, or successfully pass a qualifying examination for the minor, if one is offered. Stricter requirements may be imposed by certain departments or advisors.
4. Once a program for the minor field has been approved by the faculty advisor, the remainder of the Proposed Program for the Minor Field should be filled out by the student and subsequently signed by the faculty advisor. The completed form should then be submitted to the Chairperson of Doctoral Programs. The responsibility for final approval of the program will then rest with the Doctoral Policy Committee. Final approval must be received before the student may take courses intended to fulfill the minor field requirements.

5. Please remember that any coursework which has been used to complete any degree requirements will not be counted towards a minor in Business.

6. Responsibility will rest with the Doctoral Programs Office for certification of successful completion of the requirements for a minor field to the student's major school, college or department.

**MBA for Doctoral Students**

Students entering the Doctoral Program without an MBA may wish to pursue both degrees. To do so requires that the student be admitted to the MBA program, take all MBA required courses, and obtain approval for the substitution of doctoral seminars for MBA courses in the major area. Students planning to pursue this option should plan to extend their program by approximately three semesters. Additional details are available from the Doctoral Programs Office.
### The DBA vs. the Ph.D. Program

Historically, the DBA was the official doctoral degree awarded by many programs in business. Most programs now offer the Ph.D. instead of, or in addition to, the DBA. However, students should be aware of the following procedural differences between the two degrees.

<table>
<thead>
<tr>
<th>DBA Program</th>
<th>Ph.D. Program</th>
</tr>
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<tbody>
<tr>
<td><strong>At least 60 graduate hours at I.U. are required for the DBA degree. These are hours in addition to any Phase I courses taken. Students must complete all Phase II required work while enrolled on campus. Twenty-four (24) hours of dissertation credit may be earned while enrolled off campus and must be completed before the final defense of the dissertation. Transfer credit is limited to no more than 6 credit hours.</strong></td>
<td><strong>At least 90 graduate hours (at I.U. or by transfer) are required for the Ph.D. degree. (These hours count any Phase I courses taken.) Every student must successfully complete at least 30 hours of graduate work while enrolled on campus. Up to 30 hours of graduate credit, given a grade of B or better, may be transferred from another institution. Transfer credit must be approved by the Dean of the Graduate School, the relevant department, and the Chairperson of Doctoral Programs in Business. Such courses typically must have been completed within seven years of passing qualifying examinations. NOTE: No transfer credit will be allowed to meet the requirements for another degree at I.U. or elsewhere. In any case, no more than 6 credit hours may be transferred for Phase II credit.</strong></td>
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<td><strong>There are no requirements specifying the number of consecutive semesters students must be on campus. However, the Program is administered as one which is full-time and on-campus.</strong></td>
<td><strong>Every student must be on campus for at least two consecutive semesters while enrolled in the Doctoral Program.</strong></td>
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<td><strong>The pass/fail option may be used by all DBA candidates but not for courses required to meet Phase I or Phase II requirements.</strong></td>
<td><strong>The pass/fail option may be used by students in &quot;good standing&quot; (3.0 GPA) but not for courses required to meet Phase I or Phase II requirements or the minimum of 90 required hours. The relevant GPA is computed for Phase I and Phase II courses, and closely related courses which count towards the minimum 90 hours required for the Ph.D. degree.</strong></td>
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<td><strong>There are no specific requirements concerning time lapse between field exams and final defense of the dissertation.</strong></td>
<td><strong>Qualifying examinations must be passed at least 8 months before the final defense of the dissertation.</strong></td>
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<td><strong>Dissertation committees normally consist of three faculty members, at least one of whom is not a member of the student's major department.</strong></td>
<td><strong>Dissertation committees must consist of at least four faculty members, at least one of whom is not a member of the student's major department. All members must be on the Graduate School faculty. Half of the committee members, including the committee Chairperson, must be endorsed by the Graduate School. The membership of this</strong></td>
</tr>
<tr>
<td><strong>DBA Program</strong></td>
<td><strong>Ph.D. Program</strong></td>
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<tr>
<td>committee must be approved by the Dean of the Graduate School at least six months before the final defense of the dissertation.</td>
<td>Students with a minor in a department which does not offer a Ph.D. degree from the Graduate School are not eligible for the Ph.D. degree in Business, unless the area has been specifically approved by the Graduate School.</td>
</tr>
<tr>
<td>There is no such limitation in the DBA Program.</td>
<td></td>
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SECTION 2. Financial Assistance

Fee Scholarship/Remission

Many students will receive financial assistance during their first year in the form of an Associate Instructor stipend from the Doctoral Programs Office. Funding in subsequent years will depend on satisfactory progress toward the degree. In essence, “satisfactory progress” means that the student completes coursework on schedule, carries out teaching responsibilities in a professional manner, and meets deadlines for advancing to candidacy, defending the dissertation proposal and defending the dissertation. Most students admitted to doctoral programs in Business are initially awarded fee scholarships. These scholarships exempt students from tuition payments for courses taken to meet the requirements of the doctoral degree with the exception of a small portion of tuition and some incidental fees (approximately $700 per semester). The fee scholarship can be applied for a maximum of 30 credit hours per year. These 30 hours may be taken in any combination; however, 12 hours is the maximum allowed per each academic year semester and 6 hours in the summer session. Summer hours can vary depending on how many hours were used during the fall and spring semesters, i.e., 9 hours fall semester, 9 hours spring semester, 12 hours summer. We strongly encourage all doctoral students to register for the entire 30 credit hours over the course of the year. Once a student has accumulated the required hours for the Ph.D. or DBA degree, we recommend enrolling for G901.

The Kelley School of Business is quite flexible with regard to summer session registration. Please remember, however, that other campus agencies may have much stricter guidelines. Housing, health care, loans, insurance, etc. may require specific enrollment in the summer to be eligible for services or discounts.

Teaching and Research Assistantships

Most students admitted to the doctoral program receive teaching and research appointments in the Kelley School of Business. Such appointments not only enable the individual to pursue the doctoral degree without interruption but also provide valuable opportunities for candidates to gain teaching and research experience during their course of study.

The Kelley School of Business strives to offer financial packages in order to attract the most promising doctoral students. Given this, the amount of teaching and research stipends may change dramatically from year to year.

Unlike many major business programs, the Kelley School of Business does not limit such appointments to a 9 or 10 month basis. Rather, teaching and research appointments are made on a 12 month basis. During the academic year, direct deposit payments are typically issued at these dates:
Summer pay dates vary but you will be informed well in advance. Pay is direct deposited.

