FOSTER SCHOOL OF BUSINESS Ph.D. PROGRAM

POLICIES AND PROCEDURES

Updated October 2019

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I.   INTRODUCTION

This booklet is intended to provide guidelines to students and their faculty supervisors to help in planning and executing the Ph.D. Program in Business Administration at the Michael G. Foster School of Business. It supplements information contained on our website (http://foster.washington.edu/phd), in the General Catalog of the University of Washington (http://www.washington.edu/students/gencat), and appropriate Graduate School Memoranda found on the index to Graduate School Memoranda on the website (https://grad.uw.edu/policies-procedures/graduate-school-memoranda/).

II.   ADMINISTRATION OF THE DOCTORAL PROGRAM

Many offices, individuals, and committees are involved in one aspect or another of the Ph.D. Program in Business Administration. Those which students most often come in contact with are:

A.   The Doctoral Program Office

This office is responsible for the overall administration of the Ph.D. program. It is the best source of assistance and information on procedural and policy questions, including interpretation of the material in this booklet. The Director of the Doctoral Program and the Assistant Director of the Doctoral Program are ready to assist students in planning and executing their doctoral program of study.

B.   The Doctoral Program Committee

This committee gives overall direction to the Ph.D. Program, and is responsible for considering and acting on major changes in policies and procedures. Student petitions for exceptions to normal policies are submitted to this committee. The committee consists of a faculty representative from each department, two Ph.D. students (elected by all Ph.D. students in residence), and (ex officio) the Director of the Doctoral Program.

C.   Departmental Faculty and Offices

The individual academic departments are responsible for the design of major and minor areas of study within their departments, and faculty members are the main source of advice on student's program of study. One or more faculty members have been assigned as Doctoral Area Advisors in each department, and have primary responsibility for counseling new Ph.D. students in their area. The departments are also the best source of advice on matters related to teaching assistantships.

D.   The Graduate School of the University of Washington

The Graduate School (http://www.grad.washington.edu) is responsible for the overall administration and coordination of graduate programs within the University. It is important for

students to be familiar with Graduate School policies and procedures. The Dean of the Graduate School must consider exceptions to these policies. The Doctoral Program Office is responsible for keeping students informed of relevant Graduate School policies, and for helping conform to these rules.

III.   PROGRAM REQUIREMENTS

The purpose of the Foster School's Ph.D. Program in Business Administration is to prepare students for successful careers as faculty and research staff at research-oriented institutions. Emphasis of the program is on rigorous training in basic disciplines and appropriate research methods.

A.   Area and Course Requirements

The following guidelines should be kept in mind when planning a program:

1. *Major and minor areas*. The major area must be chosen from one of the following major areas offered within the Foster School.

   Accounting
   Finance
   Information Systems
   Management
   Marketing
   Operations Management
   Technology Entrepreneurship

   Doctoral programs are either structured as a three-area program with two minor areas or a four-area program with three minor areas. The minor areas should be chosen to complement the major and satisfy the requirements below.

2. *Research methods requirement*. Research Methods is required minor area for all students. Students should check with either the Doctoral Program Office or the Doctoral Area Advisor to obtain lists of courses, which satisfy the Research Methods requirements in their major area of study.

3. *Basic discipline requirement*. Students in a four-area program are required to have an outside minor area in a basic discipline (e.g., Computer Science, Economics, Mathematics, Philosophy, Political Science, Psychology, Sociology, or Statistics), which complements their major. Students with three-area programs have the choice of either taking an outside minor area in a basic discipline or including at least four basic discipline courses from other units on campus as part of either the major or one of the minor areas.

4. *Area course requirements*. Each doctoral area has established guidelines for Supervisory Committees (see Section IV-B) to follow when developing programs of course work for students. These guidelines, which specify required and elective courses and the number of credits, which majors and minors must successfully complete within the area, are available in the Doctoral Program Office. Students with career goals necessitating special programs may petition the area faculty for exceptions to these guidelines.

    Students will not get credit for courses in which they receive an incomplete grade. Incomplete grades are supposed to be removed by the last day of the next quarter in residence. The Dean of the College in which the course is offered may waive this rule. In no case may an incomplete be converted into a passing grade after a lapse of two years or more.

5. *Department workshops*. All first- and second-year students are required to register for their departmental workshop (XXX 599) each quarter of the regular academic year. Some areas require their majors to register for the workshop as long as they are enrolled in residence. Whether required or not, students should participate actively in all departmental workshops. Exposure to the research process is an essential part of doctoral education.

6. *Dissertation credit hours*. Students must register for a minimum of 27 dissertation credit hours (BA 800) over the minimum of three quarters. Students should begin registering for BA 800 as soon as they have passed their major area exam and satisfied all of their course requirements for their minor areas.

