



Ph.D.

# Academic Policies and Procedures Handbook

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2020-2021

Graduate management education standards for today's fast-paced and changing global environment require frequent update and modification. *Policies, procedures, and requirements defined, outlined, or described in this handbook are subject to periodic change and modification as determined by faculty of the Wisconsin School of Business.* You will be notified about specific changes that may affect your program of study. However, it is strongly advised that you consult regularly with your advisor and/or the administrative staff of the Research Programs Office in order to assure that you know about the latest requirements for your degree.

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## I. PROGRAM OVERVIEW

The Wisconsin School of Business (WSB) offers the following eight areas of study for PhD students:

- Accounting
- Actuarial Science, Risk Management, and Insurance
- Finance, Investment, and Banking
- Joint Business (Finance) and Economics
- Management and Human Resources
- Marketing
- Operations and Information Management
- Real Estate and Urban Land Economics

All programs of study are subject to University of Wisconsin-Madison Graduate School requirements and WSB PhD Program requirements. Departmental advisors guide students on course choices and sequences in the field of study to which they are admitted.

### General Academic Requirements

Minimum degree requirements and policies for all University of Wisconsin-Madison graduate students are found in the [Graduate Guide](#). Specific course requirements and program requirements unique to each student's research program will be handled through departmental advising. The PhD website shows relevant program options for each department or PhD Program track.

### Intention/Role of Handbook

This handbook is intended for graduate students who are pursuing Business PhD degrees. The UW-Madison Graduate School is the ultimate authority for granting graduate degrees at the University. The WSB administers the Business PhD program under the authority of the Graduate School. The Graduate School's Academic Policies and Procedures provide essential information regarding general University requirements. Degree requirements beyond the minimum required by the Graduate School lie with the WSB faculty and its designated authority, the school's PhD and Research Committee, and the staff of the Research Programs Office. The policies described in this handbook have been approved by the PhD and Research Committee.

Since degree and course requirements may change over time students will meet the degree and course requirements in effect when they entered the program as long as those courses remain available, students will follow the procedures and processes outlined in the current handbook and will be guided by their advisor toward suitable substitutions when necessary. The information in this handbook should also be supplemented by individual consultation with your advisor and committee so that individual needs/interests are addressed within the framework of degree requirements. Additional information is available via the PhD Program website and departmental web pages. Students may also wish to consult the Graduate School's Web page. Please contact Research Programs staff in the WSB regarding questions or concerns in understanding requirements.

### Key Terms

"Faculty" refers to the faculty of the WSB. Other key individuals and roles are as follows:

Sr. Associate Dean for PhD, Faculty and Research  
Director for PhD and Research Programs/PhD Coordinator  
Faculty PhD Directors/Coordinators  
Department Chairs

Department Assistants

## **Program Vision/Mission statements**

The WSB's PhD program produces scholars with the capability to enhance intellectual understanding of business theory and practice and transmit this knowledge to business scholars, professionals, and students. Our graduates are well equipped for an academic career at world-class research universities and institutes.

## **Learning Outcomes/Training Goals**

The WSB PhD programs have a rich tradition of training scholars who can both enhance the intellectual understanding of business theory and practice and effectively transmit this knowledge to other scholars, business professionals, and students.

- Our faculty are highly recognized for their expertise, cutting-edge research, and innovative teaching.
- Our students develop close working relationships with faculty and peers that will pay dividends throughout their careers.
- Our graduates are leaders in research and teaching at top educational institutions around the world.

## **Program statistics/prospects**

Student enrollment, 65-75 students

Typical time to degree, 5.5 years

## **Job market:**

<https://wsb.wisc.edu/programs-degrees/doctoral-phd/selected-placements>

## **Program Structure**

Administration/PhD and Research Committee (governance)

- 1 Faculty member from each of the 7 sub-departments within the WSB
- 2 PhD students (recruited yearly and voted upon by the faculty committee members)
- Sr. Associate Dean for PhD, Faculty, and Research
- Director for PhD and Research Programs (*Ad hoc*)
- 1 Academic staff member from the Business Library (*Ad hoc*)

This committee meets monthly throughout the academic year and is responsible for initiating, monitoring, changing, and arbitrating policy and procedural matters related to the Business PhD programs.

**Faculty**-- WSB Faculty. Research Interests and contact information by Department for our faculty can be found at <https://wsb.wisc.edu/directory>

Doctoral students at the WSB form key relationships with faculty advisors, mentors, and PhD colleagues. A shared commitment to research makes these bonds particularly significant.

