



THE UNIVERSITY OF CHICAGO BOOTH SCHOOL OF BUSINESS

Ph.D. Program Guidebook

**For Students Matriculating In The
2014-15 Academic Year**

Pietro Veronesi, Director
Malaina Brown, Senior Associate Director
Amity James, Assistant Director
Casey Gregg, Manager

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INTRODUCTION

This guidebook provides general and specific information for Ph.D. students at the University of Chicago Booth School of Business (Booth) who matriculate during the 2014-15 academic year. **The general procedures and rules** (not associated with dissertation area requirements) **in this Guidebook apply to all Ph.D. students, regardless of year of matriculation, unless otherwise specified.**

Ph.D. students should refer to this Guidebook for information regarding the general and specific Ph.D. degree requirements and for information regarding other Ph.D. Program procedures and rules. Students who matriculate during the 2014-15 academic year may choose to use those dissertation area requirements outlined in this Guidebook (2014-15) or those specified in the 2013-14 Guidebook (the requirements in place when the student was admitted to the Program). This decision is up to the student. Specific dissertation and support area requirements for a student who changes dissertation areas will be determined by the area to which the student transfers at the time of the transfer.

You may access this Guidebook and other information about the University of Chicago and Chicago Booth at the following internet addresses: Chicago Booth Ph.D. Program internal website – available by login through the Booth Portal at <http://portal.chicagobooth.edu> or directly at <http://programs.chicagobooth.edu/phd/>

This Guidebook complements the University's *Student Manual of University Policies and Regulations*. Knowledge of policies outlined in both is every student's responsibility.

The contents of this publication are subject to change. For the most updated version of the Guidebook, please refer to the above-mentioned websites.

Area Advisors

A student chooses a dissertation area before entering the Ph.D. Program. Dissertation areas include: Accounting, Behavioral Science, Econometrics and Statistics, Economics, Finance, Management Science/Operations Management, Marketing or Organizations and Markets. Each of these areas is supervised by a faculty advisor, a member of the faculty specializing in that area. These area advisors supervise the evaluation of applications to their respective areas, counsel new students on the curriculum in that area and how to plan their 5-year course of study, and serve as advisors to all the students in their respective areas throughout their course of study.

For the academic year 2014-15 these area advisors are the following Booth faculty members:

Accounting – Philip Berger, Wallman Family Professor of Accounting

Behavioral Science – Reid Hastie, Ralph and Dorothy Keller Distinguished Service Professor of Behavioral Science

Econometrics and Statistics – Ruey Tsay, H.G.B. Alexander Professor of Econometrics and Statistics

Economics – Canice Prendergast, W. Allen Wallis Professor of Economics

Finance – Amit Seru, Professor of Finance

Management Science/Operations Management – Baris Ata, Professor of Operations Management

Marketing – Pradeep Chintagunta, Joseph T. and Bernice S. Lewis Distinguished Service Professor of Marketing

Organizations and Markets – Ronald S. Burt, Hobart W. Williams Professor of Sociology and Strategy

Mission Statement

The mission of the Ph.D. program is to train prospective scholars to become highly skilled and innovative researchers and teachers in various aspects of business and to prepare them for careers as faculty members at premier academic institutions throughout the world.

- Faculty: The University and Chicago Booth faculty members are highly skilled and innovative researchers who publish in leading academic journals.
- Academic Seminars: Numerous academic seminars provide an open forum to observe the presentation of, and critically comment on, the research of Booth faculty, advanced Ph.D. students, and visiting faculty from other academic institutions.
- Ph.D. Courses at Chicago Booth: Booth offers leading edge Ph.D. courses that focus on conducting innovative academic research.
- Ph.D. Courses in Other Schools and Departments: The Ph.D. Program integrates its training with the faculty and courses in other schools and departments within the University.
- Computing and Database Resources: Booth maintains computing resources for its faculty and Ph.D. students, and develops and maintains access to databases needed to conduct academic research.

CHAPTER 1 – FACULTY EXPECTATIONS AND TIMELINE

Faculty Expectations and Timeline

Generally, students are expected to be “in residence” during all four academic quarters; the University has specific residency requirements that are outlined in Chapter 14 – Other University and BOOTH Policies.

First Year

- Complete coursework during the autumn, winter, and spring academic quarters and work on a research paper during the summer.
- Complete the General Examination requirements in the support area or the dissertation area (this depends upon area).

Second Year

- Complete course work during the autumn, winter, and spring quarters and work on a research project--the curriculum paper--during the summer.
- Complete the general examination requirements in the dissertation area or the support area (this depends upon area).
- Register for, attend, and receive a P/F grade for the weekly workshop in the area of specialization.

Third Year

- Complete curriculum paper by the end of the autumn quarter.
- Present the curriculum paper in a workshop during the winter or spring quarters.
- Begin the dissertation proposal during the spring quarter.
- Register for, attend and receive a P/F grade for the weekly workshop in the area of specialization.
- Reach Candidacy by the end of summer quarter.

Fourth Year

- Take specialized courses as needed to develop the area of expertise.
- Complete the dissertation proposal.
- Make substantial progress on the dissertation.

Fifth Year and beyond

- Finish and defend the dissertation.

Deadlines:

- Reach candidacy within a maximum of four years from the date of matriculation.
- Propose the dissertation within five years from the date of matriculation.
- Defend the dissertation within seven years from the date of matriculation.

These times represent generous upper limits. Most students will complete their studies within five years of matriculation. If, after careful monitoring and guidance from the Ph.D. Program Office, students cannot meet the requirements for candidacy within the allowed four years, they will be advised to leave the Program. Similarly, students who reach candidacy within the allowed four years, but then fail to propose and defend a dissertation within the three subsequent years, will also be withdrawn from the Program.

CHAPTER 2 – PH.D. DEGREE REQUIREMENTS

Brief Outline

Within the general and area-specific degree requirements, students are encouraged to design their academic program to suit their individual research interests and educational backgrounds. The Ph.D. general degree requirements are as follows:

Dissertation Area: Successfully complete the general examination requirements in the student's dissertation area: Accounting, Behavioral Science, Econometrics and Statistics, Economics (and its related fields of study), Finance, Management Science/Operations Management, Marketing, or Organizations and Markets.

Support Area: Successfully complete the General Examination requirements in a basic discipline that supports the student's dissertation area: Behavioral Science, Econometrics and Statistics, Economics, Management Science/Operations Management, or Organizations and Markets. Behavioral Science and O&M students have additional support area options, as outlined in the general examination requirements. Economics students complete field specializations, which serve as their support area.

Coordinated Sequence: The coordinated sequence is required by some dissertation areas but not by others. In those areas that require it, students should successfully complete a three-course sequence, generally in an area other than the dissertation and support areas. Some dissertation areas require specific coordinated sequences. The General Examination Requirements by Area detail whether the coordinated sequence is required.

Dissertation Area Workshop: Successfully register for and participate in a workshop in the student's dissertation area during the student's second and third years in the Program. Generally, each quarter the student must write and submit summaries of any two presentations during that quarter. Grading is pass/fail. A total of six quarters with a grade of pass is required.

Curriculum Paper and Presentation: Write an original research paper and present it in a curriculum paper workshop. The paper must be completed by the end of autumn quarter of the third year and the workshop presentation must take place during winter or spring quarter of the third year.

Candidacy Requirements: Certification of candidacy indicates that a student has completed the above listed requirements and has reached the advanced stage of the Ph.D. Program, permitting him/her to devote full-time to writing a dissertation.

Dissertation Proposal: Initiate a major piece of original research (the dissertation proposal) and present it for faculty approval at a dissertation proposal seminar.

Dissertation Defense: Complete a satisfactory dissertation and defend it successfully at a dissertation defense seminar. This research is the completion and extension of the research presented at the student's dissertation proposal seminar.

Details

Dissertation Area General Examination Requirements

A student declares his or her intended dissertation area before entering the Ph.D. Program. Dissertation areas include: Accounting, Behavioral Science, Econometrics and Statistics, Economics, Finance, Management Science/Operations Management, Marketing, or Organizations and Markets.

A student must successfully complete the General Examination requirements in the student's dissertation area as part of the Ph.D. general degree requirements. The General Examination requirements may include but are not limited to: successful completion of specific courses, research papers, research workshops, reading lists, a written examination, and a faculty evaluation of the above; General Examination requirements may also require specific GPAs and a specified course load per quarter. The written part of the General Examination requirements is typically administered once a year, often between June and September. Usually, the dissertation area exam requirements should be completed by the end of the second year in the Program.

Examinations in Absentia

If the chair of the examination committee approves, examinations may be written in absentia with the approval of the Director of the Ph.D. Program.

Examination Results

Students receive the results of the written part of their General Examination requirements from the Area Advisor for their dissertation area or the PhD Program Office.

Examinations Not Passed

If a student fails the General Examination or other area requirements, the Director of the Ph.D. Program will consult with area faculty and decide if the student may continue the program in that area, should apply to change dissertation areas, or should be withdrawn from the Program. If a student is allowed to continue after initially failing the General Examination or other area requirements, s/he gets one more attempt to pass all components of the examination. Failure to pass all components on the second attempt will result in withdrawal from the program.

Course Overlap

Generally, courses taken to satisfy the dissertation area requirements cannot be used to satisfy any other Ph.D. course or General Examination requirement.

Support Area General Examination Requirements

A student must successfully complete the General Examination requirement in an area that supports the student's dissertation area as part of the Ph.D. general degree requirements. Support areas include: Behavioral Science, Econometrics and Statistics, Economics, Management Science/Operations Management, and Organizations and Markets.

The General Examination requirements may include completion of specific courses, research papers, research workshops, a written and/or oral examination, and a faculty evaluation of these requirements. The written portion of the General Examination requirements is administered once a year, usually between June and September. Generally, the support area General Examination requirements should be completed by the end of the first year in the Program (but this varies by dissertation area).

Examinations In Absentia

If the chair of the examination committee approves, examinations may be written in absentia with the approval of the Director of the Ph.D. Program.

Examinations Not Passed

If a student fails the written part of the General Examination requirements in a support area for the first time, the student may take the written examination in that support area again, or change support areas. If the student fails a written examination again, in either the original

or second support area, the Director of the Ph.D. Program will consult with the faculty in the student's dissertation area and decide if the student may continue the Ph.D. program.

Course Overlap

Generally, courses taken to satisfy the support area requirements cannot be used to satisfy any other Ph.D. course or General Examination requirement.

General Examination Timeline

Students must pass one exam by the end of the second year and two by the end of the third year.

Coordinated Sequence

If the student's dissertation area requires it, s/he must complete a three-course sequence with an average grade of "B" (3.0) or higher, generally in an area other than the dissertation or support area. Suggested coordinated sequences are listed under each area's general examination requirements. Some dissertation areas require specific coordinated sequences. It is possible to create sequences of courses in other University schools or departments with the approval of the Director of the Ph.D. Program.

Course Credit

Students may use graduate courses taken at other approved institutions to satisfy the coordinated sequence requirements **with the approval of the area advisor and the Director of the Ph.D. Program.**

Course Overlap

Generally, courses taken to satisfy the coordinated sequence requirement cannot be used to satisfy any other Ph.D. course or General Examination requirement.

Dissertation Area Workshop Requirement

To fulfill this requirement, Ph.D. students must register as a workshop participant **for the workshop required by their dissertation area** during each academic quarter of the student's second and third years in the Program - a total of 6 quarters. The workshop participant course requirements vary by area. The minimum requirements are that students attend scheduled seminars; some areas require that students write a short summary and critical comments on two papers presented in the seminar in each quarter. The workshops are graded on a pass/fail basis by the faculty member in charge of the seminar during the quarter. The student should check with the professor in charge of the workshop at the beginning of the quarter to determine the requirements for that quarter's workshop.

The Ph.D. Program emphasizes the development of the student's capacity to conduct original research. Successful completion of the program in a timely manner depends on the ability of the student to work independently and to identify, analyze, and solve research problems effectively and creatively. Workshops provide a transition in emphasis for the student from courses to research and afford a testing ground for dissertation proposals. The workshops supplement the formal course work and provide depth to the student's understanding of his or her dissertation area. Moreover, they provide an opportunity for the student to gain experience in critiquing and presenting material before an interested and critical group.

Curriculum Paper

Each student must write an original research paper and present it at a workshop during his or her third year in the Program. The paper must be completed by the end of the autumn quarter of the student's third year in the Program. The paper must be approved by two Booth faculty

members, generally from the student's dissertation area. (A student may request permission from the area advisor to have one faculty member from outside the student's dissertation area; the other faculty member must be from the student's dissertation area.) If the paper is approved, the student must present it in a workshop by the end of the spring quarter of the student's third year in the program. Ideally, the curriculum paper is a preliminary work which will eventually become a student's dissertation. The specific procedures of the Curriculum Paper are below. **Some dissertation areas have additional requirements; consult the relevant dissertation area requirements and the section of this guidebook on co-authorship (Chapter 5).**

- (1) Prior to the end of the **late June deadline** in the student's second year in the Program, a student must submit a copy of the "Curriculum Paper Topic Approval Form" to the Ph.D. Office, signed by two Booth faculty members who approve the topic and agree to serve as readers of the curriculum paper. If, at any point, the student changes the topic, s/he must get faculty approval for the new topic and submit a new form to the Ph.D. Office. Finance students have an earlier deadline for this approval form due to the earlier due date for the finance paper.
- (2) Prior to **the beginning of the autumn quarter**, the student must submit an outline of the curriculum paper and a signed copy of the "Curriculum Paper Outline Approval Form" to the Ph.D. Office. **Autumn quarter stipend checks will be withheld until the signed copy of the "Curriculum Paper Outline Approval Form" has been submitted to the Ph.D. Office.**
- (3) Prior to the end of the **last day of the autumn quarter** of the third year, the student must submit a copy of the completed curriculum paper to the Ph.D. Office and to the two faculty readers.
- (4) Prior to the end of the **first week of the winter quarter** of the third year, the two faculty readers must read the curriculum paper and affirm that it is satisfactory. The student must submit a signed copy of the "Curriculum Paper Evaluation Form." **Winter quarter stipend checks will be withheld until the signed copy of the "Curriculum Paper Evaluation Form" has been submitted to the Ph.D. Office.**
- (5) Students are required to present the curriculum paper in a Curriculum Paper Workshop, preferably the workshop of the student's dissertation area, held during the winter or spring quarter. Both faculty readers must be present and sign the "Curriculum Paper Presentation Form" stating that the presentation was acceptable.
- (6) Students are required to upload a PDF copy of their curriculum paper to the PhD Program database (available through the portal). This copy will be accessible to other students.

Failure to complete the Curriculum Paper requirement, as outlined above, will mean that the student is **not** making satisfactory academic progress in the Ph.D. Program.

Candidacy Requirements

Certification of candidacy indicates that a student has reached the advanced stage of the Ph.D. Program, permitting him/her to devote full-time attention to writing a dissertation. It is a University of Chicago requirement that eight months must elapse between admission to candidacy and conferral of the degree. The Ph.D. Program Office reviews eligibility for candidacy once each year. Students have four years from the date of matriculation in the Program in which to reach candidacy. The requirements for candidacy are the first five steps of the Ph.D. requirements:

- Successful completion of the General Examination requirements in the student's dissertation area
- Successful completion of the General Examination requirements in the student's support area (basic discipline)
- Successful completion of an approved coordinated course sequence (if required by the dissertation area)
- Successful completion of the dissertation area workshop requirement
- Successful completion of the Curriculum Paper requirement (including presentation in a Curriculum Paper workshop)

Upon reaching candidacy, the student is ready to complete the last two tasks of the Ph.D. requirements: proposing and then defending his or her dissertation.

Dissertation Proposal

To gain formal approval, the student's dissertation proposal must be presented at a seminar. At this seminar, open to all Ph.D. students and faculty members, the student has an opportunity to explain, defend, and modify the dissertation proposal. The final decision whether to permit the student to proceed with the dissertation topic is made by the dissertation committee composed of the dissertation chairperson and at least three other faculty members.

The chairperson authorizes the scheduling of the dissertation proposal seminar. Please see Chapter 6 for additional details on scheduling the dissertation proposal. Once scheduled, the Ph.D. Program Office distributes a notice inviting all faculty and doctoral students to attend the seminar. This notice must be sent out no later than two weeks prior to the date of the seminar. **The student must provide a copy of the entire proposal to each dissertation committee member and the Ph.D. Program Office one week before the proposal seminar.**

Dissertation Defense

The dissertation has no prescribed length. To gain formal approval, the student's dissertation must be presented at a dissertation defense seminar. The dissertation defense presentation may be attended by any Ph.D. student or faculty member, but final approval of the dissertation is made by the dissertation committee. Approval by the dissertation committee is required to pass the dissertation defense.

The dissertation chairperson, in consultation with the dissertation committee, determines when a student is ready to schedule a dissertation defense and informs the Ph.D. Program Office which then sends out a notice announcing the defense. This notice must be sent out no later than two weeks prior to the date of the defense. Additional details on scheduling a dissertation defense are in Chapter 6. **The dissertation must be submitted to the student's dissertation committee and the Ph.D. Program Office at least one week before the dissertation defense.**

CHAPTER 3 – GENERAL EXAMINATION REQUIREMENTS BY AREA

This chapter presents the General Examination requirements that must be fulfilled for each dissertation area and support area. These requirements may include specific courses, research papers, research workshops, reading lists, and/or a written examination. Please review these requirements with the Ph.D. Area Advisor in your chosen dissertation and support areas.

Accounting

The goal of the accounting area dissertation requirements is to ensure that Ph.D. candidates in accounting have both a good understanding of the field of accounting—the basic principles of accounting as well as the field of accounting research—and sound training in the underlying disciplines of economics, statistics, econometrics, and finance. However, the program is also designed to allow students a certain level of flexibility to pursue their own interests, which may lie in these areas or may lie outside, for example in psychology, law, or sociology. Students are thus encouraged to tailor their educational experience to take advantage of the rich variety of intellectual activity that is a hallmark of the University of Chicago. Students are especially encouraged to think creatively about how accounting is linked to other fields as well as to deepen their understanding of accounting and economics.

Students who enter the program with little or no academic or work experience in accounting are strongly encouraged to take two or more MBA classes in accounting (common examples being B30000, B30001, B30116, B30117, B30118, B30130) to ensure they have sufficient understanding of the accounting fundamentals that will be important for their subsequent career teaching and conducting research.

Separate from these requirements, there is a strong expectation that all accounting students attend and participate in the weekly accounting research workshop. Students should also monitor other workshop series (particularly that in finance) for workshops relevant to their research interests.

When fulfilling general Ph.D. degree requirements, please make sure to consult other relevant sections of the Guidebook. This includes requirements regarding completion of the curriculum paper (Chapter 2) and co-authorship (Chapter 5). The deadlines and other requirements associated with the curriculum paper in particular will be rigorously enforced.

Accounting as a Dissertation Area:

For students writing a dissertation in accounting, the General Exam requirements are:

(1) Successful completion of the sequence of accounting seminar courses as well as necessary prerequisites.

A. Accounting seminar course requirement. Students must take the following sequence of accounting seminar courses, earning an average grade of “B” (3.0) or higher:

Year One:

B30902: Empirical Research in Accounting (taken pass/fail)

B30904: Empirical Research on Managers’ Corporate Financial Reporting Decisions (sit in (not for credit) or take P/F)

Year Two:

B30901: Economic Modeling of Accounting Issues

B30902: Empirical Research in Accounting (for a letter grade).

B30903: Topics in Empirical Accounting Research (This class is currently taught by Professors Berger and Leuz in alternate years. Students are required to take both versions of the class, normally in their second and third years.)

B30904: Empirical Research on Managers' Corporate Financial Reporting Decisions (for a letter grade)

Year Three:

B30903: Topics in Empirical Accounting Research

B. Prerequisite or Concurrent Registration Courses. Students must enroll in all of the following prerequisite courses, earning an average grade of "B" (3.0) or higher:

B30901: E30100, E30200, B33911

B30902: B35901

B30903: B30902, B35901

B30904: B30000 or equivalent

Courses taken to fulfill the dissertation area requirements may also be used to fulfill support area and coordinated sequence requirements.

- (2) **Successful completion of first year summer paper no later than the beginning of the autumn quarter of the second year.**
- (3) **Successful completion of the coordinated sequence, a three course sequence in an area other than the dissertation and support areas, with an average grade of "B" (3.0) or higher. See below and Chapter 2.**
- (4) **Successful completion of the accounting area written General Examination.** Students normally take this exam in the summer immediately following their second year in the program.
- (5) **Successful completion of the accounting workshop participation requirement.** Accounting Ph.D. students are expected to attend accounting workshops throughout their studies at Chicago.¹ The Ph.D. Program workshop requirement is met by registering for and receiving a passing grade in the accounting workshop (B30600) during each quarter of the second and third years in the Program. When registered for the workshop, students should check with the workshop coordinator at the beginning of each quarter to determine what they need to do to earn the grade of P.
- (6) **Successful completion of any M.B.A. Program accounting courses** required to complete the individual student's knowledge of accounting (as determined by the Ph.D. Student Area Advisor in Accounting). For those students without a strong background in accounting, this would normally comprise 30000, 30116, and 30130.

¹ Note that the accounting research workshop is sometimes scheduled such that it conflicts with required first year classes. If this occurs students are expected to give priority to attending their required classes.

Please refer to Chapter 2 for curriculum paper requirements. In accounting, we expect students to turn in a final curriculum paper by the end of the autumn quarter of their third year, and present the paper to the faculty in the winter quarter of the third year.

Students in accounting can take a variety of support area/coordinated sequence combinations. Examples are:

<i>Support Area</i>	<i>Coordinated Sequence</i>
Economics	Econometrics & Statistics
Econometrics & Statistics	Economics
Behavioral Science	Economics

Here is an example of a four-year course schedule for a Ph.D. student writing a dissertation in accounting and taking economics as a support area and econometrics/statistics as a coordinated sequence. Students with other interests will take different schedules.

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting	B30904		B30902	Summer paper
Economics/Price Theory	E30100	E30200	B35903 B35908	
Finance	B35901	B35902	B33911	
Econometrics/Statistics	B41901	B41902	B41903	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting	B30904	B30901 B30903	B30902	Curriculum Paper, Written General Exam
Economics	B33911 B33921	E3xxxx		
Econometrics/Statistics		B41910	B4191x	
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B30600	B30600	B30600	

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting	B30903			
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B30600	B30600	B30600	

Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Year 4 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Dissertation	Propose	Continue	Continue	Complete
Attend Area Workshop				

Accounting as a Coordinated Sequence:

The following accounting courses can be taken to fulfill the coordinated sequence requirement: B30901, B30902, B30903, B30904 or any one of B30000, B30116, B30117, B30118, or B30130.

Behavioral Science

Behavioral Science involves research on how people use information and make decisions, and how they interact with one another in doing so in dyads, groups, and organizations. Studies in this area draw on theory and research from cognitive and social psychology, economics, neuroscience, and other related fields. Behavioral Sciences applies these disciplines to the study of human behavior in a wide range of managerial contexts. Examples include cognitive processes of judgment and decision making; motivation and self-control; psychological aspects of economic behavior; learning, reasoning, and problem solving by individuals, groups, and organizations; processes of negotiation; power and influence; teamwork and group processes; and organizational decision making. Students can focus their studies on the subset of research topics that best fits their interests and career goals. Studies in Behavioral Science can be paired with studies in Marketing for a focus on consumer behavior, with Organizations and Markets for a focus on organizational structures and processes, with Economics or Finance for a focus on economic behavior, and with a variety of other scholarly fields. In addition to courses offered at Chicago Booth, students take courses in Psychology, Economics, Sociology, Public Policy, and other university departments.

Students are expected to select a faculty member from the program as an advisor at the start of their studies. Though the advisor may change, it is essential that students have designated advisors at all times during their studies.

When fulfilling general Ph.D. degree requirements, please make sure to consult the relevant section of the Guidebook that discusses those requirements (e.g., curriculum paper requirements in Chapter 2, co-authorship rules in Chapter 5), in addition to area specific requirements.

Behavioral Science as a dissertation area.