B.   Area Grade Point Requirements

Students must maintain a 3.2 GPA or better in their major and each of their minor areas of study. For the purpose of this requirement, grades in 300 level courses will be counted in the GPA for minor areas if the courses are listed on the student's approved program of study. Grades in 600 level courses will not be counted in the GPA unless the Director of the Program has given prior approval. Note that the Foster School's minimum GPA requirement covers a broader set of courses than the Graduate School's minimum GPA requirement, which is based only on courses numbered 400-599.

A student with a GPA below 3.2 in his or her major area will not be allowed to take the major area exam until the GPA is raised to 3.2. A student with a GPA below 3.2 in a minor area will not have satisfied the requirements for that minor area. A student might be able to increase a low GPA by either repeating a course in which a low grade was earned or by adding an additional course to the approved program of study. When repeating a course, the second grade will replace the first in calculating the GPA for the area. The student's Supervisory Committee and the Director of the Program must approve all changes in a student's program of study, including repeating a course. A course may not be dropped from a program of study for the purpose of increasing a low GPA.

C. Teaching and Research Effectiveness Program

All first-year students are required to participate in the Foster School's teaching and research effectiveness program. The program involves intensive training during the Autumn Quarter with possible follow up sessions during the Winter and Spring Quarters.

D. Required Research Paper

Students are required to complete an independent research paper and present their findings in a departmental workshop before the end of their second year in the program. A faculty advisor supervises the research project on a topic selected by the student and approved by the faculty advisor.

E. Written Area Exams

Written area exams are required for all major areas, but not for minor areas. See section V for information on the major area exam. In addition to the major area exam, some major areas require a written exam covering basic tools (e.g., economics, mathematics, psychology, research methods, statistics, etc.), which are important for that major area of study. If required, the faculty in the student's major area administers the basic tool exam.

F. Dissertation

Students must present a dissertation demonstrating original and independent investigation and mastery of research skills. See section VI for information about the dissertation.

G. General Examination

The General Examination is an oral exam at which the student demonstrates his or her command over the subject matter in the areas in which the student has studied. See section VII for information about the General Examination.

H. Final Examination

The Final Examination is a formal defense of the student's dissertation. See section VIII for information about the Final Examination.

I. Continuous Enrollment and Official On-Leave Requirement

From the time of first enrollment in the Doctoral Program students must be registered as a Full-Time, Part-Time, or On-Leave students until completion of all requirements from the doctoral degree, including the passing of the Final Examination, the filing of the dissertation, and the

awarding of the degree. <u>Failure to maintain continuous enrollment constitutes evidence that the student has resigned from the Graduate School</u>.

Summer Quarter On-Leave status is automatic for all graduate students who were either registered or On-Leave the prior Spring Quarter. Students requesting on-leave status must submit an online request for "On-Leave Status" via MyGrad. This request should be submitted prior to the first day of instruction and as early as two weeks prior. Students, who are registered for any portion of a quarter, may not go on-leave for that quarter unless they officially withdraw at the Registrar's Office prior to the first day of the quarter.

IV.   PLANNING AND APPROVAL OF ACADEMIC PROGRAMS

A.   Planning and Approval of a Program of Study

Until a Supervisory Committee is formed, counseling and advising are done by the Doctoral Area Advisor in the student's major area. The advisor works with the student to develop a program of course work that prepares the student for the written and oral examinations and the dissertation. In planning this program, the Advisor takes into consideration the student's academic training, work experience, and career objectives, as well as area guidelines. The doctoral program allows great flexibility in program planning. If well executed, it results in a program custom designed for the student. By taking a strong program, the student will benefit by becoming well trained with highly marketable skills and will be able to do more significant dissertation research.

A program of study, which maps out the student's required course work, should be prepared as early in the program as possible. Since desired courses are not offered every quarter (or even every year), it is important to plan ahead to ensure that course requirements are met in a timely and logical fashion. If a student's interests change or if the course schedules dictate, a student's program of study can be revised. Changes in the program of study must be approved by the Supervisory Committee (or the Doctoral Area Advisor if a Supervisory Committee has not been established) and the Director of the Program.

The Doctoral Area Advisor and the Director of the Program must approve the student's program of study before the end of the student's second quarter of the program.

B.   The Supervisory Committee

The Supervisory Committee is responsible for the overall supervision of the student's program. The Supervisory Committee consists of a representative from each of the student's major and minor areas, as well as a Graduate School Representative (GSR). The chairperson of the Supervisory Committee must be a member of the Graduate Faculty of the University, and a productive scholar in the student's major field. Only <u>one</u> nonmember of the Graduate Faculty may serve on a Supervisory Committee. A roster of eligible Graduate Faculty is maintained in the Doctoral Program Office. The Director of the Program, in consultation with the Chair and selection by the student, proposes a GSR to the Graduate School.