## **II. ADVISING**

## **Advisor**

Every graduate student must have an advisor from the appropriate major department. At the time of enrollment, a major field academic advisor is appointed to counsel the student about courses and program changes and to act as a channel of communication within the department, to other departments within the WSB and the Graduate School. In the early stages of the PhD program, the advisor's function may be served by the PhD departmental coordinator for the respective department.

A PhD candidate is required to select a "permanent" major professor (with the concurrence of the department) who will direct the selection of any additional courses, supervise the dissertation, and serve as the chair of the dissertation reading and oral examining committees. This person may or may not be the one who served as advisor in the early stages of the degree program. The major professor/student relationship is a critical one and one of mutual agreement, which may be terminated by either party.

## **Advisor / Advisee Roles**

The advisor serves a dual role: first, to assist the student in acquiring the highest level of knowledge and competence in the field that is possible; and second, to chair the committee that will determine whether the student has performed adequately at each of his/ her degree milestones. The chair or co-chair of the committee must be considered Graduate Faculty from the student's program. Advisors will play a role in tracking the student's progress toward degree completion, assisting with course selection and academic planning, and helping students identify possible research mentors, committee members, and opportunities.

## **Annual Review**

All PhD students are reviewed annually by their academic department (see appendix A). Overall performance in the areas of Research, Teaching, and Department Activities will be evaluated. Each department may emphasize unique performance characteristics and/or deficiencies through input from all departmental faculty members who have worked with the student during the year covered by the review. Appendix A provides the initial mechanism for the review of each student. The department's faculty PhD coordinator will provide a copy of the review form to the student for initial completion by the student. The coordinator will then seek input from other faculty members within the department. Finally, the coordinator will report to the student in writing a synthesis of review perspectives from the various faculty in the department and will provide the student with a specific evaluation of where the student meets, exceeds, or falls short of faculty expectations for performance and satisfactory progress toward degree completion. In any case where the student is not meeting expectations, the coordinator will meet with the student in person to outline a performance improvement plan and will follow up on that plan in writing with the student.

## **Criteria for Satisfactory Progress**

Satisfactory progress toward the graduate degree is expected at all times. Satisfactory progress standards are determined by the PhD faculty of the WSB and these criteria are communicated to the staff of the Research Programs Office, which will work with advisors to assure that all students are continuously aware of their status in the program. Students will receive an annual evaluation and should take responsibility for assuring that they continue toward the degree objective satisfactorily. Any questions should be addressed to the Director for PhD & Research Programs.

Any student's continuation in the UW-Madison Graduate School is subject to maintaining satisfactory progress toward the degree, remaining in good standing academically, and is at the discretion of the WSB and Graduate School.

## **Continuous Registration**

A graduate student must be registered in a formal degree program for every semester (excluding summer sessions) after matriculation until the degree requirements have been completed.

PhD non-dissertators who do not maintain continuous registration will be required to reapply for admission to the program. PhD dissertators who do not maintain continuous registration will be assessed a degree completion fee equal to 12 times the current per credit dissertator rate. Contact the Graduate School for specific information.

## **Credit Load**

The WSB requires that PhD non-dissertators must carry a minimum of eight credits per semester. PhD dissertators must carry three credits per semester. Students who do not satisfy the minimum credit load requirements may be dismissed from the degree program.

## **Grade Point Average**

The Graduate School requires an average record of B or better in all work (excluding research credits) taken as a graduate student unless conditions for probationary status require higher grades. The WSB requires that students maintain a grade point average of at least 3.2 (excluding research credits). Minimum GPA for Joint Business (Finance) and Economics students is 3.0. Grades of P and S are considered satisfactory at the B level; grades of Incomplete are considered for this purpose to be unsatisfactory if they are not removed during the next semester.

Graduate students who do not meet the Graduate School and WSB grade point average requirements will be placed on probation. Students placed on probation have one semester to remove the probationary status. In special cases, a student who does not meet this standard may be permitted to continue upon recommendation of the major department and the approval of the departmental doctoral committee and the Director for PhD and Research Programs.

## **Time Limits**

A PhD student generally takes the preliminary examination within three years. The student must take the final oral examination within five years after passing the preliminary examination. A dissertator who fails to take the final oral examination within five years after passing the preliminary examination is required to take another preliminary examination to be admitted to candidacy for a second time.

## **Advisee**

Knowing the procedures and requirements of the University is the student's responsibility. Students should discuss roles and expectations with their advisors or prospective advisors. Both the student and the advisor have a responsibility to make their expectations clear to each other.

## Advisor Selection

The advisor should be a faculty member whose expertise and project/research interests match closely with those that the student intends to acquire. Students are encouraged to gather information from courses, faculty and student seminars, the program website, and publications to help identify faculty with matching interests. While no faculty member is obliged to accept a student's request to serve as advisor, invitations are usually accepted except in cases where the faculty member judges that a different advisor would serve the student's needs better. For more information, see the Advisor policy from the Graduate School, <https://grad.wisc.edu/documents/advisor/>.

