



Joseph M. Katz
Graduate School of Business

PhD Handbook
of
Policy and Procedures

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The Doctoral Program Student Manual of Policies and Procedures has been written for the Joseph M. Katz Graduate School of Business students enrolled in the Ph.D. Program. The manual is a reference source containing pertinent information on the policies and procedures of the University of Pittsburgh and the Joseph M. Katz Graduate School of Business relating to doctoral students. The manual is periodically updated to reflect changes in policies and procedures. Questions or suggestions relating to the manual should be directed to the Director or the Assistant Director of the Doctoral Program.

A. Objectives and General Requirements of the Program

The Katz Doctoral Program is one of the world's most elite Ph.D. Programs. As such our mission is to train scholars that excel in theoretically-based, managerially relevant research and teaching.

The doctoral program of the Katz Graduate School of Business seeks to prepare students for careers in research and teaching in management and related areas at leading business schools and universities. Award of the Doctor of Philosophy degree certifies the recipient as a professional capable of conducting an ongoing search for knowledge. Therefore, successful completion of the doctoral program entails much more than the satisfaction of a set of formal requirements. Doctoral students are expected to assess their knowledge and skills in consultation with the faculty and identify the set of educational experiences which will maximize their human capital and fulfill their unique needs within the scope of the objectives of the program.

The Doctoral Program offers students an opportunity to formulate a program of study using courses, seminars, readings and research experiences available in the Katz Graduate School of Business, in other schools and departments at the University, and in other Universities. Within this program, doctoral students pursue traditional coursework to develop a prescribed level of competence in the disciplines and functions germane to management.

The KGSB doctoral seminars place emphasis on independent study and research projects and papers. Small seminar groups provide a forum in which students can crystallize individual goals and incorporate them into the seminar work.

An individual's doctoral program of study includes the following Group requirements. Please see Pathway to Graduation in Appendix A for a timeline for completing these requirements..

Group A - A basic level of competence in the disciplines and functions germane to management.

Group B - In-depth expertise in one area of management thought and study (major).

Group C - Alternative #1 - An expertise in a second area of management thought and study

(minor). Alternative #2 - Group C credits are combined with Group E into a 21 credit research method concentration.

Group D - Teaching competence.

Group E - Research methods competence.

Requirements for fulfilling these five major objectives are detailed below.

Group A - General Management Requirement

The student is expected to achieve a degree of proficiency in the disciplines and functions germane to management. Students without an MBA, or an exemption of this requirement*, are required to take six credits in addition to their major, minor, and research methods requirements. These six credits are to be determined by the faculty in the student's area of study and should be reported on the student's program of study (*updated 11-09*).

**Students with an MBA degree from an accredited institution are exempted from this requirement. Students entering with a bachelor's degree in business from an accredited institution may petition for waiver of this requirement. All other exceptions must be approved by the Director of the Doctoral Program.*

Group B - Major Field Requirement (24 credit minimum)

Students are expected to develop an in-depth expertise in one area of management study and thought, which they designate as their "major." Students will normally select their major from programs routinely offered by the Katz Graduate School of Business. In all cases, prior written approval from the student's major faculty advisor and the doctoral committee is required before a major program is undertaken.

Group C – Alternative #1: Minor Field Requirement (9 credit minimum) with at least four courses in research methods courses (Group E).

Students are expected to develop expertise in one other area of management study and thought, which they designate as their "minor." Students may select their minor from programs routinely offered by the Katz Graduate School of Business or design their own program for the minor field. Prior written approval of the student's faculty advisor and the doctoral committee is required before a minor program is undertaken.

Group C – Alternative #2: Group C credits are combined with Group E into a 21 credit research methods concentration. Students choose to complete at least seven research methods courses approved by their major advisor (see Group E below).

Group D - Teaching Requirement

All Katz graduate students who are receiving financial aid through KGSB should refer to the model in Appendix B that outlines the KGSB 15 credit teaching requirement which is also included as part of your financial aid package.

Other students who are supported by outside sources of funding must meet a six credit teaching

requirement. Students who have taught courses in their area prior to joining the program may petition for a waiver of this requirement. However, Katz still recommends that students teach at Katz when appropriate.

This requirement mandates that the student participate in course planning and student evaluation, as well as class instruction. The six credit teaching requirement cannot be met by serving as a teaching assistant for recitations and other problem solving sessions.

Students should meet with their faculty advisors, and in some instances, the coordinator of their interest group to outline a teaching plan. The teaching plan must meet the minimum requirements mentioned above. The plan must be submitted and approved before students are permitted to register for their ninth doctoral seminar.

Under special circumstances, students who have taught courses in their area prior to entering the Katz Doctoral Program may provide evidence of their teaching competence to the satisfaction of the doctoral committee and the student's faculty advisor and may request a waiver of this requirement.

The Katz School of Business and the College of Business Administration adhere to a Grade Distribution Policy. This is a requirement for all faculty and doctoral students teaching in the Katz Masters Programs and CBA. Details of the Grade Distribution Policy are available in the Doctoral Office, in the Katz Dean's Office and in the CBA Dean's Office. All faculty and doctoral student teachers are responsible for obtaining this information and including it in their course material prior to the beginning of each course.

Group E - Research Methodology Requirement , 12 credit minimum, for students choosing Alternative #1 in Group C and 21 minimum credits minimum for students choosing Alternative #2 in Group C.

Because the Ph.D. program emphasizes the ability to perform significant research, each student is required to incorporate in their program of study coursework in research methodology. Such coursework includes:

Field-specific research methodology is the study of research methods, which are in common usage in the student's major and minor fields of interest. Students will typically include such courses in both their major and minor fields, but may include coursework with a primary research methodology focus here under Group E.

Non-field specific research methodology is that body of methodology, which normally is not considered to be a part of the major and minor fields. Such methodologies might involve the study of broader philosophical systems, widely applicable research techniques that are not considered to be a part of the major or minor areas, or techniques from other areas that are potentially applicable to a student's research interests.

Students are afforded many opportunities in the doctoral program for the study and practice of research. For example, most doctoral seminars include a research project as part of the course requirements. Students are also encouraged to involve themselves actively in guided research via the GSA assignments and their own initiative.

Academic Advisors

The academic advising needs of doctoral students depend upon their individual interests as well as their stage in the doctoral program. To best serve the wide variation in individual needs, the advising system has been kept informal and flexible.

New students are initially assigned to the faculty member in their area of study who serves on the doctoral committee. However, students are strongly encouraged to work with, and seek advice from all faculty in their area. In the process, students should attempt to develop close working relationships with faculty members with whom they share common interests and with whom they might like to work.

By the end of the first or second term of doctoral level coursework, students should have had enough contact with various faculty members to identify faculty they would like to have serve as their major advisor. The formal function of the advisors is to guide the student in the formulation of a suitable Program of Study (see Appendix C) which the student is required to submit to the Doctoral Committee for approval. Students must have their faculty advisor's written approval on the Program of Study before it is submitted to the Doctoral Program.

When students reach the dissertation stage of the program, they are again required to identify a faculty member who will agree to serve as their principal dissertation advisor and as the chairperson of their committee. This chairperson may be different from the major advisor with whom the student has previously worked.

Self-Designed Program of Study

While students will typically major or minor in the standard fields in management, doctoral students have the opportunity to design programs, which meet their individual educational and research interests. In designing their program, students may draw on the resources of the School and the University as well as on other academic institutions. Self-designed program proposals must be approved before a student registers for the ninth doctoral seminar.

Students have the following options:

1. follow the standard major and minor programs.
2. modify the standard programs to some degree by building upon the core courses; and
3. design an approved individual program. In designing their own programs, students are encouraged to use as a guide the standard major and minor programs, because the faculty believe that these programs provide a sound body of study.

Since a collection of courses, regardless of their quantity, is not a doctoral major or minor, close consultation with faculty members is strongly recommended. Approval of the program by the major advisor and Doctoral Committee is essential.

Courses Taken Outside KGSB

Doctoral students are free to take courses outside the Katz Graduate School of Business. However, to count the course toward the requirements for the doctoral degree, it must meet one of the following requirements:

- 1) The school offering the course must permit its own doctoral students to count the course toward the doctoral degree; or
- 2) the instructor of the course must agree in writing to make the course a doctoral level experience for the doctoral student.

Students are cautioned that courses taken outside the Katz Graduate School of Business without prior approval may not qualify for the student's Program of Study.

Independent Study and Readings Courses

Independent study courses are for the primary purpose of providing a student with a formal means of preparing for comprehensive examinations in consultation with designated members of the faculty. However, registering for Independent Study coursework also keeps the student's status active, thus providing the student continued access to the university library and computer systems. Because of their limited purpose, Independent Study courses may not be counted toward the doctoral program of study.

Students are required to register for at least one (1) credit of Independent Study during any term in which they have completed coursework and are preparing for or taking comprehensive examinations. Those who choose to do so may register for up to a maximum of nine (9) credits per term.

Readings courses involve intensive study by the student on a one-to-one basis with a faculty member. Readings courses are normally approved only in an area in which KGSB doctoral

seminars are not available, and usually only in the latter stages of the doctoral student's program. A maximum of three reading courses may be included on the Program of Study.

To register for a readings course, the student must submit a written proposal of study to the faculty member with whom the readings course will be taken, and obtain the faculty member's initials on the registration form.

Students should note that a readings course represents a substantial commitment of uncompensated time by the faculty member. While many faculty members are willing to offer readings courses as a service to doctoral students, such courses should be requested only for academic reasons and not for alleviating scheduling difficulties.

Program of Study

The Katz Graduate School of Business Doctoral Program requires each student to design his or her own program of coursework, research and other activities which, taken as a whole, constitute a significant and meaningful educational experience, and which qualify the student as a professional in his/her chosen field of interest. Please see Appendix C for more information about the Program of Study.

All students are required to submit to the Doctoral Office a written proposal of their Program of Study. The program must carry the written approval of the student's major field faculty advisor. The student should note, however, that the program is considered accepted only after the Doctoral Director approves it.

The approved Program of Study serves the following purposes:

- a) It ensures that the student pursues coursework and research within a comprehensive and well-articulated framework, which incorporates substantive fields of study.
- b) It provides the student a structure for planning future coursework.
- c) It provides an implicit understanding between the Doctoral Committee and the student that the completion of the activities identified in the program of study, according to the specified time period, will satisfy the coursework requirements for the award of the doctoral degree.

In developing a Program of Study, the student should carefully weigh his/her academic and career objectives to identify a major and minor (if chosen) field, and consult appropriate faculty members to identify courses and other related work which may be needed for an adequate depth of understanding in those fields.

An essential part of the Program of Study is a "field statement," which is a narrative description, in both philosophical and pragmatic terms, of the student's view of the chosen major and minor fields in relation to his/her objectives. The field statement should address the following points at minimum:

- 1) The student's conceptual framework indicating how the chosen fields articulate naturally within this framework;
- 2) the rationale for including various areas of study within the framework;
- 3) the mechanisms which will be used to enable the student to integrate various fields;
- 4) the relationship of the major and minor to the student's background and career objectives;
- 5) any other information, which the student believes, will be useful for the faculty to evaluate the program and to subsequently determine the student's readiness for comprehensive examinations.

The field statement should be no more than five typewritten pages in length.

In addition to the field statement students must include a proposal for developing a teaching plan.

The Program of Study must be written in a prescribed format. Please see Appendix C for the Program of Study Format. This format should be followed for both initial proposal and subsequent revisions. In case of revisions, a cover letter identifying and explaining the need for changes should accompany the proposed Program of Study. In all cases, the proposed Program of Study should be signed by the major field advisor. The Doctoral Committee will evaluate all proposed Programs of Study and proposed changes with due regard to both the student's interests and the significance, comprehensiveness and breadth of the chosen fields of study.

Students are notified in writing of the Doctoral Committee's decision on the proposed Program of Study. In case of disapproval, the Committee will state the reasons for its decision and provide guidance as needed.