The Kelley School of Business is pleased to provide four years of financial support. Naturally, this level of support assumes that the student is making satisfactory progress toward degree requirements and teaching and research duties are being performed satisfactorily.

**Research Semesters**

During semesters and summers in which they are not assigned as an Associate Instructor (AI), students will be assigned as Research Assistants (RAs) who conduct research with faculty members for up to 10 hours a week. Each RA is assigned to a research-active faculty member during first semester, and the student’s performance would be reviewed prior to second semester. The RA is assigned to other faculty members during subsequent years, as monitored by the departmental doctoral committee and with oversight by the Kelley School Doctoral Policy Committee (DPC). This assignment may apply to summer sessions, depending on the department; and even if students are not assigned to a formal RA-ship they are expected to continue to work with faculty through the summers on research.

- **Continuing students** will be asked to work as an RA during semesters when they are not working as an AI. Assignments for RAs will be made by the departmental doctoral committee. Students not currently working with faculty members may request that the department doctoral student advisor help to identify appropriate potential faculty members for assignments.

- **New students** will be assigned to a faculty member during their first semester, by the doctoral policy committee in their departments. The criteria for assignment should be whether the faculty member is research-active and whether the faculty member is doing research in an area related to the student’s expressed interest. The goal is to enhance the student’s training and ability to publish in top-tier journals. During the second semester, students not teaching as an AI will be assigned to other faculty members, unless both the student and the first faculty member independently request that their association continue. This process of
assignment will continue in subsequent years. Students and faculty who wish to continue their work together through the course of the student’s tenure at IU may do so if the effort seems to be productive. Otherwise, students should be encouraged to work with varied faculty members in order to broaden their research experience.

The goals of collaboration between faculty member and student are to:

- Engage in joint research that gives the student hands-on experience with data analysis, literature review and publication writing prior to completion of the dissertation;

- Publish articles in top-tier journals in which both the student and the faculty member contribute significantly and in which both are listed as authors;

- Provide both members a research collaboration experience in accordance with the highest standards of integrity and ethics.

The responsibilities of the supervising faculty member are to:

- Involve the student in meaningful research activities (e.g., data analysis, review of literature, etc.) for no more than 10 hours a week.

- Include the student as a co-author on any publication resulting from research efforts in which the student has made important contributions.

The responsibilities of a student in the RA position are to:

- Read previous publications by the faculty member in the area pertaining to the current research, and other pertinent research, as requested.

- Contribute to the research effort in ways indicated by the faculty member.

The responsibilities of the Doctoral Programs are as follows:

- In cases where the supervising faculty member feels that the student is not taking responsibilities sufficiently seriously, the Chairperson and the departmental student advisor should attempt to clarify duties for the student; if improved performance does not result, the student should be assigned to another faculty member, and, if performance still is unsatisfactory, funding will be withdrawn.
In cases where the student feels that the faculty member has not provided sufficient support to continue the work, the Chairperson and the departmental doctoral student advisor should attempt to resolve the student’s concerns or, if not possible, reassign the student.

If the RA is collecting data off-campus for a period of more than a month, the faculty member and the student should jointly submit to the Doctoral Programs Office a research activity plan prior to the beginning of the semester. This plan must be approved by the Doctoral Programs Office.

After the data collection period has ended and the student has returned to campus, a brief report of activities completed should be provided to the Doctoral Programs Office (much as a faculty member on sabbatical is required to provide such a report at the end of the sabbatical). The Doctoral Programs Office will not fund students for off-campus data collection if they are receiving teaching or research funding from another source while off campus. In summary, it is assumed that most RA activities will take place on-campus; if some alternative arrangement is necessary, it is the responsibility of the student and faculty member to seek approval from the Doctoral Programs Office in advance of the activity.

The Doctoral Program strongly encourages students to engage in serious research and publication activities while in the program prior to beginning their dissertations. Many members of the faculty are involved in research projects with doctoral students. These projects often lead to presentations of papers at national professional meetings and publications in prestigious journals. Such accomplishments significantly enhance the student’s job placement prospects as well as general professional development.

**Teaching Loads of Doctoral Students**

Over a four year period students with funding from the Doctoral Programs Office serve as Associate Instructors (AI) for 12 credit hours of instruction. Typically they teach as AIs for four terms (either regular semesters or summer terms) and serve as Research Assistants alternate terms. The 12 credit hour requirement will be strictly enforced by the Associate Dean-Faculty & Research. Students who are approved by their departments to receive a fifth year of funding would teach 6 credit hours during that year.

Students could elect to teach three credit hours per year on overload, subject to approval by the department chairperson, Doctoral Program Chairperson and Associate Dean-Faculty & Research. Note that students are limited to one course overload per academic year, at $6,000 currently, because of funding restrictions set by the Dean of Faculties Office. Students may be able to teach additional overload courses during each summer session (i.e., three credit hours during Summer Session I and three credit hours during Summer Session II). The opportunity for overload teaching will be determined by the department chairperson in conjunction with the
Associate Dean-Faculty & Research, and the Chairperson of Doctoral Programs and will be based on need for staffing.

Residency Requirement
All students receiving financial assistance (i.e., as an AI, RA, or through a fellowship from the Kelley School of Business) are expected to be in residence. Students who will be making extended visits away from Bloomington should first check with the Doctoral Programs Office. Students who serve as AIs or RAs are considered to be in full-time positions. It is not appropriate for students to be RAs or AIs and to be full-time employees at another institution.

Test of English for Associate Instructors
All international students whose native language is not English are required to take and pass the Indiana University Test of English Proficiency for International AI Candidates (TEPAIC) before being awarded an Associate Instructorship. This test is administered over a two day period and consists of an oral interview and a writing sample. Only students who pass the interview take the written test. This test is offered approximately seven times during the academic year. This test is administered by Indiana University's Center for English Language Training. The Doctoral Programs Office will notify all international students who need to take the exam of the exam dates. Students who do not pass the AI exam will be funded as Graduate Assistants (GAs). GAs receive a substantially lower stipend than Associate Instructors (AIs).

Graduate Assistantships (GA)
There are infrequent occasions when students would not receive a teaching or research appointment. In such cases, students may receive a graduate assistantship. Duties of such an appointment would include, but not necessarily be limited to, assisting faculty members in research, library work, and paper grading. It is expected that GAs will work 12 hours per week.

