



PennState
Smeal College of Business

2019

Penn State

Smeal Ph.D. Program:

A Guide for Students and Faculty

This guide can be found online at:
<https://phdstudents.smeal.psu.edu/academic-resources/ph.d.-program-guide>

*Revised in accordance with the 2001-2002 Ph.D. Renewal Committee Recommendations as approved by the faculty of the Smeal College of Business Administration. This replaces all previous guides. This guide is intended for students currently enrolled in the doctoral degree at Smeal, and for advisors, department chairs and others who need a handy reference to the philosophy and policies governing the Smeal Ph.D. Program. The information presented in this guide supplements but does not replace the information concerning general Graduate School requirements contained in the **Graduate Bulletin** available on line at:
<https://bulletins.psu.edu/graduate/>*

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*Note that Form C: Qualifying Examination, Form D: Doctoral Committee Appointment Signature, Form H/K: Comprehensive Examination Request and Final (Dissertation Defense) Examination Request are all limited access forms and are available in the Ph.D. / M.S. office. Form C may NOT be handled by students. The expectation is for forms to be returned to the Ph.D. / M.S. office as soon as possible after the event or evaluation and no later than 30 days after the event or evaluation has been completed.

University Policies and Regulations

Co-Authorship of Scholarly Reports, Papers and Publications <https://policy.psu.edu/policies/ip02>

Conflict of Interest <https://policy.psu.edu/policies/hr91>

General Standards of Professional Ethics <https://policy.psu.edu/policies/ac47>

Handling Inquiries/Investigations into questions of Ethics in Research and in Other Scholarly Activities
<https://policy.psu.edu/policies/rp02>

Public Service and Political Endorsements by Members of the Faculty and Staff
<https://guru.psu.edu/policies/OHR/HR35.html>

The Protection of Human Research Subjects <https://www.research.psu.edu/education>

The Use of Human Participants in Research <https://policy.psu.edu/policies/rp03>

The text of these policies is accurate as of the date indicated on the bottom of each policy, but is subject to periodic revision. Refer to respective policies in the University Policy Manual (<https://policy.psu.edu>).

What is a Ph.D. Degree at Smeal?

The doctoral degree in business administration has one focus: To prepare students for careers as professors at leading business schools worldwide. We do not admit students who intend to return to industry, become consultants, or pursue primarily teaching careers. The Ph.D. degree is not for part-time students, nor is it a "turbo-charged M.B.A."

During the doctoral program, students focus intensively on learning how to do research, reading research articles, collaborating with professors on research projects, and embarking on their research careers. In the Smeal College of Business at Penn State, we believe that good researchers make good teachers. People who are at the leading edge of knowledge development are the ones who bring excitement and learning into the classroom. Thus, in developing skills as a world-class researcher, doctoral students also develop their ability to contribute to the education of others.

What Makes Smeal Different?

The internationally recognized faculty at Smeal is deeply committed to research and to Ph.D. education. Our research spans a broad range of topics. Students with particular areas of research interest should begin research collaboration with relevant faculty as early as possible in their programs.

At Smeal, unlike many other business schools, the faculty is not spread miles apart or many hours away. Instead, the faculty is close by, available and dedicated to spending time in interactions with Ph.D. students. Starting in the first semester in the Ph.D. program, students are encouraged to work closely with faculty on current research projects. From these projects, jointly authored papers are submitted and published in each field's top journals. A recent graduate summed up the orientation we have to Ph.D. education as follows:

"I would like to conclude with letting you know what I think was the strongest positive in the program at Penn State. I am referring to the major commitment towards the Ph.D. program by the faculty and the department as a whole. I am currently very involved in the program here, and it takes up a tremendous amount of time. I have also come to realize that this time commitment is not shared by that many faculty nationwide. However, Penn State was different. I am appreciative of the support that I received ... Thank you."

For these reasons, we keep our program deliberately small -- maintaining close to a one-to-one ratio of students to faculty. We provide a flexible set of courses to fit with student interests.

Once they acquire the skills and motivation to do so, Ph.D. students are also encouraged to follow their own research interests rather than be compelled to follow a particular faculty member's interests.

We believe a Ph.D. program should provide a supportive, nurturing environment. Our goal is to make students successful scholars and help them get positions at top research universities. We realize that the best advertising for a world-class Ph.D. program is having superior graduates. Our students have won many national and international grants, awards, and honors. They have gone on to take academic positions at top institutions (see Placement and Careers below).

As part of that environment, we support our full-time students with a competitive financial package that includes tuition waivers, stipends, subsidized health insurance, and support for travel to academic conferences (for students who are either presenting a paper at one of the major conferences in their field or attending a conference in their final or “market” year for the purpose of interviewing with schools). Financial support is offered on a continuing basis through scholarships or assistantships for up to 5 years, as long as students are making satisfactory progress as specified in the Ph.D. Timeline (found in this guide) and toward placement at a top research university, as assessed by the department and the college. We want to do whatever we can to foster success in students’ academic careers. Reducing financial roadblocks helps us reach that objective.

Placement and Careers

Our goals at Smeal are to place our Ph.D. students in the top research institutions in the world, and to ensure they have the tools to make major contributions to their scholarly fields. We have prepared and placed researchers in many such institutions, in each of our major fields. For example, in the last five years, Smeal students have taken positions at schools such as the Indiana University, the University of Texas at Austin, Texas A&M – College Station, The Ohio State University, the University of Notre Dame, the University of Illinois at Urbana-Champaign, Cornell University, Purdue University.

Financial Aid and Support

Assistantships

The Smeal College's academic departments offer graduate assistantships to students admitted to the doctoral program. A graduate assistant receives a cash stipend plus a full tuition waiver. Graduate assistants typically work twenty hours per week. If satisfactory progress is being made, they receive the assistantship support for up to five years.

Both research and teaching assistantships are used to support doctoral students. During the typical five-year program, students making satisfactory progress toward top 50 academic placement will be supported for at least six fall and/or spring semesters as a research assistant with no teaching duties. For example, a student might teach fall and spring semesters for two academic years and have the other three academic years free of teaching. The exact pattern and amount of teaching experience will be arranged with each student by the academic department.