The Program of Study is due **by the time a student has registered for his/her ninth course (excluding Group A requirements)**. This time requirement is meant to protect the student against completing considerable coursework, which might not be approved for credit towards the requirements of a doctoral degree. Failure to submit a Program of Study by the designated time will bar the student from registering for coursework until the Program of Study has been approved.

Evaluation of Student Progress

Performance evaluation is a continuous process throughout the program. While pursuing a program of study the student will receive feedback from the faculty in various forms including course grades, informal discussions with advisors and course instructors, meetings with the Director of the Doctoral Program, etc.

In addition, the Doctoral Performance Committee will meet at least three times each year to review the progress of all students. All faculty are invited to attend these meetings. The evaluation will look not only at seminar grades, but also at the faculty's assessment of the

student's potential for doing independent research, the student's performance as a GSA (if applicable), the student's written and oral communication skills, and any other information the faculty consider relevant to the student's likely success in a research-oriented academic career. Where appropriate, students will receive specific oral or written feedback from the review. All students are expected to receive satisfactory evaluations in order to remain in good standing in the program.

The review is expected to be very important in the student's second year. At this point the faculty will have results from at least four semesters of course work. The faculty will then make a specific evaluation of whether in their judgment the student has made sufficient progress and demonstrated sufficient potential to advance to the next stage of the program.

It is important that students become familiar with the timeline and statute of limitations and make adequate progress. Detailed information regarding the statute of limitations is outlined in the attached "Pathway to Graduation." A timeline for students entering in September 2007 is also attached.

As noted above, the Doctoral Performance Committee, which is comprised of all voting members of the Doctoral Committee for the respective year, will review student progress three times each year, typically at the end of each term. All Katz faculty are invited to attend the Doctoral Performance Committee meetings. Only the Doctoral Performance Committee may vote. (Please note: In cases where a member of the Doctoral Committee cannot be present to vote at the Doctoral Performance Committee meeting, another member of the Faculty Interest Group may be appointed to represent and vote at the Doctoral Performance Committee meetings.)

Minimum Grade Requirement

Students are expected to make steady progress in completing their coursework with a grade of "B" or better in each seminar or course. (Doctoral students should check with their major interest group and GSA/TA/TFs should review their contract letters for further information regarding minimum grade point average and the evaluation processes specific to their Interest Group).

Incomplete Grade Policy

An incomplete (I) or (G) grade should be sought only when absolutely necessary. Except for cases of medical or personal / family circumstances that prevent the student from doing so, all incomplete (I) (G) grades should be removed within 14 weeks of the end of the term in which the course was offered or the grade will be changed to an F. The doctoral office must approve any extension of I or G grades beyond 14 weeks. Dissertation credit I grades remain on the transcript until the defense and are exempt from this policy. (UPDATED 11-09).

B. Comprehensive Examinations

Purpose and Scope

Upon completion of all coursework specified in their Program of Study, doctoral students are required to take comprehensive examinations.

Comprehensive examinations are administered following the completion of course work, typically during the sixth or seventh term. Comprehensive exams must be completed by the end of a student's seventh term in the program. Students who wish to take comprehensive exams must submit their request in writing to the doctoral office at least three months prior to their intended test date. A date, agreed upon by the student, the doctoral office and the faculty committees will be confirmed. Students must submit a revised program of study along with their request to take comprehensive.

The comprehensive examination consists of two parts:

- 1) a written examination in the student's major field;
- 2) an oral examination covering both the major and in some cases the minor fields.

Comprehensive examinations are individually designed in light of the student's major fields and the student's individual Program of Study. The scope of the examination is not limited to the collection of coursework taken by the student. Rather, the scope extends to encompass the entire current body of knowledge in the fields.

Qualifying and Preparation

KGSB Doctoral students are required to complete comprehensive exams no later than their seventh term of study. Exceptions (based only upon extreme extenuating circumstances) must be approved by the Doctoral Program Director.

Students wishing to take the examination must notify the Director of the Doctoral Program in writing within a specified time period. Those taking comprehensive examinations must remove incomplete grades by 30 days prior to the confirmed comprehensive exam date.

Students in good standing who are enrolled in one last course in the term in which comprehensive examinations are scheduled, may request special permission from the Doctoral Director to take the comprehensive examinations in that term.

Comprehensive examinations are prepared individually for each student by a committee of faculty members. Preparing these exams requires a major investment of faculty time and effort. Thus, students electing to take the comprehensive examinations should carefully assess their ability to remove incomplete grades by the due date. If, after requesting to take comprehensive examinations, a student finds that extenuating circumstances will prevent him/her from taking them, the Doctoral Office must be notified immediately.

Approval for students to take the comprehensive examinations is granted by the Doctoral Director after review of the Program of Study and ascertaining that all doctoral program requirements have been met successfully.

Students should discuss the composition of the comprehensive examination committee with their advisor. The following policies apply to the composition of the comprehensive examination committee:

- 1) All members of the comprehensive exam committee must be drawn from the list of Katz Doctoral Faculty (available in the doctoral office).
- 2) At least two members of the comprehensive exam committee must be members of the student's major interest group.
- 3) The comprehensive exam committee must be approved by the student's interest group faculty member serving on the doctoral committee
- 4) The comprehensive exam committee must be approved by the director of the doctoral program
- 5) All exceptions must be approved by the director of the doctoral program

Students are encouraged to consult with the members of their examination committees concerning the scope of the examination. An email confirming the examination committee composition will be sent to the student in advance of the written exam date.

Grading

The written answers to the comprehensive examinations are distributed to each member of the examination committee for evaluation. (Students are provided with a copy of the written answers for their own review after the major written exams have been completed.) After individually grading the answers, the committee members meet to determine an overall grade for that examination.

Should the student fail the written examination in the major field, the oral examination is cancelled until the written examination is successfully retaken.

The oral examination committee convenes in advance to decide upon a strategy for the oral examination. The examination covers the major field and is generally conducted as a dialogue with the student to explore his/her understanding of the field. Particular emphasis is placed on the

written examination topics in which the student's answers were judged as being weak or unsatisfactory. If the committee is satisfied with the student's responses on issues related to the written examination, the committee may ask the student to discuss his or her progress in identification of a dissertation topic. This discussion of potential dissertation topics is informal and for the benefit of the student and would generally not be treated as part of the oral examination.

After the oral examination, the committee determines an oral examination grade and makes a recommendation on the student's overall performance to the Doctoral Performance Committee.

The Doctoral Performance Committee meets each term to evaluate the students' overall performance in the comprehensive examinations as well as their readiness for dissertation research. Only the Doctoral Performance Committee has the authority to make the final evaluation.

Normally, a student will either pass or fail the comprehensive examinations. In case of failure for the first time, the Doctoral Committee as directed by the recommendation of the Examination Committee may permit that a student be permitted to take the comprehensive examinations a second time. In case of a second failure, the student is dismissed from the program.

The Doctoral Committee has the option to grant the student a partial pass on the comprehensive examinations. Should this occur, the student may be required to retake only a portion of the comprehensive examinations. In such cases, the rule permitting only one retake of comprehensive examinations applies as if the student were retaking all of the examinations.

Occasionally, the Doctoral Committee will recommend a conditional pass on comprehensive examinations. In this case, the committee identifies specific requirements which the student must fulfill to remedy an observed deficiency. Upon successful completion of the specified requirements, a student is considered to have passed the comprehensive examinations.

Summary of Comprehensive Exam Process

- 1) Written examinations administered.
- 2) Copies of examination answers emailed to the examination committee members and available to students.
- 3) Individual committee members grade examinations.
- 4) All committee members convene to arrive at an overall grade for written examination. Any student whose major written examination is evaluated as an unconditional fail will be notified about the cancellation of the oral examination at least 24 hours prior to its scheduled time.
- 5) Oral examination administered, and performance evaluated.
- 6) Oral examination committee also makes an overall recommendation to the Doctoral Performance Committee.
- 7) Doctoral Performance Committee makes a final decision on the student's performance in the comprehensive examinations.

8) Students are notified in writing of the decision of the Doctoral Committee immediately following the meeting.

C. Dissertation Research

Doctoral students are required to demonstrate their capacity to engage in a sustained research effort by completing a doctoral dissertation. The dissertation entails an independent investigation of a problem of acknowledged significance and size in a management-related area.

Doctoral students are required to register for a minimum of nine credits of dissertation research (BUSADM 3199). In the judgment of the faculty, nine credits represents the minimum amount of formal guidance and supervision most students will require to successfully complete their dissertation.

However, under extenuating circumstances, doctoral students who have completed all program requirements and are ready for the final dissertation defense may petition the Doctoral Director to reduce the dissertation research requirement. This reduction may not be less than six credits.

Choosing a Dissertation Topic

Students normally begin their dissertation research immediately after successfully completing the comprehensive examinations. Perhaps the single most difficult task in doctoral work is the identification of the dissertation topic or problem. Most students choose a topic based on an idea or interest that has emerged through:

- 1) doctoral seminar and research project experiences;
- 2) attendance at research paper presentations by visiting faculty, visiting faculty candidates, KGSB faculty, or other KGSB doctoral students.

It is essential that doctoral students attend and actively participate in such seminars in order to be aware of the latest developments in their fields. The greatest benefit of doing so is in the potential to identify interesting research topics. Often there is no better way to learn what topics faculty believe to be interesting and fruitful than by observing what they are currently working on.

Experience has shown that development of the students' dissertation topic requires a great deal of perseverance.

The students should discuss his or her interests or ideas with a number of faculty members, as well as fellow doctoral students, to ascertain the viability of the idea as a dissertation topic and to find a faculty member who would be interested in guiding and supervising the students' research on that topic. The student should make sure that he or she has at least the tentative approval from a faculty member before devoting a great deal of time to develop the idea into a dissertation proposal.

IMPORTANT NOTE: Please review important information regarding the Institutional Review Board in the research section of the Katz Ph.D. Web Pages. All students and faculty at the University of Pittsburgh are responsible for adhering to these guidelines.

Dissertation Proposal

The dissertation proposal gives description of the problem to be studied and the motivation for the study, a review of the relevant research and literature, the conceptual framework which will provide structure to the research effort, the data to be collected (if any), the research methodologies to be used and potential conclusions to be drawn.

The proposal should be a substantive and definitive document based on considerable thought and intellectual investment. It should provide sufficient information on the proposed study for the faculty reviewers to judge whether the topic is deep enough to make a dissertation and bounded enough to be done in a reasonable time.

Dissertation Committee

While the dissertation is an individual effort, the doctoral student's work is guided and supervised by a dissertation committee consisting of five faculty members. The following rules apply to the formation of the doctoral committee.

- 1) The chair must be a member of the graduate faculty.
- 2) The committee must be at least five members.
- 3) The majority of the committee must be graduate faculty.
- 4) The majority of the committee must be from the Katz School.
- 5) At least one member must be from outside the Katz School (not necessarily outside the University of Pittsburgh).
- 6) At least two members of the dissertation committee must be from the Katz Doctoral Faculty List.

The advisor is nominated by the student, and after receiving the consent of that faculty member, serves as the chairperson of the dissertation committee. Generally, the student and the dissertation advisor will attempt to choose for the dissertation committee faculty members:

- 1) whose areas of specialization provide the needed expertise on various aspects of the dissertation, thus insuring that the dissertation research is of highest quality.
- 2) whose areas of interest are relevant to some aspect of the dissertation, thus increasing the likelihood that they will agree to serve on the committee;
- 3) who are likely to work well together as a committee, as well as work with the student.