Fellowships
Each year the Kelley School of Business and the University Graduate School award fellowships to outstanding doctoral students. Typically, these are awarded in addition to the normal stipends and fee remissions. Also, fellowships and other forms of support are increasingly available by foundations and business organizations. The availability of such funds makes an important contribution to the financial support of doctoral students. The granting of such fellowships to doctoral students does not include an increased service commitment. Additional teaching, for example, is not required as a condition of such support.

Other Financial Support
In addition to fee scholarships, stipends, and fellowship support, the Kelley School of Business and Indiana University provide other forms of financial support to doctoral
students. Among these are grants-in-aid for dissertation expenses and competitive research expense and travel grants. For example, departments have funds to support doctoral student travel. These funds are made available to help defray expenses related to attendance at professional meetings when students present competitive research papers or similar activities. In addition, there are funds available to assist students with research expenses during their program.

These funds are overseen by the Doctoral Programs Office and managed by the individual departments. For specific information regarding these programs and their associated deadlines, please contact the department’s adviser or the Doctoral Programs Office.

NOTE: University policy requires that all students, who are receiving an assistantship (Associate Instructorship, Research Assistantship, Graduate Assistantship, etc.), be enrolled in a minimum of six credit hours during each semester of the academic year that the appointment is held. However, this requirement does not apply during the summer session.

Office of Scholarships and Financial Aid
Financial support for graduate students available from the Office of Scholarships and Financial Aids is primarily in the form of loans or work study employment. Eligibility for all support from this office is on the basis of financial need. Students are required to submit the College Scholarship Service Financial Aid Form (FAF) and the Indiana University Financial Aid Application (available from the Office of Scholarships and Financial Aids, Franklin Hall, Room 208, phone 855-0321).

National Direct Student Loan (NDSL) If a student shows financial need, loans are awarded for a maximum of $2,000 per academic year to graduate students. Priority is given to students who have borrowed previously from the NDSL program. The total loans made to a student for all years, including loans made as an undergraduate student, may not exceed $30,000. The interest rate is 7 percent simple, starting nine months after graduation or when the student withdraws or drops below half-time basis.

Child of Disabled Veteran Award Children of veterans who were killed or disabled in, or as a result of services in the Armed Forces of the United States, are covered by this act. Under this program the child of a veteran may be eligible for a maximum of 45 months of training with payments comparable to the G.I. Bill or a fee scholarship. In addition, there are other benefits available to veterans' dependents. For information contact the Veterans' Administration Office on the Bloomington Campus, Franklin Hall, phone 855-8781.
Short-Term Emergency Student Loans  Emergency loans are available to any part or full-time student who has an education-related expense. For more information, students should contact the Office of the Bursar, Franklin Hall 011.

Doctoral Student Grant-in-Aid of Research  This program from the University Graduate School is designed to assist doctoral students in funding extraordinary expenses arising from the research required for their dissertation. Various kinds of expenses (such as the purchase of microfilm, payment of computer programmers, funding for travel to study materials not otherwise available) related to one's research qualify for such support. The maximum sum that can be given to any student is $1000 per academic year. The applicant should justify the need for funds and to indicate the specific use for them.

Two Grant-In-Aid competitions occur each academic year: October 1 and March 1. Notification about the competitions will be sent out by the Doctoral Programs Office a few weeks in advance of the deadlines. The student's dissertation chairperson and the chairperson of the student's major department must sign the application and provide supporting statements. Also, the student should verify in his or her statement that no other funds are available for this request. Application forms are available from the Doctoral Programs Office. The application and letters should be sent to the Doctoral Programs Office where they will be ranked and then forwarded to the Graduate School.

Aid to Foreign Students  International Services offers a fee remission scholarship to foreign students. This grant is viewed as a last resort to be used only in extreme cases. It is usually available to foreign doctoral students in their last year of study who have lost a previous method of support (e.g., Associate Instructorship). Applications are available in February and must be returned by March 15. Applications and other information are available from:

    International Services
    Franklin Hall, Room 306
    855-9086
Other Sources of Aid at Indiana University

Indiana University Career Development Center This is a referral service for undergraduate and graduate students who wish to work part-time during the year. The Career Development Center communicates with on- and off-campus employees to provide up-to-date listings of job opportunities for students and student spouses. The office may be contacted at 855-5234.

Residence Hall Assistantships Each year, a small number of Residence Hall Assistantships are awarded to graduate students who live in a unit with approximately fifty students and serve as counselors to individuals and groups of students. Two types of assistantships are available. A Graduate Resident Assistant (GRA) position provides full room and board and a stipend of $85 per month for the 10 month academic year. The Assistant Coordinator position entails supervisory responsibilities, provides full room and board, fee remission for up to 24 credit hours for the academic year, and a stipend of $260 per month for the 10 month academic year. Applications are not available until November 15 and should be submitted by February 1 to insure maximum consideration for the following Fall Semester. Questions regarding residence hall assistantships should be directed to the following address:

Department of Residence Life
801 N. Jordan, Room 210
Indiana University
Bloomington, IN  47405
855-1764

Financial Aid for Women Students—Sears-Roebuck Foundation/Business and Professional Women’s Foundation Loan Program The Sears-Roebuck Foundation provides grants to the BPW Foundation which administers a loan program to assist women students in financing graduate study in business. For more information on the program, contact:

BPW Foundation
2012 Massachusetts Ave., N.W.
Washington, DC  20036

Grants and Fellowships For more information on grants and fellowships, contact the Office of Student Financial Assistance, Franklin Hall 208 or the University Graduate School, Kirkwood Hall 111.
**Employment of Spouses at Indiana University**  A large number of student spouses are employed in the many academic and administrative offices on campus. Persons interested in full-time or part-time employment on campus should make inquiry to:

University Human Resources  
Poplars E165  
400 E. Seventh Street  
Bloomington, IN  47401

**Additional Sources of Aid**

**Guaranteed Student Loans**  Any student attending Indiana University at least half-time and a member of the Indiana University Credit Union is eligible for a federally subsidized loan to help pay for educational expenses. For more information, students should contact the Office of Student Financial Assistance, Franklin Hall 208.