1. *Selection and appointment of the Supervisory Committee*. The Supervisory Committee is appointed by the Dean of the Graduate School of the University of Washington on the recommendation of the Director of the Doctoral Program. The selection and appointment process is as follows:

   a. New students should become acquainted with faculty members in their major and minor areas as quickly as possible. Doctoral Area Advisors can suggest faculty members who have interests similar to the student's. The informal information network within the Ph.D. student community also provided information about the research interests of various faculty members. The objective is to base the student-faculty relationship upon a mutuality of interests. Students would be wise to have preliminary interviews with several faculty members before asking one to serve as Supervisory Committee chairperson.

   b. A student should directly approach faculty members whom the student would like to serve as chairperson of his or her Supervisory Committee to discuss that person's willingness to serve. Once it is agreed that the faculty member will serve, the Director of the Doctoral Program should be advised. The Director, in consultation with the student and the proposed chairperson, will then proceed to form the Supervisory Committee.

   c. The Supervisory Committee should be formed no later than the middle of Winter Quarter of the student's second year in the program. The Supervisory Committee <u>must</u> be appointed before the major area exam is taken and <u>at least</u> four months before the warrant for the General Examination is submitted to the Dean of Graduate School.

2. *Responsibilities of Each Member of the Supervisory Committee*.

   a. Give final approval to the student's program of study.

   b. Participate actively and represent the area in the General Examination.

   c. Participate actively in any departmental colloquium at which the student presents his or her dissertation proposal or dissertation.

   d. Participate actively and represent the area in the Final Examination.

   e. Assist with student whenever possible (e.g., through letters of recommendation) in obtaining fellowships, employment, etc.

   f. The GSR represents the broad concerns of the Graduate School, is a voting member of the committee, a graduate faculty, and participates in conducting both the General and Final Examinations.

3. *Responsibilities of the chairperson of the Supervisory Committee*. In addition to his or her role as a member of the Supervisory Committee, the chairperson has the following additional responsibilities.

   a. Call meetings of the entire Supervisory Committee at which the student's program of study is to be discussed and obtain signatures of all the members of the committee formally approving the program.

   b. Prepare an annual report on the student's progress in the program

   c. Advise the student on the timing of taking the basic tool examination, if required, and the major examination and serve, if asked, on the committee appointed by the department chairperson to prepare and grade these examinations.

   d. Chair the General and Final Oral Examinations.

4. *Committee changes*. There is no presumption that the original chairperson or other members of the Supervisory Committee will serve as chairperson or members of the Reading Committee. The Supervisory Committee is appointed early in the student's program. As the student's research interests develop, the student will select members for the Reading Committee, based on a mutuality of research interests. The Supervisory Committee should be reconstituted to bring members of the Reading Committee into the Supervisory Committee as soon as they are identified. Members of the Reading Committee will be automatically added to the Supervisory Committee when the Reading Committee is officially formed. However, if possible, the Supervisory Committee should be reconstituted prior to the General Examination. Specifically:

   a. The Reading Committee chairperson should become the Supervisory Committee chairperson also.

   b. Those Reading Committee members will usually replace those Supervisory Committee members whose areas are represented by other faculty on the Reading Committee. If there is more than one member from an area on the Reading Committee, they will be included on the Supervisory Committee.

   c. Reading Committee members from areas not represented on the Supervisory Committee would be added to the Supervisory Committee.

   All changes in the Supervisory Committee require formal approval by the Dean of the Graduate School upon recommendation of the Director of the Doctoral Program.

V.   **MAJOR AREA EXAMINATION**

A.   **Purpose**

The purpose of the major examination is to enable the student to demonstrate in writing a command of the subject matter in his or her major area. The student should be familiar with the central research findings and theory in his or her area of specialization and with appropriate research methods. The examination is more than a test of specific knowledge but represents the student's ability to synthesize that knowledge, identify researchable questions and propose research designs for dealing with them. Preparing for written area examinations provides the student with an opportunity to consolidate the subject matter knowledge obtained from courses, seminars, and independent study. This preparation time can be one of the most productive phases of the program with respect to developing subject matter competence. Up to this point, the subject matter has been acquired in discrete segments and must now be organized and put together into a cohesive whole. It is advisable to form study groups with other students preparing for the same examination. Such study groups may invite faculty members and advanced doctoral candidates to meet with them, both for discussion purposes and to evaluate their practice attempts at previous area exam questions.

B.   Exam Schedule

Each major area has established an examination schedule. Exams are usually given just once a year. Written examinations are scheduled by the Academic Departments after consulting with faculty and those students planning to take the exams.

C.   Exam Preparation and Evaluation

Technically, the chairperson of the Supervisory Committee is responsible for the preparation of the student's major area examination and for the determination of the final grade. In practice, however, questions for written area examinations often are prepared in conference with other faculty members or by area committees appointed by the department chairperson. Each department of major area decides on the written examination preparation procedure. However, in every instance at least two faculty members are required to read the entire examination.