For students writing a dissertation in Behavioral Sciences, the requirements are:

1) Successful completion of courses as itemized below. In order to assure appropriate consultation, the choice of courses to satisfy requirement (B) must be approved in advance of registration by the student's faculty advisor. The minimum grade allowed for a course to count towards the Ph.D. degree is a B (3.0) in all courses taught by primary Behavioral Science faculty members and a B- (2.7) for all other courses.

A. B38901, B38902, and B38903, B38913, B38914 – any 3 from Current Topics in Behavioral Science I, II, III (and Foundations of Judgment and Decision Making, Foundations of Social Psychology): at least one in each of the first 3 years in the Program.

B. Two courses in statistics. Usually B41901 and B41902, but others can be taken with permission. It is acceptable for B41901 and B41902 also to count toward fulfillment of the support area or coordinated sequence area requirements.

C. Two courses in research methods including:

- One in experimental design

This requirement can be satisfied by one of the following:

- Research Methods in Behavioral Science – B38911
- Design and Analysis of Experiments – Stat 34500
- Experimental Design I – Psych 37300

- Experimental Design II – Psych 37900
- One in non-experimental research methods

This requirement can be satisfied by one of the following (or by an alternative approved by PhD Program Advisor):

- Statistical Methods of Research I & II – Soc 30004 and 30005 (in this case, both courses must be taken to satisfy the requirement)
- Questionnaire Design – Psych 38600
- Survey Research Overview – Soc 30118
- Survey Research Methodology – PPHA 41600
- Survey Questionnaire Design – PPHA 41800

D. A solid introductory course in Microeconomics, Game Theory, or Behavioral Economics (e.g., B33101 [“Turbo-Micro”], ECON30500 [Game Theory], ECON21800 [Experimental Economics], etc.). (This requirement is waived for students who choose Economics as a Support Area.)

2) Successful completion of the First-year Summer Paper no later than the beginning of the autumn quarter of the second year.

3) Successful completion of the Behavioral Science written Ph.D. Qualifying Exam. Students must take the exam during their second year in the PhD program. The exam is composed of a written test and the submission of a short research paper (a good model for the format and scope of this report is a *Psychological Science* article). Details of the exam are available by request from the Ph.D. Program Advisor.

4) Successful completion of the workshop participation requirement. Ph.D. students are expected and encouraged to attend all Behavioral Science Workshops throughout their studies here. The minimum requirement is attendance at 75% of all workshops offered between matriculation and the acceptance of the dissertation proposal, excluding unavoidable class conflicts and periods in which the student is away for Ph.D.-study-related business.

The Behavioral Science course requirements include the following rules:

- (a) Generally, in the first two years of study, a student will enroll in a minimum of 3 Ph.D. courses (excluding workshops) each quarter, until his/her course requirements are fulfilled. This minimum is required to obtain financial support. Students who have a good reason to waive this requirement must obtain written permission from the Ph.D. Program Advisor at the start of each quarter in which they propose to enroll in fewer than 3 courses (unless they have completed all course requirements).
- (b) Students must retake any course in which they receive a grade below B–.

Psychology as a support area for Behavioral Science students.

Students may elect to complete the Support Area requirement in the field of Psychology (instead of the Chicago-Booth areas of Economics, Econometrics & Statistics, Management Science/Operations Management, or Organizations & Markets). To complete this requirement in Psychology, students must first complete most of the “Common Graduate Curriculum” coursework requirements in Psychology (all to be passed with grades of B– or higher):

- 1) Statistics Requirement (which will also “double count” to fulfill the two course “Statistics” requirement [1B] and the one-course “Experimental Design” requirement [1Ci])
- 2) Three (of five) Psychology core courses, in areas including Biological Psychology (Psych 30300), Cognitive Psychology (Psych 30400), Developmental Psychology (Psych 30500), Social Psychology (Psych 30600), Sensation and Perception (Psych 30700); (n.b., Students do not have to complete the “Trial Research Seminar” or the “Minor Area” requirements of the Graduate Psychology curriculum.)
- 3) Two additional PhD level courses in any area of Psychology that fit the student’s study plan

Behavioral Science as a support area.

The requirements for Behavioral Sciences as a Support Area are the same as for the dissertation area, except that 1)(D) is not required; the Behavioral Sciences exam may be taken in the third year instead of the second if preferred.

Behavioral Science as a coordinated sequence.

The following Behavioral Science courses can be taken to fulfill the coordinated sequence requirement: any three of B38901, B38902, B38903, B38904, B38913, B38914, and Psych. 43600 – Judgment and Decision Making. Other courses can be taken with the permission of the Behavioral Science PhD Program area advisor.

Joint Ph.D. Degree in Psychology and Business

Students may apply to complete a joint Ph.D. degree in Psychology and Business. Students who are admitted to Booth may apply for admission to the Joint Program at any time during their first two years of study at Booth. They must secure a faculty research sponsor in Psychology (in addition to one at Booth) in order to be considered. The details of this rigorous course of study are available from the Ph.D. Program area advisor.

Econometrics & Statistics

Econometrics and Statistics are concerned with the combination of economic, mathematical, and computing techniques in the analysis of economic and business problems such as forecasting, demand and cost analyses, model building, analysis of big data, and testing empirical implications of theories. Study in this area integrates a comprehensive program of course work with extensive research. The Program is designed for students who wish to do research in econometric and statistical methods that are motivated by business and economic applications. Students are able to design an individual program of study by combining courses in specific areas of business, such as economics, finance, accounting, management, marketing, or international business with advanced courses in statistical methods.

When fulfilling general Ph.D. degree requirements, please make sure to consult the relevant section of the Guidebook that discusses those requirements (e.g., curriculum paper requirements in Chapter 2, co-authorship rules in Chapter 5), in addition to area specific requirements (if any).

Econometrics & Statistics as a Dissertation Area:

For students writing a dissertation in Econometrics & Statistics, the General Examination requirements are:

- (1) Successful completion of six econometrics/statistics seminar courses:** A “B” (3.0) or higher grade point average must be achieved. If a student takes a course more than once, the highest grade will be used to calculate the grade point average.

B41903 – Applied Econometrics

B41910 – Time Series Analysis for Forecasting and Model Building

B41911 – Advanced Econometrics

B41912 – Applied Multivariate Analysis

B41913 – Bayesian Econometrics

B41914 – Multivariate Time Series Analysis

E31000 – Empirical Analysis I

E31100 – Empirical Analysis II

E31200 – Empirical Analysis III

Students may apply to the area advisor for permission to substitute courses from the Statistics and Economics departments. For example, stochastic calculus is helpful to students interested in financial econometrics.

- (2) Successful completion of the First-year summer paper no later than the beginning of the autumn quarter of the second year.**
- (3) Though the coordinated sequence is no longer required (beginning only for students who matriculate in 2009 or later; students who entered the program prior to 2009 must complete the coordinated sequence), students must take an additional 3 PhD courses of their choosing (related to their dissertation area) to fulfill the course requirements for Econometrics and Statistics.**
- (4) Research Paper Requirement: Successful completion of a research paper in Econometrics/Statistics.**

The student is required to write a research paper in Econometrics and Statistics by the second week of the autumn quarter of the third year. The paper will be evaluated by at least two Econometric and Statistics faculty members with a pass or fail grade, and feedback will be given to the student. Normally, the student has only one chance to pass this requirement. If the student successfully passes the research paper, s/he may revise it, according to the feedback received and expand on the results for his/her curriculum paper, due at the end of autumn quarter. The curriculum paper presentation requirement in a seminar during winter quarter must be fulfilled for Econometrics/Statistics students by presenting their E/S-Curriculum Paper in the Econometrics/Statistics Colloquium during winter quarter of the student's third year. The oral presentation will be judged by faculty with a pass or fail grade.

The Econometrics and Statistics course requirements include the following rules:

- (a) Generally a student will enroll in a minimum of 3 Ph.D. courses each quarter in their first two years of study (this includes workshops in the second year of study). This minimum is generally required to obtain full financial support.
- (b) A minimum grade of B- (2.7) is required in all courses. Students must automatically retake any course in which they receive a grade of C+ or below.

Following is an example of a four-year course schedule for a Ph.D. student writing a dissertation in Econometrics and Statistics, with economics as a support area, and finance as a coordinated sequence or an application area:

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Econometrics/Statistics	B41903	B41910	B41912	Optional 1 st -year paper
Price Theory	E30100	E30200	B30300	
Specialized Courses	XXX	XXX	XXX	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Econometrics/Statistics	E31000	E31100	E31200	Curriculum Paper
Finance	B35901	B35902	B35903	
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B41600	B41600	B41600	

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B41600	B41600	B41600	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Year 4 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Dissertation	Propose	Continue	Continue	Complete

Econometrics & Statistics as a Support Area:

Empirical work has always been an important part of the research effort at Chicago Booth in all fields of study. Econometrics and Statistics courses are thus useful choices in satisfying the support area. This is particularly so as we are in a data-rich environment.

For students who take Econometrics and Statistics as a support area, the General Examination requirements are the completion of six of the courses listed below with a minimum grade point average of “B” (3.0). If a student takes a course more than once, the highest grade will be used to calculate the grade point average. Two of the six courses must be B41901 and B41902, although students with a strong background may apply to the area advisor for permission to replace B41901 and/or B41902. No written General Examination is required.

The list of courses from which students may choose is as follows:

- B41901 – Probability and Statistics
- B41902 – Statistical Inference
- B41903 – Applied Econometrics
- B41910 – Time Series Analysis for Forecasting and Model Building
- B41911 – Advanced Econometrics
- B41912 – Applied Multivariate Analysis
- B41913 – Bayesian Econometrics
- B41914 – Multivariate Time Series Analysis
- E31000 – Empirical Analysis I
- E31100 – Empirical Analysis II
- E31200 – Empirical Analysis III

Econometrics & Statistics as a Coordinated Sequence:

The following Econometrics and Statistics courses can be taken to fulfill the coordinated sequence requirement: any three of B41901, B41902, B41903, B41910, B41911, B41912, B41913, or B41914. No workshop courses at Chicago Booth or the University (e.g., Statistics 49400) can be used to fulfill the coordinated sequence requirement.

Economics

Fields of study in economics include price theory, market structure, industrial organization, labor economics, financial economics, business cycles, economic growth, and international economics. Students take advantage of a wide range of course offerings in both the Graduate School of Business and the Department of Economics. After completion of coursework, students write dissertations in fields of their choosing.

When fulfilling general Ph.D. degree requirements, please make sure to consult the relevant section of the Guidebook that discusses those requirements (e.g., curriculum paper requirements in Chapter 2, co-authorship rules in Chapter 5), in addition to area specific requirements (if any).

Economics as a Dissertation Area:

For students writing a dissertation in economics, the General Exam requirements are:

Year One:

Complete the Economics Core: Successful completion of the following 8-course economics core with a grade point average of “B-” or higher. If a student takes a course more than once, the highest grade will be used to calculate the GPA.

Microeconomics (3 courses): E30100 – Price Theory I, E30200 – Price Theory II, E30300 – Price Theory III

Macroeconomics: (2 courses): E33000 – Theory of Income I, E33100 – Theory of Income II

Quantitative Analysis (3 courses): E31000, E31100, E31200 – Empirical Analysis I, II, III

Pass the Economics Core Examinations in Microeconomics and Quantitative Analysis. Achieve a passing grade on the core examinations in Microeconomics and Quantitative Analysis, administered by the Department of Economics. Students should plan to take these examinations at the end of their first year of study.

Participate in the Applied Economics Workshop: First year students are required to attend the Applied Economics Workshop during the spring quarter of their first year and for all of their second year and third years.

Year Two:

Complete nine Ph.D. level courses in economics, including Applied Price Theory– E34201 (or an alternate approved by the Area Advisor if this course is not being offered), with a grade point average of “B” or higher.

Demonstrate Proficiency in Two Fields of Specialization: Students must demonstrate proficiency in two specialized fields. The method(s) for certifying proficiency in each Specialized Field will be chosen by the faculty teaching in that Field. Specifically, the methods are: (1) with a GPA (3.0 average) in the Field courses (unless otherwise specified below); (2) with a Preliminary Examination (3) with a Preliminary Paper. Each Field can choose one or more options, as the faculty members prefer.

Fields of study are to be chosen from the list below. Other course sequences in may be substituted with the approval of the area advisor.

Econometrics & Statistics: Refer to the Econometrics/Statistics General Exam requirements. Courses taken to fulfill the first year Economics core requirements cannot be used to satisfy the Econometrics/Statistics General Exam requirements.

Financial Economics: Must successfully complete the “six finance course requirement” (see the Finance dissertation area requirements).

Industrial Organization: B33921, B33922, and B33923 – Advanced Industrial Organization I, II, III.

Economics of Information: At least one A- and neither grade less than B for E30500 (Game Theory), and B33911 – The Economics of Information. (Note: In years when E30500 is not given, Econ. 40200 – Advanced Auction Theory may be substituted.)

Labor Economics: See the Department of Economics Program Guidebook.

Field Specialization Certification: Students should consult the Department of Economics Program Guidebook for additional information on how field specializations are certified by the Department (by GPA, exam or paper or some combination thereof).

Course Overlap: Six of the nine courses taken to fulfill the second year dissertation area requirements may also be counted to fulfill the support area requirement of the Program. The remaining three may also count to fulfill the coordinated sequence requirement.

Note: The faculty recommends that students take additional econometrics courses beyond those in the economics core if they intend to conduct empirical research.

Here is an example of a four-year course schedule for a Ph.D. student writing a dissertation in economics:

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Microeconomics	E30100	E30200	E30300	Optional 1 st -year paper
Macroeconomics	E33000	E33100	E33200	Core Exams in Microeconomics and Quant. Analysis
Quantitative Analysis	E31000	E31100	E31200	
Applied Economics Workshop			B33610	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Field Specialization I	XXX	XXX	XXX	Exam if needed
Field Specialization II	XXX	XXX	XXX	Exam if needed
Applied Price Theory and Other Courses (as needed)	E34201	XXX	XXX	
Area Workshop	B33610	B33610	B33610	
Curriculum Paper				Begin

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B33610	B33610	B33610	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Year 4 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Dissertation	Propose	Continue	Continue	Complete

Economics as a Support Area:

For students who take economics as a support area (a basic discipline), the General Examination requirement is the completion of six of the courses listed below with a minimum grade point average of "B-". At least two of the six courses must be in Microeconomics. At least one course, and no more than two courses, must be chosen from each of Macroeconomics and Empirical Analysis. If a student takes a course more than once, the highest grade will be used to calculate the grade point average. No written General Examination is required.

Microeconomics: At least 2 courses from: E30100, E30200, E30300 – Price Theory I, II, III; B33101 – Advanced Micro Analysis.

Macroeconomics: At least 1 course and no more than 2 courses from: E33000, E33100, E33200 – Theory of Income I, II, III. For students writing dissertations in Accounting, Marketing, MOB, MS/OM, or O&M, the microeconomics course B33911 – Economics of Information may be substituted for E33000, E33100 or E33200.

Empirical Analysis: At least 1 course, and no more than 2 courses from: E31000, E31100, E31200 – Empirical Analysis I, II, III; B41901 – Probability and Statistics, B41902 – Statistical Inference, B41903 – Applied Econometrics; or other, more advanced, statistics or econometrics courses such as B41910 – Time Series Analysis for Forecasting & Model Bldg., B41911 – Advanced Econometrics, B41912 – Applied Multivariate Analysis, etc.

Additional Courses: In addition to the four courses required above, students must take two courses. These can be any of the courses mentioned above (subject to the stated constraints) or any other Ph.D.-level economics courses at Booth or in the Department of Economics.

Some dissertation areas may have specific economics course requirements or suggestions; students should discuss this issue with the Ph.D. Area Advisor in their respective dissertation areas.

Course overlap: Courses used to satisfy other Ph.D. area requirements may not be double-counted as Economics support area courses. That is, students must choose 6 courses from the list above and beyond what they take to satisfy other requirements.

Economics as a Coordinated Sequence:

The following economics courses may be taken to satisfy the coordinated sequence requirement: any three of E30100, E30200, E30300, E34201, E33000, E33100, E33200, B33911. Industrial Organization is also an approved sequence: B33921, B33922, and B33923.

Finance

The Finance Ph.D. Program is concerned with such areas as: (1) the behavior and determinants of security prices, including stocks, bonds, options, and futures; (2) portfolio management; (3) the management of corporate and public funds, including the choice of investment projects and the choice of sources of funds; (4) corporate governance and the incentive problems of corporate officials; and (5) the management and regulation of financial institutions. Students take courses from both Chicago Booth and the Department of Economics as part of their training.

When fulfilling general Ph.D. degree requirements, please make sure to consult the relevant section of the Guidebook that discusses those requirements (e.g., curriculum paper requirements in Chapter 2, co-authorship rules in Chapter 5), in addition to area specific requirements (if any).

Finance as a Dissertation Area:

For students writing a dissertation in Finance, the General Examination requirements are:

1) Six finance course requirement: Students must take at least six finance courses as stipulated below:

- The following four required classes: B35901, B35902, B35903 – Theory of Financial Decisions I-II-III; and B35904 – Asset Pricing or B35912 – Asset Pricing Theory.
- At least two electives from this list:
 - B35905 – Topics in Empirical Finance
 - B35906 – Behavioral Finance
 - B35907 – Topics in Asset Pricing
 - B35908 – Research Projects
 - B35910 – Asset Pricing and Macroeconomics
 - B35913 – Advanced Theory of Corporate Finance and Capital Markets
 - B35915 – International Macroeconomics and Finance
 - B35132 – Advanced Models of Option Pricing and Credit Risk
 - B33911 – Economics of Information

Please note that not all of the courses on the electives list above are offered every academic year. Students should consult the Booth course list published each year online and plan accordingly.

Students must obtain a grade point average of at least 3.5 out of 4.0 in the six finance courses. Students must complete this course work by the end of the spring quarter of their second year. At the discretion of the finance faculty, a student who has passed the “Second Year Paper in Finance Requirement” (see below) but who has not met the “Six Finance Course Requirement,” may be allowed to continue in the Finance Dissertation Area conditional on meeting the “Six Finance Course Requirement” by the end of the spring quarter of the student’s third year.

2) Successful completion of the support area and coordinated sequence requirement. Between support area and coordinated sequence, students must have

successfully taken the following courses with a minimum average grade of B - (2.67):

- Microeconomics: At least 2 Price Theory courses (Econ 30100, 30200, 30300)
- Macroeconomics: At least 2 Theory of Income courses (Econ 33000, 33100, 33200)
- Statistics/Econometrics: At least 2 Empirical Analysis courses (Econ 31000, 31100) or Econometrics and Statistics courses from Booth (B41901, B41902, B41903 or more advanced)

The required courses and the standard of performance in them seek to ensure that a student masters the body of knowledge that the academic world has come to expect of students trained at Chicago. The rules also ensure that a student will have some class contact with different faculty who may later serve on thesis committees.

- 3) Successful completion of the second year paper in Finance.** A student must submit an original research paper in early September at the end of the student's second year in the Program. The topic approval deadline for this paper is generally early Spring quarter of the student's second year. An initial draft of the paper is generally due to the student's advisors by late July.

After the second year paper in Finance has been reviewed, the Finance faculty will evaluate the student's overall performance in coursework and research to decide if the student has successfully completed the General Examination requirements in Finance.

Papers co-authored with faculty members or students (at Chicago or elsewhere), or where co-authorship is anticipated, may not be used to satisfy any of the Finance research requirements for a Ph.D. (second-year paper or dissertation).

A student may fulfill both the curriculum paper requirement and the finance paper requirement with the same paper. However, the student must also comply with the "Curriculum Paper" submission requirements. Extensions to Curriculum Paper/Finance Paper deadlines (e.g., Topic Approval Form) must be obtained from the Finance Area Advisor. Extensions are not allowed for the Finance Paper itself.

- 4) Successful completion of the Finance research requirement:**

a) Students are required to register for the Finance Workshop, B35600, for a grade of Pass/Fail each quarter that it is offered during their second and third years in the Ph.D. Program. Attendance at at least 70% of the workshops is required to obtain a grade of Pass. Students must self-report their attendance to the faculty member in charge of the workshop at the end of each quarter.

b) Students must present their research at the University of Chicago two times in each of the third and fourth years. The curriculum paper presentation and dissertation proposal may count toward this requirement. At least one faculty member must be present at the presentation.

Optional First Year Summer Paper in Finance:

Finance students wishing to write an optional research paper during the summer following their first year in the Program may apply for a grant to the Center for Research in Security Prices (CRSP). Two types of projects are possible:

- (1) Original Research: Submit an original paper to the Ph.D. Office by the end of September of the first year. If the paper is an extension of one written for a course, the extension must be substantial and the original paper must be submitted with the

CRSP research paper. The Finance faculty will evaluate these papers and provide feedback.

- (2) **Junior Co-authorship:** Work as a junior co-author with a Finance faculty member. The student must be signed on as a junior co-author by a faculty member before the summer quarter of the student's first year in the Program. (See Chapter 8 of this *Guidebook* for details about co-authorship.)

The requirements and procedures are as follows:

- Papers must have substantial financial content.
- The student must be in residence and work during his or her first summer in the Program.
- The student must submit an outline (see below) of the proposed paper to the Ph.D. Office by the spring quarter deadline outlined by the Ph.D. Office.
 - Students writing an original research paper must submit an outline of the proposed study or a copy of an existing paper the student is extending to the two Finance faculty members with whom the student would like to work.
 - Students working as a junior co-author with a Finance faculty member must submit an outline of the proposed joint project.
- The outline should be accompanied by the appropriate CRSP application form, signed by two Finance faculty sponsors.
- A draft of the paper or research project must be submitted to the Ph.D. Office by the first day of autumn quarter.
- The paper or research project will be evaluated by a committee of three Finance faculty members. If it is approved, the student will receive a grant of \$5,000 before the end of the autumn quarter.

Here is an example of a four-year course schedule for a Ph.D. student writing a dissertation in Finance with Economics as a support area and Econometrics and Statistics as a coordinated sequence.

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Microeconomics (at least 2 Price Theory courses)	E30100	E30200	E30300	Optional 1 st -year paper
Empirical Analysis (at least 2 courses) / Econometrics	E31000	E31100	E31200	
Macroeconomics (at least 2 Theory of Income courses)	E33000	E33100	E33200	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Finance	B35901	B35902	B35903	
Finance	B35904 or B35912	B35906 or B35132	B35907 or B35908	
	B4191X			
Area Workshop	B35600	B35600	B35600	
2 nd year/Curriculum Paper			Begin	Complete

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B35600	B35600	B35600	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Year 4 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Dissertation	Propose	Continue	Continue	Complete

Finance as a Support Area:

Finance courses cannot be taken to fulfill the support area requirements for the Ph.D. degree, except for students whose dissertation area is Economics and who may elect Financial Economics as a field specialization.

Finance as a Coordinated Sequence:

The following Finance courses can be taken to fulfill the coordinated sequence requirement: any three of B35901, B35902, B35903, B35904, B35905, B35906, B35907, B35908, B35910, B35912, B35913, B35915, and B35132.

Joint Program in Financial Economics

Students may apply to the Joint Program in Financial Economics at the time of their application to the Finance program or in Spring or Summer quarter of their first year. The details of this course of study are available from the Ph.D. Program area advisor. Students must meet the requirements for Booth and the Department of Economics.

Management Science/Operations Management

Management Science is concerned with the application of mathematics and computer methods to management problems. The field of Operations Management applies the underlying methodologies of Management Science to deal with the problems of developing, producing, and delivering goods and services. The focus is on how to combine concepts, models, and data to help managers develop better systems and make better decisions concerning operations.

Students who choose to emphasize Management Science/Operations Management (MS/OM) as their dissertation area should have had at least two years of college-level mathematics before they enter the Ph.D. Program. The areas of most relevance to business are linear algebra, analysis, and probability; students with a minimal background should expect to take additional work in these areas.

When fulfilling general PhD degree requirements, please make sure to consult the relevant section of the Guidebook that discusses those requirements (e.g., curriculum paper requirements in Chapter 2, co-authorship rules in Chapter 5), in addition to area specific requirements (if any).

Management Science as a Dissertation Area:

Prerequisites: A student entering the Ph.D. Program in Management Science/Operations Management should be proficient at the level of the following courses, or enroll (for a letter grade) in the following courses at the start of his/her program (these may be used to fulfill a student's Electives requirement with approval of the area advisor: see below).