Students on a half-time Graduate Assistantship are expected to be enrolled at Penn State as degree-seeking graduate students and are expected to take between 9-12 credits as a half-time graduate assistant.

See <http://gradschool.psu.edu/graduate-education-policies/gsad/credit-loads-graduate-assistants/> for additional information on questions about credit loads and academic status, including credit loads for international students.

Fellowships and Awards

Within the college there are competitive awards made on the basis of outstanding academic merit to incoming or continuing students including the following:

- Frank P. and Mary Jean Smeal Endowment Fund Scholarship
- Robert W. Graham Endowed Graduate Fellowship
- University Graduate Fellowship
- Jeanne and Charles Rider Graduate Fellowship
- Edward and Susan Wilson Graduate Scholarship in Business
- Peter E. Liberti and Judy D. Olian Scholarship in the Smeal College of Business
- Ossian R. MacKenzie Doctoral Award
- William A. and Joan L. Schreyer Graduate Scholarship
- Gerald P. and Joyce Kessler Graduate Scholarship in the Smeal College of Business

Please note that to continuously receive enhancement funds from Smeal, students must successfully complete the Ph.D. Timeline requirements for the current academic year, as specified in the Ph.D. Timeline section of this document. Any student who falls more than one semester behind the Ph.D. Timeline requirements may lose their eligibility for continued enhancement funding for successive semesters.

The Graduate School provides Alumni Association Awards on a competitive basis to Ph.D. students who have passed their comprehensive exams and who have received approval of the dissertation topic. Additional information may be found at <https://www.gradschool.psu.edu/graduate-funding/fellowships/programs/aada/> and doctoral advisors can also provide more information about this program. Other Graduate School awards that may be applicable to Smeal Ph.D. students (such as the Harold F. Martin Graduate Assistant Outstanding Teaching Award) may be found

at <http://gradschool.psu.edu/graduate-funding/fellowships/programs/gradteach/?mobileFormat=false>

Additional information about Smeal Scholarship/Fellowship Opportunities may be found at <https://phdstudents.smeal.psu.edu/scholarship-fellowship-opportunities>

Summer Tuition Assistance Program (STAP)

Purpose

The Graduate School provides tuition support during the summer session for students who meet the eligibility and registration requirements listed below. Applications will be accepted on a rolling basis while funds last and will be considered in the order in which they are received. Please note that applications filled out incorrectly or incompletely will not be considered.

Eligibility Criteria

Graduate students must meet at least one of the following:

- appointed on a teaching or research assistantship during the previous Fall AND Spring (for a maximum tuition award of nine credits during summer)
- appointed on a graduate fellowship during the previous Fall AND Spring (for a maximum tuition award of nine credits during summer)

Course Requirements

- Students must register for appropriate coursework or research credits. Courses that qualify for STAP are limited to: 1) those that may be applied towards the credit requirements for a graduate degree (i.e., courses at the 400-level or above); 2) English as a Second Language (ESL) skills courses required for international graduate students; and
- Foreign language skills courses required by the student's program. In all cases, courses must be required and approved by the student's graduate program.
- No "hobby courses."
- Students will be billed for audits, which cannot be used to satisfy degree requirements and unapproved registrations.
- STAP is approved only to cover resident instruction and World Campus coursework.
- Students who are taking their Comprehensive or Final exam during summer semester MUST be registered for summer semester. Please register for one (1) credit of 600; 601 if you are international. For those taking their Final exam, please register for first summer session whenever available to allow time for grades to be assigned and submitted in time for approval to graduate.

Application Process

- 1) Consult with your advisor for the appropriate coursework during the summer.
- 2) Schedule your courses on LionPATH (<https://lionpathsupport.psu.edu/>). The STAP application cannot be processed until courses are scheduled.
- 3) Complete the online STAP application. (<https://secure.gradsch.psu.edu/stap/>)
- 4) You will receive an email notification approving or denying your application. If you do not receive an email notification, please contact Brittany Walk (bnb5007@psu.edu) in the PhD Office.

- 5) Finalize your registration by filing your bill via LionPATH or returning your bill to the Bursar's Office by the designated due date.

Ph.D. Student Conference Travel

Financial support from the Ph.D. Program can be provided to doctoral students who are either presenting a paper at one of the major conferences in their field or attending a conference in their market year in the program for the purpose of interviewing with schools. The Ph.D. Office will pay up to 50% of expenses, or no more than \$1,500 in total expenses. This request must be made and approved *in advance* of the travel. The procedure can be found at <https://phdstudents.smeal.psu.edu/academic-resources/travel.html>

Ph.D. Program Governance

Many people are here to guide students through their programs of study. Students must satisfy requirements of the Graduate School as well as requirements of The Smeal College and the departmental committee. The first step is to meet with The Smeal College Ph.D. programs office staff to review policies and procedures such as satisfactory scholarship, residence requirements, and continuity of registration. This meeting typically takes place during orientation before the beginning of the first semester in the program. Next, departmental advisors meet with students to determine if they have satisfied foundation requirements and to help them design programs of study that will meet both individually-tailored requirements and the requirements of the College and the University.

As students make their way through their coursework, they will identify faculty mentors with whom they will work individually. These faculty members may later become part of a student's doctoral committee and will help guide students through the benchmarks of the program. These benchmarks (described below) include the qualifying exam, the research paper requirement, the comprehensive exams, and the dissertation process.

The Ph.D. program in the Smeal College of Business is directed by the Senior Associate Dean for Research and Director of Ph.D. Programs in collaboration with the Ph.D. Coordinators Council (representing each of the departments in the college that offer doctoral specializations), the department chairs, and the Ph.D. committees that guide students' progress toward completion of the doctorate.

Overall governance of the graduate program is provided by the Dean of the Graduate School, the Dean of the Smeal College, and the Senior Associate Dean. The Ph.D. Program Director is the officer in the Smeal College who is primarily responsible for all aspects of the Ph.D. program, including admissions and the maintenance of scholarly and professional standards.