When requesting individuals to serve on the dissertation committee, the student should provide each with a copy of the dissertation proposal. Usually those asked will respond to the proposal by providing constructive comments and suggestions as well as by indicating whether they are willing to serve on the committee. The dissertation advisor is responsible for informing the Director of the Doctoral Program in writing of the committee members who have tentatively agreed to serve on the dissertation committee. After reviewing the eligibility of the individuals to serve on the committee according to University and Katz regulations, the Director of the Doctoral Program sends a letter requesting each faculty member to formally agree to serve on the committee. Upon their acceptance, the dissertation committee stands appointed.

The dissertation committee guides the student to refine his/her ideas and rework the proposal document until it is approved by the committee. The doctoral student then proceeds to prepare for the dissertation overview examination.

Dissertation Overview Examination

The purpose of the Overview Examination is to assess the doctoral student's progress on the dissertation research and to review, for one last time, the significance and viability of the project.

The student will usually receive the approval of the dissertation committee to proceed to the overview examination when a significant part of the dissertation research has been completed and, in the case of empirical research, a pilot study has been conducted.

The Overview Examination requires both an oral and written presentation by the student. Prior to the examination date, which is arranged by the student and communicated to the doctoral office by the dissertation advisor, the student is required to submit to the members of the dissertation committee an expanded version of the dissertation proposal, including a description of the design and results of the pilot empirical study (if any). During the oral examination, the student presents a summary of the dissertation proposal and answers committee members' questions concerning the research design and logic. If the student passes the overview examination, the committee gives the student a specific set of recommendations which effectively establish the requirements for completion of an acceptable dissertation. At the same time, the student is officially admitted to candidacy for the doctoral degree. On completing the research requirements, the student is then

required to defend the dissertation.

Students must complete the Dissertation Overview within two years of successful completion of comprehensive exams.

Dissertation Defense

The Dissertation Defense is a formal, open meeting to which members of the University community are invited. Each dissertation committee determines the format for the final defense. In some cases, candidates may be required to make a formal oral presentation. In all cases, candidates will undergo some form of questioning by their committee members. The Dissertation Advisor may also invite questions and comments from the non-committee faculty members in attendance.

Upon concurrence of the dissertation advisor to schedule the dissertation defense, the doctoral student assumes the responsibility to arrange the date and time for the defense acceptable to all committee members. The dissertation advisor then asks the Doctoral Office to formally schedule the defense, and issue the required notification to the University community.

The candidate must deliver the latest edition of the dissertation, in final form, to each of the dissertation committee members at least three weeks in advance of the scheduled defense date. An additional copy must be delivered to the doctoral office at least two weeks in advance of the scheduled defense date.

The outcome of the defense may be a "pass", "conditional pass" or "fail". A "conditional pass" is subject to completion of specific changes in the dissertation document and is a common occurrence. The changes are usually dictated in the interest of academic and publication standards for completed dissertations.

When all necessary changes have been made, the chairperson of the dissertation committee delivers a Final Defense Examination Result signed by each committee member to the doctoral office.

The Dissertation Defense must be completed within four years of the successful completion of comprehensive exams.

D. Statute of Limitations and Student Leave Policy

The statute of limitations represents the maximum time permitted for the fulfillment of all requirements for the Ph.D. degree. The statute of limitations is outlined below:

1) Comprehensive examinations must be completed by the end the seventh term of study.

2) The dissertation overview examination must be completed successfully within two calendar years of the successful completion of comprehensive examinations. (Please note: students who complete comprehensive examinations late are not granted additional time to meet the overview deadline. They are still required to complete the dissertation overview no later than the fall term (December 1) of their fourth year. Please see Appendix A for more information about this timeline.)

3) The dissertation defense must be completed successfully within four calendar years of the successful completion of comprehensive examinations. (Please note: students who complete comprehensive examinations late are not granted additional time to meet the defense deadline. They are still required to complete the dissertation defense (by December 1) and graduate (by the end of the term) of their sixth year. Please see Appendix A for more information about this timeline.)

The Doctoral Performance Committee regularly reviews the progress of students in regard to the statute of limitations. Failure to meet these deadlines puts the student in jeopardy of being dismissed from the Katz Doctoral Program.

"Under special conditions, graduate students may be granted one leave of absence. A maximum leave of two years may be granted to doctoral students or one year to master's students. The length and rationale for the leave of absence must be stated in advance, recommended to the dean by the department, and approved by the dean. If approved, the time of the leave shall not count against the total time allowed for the degree being sought by the student. [Readmission](#) following an approved leave of absence is a formality."

<http://www.pitt.edu/~graduate/reggeneral.html#limits>, GENERAL REGULATIONS Governing Graduate Study at the University of Pittsburgh.

E. Additional Program Information and Resources

Financial Aid

The Graduate Student Assistantship is the basic form of financial aid awarded to doctoral students by the University of Pittsburgh and the Joseph M. Katz Graduate School of Business. Assistantships are awarded on the basis of academic merit for a three-term period extending from September to August.

Assistantships provide students with the opportunity to participate in faculty research efforts. In many cases, students working on a graduate student assistantship become involved in research projects which help lead to a dissertation topic.

At the beginning of each term, the faculty member and the GSA should discuss their expectations for the term. If concerns arise during the term on the part of the faculty member (e.g., work not completed on time, GSA is "never available when needed", etc.) or on the part of the GSA (e.g., too much of GSA time is devoted to photocopying versus more active research involvement, etc.), please raise this issue with the GSA/faculty member immediately. If the issues cannot be resolved, the student or the faculty member should contact the Director of the Doctoral Program.

At the end of the term, each GSA should receive feedback from their GSA faculty advisor regarding their performance during the term. Likewise, the GSA should have the opportunity to express whether or not his/her objectives are being met through the GSA experience.

The 2007-2008 Graduate Student Assistantship (GSA) carries a financial award of \$17,745 per year (three term period) plus a complete tuition scholarship and fully paid individual health insurance. Graduate Student Assistants are required to work 20 hours per week as a research assistant to assigned faculty.

The Teaching Assistant (TA) financial award is \$21,727 plus tuition and health insurance. (Please see Appendix B for the definition of a credit of teaching assistance). Typically a full TA will provide the equivalent of eight credits of teaching assistance in a term.

The Teaching Fellowship award is \$22,605 per year plus tuition and insurance. Teaching Fellows must teach six credits in a term as the primary instructor to qualify for a full Teaching Fellow.

Please note, it is common throughout the period of financial aid as a Katz doctoral student to be appointed as a partial GSA and a partial TA or TF. For example, a student might teach a three credit course and provide 10 hours of GSA assistance in one term. In instances where this is the case, students will be paid 50% GSA salary plus 50% TF salary for the term.

The conditions which a student must meet under either form of assistantship are as follows:

- 1) the student must satisfactorily perform 20 hours per week of research assistance for assigned faculty members; teach six credits as a teaching fellow or cover eight recitation sessions as a teaching assistant.
- 2) each term, the student must carry at least 9 credits of coursework (or full time dissertation study) applicable to his/her academic program; and maintain the minimum QPA set forth in their contract letter.
- 3) given that the Graduate Student Assistantship and the Teaching Fellowship are full-time University appointments, the student may not hold any additional appointments unless approved to do so by the Doctoral Director.

GSA/TA/TF Stipend Payments and Health Insurance

Graduate Student Assistants, Teaching Assistants, and Teaching Fellows are paid each term in monthly installments (four installments in the Fall and Spring Terms and three installments in the Summer Term) on the last working day of each month.

Typically, GSA assignments are made for a three term period unless a student is assigned as a Teaching Assistant or Teaching Fellow during this period. If changes occur the doctoral office will notify each student accordingly.

At the beginning of each term, GSAs are provided with monthly time sheets. These sheets must be signed by the faculty members for whom the student provides GSA services and submitted to the Doctoral Office. The faculty member's signature verifies that GSA responsibilities have been carried out satisfactorily. Paychecks and direct deposit receipts will be available in the Doctoral Program Office after 10:00 a.m. on the last working day of each month.

Doctoral students on a Graduate Student Assistantship or Teaching Fellowship for two terms or more are entitled to one year of fully paid individual health insurance benefits with the University of Pittsburgh Medical Center. Family health care coverage may be purchased for the term of one year for eight monthly deductions.

Students are responsible for enrolling for health insurance benefits each year. Enrollment in the program must be completed by the end of the first week in September. Failure to enroll by that time will result in forfeiture of the benefit until the next enrollment period.

Details of the coverage are available at <http://gradcare.hr.pitt.edu>

Registration

Each term, doctoral students are notified in advance of the dates set for registration. Doctoral students also receive a registration email prior to the beginning of any term which includes term specific information regarding important dates and deadlines for that term and KGSB course offerings and descriptions. In addition, the University of Pittsburgh Schedule of Classes, available <http://www.pitt.edu/~registrar/> will list all courses and seminars offered throughout the University.

Full-time graduate status is 9 credits or more; part-time graduate status is any number of credits less than 9. Most full-time students register for 9-12 credits per term.

Students may register in the doctoral office.

Doctoral seminars are generally scheduled one day per week for three hours. MBA courses are offered both during the day and in the evening. Courses in other departments are offered at times determined by each department. Please remember to check for start dates of MBA courses and courses offered outside the department well in advance of registration. The KGSB MBA Program calendar does not correspond to the KGSB Doctoral calendar and doctoral students are responsible for planning MBA coursework according to the MBA calendar. Information regarding MBA courses and calendars may be obtained from the MBA Student Records Office in Room 160 Mervis Hall.

When taking courses outside the KGSB to fulfill requirements toward the Ph.D. degree, doctoral students should obtain approval from their advisor and take measures to assure that the course is of doctoral level quality. However, students should remember that final approval for course to fulfill requirements toward the Ph.D. degree must come from the Doctoral Director.

Cross-Registration Guidelines for Graduate Students

The purpose of cross-registration is to provide opportunities for enriched educational programs by permitting full-time graduate students to take courses at three of the approved schools that participate on the Pittsburgh Council of Higher Education (PCHE). They are: Carnegie-Mellon University, Duquesne University and the Pittsburgh Theological Seminary. Course schedules are available on the respective schools websites and cross-registration forms are available in the Doctoral Program Office.

The following stipulations apply to cross-registration:

1. Students may enroll in only one course off campus and in only one institute in a given term.

2. The student's advisor is responsible for insuring eligibility for the course in which the student is enrolling. Written approval from the Director of the home institution must be obtained on the cross-registration form. The form is then submitted to the Registrar's Office for processing.
3. No additional tuition charge is made to the students who are participating in this program; however, the student who cross-registers is responsible for paying any course or laboratory fees to the host institution.
4. The earned grade and credit will be transferred to the student's transcript but the academic policies at the host institution will prevail.

Adding or Dropping a Course

Students may change the courses for which they have already registered. Please discuss your changes with the Assistant Director of the Doctoral Program for processing. Add/drop may only be processed during the designated "add/drop period" which extends approximately from two weeks prior to the beginning of the term to the second week after classes begin. The dates for the add/drop period are announced on the University Calendar website. MBA course add/drop dates may differ from those of the University. Doctoral students wishing to add/drop MBA level courses are responsible for doing so by the dates outlined by the MBA calendar. Add/drop may be processed in the Doctoral Program Office.

Tuition Charges and Payment

Tuition charges during the Fall and Spring terms are at a standard flat rate for full-time students (greater than 9 credits). During the Summer Term and Summer sessions, tuition charges for all students are per credit. For this reason, full-time students on Graduate Student Assistantships are not permitted to register for courses other than those in their Program of Study during the Summer term or Summer sessions. The maximum tuition coverage provided in the Summer is for twelve credits.

Shortly after registering for courses, students will receive a tuition invoice reflecting a due date by which the invoice must be paid in full. This invoice will be sent to the student's University of Pittsburgh email account. Failure to pay the invoice by the due date results in a late charge.

Students will receive invoices only by email to their University of Pittsburgh email account. Students receiving a Graduate Student Assistantship should check their invoices to be sure that the tuition scholarship has been properly applied. Discrepancies should be reported immediately to the Assistant Director of the Doctoral Program. Each term all students receiving tuition remission through a Graduate Student Assistantship are responsible for the payment of the Graduate

Student Activity Fee (currently \$20.00). This fee must be paid by the invoice due date. Failure to pay this fee will result in late fees and cancellations.