**The G.I. Bill**  Any veteran of the Army, Navy, Marine Corps, Air Force, or Coast Guard who has served and has been honorably discharged from the service, and who has been on active duty for at least 180 days is eligible for the G.I. Bill. Students who served in some branch of military service prior to 1/1/77 are eligible for benefits for 45 months service. A contributory program has been established for veterans active after 1/1/77. For further information, contact the Office of Veterans Affairs, Franklin Hall 003, 855-1985.
SECTION 3. Registration and Grades

In-Absentia Registration
As stated earlier in this handbook, all doctoral candidates who are not currently on campus have to be enrolled each semester of the academic year until they are graduated. Enrollment can be in either X799 (Dissertation Credit) or G901 (Advanced Research). Failure to enroll can result in automatic termination from the Doctoral Program and the University.

A late registration fee will be charged in addition to the basic fees in those cases in which the in-absentia registration materials are received on or after the first day of classes. (See the Schedule of Classes for specific information on in-absentia registration.)

Graduate Course Audit Policy
In order to develop a more solid background in some areas, many doctoral candidates will sit in on or audit various 500 and/or 600 level courses. Whether the student chooses to sit in on or officially audit a particular class, he or she should do so only with the permission of the instructor. Permission to attend a course without credit will be given on a space-available basis. If the student chooses to audit a course it will appear on his or her official transcript. However, the fee for auditing a class is $25 per credit hour regardless of residence classification. Fee waivers cannot be used to pay for the audit fees. There is no fee for sitting in on a class.

Pass/Fail Option
All doctoral candidates in good standing (3.0 GPA) may enroll in courses other than those required to meet Phase I or Phase II requirements under a Pass/Fail option according to the procedures outlined in the Schedule of Classes.

A grade of 'P' is not counted in computing the student's GPA for graduation. However, the student should realize that the grade of P or F will appear on his or her official university transcript.

Grades
Course grades below 2.3 (C+) are not counted towards the completion of degree requirements but will be included in the computation of GPAs. Furthermore, if these courses were to be used to meet Phase I requirements they may not be repeated for credit unless a grade of F was reported. Candidates must also maintain a 3.0 (B) or better GPA to remain in 'good standing.' Failure to do so
places the student 'on probation.' If a student does not achieve 'good standing' by
the end of the next academic year semester, he or she will be terminated from the
program.

Dissertation Credit

X799 (Dissertation Credit) Doctoral students are required to have a minimum of
24 credit hours of X799 to graduate. You can, however, have more hours, but
not less! These hours are a program requirement with no in-class time involved.
It is preferred that students not enroll in X799 hours their first year. X799 hours
should normally be taken in whole credit hours, e.g., 1, 2, 7, etc., and there is no
set limit on how many credit hours you can or should take at any one time. (Fee
reimbursements, however, will cover a maximum of 12 credit hours per
semester.) X799 grades will be recorded as "R" (grade deferred) until the final
defense of the dissertation at which time the "R" grades will be changed to "S".

G901 (Advanced Research) Doctoral students with 90 credit hours or more
towards the degree and who have completed all requirements for the degree
except the dissertation are eligible to enroll in G901. Both on-campus and off-
campus students can enroll in G901. It carries a flat fee of $150, regardless of
whether a student is in-state or out-of-state, and is equivalent to 6 credit hours of
graduate credit. G901 is offered first and second semesters of the academic year;
it is not offered during the summer sessions. For on-campus students, the $150
fee is not covered by a fee waiver. No one will be allowed to register for more
than 36 hours (6 semesters) of G901. It is graded S. Students registering in-
absentia may wish to enroll in this course instead of dissertation credit (X799)
especially if they are paying out-of-state fees.

Withdrawal and Change of Course

There are times when the 'W' is a necessary and appropriate grade. However, the
doctoral candidate should be cautioned that, because of the sequencing and
requirements of the doctoral program, a "W" in a course means that it has not
been successfully completed and therefore the student may not be able to
progress to the next semester's courses. Thus, a 'W' in a required
course could put the student an entire semester or possibly even a year behind.
The faculty has established a specific policy regarding the grade of 'W' which
divides the semester into three time periods:

1. A grade of 'W' is given automatically on the date of withdrawal to
   students who withdraw during the first half of the course. (See the
   Enrollment and Student Academic Information Bulletin for specific
   withdrawal dates.)

2. In general, no withdrawals will be permitted after the halfway mark of a
   course. Exceptions to this policy will be made only for urgent reasons
relating to extended illness or equivalent distress. In order to withdraw from a Kelley School of Business course after the halfway mark, the student must submit a petition to the Committee on Withdrawals transmitted through the Doctoral Programs Office. Written documentation supporting the petition must be presented. Within one week of the submission of the petition, the Committee on Withdrawals will either approve or disapprove the petition. If approved, the student will be assigned a grade of "W" regardless of his or her current grade in the course. If the petition is not approved, the student has two options: (1) he or she may remain in the course and receive whatever grade is earned, or (2) the student may withdraw with a grade of 'F' regardless of his or her current grade in the course.

3. Students may not withdraw from individual regular semester or regular summer session full length courses during the last three weeks of the semester or the last two weeks of the summer session. Only withdrawal from all subjects will be permitted during these periods. In the case of withdrawal from all subjects, each instructor must assign a grade of 'W' if the student is passing on the date of withdrawal or a grade of 'F' if the student is failing on the date of withdrawal.

4. A student withdrawing from a class may desire to pick up some other course (e.g., X799) to fill out his or her schedule. Even though a grade of 'W' will be given automatically under the circumstances mentioned above, no class can be added as a substitute for the course (even X799) by using a fee remission/fee scholarship after approximately the fourth week of classes (see the Enrollment and Student Academic Information Bulletin for specific information on this date). Any course picked up after this date will be subject to full tuition rates.

Incompletes
An 'Incomplete' received in a course indicates that the work is passing as of the end of the semester but a relatively small part of the course has not been completed. This grade may be awarded only when the candidate's work is of passing quality and upon proof of personal hardships that render the normal course time requirements unreasonable. If an 'Incomplete' is not removed within one calendar year from the date of the grade, or no other action is taken, it will automatically change to an 'F'.

Withdrawal from All Classes
Students wishing to withdraw from all courses must contact the Student Advocates Office in Franklin Hall, Room 206. International students should report to the Office of International Services, Franklin Hall, Room 306 in order...
to complete the withdrawal process. Failure to withdraw from the University through the appropriate office may result in grades of ‘F’ in all courses.

Leave of Absence

For a number of reasons, students may need or desire some time off from the program in the form of a “Leave of Absence”. Reasons for a leave of absence as well as conditions of the leave should be discussed thoroughly with the major department advisor, the major department chairperson and the Doctoral Programs Chairperson. Written agreement regarding time limits for completion of requirements and for resumption of financial assistance should be obtained from the Doctoral Programs Office prior to the beginning of the leave. Students taking a leave of absence in the middle of a semester must go through the complete withdrawal procedures stated above.