1. CMSC 27100 – Discrete Mathematics
2. Math 20300 – Analysis I
3. Math 25000 – Elementary Linear Algebra
4. Stat 25100 – Intro to Mathematical Probability

In addition, students without strong skill and experience in computer programming should take at least one programming course early in their program. We recommend that students enroll in CMSC 15100 and 15200 (Introduction to Computer Science 1 and 2) during their first year in the program. Historically, these have been taught during the summer quarter as condensed back-to-back 5 week courses.

For students writing a dissertation in Management Science/Operations Management, there are six General Examination requirements:

1) Coursework requirements

A grade point average of "B" (3.0) or higher must be earned in order to meet this requirement. If a student takes a course more than once, the highest grade will be used to calculate the GPA. *In the first two years, the students are required to take the following core courses:*

Core Field Courses:

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- Linear and Integer Programming
- Convex Optimization
- Two Stochastic Processes courses: Stat 31200 and the new Booth course taught by the MSOM group
- Dynamic Programming
- Eight 5-week topics courses: Topics in OM 1,2,...,8. Each year four of these courses will be offered in the winter and spring quarters.

After passing the qualifying exam, the students should also take advanced field courses, which fit their research interests and support areas. These courses will count towards the elective requirements (see Section 3) below). These courses include but are not limited to:

Advanced Field Courses:

- Approximate Dynamic Programming
- Inventory Theory and Supply Chain Management
- Models of Self-Organization
- Queueing Theory
- Stochastic Programming
- Stochastic Calculus and Control
- Vector Space Optimization

In addition to core field courses, students are required to take Price Theory I (Econ 30100) and Price Theory III (Econ 30300).

2) Support Area

Typically the student will fulfill the requirements for at least one of the following support areas. Any other support area available in Booth can also be considered subject to the Area advisor's approval.

1. Applied Probability
2. Econometrics & Statistics
3. Economics
4. Optimization, Computation and Algorithms
5. Statistics and Machine Learning

Applied Probability: A prerequisite for choosing the Applied probability area as a support area is having rigorous training in mathematical analysis ideally at the level of Math 31200, Math 31300, Math 31400. One such course can count towards the support area courses subject to the Area Advisor's approval. The Ph.D. coordinator may waive this pre-requisite on a case-by-case basis depending on the student's background.

Students are required to take six of the following courses. A grade point average of "B" (3.0) or higher must be earned in order to meet this requirement.

Stat 38100: Measure theoretic probability I

Stat 38300: Measure theoretic probability II

Stat 38500/ Math 38509: Advanced Topics

Stat 38600: Topics in Stochastic Processes

Stat 38650: Random Matrices and Related Topics

Stat 31520: Stochastic Simulation II

CMSC 38300: Numerical Solution of PDEs

Queueing Theory

Stochastic Calculus and Control

Econometrics & Statistics: For students using Econometrics & Statistics as a support area, the following sequence is typical: First year B41901 (Probability and Statistics), B41902 (Statistical Inference), B41903 (Applied Economics); Second year either choose three from the sequence B41910, B41911, B41912, B41913, B41914 or choose the Empirical Analysis sequence E31000, E31100, E31200.

Economics: For students using Economics as a support area, the following is a suggested list of courses to choose from in satisfying the requirements outlined by the Economics area: E30100, E30200, E30300 – Price Theory I, II, III. B33911 – Economics of Information, B41910 – Times-series Analysis for Forecasting and Model Building, E30500 – Game Theory, E41800 – Numerical Methods in Economics, B33921, B33922, B33923 – Advanced Industrial Organization I, II, III, E30700 – Decision Theory. Please note that in choosing from this list students must satisfy the course distribution requirements (i.e., micro, macro, and empirical analysis) as detailed in the Economics section of the Guidebook.

Optimization, Computation and Algorithms: Students are required to take six of the following courses. A grade point average of "B" (3.0) or higher must be earned in order to meet this requirement.

CMSC 37110: Discrete Mathematics

Econ 41800: Numerical Methods in Economics

TTIC 3101/CMSC 3700: Algorithms

TTIC 31080: Approximation Algorithms

CMSC 37501: Random Algorithms

Stat 31020: Nonlinear Optimization

Stat 30750: Numerical Linear Algebra

Stat 30900: Mathematical Computation I: Matrix Computation

TTIC 31060: Computability and Complexity Theory

Stat 31070: Modern Approximation Theory

Math 28410: Honors Combinatorics

Approximate Dynamic Programming

Stochastic Programming

In addition, one course in real analysis can count towards the support area courses subject to the Area Advisor's approval.

Statistics and Machine Learning: Students are required to take six of the following courses. A grade point average of "B" (3.0) or higher must be earned in order to meet this requirement.

Stat 30400: Distribution Theory

Stat 32400/BUSF 42901: Probability and Statistics

Stat 32500/BUSF 41902: Statistical Inference

Stat 37500: Pattern Recognition

Stat 37601: Machine Learning and Large Scale Data Analysis

Stat 37710: Machine Learning

Stat 37790: Topics in Statistical Machine Learning

TTIC 31140: Learning and Inference in Graphical Models

TTIC 31120: Statistical and Computational Learning Theory

TTIC 31200: Information and Coding Theory

In addition, one course in real analysis can count towards the support area courses subject to the Area Advisor's approval.

3) Electives requirement

Students will complete 4 additional courses to advance their curriculum and provide exposure to other areas. Two of these courses must be in Econometrics. The advanced MS/OM courses listed above count towards the electives requirement. Students may take doctoral level courses in other disciplines at Chicago Booth, or pursue coursework in other parts of the university such as the mathematics, statistics, or computer science departments. Students are also free to take specialized electives in years 3 and 4, however students must complete all coursework by the end of their second year, schedule permitting.

Up to two courses taken as part of the support area requirement can count towards the elective requirement subject to the Area Advisor's approval.

In addition to the courses listed above, electives include:

Stat 38620: Social Networks: Probability, Learning, and Game Theory

BUS 37902: Foundations of Advanced Quantitative Marketing

BUS 37904: Advanced Quantitative Marketing

4) Operations Workshop and Research Paper Review

A. Students are expected to attend all Operations Management/Management Science workshops during their entire tenure in the Ph.D. Program.

B. Students are expected to attend and regularly present (either their own work or papers assigned by faculty) in the Operations lunch seminars.

C. Students are strongly encouraged to regularly attend an additional workshop either at Booth or elsewhere on campus depending on their interests starting in their second year.

D. Students must register for the Operations Management/Management Science workshop during two of their first three years while in the Program, for a total of six quarters. In each quarter they are registered, MSOM students are required to submit reviews of two papers presented in the workshop for a Pass/Fail grade. A grade of Pass for all six quarters is required to meet this requirement. Students will submit their reviews by the end of the quarter in which the papers are presented. The reviews should be submitted to the faculty member in charge of the workshop. Each quarter, students must seek guidance from the faculty member in charge of the workshop, on which papers to review and how to prepare satisfactory reviews for them. The requirements may change from quarter to quarter.

5) Students are required to take and pass a Qualifying Exam

At the end of the first year (generally mid to late June) students take a qualifying exam. This will be a written exam, and may also include an oral examination. The exam will cover the first year MSOM core courses:

Linear and Integer Programming or Convex Optimization (whichever is offered that year)

Stochastic Processes

Dynamic Programming

The four 5-week MSOM topic courses offered that year

If a student fails the qualifying exam, s/he must retake them before the start of the second year (the re-take is usually scheduled for late August or early September). Students who do not pass the exam on the second attempt will be dismissed from the program.

6) Successful completion of the second year paper in MS/OM

MS/OM students must submit a research paper in early September at the end of the student's second year in the Program. The paper may be co-authored with a faculty member, but it is expected that the student make a significant and independent contribution. Students should settle on a topic for their second year paper no later than the beginning of winter quarter of their second year. *To fulfill the requirement the written approval of three faculty members are needed.* Two of the faculty members must be from the MS/OM group. In addition, students working in areas at the interface of Operations and other fields must have the approval of one faculty member from the relevant area. Once this requirement is satisfied, the student must also present his/her work at a workshop by the end of October. After the second year paper in MS/OM requirement has been satisfied, the MS/OM faculty will evaluate the student's overall performance in the student's courses and research to decide if the student has successfully completed the General Examination requirements in MS/OM.

A student may fulfill both the curriculum paper requirement and the MS/OM paper requirement with the same paper. However, the student must also comply with the “Curriculum Paper” submission requirements.

Additional requirements: At least two tenure-track Booth faculty members in MSOM, including the chair, must be on the student's dissertation committee.

7) Annual Review and Feedback to Students

Every summer the MSOM faculty will meet to assess the progress of students in the program. Students will receive written feedback subsequently every year.

Here is a sample of a four-year course schedule for a Ph.D. student in MS/OM.

Year 1 in the Program

Description	Autumn	Winter	Spring	Summer
MSOM	Linear Programming	MSOM Topics 1, 2	MSOM Topics 3,4	Optional 1 st year paper
MSOM	Stoc. Processes I (Stat)	Stoc. Processes II (Booth)	Dynamic Programming	
Econometrics or other support area courses	Price Theory I	B41902	B41903	
Electives/Support Area courses	Analysis I	Analysis II	Price Theory III	

Year 2 in the Program

Description	Autumn	Winter	Spring	Summer
MS/OM	Convex Optimization (CMSC 34500)	MSOM Topics 5, 6	MSOM Topics 7,8	
MSOM	Elective	Advanced MSOM Course	Advanced MSOM Course	
Area Workshop	B36600	B36600	B36600	
MSOM/Curriculum Paper	Begin			
Support Area Courses	I	II	III	
Electives	I	II	III	

Year 3 in the Program

Description	Autumn	Winter	Spring	Summer
Advanced MSOM Courses		Advanced MSOM course	Advanced MSOM course	
Specialized Courses (as needed)	XXXX	XXXX	XXXX	
Area Workshop	B36600	B36600	B36600	
MSOM/Curriculum Paper	Completed and presented in workshop			
Dissertation		Begin	Continue	Continue

Year 4 in the Program

Description	Autumn	Winter	Spring	Summer
Specialized Courses (as needed)	XXXX	XXXX	XXXX	

Dissertation		Continue	Continue	Continue
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Management Science/Operations Management as a Support Area:

For students who take Management Science/Operations Management as a support area, the General Examination requirement is the completion of six courses listed below with a minimum grade point average of "B" (3.0). If a student takes a course more than once, the highest grade will be used to calculate the grade point average. No written or oral general examination is required.

- A. One or both of the Stochastic Processes courses mentioned above.
- B. The remaining courses must be taken from among the MSOM courses. See above for a description of these offerings.

Management Science/Operations Management as a Coordinated Sequence:

Students must take any 3 courses from among the Management Science and/or Operations Management courses. See above for a description of these offerings.

Marketing

Advanced research in Marketing addresses a marketing issue or problem using skills acquired in one of two different areas: (1) Consumer Behavior (2) Economics/Quantitative Methods. The theoretical foundation provided in the Marketing Ph.D. Program is enhanced by the Program's flexibility, allowing choice among these two areas. Students take courses not only at Chicago Booth but also in the Psychology, Sociology, Economics, and Statistics departments. The program defines marketing broadly as the study of the interface between firms, competitors, and consumers. This includes but is not limited to consumer preferences, consumer demand and decision-making, strategic interaction of firms, pricing, promotion, targeting, product design/positioning, and channel issues. The Program is designed for those seeking careers as professors at leading research institutions.

Marketing as a Dissertation area.

For students writing a dissertation in Marketing, the General Exam requirements are:

- (1) Successful completion of B37902 and B37903 and all of the prerequisite courses.
- (2) Successful completion of all prerequisite courses specific to the chosen Marketing track.
- (3) Successful completion of the Marketing workshop and Research Paper Review requirement (described below).
- (4) Completion of all general Ph.D. requirements.
- (5) Completion of the First-year summer paper no later than the beginning of the autumn quarter of the second year. Faculty advisors must receive the paper at least two weeks prior to the due date to give them time to read it before signing the appropriate forms. The paper must be presented no later than week 3 of the winter quarter of the second year. Although the presentation does not need to be scheduled during the regular Marketing workshop, the majority of the Marketing faculty must be present. It is the student's responsibility to make sure this presentation is scheduled.
- (6) The Curriculum Paper must be completed no later than the end of the autumn quarter of the third year. **Extensions are not allowed. Failure to meet this deadline means a student is making unsatisfactory progress (see Chapter 4).**

Faculty advisors must receive the paper at least two weeks prior to the approval due date to give them time to read it before signing the appropriate forms. The Curriculum Paper must also be presented in the Marketing Workshop no later than the spring of the third year. It is the student's responsibility to make sure this presentation is scheduled. The student must also make sure the paper is distributed to the entire Marketing faculty (i.e. downloadable from marketing workshop website) at least one week prior to the workshop. Finally, it is the student's responsibility to make sure the Curriculum Paper adheres to all the requirements of both the Marketing Group and the Ph.D. Program. In particular, the Curriculum Paper and talk should be based on research ideas and work initiated by the student.
- (7) After the Curriculum Paper is presented, the Marketing faculty will meet to consider the student's performance in the Marketing Ph.D. Program. Performance in coursework as well as the quality of the Curriculum Paper will be considered and an affirmative vote is required for the student to fulfill the General Exam requirements in Marketing.

Failure to complete each of these requirements (including meeting deadlines) will be subject to the review of the Ph.D. Area Advisor and may result in the loss of funding. Students are also strongly encouraged to complete the thesis proposal by the end of the spring quarter during the 4th year.

The Marketing Ph.D. course requirements are:

- (a) In order to receive full funding, all students are required to take a minimum of 3 courses (excluding workshops and 37905) for credit each quarter of their first two years until all course requirements are complete, as detailed below. **Courses are not allowed to “double-count” toward both the dissertation area requirements and the support area requirements.**
- (b) In the first year of the Program, students are required to complete the two marketing Ph.D. courses, B37902–Advanced Marketing Theory: Quantitative Perspective and B37903–Advanced Marketing Theory: Behavioral Science Approach. In each of these two courses, students are required to get a minimum grade of “B” (3.0) for successful completion.
- (c) All students in the Program in their 2nd year or above are required to register for the Marketing Reading Seminar. Please see below for details.
- (d) In addition to taking the above two courses, students in the second year of the Program are encouraged to audit B37902 and B37903, particularly if offered by a different instructor.
- (e) Prerequisite courses: By the end of their second year, students are required to have completed a set of prerequisite courses in one of the two Marketing tracks: Consumer Behavior or Economics/Quantitative Methods. These course tracks are described below. **A minimum grade of B- (2.7) is required in all courses.** Students receiving a grade of C+ or below (below 2.7) in a course must report to the Marketing Area Advisor. Generally, a student must repeat any course in which s/he received a grade of C+ or below.

Track 1–Consumer Behavior: Seven-course requirement.

- B41901 – Probability and Statistics or Stat 24400
- B41902 – Statistical Inference or Stat 24500
- B38911 Foundations of Judgment and Decision Making (may be listed as 38901)
- Psych 37300 – Experimental Design
- Psych 30400 – Cognitive Psychology
- Psych 30600 – Social Psych (or NU Psych 489 Theories of Social Psych – cross listed in Kellogg marketing)
- Psych 46100 – Attitudes and Persuasion

In addition, students are required to take any **two** of the following:

- Any Ph.D. level seminar offered in the Behavioral Science program
- Any of the Ph.D. seminars in Consumer Behavior at Kellogg (commonly titled “General Seminar for Ph.D. Candidates: Consumer Behavior I-IV)

- B41903 Applied Econometrics
- P31900 Language Culture and Thought
- P33000 Cultural Psychology
- Any one of P30300 Biological Psychology, P30950 Perception/Behavioral Neuroscience, or 40107 Behavioral Neurosciences
- P37900 Experimental Design II
- P44700 Topics in Judgment and Decision Making
- P41450 Evolutionary Psychology
- Any approved Ph.D. level psychology seminar
- Students studying decision-making should consider taking E30100 – Price Theory

Note that not all courses are offered each year. In particular, those marked by an asterisk (*) are not currently available (although they may be offered in the future). Also course names may change although the content may be similar. Please ensure that any deviation from the above list is approved by the Marketing Area Advisor.

Track 2–Economics/Quantitative Methods: Six-course requirement.

- E30100 – Price Theory I
- E30200 – Price Theory II
- E30300 – Price Theory III
- E31000 – Empirical Analysis I
- E31100 – Empirical Analysis II
- E31100 – Empirical Analysis III

In addition, students must successfully complete at least **three** other advanced Economics or Business courses. Some recommended courses are:

- B41910 – Time-Series Analysis for Forecasting and Model Bldg.
- B41911 – Advanced Econometrics
- B41912 – Applied Multivariate Analysis
- B41913 – Bayesian Econometrics
- B33921 – Advanced Industrial Organization I
- B33922 – Advanced Industrial Organization II
- B33923 – Advanced Industrial Organization III
- B33911 – Economics of Information
- E31600 – Non-Linear Econometrics
- E30500 – Game Theory I
- E30900 – Advanced Auction Theory

- Any approved Ph.D. level course in Economics or Statistics (contact the Marketing Area Advisor).

Note that not all courses are offered each year and that course names may change although the content may be similar. Please ensure that any deviation from the above list is approved by the Marketing Area Advisor.

Marketing Reading Seminar

All Marketing Ph.D. students in their 2nd year or above are required to register for the Marketing Reading Seminar. The seminar is designed to provide all students (quantitative and behavioral) with an exposure to the broader marketing literature. The seminar will be offered in one quarter each year. The format will consist of weekly meetings to discuss specific papers. Each week, student(s) will be assigned to lead the discussion on a paper. The other students will be expected to prepare these papers as well and to participate in the discussion. Evaluation will be based both on each student's presentation as well as their general participation throughout the quarter. Attendance is mandatory. First year students are free to sit in / audit the course.

Marketing Workshop.

- (1) Students are expected to attend all workshops organized in the Marketing area during their entire tenure in the Ph.D. program.
- (2) Students must register for the Marketing workshop during their second and third years in the Program.

Organizations and Markets

The Organizations and Markets Ph.D. program focuses on the social organization of firms and markets. The Program provides systematic conceptual grounding in these topics, with numerous applications, including how organizations operate, why they differ, how they emerge from prior organizations, how their behavior is influenced by their position in a structure of other organizations, and how individuals manage others and progress in organizations. The Program offers broad training in social network analysis and organizational theory and prepares students for positions in the fields of strategic management and organizational behavior.

When fulfilling general Ph.D. degree requirements, please make sure to consult the relevant section of the Guidebook that discusses those requirements (e.g., curriculum paper requirements in Chapter 2, co-authorship rules in Chapter 5), in addition to area specific requirements (if any).

Organizations and Markets as a Dissertation Area:

For students writing a dissertation in Organizations and Markets (O&M), there are **seven** General Examination requirements:

- 1) **Successful completion of the five-course O&M sequence**, as follows:
 - A. One doctoral-level introduction to social organization:
 - Soc. 30101 – Organizational Analysis
 - Soc. 30301 – Organizational Decision-making
 - B. B39901 – Organizations and Environments.
 - C. At least two specialty courses on social organization taught by O&M faculty. Examples include:
 - B39902 – Organizations in Emerging Markets: Social, Political and Cultural Issues
 - B39903 – Social Network Analysis
 - B39905 – Sociology of Economic Institutions
 - D. One of the courses required of students choosing Behavioral Science as a dissertation area. This requirement is waived for students who elect MOB as a support area.
- 2) **Successful completion of the O&M written General Examination.** The examination has two integrated parts: one focusing on critical review of theory and research, and the other focusing on research design. It is administered as a week-long take-home essay.
- 3) **All students are expected to understand basic microeconomic theory.** This requirement is fulfilled by achieving a grade of B- (2.7) or better in E30100 or a substitute approved by the Area Advisor.
- 4) **Successful completion of a three-course statistics sequence.** All students are expected to be highly skilled in drawing inferences from empirical data as determined by the Area Advisor. The course sequence should cover the foundations of probability and statistical inference and include strong expertise in at least one class of statistical models. For example:

- A course sequence through the Department of Sociology could be the two foundation courses required of all sociology Ph.D. students, Statistical Methods of Research I & II (Soc. 30004 & 30005), followed by a specialty course such as:
 - Soc. 40109 – Log-Linear Analysis
 - Soc. 40103 – Event-history Analysis
 - Soc. 40800 – Formal Methods for Sequence Narrative Data or
 - Soc. 30308 and 30309 – Applied Regression Analysis I and II
- A course sequence through Booth could be the two statistics foundation courses, B41901 – Probability and Statistics and B41902 – Statistical Inference, followed by a specialty course such as:
 - B41903 – Applied Econometrics
 - B41912 – Applied Multivariate Analysis
 - B41910 – Time Series Analysis for Forecasting & Model Bldg. or
 - B41914 – Multivariate Time-Series Analysis

Students interested in experimental design should consider a specialty course on the topic in Psychology.

- 5) **Successful completion of the first-year summer paper no later than the beginning of the autumn quarter of the second year.** (Please note that this paper can be up to 49% co-authored with a faculty member.)
- 6) **Successful completion of the coordinated sequence, a three course sequence in an area other than the dissertation and support areas, with an average grade of “B” (3.0) or higher.**
- 7) **Successful completion of the workshop participation requirement.**
 - A. The Ph.D. Program workshop requirement to reach candidacy is met by registering and receiving a passing grade in the Workshop in Organizations and Markets (B39600) during each quarter of the 2nd and 3rd years. To receive a passing grade you must turn in write-ups for two of the papers presented that quarter. These must be turned in to the faculty member responsible for the workshop that quarter.
 - B. When taught, students are expected to attend and participate in the Argument and Evidence Workshop led by Prof. Ron Burt. Intended to improve student reasoning, provide a context for meeting the curriculum paper requirement, and prepare students for the job market, this is a non-credit workshop that meets every other week during one quarter of the year. Students make arguments and present evidence in a Chicago workshop fashion, subject to peer and faculty critique.
- 8) **Successful completion of the applications course requirement as determined by the Ph.D. Student Area Advisor in O&M.** All students are expected to be skilled in applying social organization theory to practical issues in business. This requirement can be met by working as a Teaching Assistant in one of three discipline-based core M.B.A. courses as determined by the Ph.D. Area Advisor for Organizations and Markets:

- B39001 – Strategy and Structure: Markets and Organizations, for students interested in macro issues
 - B39002 – Network Structures of Effective Management
 - B39101 – Technology Strategy
- 9) **All students are required to take the graduate student version of *Academic and Professional Writing*, a.k.a. "The Little Red Schoolhouse" or "LRS" (English 33300).** This is an advanced writing course for graduate students in all of the divisions and many university professional programs. LRS helps writers learn to communicate complex and difficult material clearly to a wide variety of expert and non-expert readers, including the readers in the academic community students are currently working to join. It is designed to prepare students for the demands of academic writing at the level of the dissertation, the academic or professional article, and the academic or professional book. LRS is taught every quarter, including the summer quarter. It is recommended that students take it by the end of the second year.

The Organizations and Markets course requirements include the following rules:

- (a) A student will enroll in a minimum of 2 Ph.D. courses each quarter in their first two years of study (this includes workshops in the second year of study). This minimum is required to obtain full financial support.
- (b) A minimum grade of C (2.0) is required in all courses. Students must automatically retake any course in which they receive a grade of C- or below.

Sociology as a support area for Organizations and Markets students.

Students may elect to complete the Support Area requirement in the field of Sociology (instead of the Chicago Booth areas of Behavioral Science, Economics, Econometrics and Statistics, or Management Science/Operations Management).

There are three requirements (details below):

- Three Courses in Organizations and/or Economic Sociology
- Two additional graduate level sociological courses offered in the sociology department (student's choice)
- One Special Field Exam on a Topic within Sociology or the methodology substitute for the field exam

All courses used to fulfill the requirements for a sociology support area must be passed with a grade of B- or higher.