To help coordinate processes across the college, the Ph.D. Director may meet with the departmental Ph.D. coordinators during the year to discuss best practices, challenges, identify opportunities for shared activities, and plan program innovations.

Departmental Annual Report

Each department in the college prepares an Annual Report to be submitted to the Ph.D. Director by June of each year detailing the state of the Ph.D. program during the year including: program innovations, student and advisor accomplishments, and in particular the following metrics: number of students in the program, progress of each student toward graduation, placements, publications and presentations by doctoral students, and other relevant information.

Student Activity Report

In preparation for this annual report, the departments will require each student to provide a Student Activity Report (SAR). The SAR is distributed to PhD students via email each spring and also used for annual reporting.

The purposes of the Student Activity Report are to prompt students to take stock of progress; to facilitate planning of activities during the coming years; to help the departments and the college make informed decisions during the annual student progress evaluation process; and to generate data for departmental reporting.

Each student must prepare this report every year by the deadline set by your department (no later than the end of the spring semester). The report specifies the student's activities in the past year: including courses taken; teaching accomplishments including student ratings; research presentations (at departmental seminars and professional conferences); milestones completed; conferences attended; and other topics such as awards, papers, and choice of research advisor/topic.

The SAR must also include a narrative on future plans: courses, choice of research advisor/topic, schedule for future milestones, planned conference presentations and attendance, and so on. The SAR must be used in each student's annual evaluation by the department.

Scholarship Requirements of the Ph.D. Program

Competency Requirements

Embarking on doctoral study in business administration presumes that students have developed the following competencies:

- **Computing:** working knowledge of a general-purpose programming language, and hands-on experience in writing, debugging, and running computer programs;
- **Mathematics:** knowledge of linear algebra and introductory calculus;
- **Statistics:** knowledge and skill at least in the introductory level in topics such as descriptive statistics, probability, hypothesis testing, analysis of variance, correlation, regression, and chi-square.

Some departments have additional requirements. If students require additional work in any of these competency areas, they must consult the departmental advisors concerning the appropriate remedies. These remedies include (but are not limited to) taking college-level courses prior to starting the doctoral program or signing up for the optional, but highly recommended mathematics preparatory camp offered prior to the start of the fall semester. The preparatory camp covers basic mathematical and statistical concepts. The content includes: real analysis, calculus, linear and matrix algebra, optimization, probability theory, statistical distributions, linear models, classical inference, stochastic processes, Bayesian inference and game theory. Depending on a student's background, this course may or may not be required. Ph.D. advisors should carefully assess and advise incoming students concerning whether to take this preparatory camp.

It is the departmental Ph.D. advisor's responsibility to examine academic transcripts to determine if and how competency expectations are met. Form A: Competency Requirements must be completed and filed with the Ph.D. / M.S. Office in the Smeal College during students' first semester in the program.

English Standards Requirement

In 1981, the Penn State Faculty Senate passed legislation mandating that all international graduate students who have been offered teaching assistantships take and pass an oral language proficiency test. The Commonwealth of Pennsylvania passed similar legislation under Act 76, the English Fluency in Higher Education Act.

All non-native English speakers, including U.S. citizens, who plan on becoming an international teaching assistant (ITA) at Penn State must take Penn State's American English Oral Communicative Proficiency Test (AEOCPT). This test is administered at the beginning of each semester (January, June, and August) by the Department of Applied Linguistics. The score you receive on this test will determine when you may assume teaching duties as a teaching assistant. Scores range from 0-300. A score of 250 or higher allows an international student to assume teaching responsibilities with no restrictions. Scores under 250 require additional coursework, therefore it is highly recommended that this test be taken early in your program to allow time for the additional coursework, if needed. If taken, this score is recorded on line 1 of Form B (English Standards Requirements). If coursework is needed, this is recorded on lines 2 and 3 of Form B, with the writing task (typically the second year paper) recorded on line 4.

In addition, the Graduate School has established English Competence Requirements see <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-605-english-competence-research-doctorate/?mobileFormat=false>. All doctoral candidates must establish competency in this area by the end of their third year or before taking the oral portion of the comprehensive examination, whichever comes earlier. To meet the competency requirement, the Graduate School requires that students complete a course in writing, a course in oral communication with a grade of at least a B, and that students complete a writing task. Completion of the Research Paper Requirement together with the oral presentation of the paper can be used to satisfy this requirement, and this is documented under the exemption request section on Form B. The exemption may be satisfied through writing and presenting the second year paper.

Scholarship and Research Integrity (SARI) Program

The SARI program at Penn State is designed to offer graduate students a comprehensive, multilevel training in the responsible conduct of research (RCR). This is accomplished through a two-part program: an online course to be completed by September 30 in the first semester of graduate study, followed by five hours of discussion-based RCR education.

The online course can be accessed through the website for the Office of the Vice President for Research at Penn State at <https://citi.psu.edu/>. You will need to complete the module on “Social and Behavioral Sciences, Responsible Conduct of Research Course”. Once you have completed all the quizzes in the online course, you will be given a link to a completion certificate, which you will need to download, print and submit to the PhD Office to receive credit for completion in your program. Please note that students must earn 80% overall for the CITI course to earn credit for SARI (some individual quiz scores may be less than 80%).

Teaching Skills and Professional Development

It is important that doctoral students develop themselves as teachers and scholars, so that upon graduation they are ready to take positions as professors at leading business schools. Scholars develop knowledge through their research, but they also must be able to communicate knowledge to others and to conduct themselves as professional educators. Students will develop communication and professional skills throughout the program. The following two skill development requirements are mandatory for all students.

- **Teacher Training Mini Camp.** This must be taken before a student teaches in the college for the first time. This intensive experience is offered prior to the start of the spring semester; the timing by program year may vary, so please check with your department. It is designed to help students acquire and master the skills necessary to succeed in the classroom. If a student has had prior training in college teaching at a U.S. institution, that student can request a waiver from this mandatory course by asking the departmental Ph.D. advisor to approve an application for a waiver to Director of the Ph.D. program who will make the final decision. The waiver must be supported by the student’s department.
- **BA 591: Applied Communications.** This is a one-credit course students must take by the sixth semester in the Ph.D. program (spring semester of the third year in the program). It covers topics intended to develop oral and written communication strategies to succeed in professional academic contexts.