Leaves are not automatically granted. They must be approved by the major department and the Doctoral Programs Office. Leaves longer than one year will rarely be approved.
SECTION 4. Professional Opportunities

Doctoral Student Association
The Doctoral Student Association (DSA) supplements the formal academic program with a wide selection of professional and social activities. Its principal objective is to provide a basis for closer ties between members, bring about an interchange of ideas among students, and foster closer ties with the faculty. The Association provides a diverse range of services, such as brown bag lunches, orientation of incoming students, organization of intramural sports teams, block seating arrangements for sporting events, social activities, and service on various administrative committees.

Faculty/Doctoral Program Relationship
One of the most important attributes of the Doctoral Program is its emphasis on a close and continuing relationship between the faculty and doctoral students. From the time of entrance into the program until the final defense of the dissertation, individual faculty members, departmental advisors and chairpersons, and the Program Chairperson maintain close contact with the students. This has been a long-standing tradition at Indiana, one which significantly benefits the doctoral candidate's professional development.

Joint faculty-student research and publication is becoming increasingly common, as is the continuation of such joint work even after the student has received the doctorate and is working at another institution. The members of the faculty work hard at sustaining this relationship; the enthusiasm and availability of faculty is considered to be perhaps the single most important aspect of the program.

Business Horizons
In January 1958, the Indiana University School of Business launched its own business journal. During the intervening years Business Horizons has won the solid respect of large numbers of business executives, academicians, and students who have come to depend upon it. The journal is catalogued and shelved in most of the major libraries around the world and is also mailed directly to some 5,000 other subscribers in the United States and abroad. Copies are distributed free of charge to doctoral students.

The principal editorial function of Business Horizons, which is now a bimonthly journal, is to bring to the business and academic community timely information about the analyses of important business-related topics. The editors strive to produce a publication that is about midway between a news magazine and a highly esoteric 'learned' journal. The articles are substantive. Some are practical; some are theoretical. Hopefully, all of them
are useful. True to its name, Business Horizons also emphasizes the future in its editorial policy. The editors look for topics with distant 'horizon' dimensions.

Examination of any issue will reveal that the authors comprise quite a cross section of expertise. Some are prominent business executives or government officials; a few are students; a large number are professors or business consultants. The editors feel that this diversity of backgrounds, occupations, and points of view lends considerable strength to the editorial policy.

Business Horizons reprints are widely used as teaching aids not only here at Indiana University but also elsewhere. The editors hope that you find the publication helpful in your own studies. If you would like to prepare a manuscript for possible publication, you are invited to visit Business Horizons offices and discuss the matter.

Pre-Dissertation Research
The Doctoral Program strongly encourages students to engage in research and publication activities while in the program but prior to beginning their dissertations. Members of the faculty are involved in research projects with doctoral students, many of these endeavors leading to joint publication or to presentation at professional meetings. Such accomplishments significantly improve the student's job placement prospects as well as general professional development. The faculty and administration attempt to be flexible in allowing students to become involved in pre-dissertation research and publication, and to provide needed resources for such activity.

Seminars
Most departments offer a series of seminars at which members of the faculty, doctoral students and visiting scholars present research papers. There is also a joint seminar series sponsored by the Kelley School of Business and the Department of Economics to which doctoral students are invited. In addition, there are many seminars and public addresses on topics of interest to business doctoral students presented on the University campus throughout the academic year. The Doctoral Student Association sponsors frequent doctoral student/faculty luncheons at which speakers discuss such topics as opportunities for joint faculty-student research and publication, job placement, and similar issues of student interest.

Job Placement
Doctoral students who are ready to enter the job market will find their department chairperson and thesis chairperson to be a great source of help. These people are informed of positions available in both academia and business and are also familiar with the type of work the student is interested in pursuing. They, therefore, serve as a link between student and potential employer and can help direct the student to those positions he or she would
most prefer. In addition, each major area in the Kelley School of Business has annual job placement meetings. These meetings provide an opportunity for an initial meeting between doctoral students entering the job market and universities and colleges with positions to be filled.

Job opening announcements for all fields are listed by field and in alphabetical order in booklets housed in the various departmental offices. These booklets are continuously updated and copies of pertinent announcements are sent to doctoral students currently in the market.

Each year the Chairperson of Doctoral Programs holds a general discussion for those students planning to enter the job market in the upcoming academic year. This discussion is held to acquaint the student with the job placement process, (i.e., meetings, campus visits, etc.) as well as to answer any questions the student may have concerning job placement. At this meeting it is stressed that progress on the dissertation is essential for students going into the market. Ability to present a nearly completed dissertation is of paramount importance for students since it will result in a larger number and a wider range of schools showing interest.

**Travel Policy**

The Kelley School of Business strongly supports and encourages doctoral candidates to attend and participate in professional meetings, seminars, colloquia, conferences, and similar professional activities. Attendance at such events is a valuable complement to the formal academic training of students. Furthermore, it develops important professional contacts and spreads the reputation of our doctoral candidates to a wide audience.

Limited funds are available from the Doctoral Program to reimburse students for the travel, lodging, and registration expenses incurred in the presentation of professional papers at conferences and conventions. Each department has its own procedure for allocating the limited funds. Your department adviser can provide details.

It is also recognized that it is important for students to attend various types of meetings when they are not actually presenting papers. Such activities as research consortium meetings and seminars comprise a valuable complement to the on-campus education of doctoral candidates. Because the type and quality of these activities varies greatly and funds for their support are limited, each request for reimbursement will be considered on a case-by-case basis. No specific allocation has been made to the Doctoral Program for these activities, so funds are limited. Requests will be considered for funding on an ad hoc basis. Listed below are a few of the general policy guidelines:
(1) Reimbursement for attendance at any seminar or similar event must be closely related to the student's research interest and contribute to the student's professional development.

(2) Support for participation in any consortium meetings or similar activities will be granted, in general, only if attendance is based on a competitive selection process. Usually, only one student from an area will be reimbursed for attendance at such meetings.

(3) Any request for reimbursement must be supported, in advance, by the appropriate departmental chairperson(s).

(4) Reimbursement will follow the guidelines of the policy for all doctoral student travel. This policy is essentially the same as that for travel by regular faculty members in the Kelley School of Business. In particular, travel request forms should be completed and approved at least four weeks in advance. All travel request forms and travel vouchers must be routed through the Doctoral Programs Office. Any reimbursement from this policy will count toward the student's maximum of $750 per year in total travel support.