- 1) **Three Courses in Organizations and/or Economic Sociology:** The following courses satisfy this requirement. Courses taken to fulfill this requirement may not overlap with any of the courses taken to fulfill the 5 course O&M sequence for O&M as a dissertation area:

30101. Organizational Analysis (Laumann)

30102. Social Change (Parish)

30105. Educational Organization and Social Inequality

30114. Globalization: Empirical/Theoretical Elements (Sassen)

- 30126. Japanese Society: Functional/Cultural Explanations (Yamaguchi)
- 30131. Social/Political Movements (Zhao)
- 30138. Politics/Participation/Organization (Clemens)
- 30147. Work and Society (Evans)
- 30150. Consumption (Knorr Cetina)
- 30169. Global Society and Global Culture (Knorr Cetina)
- 30171. Law, Organizations, and Markets (Lancaster)
- 30301. Organizational Decision Making (cross-listed as Political Science 37500) (Padgett)
- 30302. Implementation of Public Policy (Taub)
- 40105*. Culture and Identity (Glaeser)
- 40110*. Introduction to Max Weber (Riesebrodt)
- 40146. Markets and Money (Knorr Cetina)
- 50006*. Sem: Entrepreneurship (Taub)
- 50013. Sem: Economic Sociology (Salzinger)
- 50019*. Sem: Simmel (Levine)
- 50020. Sem: State and Society (Clemens)
- 50026. Modern Sociological Theory (Joas)
- 50031*. Microsociology (Smith, Levine)
- 50047. Sem: Institutional Analysis (Clemens)
- Political Science 57200 Network Analysis (Padgett)

Note that all courses are not offered each year. In particular, those marked by an asterisk have not been offered in at least several years, although they may be offered in the future. As faculty often teach new courses, searching by faculty name may yield new courses that may satisfy this requirement. Check with the area advisor.

- 2) **Two graduate level sociological courses offered in the sociology department (student's choice):** These courses may not overlap with any of the courses taken to fulfill the 5 course O&M sequence for O&M as a dissertation area nor may they overlap with any courses taken to fulfill the three-course statistics sequence for O&M as a dissertation area.
- 3) **Special Field Exam:** Each student is required to pass one special field examination; this exam can only be taken after the student has passed the O&M general examination. The special field examination is prepared on an individual basis in a field of sociology in which the student wishes to develop research competence. The special field examination is normally a one-week, take-home examination. The individual special field committee, however, may elect to give the examination as a 48 hour take-home examination. Generally, the special field exam is completed during the third year.

The special field is ordinarily closely related to the subject matter of the subsequent dissertation. The examinations cover both theoretical and substantive materials and the methods required for effective research. Preparation takes the form of special

courses and seminars, supplemented by independent study and reading. The special field examinations are taken sometime after the first year of graduate study.

Some special fields commonly taken are community structure, demography, human ecology, economic and work institutions, culture, educational institutions, family and socialization, formal organization, mathematical sociology, methodology, modernization, personality and social structure, political organization, race and ethnic relations, small groups, social change and social movements, social stratification, and urban sociology. Fields other than those listed, whether they fall entirely within the competence of the department or involves cross-disciplinary study, may be established upon written petition of the student.

Methodology Substitute for the Special Field Exam

As a substitute, a student may fulfill their special field exam requirement with a satisfactory completion of a sequence of advanced methods course. Four sequences of courses (social statistics, survey research methods, methodology for social organization research, and mathematical sociology) were approved by the sociology department in Spring Quarter 1997 as meeting the requirements of a special field in methods and models in sociology. Students must have a grade of B or better over the set of courses in order to pass the special field. Courses taken on a Pass/Fail or R (registered) basis do not count toward the satisfying the requirements. All courses taken to fulfill this requirement must be taken at University of Chicago. These courses may not overlap with any of the courses taken to fulfill the 5 course O&M sequence for O&M as a dissertation area nor may they overlap with any of the courses taken to fulfill the other requirements for sociology as a support area. For additional details on these course requirements, please consult with the O&M area advisor.

Here is an example of a four-year course schedule for a Ph.D. student writing a dissertation in organizations and markets and taking economics as a support area and econometrics/statistics as a coordinated sequence. The economics and statistics requirements are completed in the first year, leaving the student ready to focus in subsequent years on organization theory and strategy. Students with other interests will take different schedules. S stands for the Sociology Department.

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
O&M	S30101	XXX	B39901	Optional 1 st -year paper
Microeconomics	E30100	E30200	XXX	
Econometrics/Statistics	B41901	B41902	B41903	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
O&M	B39902	S30108	XXX	Area General Exam
Macroeconomics/Empirical Analysis)	E33000	E31000	XXX	
Area Workshop	B39600	B39600	B39600	
Curriculum Paper				Begin

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B39600	B39600	B39600	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Year 4 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Specialized Courses (as needed)	XXX	XXX	XXX	
Dissertation	Propose	Continue	Continue	Complete

Organizations and Markets as a Support Area:

For students who take O&M as a support area (a basic discipline), the General Examination requirements are the first four requirements (1, a-d) of O&M as a dissertation area (the MOB course in paragraph (e) is not required).

Organizations and Markets as a Coordinated Sequence:

The following Organizations and Markets courses can be taken to fulfill the coordinated sequence requirement.

- B39901, B39902, *and*
- one of Soc.30101, Soc.30301 *or*
- one of Soc. 30105, Soc. 30108, Soc. 30114, Soc. 30138, Soc. 30171, Soc. 30302, Soc. 38800, Soc. 50006, Soc. 50007, Soc. 50013, Soc 50047. (For permission to take sociology courses not noted in this list, please see the Organizations and Markets area advisor.)

CHAPTER 4 – ACADEMIC PROGRESS

Students must make satisfactory academic progress to remain in the Ph.D. Program. The criteria used to evaluate academic progress are described below, as are the consequences for unsatisfactory academic progress and performance. If a student is not on a leave of absence, s/he must be engaged in taking courses, preparing for exams, or actively conducting research.

Satisfactory Academic Progress Requirements – Timeline

Students must meet the following timeline of academic accomplishments to maintain satisfactory academic progress in the Ph.D. Program (year and quarter in the timeline indicate time since the student matriculated in the Ph.D. Program). Exceptions are only granted by petition under unusual circumstances.

- (1) By the end of the summer quarter of the second year: pass one general examination.
- (2) By the end of the autumn quarter of the third year: submit Curriculum Paper.
- (3) By the end of the spring quarter of the third year: satisfactory presentation of the curriculum paper in a Curriculum Paper workshop.
- (4) By the end of the summer quarter of the third year: pass two General Examinations.
- (5) By the end of the fourth year: complete all requirements for candidacy.
- (6) By the end of the fifth year: satisfactory presentation of the dissertation proposal. (Fifth year funding is generally contingent on presenting the proposal earlier.)
- (7) By the end of the seventh year: satisfactory dissertation defense.

It is a University rule that at least eight months must elapse between the date of admission to candidacy and the date of conferral of the Ph.D. degree.

Satisfactory Academic Progress Requirements – General Examinations

Failure to pass a General Examination in the student's dissertation area automatically results in unsatisfactory academic performance. If a student fails the general examination or other area requirements, the Director of the Ph.D. Program will consult with the faculty in the area and decide if the student can continue the program in that area, whether the student should apply to change dissertation areas, or should be withdrawn from the program. If a student is allowed to continue after initially failing the General Examination or other area requirements, s/he gets one more attempt to pass all components of the examination. Failure to pass all components on the second attempt will result in withdrawal from the program.

Satisfactory Academic Progress Requirements – GPA and Grade Requirements

A cumulative grade point average of at least B (3.0) in all courses is required. If a course is repeated, the higher grade is included in the calculation. Failure to meet this requirement results in unsatisfactory academic progress. If a student receives a grade of C- (1.67) or below in any course, the student is automatically considered to be making unsatisfactory academic progress. The student should speak to his/her area advisor and consider retaking the class for a higher grade (some dissertation areas require the student to retake the course). Consequences of unsatisfactory academic progress are discussed below.

Satisfactory Academic Progress Requirements – Annual Academic Progress Review

Annually, the academic progress of Ph.D. students in the program is evaluated. To evaluate the progress, the Director of the Ph.D. Program requires Ph.D. students to complete and

submit an academic progress report every year. Only students who are on a leave of absence are exempt from this requirement.

The Director of the Ph.D. Program reviews each student's academic record, progress report submitted in the previous year, and progress report submitted for the current year. All students must be assessed as either:

- (1) on leave of absence
- (2) making satisfactory progress
- (3) not making satisfactory progress and put on probation
- (4) not making satisfactory progress and terminated from the Program

Students must complete the *Ph.D. Academic Progress Report and Five-Year Plan*. The objective of this plan is to guide the student's planning for successful completion of the Program. Students must complete the plan for the current and future academic years through the expected program completion year.

Students submit the completed *Ph.D. Academic Progress Report and Five-Year Plan* and, if needed, a memorandum containing information related to their academic progress and program completion plans, which is not easily communicated in the *Ph.D. Student Academic Program Plan* to the Ph.D. Office by September 1 of each year.

Consequences of Unsatisfactory Academic Progress

If the Director of the Ph.D. Program determines that a student is not making satisfactory academic progress in the Ph.D. Program, one or more of the following consequences will result:

- (1) The student is placed on probation. The result of probation is that the student must make specific academic progress within a specific time period to be taken off probation. Otherwise the student will be withdrawn from the program.
- (2) The student's stipend support is withdrawn.
- (3) The student's tuition support is withdrawn.
- (2) The student is withdrawn from the program.

CHAPTER 5 – CO-AUTHORSHIP

Faculty Co-Author

A paper co-authored with faculty members at the University of Chicago or elsewhere may not be used to satisfy the Curriculum Paper or second-year Finance paper requirements in most dissertation areas, except as noted below. In addition to the below, see dissertation area requirements to determine if there are any additional area specific requirements.

Faculty co-authorship of dissertation research is permitted in some dissertation areas, as outlined below. Where allowed, students should always receive explicit permission from their dissertation chair that co-authored components are acceptable.

Accounting – Accounting allows Curriculum Papers to be co-authored; dissertations may not include co-authored work.

Econometrics and Statistics, Economics, and Finance – The policy of these areas is that work co-authored with faculty members at the University of Chicago or elsewhere may not be used to satisfy the dissertation requirement.

Behavioral Science and Marketing – Dissertations in MOB and Marketing may include components that are co-authored, at the discretion of the dissertation committee. Dissertation proposals must clearly indicate which portion(s) of the dissertation will be done in collaboration with a co-author, and which will be done with the student as sole author. For the proposal to be approved, the committee must agree that in the proposed work (a) the student's contribution to the co-authored portions is substantial, and (b) sole-authored work constitutes a substantial portion of the dissertation. At the defense, approval depends on the committee's agreement that those conditions have been met, and on their judgment of the quality of both the single-authored component and the student's contribution to the co-authored components.

Management Science/Operations Management and Organizations and Markets – The policy of these areas is that co-authored papers based on the dissertation are allowed, as long as a substantial portion of the dissertation can be identified as being solely the work of the student.

Student Co-Author

A paper co-authored with other Booth Ph.D. students may be used to satisfy the Curriculum Paper requirement and the First Year Summer Paper, under special circumstances. Finance students may not co-author a curriculum paper (or Finance paper) with another student. Work co-authored with other students at the University of Chicago or elsewhere may not be used to satisfy the dissertation requirement. "Special circumstances" exist if sufficient synergies result from more than one student working on the paper because of data collection efforts, data analysis efforts, etc., and should, therefore, result in a higher quality paper than is acceptable for a sole-authored paper.

The approval process is as follows:

- (1) The students petition the Ph.D. Office, in writing, for approval to co-author their paper. The petition must describe their research topic and the synergies that result from more than one student working on the paper.
- (2) The petition is reviewed by the Director of the Ph.D. Program and forwarded to the appropriate Ph.D. Area Advisor for review. After receiving the review, the Director will respond to the student.

CHAPTER 6 – PH.D. DISSERTATION

Ph.D. Dissertation Committee

There is no formal process for creating a dissertation committee. As a student progresses to the dissertation stage, he or she begins working with a faculty advisor. The advisor may be one of the student's Curriculum Paper readers. This advisor typically then becomes the chairperson of the dissertation committee. As the student develops the dissertation, he or she selects other members of the committee on the advice of the chairperson, or by approaching other faculty members who have shown an interest in the dissertation topic. Chicago Booth rules regarding committee membership are as follows:

- (1) The dissertation committee is composed of four members who must be approved by the Director of the Ph.D. Program.
- (2) All committee members must be tenured or tenure-track faculty members.
- (3) At least two committee members must be Booth faculty members.
- (4) At most, one committee member may be a tenure track or tenured faculty member at a university other than the University of Chicago. (When a Booth faculty member on a student's committee departs the University prior to the student's defense, the Director of the Ph.D. Program may permit an exception to this rule.)
- (5) The committee chairperson must be from Booth. Under special circumstances, this requirement can be waived by the Director of the Ph.D. Program, with the approval of the area advisor.
- (6) The committee chairperson must be from the Booth dissertation area the student was admitted (or transferred) to. Under special circumstances, this requirement can be waived by the Director of the Ph.D. Program. This requirement applies to students who entered the Program in 2004 or later.
- (7) Emeritus faculty from Booth may serve as committee members and/or as chairperson of the committee.
- (8) At least three committee members, including the chairperson, must be present at the dissertation proposal seminar; the committee vote must be unanimous for the student to pass the dissertation proposal seminar. Any committee member who will vote in absentia should sign in advance either the regular committee approval form or an absentee member approval form that is available from the Ph.D. Office.
- (9) At least three committee members, including the chairperson, must be present at the dissertation defense seminar; the committee vote must be unanimous for the student to pass the dissertation defense seminar. Any committee member who will vote in absentia should sign in advance an absentee member approval form that is available from the Ph.D. Office.

Members of the dissertation committee change only in exceptional circumstances.

Scheduling the Dissertation Proposal or Defense

- (1) The student sends the proposal/dissertation to all committee members who discuss whether it is acceptable for either the proposal or defense.
- (2) When the proposal/dissertation is deemed acceptable, the student works with the committee members to find a mutually agreed upon day and time for the proposal or defense.

- (3) No later than 2 weeks before the chosen date, have the chairperson of the committee send an email to the Manager, authorizing the scheduling of the proposal or defense seminar. If you want to schedule a proposal/defense between 10-13 days in advance, you must get the permission of your entire committee in order to do so. Everyone on the student's committee must send the Manager an email, indicating that it is okay to schedule the proposal for that specific date. **Proposal/defenses cannot be scheduled less than 10 days in advance.**
- (4) Send an email to Manager stating the title of the dissertation and the members of your committee. Indicate if anyone will be in absentia. Indicate if any member of your committee is from another department/school of the University or another university (and if so, which department/school/university). For defenses, also indicate information about your job: title, institution, location (if known).
- (5) Manager will book a room, prepare the formal announcements, and send them out.
- (6) No later than 1 week before the proposal or defense seminar, provide a copy of the dissertation proposal or dissertation to each of the committee members and to the Ph.D. Office. The Ph.D. office will confirm with your committee members that they have received a copy of the proposal/dissertation one week in advance of the scheduled proposal/defense. If your committee has not received a copy by this date, your proposal/defense will be cancelled and will need to be rescheduled (following the appropriate scheduling guidelines).
- (7) Following the proposal seminar, you will receive a letter informing you that your chairperson has been instructed to give you, within 30 days, a memo outlining all the tasks you need to do on your dissertation in preparation for the defense. Please make sure you receive that memo and when you do, inform the Ph.D. Program Office. If you have trouble obtaining it, ask for the assistance of the Associate Director.
- (8) See the Associate Director about registering for graduation (you might need to do this substantially before you defend in order to meet graduation registration deadlines).

Remember to allow plenty of time in advance for planning and scheduling the seminar.

Graduation Procedures

- (1) Reach candidacy. Generally this is done at least 8 months before graduation.
- (2) Successfully propose and defend your dissertation. (If you have not successfully defended your dissertation but plan to do so within the quarter, you may still apply for graduation.)
- (3) Submit an online graduation application (or applications, if you are also getting the MBA). **The deadline for degree application is prior to the start of the quarter in which you intend to graduate.**
- (4) Verify with the Ph.D. Office that there is a transcript on file for each school from which you have received a degree. If the file is incomplete, have an original transcript sent to the Ph.D. Office.
- (5) If you plan to take any required courses during your intended graduation quarter, be sure you are aware of University and Booth provisional grades policies, as well as the individual professor's provisional grades policies, prior to bidding or registering

for your final quarter's classes (see the Provisional Grades section below for further details).

- (6) Contact the Dissertation Office, Regenstein Library 100B, 773-702-7404, early in the quarter in which you intend to graduate to resolve any questions or problems you may have in preparing your dissertation. *University Wide Requirements for the Ph.D. Dissertation* and other useful information is available on the web at <http://www.lib.uchicago.edu/e/phd/>. Please note that **as a condition for receipt of the Ph.D.**, all dissertations produced by University of Chicago students are placed in the circulating collections of the university library and they are made available to researchers through the library and for purchase through ProQuest Information and Learning.
- (7) If you receive a conditional pass on your dissertation defense:
 - a. Make the required revisions in the dissertation manuscript.
 - b. Submit the manuscript to your chair to secure committee approval of the revised manuscript.
 - c. Committee chairperson must notify the Ph.D. Office of the unqualified acceptance of the manuscript. The Ph.D. Office must receive notification of the unqualified acceptance of the manuscript before the manuscript can be submitted to the Dissertation Office.
- (8) Submit the manuscript electronically to the Dissertation Office in the format required by the Dissertation Office by their deadline. After the Dissertation Office processes it, the Director of the Ph.D. Program will sign the Departmental Approval Form as required by the Dissertation Office. **The deadline for submitting a manuscript to the Dissertation Office is listed on their website. You cannot graduate if you do not meet this deadline.** If there is any question as to the final submission date, please contact the Ph.D. Office. Please recognize that the Dissertation Office often requires formatting changes after submission of your dissertation; if these changes are not made, you are not allowed to graduate.
- (9) Submit an electronic copy of your final manuscript to the Information Manager.

Students who are put on the graduation list but realize that they will not be able to graduate must inform the Ph.D. Office that they need to be removed from the graduation list. Students who are removed from the graduation list after Friday of week 4 of the quarter will be charged a degree cancellation fee of \$50.

In addition to the above, please also:

1. Return all carrel and office keys.
2. Remove everything stored on the Ph.D. research server space.
3. Update your contact information in the Community Directory.

You must take care of any outstanding balances including tuition, housing, library, parking, or any other University fees by several weeks before graduation or you will be removed from the graduation list. If you have received any type of loan, you will be required to complete a loan exit interview during the month prior to convocation.

Graduation Ceremony (Convocation)

In Summer, Autumn, and Winter Quarters, the graduation ceremony is held in Rockefeller Chapel. It is an all-university ceremony in which students individually receive their diplomas but are not hooded. In Spring Quarter, the all-university ceremony is held on Harper Quadrangle and degrees are conferred by degree/department. This is followed by a Booth evening ceremony held at an off-site location. Ph.D. students are hooded and receive their diplomas at the Booth ceremony (in Spring Quarter only). Convocation is a formal academic ceremony officiated by the university president. Traditional academic attire is worn. While this is a day of celebration for graduates, students are expected to comport themselves in a professional and respectful manner. All students are encouraged to attend convocation. If a student is unable to attend, arrangements will be made to have the diploma mailed after the ceremony. As the graduation is a degree-granting ceremony, only those graduating in that quarter may walk.

Provisional Grades

Provisional Grade Policy

Graduating students must earn provisional grades for all Booth courses in the quarter they are graduating. The Booth Registrar's Office will request provisional grades from faculty on behalf of students graduating from all programs. Below is information about provisional grades; please read this information carefully.

Registration/Review of Syllabi

- Some professors may not give provisional grades. For example, provisional grades are not given in Business 30000. Students enrolled in those courses must defer graduation to the following quarter.
- Students should familiarize themselves with professors' provisional grade policies by reviewing the online course descriptions, syllabi, and the quarterly Supplement to the Curriculum Guide prior to bidding.
- If a faculty member does not have written specifications regarding his/her provisional grades policies, it is the responsibility of the student to inquire directly.

Academic Performance

- Faculty are asked to confirm that, based upon coursework to date, the student will complete the course and earn a passing final grade.
- A provisional grade is not a final grade.
- The receipt of provisional grades does not mean a student should stop attending classes. Students must complete all coursework, per professors' requirements outlined in the syllabi.

If a Ph.D. student receives a passing provisional grade and subsequently earns a final grade of D or F in any course, Chicago Booth will request that the student's degree be revoked and a hold placed on the student's transcript. The student must enroll in, pay for, and satisfactorily complete an additional course.

Failure to Receive a Provisional Grade

If a professor is unable to submit a provisional grade for a student, s/he will have to delay graduation by one quarter and complete the degree requirements in one of two ways:

1. Complete the course and earn final passing grade; no further course registration is necessary.
2. Complete the course. If a failing grade is earned, the student must enroll in, pay for, and satisfactorily complete another course in the subsequent quarter.

Posting Provisional Grades

Provisional grades do not appear on a student's official transcript, nor are they viewable online.

University of Chicago Courses

Students taking University of Chicago classes should familiarize themselves with the professor's grading policy. Other divisions require current quarter graduates to complete their coursework early so that a final grade may be submitted prior to graduation. Policies that govern early course completion requirements upheld by other divisions are nonnegotiable.

CHAPTER 7 – CHANGES IN STATUS

Changing Dissertation Areas

A change in the declared dissertation area, for any reason, requires the approval of both the initial dissertation area advisor and subsequent dissertation area advisor. Specific dissertation and support area requirements for a student who changes dissertation areas will be determined by the area to which the student transfers at the time of the transfer. Before requesting a formal transfer, it is generally a good idea to talk to faculty in the area you wish to transfer to.

The formal procedures for changing dissertation areas are as follows:

- (1) The student's request is submitted on a form available from the Ph.D. Program Office to the area advisor in the area the student is leaving. That advisor may approve or not approve the request.
- (2) If approved, the request is then submitted to the area advisor in the area into which the student would like to transfer. The advisor in that area will review the request, as well as the student's original application materials and academic record, consult with other faculty in the area potentially meet with the student and/or request additional materials, and decide to approve or not approve the transfer.
- (3) Final approval of the request is made by the Director of the Ph.D. Program.

Leave of Absence

See Chapter 14.

Withdrawal from the Ph.D. Program

Withdrawal from the Program means terminating one's status as a University of Chicago student. All responsibilities and privileges of being a student cease.

Withdrawal may take place voluntarily by a student who finds it no longer possible to continue in the Program for any reason. Furthermore, the Director of the Ph.D. Program may decide to terminate a student's status in the Program by withdrawing him or her if the Director feels that the student's academic progress is unsatisfactory, the student has surpassed the time limits for completion, or the student is unable to find faculty support for and work on a dissertation that meets Booth's standards.

Students who do not return from a leave of absence after the maximum time allowed will be considered withdrawn from the Program.

Accounting students who withdraw from the Program before receiving their Ph.D. must return their Booth-issued laptop or personal computer.

Re-admittance into the Ph.D. Program

Students who withdraw from the Program in good academic standing (making satisfactory academic progress) or take a leave of absence from the Program and do not return at the end of the leave, may apply for re-admittance into the Program in the following manner. Re-admitted students generally do not receive financial aid, tuition grant, or stipend from the Ph.D. Program.

A student who has not reached candidacy must submit a letter to the Director of the Ph.D. Program outlining the following information:

- Reasons the student is applying for re-admission including discussion of: educational goals, professional objectives, research interests, well-formulated plans for dissertation-level research.
- A schedule for completing the Ph.D. Program based on either the degree requirements when the student began the Ph.D. Program, or the current program degree requirements (this is determined in conjunction with the area advisor), which include the following: (1) Schedule and dates for completing courses, (2) Schedule and dates for completing General Examinations, (3) Schedule for writing Curriculum Paper (4) Date for reaching candidacy, (5) Schedule for Dissertation Proposal including seminar, and (6) Schedule for Dissertation Defense including seminar.
- Agreement to pay any University-imposed fees required to re-enter.
- Agreement to re-enter as a full-time student until successful dissertation proposal.

A student **who has not reached candidacy and withdrew after completing two years in the Ph.D. Program** must submit a preliminary draft of his/her Curriculum Paper along with the information requested above.