Resignation from All Courses

Once registered for classes, students who decide not to attend must initiate one of the following resignation actions described below. The official date of resignation is the date the student notifies the Student Accounts Office. All financial obligations are based on this date. Failure to officially resign at the proper time may cause academic problems and additional financial obligations. Future attempts to register will not be permitted until all obligations are cleared.

Students should feel free to discuss any problems they are experiencing or alternatives to resignation with the Director or Assistant Director of the Doctoral Program. If a student does decide to resign from the program, a letter must be submitted to the Doctoral Director explaining the reasons for the resignation.

Graduation Requirements

Prior to and during the term in which a candidate expects to graduate, several formal requirements must be met. They are outlined below. Failure to meet all of these requirements by their respective deadlines could delay graduation for a term.

1. Prior to the term in which a candidate expects to graduate, he/she should ascertain that the registration requirement has been met.
2. At the beginning of the term of expected graduation, the candidate should complete an "Application for Graduation."
3. Prior to the scheduling of the final dissertation defense, the candidate should pay the \$81.50 "dissertation binding and micro-filming fee" in the Cashier's Office, G-8 Thackeray Hall.
4. After the final defense, the candidate must provide the complete, Electronic Dissertation and supporting documents (see more information about the Electronic Dissertation on the University of Pittsburgh Website) to the Doctoral Program Office. Each term the Assistant Director of the Doctoral Program will announce a deadline for document submission for graduates of the term.

Comprehensive guidelines for all dissertation submission policies are available in the Resources Section on the Katz Web Page <http://www.katz.pitt.edu>.

Important Registration Requirements

At various stages of the program, students must meet several important registration requirements. They are explained below.

1. In order to keep active student status according to university regulations, a student must register at least once every three terms. If a student does not register for a period of three or more consecutive terms, he/she may be purged from the university's records and may have to reapply.
2. Students must be registered during the term of graduation and must have registered for at least one credit during the three term period preceding the term of graduation.
3. To be awarded the Ph.D. degree, a doctoral student must have registered for a minimum of **72** credits at the University of Pittsburgh which can include a maximum of 30 transfer credits granted for the Master's degree.

Address Change

Address changes should be communicated to the doctoral office and updated at <http://my.pitt.edu> immediately.

ID Card

The University of Pittsburgh I.D. card is necessary for students to gain access to libraries, computing, facilities, transportation and special events on campus. New students should obtain a university I.D. card as soon as they have registered for their first term of study.

Office, E-Mail, Mail & Telephone

All Katz doctoral students are assigned a Katz Email Account. Students are responsible for all information that is disseminated through this email account. In addition, students are provided a University of Pittsburgh email account. Students are responsible for all electronic information that is sent to either account. It is suggested that KGSB doctoral students forward their accounts to

one common email. Questions regarding these accounts can be addressed in Room 382 Mervis Hall, Katz IT Services or by calling x4HELP to access the University of Pittsburgh help desk.

Full-time doctoral students carrying nine credits or more are provided with office space. Most doctoral students are housed in doctoral offices located in Mervis Hall and are informed of the office to which they have been assigned at the beginning of the first term they are enrolled on a full-time basis.

Working spaces should be kept orderly and clean. Further, students must maintain an atmosphere conducive to study. Finally, because of past cases of theft in doctoral student offices, students should keep the office door locked when the office is unoccupied.

Doctoral students are assigned paper mailboxes located in Room 269 Mervis Hall. Some correspondence will be deposited in these mailboxes. Students are responsible for checking their mailboxes frequently.

Each doctoral student office is equipped with a telephone. The Katz Graduate School of Business policy on doctoral students' use of telephones is as follows:

- 1) On-campus and local telephone calls are permitted.
- 2) Costs for lengthy or excessive itemized calls made for personal reasons including recruiting purposes must be absorbed by the student.
- 3) Costs for itemized calls made for a faculty member to whom the student is assigned as a GSA must identified as such.

English Language Proficiency Test

All students who teach at the University of Pittsburgh must be certified. International TA/TFs and those assigned to the English Improvement Program due to low scores on the English Comprehensibility test are to be tested before being eligible to teach. A faculty member/advisor must be present during the test and also to participate in the interview so that material generic to the discipline and to the teaching assignments of the TA/TF can be covered.

All students who are not native speaker of English and who have been appointed as TA\TF's must be tested before being assigned any teaching duties. This includes students who have attended universities in the United States including the University of Pittsburgh and those who have been TA/TF's in other US institutions. This test should be done even if you are not currently scheduled to teach. The Doctoral Office recommends doing this test as early as possible.

Travel to Professional Conferences

Subject to availability of funding, the Katz Doctoral Program will provide financial support to assist doctoral students with travel to professional conferences. Typically, the program will support the student in the amount of \$400 per year. Students should request financial support for these conferences in writing to the Assistant Director at least one month in advance. In circumstances where it is deemed necessary by the student's advisor and the Director of the Doctoral Program, and subject to funding availability, students may request funding for more than one conference in a fiscal year. The Graduate and Professional Student Association may also provide additional funding for graduate students who attend professional conferences. Please see <http://pittgpsa.org/>.

Finding a Faculty Position

Universities and colleges conduct the majority of their faculty position recruiting efforts in one of two ways:

- 1) at an annually held professional conference (e.g. schools recruiting faculty members in marketing may initially interview doctoral candidates at the annual American Marketing Association (AMA) conference;
- 2) through advertisement of position openings

Students should normally begin the recruiting process for position openings about a year in advance of their anticipated graduation date. Generally, the best approach in applying for a faculty position is through an introduction and recommendation by a faculty member. For this and other reasons it is important that each student seek advice and assistance from faculty in his or her area concerning job market procedures. Doctoral candidates wishing to begin the recruiting process should inform faculty in their areas of interest of their availability and location preferences.

Graduation Ceremonies

KGSB doctoral graduates are eligible to attend the University of Pittsburgh Graduation Ceremony, usually held in early May, as well as the KGSB Graduation Ceremony. The Katz ceremony for 2008 has not been scheduled to date. Information will be forwarded as soon as it becomes available. Candidates completing graduation requirements during the preceding four graduation periods (December, April, June and August) are eligible to attend the ceremony. Information regarding the ceremonies will be forwarded to graduates typically in the Spring of each year. Doctoral graduates are encouraged to attend the ceremonies.

Transcripts

Transcripts of all coursework are available in the Registrar's Office, G-3 Thackeray Hall. Students may request one unofficial transcript at no charge and an unlimited number of official transcripts at the current University transcript fee.

The Doctoral Committee

The Doctoral Committee is responsible for evaluating applications to the program, awarding financial aid and establishing policy regarding admissions issues related to the Ph.D. program. The Committee is also responsible for establishing and reviewing policy of the Ph.D. program. The Doctoral Committee meets as dictated by the business brought before it. Any student who wishes to have a matter brought before the Doctoral Committee may do so in one of the following ways:

1. by informal request to the Doctoral Director.
2. by written request to the Committee via the Doctoral Director.

The Doctoral Performance Committee, which is comprised of all voting members of the Doctoral Committee for the respective year, will review student progress at least three times each year, typically at the end of each term. All Katz faculty are invited to attend the Doctoral Performance Committee meetings. Only the Doctoral Performance Committee may vote. (Please note: In cases where a member of the Doctoral Committee cannot be present to vote at the Doctoral Performance Committee meeting, another member of the Faculty Interest Group may be appointed to represent and vote at the Doctoral Performance Committee meetings.)

Doctoral Student Organization

All KGSB doctoral students comprise the members of the Doctoral Student Organization. The activities of the Doctoral Student Organization (DSO) are currently administered by a Steering Committee of four elected doctoral student representatives, the structure of which is by student design and subject to change at any time. Currently, the make-up of the Steering Committee consists of a President, a Vice-President, a colloquium coordinator whose primary function is to schedule and coordinate several annual professional colloquiums for doctoral students and a social coordinator whose primary function is to organize social activities on behalf of the doctoral student body. The key function of the Steering Committee are as follows:

1. It acts as a liaison between students and faculty, primarily by means of representation on various committees.
2. It serves as a conduit for the grievance of doctoral students who wish to use it as such. Its primary function in this regard is to funnel such grievances to the appropriate channels. The Steering Committee takes no stance in such grievances except in such circumstances as may be determined by the general student body. The Steering Committee adopts an advocacy stance only on issues in which two-thirds of the entire student body have voted to require such advocacy.
3. The Committee organizes professional colloquiums on behalf of the doctoral student body.
4. The Committee organizes social activities on behalf of the doctoral student body.

The DSO Steering Committee meets regularly. The entire body of the Doctoral Student Organization meets when needed. Scheduled meetings are communicated to students at least one week in advance. These meetings provide a forum for discussions and interactions among students where feedback from Doctoral Policy Committee meetings can be communicated. They also provide an opportunity to consolidate ideas and facilitate adequate representation of student concerns.

Graduate and Professional Student Association

The Graduate and Professional Student Association (GPSA) serves as a liaison between all University of Pittsburgh graduate students and the University. In addition, it serves:

1. as an advocate, on behalf of graduate students, to various governmental bodies whose activities affect the welfare of the students; and
2. as a resource organization which can provide technical assistance to individual Graduate Student Organizations (GSO's).
3. the Graduate and Professional Student Association may provide funding for graduate students who attend professional conferences. Please see <http://pittgpsa.org/>.

It is recommended that one member of the DSO Steering Committee attend meetings of the GPSA, which are scheduled on a regular basis.

Additional Resources and Contact Information

Additional resources related to graduate study at the University of Pittsburgh, the Katz School of Business and international student resources are available at:

<http://www.katz.pitt.edu>

<http://www.pitt.edu>

<http://www.ois.pitt.edu>

Katz Ph.D. students are responsible for all Katz Graduate School of Business policies as well as University of Pittsburgh policies. In addition, Katz International Students are responsible for all policies pertaining to their respective VISA status.

Please feel free to request clarification of any policy or procedure.

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Appendix A

Pathway to Graduation For Katz Doctoral Students Entering the Program September 2007

**Pathway to Graduation
A Timeline
for
Katz Doctoral Students Entering September 2007**



*Most students complete coursework by the end of the spring term (the end of April)

**Most students complete comps during the summer term by August 31.

The Katz Doctoral Program Statute of Limitations is outlined below and in the
Doctoral Program Handbook of Policies and Procedures.

**THE FOLLOWING ARE THE DEADLINE DATES-NOT TARGET DATES-FOR STUDENTS ENTERING
SEPTEMBER 2007:**

Deadline for completing comp exams: December 1, 2009.

Deadline for holding a successful overview: December 1, 2011.

Deadline for holding a successful defense and graduating: December 1, 2013.

PERSONAL NOTATIONS

Appendix B

Teaching Policy for GSA/TA/TF

Ph .D. Teaching Policy

Institutionalizing the craft of teaching into our students' competency set is an integral aspect of the Katz Ph. D. program. This position statement outlines the core principles underlying the Katz Ph. D. teaching position and provides a teaching program roadmap for faculty, administrators and students.

Core Principles:

- Balance research and teaching development over the course of a student's Ph.D. program of study. Students' time learning the research craft should approximate 75% while learning the craft of teaching should approximate 25%. The rationales are both practical and economic. Practically, placement in high quality research universities requires a demonstration of teaching competence. Economically, the ability for the Katz School to fund four (4) years of GSA/TA/TF is justified when students contribute up to 15 credits of teaching-related support.
- Developmental emphasis on learning the craft of teaching. Learning the craft of teaching involves a broad array of activities including but not limited to the theory and techniques of pedagogy, syllabus development, student evaluation and assessment techniques, delivery of instructional material, effective student interactions, and the development of teaching materials. A student's "Program of Study" should include a plan for developing teaching skills beginning in the first year of their program and continuing across the four years of their program.
- A Ph.D. student's interest group will have primary responsibility for fostering the development of teaching skills and evaluating student performance in teaching activities. The undergraduate program office, the dean's office and the Ph.D. office will play a supporting role to the interest group.
- Ph.D. teaching should contribute to the mission of the Undergraduate School of Business Administration. Central to the mission of the undergraduate program is high quality Ph.D. teaching.