(5) This policy statement will be administered and interpreted by the Dean's Office, which may seek the assistance of the Doctoral Programs Office and its Policy Committee in making decisions.

Office Space
Office space is provided to doctoral students who are teaching or aiding in the instruction of courses. If space is available, offices are also provided to doctoral students not yet assigned to teach a course. The main doctoral student offices are located in Rooms 301 and 307. Also, some departments provide office space for their doctoral students. There is a phone provided in each of the main doctoral student offices for doctoral student use. To protect any personal valuables, books, and tests which may be kept in student offices, it is a good idea to keep the main door of the offices locked at all times when no office holders are present.

Doctoral Computer Laboratory
The Doctoral Computer Laboratory, room BU431, is maintained by the Kelley School of Business through Technology Services for the exclusive use of Kelley School doctoral students. Access to BU431 requires a pass code, which is available from the Doctoral Programs Office.

Four additional facilities are available to doctoral students (in rooms CG3075, BU101, BU407, and BU415/417). Questions regarding the available hardware and software in these facilities should be directed to Technology Services (tshelp@indiana.edu; 855-4247).
Doctoral Student Lounge

Doctoral students also have access to a lounge in room BU 353. This room can be used for study or informal meetings. Access to the room requires a pass code which is available from the Doctoral Programs Office.
SECTION 5. Academic Conduct

It is expected that students will act in a professional way in all activities and relationships connected with their academic program. This expectation implies acting honestly and in good faith. Cheating (including unauthorized cooperation or the use of unauthorized material in preparing an assignment to be graded), plagiarism, changing a grade in connection with any assignment, gaining unauthorized access to an examination, using, without authorization, the same material in preparing assignments in two separate courses, and lying to instructors or school administrators are specifically prohibited. Knowingly permitting copying or other participation in dishonest behavior is also a violation.

In March 1984 the Bloomington Faculty Council approved "Policy on Academic Dishonesty: Indiana University Bloomington." Because of its importance to doctoral candidates, as students and instructors, it is printed in its entirety below:

Policy on Academic Dishonesty: Indiana University Bloomington

Because academic integrity is fundamental to the intellectual life of the University and to the self-esteem and education of the individual student, the Bloomington Faculty Council adopts the following provisions to promote academic integrity:

Academic integrity is a basic principle which requires that students take credit only for ideas and efforts that are their own. The following acts of academic dishonesty violate that principle. They undermine the bonds of trust and cooperation among members of this community and between us and those who may depend upon our knowledge and integrity. Therefore they are prohibited.\(^1\)

Part 1 Substantive Provisions

1. **Cheating** A student must not intentionally use or attempt to use unauthorized materials, information, or study aids in any academic exercise.

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\(^1\) Portions of the following material were drawn from the University of Maryland's Code of Academic Dishonesty, which in turn drew upon Gary Pavela, "Judicial Review of Academic Decision Making after Horowitz," NOLPE [National Organization on Legal Problems in Education] School Law Journal 8:55, 1978.
A. A student must not use external assistance on any "in class" or "take home" examinations, unless the instructor specifically has authorized such assistance. This prohibition includes (but is not limited to) the use of tutors, books, notes, and calculators.

B. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the present instructor.

C. A student must not allow others to conduct research or to prepare any work for him or her without advance authorization from the instructor. This prohibition includes (but is not limited to) commercial term-paper companies and files of past papers maintained in a residence unit.

D. Several people must not collaborate on a single project and turn in multiple copies, all represented implicitly or explicitly as individual work.

II. Fabrication A student must not intentionally falsify or invent any information or citation in an academic exercise.

III. Plagiarism A student must not intentionally adopt or reproduce ideas, words, or statements of another person without acknowledgment.²

"A student must give due credit to the originality of others and honestly pay his literary debts. He should acknowledge indebtedness:

1. Whenever he quotes another person's actual words;
2. Whenever he uses another person's ideas, opinion, or theory;
3. Whenever he borrows facts, statistics, or other illustrative material—unless the information is common knowledge.⁴

IV. Interference A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes (but is not limited to) the theft, defacement, or mutilation of common resources so as to deprive others of the information they contain.

V. Facilitating Academic Dishonesty A student must not intentionally or knowingly help or attempt to help another to commit an act of academic dishonesty.

Part 2 Penalties and procedures

An act of academic dishonesty, even a first offense, places the student in jeopardy of the most severe form of sanction—expulsion from the university.²

² Hobart College, Faculty Regulations
I. A faculty member who has evidence that a student is guilty of an act prohibited in Part 1 shall initiate the process of determining the student's guilt or innocence. No penalty shall be imposed until the student has been informed of the charge, has been informed of the evidence on which it is based, and has been given an opportunity to respond.

II. If a faculty member finds the student guilty, he or she shall assess a penalty. In a classroom situation, the penalty for a significant violation under Part 1 of this policy normally will be the removal of the student from the course with a grade of F; less severe penalties may be imposed at the discretion of the instructor for minor violations. If the penalty includes a grade of F in the course, the grade will be identified for the Registrar as having been given for academic dishonesty. The Registrar will take the necessary steps to place the grade on the student's permanent academic transcript. The transcript will not reflect the reason for the grade, but the Registrar will take the steps necessary to prevent the F from being removed from the transcript by use of either the F/FX policy or a declaration of academic bankruptcy. The F will be calculated into the student's grade point average, but it shall not prevent the student from repeating the same course for credit. In an extra-classroom situation, including but not limited to an honors thesis for undergraduate students and comprehensive examinations, qualifying examinations, master's theses, and doctoral dissertations for graduate students, the penalty may be (a) the grade of F subject to the same provisions applicable to an F in a course in a classroom situation or (b) suspension from the degree program, pending subsequent reviews.

III. When the penalty affects a student's grade or evaluation in a course or extra-classroom situation, the faculty member promptly shall report the case in writing to the departmental Chairperson with copies to the student, the academic head of the school or division in which the offense occurred, the Dean of Faculties, and the Dean of Students. This written report shall indicate the current disposition of the case and may include recommendations for further penalties. A form which may be used for this purpose shall be available in all units.

IV. The faculty member's report shall be reviewed by the Chairperson of the department and by the academic head of the school or division.