D.   Exam Results

The respective area committees or the Supervisory Committee chairperson reports results of area examinations to the Doctoral Program Office. The results are available in the Doctoral Program Office after the supervisory faculty member has indicated the decision on the examination. All examinations are returned to the Doctoral Program Office for filing.

E.   Exam Failure

If a student (passes any required tools exam but) fails an area examination, the examination committee will report in writing to the student, the Supervisory Committee chairperson, and to the Director of the Doctoral Program recommendations as to whether the student should be dropped from the program or be permitted to retake the examination. The chairperson of the Supervisory Committee and the Director of the Doctoral Program will provide counsel but, until there is a second failure, the student decides on the course of action. If the student decides to

retake the exam, the Supervisory Committee and the Director of the Doctoral Program, in consultation with the student, will schedule another exam.

If a student fails a major examination twice, or fails a basic tools exam and a major area exam, then the Director of the Doctoral Program and the Supervisory Committee reviews the student's record and standing. Unless a strong case is made by the Supervisory Committee for allowing the student to continue, the student will be dropped from the program.

F.   Exam Timing

All written examinations should be taken by the end the student's second academic year in the program. It is expected that substantially all program requirements except the dissertation will be completed by that time.

VI.   DISSERTATION

The dissertation must represent an original and independent investigation. It should reflect not only the student's mastery of research techniques, but also his or her ability to select an important problem for investigation and to deal with it competently.

A.   The Reading Committee

The research for and the writing of the dissertation is carried out in close collaboration with the Reading Committee, particularly the chairperson. During this stage the student should be moving from the role of student toward the role of academic colleague.

1. *Appointment of the Reading Committee*. The Dean of the Graduate School on recommendation of the Director of the Doctoral Program appoints the Reading Committee. The student, however, requests that certain faculty members serve on the committee. As the selection of a topic proceeds and narrows, the student will find that the student is dealing more and more with some particular faculty member whose interest and expertise bear most directly on the topic. If mutually agreeable, that faculty member becomes chairperson of the Reading Committee. The Reading Committee consists of at least three members of the faculty. It is recommended that at least one member of the Reading Committee be from outside the candidate's major department and be selected on the basis of expertise in the methods used in the dissertation research.

   It is desirable to select a tentative Reading Committee as soon as the dissertation research area has been identified. Ideally, faculty who will be on the Reading Committee should be added to the Supervisory Committee prior to the General Examination. Formal appointment to the Reading Committee takes place only after the General Examination has been completed and the dissertation proposal has been approved. When the Reading Committee is formally constituted, the members will be automatically added to the Supervisory Committee if they are not already on it.

2. *Responsibilities of members of the Reading Committee*. Responsibilities of the committee members are:

   a. To counsel the student on successive drafts of his or her dissertation proposal.

   b. Participate in any departmental workshop at which the student presents his or her dissertation proposal or dissertation.

   c. Participate in the General Examination.

   d. Express approval of the research project by signing the warrant, which is filed with the Doctoral Program Office. Approval indicates agreement in principle with the objective and methodology of the proposed research.

   e. Provide counsel and guidance during preparation of the dissertation.

   f. Participate in the Final Examination in defense of the dissertation research.

3. *Responsibilities of the chair of the Reading Committee*. The chairperson of the Reading Committee has overall responsibility for insuring that the dissertation is worthy of the candidate, the School, and the committee. Among other things, this may involve:

   a. Agreeing with the student on a topic and the research methods used.

   b. Calling a meeting of the Dissertation Reading Committee or otherwise ascertaining their approval of the final dissertation.

B. Developing a Dissertation Proposal

Students are encouraged to discuss tentative dissertation proposal topics and formats with faculty members whose areas of instruction and/or research are related to their own research interests. It is recognized that these discussions frequently involve faculty members other than those serving on the Supervisory Committee. Students who are awarded research assistantships should seek assignment to faculty with whom they share interests and have the opportunity to develop research proposals.

As early in the program as possible, the student should prepare a tentative dissertation proposal (or perhaps several of them). It is extremely important for the student to commit his or her ideas to writing and to get feedback from faculty on the written drafts. The discipline imposed by writing a proposal often exposes flaws in reasoning that would not be noticed in casual conversations.

To stimulate the early development of a viable dissertation proposal, students should:

1. Set a goal of passing the General Examination no later than the end of the 15th quarter in the program.

2. Attend departmental workshops at which other students' dissertation proposals are presented. This should begin even during the first few quarters in the program. It will help to get to know the faculty, the advanced doctoral students, and the process by which dissertations are developed.