A student may request a waiver if: 1. He/she has taken an MBA-level communication course and earned a good grade (at least A-), then the PhD Director will grant the waiver, or 2. If the student has not taken an MBA-level communication course, the student must be interviewed by the instructor for BA 591. Based on the instructor's evaluation of the student's oral and written communication skills, the instructor will make a recommendation whether the waiver should be granted, and the PhD Director will make a decision based on the instructor's recommendation. In either case, the waiver request must be supported by the student's department.

Program of Study

A doctorate is earned by demonstrating a high level of competency in a specified area, not by completing a specified number of credit hours. The description of courses below is a discussion of the minimum number of credits that must be taken in certain areas. The number of credits that students actually take will be determined by their strengths and weaknesses and the requirements of the field of study. To help students plan the course of study, Form F: Program of Study must be completed and filed with the PhD/MS Programs Office in the semester in which the student completes the qualifying exam.

Note that a student must complete all requirements for the Ph.D. degree within eight years of passing the qualifying exam (see

<http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-604-qualifying-examination-research-doctorate/?mobileFormat=false>

The Supporting Field

The supporting field requirement consists of a minimum of 9 credits in at most two fields that complement the departmental (primary) field, but lie outside it. Students may choose a supporting field from any of the more than 140 programs recognized by the Graduate School. For example, business administration doctoral candidates have chosen to support their scholarship with courses from anthropology, civil engineering, computer science, economics, geography, industrial engineering, mathematics, political science, psychology, sociology, and statistics. Some students choose as a supporting field the broadly construed Behavioral Sciences Supporting Field. A student may also move beyond these established fields to create an "experimental" supporting field by showing to the Director of Ph.D. Programs that the proposed field meets the following criteria:

- at least two members of the graduate faculty possess competence in the proposed field;
- the student can present a plan proposing coursework, members of the doctoral committee, and a method to evaluate the supporting field through the comprehensive examination;
- the student can identify potential research opportunities in the proposed supporting field.

Research Methods Requirements

Students are required to take four graduate-level courses (12 credits) in research methods. At least two of these courses must be selected from the courses listed below, with the expectation that the two-course sequence follow one of the three specified tracks. Current recommendations for students in different specializations are given in parentheses, but students should check with their faculty advisors concerning which two-course sequence to take.

Economics Track. (Accounting, Finance, Insurance and Real Estate)

BA 597D/Advanced Microeconomic Analysis
AEREC 511/Econometrics II

Behavioral Track. (Management and Organization, Marketing)

MGMT 591 Organizational Research Design
MKTG 554 Research Methods in Marketing

Systems Track. (Supply Chain and Information Systems)

SC&IS 525 Supply Chain Optimization
SC&IS 516 Applied Stochastic Processes

Additional information about Ph.D. competency expectations, breadth requirements, primary field requirements, supporting field requirements, research methods field, and research paper and presentation requirements may be found at <http://gradschool.psu.edu/graduate-education-policies/>

Adding a Minor

A minor is intended to be a thoughtful and integrated part of a student's program so that a student may have a cohesive program of study and that adequate emphasis is given to the minor field. Therefore, the minor should be added to the student's record when the student's doctoral committee is formed and prior to the comprehensive examination, so that the minor may be officially added to the student's record before the comprehensive exam. Additionally, a member of the minor field must be represented on the student's Doctoral Committee for both the comprehensive and final exams. Requests to add minors to students' records are to be approved by both the minor program and the major program (specifically the Department Head or Graduate Officer) before the requests are sent to the Graduate Enrollment Services. To this end, Graduate Enrollment Services has created a "Request to Add Minor" form found on their website at <https://gradschool.psu.edu/forms-and-documents/ges-owned-forms-and-documents/addgrminorpdf/>

More information about minor field requirements may be found at <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/minor-research-doctorate/>

Principles and Guidelines for Evaluation Processes

The (1) Qualifying Examination, (2) Research paper and presentation requirement, and (3) Comprehensive Examination are the three main program components to assess whether a student is well suited to pursuing a research-oriented PhD. Together they seek to evaluate the students' preparation, depth of knowledge, aptitude for research, and creativity needed to initiate and complete a high quality dissertation.

Departments must apply consistent and rigorous standards at each stage and must not hesitate to counsel students who do not meet these standards to pursue alternative programs. To meet these objectives:

These three requirements must be completed as early as possible. The qualifying exam, research paper, and research presentation have university and college-specified deadlines. Departments should strongly encourage students to complete their comprehensive exams by the third year.

For all three stages, the department must approve the examination/evaluation committee. The committee must ensure high and consistent standards. The committee for the Comprehensive examination is the student's Doctoral Committee.

Research advisors can provide valuable inputs as members of these exam or evaluation committees. However, they should avoid identifying too closely with the student and must recognize that decisions regarding a student's performance are made by the department (represented by the exam or evaluation committee).

At each stage (oral or written), departments must ensure that multiple faculty are involved in the evaluation of student performance.

After each milestone, the department should provide detailed feedback to each student on their written, oral, and research skills -- indicating areas of improvement, concerns, constructive suggestions, etc.

Departments can develop their own internal processes for evaluation at these three stages, subject to the university, Graduate School/Graduate Council, and college requirements. Departments are strongly encouraged to publicize and discuss these processes with all incoming students so that all students are well informed about the expectations, evaluation criteria, and examination protocols.

Qualifying Examination

By the end of the student's second semester, the student, in consultation with the Ph.D. student advisor, must form a qualifying examination committee consisting of at least three graduate faculty members of the departmental field. In some cases, the department will determine the qualifying committee. The Department Chair must approve the qualifying committee. The qualifying committee, through the qualifying examination process, is charged with assessing whether the student demonstrates the potential to complete the Ph.D. degree requirements and excel in doctoral research. The qualifying committee must also assess the student's English language and communications competency via Form B.