A student who has reached candidacy must submit a preliminary draft of his/her dissertation proposal and letter to the Director of the Ph.D. Program outlining the following information:

- Reasons the student is applying for re-admission including: educational goals, professional objectives, and research interests.
- A schedule for completing the Ph.D. Program based on either the degree requirements when the student began the Ph.D. Program, or the current program degree requirements, which include the following: (1) Schedule for Dissertation Proposal including seminar and (2) Schedule for Dissertation Defense including seminar.
- Agreement to pay any University-imposed fees required to re-enter.
- Agreement to re-enter as a full-time student until successful proposal of the dissertation.

If the Director of the Ph.D. Program decides that the student is eligible to petition to be re-admitted to the Program and approves the proposed course of study, the Director contacts the Ph.D. Area Advisor in the student's dissertation area and presents the student's request.

If the faculty in the student's dissertation area approves the request for re-admission, the student is so informed and the conditions for re-admission are explained in a letter from the Director of the Ph.D. Program.

The Associate Director will meet with the student to discuss the process of re-admittance to the Program, including the quarter of re-entry and the amount of fees and tuition owed.

CHAPTER 8 – M.B.A. DEGREE FOR PH.D. STUDENTS

A Ph.D. student in good standing who wishes to work toward the M.B.A. degree while in the Ph.D. Program must submit the appropriate M.B.A. for Ph.D. Students checklist for approval to the Ph.D. Program Office and must satisfy the academic policies and standards of the M.B.A. Program, as well as additional standards of the Ph.D. Program. A student may not get the M.B.A. after the Ph.D. has been conferred. The Ph.D. Program does not contribute financial aid toward M.B.A. courses unless the courses are approved by the Director of the Ph.D. Program as an integral part of the student's doctoral study.

MBA classes cannot be taken in the first two years of the Program unless they are a required part of the student's Ph.D. curriculum as outlined in this Guidebook or there are not enough required Ph.D. courses available for a full Ph.D. curriculum course load (during Autumn, Winter, and Spring quarters). MBA courses may not be taken in the summer after the student's first and second year. After the first two years in the program, students may take MBA courses over the summer only by petitioning for the Director's approval; the Director will only approve those courses that are an integral part of the student's doctoral study.

Upon obtaining faculty approval of the dissertation proposal in a proposal seminar, a Ph.D. student is eligible to apply to graduate with the M.B.A. by fulfilling the following requirements (as outlined in the M.B.A. for Ph.D. Students checklist: New Curriculum (effective Summer 2009)) and submitting a completed M.B.A. for Ph.D. students checklist to the Associate Director. Please note that the curriculum requirements have changed effective summer 2009. **All students who matriculate in Summer 2009 or later must complete the new curriculum requirements in order to receive the MBA:**

- (1) 3 courses—one course in each of three foundations area of Accounting, Microeconomics and Statistics
- (2) 6 courses—One course in six of seven categories representing Functions (Finance, Marketing and Operations), Management (Decisions, People, and Strategy), and the Environment in which firms operate (Macroeconomics and Global Institution and Political Economy)
- (3) Complete 11 elective courses. At most, one independent study course (B31901) is acceptable toward the M.B.A. degree. **No more than 6 electives may be taken outside of Booth but at the University of Chicago.**

Please check the MBA for Ph.D. students checklist: <http://programs.chicagobooth.edu/phd/forms/index.aspx> for additional details.

Students who matriculated prior to Summer 2009 have the option of choosing the old curriculum (outlined below) or the new curriculum. The old curriculum, as outlined in the MBA for Ph.D. students checklist includes:

- (1) Satisfy the foundations (3 courses) and breadth (4 courses) requirements of the M.B.A. Program.
- (2) Complete 11 elective courses. At most, one independent study course (B31901) is acceptable toward the M.B.A. degree. **No more than 6 electives may be taken outside of Booth but at the University of Chicago.**

The below rules apply to all students seeking the MBA (under either curriculum):

A “B” (3.0) average must be maintained in courses used to earn the M.B.A. degree; only courses with grades of “C” (2.0) and above may be used to earn the M.B.A. Such courses must represent substantive academic work; grades of “R” or Pass/Fail are not acceptable in courses counted toward the M.B.A. Workshops cannot count toward the M.B.A. A student cannot take a class s/he has previously TA’d for (even with a different instructor) and use it to count toward the MBA requirements.

MBA concentrations are not granted to Ph.D. students who have earned the M.B.A.

Only University courses may be used to fulfill these course requirements. Master’s level courses taken at another institution cannot fulfill the M.B.A. course requirements. If a student feels that he or she has already taken a course elsewhere that is equivalent to one of the required Booth courses, he or she may take another, more advanced Booth course to satisfy the course requirements, with the approval of the M.B.A. substitution coordinator.

A student may petition the Director of the Ph.D. Program to appoint a four-person committee (one member being the Director of the Ph.D. Program) to determine whether a Ph.D. student should be granted an M.B.A. degree before fulfilling all of the above requirements.

If a student is graduating with the M.B.A in the quarter in which the student is also getting the Ph.D. and the student still has to take courses for the M.B.A. degree, the student must earn provisional grades in those courses. Provisional grades are not given in all courses. The student should plan ahead and make sure that faculty in any courses they take will grant provisional grades.

CHAPTER 9 – VISITING STUDENTS

VISITING STUDENT STATUSES

Visiting Ph.D. students from other institutions fall into one of two categories established by the University: **Non-Degree Visiting Students or Exchange Students (CIC Traveling and Exchange Scholars)**. If the student is enrolled at one of the schools participating in the CIC or Exchange Scholars program (see below), then those procedures for studying at Booth should be followed. If the student is enrolled at another school, the student must follow the relevant Non-Degree Visiting process as described below.

Non-Degree Visiting Students

On occasion, and in consultation with the Director of the Ph.D. Program, a tenured or tenure track faculty member may invite a Ph.D. student to come to Booth to work under the faculty member's tutelage. Such non-degree visiting "Student Researchers" must have reached the dissertation stage of their academic training, and intend to conduct research in the dissertation area of their faculty sponsor at Booth. They must be current Ph.D. students for the duration of their visit to Booth (that is, they cannot graduate while visiting). They will not be allowed to enroll in classes nor can they take on a teaching position with the University.

If an international student has been invited to come to Booth, after the student supplies Booth with some requested information, the Ph.D. Office will obtain from the University's Office of International Affairs (OIA) a visa-eligibility document. This will be forwarded to the student.

The student will be responsible for funding their own expenses, including tuition (non-degree visitor rate), fees, room and board, transportation, and health insurance, among other expenses. If invited, the student will be registered as a non-degree visitor. Generally, the student cannot be registered in this status for more than four quarters.

Exchange Students

The University participates in two academic exchange programs: the CIC Traveling Scholar Program and the Exchange Scholar Program. Both programs allow doctoral students from participating institutions to take advantage of special educational opportunities not available at the home campus (e.g., library holdings, classes, research centers, a particular faculty member). Students apply through Graduate Student Affairs and can study for up to one academic year at the host institution. Participants register at the home and host institutions, and a record of work done is entered on the transcripts of both institutions. Participants pay tuition to the home university and are not billed for tuition by the host institution. Additional information about the CIC Traveling Scholar Program and the Exchange Scholar Program can be found at <http://grad-affairs.uchicago.edu/>.

CHAPTER 10 – COURSE REGISTRATION AND GRADING

Approval of Course Registration

First-year Ph.D. students must have their autumn quarter registration approved by the Senior Associate Director of the Ph.D. Program.

All Ph.D. students should discuss their course schedule with the Senior Associate Director in any quarter in which their course schedule varies from the most recent approved five-year academic program plan.

Registration: Booth Courses

Ph.D. students register for Booth courses through the on-line course bidding system (iBid). Questions or problems with iBid may be addressed to the Information Manager. **Failure to register on time (prior to the first week of the quarter) will result in a late registration fee.** Students who are in advanced residence and are not planning to take courses do not need to participate in the course bidding system, as they are automatically registered.

Course Bidding System (iBid)

Registration for each quarter generally begins Monday, Week 8, of the previous quarter with the final phase of bidding occurring Week 1 of the current quarter.

All bids are entered in the Course Bidding System (iBid). Bidding instructions are available on the Chicago Booth Portal at portal.ChicagoBooth.edu, right hand toolbar “iBid–bid for classes.” Bid deadlines also appear on this site.

Bid Points

Sufficient bid points are allocated to Ph.D. students so that they can “purchase” the schedule they need for their academic program. Ph.D. students start the program with 8,000 bid points. Points are not charged for registering for most Ph.D.-level classes, although Ph.D. students must bid at least one bid point in order to register for classes. Since no points are generally paid for registering in Ph.D.-level courses, no points are accrued for completing them. Thus, the 8,000 point “bank” remains in place for the next quarter’s bidding.

Points may be charged, however, when Ph.D. students take M.B.A.-level courses or Ph.D. courses that are popular with M.B.A. students. Points will be charged only when demand for the course they are taking exceeds supply, and a price is set. Bid points are paid in the amount of the closing price for each course added in that phase of bidding. If a price is set, that amount is deducted from the 8,000 point “bank” with which Ph.D. students start the program. For each M.B.A.-level course which Ph.D. students take, they will accrue an additional 2,000 points. The points that are carried forward to the next quarter are the initial amount (8,000), less any points paid for the courses, plus 2,000 additional points for each M.B.A. course taken.

The bidding point allocation for Ph.D. students is sufficiently large to guarantee that students can register for course sections required for the General Examination course requirements. For those Ph.D. students who take M.B.A.-level courses, further information on bidding history and closing points are available in the bidding instructions found on-line in the iBid system.

Bid points are refunded 100% for drops in Phase 2, 75% in Phase 3, 50% in Phase 4; they not refunded for drops processed after Phase 4. This includes late course drops/withdrawals and leaves of absence.

Registration: Non-Booth Courses

Students should complete the Course Registration Form (available on the Ph.D. Program website under “Useful Forms” and submit it electronically to the Information Manager. Students must meet the registration deadlines for non-Booth courses (see below). Students must submit their initial registrations prior to the first week of courses.

Schedule Adjustments: Booth and Non-Booth Courses

Booth: Students may adjust their Booth courses after all bidding/drop/add phases are over. These adjustments are processed by the Information Manager. The deadline to add a Booth course is Friday of week two of the quarter. The deadline to drop a Booth course without receiving a grade of “W” for withdrawal plus a \$50 change in registration fee is Friday of week three. Beginning week eight through the last day of the quarter, written faculty consent is required for withdrawal from a Booth course.

Non-Booth: The deadline to add a non-Booth, University course is Friday of week three of the quarter. The deadline to drop a non-Booth, University course without receiving a grade of “W” for withdrawal plus a \$50 change in registration fee is Friday of week three.

To adjust Booth courses (after bidding/drop/add) and non-Booth courses, students should complete the Course Registration Form (available on the Ph.D. Program website online) and submit it electronically to the Information Manager. Students must meet the registration deadlines described above. To avoid a late registration fee, a student’s initial registration must be made prior to week one of the quarter.

Workshop Registration

All 2nd and 3rd year students **must register for the workshop that is required by their dissertation area** each quarter, do the work necessary to receive a grade of P, and make sure that the grade is posted on their transcripts. This six-quarter workshop requirement is necessary to reach candidacy.

Course Registration for B31901

Business 31901 is a course of independent research conducted under the close supervision of a Booth tenure track faculty member. A student may take the course on a P/F basis or may elect to receive a grade on the regular scale. To register the student must: (1) have a signed statement from a faculty member indicating that the student may work with him/her on a research project; and (2) indicate whether the class will be taken P/F. Courses taken P/F may not be counted toward the Ph.D. or M.B.A. degrees.

Course Registration for B71900

All Ph.D. students who are not enrolled in coursework for at least 300 credits will be enrolled in B71900: Advanced Study by the Ph.D. Program Office for every quarter the student does not have a full-time credit load (excluding summer). Pietro Veronesi, Ph.D. Program Director, will be the instructor of record for this course. It will be graded Satisfactory (S)/Unsatisfactory (U). In order to receive a grade for this course, you will be required to submit an Academic Progress report. This will consist of a one page form indicating your coursework, research, and teaching activities for the quarter you are enrolled in this class, as well as some additional information if you are in your 4th year or beyond. (Students who are already submitting a tuition waiver form on a quarterly basis will not be required to turn in this additional form since the tuition waiver form will serve the same purpose.)

Summer Courses

Registration during the summer is not required and must be approved by the Director of the Ph.D. Program. **Students may not take any summer courses in the summer after their first and second years.** For students in their third year and beyond, the Ph.D. Program does not pay tuition for M.B.A. summer courses, or generally, for other summer courses (such as language courses). On a case by case basis, the Director reviews requests to pay tuition for courses over the summer that are an integral part of a student's doctoral study. If you have such a request, submit it to the Associate Director and include the rationale as to why it is an integral part of your doctoral study. Please note that the graduate student version of *Academic and Professional Writing*, a.k.a. "The Little Red Schoolhouse" or "LRS" (English 33300) is generally approved as a summer course (beginning in the third year).

Registration for Curricular Practical Training (CPT) or Academic Training (AT)

If a student is receiving stipend funding from Booth, they cannot be registered for curricular practical training (CPT) or academic training (AT) during the academic year (autumn, winter, or spring quarters). If a student receiving stipend funding is interested in registering for curricular practical training or academic training for summer quarter, they must demonstrate that their internship will have some direct connection to their dissertation area and/or dissertation research. They must also receive the approval of their area advisor (or committee chair) and the Ph.D. Program director. The Ph.D. Program Office reserves the right to impose additional restrictions on CPT and AT. Students should not assume that they will be approved for CPT or AT. Those students who are not receiving stipend funding from the Ph.D. Program must demonstrate that the internship/job will have a direct connection to their dissertation area and/or dissertation research and must receive the approval of their area advisor (or committee chair) and the Ph.D. Program director.

Course Grades

The following course grades are used: A+, A, A-, B+, B, B-, C+, C, C-, D+, D, P (pass), F (fail), I (incomplete), R (registered), S (satisfactory), U (unsatisfactory) and W (withdrawal). Grade requirements are discussed in "General Examination Requirements by Area." The grade W (withdrawal) indicates that the student has withdrawn from the course after the third week of the quarter.

University of Chicago Course Grades

Some University of Chicago divisions use plus/minus grading, while others use standard letter grades. University of Chicago courses in which plus/minus grades are assigned are calculated for the grade point average using the Chicago Booth scale described in the next section.

The University of Chicago Law School grades on a scale of 155 to 186. The following conversions are used 184 to 186 = A+, 182 to 183 = A, 180 to 181 = A-, 178 to 179 = B+, 177 = B, 174 to 176 = B-, 172 to 173 = C+, 170 to 171 = C, 168 to 169 = C-, 166 to 167 = D+, 163 to 165 = D, 160 to 162 = D-, 155 to 159 = F.

Grade Point Average Calculation

When computing GPA, A+ = 4.33, A = 4, A- = 3.67, B+ = 3.33, B = 3, B- = 2.67, C+ = 2.33, C = 2, C- = 1.67, D+ = 1.33, D = 1, and F = 0. A grade of F counts in the GPA calculation even though the course does not count toward the degree requirements. Grades of P, I, R, S, U, and W do not count in grade-point calculations.

Pass/Fail in Booth Courses

Ph.D. students may register for the grade of pass/fail in courses offered in the Booth. With the exception of the workshops, the student must request permission from the faculty member to take the course pass/fail. The deadline for such approval is Friday of the 4th week of the quarter in which the class is taught. The grade of “P” or “F” is neither acceptable toward the M.B.A. degree nor for any courses used toward fulfilling the course requirements for the Ph.D. degree (with the exception of the workshop requirement).

Pass/Fail in Other University of Chicago Courses

Students taking a course outside the Booth who wish to register to take a course pass/fail should obtain permission from the instructor at the first class meeting. In some divisions, students must register for pass/fail grading through a department or division office; in most divisions, however, grading is managed by the instructor. Students should follow the grading guidelines of the department or division in which the course is taught. It is the responsibility of the student to ensure that the instructor is reminded of the agreement to take the course pass/fail prior to the time the grade is issued.

Provisional Grades

See Chapter 6.

Official Audit

Ph.D. students may **not** register for the grade of “R” (registered/audit) in courses offered at Booth. Students may register for the grade of “R” in courses offered in other University departments and schools, if such a grade is allowed. The grade of “R” is neither acceptable toward the M.B.A. degree nor for any courses used toward fulfilling the course requirements for the Ph.D. degree.

A grade of “R” (registered) signifies that no credit has been earned and that the student has submitted no evidence for the grading of the work. As such, the grade of “R” may not later be changed to any other grade, nor may any other grade be changed retroactively to “R”. Additionally, courses with a grade of “R” cannot be used to meet requirements for graduation.

To register for the grade of “R” in courses offered in other University departments or schools (if such a grade is allowed), the student must have the instructor email permission to officially audit the course to the Information Manager by Friday of week two of the quarter.

Incompletes and Blank Grades

An incomplete signifies that a portion of the required work for a course is or will be outstanding at the time the faculty member submits final grades for that quarter. If schedule conflicts, workload, or other factors have affected a student’s ability to keep up in a particular course, a student should withdraw from the course. If a student needs to repeat a course in order to satisfactorily complete it, the student should not request an incomplete; the student should register for the course again.

Incompletes are given at the discretion of the instructor. The manner of and time period for completion of the work are agreed on by the instructor and the student, so long as the time period does not exceed the one year limit placed by the Ph.D. Office. If the instructor is unwilling to give an incomplete, the student should withdraw from the course. Students may make up an incomplete only with the instructor who granted it. Please note that the grade of “I,” in addition to the final grade, will remain on the student’s university

transcript. Sometimes students receive a blank grade instead of an official "I." The same policies apply to a blank grade.

Incompletes and blank grades must be resolved within one year (i.e., if an incomplete or blank grade was granted for a course taken in autumn quarter 2011, the incomplete or blank grade must be changed to a grade by the end of autumn quarter 2012). If a student fails to receive a grade for an incomplete or blank grade within the one year limit, the student must retake the course in order for it to count toward degree requirements. There are no exceptions to this rule.

Obtaining Grades

At the end of each quarter, students may check their grades via my.uchicago.edu. Students use their University CNet ID and password. This user-id and password is different from your Booth user-id and password. Due to security concerns, no grades may be given out over the telephone or by e-mail.

Official Transcripts

The University of Chicago transcript is a record of a student's progress and performance while enrolled at the university. All courses completed or withdrawn from for a grade of W appear on the official student transcript with the grade received. All entering students pay a lifetime transcript fee of \$45 in their first year of study. The lifetime transcript fee allows students to request an unlimited number of official transcripts, now and in the future, whenever they need it, at no additional cost. Transcripts may be ordered in one of three ways:

1. By a secured Internet transaction via:
registrar.uchicago.edu/students/transcripts.shtml
2. In person in the Office of the University Registrar
3. By mail, sending a signed request to the Office of the Registrar

Grade Appeal Procedures

A student who believes that he or she has an error in the grading on any graded material in a course (e.g., assignment, paper, project, examination) should follow the guidelines provided by the professor for a grade appeal. If the professor does not provide specific guidelines, the student should use the following process:

1. Discuss the potential grading error with the professor.
2. Submit a written request for a review of the graded material to the professor.
3. In both the discussion and the written appeal, the student should state clearly and in detail which part of the graded material has a potential grading error, why the student believes there is an error, and what the correct grade would be. The professor will review and re-grade all of the material and decide whether or not the grade should be changed. If the professor decides that a grading error was made, it is the obligation of the faculty to correct that error and increase or decrease the grade accordingly. The final decision rests with the faculty member and only he or she can change the grade.

If the faculty member does not respond in a timely manner, and the student wishes to pursue the appeal further, he or she may submit a written request along with copies of correspondence with the faculty member to the Ph.D. Program Office. The Sr. Associate Director will review the process with the student. If the Sr. Associate Director concludes that

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a student request did not get a complete review by the professor, he or she will contact the professor to discuss the re-grade and ensure that the student's request received a fair review. Appeals are limited to a review of the re-grade process and do not include a review of the professor's evaluation of the re-grade.

Unless a professor informs their students otherwise, a grade change appeal must be initiated no later than the quarter after the course is completed.

Academic Grievances

Students are encouraged to raise issues and concerns regarding academic matters with the faculty when appropriate. Academic grievances not related to a grade change may be brought, in writing, directly to the Director. Issues that cannot be resolved by the Director will be taken to the Deans' Office for review.

An academic grievance appeal must be initiated no later than the quarter after the course is completed.

The University's Office of the Student Ombudsperson is also available to provide resources and support: ombudsperson.uchicago.edu.

Restricted Registration

The University applies restrictions to students' university accounts in two categories:

Category One: Penalties are applied locally to students' accounts by the restricting office. Restrictions in this category include:

<u>Office Placing Restriction</u>	<u>Reason for Restriction</u>
Library	unpaid fines
Bursar	returned checks

The Registrar's Office notifies students of the penalty and its consequences. Category One restrictions will not interfere with the student's continuing registered status and enrollment in courses.

Category Two: Penalties deny registration privileges and are imposed for three types of reasons: academic, financial, or noncompliance with federal or state regulations. Restrictions in this category include:

<u>Office Placing Restriction</u>	<u>Reason for Restriction</u>
Bursar	unpaid balances, personal bankruptcy
International Affairs	check-in required for all new international students
Library	unreturned materials, unpaid fees
Parking Office	parking tickets
Real Estate Operations	delinquent rent payments
Student Care Center	noncompliance with immunization requirements
Student Loan Administration	no exit interview

University Dean of Students disciplinary actions

The restricting office, the University Registrar, and the Ph.D. Program Office will communicate the restrictions to the student.

If a Category Two restriction is unresolved by Friday of week seven of the quarter, the student is placed on inactive status for the upcoming quarter and is prohibited from bidding for courses for the upcoming quarter. Additionally, Category Two restrictions will prohibit university privileges and services. Prohibitions include the ability to:

- obtain official transcripts of academic records and grade reports
- obtain official certification of student or alumni status
- view academic and personal information on university administrative systems
- access Chalk
- audit (officially or unofficially) Chicago Booth or University of Chicago courses
- obtain a new Chicago Card
- borrow materials from the libraries
- access athletic facilities
- access University Housing
- maintain valid parking permit

Please see the section on inactive status for further implications.

Once the Category Two restriction is resolved, the student's status is changed back to active for the upcoming quarter, and the student regains privileges for course bidding. If the restriction is not cleared by Friday of week two of the subsequent quarter, the student is not able to enroll in courses due to the Chicago Booth deadline of all course enrollments being complete by that time. Therefore, a student's status would remain as inactive. For example, if a Category Two restriction is imposed in autumn quarter, and it is cleared after Friday of week two of winter quarter, the earliest a student may enroll in courses is spring quarter.

The Ph.D. Program Office may also place a student on restricted status for non-compliance in any administrative area given advance written warning.

CHAPTER 11 – FINANCIAL ASSISTANCE

Various kinds of financial assistance are offered to students in the Ph.D. Program. Except for the guaranteed TAs, all assistance is given without any work requirement attached. All forms of assistance are merit-based and are contingent on continued satisfactory progress.

Tuition Grants

Full tuition support is available for five years of full-time study, conditional on satisfactory progress in the Program. Students remaining in the Program beyond five years will be assessed full tuition except under unusual circumstances. The Ph.D. Program will only pay tuition for one quarter after a student has defended his/her dissertation (presuming the student is eligible for a tuition waiver). The Ph.D. Program does not pay tuition for students who have full time employment.

Stipends

It is the policy of the Ph.D. Program that students offered stipend support upon admission to the Program will continue to receive it for four years of full-time study provided they continue to make satisfactory academic progress and are in residence at Chicago Booth. Students admitted without stipend support in the first year may apply for it in subsequent years; however, the chances of receiving any such support are quite small. Students may apply for 5th year stipend support; such support is generally dependent upon a student proposing and defending their dissertation.

1st Year Summer Research Awards

Ph.D. Program: The Ph.D. Program supports summer research for qualified first year Ph.D. students. A student who has successfully completed three quarters of a full schedule of courses, with a minimum grade point average of “B”, may work under the supervision of a Booth faculty member with support from the Ph.D. Program. The student must be in residence and work during the student’s first summer in the Program. The paper must be completed and submitted before the first day of the autumn quarter of the student’s second year. The amount of support available to a student from the Ph.D. Program is \$5,000. If it is approved, the student will receive a grant of \$5,000 before the end of the autumn quarter. A student may also choose to work as a junior co-author with a faculty member on a paper. Some dissertation areas require students to complete the summer paper.