Teaching Program Roadmap

The following roadmap is provided as a guide for students, faculty and administrators to facilitate the development of teaching skills over the four years of a student's GSA/TA/TF. All students are required to teach 6 credits (2 sections) of their own class and GSA/TA/TF students are required to contribute up to 15 credits of teaching-related support. See the attached "Options for Fulfilling the 15 Credit Teaching Requirements" and "Teaching Development Program Checklist" documents.

http://www.pitt.edu/~ciddeweb/FACULTYDEVELOPMENT/TA_HANDBOOK/index.htm

- Year 1. Activities should include sitting in on one undergraduate or graduate class taught by a full-time faculty member in the student's interest group, attending CIDDE teaching workshops, learning pedagogy techniques, appreciating the concept of a teaching portfolio and the development of a teaching plan for the "Program of Study" in conjunction with the student's interest group coordinator. The "Program of Study" must be approved by the Director of the Doctoral Program.
- Year 2. Activities should include grading, assisting in recitation classes, attending CIDDE workshops, learning pedagogy techniques, and potentially serving as a TA.
- Year 3. Students should be prepared to be a TA and teach their own section of an undergraduate course. Students teaching their first course will have CIDDE videotape and provide feedback for at least one class session. Faculty from the student's interest group should work with the student on course development and attend at least two class sessions to provide feedback. At the completion of a course and after student evaluations have been received, students and faculty in the interest group should meeting to explore areas for student development.
- Year 4. By the end of year four, students should have completed their teaching-related support requirement. Students should have developed a teaching portfolio, articulated teaching philosophy and development plan for their transition to a faculty member.

Options for Fulfilling the 15 Credit Teaching Requirements

All students will receive 3 credits toward their 15 credit teaching development model (see next page for checklist) for completing the teaching development program at Katz and CIDDE as outlined in the Teaching Program Roadmap.

The Teaching Contract May be Satisfied in the following way:

12 credits of classroom teaching (TF) plus three credits for the developmental teaching requirement = 15 credits.

9 credits of classroom teaching (TF) and 3 credits of TA plus the 3 credits for teaching development = 15 credits.

6 credits of classroom teaching and 6 credits of TA plus 3 credits for teaching development = 15 credits.

Definition of one credit of TA*:

- 1) Grading only under contract for CBA or MBA for a three credit course.
- 2) Appointment to one official recitation section for CBA.
- 3) Grading **and** teaching assistant for MBA program for a three credit course.
- 4) Other duties will be evaluated by the director of the doctoral program and the dean of research prior to the beginning of the term and an appropriate number of teaching credits will be approved. Students must submit a written request for teaching credit if they wish to receive credit for TA under this "other" category.

Important Notes:

All students must teach as the primary instructor for at least 6 credits.

If students are required to grade as part of their TA for CBA recitations, they will receive separate TA credit based on definition 1 above.

* TA credits can increase based on the number of students or demands of grading. Students can petition the doctoral office for adjustments to TA credits. Petitions for adjustments are only for teaching under contract for a student's GSA/TA/TF requirement.

Teaching Development Program Checklist

In order to receive 3 credits toward their teaching contract students must complete at least the following in their developmental teaching program:

Students must sit in (one full term) in a three credit undergraduate or graduate course taught by a faculty member in the student's interest group.

Students must have one session of their course (where they are the primary instructor) videotaped and evaluated by CIDDE.

Students must attend the New TA Orientation at CIDDE at least once.

Students must choose and attend at least two of the workshops offered by CIDDE's faculty developmental services. Alternatively, students may request that CIDDE provide a specific training session in Katz for a topic not covered by the regular programs at CIDDE.

Students must read and adhere to the Teaching Assistant Experience: A Handbook for Teaching Assistants and Teaching Fellows at the University of Pittsburgh edited by Andrew P. Haley and Joanne M. Nicoll available at www.pitt.edu/~ciddeweb.

At the end of the teaching contract period, a student must submit a teaching portfolio showing that they have achieved the goals set and approved by their advisor and the doctoral program director in the program of study and that they have met the minimum requirement for the teaching development checklist.

Please note that these are the minimum requirements for receiving the three credits toward the 15 credit model. All students should work with their interest groups to achieve teaching excellence using the year 1-4 roadmap above.

Appendix C

Program of Study

Program of Study
Submitted by:

Student Name
2007-2008

Joseph M. Katz Graduate School of Business Doctoral Program
University of Pittsburgh

Major
Minor

Approved by:

Major Advisor: _____ Date: _____

Doctoral Program Director: _____ Date: _____

Revised: _____
Advisor Director Date

June 2007

All students are required to submit to the Doctoral Office a written proposal of their Program of Study before they will be permitted to register for their ninth doctoral seminar. The program must carry the written approval of the student's major faculty advisor. The student should note, however, that the program is considered accepted only after it is approved by the Doctoral Program Director.

The Program of Study serves the following purposes:

- 1) It ensures that the student pursues coursework, teaching, and research within a comprehensive and well articulated framework which incorporates substantive fields of study.
- 2) It provides the student a structure for planning future coursework, teaching and research.
- 3) It provides an implicit understanding between the Doctoral Program and the student that the completion of the activities identified in the program of study, according to the specified time period, will satisfy the requirements for the award of the doctoral degree.

The enclosed document outlines the format for the Program of Study. It also explains each section (most of these explanations have been taken directly from The Joseph M. Katz Graduate School of Business Doctoral Program Student Manual of Policies and Procedures to which you may refer for further information).

Program of Study
Name
Date

Schedule for Completion of Requirements

Dates populated for students entering the program September 2007.

Students entering in other terms, should adjust dates and/or ask for assistance from the Katz Doctoral Office.

Requirement	Completion Date
First Term Enrolled in Doctoral Program	September 2007
Group A General Management Requirements	Waiver Granted or must complete in coursework stage. August 15, 2009
Group B Major Requirements	Term 6 August 15, 2009
Group C Minor Requirements	Term 6 August 15, 2009
Group D Teaching Requirement	By Graduation (Students on GSA/TA/TF must complete the 15 credit contract requirement before the end of Term 12). For GSA/TA/TF students entering September 2007, the deadline for completing the teaching requirement is August 15, 2011.
Group E Research Methodology Requirement	Term 6 August 15, 2009
Comprehensive Examinations	Term 7 December 1, 2009
Dissertation Proposal	Discuss with your interest

	group <i>Month, Year)</i>
Dissertation Overview	Target: Term 10 December 1, 2010 Deadline: Term 13 December 1, 2011
Dissertation Defense	Target: Term 12 August 15, 2011 Deadline: Term 19 December 1, 2013

Program of Study

Name

Date

Group A General Management Requirements

Doctoral students must complete at least 6 credits of MBA coursework. The courses chosen should be significantly different than the student's major area of study.

Students holding MBA degrees from accredited institutions may petition for waiver of this requirement. Petitions must be in writing or email and approved by the Director of the Doctoral Program. A summary of the results of the petition should then appear in this section of the program of study.

Program of Study
 Name
 Date

Group B Major Requirement

Students in the Program are required to complete at least 24 credits (8 courses) in their major area of study. Students should identify a faculty advisor in their major field and develop a course list to satisfy these requirements. Course numbers, titles, instructors, terms and grades should be listed as below. Initial programs of study should include as many grades as available and all future copies submitted should include updated grades.

Course Number	Course Title	Instructor	Term	Grade
1				
2				
3				
4				
5				
6				
7				
8				

Program of Study
Name
Date

Group C Minor Requirements

Group C – Alternative #1: Minor Field Requirement (9 credit minimum) with at least four courses in research methods courses (Group E).

Students are expected to develop expertise in one other area of management study and thought, which they designate as their "minor." Students may select their minor from programs routinely offered by the Katz Graduate School of Business or design their own program for the minor field. Prior written approval of the student's faculty advisor and the doctoral committee is required before a minor program is undertaken.

Group C – Alternative #2: Group C credits are combined with Group E into a 21 credit research methods concentration. Students choose to complete at least seven research methods courses approved by their major advisor (see Group E below).

Course numbers, titles, instructors, terms and grades should be listed as below. Initial programs of study should include as many grades as available and all future copies submitted should include updated grades

Course Number	Course Title	Instructor	Term	Grade	
1					
2					
3					
4					

Group D: Teaching Statement

The teaching statement should be an articulation of how you will achieve the teaching requirements and your teaching philosophy.

The statement should include

- A statement of your teaching philosophy
- How your teaching complements your research
- A plan for fulfilling the teaching requirement
- Teaching development gaps and how you plan to address them (e.g. CIDDE)
- Any other information you think is relevant to teaching

The teaching statement should be no more than three double-spaced typewritten pages in length.

All doctoral students are expected to gain classroom-teaching experience by teaching at least 6 credits as the primary instructor before they graduate.

Students receiving GSA/TA/TF are required to teach the equivalent of 15 credits. Please See the Teaching Policy Statement in Appendix A.

Group E: Research Methodology Requirement

Group E - Research Methodology Requirement , 12 credit minimum, for students choosing Alternative #1 in Group C, and 21minimum credits minimum for students choosing Alternative #2 in Group C.

Because the Ph.D. program emphasizes the ability to perform significant research, each student is required to incorporate in their program of study coursework in research methodology. Lower level statistics and methodology courses are not likely to be accepted by the Doctoral Director as counting toward this requirement.

Course Number	Course Title	Instructor	Term	Grade	
1					
2					
3					
4					

Field Statement

An essential part of the Program of Study is a "field statement," which is a narrative description, in both philosophical and pragmatic terms, of the student's view of the chosen major and minor fields in relation to his/her objectives. The field statement should address the following points at minimum:

- 1) The student's conceptual framework of his/her research domain.
- 2) the rationale for including various areas of study/course work within the framework;
- 3) the mechanisms which will be used to enable the student to integrate various fields;
- 4) the relationship of the major and minor to the student's background and career objectives;
- 5) any other information which the student believes will be useful for the faculty to evaluate the program and to subsequently determine the student's readiness for comprehensive examinations.

The field statement should be no more than three typewritten pages in length.

Appendix D

Guidelines on Academic Integrity

THE JOSEPH M. KATZ
GRADUATE SCHOOL OF BUSINESS

GUIDELINES ON ACADEMIC INTEGRITY

REVISED October 20, 2000
Minor non-substantive revisions June 2003

GUIDELINES ON ACADEMIC INTEGRITY¹

The Guidelines on Academic Integrity, currently in force, were adopted by the faculty of the Katz Graduate School of Business to guarantee the right of due process to students.² The Katz Guidelines are consistent with the University's 1995 *Guidelines on Academic Integrity: Student and Faculty Obligations and Hearing Procedures*.

1. ACADEMIC INTEGRITY: STUDENT OBLIGATIONS

1.1. INTRODUCTION

Academic programs such as ours often put substantial pressure on students to complete a heavy amount of work in a relatively short time. Temptations may thus arise during the school year to take advantage of situations which violate accepted academic standards.

In certifying a student for graduation, the Katz Graduate School of Business is informing the community that the student has met academic criteria pertaining to certain skills, techniques, and knowledge. It also suggests that other standards of the academic community have been met, including those which reflect upon the integrity of the graduate. It is expected that all students will take individual responsibility for their own work as stated in the course syllabus and/or as directed by the faculty member. Academic integrity must be maintained in order to protect for all students the value of the academic programs and degrees of the Katz Graduate School of Business.