Because it identifies strengths and weaknesses, the examination helps in planning the student's course of study. The examination may be given after at least 18 credits have been earned in graduate courses beyond the baccalaureate. The examination must be taken within three semesters (summer sessions do not count) of entry into the doctoral program. At the time of the qualifying examination, the student must be in good academic standing with no missing or deferred grades appearing on their transcripts. Additionally, the student must be in registered status for the semester (excluding summer session) in which the qualifying examination is held. Students do not need to be in registered status if the qualifying exam is held during the summer semester.

The outcome of the qualifying examination is determined by a vote of the qualifying committee. Committee members vote to either pass or fail the student. A committee member votes to pass the student if that member is of the opinion that the student demonstrates the academic potential to complete the Ph.D. degree requirements. This opinion on the student's academic potential should be based on performance in the qualifying exam together with a comprehensive evaluation of the student's capabilities and academic progress to date (including performance in coursework). A favorable outcome requires that a majority of the committee members vote in favor of the student passing to the next stage of the program. A student should be informed of the outcome of the qualifying examination within 10 business days of the examination.

For a student who does not receive a favorable vote to pass the qualifying examination as outlined above, the student's qualifying committee will consider the option of granting the student permission to retake the qualifying examination. Such permission to retake the qualifying examination requires a majority vote of the qualifying committee. A student will be allowed to retake the qualifying examination at most one time. Normally, the retake examination occurs before the end of the third semester.

An unfavorable outcome in the evaluation process (a vote to fail on the original qualifying examination without permission to retake, or a vote to fail a retake examination) will result in termination of the student from the program.

Regardless of whether the examinee passes or fails the exam, the committee chair will report the outcome of the qualifying examination to Graduate School via the Ph.D. / M.S. office using **Form C: Report on Doctoral Qualifying Examination**. The Ph.D. / M.S. office will record the results, make a copy for the student's file and forward Form C to the Graduate School. If the examinee fails the examination, he/she will also receive written notice from the department chair, including whether he/she will be allowed to retake the examination, and a copy of this letter must accompany **Form C**.

As stated in the section on Program of Study, **Form F: Program of Study** should be completed and filed with the PhD/MS Programs Office in the semester in which the qualifying exam is completed. Note that students must complete all requirements for the Ph.D. degree within eight years of earning qualifying.

For more information on the qualifying examination, please see **Graduate Degree Programs Bulletin – Doctoral Degrees**

(<http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/qualifying-examination-research-doctorate/>).

Doctoral Committee

It is the student's responsibility to ensure that the doctoral committee is established as early as possible. The doctoral candidate is expected to establish his/her committee **within 12 months** of passing the qualifying exam. The student and the advisor will form a doctoral committee that is responsible for assessing the student's performance on the comprehensive examination and the dissertation. The doctoral committee is composed of four or more active members of the graduate faculty, with at least two members from the Smeal College, and at least one member representing a field of study outside the student's major field of study. The dissertation adviser must serve on the committee. If a student has a minor, that field must also be represented on the committee. Membership of the doctoral committee may be decided in consultation with the Ph.D. student advisor. The Department Chair must approve membership of the Ph.D. committee.

The membership of this committee must be reported to the Ph.D. / M.S. Program Office using **Form D: Doctoral Committee Request**. The form may be obtained by contacting the Ph.D. /M.S. Program Office. Once completed, the form should be submitted to the Ph.D. /M.S. Program Office. This office will obtain the Ph.D. Director's signature and forward the Doctoral Committee Appointment Signature form to the Graduate School so the committee may be reviewed and, if approved, officially appointed and recorded. Changes to the committee must be reported on the same form (**Form D: Doctoral Committee Request**) in the same manner. However, only new members and the Ph.D. Director will need to sign. The signatures of members who signed previously can be represented by printing their name on the appropriate line and writing in "signature on file" on their signature line.

If the committee appointment or revised committee is approved, the Graduate School sends the Ph.D. / M.S. office an official memo of appointment for all approved doctoral committees. The Ph.D. / M.S. office is responsible for sending a copy of this official appointment memo (for both new and revised committees) to each member of the committee. The doctoral committee will administer the comprehensive examinations (see below) and guide the student through the dissertation. No examination should take place until the Graduate School has officially approved and appointed the student's new or revised doctoral committee.

For more information on the Doctoral Committee, please see: <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-602-phd-committee-formation/>

Research Paper and Presentation Requirements

The purpose of the Research Paper and Presentation requirement is to:

- evaluate students' research aptitude;
- introduce student's early to the research process;
- increase chances of publication of research before graduation

Each PhD student must complete a written **research paper** *within two years after admission* to the PhD program. The student must then **present** the paper at an open departmental workshop or seminar within one semester of submission. The department or the college can suspend the student's funding if either of these requirements is not completed on time.

The student must work under the guidance of a *Research Paper Supervisor* (who may or may not later be the thesis advisor). The research paper supervisor will mentor the student, possibly suggesting the research topic, monitoring progress, providing ideas and feedback, and helping the student develop appropriate research, writing, and presentation skills.

The paper must substantially represent the student's work, and must be written by the student. At a minimum, the paper and presentation must demonstrate the student's ability to conduct the following tasks: define and motivate a problem area, summarize and critique the research to date in that area, and identify potential research opportunities. Evaluation of the work must be based on the student's ability to think critically and in an organized manner about a specific research problem, its relationship to the literature, approaches to addressing the problem, and perspectives on the resultant intellectual contributions.

The written paper and the oral presentation of the paper must be evaluated by a committee of at least three graduate faculty members (including the research paper supervisor) that is approved by the Chair of the Department. Approval of the written paper and presentation can be used as a means to satisfy the university's English competence and communication requirement (see **Form B: English Standards Requirements**, to be completed before the comprehensive examination). At the department's discretion, the written research paper or the presentation may also be used as part of the qualifying or comprehensive examination. First and second year students who have not yet started or completed their research paper might benefit greatly by attending the research paper presentations.