3. Take every opportunity to talk with faculty and fellow Ph.D. students about possible dissertation topics.

4. Try to work as a research assistant to faculty pursuing their own research that may be of interest to them.

5. Read the literature of their field both to see what topics are being published in recent journals and working papers and especially note their suggestions for further research.

6. Utilize term papers and the required research paper as preliminary investigations into areas that have dissertation potential.

7. Present preliminary versions of their dissertation proposal in department workshops.

8. Determine which faculty will serve on the Reading Committee as early in their program as possible. Students should work closely with this tentative Reading Committee in developing their dissertation proposal.

Students should keep the Doctoral Program advised of their progress toward developing a dissertation proposal. When a student develops a formal dissertation proposal, the student should submit a copy of the proposal to the Doctoral Program Office.

C.   Dissertation Formatting Requirements

The Graduate School publishes a booklet, Style and Policy Manual for Theses and Dissertations, which outlines format requirements. This manual can be obtained http://grad.uw.edu/for-students-and-post-docs/thesis-dissertation/etd-formatting-guidelines/ and should be read thoroughly before the student begins writing the dissertation. The dissertation must meet all format requirements before being accepted by the Graduate School.

VII.   GENERAL EXAMINATION

A.   Purpose

The purpose of the General Examination is to enable the student orally to demonstrate a command over the subject matter in the areas in which the student has studied, the ability to integrate the material and the bearing of the supporting areas on the major area of study, the

recognition of significant research questions in there area of interest, and the ability to develop research strategies and methods appropriate to these problems.

B. Scheduling of the General Examination

When the Supervisory Committee feels that the student is ready to take the General Examination, the student submits a request for General Examination to the Director of the Doctoral Program via the MyGrad online portal. This form formally requests that the student be permitted to take the qualifying oral examination for admission to candidacy on a proposed date at least three weeks subsequent to the date of application. The Director's approval is based upon the student having satisfied the residency requirements of the Graduate School and completed the course work and written area examinations designated in his or her program. The Director of the Doctoral Program transmits the approved application along with a memorandum requesting the scheduling of the General Examination in time for the Graduate School to check the student's file and publish the date of the examination in Official Notices. Once approval has been granted by the Graduate School, the Supervisory Committee will be notified by the Graduate Program Office.

C. Format of the General Examination

The Foster School has adopted the convention of having the General Examination be a defense of the dissertation proposal. However, members of the Supervisory Committee are free to ask other questions.

The Doctoral Program Office will announce the General Examination at least one week in advance and invite faculty and Ph.D. students to attend. Copies of the student's dissertation proposal must be available for interested faculty and Ph.D. students in the department office and the Doctoral Program Office one week in advance of the exam.

General Examinations are usually about one and a half to two hours in duration but must be sufficient to allow time for all members of the Supervisory Committee and other faculty members to participate in the discussion. The Supervisory Committee will meet privately after the presentation to evaluate the student's performance.

D. Exam Results

The decision of the Supervisory Committee as to whether the student passed all or part of the General Examination is by majority vote. In the event the examination is not satisfactory, the Supervisory Committee may deny the student an opportunity for re-examination in which case the student would be dropped from the program; or the committee may recommend that a second qualifying examination be permitted after a specified period of time subject to conditions indicated by the Supervisory Committee.

Once the General Examination has been passed successfully and the Graduate School has been informed, the student will be designated doctoral candidate and be issued a Candidate's Certificate from the Graduate School.

E.   Approval of the Dissertation Proposal

After passing the General Examination, the tentative Reading Committee will determine whether any modifications are needed in the student's dissertation proposal. When the tentative Reading Committee is satisfied with the proposal, they will sign the warrant and file it with the Doctoral Program Office. Formal appointment of the Reading Committee is made after the warrant is filed.

VIII.   FINAL EXAMINATION

The Final Examination is an oral defense of the dissertation research.

A.   Exam Scheduling

After the dissertation has been written to the satisfaction of the Reading Committee, the chairperson of the Supervisory Committee requests that a Final Examination be scheduled. A notice of the time and place set for the Final Examination, signed by all members of the Reading Committee, is submitted to the Graduate School. A University Graduate School requirement specifies that this must be done <u>at least</u> three weeks before the scheduled date. The Graduate School prepares a Warrant for the Final Examination for the Doctor's Degree and sends it to the Doctoral Program Office.

B.   Exam Format

The Final Examination is truly an examination process in which the candidate must defend his or her scholarship. The candidate may be asked to revise or extend portions of the dissertation before it is fully acceptable to the committee.

The Doctoral Program Office will announce the Final Examination at least one week in advance and invite faculty and Ph.D. students to attend. The Supervisory Committee will meet privately after the presentation to evaluate the candidate's performance. Success is determined by a majority vote of the Supervisory Committee.