CRSP Awards: Finance students wishing to write an optional research paper during the summer following their first year in the Program may apply for a grant to the Center for Research in Security Prices (CRSP). Prerequisites are completion of any two of courses B35901, B35902, B35903, B35904, B35905, B35906, or B35907 with a minimum grade of B in each course (Joint Program in Financial Economics students do not have to have completed all prerequisites to be eligible). Two types of projects are possible:

1. **Original Research:** Submit an original paper to the Ph.D. Office by the first day of autumn quarter of the second year. If the paper is an extension of one written for a course, the extension must be substantial and the original paper must be submitted with the CRSP research paper.
2. **Junior Co-authorship:** Work as a junior co-author with a finance faculty member. The student must be signed on as a junior co-author by a faculty member before the summer quarter of the student’s first year in the Program. See Chapter 5 of this Guidebook for details about co-authorship.

The paper or research project must be submitted to the Ph.D. Office by the first day of the autumn quarter. The paper or research project will be evaluated by a committee of finance faculty members. If it is approved, the student will receive a grant of \$5,000 before the end of the autumn quarter.

Note: a student may receive either a Ph.D. Program Grant or a CRSP Award, but not both.

Students are required to upload a PDF copy of their summer paper to the Ph.D. database so other students and faculty can access it.

Ph.D. Program Special Fellowship Awards

Under certain circumstances, students may receive one of several Ph.D. program endowed fellowship awards. Generally, these are awarded to students who have applied for and been awarded 5th year stipend support, with the exception of some area awards that are used to support dissertation research costs and some awards for summer paper funding, in addition to some awards and prizes that support strong performance. Some regular stipend funding is also awarded through endowed fellowships. These awards include:

Jonathan and Stephanie Arnold Fund: This endowment fund was established by Booth alumnus Jonathan Arnold (MBA 1986, PhD 2006) to provide stipend support for Booth Ph.D. students.

The Brunswick-Davidson Accounting Research Scholarship: This endowment fund was established with a gift from the Brunswick Foundation in honor of Prof. Sidney Davidson to support Booth Ph.D. students in accounting. Its purpose is to enable accounting Ph.D. candidates to obtain materials that would expedite the completion of their dissertations. The accounting faculty may elect a recipient when they deem there is a student who merits it.

The Ravi Bhushan Ph.D. Fellowship Fund: This endowment fund was established by Ravi Mattu (MBA 1983) in honor of the late Ravi Bhushan (PhD 1987) to provide stipend support for Booth Ph.D. students.

The Davidson PhD Fellowship Fund: This endowment fund was established to support Booth PhD fellowships.

The Hillel J. Einhorn Memorial Scholarship: This endowment fund was established in honor of the late Mr. Einhorn, who was a Booth faculty member, by his widow, Susan. The purpose of the fund is to support a student pursuing studies in behavioral decision making.

The Eugene Fama Endowed PhD Fellowship Fund: This endowment fund was established to provide stipend support for Booth PhD students.

The Sanford J. Grossman Fellowship in Honor of Arnold Zellner: This endowment fund was created by U.C. alumnus (Ph.D., Economics, 1975) Sanford J. Grossman for the following purpose: "The fellowship will be awarded annually to an outstanding Ph.D. student, and its recipient determined by the Director of the Ph.D. Program. The principal and income from the sums I contribute are to be used solely for the purpose of supporting Ph.D. students at Booth who are designated publicly as recipients of the Sanford J. Grossman fellowship in honor of Arnold Zellner."

The Charles T. Horngren Doctoral Fellowship: This endowment fund was established by a gift from Booth Ph.D. alumnus in accounting (1955), Charles T. Horngren, professor emeritus at Stanford University. This fellowship is to be awarded to an accounting Ph.D. student.

The Jennifer Jones Fellowship: This endowment fund was established to provide stipend support for Booth Ph.D. students.

The John Leusner Fellowship: This endowment fund was established by the Graduate School of Business and the Leusner Family to support outstanding Booth Ph.D. students in finance who are beyond the proposal stage. The fellowship honors the memory of John Leusner, a Finance Ph.D. student who died in 1996. The Leusner Fellowship recognizes a finance Ph.D. student whose dissertation proposal exhibits outstanding creative potential. To qualify for the award, a student must be nominated by his or her dissertation advisor after the dissertation proposal presentation. A small committee of finance faculty decides whether and to whom to award the Fellowship. The selected Ph.D. student receives a stipend and is designated the Leusner Fellow.

The Oscar Mayer Fellowship: This endowment fund was established by a grant from the Oscar Mayer Foundation and a personal gift from Oscar G. Mayer, Jr., in memory of his late father.

The Katherine Dusak Miller Fellowship in Finance: This endowment fund was established by a gift from Booth Ph.D. alumnus (1976) William Waters and his wife Phyllis in honor of Merton Miller's wife, Katherine Dusak Miller, to provide fellowships to finance students.

The Katherine Dusak Miller General Ph.D. Fellowship: This endowment fund was established by a gift from the estate of Katherine Dusak Miller (AB'65, MBA'68, PhD'71), to provide fellowships to Ph.D. students.

The Joseph A. and Susan E. Pichler Fellowship: This endowment fund was established by a gift from Booth Ph.D. alumnus Joseph Pichler and his wife Susan, to provide stipend support.

The Wesley Pickard Endowed Fellowship: This endowment fund was created by Wesley Pickard (MBA 1972) to provide fellowships for Ph.D. students.

The Beryl W. Sprinkel Fund: This endowed fund was created by Booth Ph.D. and MBA Alum Beryl Sprinkel and is shared with the University's Economics department. It provides fellowships to students in Economics and the Booth Ph.D. Program in alternate years.

The Arnold Zellner Doctoral Prize, sponsored by the BEST Foundation: The Arnold Zellner Doctoral Prize will be awarded to a doctoral student from the University of Chicago Booth School of Business whose research contributes to the application of Bayesian methodology in finance and investments. The Zellner Prize is generally worth \$4,000 and may be awarded to a Booth doctoral student on an annual basis.

Non-Booth and Non-University Research Fellowships

Non-Booth and non-University research fellowships are available from a variety of sources. The Ph.D. Office posts announcements of such fellowships to the Ph.D. student listserv.

Research Assistantships (RA), Teaching Assistantships (TA) and Tutoring

Various RA/TA positions are available to Ph.D. students to supplement their stipends and provide relevant experience. The Guaranteed TAship program guarantees students in their third and fourth years the opportunity to TA three sections per academic year, with a payment of \$2,500 per section. Securing guaranteed TAships is the responsibility of the student. Additional details on the courses covered by this are provided by email each summer. Students are generally expected not to TA until their second or third year. **To TA in your second year requires permission from your area advisor.**

Students interesting in tutoring may request to have their names posted on the tutoring listing on the Ph.D. Program's website; students may also request to be listed as available to RA/TA. First year students are not eligible to be listed as available to TA.

Support for Travel, Data, and Human Subject Research

The Ph.D. Program has limited funds to support travel, data purchases and human subject research directly related to a student's dissertation research. Each request will be reviewed on the basis of its intrinsic merit and availability of funds at the time of the request. The earlier in the academic year that a request is made, the better the chance for money being available to fund it. Applications are available on the Ph.D. Program's website and must be submitted to the Associate Director of the Ph.D. Program, for review by the Director, **prior to the activity**. An advisor's signature is required.

The Ph.D. Program Office may approve up to \$1,000 per 3rd, 4th and 5th year student per academic year (September 1-August 31) for students to:

- (1) attend a conference at which a student is giving a paper or a poster
- (2) perform human subject research
- (3) purchase data (Please note that we expect a copy of the data set to reside in the Ph.D. Office.)

The Ph.D. Program Office may also approve funding for:

- (1) Students who are on the job market and who are attending a conference to interview for positions (but who are not giving a paper or a poster); we may approve up to \$450 to help you with your travel expenses (out of your \$1,000 allotment).
- (2) 3rd years who are interested in attending a conference but who are not presenting a paper/poster can submit an application for funding. These applications will be looked at on a case by case basis; we may approve up to \$450.
- (3) 1st, 2nd, and 6th years can also apply for funding for conference travel and research. These applications will also be looked at on a case by case basis and are more likely to be approved if you are giving a paper or poster.

We will receive applications for funding UNTIL we have run out of money in our budget line for these expenses. You must apply for the funding to Ph.D. Office (see below); the Ph.D. Office will get approval from the Director. Until you receive the Director's approval, you are not guaranteed funding. **You should apply for funding prior to the activity you are requesting funding for.**

As an example, if you have a \$300 request for human subject research that is approved and you then want to get reimbursed \$800 for a conference, only \$700 (\$1000 - \$300) will be approved and you would then have exhausted your allocation for the year.

The forms you need to apply for funding are available on the internal Ph.D. Program website under "Useful Forms." After COMPLETELY filling out the form and getting a faculty advisor's signature, submit the form to the Ph.D. Office. It will then be reviewed by the Ph.D. Program Office and you will be notified if your funding request was approved, and if so, for how much.

Marjorie Walters Memorial Emergency Loan Fund

This fund is used to help a Ph.D. student deal with short-term financial problems. Interest-free loans of up to \$1,000 are available quickly upon request for short periods of time

(usually one month). Students should feel free to stop in and speak to the Sr. Associate Director if they find themselves in financial need. The loans are given in total confidence.

Marjorie Walters was the Assistant Dean of Students for the Ph.D. Program at the time of her death in 1983. The fund was established by her friends who wanted to create a living reminder of her devotion to the Ph.D. Program and her affection for the students.

Other Loan Assistance

Students interested in the Federal Stafford Loan Program and private loans should contact the Booth Financial Aid Office, 773-702-3076, Suite 115.

US Federal Financial Aid Eligibility

Students must be making satisfactory academic progress (SAP), which equates to a cumulative grade-point average of 2.33 and completion of at least 66% of attempted courses, to be eligible for U.S. federal financial aid programs. Students fail to complete a course in the case of failure, withdrawal, or an incomplete grade after a program-approved timeframe. SAP is evaluated annually at the end of each spring quarter. For SAP, the maximum time frame for completing the program is 8 years.

Appeals may be granted for students who fail this standard due to injury or illness, the death of a relative, or other exceptional or mitigating circumstances. Appeals must be sent, in writing, to the Office of Financial Aid at Financial.Aid@lists.ChicagoBooth.edu. Students whose appeals are approved will receive a one-quarter financial aid probation during which they will be eligible for federal aid. Students who remain under the SAP standards at the end of the financial aid probation period may submit an appeal indicating why their progress remains unsatisfactory and include an academic plan endorsed by an academic advisor.

CHAPTER 12 – INFORMATION TECHNOLOGY, COMPUTING FACILITIES, RESOURCES AND POLICIES

The Ph.D. Student Computer Lab (Room 383) is a room designated for the exclusive use of Booth Ph.D. students. The room contains PCs, a printer, storage “lockers,” and a dry erase board.

The Information Technology staff outfits each PC with a special “build” designed to incorporate all the software the Ph.D. Program has licenses to, installed in the most efficient manner. The majority of the PCs have all of the same software; a few PCs have additional software that is used less frequently. Installation, as well as any necessary follow-up service and repairs, will be handled solely by the ITS staff. Students are prohibited from installing software on Booth owned machines.

Ph.D. Program Computing Resources

Each student’s general Booth login and password enables usage of the Booth Ph.D. computing workstations. For basic everyday usage, there is a 30 gigabyte limit. Students working on special computing projects requiring additional amounts of disk space for a limited period of time should request a temporary allocation of more storage by submitting the “Application for Temporary Increase of Research Grid Space” to the Sr. Associate Director. This form is available on the “Useful Forms” section of the Ph.D. Program website at. A faculty signature is required. Students requiring substantially more space will likely need to seek additional resources.

Information Technology Policies

Students are expected to know and comply with Booth’s and the University’s Information Technology (IT) policies, including but not limited to:

1. Acceptable Use Policy for Information Technology
<https://itservices.uchicago.edu/policies/acceptable-use-policy>
2. Student Manual of University Policies and Regulations
<http://studentmanual.sites.uchicago.edu/networking>
3. File Sharing Policy
<https://itservices.uchicago.edu/policies/file-sharing-policy>

Disruption of information technology through deliberate human action—whether it affects the operation of computing systems or telecommunications, the security of electronically stored information, or the integrity of such information—is a serious academic offense and may be subject to disciplinary action within the university as well as to civil or criminal action. Following are some illustrations of forms of computer abuse that may be subject to punishment. (This is not an exhaustive list.)

1. Access, attempted access, or actual theft through use of a computer or attempting to evade, disable, or “crack” passwords or other security provisions.
2. The transfer or sharing of personal computer accounts and passwords with another person.
3. Commercial use or the seeking of personal gain through the use of university computing resources (including the network, databases, and e-mail system) for business not related to the university or through resale of computing resources or equipment.
4. Deliberate distribution of a virus, worm, spam, or other software that may cause harm to other computer systems (within or outside the university).

5. The use of a computer to examine or view without authority any e-mails, data, text, or software not belonging to the user.
6. Concealing or misrepresenting your identity or affiliation. While some forums may appropriately provide for anonymous contributions, deliberately misrepresenting your identity or using identifiers of others is a serious abuse.
7. Disruptive or other inappropriate use of a computer—for example, to harass or interrupt others.
8. Failing to comply with Booth Information Technology guidelines for maintaining the proper level of security on any computer connected to the university's network (wired or wireless).
9. Disconnecting university-owned computers or devices from the network for the student's own use.
10. Violation of the Digital Millennium Copyright Act (DMCA) by downloading any type of copyrighted materials using university resources.
11. The use of tools, scripts, or non university-provided software to manipulate university electronic infrastructure, systems, or software in order to gain access to functions or resources that have not been made available to the student by the Booth Information Technology department.

The University's policies and Chicago Booth's rules also apply to computing systems outside the University of Chicago that are accessed via the university's facilities (e.g., e-mail or remote logins using the university's Internet connections) and do not supersede other rules of the University applicable to computing, such as rules against theft or damage of physical property. Network or computing providers outside the University of Chicago also may impose their own conditions of appropriate use, for which users at this University are responsible.

When any use of information technology at the University presents an imminent threat to other users or to the University's technology infrastructure, system administrators may take whatever steps are necessary to isolate or eliminate the threat. This may occur without notice depending on the severity of the threat. This may include rendering a student's account "inactive" if a student fails to comply with proper configuration parameters and sufficient virus protection software, changing passwords, reading or locking files, disabling computers, or disconnecting specific devices or entire subnetworks from university, regional, or national voice and data networks.

PH.D. STUDENT COMPUTER LAB RULES

Use of the Ph.D. Student Computer Lab is a privilege. Students must follow the rules to maintain this privilege. Violation of the rules will result in a loss of this privilege, as well as other consequences, depending on the severity of the violation. Excessive violations may result in closing the Lab facilities to all students until the problems are remedied.

The Ph.D. Student Lab is a self-managed room. This means that Ph.D. students maintain the "surfaces" of the room and keep it clean. The janitorial staff empties the garbage and recycling and periodically vacuums the rug.

- (1) **THIS LAB IS FOR THE EXCLUSIVE USE OF BOOTH Ph.D. STUDENTS ONLY.** Guests and visitors of Booth Ph.D. students are not allowed and will be asked to leave, as will any student who is not a Booth Ph.D. student.

- (2) Doors to the Lab cannot be propped open. This rule protects students and their possessions, as well as Ph.D. Program computer equipment and supplies.
- (3) Personal property should not be left unattended. Any area is only as safe as the users make it. The Ph.D. Program is not responsible for any lost personal property.
- (4) Computers are not assigned to a particular student. They are to be used on a first-come, first-served basis each day. The tables must be cleared of all books, papers, and other personal property when the student leaves for class or for the day.
- (5) The Lab is to be used for quiet study and computing. Conversation should be held elsewhere.
- (6) **EATING AND DRINKING IN THE LAB IS ABSOLUTELY PROHIBITED.** This will be strictly enforced and includes the table section of the room. Even one violation of this rule can result in loss of computing and study privileges in this room.
- (7) Cell phone usage is prohibited.
- (8) No furniture, lab equipment, or office supplies can be moved out of the Lab without the explicit permission of the Ph.D. Office staff.
- (9) Smoking is absolutely prohibited within Booth, including this Lab.
- (10) **At random intervals, the hard drives on the computers in the Ph.D. Lab will be erased and software will be freshly reinstalled. No notice will be given prior to these erasures and reinstallations. In order to prevent loss of your work, do not save your work to local hard drives.**
- (11) For computing operational problems, students should contact the Helpdesk (2-7114). For paper supply, students should contact the Computing Lab (4-2557).
- (12) Students are expected to be aware of and comply with the Booth's Computer Use Policy, posted on Booth's Computing Services website. Disruption of computing through deliberate human action – whether it affects the operation of computing systems or telecommunications, the security of electronically stored information, or the integrity of such information – is a serious academic offense and will be subject to disciplinary action within the University as well as to civil and criminal action.

CHAPTER 13 – LOCKERS AND CARRELS

Locked File Drawers

There are file cabinet drawers with locks available for students in rooms 383, 384, 385, 321, 342 and 372. New students may apply in the Ph.D. Office for a drawer assignment and key. A \$5 refundable deposit fee will be charged at the time the key is issued. Students must vacate their drawer and turn in their key when they graduate or leave the Program. The deposit will be returned when the key is turned in. Students with carrels may be asked to give up their locked file drawer if there are not enough locked file drawers for those students without carrel space.

Ph.D. Student Office Space (Carrels)

Use of the Ph.D. Student Office Space (Rooms 384, 385, 372, 342, and 321) is a privilege. Students must follow the rules to maintain this privilege. Violation of the rules will result in a loss of this privilege, as well as other consequences, depending on the severity of the violation. Excessive violations may result in closing the space to all students until the problems are remedied.

The Ph.D. Student Office Space is self-managed. This means that Ph.D. students maintain the “surfaces” of the room and keep it clean. The janitorial staff empties the garbage and periodically vacuums the rug.

- Doors to these rooms cannot be propped open. This rule protects students and their possessions.
- Personal property should not be left unattended and unlocked. Please use the locking drawers/bin of your carrel. Any area is only as safe as the users make it. The Ph.D. Program is not responsible for any loss of personal property.
- Cell phone usage is strongly discouraged.
- No furniture, equipment, or office supplies can be moved out of these rooms without the explicit permission of the Ph.D. Office staff.
- Smoking is absolutely prohibited within Booth, including these rooms.
- No display of inappropriate materials is allowed in these rooms. Such material will be removed if it is displayed.
- Assigned carrels are for 3rd, 4th, and 5th year students who are in residence (and any second year students who win them in the lottery, should extra carrels be available). You must relinquish your carrel if you graduate prior to the end of your 5th year or if you leave the Program. If you have not graduated but will no longer be living in Chicago, you must also relinquish your carrel, regardless of your year. If you are still in residence in your 6th year, you will be required to relinquish your carrel.
There are no exceptions to this policy.
- Those students with an assigned carrel may request the key for their carrel. A \$5 refundable deposit will be charged at the time the key is issued. When the key is returned, the deposit will be returned to the student.
- Given that these rooms are shared spaces, students are expected to respect the other occupants. Cell phone conversations should be carried out elsewhere, as should extended conversations.

CHAPTER 14 – OTHER UNIVERSITY AND BOOTH POLICIES

University Residence and Registration Requirements (including Leave of Absence)

At the inception of the 2000-01 academic year, the University of Chicago revised its policy of registration residence categories for doctoral students. The new policy applies to all doctoral students in the entire university regardless of previous status or year of entry. Previous policies will not be “grandfathered” for students who entered prior to 2000. Please disregard all discussions of residence requirements in previous editions of this Guidebook prior to 2000.

To receive a Ph.D., students in doctoral programs at the University of Chicago must complete four academic years (a minimum of twelve quarters up to a maximum of 16 quarters, if students elect to study during the summer quarters) in the status of Scholastic Residence. **Students must then maintain registration in the status of Advanced Residence until the doctorate is awarded.** In both statuses, satisfactory academic progress toward the doctorate is a prerequisite for continued registration. A third residence status is Leave of Absence. These registration statuses are described below.

Scholastic Residence: All Ph.D. students will be enrolled in Scholastic Residence during the first four academic years in the Program. During each of these four years, students are required to be registered for at least three academic quarters. The Booth Ph.D. Program specifies that these quarters be autumn, winter and spring. Registration during the summer is not required and must be approved by petition to the Director of the Ph.D. Program if additional summer coursework is desired. Summer coursework is generally not permitted in the summers after the first and second years in the Program.

During the early years of Scholastic Residence, students are engaged primarily in course work; during the later years, that typically changes to a combination of coursework, examinations, and independent research and writing.

Registration: Students in this category and who are taking classes must participate in the registration process each quarter. Those who have finished all course work and workshops and are not taking additional courses will be automatically registered.

Advanced Residence: After completing 4 academic years of scholastic residence, students enter the status of Advanced Residence and remain in this status until they complete their degree requirements, for a maximum of eight calendar years. Note that this 8-year maximum is a University standard. Booth requires its doctoral students to finish within seven years from matriculation and will not support tuition after the fifth year in the Program (first year of Advanced Residence).

The University of Chicago defines Advanced Residence as a full-time student status. Students are required to be registered (and will be assessed full tuition) for three quarters of each academic year. For Booth, those quarters are autumn, winter, and spring. Summer registration will take place if that is the quarter in which the student graduates.

Registration: All students in this category are automatically registered and do NOT need to participate in the registration process, unless they wish to take courses.

Student-Initiated Leave of Absence: UC doctoral students may apply for a leave of absence not to exceed four academic quarters according to the following regulations:

- (1) During Scholastic Residence, a student who has completed three or fewer years in this status may apply for a leave of absence of up to four academic quarters. Upon returning

- from such a leave, the student will be required to register in Scholastic Residence until the requirement of four years of registration in that status has been fulfilled. (During the period of leave, the academic residence status “clock” is stopped.) Students may request a leave of absence only after completing their first quarter of enrollment.
- (2) A student in Advanced Residence may apply for a Leave of Absence only if temporarily incapacitated by major illness or injury. Applications for such a leave must be endorsed by the Director of the Ph.D. Program; they can only be granted by the Office of the Provost. A student may take such a medical leave of absence for no more than four academic quarters.
 - (3) A female student in either Scholastic or Advanced Residence who becomes pregnant may request a one-quarter leave if medically necessary. The one-quarter maternity leave may be taken in the quarter of childbirth.
 - (4) Students who become parents during their graduate studies may choose to take a one-quarter leave of absence to care for a new child (in addition to time taken during pregnancy, if applicable). See the Graduate Student Parent Policy below and the University’s Graduate Student Parent Policy in the University’s Student Manual <http://studentmanual.uchicago.edu/> for additional information.

Students must file a Leave of Absence petition available from the PhD Program Office. A student must apply in advance for a Leave of Absence unless unforeseen circumstances prevent this. All leaves require the approval of the area or dissertation advisor and the PhD Program Director. A Leave in Advanced Residency may only be granted by the Office of the Provost.

Administrative Leave of Absence: Chicago Booth reserves the right to place a student on an administrative leave of absence for lack of academic progress or performance, disciplinary sanctions, Category Two restrictions, and other such circumstances. When the Director determines, in consultation with the Student Counseling Service Director (or his or her designee), that a student’s continued presence on campus poses a substantial risk to the safety and well-being of others or may cause significant disruption to the functioning of the University, a leave of absence may be indicated. The student may be in a better position to recover from or manage his or her symptoms at home or in a less stressful environment. They may also benefit from specialized counseling or treatment away from the University. The student will be given the opportunity to take a leave of absence voluntarily. If the student declines to take a voluntary leave of absence, the Director has the authority to restrict or cancel existing and further registration of the student.

Military Personnel Leave of Absence: Military personnel are subject to the following specific considerations when requesting leave for active duty:

1. Students should present official documentation of their status as Armed Forces active personnel or reservist to the Ph.D. Program Office.
2. Student receiving VA or military-related benefits should speak with the designated advisor to veterans in the Office of the Registrar for the University.
3. Students called to duty before Week 5 of the quarter will be allowed to drop their courses without penalty.
4. Students called to duty during Week 5 or thereafter will determine appropriate registration/grading options on a per course basis.