Comprehensive Examination

Different departments have different procedures for their Comprehensive Examinations. Some departments will have an oral comprehensive examination only; others will have a written and an oral comprehensive examination. Some departments' written comprehensives will be research papers, and others will be comprehensive tests. Hence, each student's departmental coordinator will explain the departmental requirements for the comprehensive exam to the student. It is important to note that a student is not eligible to register for SUBJ 601 until the semester AFTER successfully passing the comprehensive examination.

At the time the comprehensive examination is taken, regardless of whether the comprehensive examination is strictly oral or written and oral, the student must be in good academic standing (no missing or deferred grades appearing on their transcripts, no "DF" or "NG" grades on record, minimum 3.0 GPA, no more than 12 credits of 600 courses with "A", "B" or "C" grades, no provisions on record, no 601 course registration until the semester after successfully passing the comprehensive examination). Additionally, the student must be in registered status for the semester in which the examination is held – this includes summer semester. Students on a Graduate Assistantship should apply for STAP funding if taking the exam during the summer semester as the Graduate Assistantship typically does not cover tuition for summer semester.

Each student must form a doctoral committee and submit **Form D: Doctoral Committee Appointment Signature Form** to the Ph.D. / M.S. office prior to scheduling any part of the comprehensive examination; no matter how the department conducts the comprehensive examination. The Ph.D. Director will review and sign the form and the Ph.D. / M.S. office will forward that form to the Graduate School for evaluation, approval and official appointment.

If the student's department does both a written and an oral comprehensive examination, the procedure is as follows.

- 1) The student's graduate committee administers the written examination.
- 2) If the student passes the written comprehensive examination, the student should schedule the required oral comprehensive examination with the full doctoral committee as soon as possible after completing the written examination. The student will obtain **Form H/K: Examination Request Form** (request for a comprehensive examination) from the Ph.D. / M.S. office, complete the form and return it to the Ph.D. / M.S. office. The Ph.D. / M.S. office will obtain the Ph.D. Director's signature on behalf of the student. This must be done three weeks in advance of the proposed date for the oral comprehensive examination – one week for processing at Smeal plus time for interoffice mail delivery so that the form arrives at the Graduate School no later than two weeks prior to the exam to comply with Graduate School rules.
 - The Ph.D. Director will certify on Form H/K that English competency expectations and language requirements have been met. Therefore, the student will not be allowed to take the comprehensive examination until **Form B: English Standards Requirements** has been completed and submitted to the Ph.D./M.S. office.
 - At the time the comprehensive examination is taken, regardless of whether the comprehensive examination is strictly oral or written and oral, the student must be in good academic standing. Additionally, the student must be in registered status for the semester in which the examination is held.
- 3) Once approved, Form H/K will be forwarded to the Graduate School. The Graduate School will review the student's academic record and current official doctoral committee membership. If all is in order, the Graduate School will send the official comprehensive examination paperwork to the Ph.D. / M.S. office so it may be forwarded to the student's doctoral chair. The Ph.D. / M.S. office is responsible for disseminating the memo announcing the official examination to the doctoral committee members.
 - The (entire) committee will prepare and administer the examination, and evaluate the candidate's performance on the examination. At least three members of the doctoral committee (including the thesis adviser or chair) must be physically present at an oral comprehensive and at the final oral dissertation examination. The graduate student must also be physically present at the exam. (Thus, for a five-person committee, two could participate via distance.) No more than one member may participate via telephone; a second member could participate via PicTel or Skype. If a member of the committee needs to participate remotely, notify the Ph.D. / M.S. office at the time the exam form is submitted (three weeks prior to the date of the exam or as soon as possible thereafter) and the Ph.D. / M.S. office will prepare a memo for submission to the Graduate School to request the exemption.

Upon completion of the oral comprehensive examination, the student's chair must submit "The Report on the Doctoral Comprehensive Examination" form to the Ph.D. / M.S. office, who will record the examination, make a copy for the student's file and forward it the Graduate School so that it may be recorded in the university system. From this point on, the student must maintain continuous registration each fall and spring semester until the final oral examination is passed.

For more information on the comprehensive examination, please see <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-606-comprehensive-examination-research-doctorate/?mobileFormat=false>

Dissertation Proposal

Ideally, when students begin taking coursework, they will begin thinking about potential topics for their dissertations. As they add to their knowledge, their ideas will have a chance to develop and grow. If a student has taken the time to incubate a number of ideas, the student will have little difficulty in proposing a dissertation research topic for the approval of the doctoral committee.

The committee will require that the student create a formal research proposal and present it orally for their counsel and approval. At the discretion of the department, the presentation of this proposal may be open to all Smeal College graduate faculty. If so, the department will communicate the date, place and time of the dissertation proposal open meeting to the Smeal College graduate faculty. The Ph.D. / M.S. Office is notified upon successful completion of the dissertation proposal via **Form J: Dissertation Proposal Completion Report**. Please note that the proposal defense and the dissertation defense should be in different semesters. In extenuating circumstances, the PhD Coordinator may request an exception from the Ph.D. Director in writing and the approved exception will be filed in the student's file.

Best practice suggestions. Students should circulate the proposal to the thesis committee members at least three weeks before the scheduled presentation, and thesis committee members must agree that the proposal merits presentation. After the presentation, the thesis committee should discuss with the student any necessary changes to the proposal. The committee must also clearly specify to the student the dissertation expectations, needed work to develop an acceptable dissertation based on the revised proposal, timetable for completion, and any needed intermediate presentations before the thesis defense.

Dissertation Defense/Final Oral Examination

Typically, when the doctoral committee thinks that the student has a sound dissertation document, the student will obtain **Form H/K: Examination Request Form** from the Ph.D. /M.S. office, schedule a final oral examination, and submit the completed form to the Ph.D. /M.S. office three weeks prior to the proposed final dissertation defense date. The Ph.D. / M.S. office will obtain the Ph.D. Director's signature for the student, record the form, make a copy of the approved form for the student's file, and forward the form to the Graduate School for approval. This advance notice is required so that there is time to process the form at Smeal and forward it to the Graduate School so the completed form arrives at the Graduate School no later than the required two weeks prior to the exam.