C.   Exam Results

When the Final Examination has been successfully completed, the warrant, properly signed by the Supervisory Committee, must be returned to the Graduate School within 24 hours after the Final Examination.

If the Final Examination is unsatisfactory, the candidate may, upon the recommendation of the Supervisory Committee and with the permission of the Dean of the Graduate School, be granted a second examination after a mutually agreed period of further preparation.

D.   Filing of the Dissertation

Two copies of the dissertation in acceptable form, a signature page, and an abstract of the dissertation (not to exceed 600 words in length), must be presented to the Graduate School. <u>The dissertation must be submitted in final form to the Graduate School no later than 60 days following the Final Examination. Students who fail to comply with this policy can be required to retake the Final Examination.</u> We suggest a complete draft of the dissertation be in the hands of the Reading Committee in the quarter before the candidate expects to set up his or her final defense.

All doctoral dissertations are published in full . Candidates need to sign a publication agreement by the time the dissertation is presented to the Graduate School. Candidates who wish to apply for a copyright must clearly indicate so on the agreement form and pay the copyright fee (see https://www.etdadmin.com/main/home?siteId=412).

E.   Deadline for Graduation

To graduate in any one quarter, the candidate must complete all requirements for the degree by the last day of the quarter. Candidates not meeting this deadline must register for the following quarter.

IX.   PROGRESS REVIEW

Admission to the Graduate School allows students to continue graduate study and research at the University of Washington only as long as they maintain satisfactory performance and progress toward completion of their graduate degree program.

A.   Responsibility for Performance and Progress Review

Each student's performance and progress is reviewed annually by a committee of graduate faculty from the student's major area of study. Faculty will review the student's progress in areas related to research (coursework, research projects, etc.), teaching (course evaluations, instructor feedback, etc.), and service, if applicable. Feedback will be provided to the student each year. If there is evidence of low scholarship or unsatisfactory progress, the review committee will inform the chair of the Supervisory Committee and the Director of the Doctoral Program. If a student's performance or progress in the program is deemed unsatisfactory or his or her cumulative GPA falls below 3.0, then the student must be reviewed quarterly and be provided with an explanation of performance expectations and a timetable for correction of deficiencies.

B.   Criteria for Determining Unsatisfactory Performance and Progress

1. *Performance*. The review committee considers the student's performance in all aspects of the program. This includes course grades, evaluations from professors, performance on the major area exam, demonstrated research capability, progress toward completing a dissertation proposal or dissertation, and performance as a teaching and/or research assistant.

Graduate School rules specify that students must maintain a cumulative and quarter GPA of at least 3.0 based only on courses numbers 400 to 599. Foster School rules require that students maintain a GPA of at least 3.2 in their major area and in each of the minor areas. See Section III-B for a description of the area GPA requirement.

2. *Progress in completing program requirements*. A student may be considered to be in violation of the School's satisfactory progress rules if any of the following deadlines are not met:

   a. The Doctoral Area Advisor in the student's major field and the Director of the Doctoral Program must approve a program of study by the end of the 2nd quarter in the program.

   b. A Supervisory Committee must be appointed either by the end of the 7th quarter in the program or before the scheduled date for the student's major area exam, whichever comes first.

   c. The required research paper must be satisfactorily completed by the deadline set by the faculty in the student's major area.

   d. The major area exam (and any basic tools exam, if required) must be attempted at their regular scheduled times. Basic tools exams are usually scheduled during the Summer Quarter at the end of the first year in the program and major area exams during the Summer Quarter at the end of the second year in the program.

   e. All minor area course requirements must be completed with area grade point averages of at least 3.2 by the end of the 11th quarter in the program.

   f. Beginning in the Spring Quarter of the third year and continuing annually until the General Examination is passed, each student must demonstrate progress by presenting a preliminary version of his or her dissertation proposal in a departmental workshop. Copies of the proposal must be available for faculty and Ph.D. students prior to the presentation.

   g. The major area exam must be passed by the end of the 12th quarter in the program.

   h. The General Examination must be passed, a Reading Committee appointed and a signed warrant filed with the Doctoral Program Office by the end of the 15th quarter in the program. To avoid being placed on probation for failing to meet this requirement, a student must 'show cause' in writing and have the written support of his or her Supervisory Committee chair. The Director of the Doctoral Program will make the final decision after consultation with the Supervisory Committee chair. A General Exam must be passed by the 19th quarter, regardless of 'cause.'

i. The Final Examination must be passed and the dissertation filed by the end of the 24th quarter in the program.

The above program requirement deadlines are based on a calendar year that includes summer quarter. Time spent on a leave-of-absence is counted unless explicitly exempted by the Director of the Program prior to the granting of the leave-of- absence. A leave-of-absence may not be used for the purpose of avoiding an unsatisfactory progress situation described above.