Leave of Absence Policies and Guidelines: By federal law, students on leave for more than 180 days will be coded as withdrawn in the University's system and reported as such to the Department of Education. Chicago Booth will maintain a student's status as "inactive" with the student's ability to resume the Ph.D. Program so long as the length of the leave is within the applicable limits described in (1) or (2) above.

Students should review the section on Inactive Status and the following recommendations prior to deciding to take a leave of absence:

1. **Bidding for classes:** Students should not bid for classes for the quarter(s) they will be on leave. Students who have bid for classes for the upcoming quarter should immediately drop all classes in the next phase of bidding. By dropping courses according to phases 1–4, students receive points back. There is no refund of bid points for dropping courses after phase 4. Access to iBid is restricted during the leave quarter(s).
2. **Tuition and Fees:** Students are not charged tuition and/or fees while on a leave of absence, unless a previous balance remains unpaid and incurs additional late payment fees or they elect health insurance as described below.
3. **Financial Aid and Loans:** Students who receive financial aid and/or loans must inform Chicago Booth's financial aid office of their intention to take a leave of absence.

The following are specific considerations for students in the Ph.D. Program:

1. **Student Health Insurance:** The Ph.D. Program will not cover the cost of health insurance coverage while a student is on a leave of absence. Continuation coverage is available while students are on leave. Please contact the University's health insurance coordinators for additional details, as details vary depending upon the type of leave and when the leave occurs.
2. **Health Services and Activities Fees:** Students do not pay these fees while on leave of absence. The only exception is for students taking an approved medical leave of absence. In those instances, if they elect to maintain and pay for health insurance for the duration of the current plan year (through August 31), then they are required to pay for the health services portion of the student life fee in the same quarters. Students do not pay the activities fee while on leave of absence; they may not participate in Chicago Booth or university-sponsored events while on inactive status.
3. **International Students:** International students must complete a leave of absence form with the Office of International Affairs and inquire about what documents will be required upon resumption. Taking a leave of absence may affect international students' eligibility for Curricular Practical Training or Optional Practical Training. Students should inquire about eligibility requirements at the Office of International Affairs.
4. **Student Loans:** If a student has student loans from his/her undergraduate or graduate education, s/he should determine what consequences a leave could have on repayment. If a student has loans from Booth, they must discuss their leave of absence plans with the Booth Financial Aid Office. By federal law, students on leave for more than 180 days will be coded as withdrawn in the University's system and reported as such to the Department of Education.

The following are specific considerations for Armed Forces Reservists:

1. Students should present official documentation of their status as an Armed Forces Reservist to the Ph.D. Program Office.
2. Students receiving VA benefits should speak with the designated Advisor to Veterans in the Office of the Registrar for the University.
3. Students called to duty before week five of the quarter will be administratively dropped from their courses without tuition penalty.
4. Students called to duty during week five or thereafter will determine appropriate registration/grading options on a per course basis.

Inactive Status: Students are placed on inactive status when they take a leave of absence. Inactive students do not have access to the following Chicago Booth and university privileges:

- iBid and other password-protected academic information, such as course evaluations, restricted course materials, and Chalk
- Community Directory, except to update address information
- Financial aid
- Health insurance, except for Ph.D. Program students who elect continuation coverage
- Health services provided to Ph.D. Program students at the Student Care Center and the Student Counseling Service, except for those taking an approved medical leave of absence who elect continuation health insurance for the duration of the plan year
- University libraries
- University athletic facilities
- Chicago Booth and university student events

Students' Chicago Booth e-mail accounts remain active while on inactive status. After four quarters of inactive status, students are removed from the administrative e-mail distribution lists. They are automatically added back to these lists upon resuming active status. Access to password-protected information on the Chicago Booth Portal is regained upon resuming active status.

Students' university CNetID becomes dormant for students who are not registered for six or more months. Upon registration in the quarter of return, the CNetID is automatically reactivated. Students regain access to all Chicago Booth and university privileges listed above in the quarter of registration.

Resumption of Studies after Leave of Absence

Students must contact the Ph.D. Program Office at least six weeks prior to their expected return in order to ensure they have the maximum amount of time to bid for courses. International students also should contact the Office of International Affairs to confirm their expected return date (and may need to apply for a new visa substantially sooner than six weeks before their return).

Although readmission to a student's program is not automatic, a student with a good record and a good reason for the extended absence is usually permitted to resume, subject to the time limit for completion of the degree.

Resumption of Study for Military Personnel

Military personnel should contact the Ph.D. Program Office at least eight weeks prior to their expected return. The Ph.D. Program at Chicago Booth accepts up to three courses for transfer credits from other approved institutions. These credits can only be used toward the coordinated sequence requirement. The Ph.D. Program does not grant credit for experiential learning or online courses. An evaluated educational plan will be provided after a student is admitted or before a student on a leave resumes studies. Students may petition for an extension of the seven year time limit to degree, if applicable.

Health Insurance and Student Health and Wellness Fee

The University requires Ph.D. students to maintain health insurance coverage. Coverage must be annually maintained by enrolling in one of two university Student Health Insurance Plans (U-SHIP) or waiving enrollment by documenting coverage through another source. The coverage dates of the plans are September 1, 2014 through August 31, 2015. Insurance premiums are assessed over three quarters. Students who participate in the plan during autumn, winter, and spring quarters of an academic year are automatically covered for the subsequent summer quarter without an additional payment. To fulfill this requirement, students will need to enter the Student Insurance Open Enrollment website <https://studentinsurance.uchicago.edu> and either elect U-SHIP coverage or apply for a waiver by demonstrating adequate coverage.

All registered students must pay the Student Health and Wellness Fee. The fee **cannot** be waived for students who live within 100 miles of the University and waive enrollment in the U-SHIP plan. The Fee will be waived **ONLY** for those students who live and study over 100 miles from campus, and who will not be on campus during the quarter.

Graduate Student Parent Policy

The University has established general principles and minimum modifications for students who become parents during their graduate studies. This includes three options: parental relief academic modification, parental relief leave of absence, and milestone extensions. For additional details, please visit: <http://studentmanual.uchicago.edu/>. If you are planning for the birth or arrival of a child, you are encouraged to discuss your options with the Senior Associate Director.

Immunization Requirements

By State of Illinois law, all students are required to present proof of immunity to rubella (German measles), measles (rubeola), mumps, and tetanus/diphtheria. The Student Care Center notifies all new students of the requirement and provides instructions for compliance. The exact requirements vary for each disease and are different for international students. Information and immunization forms can be accessed at scc.uchicago.edu. Students who fail to meet this requirement by the deadline will be restricted and denied access to University facilities and to subsequent course registration. A student who receives this notification should call the Immunization Office at 773-702-9975 to resolve their status.

Students with Disabilities

It is a policy of the University of Chicago to comply with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act as amended. Students with disabilities, including learning-related disabilities, which might qualify for academic program accommodation(s) must notify the Director for Student Disability Services in the University at 773.702.7776. Appropriate documentation verifying the disability must be provided to

support the request. Assuming the documentation is current and complete, the review and decision process may take up to ten weeks. Approved accommodation(s) are implemented by the Ph.D. Program Office.

Confidentiality of Student Records and Information

In accordance with the U.S. Department of Education and the Family Education Rights and Privacy Act (FERPA), the university and Chicago Booth may release, without the express permission of a student, information that can be classified as “directory information.” This information includes student name, address, summer address, telephone number, date and place of birth, area of study, dates of program (start date, graduation date, enrollment dates), honors and awards, and degree conferral. Students must provide written permission to the university and Chicago Booth to release any information regarding the student’s academic record. FERPA does permit disclosure of a student’s academic record to the following parties, without consent, and under the following conditions:

- School officials with legitimate educational interests
- Other schools to which a student is transferring
- Specified officials for audit or evaluation purposes
- Appropriate parties in connection with financial aid to a student
- Organizations conducting certain studies for or on behalf of the school
- Accrediting organizations
- Appropriate officials in cases of health and safety emergencies
- To comply with judicial order or lawfully issued subpoena

For a full listing of FERPA guidelines, students should refer to www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html.

Official Name Change

Students needing to update their school record due to an official name change may complete a Name Change Form in the Ph.D. Program Office. Students should bring to the office a copy of official documentation of the new name. Acceptable forms of documentation include: marriage license, drivers license/state identification, or passport.

The program office may request, on behalf of the student, a new Chicago Booth display name to be created. The display name will not replace the Chicago Booth email address account assigned at the time of admission; however, an e-mail alias can be created to reflect the new name.

Community Directory

The Chicago Booth Community Directory is an online directory provided by the University of Chicago Booth School of Business. The Chicago Booth Community Directory is specifically designed to facilitate communication among students and alumni for personal or Chicago Booth-related purposes.

Privacy and Security

Chicago Booth has taken precautions to secure the personal information available through the Chicago Booth Community Director. The CD is password protected to allow access by Chicago Booth students and alumni only. Although these precautions should effectively

protest any personal information available through the Chicago Booth Community Directory from abuse or outside interference, a certain degree of privacy risk is faced any time information is shared over the internet. Through viewing options provided to students and alumni, the Chicago Booth Community Directory allows students and alumni to control personal information available to one another.

Guidelines for Proper Use

Information available through the Chicago Booth Community Directory may be used for specific personal and Chicago Booth related purposes only. Use of the Chicago Booth Community Directory for any commercial, public, or political mailing is prohibited. Prohibited uses of the information within the Chicago Booth Community Directory include but are not limited to:

- advertising and solicitations for commercial services
- activities that are illegal or fraudulent
- activities that inaccurately imply endorsement, approval, or sponsorship by the University of Chicago and/or Chicago Booth
- exchanges that can be confused with official communications of Chicago Booth
- mailings using a false identification
- activities that violate other alumni users' privacy, such as granting access to the system or distributing information obtained from the services
- posting of obscene materials or use of obscene or vulgar language, as defined by the university harassment policies
- creation of profane, fraudulent, or obscene aliases. All aliases adopted by the Chicago Booth Community Directory users are subject to approval by Chicago Booth.

Liability and Indemnity

The reliability of the information available through the Chicago Booth Community Directory Web site is largely dependent upon the actions of students and alumni. Chicago Booth can make no representations about the accuracy, reliability, completeness, or timeliness of this information. Use of the Chicago Booth Community Directory Web site is a privilege.

By using the system, students agree to:

- abide by the Chicago Booth Community Directory policies and the policies found within the Chicago Booth Student Handbook and
- indemnify, defend, and hold harmless Chicago Booth, the University of Chicago, and their respective agents from and against any and all losses, claims, damages, costs, and expenses that may arise from use of the Chicago Booth Community Directory Web site or breach of these policies. Chicago Booth will provide notice to any such action or claim, and reserves the right to participate, at the student's expense, in the investigation, settlement, and defense of any such action or claim.

Chicago Booth reserves the right to drop or prevent delivery of any e-mail violating the above acceptable use policy, including all unsolicited bulk e-mail or e-mail containing a virus. Chicago Booth staff may periodically review e-mail flagged as a violation of the terms

of service for the sole purpose of monitoring unsolicited bulk e-mail and virus filtering performance.

Chicago Booth reserves the right to discontinue any or all online services at any time or to revise the terms and policies of this acceptable use agreement. If the policies are revised, the updated policies will be posted on the Chicago Booth Community Directory Web site. Students should review the policies periodically, particularly after any updates, to ensure that you are familiar with them.

Chicago Booth is not responsible for screening communications/bulletin board postings. Chicago Booth, however, reserves the right to reorganize or delete any postings or message boards and may at its discretion reassign a topic's ownership. Chicago Booth expects community members to exhibit the same level of respect for others in this forum as in any other Chicago Booth-related venue. If Chicago Booth determines that a user's participation in the Chicago Booth Community Directory may create a liability for Chicago Booth or that the user has violated the policies set forth herein, Chicago Booth reserves the right, in its sole discretion, to take actions against the user including expel a user and/or deny a user further access to the Chicago Booth Community Directory.

Student Contact Information

Students maintain their contact information via the Community Directory accessible via the Chicago Booth Portal at portal.ChicagoBooth.edu. The following contact information is required by Chicago Booth and/or the University of Chicago:

- Home: the location where a student is currently living; must be in the U.S. for student visa holders
- Foreign: the permanent international address for student visa holders
- Emergency Contact: the name and contact information of an individual to whom university administrators could speak should the student be incapacitated

The following contact information can be maintained, but is not required:

- Permanent: a home residence, often a parent's home address
- Business: contact information at a place of employment

When maintaining their contact information in the Community Directory, students must designate either the home or business address as the place for school communication to be sent.

The Community Directory is an internal Chicago Booth resource. Students who do not wish for their contact information to be viewed by other Chicago Booth students may elect to have it suppressed.

Privacy Display Options

Students who do not wish for their contact information to be viewed by other Chicago Booth students have the option when updating their address records in the Community Directory to check boxes to suppress information. By checking any of the boxes in your Home or Business address records, your entire record also will not be viewable to other student users of my.uchicago.edu, the University of Chicago directory.

Communication Within Booth: Mailfolders, Email Account and Email Lists

Mailfolders

Ph.D. students' mail folders are located on the first floor of the Harper Center to facilitate communication within Booth. Ph.D. students are expected to check their mail folders regularly as they are responsible for the contents. These folders are not provided for the receipt of U.S. mail.

Individual Chicago Booth Computer Account

Each student is provided two computer accounts (Chicago Booth and CNetID) that include a username, password, and e-mail address. The assigned usernames are unique identifiers and are tied to students' university identification numbers (UCIDs); therefore, usernames cannot be changed.

Use of university and Chicago Booth systems is subject to the Security, Privacy and Acceptable Use Policy document, <http://it.chicagobooth.edu>. All users of University and Chicago Booth systems are subject to this policy and should be familiar with its content.

The Chicago Booth account provides students access to the following resources:

- Chicago Booth computer labs
- E-mail (mail quota is 1 GB)
- Chicago Booth Portal
- Community Directory
- Research Grid
- Booth VPN

The CNetID account provides students with access to the following resources:

- Wireless networking
- Proxy access (reserved library online catalogs)
- my.uchicago.edu (to check grades and bursar account)
- Chalk, <https://chalk.uchicago.edu>
- University VPN

Official communications from the University are sent via email to each student's university email (CNetID@uchicago.edu). Students are responsible for reading email sent to this official address. This includes communications sent to university accounts that have been forwarded to an alternate account. Official communications from Booth are sent via email to each student's Booth email (login@chicagobooth.edu). Students are responsible for reading email sent to this official address, even if mail is forwarded to a different account.

Forwarding CNetID Account E-mail

During the admissions process, admitted students will self-claim their CNetID from the Booth Portal. The CNetID e-mail account is set to forward to the Chicago Booth email account. Students who previously attended the university must forward their CNetID email account to their Chicago Booth e-mail account, or regularly check both accounts. Information about forwarding CNetID email can be found at <https://itservices.uchicago.edu/email>.

Changing the Display Name of Chicago Booth E-Mail Account

Students' Outlook display name "From:" appears in the format of last name, first name and middle initial. A display name can be changed in cases involving official name changes, such as marriage or divorce. Students submit appropriate documentation of the name change to the Ph.D. Program Office, who will request the creation of a new Outlook display name. The new email display name will be created in the same format of last name, first name and middle initial.

Email Aliases

An alias (sometimes also called a nickname) is a pointer to your default Booth ID email address (userid@chicagobooth.edu). All email addressed to your aliases will arrive in the same inbox as email addressed to your userid@chicagobooth.edu address. Students are able to choose via the Portal up to two aliases in any format as long as the chosen alias is not in use. Please note that some aliases have been restricted. Students will maintain their original Chicago Booth and CNetID user-names for logging into systems. Student are expected to create aliases in keeping with the Chicago Booth standards of professionalism, which ideally should reflect a student's first and last name in some combination.

Administrative Email Lists

Administrators communicate program-specific information including deadlines and announcements through official Booth e-mail distribution lists. **Students are responsible for information contained in these messages.** Administrative lists include: phd-students@lists.chicagobooth.edu (all Ph.D. Students), dissertation area specific lists, and year in program specific lists, among others.

Each list includes all active students from the appropriate program/year for the current quarter. Students are automatically subscribed and cannot unsubscribe from these lists. Administrative lists are maintained by the Information Manager. Moderators read and approve all mail sent to each list. If the message does not meet the criteria for that list, it will not be approved

Course Email Lists

Each course has a designated e-mail address for enrolled students to communicate. Only students who are officially registered for the course and the instructor are included in the mailing list. E-mail lists are updated after each phase of registration, then nightly once all phases of registration are complete.

1. Course lists are designed to facilitate and enhance the learning process. Students are expected to use these lists as a means to exchange ideas with one another on course content and to interact with faculty. Students are automatically subscribed and cannot unsubscribe from these lists.
2. Students are prohibited from using Chicago Booth course e-mail lists for nonacademic related issues such as a marketplace (for selling of course textbooks or packets) or a survey tool (student solicitation of unofficial feedback for course evaluations). Students should be aware that course packets are dynamic as faculty members update their course materials each time they teach. Therefore, course packets should not be resold. Students interested in posting personal messages such as items for sale, lost and found information, non-Chicago Booth sponsored functions, and/or selling textbooks should do so through the marketplace on the *Chicago Booth Bulletin Board* on the portal at

<http://portal.chicagobooth.edu>. The Chicago Booth Bulletin Boards are password protected and only members of the Chicago Booth community may access them.

CHICAGO BOOTH ACCESS CARD

The Chicago Card (UCID) allows Harper Center access during non-public hours as well as access to the Ph.D. Computer lab, the Ph.D. carrel rooms, the Andrew M. and Sharon Sadow Alper Student Study and group study rooms. Access to Harper Center floors 3, 4, and 5 are restricted outside of normal business hours and Ph.D. students must use the card in the elevator or stairways to access these floors. Students are expected to carry the Chicago Card (UCID) while inside the Harper and Gleacher Centers and Booth 455 as they may be asked to show their card as proof of Chicago Booth student status. To report and replace lost or stolen Booth access cards, Ph.D. Program students should visit the Booth Facilities and Operations Department, HC 114.

APPROPRIATE USE OF CHICAGO BOOTH CAMPUSES

Specific areas within Gleacher and Harper Centers are designated for the exclusive use of Chicago Booth students, staff, faculty and guests of the school's administration. Examples of these areas are: Information Technologies/labs, internet stations, student group study rooms, student lounges, and quiet study areas. Any use of Chicago Booth campuses not directly related to the academic mission of the school must be approved by the deans or designated staff.

Commercial use or the seeking of personal gain through use of any and all University of Chicago assets or resources (for example, equipment, facilities, confidential information, internet access, networks, databases, and e-mail systems) for business not related to the University of Chicago is not allowed. Students, or guests of students, who violate the above policies will be subject to Chicago Booth disciplinary procedures outlined in the Discipline section.

Appropriate Use of Harper Center

Harper Center (HC) is the focal point of Chicago Booth's academic and social community and it is to be utilized by Booth students, faculty, and staff to participate in the school's academic and community programs. Social and nonacademic events held in HC should support Chicago Booth's educational and community aims. HC is not a substitute for other venues that support social activities inappropriate for an educational facility such as bars, clubs, or gambling establishments.

While Ph.D. students with authorized UChicago Cards have 24 hour access to certain parts of Harper Center, when the building closes to Chicago Booth MBA students, Ph.D. students must leave the public floors of the building (classroom, floors one and two) and move to the third floor of the building if they wish to remain in the building. When classes are in session, the building is open to Chicago Booth MBA students from 6 am to 1 am.

Group Study Rooms—Usage Policy

All students registered for a Chicago Booth class who are matriculated into the Evening, Executive, Full-Time, Ph.D., or Weekend Programs can reserve group study rooms in Booth 455, Gleacher Center and Harper Center. Group study rooms are reserved online via the MRM reservation tool through the student portal or by going to reserve.chicagobooth.edu

A student will have priority access to space in the building where his or her program is based: for example, the Full-Time MBA and PhD programs are based at Harper Center

and Evening MBA, Weekend MBA and Executive MBA are based at Booth 455 and Gleacher Center. Priority access means students can reserve group study rooms located in their home campus (e.g., Harper Center for Full-time and Ph.D., Gleacher Center for Evening, Executive and Weekend) up to seven days in advance. All others can make reservations one day in advance (for example: reservations for Friday can be made beginning 12:00 am on Thursday).

Group study rooms are intended for use by two or more students and can be reserved in 15 minute increments, with a maximum reservation time of 3 hours for Booth 455 and Gleacher Center group study rooms and 2 hours for Harper Center group study rooms. Consecutive reservations are not permitted and a minimum of two hours between reserved rooms is required. canceled if the student does not arrive within 10 minutes of the reservation start time. Repeated no-shows are considered a violation of group study room policies and can result in suspension of study room privileges.

Students found in violation, such as abuse of privileges, will be contacted by the appropriate program office and informed of the violation. Subsequent violations will result in the revocation of their privilege to reserve group study rooms online.

CHICAGO BOOTH BUSINESS CENTER

The Chicago Booth Business Center, located in room HC 108A, is open to all members of the Booth community from 8:30 a.m. to 5 p.m., Monday through Friday.

The Business Center offers: walk-up service for FedEx and other overnight delivery providers, mailing supplies and postage for U.S. mail, professional photocopying and binding services, a limited variety of office supplies, display poster production, and fax service.

Payment for Business Center services can be made by the Chicago Card (UCID). Funds may be added to the card at an add value machine (located in the vending machine room across from the Everett Kolver Café).

Student-Owned Equipment or Property for Chicago Booth Activities

The University's insurance policy will not, under any circumstances, reimburse or replace the theft of uninsured personal property. Therefore, the use of personal property for Chicago Booth activities must be approved by an authorized Chicago Booth staff member and the items insured under the owner's insurance policy prior to use.

An authorized Chicago Booth staff member must first approve the use of student equipment or other personal items for Chicago Booth activities. This procedure relates only to items with a single or aggregate value greater than \$500. An authorized person is one who has signature authority to issue reimbursements in conjunction with this procedure. Giving approval means that Chicago Booth will take some financial responsibility toward the replacement of the items if stolen. In order to minimize the replacement expense, all approved student property must be insured through a homeowner's insurance policy or a personal renter's/homeowner's insurance policy. Documentation verifying insurance coverage is necessary.

In the event that the student's property is not covered by an existing insurance policy, the authorized Chicago Booth staff member must request that the student purchase homeowner's or renter's insurance. The authorized staff member will then reimburse the student for a portion of the premium—typically the cost of six months' insurance (\$80). If the insured property is stolen, and the theft is not a result of user negligence, the authorized staff member will issue a reimbursement to the student for the amount of the deductible

(\$250); the student will be responsible for collecting the remainder from the insurance company. All thefts must be reported to the police and copies of police reports provided to both Chicago Booth and the insurance company.

If students who have been informed of the procedures fail to obtain necessary approval and subsequently use their property for Chicago Booth activities, Chicago Booth is not responsible for reimbursing the replacement cost of the property if stolen. Each department is responsible for establishing the approval guidelines and for communicating this information to the students in their areas.

Vendors

Chicago Booth does not permit vendors selling products or services access to Chicago Booth students via e-mail distribution lists, the online student directory, the Chicago Booth printed Facebook, mail folders, and/or tables in the Harper Center and Gleacher Center. Vendors may market available products and services by placing an advertisement in Chicago Business.

Videotaping Classes

Chicago Booth does not offer videotaping of classes, teleconferencing into class, or any other means of remote communication for real-time student viewing or listening. Attendance at, and uninhibited participation in, classes is an integral part of a Chicago Booth education. Chicago Booth does not adopt policies and practices that inhibit free and open participation in classes or encourage individuals to be absent. A student who faces an unavoidable absence should ask a classmate to audio record (with faculty permission) or take notes on the lecture on his or her behalf.

Photo Rights

The University of Chicago and Chicago Booth reserve the right to use photos taken during class, programs, and events for promotional purposes. Students who do not wish to have their photo used in promotional materials should submit a written statement indicating such to the appropriate program office.

SCHOOL CLOSING

In the unlikely event that the university is forced to cancel classes because of severe weather, radio stations WBBM 780 AM and WGN 720 AM will broadcast school closing announcements on the day in question.