V. The academic head of the school or division shall consult with the Dean of Students concerning the student's possible previous record of academic dishonesty, in order to determine the appropriateness of further penalties whether or not these were recommended by the faculty member reporting the case. If other penalties—such as probation, suspension, or expulsion—are deemed appropriate, the academic head of the school or division shall recommend them to the Dean of Students for action.

4 The term "faculty member" shall be understood to include associate instructors who are in the position of assigning final grades for students' work. In situations where an associate instructor determines the grade but the grade is reported by a faculty member directing and/or teaching the course, the responsibility for assessing the penalty within the course will be shared by both instructors. In any case where academic dishonesty occurs, an associate instructor is encouraged to consult with the appropriate supervisor in his or her academic unit.
VI. After considering any recommendations made by the academic head of the school or division, the Dean of Students may impose the disciplinary penalties he or she determines to be appropriate. The Dean of Students also may initiate disciplinary action for any act of academic dishonesty. The Dean of Students shall send a report of the final disposition of a case of academic dishonesty to the academic head of the student's own school or division, to the academic head of the school or division where the incident which gave rise to the case arose, and to the faculty member who initiated the process.

Part 3 Appeals

I. If the student wishes to appeal the penalty or to dispute the findings, he or she must present the appeal to the departmental Chairperson (or academic head of the school or division, if the faculty member assessing the penalty is the departmental Chairperson). The student and the faculty member shall present their respective cases to the Chairperson who shall call a meeting of all involved parties.

II. In the case of an academic sanction, either the student or the faculty member may appeal the decision of the Chairperson to the academic head of the school or division and the decision of the academic head to the Dean of Faculties. The Dean of Faculties shall attempt to mediate the conflict. If mediation fails, the Dean of Faculties shall convene an ad hoc campus-wide academic review board consisting of three faculty members appointed by the Nomination Committee of the Bloomington Faculty Council and two students recommended by the student body president. The ad hoc committee shall hear all testimony pertaining to the case, consider all relevant evidence, and make a recommendation to the Dean of Faculties. The Dean of Faculties shall resolve the appeal and send a report of the final disposition of the appeal to the Dean of Students.

III. In the case of both an academic and a disciplinary sanction, the Dean of Faculties and the Dean of Students will attempt to mediate the conflict. If mediation fails, they shall convene a joint committee consisting of members of the Dean of Students' hearing commission and the Dean of Faculties' ad hoc campus-wide committee. The joint committee shall hear all testimony pertaining to the case, consider all relevant evidence, and make recommendations to the Dean of Faculties and the Dean of Students. The Dean of Faculties and Dean of Students shall resolve any appeal of the issue of the student's guilt or innocence in accordance with the recommendation of the joint committee. The Dean of Faculties shall resolve the appeal of academic sanctions, and the Dean of Students shall resolve the appeal of disciplinary sanctions.

IV. At all stages of the appeal process, the student and the faculty member may each be accompanied by an advisor of his or her choice.

Implementation of Policy  Departments and schools are encouraged to hold faculty meetings to discuss typical problems of academic dishonesty and strategies for dealing with them. Heads of departments and schools should
inform associate instructors of appropriate procedures for dealing with cases of academic dishonesty.

Students who wish to report an act of academic dishonesty should contact the instructor or the Dean of Students’ Office, which may then refer the report to the appropriate department or school.

The Dean of Students’ Office is encouraged to collect reports of cases in which findings of academic dishonesty have been adjudicated. This will permit the maintenance of an accurate, cumulative record on each student. The Dean of Students also is urged to make an annual report on academic dishonesty, which report should include a statistical summary of cases, dispositions, and penalties, and to deliver the report to the Dean of Faculties and the members of the Educational Policies Committee and the Student Affairs Committee of the Bloomington Faculty Council.

**Integrity in Graduate Study**

The following statement was distributed by the Graduate School on May 24, 1984. It is reprinted here in its entirety.

**Introduction**

The question of integrity in scientific research is one which has received considerable attention not only in academic circles but also in the news media. A few notorious cases of fraud have recently made all of us in higher education especially sensitive to our vulnerability on this issue. These cases, largely in the sciences, have often come to light when attempts to replicate some of the work have failed. In the social sciences, and to a larger degree the humanities, a second problem, that of plagiarism, assumes greater prominence. A third area is that of cheating, which is the case of qualifying examinations, pertains only to graduate students. A fourth, often a murky area in which the integrity of graduate study is open to criticism, involves abuses of confidentiality. And finally, a fifth area is that in which conflicts of interest arise in relationships between faculty members and students.

Although the ethical decisions involved in maintaining integrity in their work may seem very clear to some graduate students, they may not appear to be so clear to others, and some, possibly very few, may not even be aware that there is a potential for problems with integrity in research. For these reasons and to help its constituent units in the event that fraud, plagiarism, cheating, abuses of confidentiality, or conflict of interest should arise, the Graduate School has prepared these guidelines.

**Fraud**

Fraud usually involves the student's intentional and deliberate misuse of data in order to draw conclusions that may not be warranted by the evidence. Falsification of results generally takes one of two forms: (1) the sheer fabrication of data, or (2) the fraudulent omission or concealment of conflicting data for the purpose of misleading other scholars. An intermediate form, difficult to detect especially in quantitative analyses, occurs when students are
sloppy about categorization. All researchers, irrespective of discipline, can agree that the sheer fabrication of data is fraudulent, and all scientists, as well as most social scientists and humanists, can agree that the deliberate omission of conflicting data is also fraudulent. But a few social scientists and many humanists might argue that one person’s conflicting data is another person’s irrelevant data. In general, in these latter disciplines, the best researchers are those who come to terms with any piece of evidence that others may regard as conflicting. Strong support for a given hypothesis involves disposing of or dealing with alternative hypotheses.

The best insurance against fraud in graduate student research is, of course, the careful and close supervision of the faculty advisor as well as the examples of other members of the academic community. The student should communicate regularly and frequently with his or her major professor. He or she can do so in a variety of ways—by submitting laboratory notebooks for frequent review by faculty, by having faculty monitor the student’s reading in the field, by regular updating of the faculty advisor on one’s progress, or a combination of these or some other. Such communication will help the student develop intellectually and lessen the possibility of fraud. If a student is suspected of fraud, the academic community should handle the matter forthrightly but always with a clear regard to the rights of the graduate student so that the career of a student researcher who may be innocent is not damaged. Similarly, if graduate student fraud is verified, it must be adjudicated in accordance with those procedures outlined in the Students’ Bill of Rights and the Faculty Handbook.