C.   Actions in Cases of Unsatisfactory Performance or Progress

If the review committee decides that a student is not maintaining satisfactory progress, the Director of the Doctoral Program and the chairperson of the Supervisory Committee (and in some cases the whole Supervisory Committee) will discuss the situation with the student and recommend appropriate action. Unsatisfactory progress can lead to a change in the student's status in the program and possible loss of financial support. Graduate School Memorandum No. 16 presents guidelines for determining the action to be recommended for low GPA or unsatisfactory progress. The following actions are possible.

1. *Warn*. Students given warnings will be informed of how long they have to correct the condition(s) before probation is recommended.

    a. May be recommended for those students whose cumulative GPA has dropped slightly below 3.0.

    b. May be recommended for those students who have failed to meet the School's expectations for satisfactory performance and progress as defined above.

2. *Probation*. Students placed on probation will be notified of how long they have to correct the condition(s), which caused them to be placed on probation.

    a. May be recommended for those students who have not corrected the deficiency which caused the warn action within the specified time limit.

    b. May be recommended for those students who depart suddenly and substantially from scholarly achievement as defined above. (A previous warn recommendation is not necessary.)

3. *Final Probation*. May be recommended for those students who have not corrected the condition(s) that caused the probation recommendation within the specified time. A limit will be carried on final probation status for one quarter before being changed to drop, probation, or regular status.

4. *Drop*. Final action to be recommended. A drop recommendation means immediate drop from the University of Washington.

The Dean of the Graduate School will review recommendations for action on low GPA or unsatisfactory performance and progress, and students will be informed of a change in status by letter from the Dean.

D.   Student Appeals

The student has the right to appeal any change of status action. The appeal should be directed to the Director of the Doctoral Program, and will be acted upon by the Doctoral Program Committee. Further appeal procedures are detailed in Graduate School Memorandum No. 33 (: https://grad.uw.edu/policies-procedures/graduate-school-memoranda/memo-33-academic-grievance-procedure/).

X.   FINANCIAL SUPPORT

The goal of the program is to provide a comprehensive financial support package for at least four years consisting of graduate student service appointments (teaching and research assistantships) and fellowships or scholarships.

A.   School's Policy on Graduate Service Appointments

The following guidelines supplement the general guidelines of Executive Order No. 28 on graduate student service appointment (https://www.washington.edu/admin/rules/policies/PO/EO28.html).

1. It is the policy of the School to provide reasonable continuity of appointment for doctoral students in good standing so far as permitted by the availability of funding. First-year students with service appointments, who are progressing satisfactorily and performing their service tasks adequately, can expect to be reappointed during their second year in the program. Other doctoral students may expect to be reappointed as teaching assistants provided that they continue to make satisfactory progress toward the completion of the degree and maintain a high standard of performance as teaching assistant.

2. If the number of applicants for teaching appointments exceeds the number of positions available, reappointments will be based on the following criteria:

    a. Academic achievement and potential.

    b. The degree of excellence in teaching and research.

    c. The number of years in the program. While the school does not have a maximum duration of appointment, preference is given to students who are in their first four years of the program, then to fifth-year students, then sixth-year students, etc.

3. Students on probation may not hold service appointments without written permission from the Director of the Doctoral Program.

4. Students holding service appointments may not engage in teaching or other professional service outside the Foster School without written approval of the Director of the Doctoral Program.

5. Appointments for more than half-time (20 hours per week) commitment may not be made without approval of the Director of the Doctoral Program and the Dean of the Graduate School.

6. Unless there is a compelling reason to act otherwise, no student may be appointed to or continue to hold an appointment if the student receives a substantial fellowship or scholarship. Students receiving fellowships or scholarships from sources outside the Foster School should inform the Director of the Doctoral Program.

B.   Teaching Assistantship (TA)

1. *Appointment*. Department chairpersons arrange Teaching Assistant appointments. Appointments will be for periods not exceeding one academic year. During their first year their department chairperson automatically appoints Ph.D. students who are offered TA positions when admitted to the program. Continuing students interested in reappointment for the Summer Quarter or the next academic year should apply for a TA appointment with their department office early in the preceding Winter Quarter.

2. *Evaluation of Performance*. Teaching assistants must, for each course each quarter, solicit feedback from their classes by means of the student evaluation forms used throughout the Foster School. Tabulated summaries are to be filed with the department chair, the supervising faculty member, and the Doctoral Program Office.

3. *Teaching Portfolio*. Teaching assistants are encouraged to assemble teaching portfolios giving detailed information on their courses, objectives and teaching philosophies and evidence on student learning. Teaching portfolios are an excellent supplement to student ratings for evaluation of teaching performance. A teaching portfolio might include the following information:

a. Course syllabus;

b. Examples of assignments and teaching material with comments on the objectives in designing them and the implementation;

c. Reflective statements on teaching philosophy, aims and future goals;

d. If appropriate, an overview of work in course design or redesign, with comments on the rationales for changes;

e. Products of good teaching such as student work on tests, projects, or papers;

f. Description of steps taken to evaluate and improve one's teaching;

g. Student ratings.