Accordingly, the Katz Graduate School of Business establishes the following procedures for fulfilling its responsibility for maintaining academic integrity. All cases involving academic standards will be processed in the manner set forth below. These Guidelines on Academic Integrity and the implementation thereof are accepted and recognized as the policy of the Katz Graduate School of Business.

It is expected that every student, faculty, and staff member will be familiar with and abide by the provisions of these Guidelines. Copies of the Guidelines will be on file in the Library of the Katz Graduate School of Business and on the Katz website.

1.2. STUDENT OBLIGATIONS

¹ Katz faculty teaching in the College of Business Administration, the College of Arts and Sciences, or the College of General Studies should consult the Guidelines on Academic Integrity for these schools. The CBA guidelines can be found at <http://www.cba.pitt.edu/home/acadint.htm>.

² These guidelines were most recently amended and approved by the Katz Faculty on October 20, 2000.

A student has an obligation to exhibit honesty, and to comply with the student obligations of the Guidelines for Academic Integrity (as specified below) in carrying out his or her academic assignments. Without limiting the application of this principle, a student may be found to have violated the obligation if he or she:

1. Refers during an academic evaluation to materials or sources, or employs devices not authorized by the instructor.
2. Provides assistance during an academic evaluation to another person in a manner not authorized by the instructor.
3. Receives assistance during an academic evaluation from another person in a manner not authorized by the instructor.
4. Engages in unauthorized possession, buying, selling, obtaining, or using a copy of any materials intended to be used as an instrument of academic evaluation in advance of its administration.
5. Acts as a substitute for another person in any academic evaluation process.
6. Utilizes a substitute in any academic evaluation process.
7. Practices any form of deceit in an academic evaluation proceeding.
8. Depends on the aid of others, in a manner expressly prohibited by the instructor, in the research, preparation, creation, writing, performing, or publication of work to be submitted for academic credit or evaluation.
9. Provides aid to another person, knowing such aid is expressly prohibited by the instructor, in the research, preparation, creation, writing, performing, or publication of work to be submitted for academic credit or evaluation.
10. Presents as one's own, for academic evaluation, the ideas, representations, or words of another person or persons without customary and proper acknowledgement of sources.
11. Submits the work of another person in a manner which represents the work to be one's own.
12. Knowingly permits one's work to be submitted by another person without the instructor's authorization.
13. Attempts to influence or change one's academic evaluation or record for reasons other than achievement or merit.

14. Indulges, during a class (or examination session) in which one is a student, in conduct which is so disruptive as to infringe upon the rights of the instructor or fellow students.
 15. Fails to cooperate, if called upon, in the investigation or disposition of any allegation of dishonesty pertaining to another student, or any other breach of a student's obligation to exhibit honesty.
- 1.3. PROCEDURES FOR ADJUDICATION

No student should be subject to an adverse finding that he or she committed an offense related to academic integrity and no sanction should be imposed relating thereto, except in accordance with procedures appropriate for disposition of the particular matter involved. In all cases the objective is to provide fundamental fairness to the student as well as an orderly means for arriving at a decision, starting first with the individual instructor and then designated administrative officers or bodies.

These procedures are not meant to address differences of opinion over grades issued by faculty in exercising good faith professional judgments of student work. They are meant to address ways in which a faculty member deals with a student regarding an alleged breach of academic integrity. In matters of academic integrity the succeeding procedural steps must be followed:

1. Any member of the University community who has evidence may bring to the attention of the instructor a complaint that a student has failed, in one or more respects, to meet faithfully the obligations specified in section 1.2. [NOTE: If the instructor elects not to pursue a complaint submitted by a member of the University community, the complaint can be submitted to an individual appointed by the dean who can pursue the matter in place of the instructor.]
2. Acting on his or her own evidence, and/or on the basis of evidence submitted to him or her, the instructor will advise the student that he or she has reason to believe that the student has committed an offense related to academic integrity. The student may be afforded an informal opportunity to respond, or the instructor may elect to go directly to the preliminary conference. The student may also request that the dispute go directly to a preliminary conference.
3. If the accused student and the instructor accept a specific resolution offered by either of them, the matter shall be considered closed if both parties sign a written agreement to that effect, and submit it to the dean's office.³ The dean's office

³ A copy of a form that may be used for this purpose is included in the appendix to these Guidelines.

will maintain a written record of the agreement, signed by the student and the instructor. These records are not to be added to the student's individual file and they are to be destroyed when the student graduates or permanently terminates registration. The dean's office may provide such information identifying an individual student for the following uses.

a. to an instructor who is involved with a student integrity violation at the initial stage and who wishes to use this previous record in determining whether a resolution between the faculty member and the student or an academic integrity board hearing may be most appropriate, especially in the case of repeat offenders; and

b. to an Academic Integrity Hearing Board after a decision of guilt or innocence has been made in a case, but before a sanction has been recommended.

4. If the instructor affords the student an informal opportunity to respond and subsequently finds the response of the student unsatisfactory as an explanation of the possible misconduct, a preliminary conference will be held. If this occurs at the end of the term, the "G" grade should be issued for the course until the matter is decided.

5. The Preliminary Conference

As noted above, the faculty member or the student can request a preliminary conference initially or if the faculty member and the student are not able to come to an agreement regarding the charge. The primary purpose of the preliminary conference is to establish whether or not there are reasonable grounds to conclude that a violation of the Guidelines has occurred, and to ascertain the various issues involved.

Parties present at the preliminary conference will be limited to the complaining party, the accused party, and the Katz Academic Integrity Officer.

The complaining party will set the date and time of the preliminary conference, and so inform all parties involved. The date and time shall be mutually agreeable, and shall be as soon as reasonably practical after the discovery of the alleged violation.

The Academic Integrity Officer is charged with the responsibility of presiding at the preliminary conference.

6. Results of the Preliminary Conference

- a. If the parties attending the preliminary conference conclude that no violation of the Guidelines has occurred, then the matter is terminated.

- b. If the parties agree that a violation of the Guidelines has occurred, and if the parties further agree to the sanction assessed, if any, then the following procedure will be followed:
 - i. The Academic Integrity Officer will prepare a summary statement of the results of the preliminary conference.
 - ii. The student(s) and the instructor, in the presence of the Academic Integrity Officer, will each sign the summary statement.
 - iii. The Dean of the Katz Graduate School of Business will be notified in writing by the Academic Integrity Officer that such action has taken place, and that the matter has been settled by the parties involved, with the results of the conference set forth. Records will be kept in the dean's office as described in section 1.3. for the purposes also described in that section.
- c. If the parties agree that a violation of the Guidelines has occurred, but cannot agree on the sanction assessed, then the summary statement referred to in b.i. above will be forwarded to the Academic Integrity Hearing Board for determination of sanction in accordance with the provisions set forth in Section 1.4. below.
- d. If the party accused of the violation denies any violation of academic integrity, and if the complaining party desires to press charges further, and if the Academic Integrity Officer determines that a prima facie case of violation of the Guidelines has been established, then a formal Academic Hearing shall be held in accordance with the provisions set forth in Section 1.5. below.

1.4. THE DETERMINATION OF SANCTIONS HEARING

Not sooner than 72 hours after the preliminary conference, the Academic Integrity Officer shall notify the accused party in writing that he/she is in violation of the Guidelines and that the Academic Integrity Hearing Board is being convened for determination of sanction.

The notice, to be prepared by the Academic Integrity Officer, will include the following listed items:

1. The violation, citing the relevant sections of the Guidelines;
2. The date, time, and place of the violation;

3. The date, time, and place of the Determination Hearing;
4. That the violator and the faculty member may make a statement at the hearing on his or her behalf;
5. The possible sanctions that could be assessed by the Board;
6. That the hearing will be closed to the public, unless the violator informs the Academic Integrity Officer in writing that he or she desires a public hearing; and
7. The name of the party filing the complaint.

The notice will be sent by certified mail to the local residence of the party accused, or it may be given to him/her personally. (The latter is preferred.) At the same time, a copy will be sent to the complaining party and to the Dean, Katz Graduate School of Business.

The date for the hearing will not be sooner than five days (excluding Saturdays, Sundays, and official School holidays) after delivery or mailing of the notice. Provided, however, that if the violation occurs within two weeks of the student's projected graduation date, then the preliminary conference and the hearing may be accelerated as required by the limitations of the School calendar. Provided further, however, that such reduced time period does not prejudice the rights of the parties involved.

The entire hearing will be recorded on tape, and the tape will constitute the official record of the hearing. The tape recorder will be furnished by the Katz Graduate School of Business.

The general order of the hearing will be as follows:

1. The summary statement prepared by the Chairperson of the Hearing Board will be read to the Hearing Board.
2. The instructor may make a statement and recommend a penalty, if he/she so wishes.
3. The student may make a statement, if he or she so wishes.
4. The Board will recess to deliberate the sanction.
5. The hearing will be reconvened and the Board will announce its recommendations.

6. The hearing will be terminated.

A formal report of the sanctions recommended by the Board must be made in writing to the Dean, and copies sent to the student or students involved and the complaining party. The report will be signed by all members of the Board who so agreed. Dissenting options, if any, may also be included and signed by the author thereof. Records will be kept in the Dean's office as described in section 1.3.

1.5. THE ACADEMIC INTEGRITY HEARING

In cases where there is no mutual agreement in the preliminary hearing that a violation of the Guidelines has taken place, the following procedures will be followed.

Not sooner than 72 hours after the preliminary conference, the Academic Integrity Officer shall notify the accused party in writing that charges of violation of the Guidelines are being brought against him or her, and that he or she will be called before the Academic Integrity Hearing Board for a hearing and determination of the charges.

The notice, to be prepared by the Academic Integrity Officer, will include the following listed items:

1. The alleged violation, citing the relevant section of the Guidelines;
2. The date, time, and place of the alleged violation;
3. The date, time, and place of the academic hearing;
4. That the charging party and the accused may have witnesses to testify on their behalf;
5. That extramural legal counsel is not permitted, but both the student and the instructor may be accompanied by a non-legal representative from within the University community; A law student cannot be used as a representative at the Academic Integrity Hearing Board;
6. That the accused need not testify;
7. The possible sanctions that could be assessed by the Board;
8. That the hearing will be closed to the public, unless the alleged violator informs the Academic Integrity Officer in writing that he or she desires a public hearing;
9. The name of the party filing the complaint;

10. That failure to appear, without cause, would be prejudicial to his/her defense, and that sanctions could be assessed against him/her.

The notice will be sent by certified mail to the local residence of the party accused, or it may be given to him or her personally. (The latter is preferred.) At the same time, a copy will be sent to the complaining party and to the Dean, Katz Graduate School of Business.

The date for the hearing will not be sooner than five days (excluding Saturdays, Sundays, and official School holidays) after delivery or mailing of the notice. If the alleged violation occurs within two weeks of the student's projected graduation date, then the preliminary conference and the hearing may be accelerated as required by the limitations of the School calendar. Provided, however, that such reduced time period does not prejudice the rights of the parties involved.

The entire hearing (exclusive of deliberations to arrive at a decision) will be recorded on tape, and the tape will constitute the official record of the hearing. The tape recorder will be furnished by the Katz Graduate School of Business.

The general order of the hearing will be as follows:

1. The accused will be called before the Hearing Board to answer to the charges which will be read to him or her, and whether or not he or she admits to the allegations.
2. The instructor will present his or her case, and any witnesses in his or her behalf may be called. The student may cross-examine anyone testifying on the instructor's behalf.
3. The accused [or his or her representative] will present his or her case, and any witnesses in his or her behalf may be called. The instructor may cross-examine anyone testifying on the student's behalf.
4. The instructor may make a closing statement, if he or she so wishes.
5. The student may make a closing statement, if he or she so wishes.
6. The Board will recess to deliberate the evidence.
7. The hearing will be reconvened, and the Board will announce its decision, with the recommended sanction, if any.
8. The hearing will be terminated.