The student must be in registered status for the semester in which the examination is held (including summer semester), must have maintained registration for each fall and spring semester since passing the comprehensive examination, and the student must be in good academic standing with no missing or deferred grades appearing on their transcripts. Students on a Graduate Assistantship should apply for STAP funding if taking the exam during the summer semester as the Graduate Assistantship typically does not cover tuition for summer semester. Note that if more than six years has elapsed between the passing of the comprehensive examination and the completion of the program, the student is required to pass a second comprehensive examination before the final oral examination will be scheduled.

An announcement of the dissertation defense will be made to the Ph.D. student body and the Smeal graduate faculty by the Ph.D. / M.S. office at least one week prior to the scheduled defense. The student should provide a copy of the thesis to each committee member at least one week in advance of the scheduled examination. Once the exam has been approved, the Graduate School will send the Report on the Doctoral Final Oral Examination and related memos to the Ph.D. / M.S. office, who is responsible to distribute the appropriate forms to the student's doctoral committee members.

The entire committee will prepare and administer the examination, and evaluate the candidate's performance on the examination. At least three members of the doctoral committee (including the thesis adviser or chair) must be physically present at the final oral dissertation examination. The graduate student must also be physically present at the exam. (Thus, for a five-person committee, two could participate via distance.) No more than one member may participate via telephone; a second member could participate via Skype or Zoom. If a member of the committee needs to participate remotely, notify the Ph.D. / M.S. office at the time the exam form is submitted (three weeks prior to the date of the exam or as soon as possible thereafter) and the Ph.D. / M.S. office will prepare a memo for submission to the Graduate School to request the exemption. See Final Oral Examination <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-608-final-oral-examination-research-doctorate/?mobileFormat=false> for more information about this exam.

Although this final examination will be primarily a defense of the dissertation, it may also cover the entire program of study. This examination is open to the public. As a public document, the dissertation will be made available to anyone who requests it.

A favorable vote of at least two-thirds of the members of the committee is required for passing. The results of the examination are reported by the chair of the committee to the Graduate School via the Ph.D. / M.S. office in the Smeal College. If the student fails the examination, it is the responsibility of the doctoral committee to determine whether another examination may be taken.

Best practice suggestions. The thesis defense should be publicized widely to encourage all students and faculty to attend. The departments might require a "pre-defense" presentation to the thesis committee so that the committee can suggest changes before the final open defense.

Doctoral Thesis

See the Thesis Guide <http://gradschool.psu.edu/current-students/etd/submitdissertation/?mobileFormat=false> for details in completing your thesis. You must submit your dissertation for format review by going to <https://etda.libraries.psu.edu/> and submitting your draft dissertation by the announced deadline (<http://gradschool.psu.edu/current-students/etd/thesisdissertationperformance-calendar/>) in the semester in which you plan to graduate. You will also find other graduation-related deadlines on this calendar, so it would be a good idea to keep it handy during your last semester.

After the format review, you must submit the final dissertation electronically by the announced date, along with various supporting materials that must be returned to the Thesis Office in 115 Kern (including a signed signatory page). The instructions may be found at <https://www.gradsch.psu.edu/current/thesis.html> and additional information about the Ph.D. dissertation may be found at <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/dissertation-research-doctorate/>

Family Educational Rights and Privacy Act: This act requires that graduate students be informed that their theses and papers are made available to the public. The Graduate School Thesis Guide goes into further detail on this Act.

Timeline for Ph.D. Completion

The following pages are an aid in identifying major steps in completing your Ph.D. degree at Smeal.

It is your responsibility to be aware of these steps, and to progress in a timely fashion.

The following timeline shows the latest allowable completion times; you might complete the steps earlier in your program than the timeline indicates.

The next page gives you a summary of the steps and forms that are needed in order to complete the requirements.

If you have questions about any steps, talk to your advisor or department coordinator.

Ph.D. Timeline

Name _____

PSU ID _____

Email Address _____

YEAR 1

S
U
M
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_____ Campus arrival
_____ Student orientation
_____ Math Camp (Optional)

_____ Complete online SARI training
_____ Complete AEOCPT test, if required
_____ Teaching Camp (depending on teaching schedule)

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* _____ COMPETENCY REQUIREMENTS - [Form A](#) - (Submit to Ph.D. coordinator for your department and submit completed form to the Ph.D. Office during first semester in program. Update as requirements are met.)

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_____ Student prepares annual report (SAR). Submit report to PhD Coordinator and PhD Office.

_____ Qualifying Committee is formed (if applicable, see department for specifics)

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YEAR 2

_____ Write first-year summer or Qualifying paper

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* _____ QUALIFYING EXAM. - [Form C](#) - Complete by end of 3rd semester in the Ph.D. Program. Qualifying committee must all be graduate faculty members. Student must be in registered status (except for summer sessions) and the student's academic record must be in good standing.

* _____ ENGLISH STANDARDS REQUIREMENT - [Form B](#) - Complete by the end of 3rd semester in the Ph.D. Program. Required for all Domestic and International students.

_____ Schedule BA 591 - Professional Development for Business Academics Course. Must be taken by sixth semester. **ONLY** offered in the Spring.

* _____ PROGRAM OF STUDY - [Form F](#) - Must be filed with Ph.D. office at the beginning of the 4th semester.

_____ Student prepares annual report (SAR). Submit report to PhD Coordinator and Ph.D. Office.

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* _____ DOCTORAL COMMITTEE - [Form D](#) - Must be set up before scheduling oral or written comp. exam. Required to be completed by the end of the 4th semester.

_____ Complete 5-hour discussion-based SARI training.

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_____ Write second-year summer or Comprehensive paper.

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_____ Presentation of second-year summer paper during the 5th semester.

_____ MINOR If the student is considering a minor, it should be added at this time (prior to the Comprehensive Exam) and the minor field must be represented on the student's Doctoral Committee.