Classes on the Hyde Park campus at the Harper Center—day and evening—will be canceled if and only if the university officially closes. The decision whether to cancel the downtown campus classes at the Gleacher Center will be made by 3 p.m. on the day in question.

Ph.D. students should check for an e-mail message, or with the Ph.D. Program Office, 773.702.7298, or Faculty Services, 773.702.7114.

Research on Human Subjects

Research with human subjects may come under the purview of the University's Institutional Review Board (IRB). Additional information on research with human subjects may be found at: <http://sbsirb.uchicago.edu>. The below information is from the University's IRB website. Please consult the IRB regarding your research as needed.

Activities involving interaction with and the collection of information about living individuals are integral components of the educational practices and administrative processes of the University. Not all of these activities meet the regulatory definitions of "research" and

"human subjects." As such, not all of these activities require Institution Review Board (IRB) review.

Only projects meeting both definitions of "research" and "human subjects" as provided below come under the purview of the IRB. The initial determination as to whether a research project should be considered "human subjects" "research" is the responsibility of the investigator. This determination should be made in accordance with the definitions and guidance below and in consultation with the IRB as appropriate.

Research — A systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.
(45 CFR 46.102(d))

- In general, studies that involve data gathered solely for internal, on-going campus use (e.g., course evaluation or institutional program development), or are part of classroom projects that will not be presented outside the classroom do not need to be reviewed by the IRB. If results of these studies will be disseminated publicly in any way (e.g., conference presentation, publication), then the study is considered to constitute "research." If no dissemination is planned at the time the data is gathered, but the possibility of future dissemination exists, the researcher is advised to submit the project for IRB review and approval before initiating the research.

Human Subjects — A living individual about whom an investigator obtains (1) data through intervention or interaction with the individual or (2) identifiable private information.

(45 CFR 46.102(f))

- Research on deceased individuals is not subject to IRB review.
- Intervention includes both physical procedures by which data are gathered and manipulations of the subject or the subject's environment for research purposes.
- Interaction includes communication or interpersonal contact between investigator and subject (e.g., telephone call, e-mail).
- Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (e.g., medical record).
- Identifiable information means the identity of the subject is or may readily be ascertained by the investigator or associated with the information.

Only projects meeting both definitions (research and human subjects) come under the purview of the IRB.

CHAPTER 15 – BOOTH STANDARDS OF SCHOLARSHIP AND PROFESSIONALISM

Achieving the mission and goals of the University of Chicago and the Booth School of Business depends on the manner in which each member of our community conducts himself or herself, both within the school and when representing Chicago Booth externally.

Classroom, extracurricular, and professional relationships must be founded on the values and principles of mutual respect and acceptance, and also on the affirmation of the legal rights of all members of our community. As members of the Chicago Booth community, students (along with administrators, staff, and faculty) are expected to conduct themselves and communicate in a manner consistent with the values of academic, personal, and professional integrity. This includes, but is not limited to, professional conduct with faculty, other students, and staff through the completion of course requirements, classroom behavior, and extracurricular activities sponsored by Chicago Booth or Chicago Booth–approved student groups, corporate recruiters, alumni, other constituent groups, and members of the student body.

The Chicago Booth community is committed to building and sustaining an environment in which its members can freely work together, both inside and outside the classroom. We want to promote and capitalize on our rich diversity as a source of intellectual and interpersonal openness, while recognizing that differences between us will always be present. All members of our community must be treated with the same level of respect regardless of sex, race, cultural heritage, religious practice, and/or sexual identity. Each member of our community is responsible for the protection of the dignity and the rights of other members.

To that end, the highest level of respect is expected of all who are part of the Chicago Booth community. Disrespectful behavior in any form will not be tolerated. Members of the Chicago Booth community should consider carefully the consequences that his/her actions may have on him/herself, others, and the reputation of Chicago Booth. Behavior deemed inappropriate may be cause for disciplinary review.

This section includes, but is not limited to, the standards of scholarship and professionalism to which each Chicago Booth student must adhere. Violation of these standards may be cause for disciplinary review.

Specific Standards of Scholarship

Chicago Booth’s Learning Environment

The educational mission of Chicago Booth Ph.D. Program is to prepare future business scholars, teachers and researchers. The ability and willingness to learn reside in the individual. But very high levels of learning can be achieved only if all members of the Chicago Booth community understand and respect their mutual obligations. Each community member defines the quality of this learning environment through his or her daily actions and choices. The learning environment extends beyond the classroom to the myriad interactions and working relationships of the larger community of students, faculty, and staff. Four considerations shape Chicago Booth’s perspective of the ideal learning environment:

1. **Respect for the individual.** There is a deep respect for the individuality of each student and faculty member. Through a wide choice of electives, access to detailed course descriptions in the online Curriculum Guide, and the bidding system to select courses, students can satisfy their particular interests and learning styles. Likewise, faculty members each have the opportunity to decide what they teach and how.

There is no official Chicago Booth pedagogy for the classroom. Teachers are encouraged to tap their own individual talents and experiences. Chicago Booth believes students preparing for significant business careers benefit from exposure to different learning approaches.

2. **The classroom is a place of learning.** Classrooms at Chicago Booth are a place for learning rather than teaching. Learning is not a spectator sport; powerful learning experiences require the commitment of both teachers and students. The role of the faculty is neither to entertain nor to win popularity contests. Their chief aim is to formulate, organize, and communicate knowledge. The role of the students is to participate actively in the learning process rather than consume knowledge passively.
3. **Personal integrity.** Both faculty and students are subject to the highest standards of personal integrity in their interactions with Chicago Booth colleagues and with external constituencies. Intellectual integrity is at the heart of the academic process. Dishonesty threatens its survival. All participants are expected to adhere scrupulously to the norms established for standards of scholarship. Equally destructive of the academic process is intolerance of other people's ideas, analyses, and perspectives.
4. **Continuous improvement.** Chicago Booth is committed to continuous improvement of all aspects of the school's learning environment. Faculty members are encouraged to view the classroom as a laboratory for the testing of cutting-edge, evolving knowledge and techniques. The continuous refinement of important and innovative ideas is preferred over the flawless presentation of outdated material. One way to measure the key elements of the learning environment is through the Course Evaluation Form. Each student completes this form during the tenth week of each quarter. Each student is requested to provide qualitative feedback to the instructor on the back of the form.

Consistent with Chicago Booth's long-standing empirical traditions, a commitment to continuous improvement necessarily requires the measurement of the key elements in the learning environment, the wide dissemination of the results throughout the institution, and the tracking of progress through time.

Excellence in a learning environment is attainable only if faculty and students adhere to the ideals listed above. What follows is a set of specific expectations for both students and faculty that follow directly from those ideals. These mutual expectations are neither trivial nor obvious. They are not trivial because everyone must consistently attend to details and align attitudes with behavior in order to achieve excellence in the learning environment. They are not obvious because of the diversity of cultures and prior experiences among the faculty and students.

Plagiarism

Students must not represent another's work as their own. In the preparation of all papers and other written work, students should carefully distinguish between their own ideas and those that have been derived from other sources. Information and opinions drawn from whatever source are to be attributed specifically to their respective sources. Students should learn the proper forms of citation. Quotations must be properly placed within quotation marks and fully cited. In all cases where material or ideas presented are derived from a student's reading and research, the source must be indicated. Students who submit work either not their own or without clear attribution to original sources will be subject to disciplinary

action. Punishment for plagiarism may include expulsion from the university. Refer to the section covering “Academic Honesty in Plagiarism” in the university’s Student Manual of University Policies and Regulations for more details. Group work must be clearly indicated as group work.

EXAMINATIONS AND OTHER GRADED WORK

Students must not represent another’s work as their own. Communication is not permitted between students during an examination or on an assignment. For examinations, the use of notes and books is not permitted, except when specifically permitted by the faculty member. Use of calculators and other electronic equipment in the classroom and during examinations is entirely at the discretion of the faculty member. Students should inquire specifically as to the appropriateness of a programmable calculator and other electronic equipment during an exam. In the case of take-home examinations and all other graded work, unless otherwise stipulated by the instructor, students may use any written, printed, or otherwise recorded material to find the solution. A paper may be submitted for one course only. Any exception requires advance approval in writing from all professors concerned. The title page on a paper should indicate the course (or courses) for which it is submitted. Failure to follow these rules will result in disciplinary action.

Examination Policies

Chicago Booth has a long standing policy that final exams are to be administered and taken during pre-determined finals periods. Students are expected to be available to write examinations during scheduled exam periods. Periodically students face conflicts between scheduled exams and work-related commitments. For example, an unanticipated business trip or the start of an internship or new job (obtained after the date when it is costless to drop a course) can create a conflict with pre-announced exam periods. In the event of a conflict, students are directed to speak directly with their faculty regarding the conflict. The resolution of this conflict rests solely with the faculty member.

Students with special circumstances, such as illness, grave personal difficulty or a death in the family, should contact the PhD Program Office, which will work with the faculty in appropriate cases to find a resolution. Otherwise, students are expected to be available to write examinations during scheduled exam periods and should not approach instructors with requests to reschedule exams or to make special accommodations.

The examination schedule for final exams is online at programs.chicagobooth.edu/curriculum/. Students should check the examination calendar carefully when scheduling courses to avoid exam time conflicts or enrolling in a schedule in which more than two exams are scheduled on the same day. These policies extend to all graded work (midterms, take-home exams, group projects, cases, etc.) for which a deadline is imposed by the instructor and detailed in his/her course syllabus.

Unlawful Harassment

The university is committed to maintaining an academic environment in which its members can freely work together, both in and out of the classroom, to further education and research. The university cannot thrive unless each member is accepted as an autonomous individual and is treated civilly, without regard to his or her sex, or, for that matter, any other factor irrelevant to participation in the life of the university. Members of the university should understand that this standard must shape our interactions regardless of whether it is backed up by the threat of sanctions. Certain types of behavior may be inappropriate even though not “illegal”; speech can be offensive, even though allowed. Sexual harassment including sexual assault by any member of the university community is prohibited. Without feeling

constrained by specific definitions, any person who believes that his or her educational or work experience is compromised by sexual harassment or sexual assault should feel free to contact an advisor or director in his or her appropriate program office to discuss the situation. A student may also seek assistance from an unlawful harassment complaint advisor. A current list of advisors is available online at <http://sexualharassment.uchicago.edu/page/university-resources>.

Ph.D. Program Office informal procedures, including advising and mediation, do not preempt formal channels of complaint available within the university. Mediation will not be used to resolve complaints of sexual assault. Formal complaints are handled through the appropriate area's discipline process. For the entire policy on Unlawful Discrimination and Harassment, students should refer to the university's Student Manual of University Policies and Regulations available online at <http://studentmanual.uchicago.edu>

Student Consulting Projects

Student work performed for consulting projects using the Chicago Booth name, trademarks, servicemarks, and logos will be reviewed by the faculty under the following conditions:

1. All such projects must be reviewed, approved, and sponsored by a regularly appointed, full-time Chicago Booth faculty member (e.g. faculty with titles of professor, associate professor, assistant professor, or clinical faculty member) before the projects are undertaken.
2. Proposals must be submitted to the appropriate program office at least six weeks in advance of the beginning of a project.
3. All such projects must include provisions for an ongoing update, review, and approval process by the faculty sponsor, in conjunction with the appropriate program office.
4. Students are expected to act respectfully and with integrity in all interactions with clients and other outside contacts on behalf of the Chicago Booth consulting project.
5. Students are expected to meet client commitments in a thorough and timely manner.
6. Students are expected to honestly represent themselves and their purpose when collecting sensitive data, particularly in competitor contexts, on behalf of a client.

Any fee compensation received for such projects should be paid directly to Chicago Booth, with the amount of fees dependent upon the channel. Students are not permitted to receive fee compensation for such consulting projects. However, they are permitted to receive reimbursement from clients for direct expenses incurred while completing a project. Students conducting outside consulting projects using Chicago Booth names, trademarks, servicemarks, and logos are expected to behave in a professional manner. Students are not permitted to conduct consulting projects using Chicago Booth names, trademarks, servicemarks, and logos outside of these channels.

Specific Standards of Professionalism

Alcohol

All members of the university community should be aware of the requirements of Illinois law concerning the consumption, possession, and sale of alcoholic beverages. The university expects each member of the community to be responsible for his or her own conduct and for the consequences of that conduct. Any violation of the university alcohol and other drug policy by a student will result in appropriate disciplinary proceedings, as well as possible legal ones. Illinois law prohibits the consumption and possession of alcohol by persons under the age of 21 and the supplying of alcohol to any person under the age of 21. Illinois

law also prohibits the sale of alcoholic beverages except by those licensed to sell such beverages. Individuals planning campus events should consult with the student group advisors in Student Life. For more information on the university drug and alcohol policy, refer to the Student Manual of University Policies and Regulations. Listed below are a few of the guidelines that govern events at which alcoholic beverages are served.

- Alcoholic beverages may not be served at any event at which undergraduates are present unless prior written approval has been obtained at least two weeks in advance from the Office of the Reynolds Club and Student Activities, or the appropriate area dean of students.
- All areas of the university that wish to serve alcohol in a university public area (common rooms, lounges, quads, etc.) at an event at which graduate or professional students are likely to be in attendance must, at least one week in advance of the event, consult with the appropriate area dean of students and the unit responsible for the particular space allocation, and must designate a faculty or staff member to be present and responsible for the event. Recognized graduate and professional student organizations must obtain written authorization to hold such events through the Office of the Reynolds Club and Student Activities or their area dean of students.
- All areas of the university which will serve alcoholic beverages at a function when students will be present must have the servers or a responsible event representative of the function attend alcohol risk management training (UCARE) offered by Health Promotion and Wellness and be present the entire length of the function (for more details, visit counseling.uchicago.edu).
- Sufficient amounts of nonalcoholic beverages must be available at all functions where alcohol is available. Further, appropriate quantities of non-salty food must be served at all such events.
- There may be no reference to the availability of alcohol in any publicity, including electronic notices, for a university event.
- University officials or agents of the university have the authority to prohibit attendees from bringing alcoholic beverages to a function or into a building, including events held in outdoor areas such as the quads. Such beverages may be confiscated by the official or agent. Other drugs will never be permitted at functions.

For the entire policy, students should refer to the university's Student Manual of University Policies and Regulations available online at studentmanual.uchicago.edu.

ALUMNI

Many alumni are willing to assist current students with informational interviews, with class projects, and/or to give an overview of the industry, function and/or firm in which they work. Chicago Booth tries very hard to balance accessibility (what students seek), with privacy (what many alumni value), in such a way as to create a win-win situation.

These guidelines apply whether the contact is made via e-mail, telephone, postal mail, or in person. Please remember that access to alumni data is a privilege, not an entitlement. Common sense and courtesy should always prevail.

1. Students should identify themselves and provide a reason for the contact. Alumni may be less engaged if a student starts a conversation requesting something without offering anything in return.

2. Students asking for assistance should be clear on the amount of time and resources required of alumni. Generally, students can expect a positive response by alumni if expectations and objectives are clearly defined.
3. Because it can be construed as intrusive and not targeted, sending mass e-mails to alumni (e.g., a survey) is considered out of compliance with Chicago Booth's non-solicitation policy. Instead, students may contact alumni individually and target them with a personal approach. Students who do not comply with this non-solicitation policy may lose Community Directory privileges or may be subject to disciplinary action.
4. If alumni indicate an unwillingness to communicate, accept this response graciously and please notify Alumni Relations.
5. If students have a meaningful interaction with an alumnus/a, this should be shared with Alumni Relations for tracking purposes. Please send the name of the alumnus/a, the date and type of interaction to studentalumnirelations@chicagobooth.edu.

Alumni are a great resource and usually willing to be of assistance. This resource should be treated with great respect and courtesy. Students with questions on alumni-related matters should contact Alumni Relations at 773.702.7731 or alumni@chicagobooth.edu.

Information Technology

See Chapter 12 for Information Technology and computing policies and standards.

Faculty and Staff

All communications with faculty and staff should be conducted in a professional manner. Discussion in class, in study groups, and in meetings with program advisors should relate directly to topics pertaining to the academic course or professional matters at hand. Academically, each student is responsible for:

1. Preparing thoroughly for each session in accordance with the instructor's requests.
2. Arriving promptly and remaining until the end of each class meeting, except in unusual circumstances.
3. Participating fully and constructively in all classroom activities and discussions.
4. Displaying appropriate courtesy to all involved in the class sessions. Courteous behavior specifically entails communicating in a manner that respects and is sensitive to the cultural, racial, sexual, and other individual differences in the Chicago Booth community.
5. Adhering to deadlines and timetables established by the instructor or study groups.
6. Providing constructive feedback to faculty members regarding their performance. Students should be as objective in their comments about instructors as they expect instructors to be in their evaluations of students.

The same standards apply to all meetings and communication with university and Chicago Booth staff members.

Housing System

The university, through the Student Housing Office, has the responsibility for defining the character of life in the house system. The university may take disciplinary measures against

residents who violate university regulations, infringe upon the basic rights of other residents, or whose conduct disrupts the general welfare of the houses. The director and staff of the University House System determine when house system discipline is imposed. Further information is available in the university's Student Manual of University Policies and Regulations.

Trademark and Funds

Student use of the name of the school, trademarks, servicemarks, and logos must be in line with the corporate identity standards prescribed in the corporate identity manual for the business school. These standards apply to printed materials, including letterhead, stationary, and brochures, as well as all three-dimensional objects, such as t-shirts, pens, etc. Chicago Booth Marketing must authorize all usage. Failure to comply with the appropriate guidelines will lead to forfeiture of the materials.

Individual students and representatives of student groups may, on occasion, need access to Chicago Booth funds. Any misuse of Chicago Booth funds is subject to disciplinary action.

CHAPTER 16 – DISCIPLINE

University Disciplinary Procedures

The statutes of the university prohibit conduct of members of the university disruptive of the operations of the university including interference with instruction, research, administrative operations, freedom of association, and meetings as protected by university regulations. The intent of student disciplinary procedures is to ensure a fair and orderly process on questions of possible student misconduct. A disciplinary inquiry enjoys neither the advantages nor the limitations inherent in an adversarial proceeding of a court of law. A student may be held accountable for his or her misconduct to external civil, criminal, and administrative processes as well as to the university. The university's disciplinary system normally will proceed regardless of those external processes. A disciplinary committee is not bound by external findings, adjudications or processes.

Conduct involving possible violation of university policies and regulations and other breaches of standards of behavior expected of university students should be brought promptly to the attention of the dean of students of the academic area of the accused student. Such violations and breaches of standards include, but are not limited, to: plagiarism, cheating on examinations, falsifications of documents or records, theft, vandalism, violation of computing policies, violation of the alcohol and other drug policy, physical or verbal abuse that threatens or endangers the health or safety of others, violation of an administrative department's regulations, failure to comply with directives of university officials (including the University Police), and violation of the terms of imposed disciplinary sanctions.

For the complete text of the university's disciplinary system, please refer to the *Student Manual of University Policies and Regulations* available online at studentmanual.uchicago.edu/area.

Conduct involving violation of the Policy on Unlawful Discrimination and Sexual Misconduct is addressed by the University-wide Disciplinary System. Reports should be brought promptly to the attention of the associate dean of students in the university for disciplinary affairs in Campus and Student Life for investigation and possible disciplinary action. The associate dean of students in the university for disciplinary affairs may open an investigation based on reports from third parties of arrests, citations, or other conduct from external parties. The University-Wide Disciplinary System is described in the *Student Manual of Policies and Regulations* at studentmanual.uchicago.edu/university_dicip_system.

Chicago Booth follows the university disciplinary procedures except as modified below.

Chicago Booth School of Business Disciplinary Procedures

Any allegation against a student, whether brought by a faculty member, a member of the administration, a student, or other complainant, must be detailed in writing to the Director/Sr. Associate Director of the Ph.D. Program. The student accused of the possible misconduct is contacted by the Director/Sr. Associate Director and informed of the accusations and relevant details. The student is asked to prepare a written response to the accusation. The Director/Sr. Associate Director will present the written response and additional information/evidence to the academic dean (or his or her designee). The academic dean (or his or her designee), in consultation with the Director/Sr. Associate Director, has the authority to dismiss the complaint, informally resolve it, or recommend that the matter be brought to a disciplinary committee.

If a committee is to be convened, the academic dean (or his or her designee) will appoint two tenured faculty members and one or two students to the committee and will serve as chairperson in a nonvoting capacity. In the event of a tie, the chairperson functions as a tiebreaker. The Director/Sr. Associate Director acts as a liaison to the student and assembles any required documentation for the committee. No member of the committee may engage in independent investigations or have contact with any of the parties outside of the scheduled meetings. In the event that distance precludes a student from appearing in-person before a disciplinary committee, Chicago Booth will make the appropriate technical arrangement/accommodations for remote access.

The chair or the Director/Sr. Associate Director will notify the student of the committee's decision immediately after the process and later in writing. If the decision involves a grading issue, the Director/Sr. Associate Director will inform the faculty member(s) involved of the grading recommendation of the disciplinary committee.

Sanctions may be levied on a student that restrict or deny the rights and privileges accorded a student of the University of Chicago. Rights and privileges appertaining to the status of a student include (but are not limited to) registration, participation in classes and other instructional activities of the university, taking of examinations and the satisfaction of any other requirements for a degree, application for and receipt of any degree, participation as a student in student activities and organizations and in university ceremonies or official bodies, and use of university facilities such as libraries, residence halls, and other student housing.

In comparing the processes described in the University of Chicago's Student Manual of University Policies and Regulations, the responsibilities assigned to the area dean of students in the UChicago procedures are assigned to the Director/Sr. Associate Director for the Ph.D. Program in Chicago Booth's disciplinary process.

Chicago Booth Honor Code

The students, faculty, and deans of the University of Chicago Booth School of Business regard honesty and integrity as qualities essential to a successful career. The purpose of the student-initiated Chicago Booth Honor Code is to promote these qualities. The Chicago Booth Honor Code requires that each student act with integrity in all Chicago Booth activities and that each student holds his/her peers to the same standard. By not tolerating lapses in honesty and integrity, the Chicago Booth community affirms the importance of these values. Upon admission, each student makes an agreement with fellow students and the Chicago Booth community to abide by the Chicago Booth Honor Code. Students who violate the Chicago Booth Honor Code renege on this agreement and must accept the sanctions imposed by the Chicago Booth community, which may include official Chicago Booth disciplinary action.

1. Each member of the Chicago Booth Community, as a person of integrity, has a personal obligation to the Chicago Booth Honor Code and Standards of Scholarship and Professionalism to report known violations to the appropriate program office.
2. No student shall misrepresent him/herself, his/her experience, or his/her academic record during the admissions process. All offers of admission are contingent upon the applicant's signature on the application document agreeing to adhere to the Chicago Booth Honor Code.
3. No student shall represent another's work as his or her own. No person shall receive disallowed assistance of any sort, or provide disallowed assistance to another

- student, at any time before, during, or after an examination or with respect to other graded work for a course.
4. Each student shall sign the following pledge on each exam: “I pledge my honor that I have not violated the Chicago Booth Honor Code during this examination.” At the discretion of the professor, this pledge may be required on any other graded work for a course.
 5. Each professor, in the course outline and during the first class meeting, shall state that students are required to adhere to the standards of conduct in the Chicago Booth Honor Code and Standards of Scholarship and Professionalism and state any additional standards of conduct for the course.
 6. The principles embodied in the Chicago Booth Honor Code apply to every part of the Chicago Booth community. The Chicago Booth Honor Code encompasses Chicago Booth’s Standards of Scholarship and Professionalism.
 7. Violations of the Chicago Booth Honor Code that relate to academic issues will be handled according to Chicago Booth’s disciplinary procedures.
 8. Nonacademic violations of administrative policies (for example, the administrative policies of Information Technology) will be handled procedurally in the forum (Ph.D. Program Office, etc.) in which the violation occurred, but may be referred to a disciplinary committee for further action. Decisions related to nonacademic violations of the Chicago Booth Honor Code or the Standards of Scholarship and Professionalism may be appealed to the deputy dean/director of the program in which the violation occurred.
 9. Purposefully misleading the Chicago Booth Honor Code judicial process is a violation of the Chicago Booth Honor Code.