The proposed decision, which shall be written, will include a determination whether the charges have been proved by clear and convincing evidence, together with findings with respect to the material facts. If any charges are established, the decision shall state the particular sanction or sanctions to be imposed.

This formal report shall be submitted to the Dean, and copies sent to the student or students involved and the complaining party. The report will be signed by all the members of the Board who so agreed. Dissenting options, if any, may also be included and signed by the author thereof. Records will be kept in the Dean's office as described in section 1.3.

1.6. TIMELINESS

It is the responsibility of all parties, including administrative officers, to take prompt action in order that charges can be resolved quickly and fairly. Failure of the instructor to use diligence in utilizing these procedures may constitute grounds for dismissal of charges.

1.7. SANCTIONS

The alternative sanctions which may be imposed by an instructor or by the Academic Integrity Hearing Board, upon a finding that an offense related to academic integrity has been committed, are the following:

1. Dismissal from the University without expectation of readmission.
2. Suspension from the University for a specific period of time.
3. Reduction in grade, or assignment of a failing grade, in the course in which the offending paper or examination was submitted.
4. Reduction in grade, or assignment of a failing grade, on the paper or examination in which the offense occurred.

The imposition of such sanctions may be considered by the School in the preparation of any report concerning a student submitted to a government agency, accrediting body, or other person or institution in accordance with the requirements of law or the consent of the student.

1.8. REVIEW APPEAL PROCEDURES

1. In those instances where the student has admitted to the violation of the Guidelines, and has agreed to the sanction assessed, the student may still appeal to the Dean to reduce the sanction.
2. In those cases where the student has admitted the violation of the Guidelines, but has not agreed to the sanction assessed, the student may still appeal to the Dean to reduce the sanction as recommended by the Hearing Board.
3. In those cases where there has been an Academic Hearing before the Academic Integrity Board and charges have been established, the student may still appeal to the Dean to reduce any sanction recommended by the Board.
4. In all cases involving issues of academic integrity, the proceedings must be independently reviewed by the Dean, including cases wherein the student has agreed to the sanction. The Dean may require that the charges be dismissed, or that the case be remanded for further proceedings whenever he or she deems this necessary. Upon completion of such additional proceedings, if any, the Dean shall issue a final decision. The Dean may reject any findings made by the Hearing Board adverse to the student, and may dismiss the charges or reduce the severity of any sanction imposed, but the Dean may not make new findings adverse to the student or increase the severity of a sanction.
5. The Dean shall then transmit to the student and the instructor a copy of his or her final decision. If a sanction is imposed, the notice to the student will make reference to the student's opportunity to appeal to the University Review Board on matters within its jurisdiction and scope of review. (See Appendix of this document for details of the URB appeal procedure.)

1.9. MEMBERSHIP OF THE ACADEMIC INTEGRITY HEARING BOARD

The membership of the Academic Integrity Hearing Board shall consist of three students and three members of the faculty, plus a faculty Chairperson named by the Dean. If the matter in controversy involves masters students, then the student members shall be members of the current masters class.⁴ If Ph.D. students are involved, then such student members shall be members of the current Ph.D. class.

In either case, the student members shall be selected in the manner authorized by the members of the masters or Ph.D. classes currently in residence. Similarly, the students shall select, according to their method of selection, two alternate members.

⁴ Student members of the Board should be drawn from the same program [e.g., full-time, evening or executive masters) as the accused, where this is feasible.

In addition to the three regular faculty members appointed by the Dean, Katz Graduate School of Business, he or she shall also appoint two faculty members to serve as alternates.

Similarly, the students shall select, according to their method of selection, two alternate members.

The term of office, for faculty and student members, regular and alternate, shall be for the current academic year.

1.10. QUORUMS AND VOTING

The Board, when convened for the purpose of a Determination Hearing or an Academic Hearing, shall at all times consist of the Chairperson and the three faculty members and the three students.

In the event that the appointed Chairperson is unable to attend, then the Dean, Katz Graduate School of Business, shall select one of the faculty alternates to serve as Chairperson.

In the event that any regular members of the Board are unable to attend, then the alternate members, faculty or student as the case may be, shall attend in place of the absent members.

With respect to voting, a majority of four shall be required to determine the matter at issue. In the event of tied voting, then no more than two additional ballots shall be taken, the second and third (if needed) following the first ballot at reasonable intervals. If the accused party is found “not guilty,” then all records, wherever situate, pertaining to the case will be destroyed.

In matters involving academic integrity the Chairperson shall in all cases be a non-voting member of the Board.

No student or faculty member directly involved in a hearing shall participate as a member of the Hearing Board with respect to such hearing. Furthermore, any student or faculty member may also disqualify himself from the proceedings without cause, prior to the hearing.

1.11. ACCESS TO AND RETENTION OF RECORDS

All records will be kept under security at the Katz Graduate School of business, with access thereto only by authorization of the Dean, Katz Graduate School of Business. The records shall be destroyed when the student graduates or permanently terminates registration, unless otherwise directed by the Dean, Katz Graduate School of Business.

1.12. ADDENDUM

Nothing in the Guidelines on Academic Integrity shall be construed to be in conflict with or to deny to the student any of his or her rights which may be authorized to him or her pursuant to University rules, regulations, or administrative procedures. To the extent that any provision or section of these Guidelines may be contrary to or conflict therewith, such provision or section is hereby revoked and shall be null and void.

2. ACADEMIC INTEGRITY: FACULTY OBLIGATIONS

2.1. FACULTY OBLIGATIONS

A faculty member accepts an obligation, in relation to his or her students, to discharge his or her duties in a fair and conscientious manner in accordance with the ethical standards generally recognized within the academic community, as well as those of the profession of management. The provisions of this portion are intended to deal with specific complaints raised by students and are not intended to constitute general standards for evaluation of faculty.

Without limiting the application of the above principle, members of the faculty are also expected (except in cases of illness or other compelling circumstance) to conduct themselves in a professional manner, including the following:

1. To meet their classes when scheduled.
2. To be available at reasonable times for appointments with students, and to keep such appointments.
3. To make appropriate preparation for classes and other meetings.
4. To perform their grading duties and other academic evaluations in a timely manner.
5. To describe to students, within the period in which a student may add and drop a course, orally, in writing, or by reference to printed course descriptions, the general content and objectives of a course; and announce the methods and standards of evaluation, including the importance to be assigned various factors in academic evaluation and, in advance of any evaluation, the permissible materials or references allowed during evaluation.
6. To base all academic evaluations upon good-faith professional judgment.

7. Not to consider, in academic evaluation, such factors as race, color, religion, sex, sexual orientation, age, national origin, and political or cultural affiliation, and life style activities or behavior outside the classroom unrelated to academic achievement.
8. To respect the confidentiality of information regarding a student contained in University records; and to refrain from releasing such information, except in connection with intra-University business, or with student consent, or as may be required by Law.⁵
9. Not to exploit their professional relationship with students for private advantage; and to refrain from soliciting the assistance of students for private purposes in a manner which infringes upon such students' freedom of choice.
10. To give appropriate recognition to contributions made by students to research, publication, service, or other activities.
11. To refrain from any activity which involves risk to the health and safety of a student, except with the student's informed consent, and, where applicable, in accordance with the University policy relating to the use of human subjects in experimentation.
12. To respect the dignity of students individually and collectively in the classroom and other academic contexts.

2.2. GENERAL GRIEVANCE PROCEDURES

Any member of the University community having evidence may bring to the attention of the Associate Dean⁶ a complaint that a faculty member has failed, in one or more respects, to meet faithfully the obligations set forth above. Program directors, graduate advisors and other staff members may advise and counsel students on the grievance procedures, but shall not try to mediate an issue between a student and a faculty member. The Associate Dean, at his or her discretion, will take such action by way of investigation, counseling, or action—in accordance with applicable School and University procedures—as may appear to be proper under the circumstances. The faculty member's and complainant's interest in confidentiality, academic freedom, and professional integrity in such matters will be respected.

⁵ References or recommendations may be given in good faith by a faculty member without documentation of a student's consent if it may be reasonably perceived that the student initiated the request for a recommendation, in response to apparent bona fide inquiries, such as those from institutions which state that the student has applied for employment, for admission to graduate school, or for a professional license. See full statements concerning University records in the *Student Code of Conduct and Judicial Procedures*.

⁶ Masters students should contact the Associate Dean for Professional Programs and doctoral students should contact the Associate Dean for Research.

2.3. INDIVIDUAL STUDENT APPEALS

In order to provide a means for students to seek and obtain redress for grievances affecting themselves individually, the following procedures should be followed. These are not intended and shall not be used to provide sanctions against faculty members.

Where an individual student alleges with particularity that the actions of a faculty member have resulted in serious academic injury to the student, the matter shall (if required by the student) be presented to the Academic Integrity Hearing Board for adjudication. Serious academic injury includes, but is not necessarily limited to, the awarding of a lower grade than that which the student has earned, or suspension from a class. However, this is not intended to address normal grading decisions of faculty exercising good faith professional judgments in evaluating student work.

It is the responsibility of the student, before seeking to have a grievance adjudicated, to attempt to resolve the matter by personal conference with the faculty member concerned, and, if such attempts are unavailing, to call the matter to the attention of the Associate Dean for consideration and adjustment by informal means. If a matter remains unresolved after personal conferences with the faculty member involved and the Associate Dean, then the following grievance procedure shall be employed:

1. The aggrieved student will file a written statement of charges with the Associate Dean.
2. If the Associate Dean determines that the charges are subject to adjudication under the terms of the preceding paragraphs, he or she will transmit these charges to the faculty member, together with a copy of these regulations.
3. The letter of transmittal to the faculty member, a copy of which shall also be sent to the student, will indicate that the Associate Dean will request that the Academic Integrity Officer conduct an informal review. The purpose of this review is to provide a last effort at informal resolution of the matter between the student and the faculty member.
4. The Academic Integrity Officer shall convene an interview, at which the faculty member shall again be informed of the nature of the charges against him, and shall be invited to discuss, explain, or refute them. This interview shall not constitute a hearing, shall be preliminary in nature, and none of the procedural rules provided in these guidelines shall apply thereto. The Academic Integrity Officer should consult with the student and any other parties who may assist in his or her work to effect an adjustment, or failing that, advise the faculty member of his or her views.

5. The Academic Integrity Officer's views shall be sent to the faculty member and the Associate Dean. If the faculty member agrees with the recommendations of the Academic Integrity Officer, he or she shall take the corrective action on behalf of the student that is recommended or which the faculty member considers to be appropriate.
6. As promptly as reasonable, and at least within five working days after the faculty member is in receipt of the recommendations of the Academic Integrity Officer, the faculty member shall privately take that action which he or she elects, and so advise the student, the Academic Integrity Officer and the Associate Dean of that action.
7. If the student elects to pursue the matter further, either because he or she is dissatisfied with the resulting action of the faculty member or the conclusion of the Academic Integrity Officer, he or she may discuss this intent with the Associate Dean; the student and the Associate Dean shall discuss procedures as may be needed for further action. If the student requests a formal hearing, the Associate Dean shall consult with the faculty member to determine whether formal adjustments might be agreed upon. If not, the formal hearing procedure must be initiated by the Associate Dean and the Academic Integrity Hearing Board of the School.
8. The formal hearing should provide a fair inquiry into the truth or falsity of the charges, with the faculty member and the student afforded the right to cross-examine. Legal counsel shall not be permitted, but non-legal representatives from within the University community shall be permitted for both faculty and students.
9. A suitable audio record shall be made of the proceedings, exclusive of deliberations to arrive at a decision.
10. The proposed decision, which shall be written, will include a determination whether the charges have been proved by clear and convincing evidence, together with findings with respect to the material facts. If any charges are established, the proposed decision shall state the particular remedial action to be taken.
11. The decision of the Academic Integrity Hearing Board shall be submitted to the Dean, who will make an independent review of the hearing proceedings. The Dean may require that the charges be dismissed, or that the case be remanded for further proceedings whenever he or she deems this to be necessary. Upon completion of such additional proceedings, if any, the Dean shall issue a decision. The Dean may reject any findings made by the Academic Integrity Hearing Board, may dismiss the charges or reduce the

extent of the remedial action to be taken. If the Dean believes the remedial action may infringe upon the exercise of academic freedom, he or she will seek an advisory opinion from the Senate Committee on Tenure and Academic Freedom before issuing his own decision. The decision of the Dean shall be in writing, shall set forth with particularity any new findings of fact or remedies, and shall include a statement of the reasons underlying such action.