C. Research Assistantship (RA)

The Ph.D. program places strong emphasis on research. RA appointments provide students with the opportunity to work closely with a faculty member on a research project – i.e., to learn about the process of research and to engage in scholarly research activity. Predissertation RA appointments are available for first- and second-year students. Some additional RA appointments may be available from faculty who hold professorships and the School's Centers. To be eligible for any of these RA appointments a student must maintain satisfactory progress toward the completion of the degree and a high standard of performance as a RA.

1. *Predissertation RA*. The School's predissertation RA program provides entering Ph.D. students with up to four quarters of RA appointments spread over the first two years of their program. First-year RA appointments are made by department chairpersons with the approval of the Director of the Doctoral Program. High priority is placed on assigning research assistants to faculty members who are likely to generate joint publications with Ph.D. students. Students are responsible for filing an application form, which is available in the Doctoral Program Office, includes a research proposal prepared by the student and/or the sponsoring faculty member.

2. *Professorship RA*. Faculty holding professorships provide a limited number of RA appointments from their professorships. Appointments are arranged by the faculty member subject to the approval of the Director of the Doctoral Program.

3. *School Center RA*. The School's Centers often provide funding for RA support. Ph.D. students may be assigned as research assistants to faculty members who receive Center research grants. Appointments are arranged by the faculty members subject to the approval of the Director of the Program.

D. Candidate Research Assistantships (CRA)

The Ph.D. Program offers Candidate Research Assistantships (CRA) to help students complete their dissertation. A CRA is a research assistantship in which the student is assigned to the Reading Committee chair and is expected to work primarily on their dissertation. To be eligible for a CRA, the student must be a fourth- or fifth-year student who has passed the General Examination, is making progress towards completing the dissertation, and is otherwise in good standing in the program. Eligible students may be awarded no more than three CRAs. Students

may use one quarter of CRA in the fall of a sixth year only with the approval of the Reading Committee Chair, the Department Chair, the Director of the Doctoral Program. and the Associate Dean of Faculty and Academic Affairs.

E.   Fellowships and Scholarships

Fellowships can be awarded at any stage of the Ph.D. student's program. In cases of severe financial need, smaller grants can be awarded to supplement regular TA and RA appointments at any time in the program.

Fellowships are awarded on the basis of academic achievement and potential for success. A student's performance in all aspects of the program is considered in making decisions about fellowships. This includes course grades, evaluations from professors, performance on the major area exam, demonstrated research capability, and performance as a teaching and/or research assistant. <u>The quality of the student's research and the speed with which the student is progressing are weighted heavily in determining which students receive fellowship awards</u>.

Many fellowships have financial need as a criterion. Consequently, students are strongly encouraged to file a Free Application for Federal Student Aid in order to document financial need. Application forms can be obtained from the Doctoral Program Office.

Nonresident student, who are US citizens, should apply for Washington State Residency, should apply for Washington State residency as soon as possible in their program. This can usually be done at the end of the first year in the program, provided that the student registers to vote, applies for a Washington State driver's license, and obtains Washington State License plates for his or her car at the beginning of the program. The necessary forms to apply for residency can be obtained from the Doctoral Program Office. For information about fellowships, see the Doctoral Program Office. PhD. Students are also encouraged to apply for dissertation research support from private foundations in specific fields and explore additional external funding. The Doctoral Program Office posts information on outside fellowships. A small number of dissertation fellowships are available from the Graduate School. The Foster School must nominate applicants.

F.   Other Support

The Ph.D. Program provides each student with modest budgets to support professional travel and research needs. For more information, please refer to the policies on the travel budget and research budget.

XI.   PLACEMENT ACTIVITIES

The Foster School and its faculty will provide whatever assistance they can in helping Ph.D. candidates find suitable employment when they graduate.

The Doctoral Program Office maintains a list of Students on the job market on the Ph.D. Program website (http://foster.washington.edu/phd). Student personal websites and resumes are linked to their dissertation titles and/or names.

There is probably no universally optimum routine for undertaking a job search in the academic marketplace. It varies among disciplines and among individuals. Close consultation with the faculty and the department chairperson in the major area will suggest suitable approaches.

The Doctoral Program Office will endeavor to fund travel in connection with a candidate's attendance at one academic conference where placement activities for one's field occur. Priority will be given to Ph.D. candidates presenting research paper at the conference.

It is very important for candidates to present their research at a department workshop before interviewing at any schools.

Students should avoid accepting commitments to assume responsibilities at their new institution before the dissertation is completed.