Plagiarism

Unlike fraud, which is usually the deliberate creation of false data, plagiarism is the use of another’s words, ideas, or creative productions which are then passed off as one’s own without proper attribution (giving due credit to the original source). Flagrant cases of plagiarism, which like fraud fortunately occur seldom, may involve the extensive use of others’ articles, books, or creative productions with perhaps only slight modifications. The penalties here are usually very severe for the student and would likely result in expulsion from Graduate School or, if a degree has already been earned, rescinding of that degree. Less extensive cases of plagiarism can be either intentional or unintentional (just plain carelessness or ignorance of the commonly accepted rules). In general, one must cite one’s authorities in the text or, more commonly, in the footnotes and use either direct quotations or basic information about our disciplines comes from outside ourselves through a variety of sources common to all who work in a discipline, it is of course unnecessary to footnote those facts and ideas which are, so to speak, in the common domain of that discipline. Otherwise, we would be footnoting everything we know. But an intimate familiarity with the literature of the discipline, or a subdiscipline thereof, lets one know when the distinctive words or ideas of another researcher should be given proper attribution. The fairly common practice among natural scientists of citing the previous significant literature relating to the subjects of their articles or books serves as something of a safeguard against plagiarism which is frequently not present in some social sciences and most arts and humanities disciplines.

Every graduate student who works with graduate faculty should have a comprehensive knowledge of what constitutes plagiarism. Ignorance of the concept of plagiarism on the part of the student is no excuse at the undergraduate level. Graduate students, if in any doubt about the concept,
should discuss plagiarism with faculty members. And students should expect faculty members and departments to demand that they know what constitutes plagiarism.

There are problems, however, not always associated with traditional perceptions of plagiarism. One of these is the danger, when borrowing from the works of others, of quoting, paraphrasing, or summarizing the material in such a way as to misrepresent what the author is trying to say. A second problem arises when a student is overly dependent on the work of another, even if the other is cited meticulously. Still another problem is plagiarizing oneself by submitting the same data or findings in more than one article or by reviewing the same book in two different journals. And, finally, there is the problem of a graduate student’s findings being used by his or her mentor without proper attribution to the student either in the article or book, indeed of not giving credit for joint or co-authorship in articles or books where a substantial amount of the work is done by the student. The student should discuss any perceived problem of this nature with the faculty member involved, the chair of the department, or, if need be, the Dean of the Graduate School.

In nearly all of these instances of plagiarism, or variations thereon, the best preventive is the example and consultation of the faculty advisor and the rest of the academic community who are sensitive to all of these nuances. Again, as with cases of fraud, Indiana University should handle any suspicion of plagiarism with due regard to the student's rights, and any detection of plagiarism should be adjudicated in accordance with those procedures outlined in the Students' Bill of Rights and the Faculty Handbook.

Cheating

Cheating at the graduate level may not differ morally from the same action on the undergraduate level, but many find graduate cheating more reprehensible and the consequences, understandably, more severe. Academic dishonesty for one whose presence in graduate school declares he or she has opted for the intellectual life is a serious matter indeed. While cheating in the classroom is covered by regulations emanating from other parts of the University, cheating on qualifying or preliminary examinations is not. At the very least such dishonesty, once proven, should result in failure of the examination.

Abuses of Confidentiality

Abuses of confidentiality by graduate students can take various forms. One example is that in which students have access to data or unpublished papers--or, in the case of natural scientists, grant proposals--of other graduate students or faculty members which they then use in their own research without permission, even though proper attribution may be made. Another example of the abuse of confidentiality is that--often in the arts, the humanities, and the social sciences--in which the graduate student gains archival or library materials about living or recently living subjects and uses them in his or her research without permission from the library or archive or in some cases from the individual. A biological and medical science student also must address himself or herself to the issue of research on live subjects.

In some ways confidentiality is one of the forms of integrity which is relatively easy to abuse and relatively difficult to detect. Once again, as with fraud and
plagiarism, the example of the graduate student's mentor and that of the rest of the academic community is the best preventive.

Conflicts of Interest

Genuine conflicts of interest between graduate students and faculty members can arise in a variety of ways. We have already alluded to the problems that can occur when the research of a graduate student is inadequately acknowledged by faculty either by failure to footnote properly or to give co-authorship credit. But another set of professional interpersonal relationships must be handled with great care if the integrity of graduate study is to be preserved. As continuing formal education becomes more common and as academics begin to become involved in the world of business, the possibility of a business relationship between student and teacher becomes greater. All of us are familiar with the kind of conflict of interest that may arise through nepotism, that is, when a person serves in an administrative or supervisory relationship to those who are related to him or her by blood or marriage. Most universities have rules which try to regulate professional relationships in such cases. Many faculty members are reluctant to have their own sons, daughters, or spouses take their courses for credit on the grounds that such students may be perceived by others to have an unfair advantage. A business relationship including a consulting one must evoke the same kind of caution.

Similarly, a student should not date an instructor while the student is enrolled in the instructor's course. And, of course, it goes without saying that a student should not ask any instructor to serve as his or her thesis or dissertation director (or research committee member) if the student is having or has had either an intimate personal relationship, a family relationship, or a business relationship with that instructor. If such a relationship should develop after a professional one has been established, the student should expect the instructor to remove himself or herself from the professional role. Such a relationship, whether between a graduate student and a faculty member or between a graduate student acting as an associate instructor and an undergraduate, constitutes a potential conflict of interest, especially as perceived by other students and faculty members, and, therefore, should be scrupulously avoided.
Section 6. Key Contacts for Doctoral Students

Doctoral Programs Office

Chairperson, Doctoral Programs
Dr. Kurt Bretthauer
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Email: kbrettha@indiana.edu

Doctoral Programs Assistant
Mrs. Brenda Crohn
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Office of the Dean

Dean, Kelley School of Business
Dr. Daniel C. Smith
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Associate Dean, Faculty and Research
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Associate Dean, Academic Programs
Dr. Frank Acito
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Assistant Dean, Finance and Operations
Teresa Kase
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Kelley School Doctoral Policy Committee

Members of the Doctoral Policy Committee for the 2008-09 academic year include faculty representing the various fields and an elected student representative. The faculty also serves as doctoral advisors for students completing majors or minors in their departments.

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**Operations and Decision Technologies**
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Department Chairpersons

Department Chairpersons in the Kelley School of Business with doctoral majors include:

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**Business Economics and Public Policy**
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