12. The Dean shall then transmit to the faculty member and student copies of all actions affecting them taken by the hearing authority and the Dean. Suitable records, separate from faculty members' official files, shall be maintained as confidential and retained in the Office of the Dean for one year, at which time they will be destroyed. The faculty member involved will have unrestricted access to these records.

2.4. REMEDIAL ACTION

Remedies in a student's behalf should usually be those agreed to willingly by the faculty member. Other remedial action to benefit a student may be authorized by the Dean only upon recommendation of the Academic Integrity Hearing Board and limited⁷ to: allowing a student to repeat an examination; allowing a student to be evaluated for work that would otherwise be too late to be considered; directing that additional opportunities be afforded for consultation or instruction; elimination of a grade that had been assigned by a faculty member from the transcript; changing of a passing⁸ letter grade to a "pass" or "satisfactory" grade, so as not to adversely affect a student's grade average; allowing a student to repeat a course, without penalty, schedule and program permitting.

If some action is contemplated that might be deemed to infringe upon the academic freedom of the faculty member, the Dean will seek an advisory opinion from the Senate Committee on Tenure and Academic Freedom. In such cases, T.A.F. may identify other acceptable remedies or render such advice as may be appropriate in the particular situation.

2.5. REVIEW AND APPEAL

A student or faculty member may seek to have an adjudication (or a determination that the charges are not subject to adjudication) reviewed by the Provost, who may seek the advice of the University Review Board. The student may appeal also to the

⁷ Other remedial action may be added on the recommendation of the Senate Committee on Tenure and Academic Freedom.

⁸ The minimum letter or numerical grade that would constitute a "pass," were a "pass-fail" type of description originally employed, should be determined by each faculty.

University Review Board, whose recommendation shall be made to the Provost. The Action of the Provost, taken with or without the advice of the University Review Board, shall constitute an exhaustion of all required institutional remedies.

If any such determination may be deemed to have a possible adverse effect upon the faculty member's professional situation, the faculty member may seek the assistance of the Tenure and Academic Freedom Committee of the University Senate.

2.6. TIMELINESS

It is the responsibility of all parties, including administrative officers, to take prompt action in order that grievances can be resolved quickly and fairly. While no explicit time limit could be applied to all cases, failure to use diligence in seeking redress may constitute grounds for denial of a hearing or other relief, especially if prejudice results.

2.7. MEMBERSHIP OF THE ACADEMIC INTEGRITY HEARING BOARD

The membership of the Academic Integrity Hearing Board shall be as described in section 1.9. of these Guidelines.

2.8. QUORUMS AND VOTING

The rules for quorums and voting shall be as described in section 1.10 of these Guidelines.

GRIEVANCE PROCEDURES AGAINST THE DEAN

A student complaint of arbitrary or unfair treatment against the Dean, Katz Graduate School of Business, should be made to the Provost. There must be a prompt review and decision on the grievance. Members of the faculty who may be called upon to review and advise on the grievance should be drawn from outside the jurisdiction of the Dean of Katz Graduate School of Business.

APPENDIX

UNIVERSITY REVIEW BOARD

The University Review Board (URB) is the duly authorized appellate body which serves as an advisor to the Provost and Senior Vice Chancellor and the Chancellor. (Regional Campuses may establish similar appellate bodies which serve as an advisor to their President and whose appellate jurisdiction shall be limited to non-academic matters.)

The URB may exercise appellate jurisdiction for academic and non-academic matters and shall have sole appellate jurisdiction for academic matters originating from judicial bodies within the University Student Judicial System.

The URB shall also exercise limited jurisdiction for matters referred directly from the Chancellor and the Provost, the Senior Vice Chancellor of the Health Sciences, or the Vice Chancellor for Student and Public Affairs.

The University Review Board may meet from time to time for the purpose of orienting new members and reviewing prior decisions and shall meet at such other times as are necessary to conduct appellate hearings.

URB STRUCTURE

The URB shall be a standing body of fifteen members of the University community appointed for staggered terms of two years. Appointment shall be made in the following manner:

1. Five faculty members elected by the University Senate.
2. Five graduate and professional students appointed by the Graduate and Professional Student Association.
3. Five undergraduate students:
 - a. Two appointed by the General Studies Student Cabinet.
 - b. Three appointed by the Undergraduate Student Government.

A matter properly submitted for review shall be heard by the review board of five members of the URB. Review boards shall be composed as follows:

1. In academic cases, three faculty members and two students.
2. In non-academic cases, two faculty members and three students.

URB MODERATOR

An attorney appointed by the Chancellor who shall serve as URB Moderator is authorized to:

1. Conduct the administrative and procedural operations of the URB.
2. Determine the appropriateness and completeness of Petitions to the URB in consultation with one student and one faculty member of the URB.

3. Provide advice and assistance to members of University community regarding the processing of an appeal.
4. Select members from the URB membership to serve on review boards.
5. Moderate all proceedings before the URB.
6. Serve as legal advisor to the URB.
7. Provide legal advice related to URB proceedings and recommendation if requested, to the Chancellor or other referring authority.

BASIS FOR APPEAL

The URB shall hear an appeal whenever requested by the Chancellor, Provost and Senior Vice Chancellor, Senior Vice Chancellor for the Health Sciences, or the Vice Chancellor for Student and Public Affairs.

The URB shall also hear appeals on the petition of a faculty member, student or student organization when either petition, together with supporting documentation, presents a substantial question within the scope of review of the URB and the prior adjudication or action resulted in:

1. Suspension or dismissal from the University for violation of the Student Code of Conduct;
2. Suspension or dismissal from the University or the imposition of a serious academic sanction for violation of academic integrity standards;
3. Grant or denial of a remedy in an academic grievance proceeding;
4. Suspension or dismissal from the University residence halls;
5. Procedural rulings or substantive interpretations which have an important continuing impact upon the University Student Judicial System or the University community.

SCOPE OF REVIEW

The scope of review of the URB shall be limited to consideration of the following questions:

1. Whether rights affirmed by the Board of Trustees have been denied.
2. Whether the adjudication process of an initial hearing was conducted fairly and in conformity with properly prescribed procedures.
3. Whether the adjudication was supported by substantial evidence.
4. Whether the regulations involved were lawful and proper and whether they were properly applied in the particular case.
5. Whether the sanction or remedy imposed was in due proportion to the gravity and nature of the conduct.

URB PROCEDURES

Any faculty member or student adversely affected by the decision of a judicial body within the University Student Judicial System may institute an appeal before the URB by filing a petition in the Office of the URB Moderator.

A petition must set forth the following:

1. The name and address of the petitioner adversely affected by the prior adjudication.
2. The name and address of the respondent.
3. The result of the prior adjudication.
4. One or more of the questions within the scope of review of the URB.
5. A statement supporting, through factual narrative and argument, the petitioner's position.

The Moderator in consultation with one student and one faculty member of the URB shall review petitions and determine whether all requirements set forth for the filing of an appeal are satisfied and whether the petition sets forth the basis for an appeal and raises a question within the scope of review.

Upon receipt of a properly filed petition the Moderator shall notify the parties that an appeal has been instituted. Notice shall include:

1. A copy of the petition.
2. A copy of the relevant regulations and procedures.

After determining the appropriateness and completeness of a petition and allowing a reasonable amount of time for preparation and review of any documents and recordings, the Moderator shall schedule an appeal. All parties shall receive written notification of the time, date and place.*

The Moderator shall convene a Review Board at the time, date and place scheduled and the appeal shall be conducted under the procedural guidance of the Moderator.

*The URB, in its discretion, may elect to decide an appeal based on the submission of briefs by the parties without oral argument. In such cases, the moderator will provide written instructions to the parties.

POSTPONEMENT OF SANCTION PENDING APPEALS

A sanction or remedy which has been recommended by a judicial board and approved by the appropriate administrative officer may be postponed upon petition by the affected party or parties upon a determination that pending the final examination of an appeal it would be unfair not to postpone imposition of the sanction or remedy. Persons wishing to postpone a sanction or remedy may petition URB by separate petition setting forth reasons why the imposition of a sanction or remedy would unfairly prejudice a party. Petition for postponement shall be reviewed by the Moderator, one student and one faculty member of the URB. The criteria to be applied in determining whether to postpone a sanction or remedy are as follows:

1. Whether the issues raised in the appeal may be resolved in favor of the petitioning party.
2. Whether the petitioning party will be unfairly prejudiced pending a final determination of the appeal by the immediate imposition of the sanction or remedy.

3. Whether the responding party will be unfairly prejudiced by the postponement of the sanction or remedy.

All decisions regarding the postponement of sanctions shall be made within 5 days of the receipt of such a petition and shall be communicated to all parties in writing through the Office of the Moderator.

REPRESENTATION

A party may be presented or assisted by whomever he/she wishes, but only one representative may take an active part.

ARGUMENT FORMAT

Each party in interest shall be given ample time to present his or her position. In support of a position a party may refer to any records, documents, or recordings from a prior proceeding and may present an oral or written argument.

Each party may question the other about his or her argument. Members of the URB may question the parties.

The URB shall make factual findings and shall render a final adjudication in the form of a written opinion. A majority shall control all decisions but there may be an accompanying minority opinion.

URB ACTION

The URB may remand a matter to the initial adjudicatory authorities for further proceedings if it determines there are insufficient written findings or prejudicial procedural error. In other cases, the URB shall render a written opinion and recommend action to the Chancellor, Provost and Senior Vice Chancellor, Senior Vice Chancellor for Health Sciences, or Vice Chancellor for Student and Public Affairs, accompanied by the complete record.

The Moderator shall be responsible for promptly communicating any formal action of the URB to the parties, transmitting remanded cases to the initial adjudicatory authorities, and forwarding the recommendations to the Chancellor and his or her representatives.

ACTION BY THE CHANCELLOR OR OTHER REFERRING AUTHORITY

The Chancellor and his or her representatives shall consider the opinions and recommendations of the URB, the record and such other advice as they may deem necessary and proper. He/she or they may remand the matter to the initial adjudicatory authority or to the URB for further proceedings, or he/they may enter a final decision, accepting or rejecting the recommendations in part or in their entirety. (A sanction imposed by an initial adjudicatory authority may not be increased.)

Katz Graduate School of Business

Documentation of an Informal Resolution of an Alleged Violation of an Academic Integrity Guideline

The purpose of this documentation is to record the agreement of the instructor and student on the resolution of the instructor's allegation. It is not intended as an admission of guilt nor does it necessarily imply that the student agrees with the summary of the alleged violation that appears below. However, by signing the documentation, both parties agree to the resolution proposed and agree to consider the matter closed. See section 1.3 of the Katz Guidelines on Academic Integrity for a summary of the process for an informal resolution of an alleged violation.

Summary of the Alleged Violation of an Academic Integrity Guideline

Proposed Resolution

Resolution Acceptance

Faculty Name

Joseph M. Katz Graduate School of Business

Date

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I, the undersigned,

_____ accept this resolution to the allegation described above.

_____ do not accept this resolution to the allegation described above.

If I have indicated acceptance of the resolution described above, I also consider the matter closed.

Student Name

Date