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* _____ COMPREHENSIVE EXAMINATION (oral or oral and written) – [Form H/K](#) *** **Three Weeks'**

Written Notice *** Due at close of coursework phase of program and no more than eight years from completing Qualifying exam. Form A and Form B must be satisfied before scheduling. Student must be in registered status and the student's academic record must be in good standing.

* _____ DISSERTATION PROPOSAL COMPLETION REPORT - [Form J](#)- Different presentation than oral comp., no later than one semester after successful completion of oral component of oral comp. exam.

_____ CONTINUOUS REGISTRATION MAINTAINED FROM PASSING OF ORAL COMPS UNTIL DEFENSE OF DISSERTATION.

_____ RESIDENCY REQUIREMENT. Registration required full-time for two (15 week) semesters in a one-year period, any time after admission as a Ph.D. student.

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_____ BA 591 Applied Communications Course

_____ Student prepares annual report (SAR). Submit report to Ph.D. Coordinator and Ph.D. Office.

S
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G**YEAR 4**

_____ Student prepares annual report (SAR). Submit report to Ph.D. Coordinator and Ph.D. Office.

Final YearA
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_____ Activate INTENT TO GRADUATE on LionPATH. (Check with the Ph.D Office for the due date for the semester in which you plan to graduate).

* _____ Schedule DEFENSE OF DISSERTATION.- [Form H/K](#)- *** **Three Weeks' Written Notice** ***
MUST be registered for at least 1 credit, regardless of semester.

_____ Submit your thesis for format review by the announced deadline in the semester in which you plan to graduate, followed by your final thesis.

_____ Student prepares annual report (SAR). Turns report in to PhD Coordinator and Ph.D. Office.

***Completed and signed forms must be turned in to the Ph.D. Office.** Exam forms are sent to the Ph.D. office once approved by the Graduate School and distributed to the committee. Once issued, copies are available in the Ph.D. office, if needed. The expectation is for forms to be returned to the Ph.D. office no later than 30 days after the event or evaluation has been completed. **Note that the Ph.D. Director is the only recognized signatory on Graduate School forms (Form C, D, H/K).**

FORM A: COMPETENCY REQUIREMENTS

Ph.D. Program in Business Administration

Student's Name: _____

Department: _____

Advisor's Name: _____

<u>Competency Expectations</u>	<u>PSU Course Number or Substitute</u>	<u>Advisor Initials When Completed**</u>
Mathematics (linear algebra and introductory calculus)	_____	_____
	_____	_____
Statistics (knowledge and skill at least in introductory level in topics such as descriptive stat, probability, hypothesis testing, analysis of variance, correlation, regression, and chi-square.	_____	_____
	_____	_____
	_____	_____
Computing (working knowledge of a general purpose programming language, and hands-on experience in writing, debugging, and running computer programs)	_____	_____
	_____	_____
	_____	_____
<u>Field Specific Requirements</u> As specified by departments	_____	_____
	_____	_____

*This form shall be filed with the Ph.D./M.S. Programs Office during the first semester the student is in the program and updated when requirements are met.

** Departmental advisor must initial each non-PSU graduate course substitution.

Reviewed and *has not* completed competency requirements _____

Department Advisor's Signature _____ Date _____

Reviewed and *has* completed competency requirements _____

Department Advisor's Signature _____ Date _____

Return completed form to Ph.D/M.S. Office

FORM B: ENGLISH STANDARDS REQUIREMENTS Ph.D. Program in Business Administration

Student's Name _____

Department _____

Research Paper and Presentation Requirement/ English Standards Requirements Exemption Request

The above named student was evaluated for English fluency on _____ (date) by:

_____ Submitting one or more examples of original writing. (Fulfills the requirements for the writing course and writing task.)

_____ Preparing and presenting a 30-40 minute oral presentation.

Evaluation Result: _____ Approve _____ Disapprove

Signature of Qualifying Committee Chair or Ph.D. Coordinator Date

Signature of PhD Director Date

Note: Competency should be determined at or before the Qualifying Examination and must be deemed satisfactory by the end of the third year for ALL students and before the oral comprehensive examination will be scheduled. The Qualifying Examination alone does not substitute for these requirements (see "English Competence" at <http://bulletins.psu.edu/graduate/degree/requirements/>). However, completion of the year two paper together with the oral presentation of the paper may be used to satisfy this requirement. Also see <http://bulletins.psu.edu/graduate/programs/B/GRAD%20B%20A>.

ACT 76 – English Fluency in Higher Education Act: All institutions of higher learning in PA will annually certify that all instructional faculty members who teach one or more undergraduate credit courses at a PA campus, including graduate assistants, have been evaluated for English fluency. Fluency can be evaluated using personal interviews, peer, alumni and student observations and evaluations, publications, professional presentations, tests or other appropriate criteria which effectively evaluates fluency.

Form D- Committee Appointment Signature Form

Available in the PhD Office

FORM F: PROGRAM OF STUDY **Ph.D. Program in Business Administration**

Name: _____

Date of Qualifying Exam: _____

Department Field: _____
 Courses

_____	_____
_____	_____
_____	_____

Supporting Field: _____
 Courses

_____	_____
_____	_____
_____	_____

Research Methods Field (including Interdisciplinary Business Research) _____

This program of study has been agreed upon by the following individuals and satisfies university, college, and department requirements.

_____	_____
Signature of Student	Date

_____	_____
Signature of Departmental Ph. D. Coordinator or Doctoral Committee Chair	Date

Please see "Doctoral Degree Requirements" at the following website for additional information: <http://bulletins.psu.edu/graduate/programs/B/GRAD%20B%20A>

Return completed form to Ph. D. Office

FORM J: DISSERTATION PROPOSAL COMPLETION REPORT

Ph.D. Program in Business Administration

_____ of the _____
Student Name Departmental Field

presented the open dissertation proposal entitled _____

_____ on _____
Date/Time/Place of Presentation

Signature of Committee Chair

Date

Announcement of the open dissertation proposal presentation
is at the discretion of the department.

Return completed form to Ph.D/M.S. Office

Form H/K- Examination Request Form

Available in the PhD office