A student who later decides that a different faculty advisor would be preferable should discuss this with the current advisor and then seek the change. Selection of an advisor, or a change of advisors, should be based on the faculty member's ability to guide the student expertly into the chosen area of interest/research. When a student has selected or changed advisors, the student must notify the Director for Research Programs. Students may see their official advisor listed in MyUW.

## Additional Advising Contacts

Students should always reference the program's website, this Handbook, the Graduate School's website (<https://grad.wisc.edu/>), and the Graduate School's Academic Guidelines (<https://grad.wisc.edu/academic-policies/>) for answers to various program-related questions. However, when students need further clarification on any of these policies or procedures they should contact the Director for PhD and Research Programs.

## Questions To Ask Of Prospective Advisors

Many of these questions are not simple and may not elicit a quick answer. However, any advisor should be willing to discuss these important issues with you. You may also want to discuss these issues with any students that are currently studying under a prospective advisor being considered. This list is by no means complete; you should spend some time thinking about what is most important to you in your graduate training.

1. What dissertation projects would be available to me if I were to study as your advisee?
2. Would these projects expose me to a variety of different approaches?
3. In general, how available will you be to answer questions I might have?
4. What is your philosophy regarding the amount of guidance the advisor should provide to a student during preparation of the thesis proposal, literature seminars, thesis, etc.?
5. What regularly scheduled activities (e.g., group meetings, joint group meetings, research clubs) provide an opportunity to get outside input on my (research) project and to hear about the work of other students?
6. Do you encourage your students to attend seminars and presentations, including those that may be outside of one's narrow field of interest/research?
7. Do your advisees have the opportunity to attend professional meetings where they can interact with colleagues/researchers from other institutions?
8. Do you include your graduate students in professional activities that will familiarize them with their field of interest/research, such as reviewing manuscripts and meeting with visiting speakers?
9. What are your former graduate students (if any) doing now?

10. What is your general philosophy of graduate training and what goals do you have for your graduate students?

### **III. DOCTORAL DEGREE REQUIREMENTS**

#### **Requirements**

The Doctor of Philosophy degree is the highest degree conferred by the university. It is a research degree and is never conferred solely because of any prescribed period of study, no matter how faithfully pursued. Minimum course and other requirements are listed below. The degree is granted only upon evidence of general proficiency, distinctive attainment in a special field, and particularly on ability for independent investigation. This ability must be demonstrated in a dissertation, which presents original research or creative scholarship with a high degree of literary skill.

#### **Minimum Graduate Level Credit Requirement**

Doctoral students are required by the Graduate School to earn a minimum of 32 credits of coursework in their program at the University of Wisconsin-Madison prior to applying for dissertator status. The WSB may require more than 32 credits to complete the required courses in the selected major area. Coursework completed at another University may be counted toward the completion of major program course requirements but may not be used to fulfill the required 32 credits taken at the University of Wisconsin-Madison. The Graduate School requires that students have at least a 3.0 GPA in their graduate course work in order to continue in the program. The WSB requires its students to maintain a GPA of 3.2. Students in the Joint Business (Finance) and Economics program must maintain a GPA of at least 3.0.

#### **Major Field**

The PhD degree is never granted for a program of miscellaneous studies. The program as a whole must be rationally unified, and all courses must contribute to an organized program of study and research. Courses are selected from groups embracing one principal subject of concentration—the major.

#### **External Minor**

The WSB does not require doctoral students in business to complete a minor field of study. A minor is strongly encouraged as the core course requirements for many of the departments require a sufficient level of coursework from departments outside of the WSB that would fulfill the minor requirement. See <https://grad.wisc.edu/documents/minors/> for more information on the requirements for completing a minor.

For any students who decide to complete a minor, a copy of the minor agreement must be signed by major and minor professors and/or the Director for PhD and Research Programs of the WSB and becomes a part of the student's permanent record.

#### **PhD Minor in Business for Students from Other Colleges or Departments**

Graduate students working toward a doctorate in other colleges or departments of the university may take a minor in a selected area of concentration offered in the WSB. The student should plan the minor program with a major professor and the professor, professors, or committee in the WSB responsible for the courses that meet the student's need. The minor program must be approved prior to the student's registration for the courses. Failure to gain approval prior to registration for the minor courses may result in denial of minor approval.

Under most circumstances, the minor requirement is fulfilled upon satisfactory completion of 9 credits of graduate work at the 700 level or above. Courses designated as foundation courses for master's programs do not count toward the minor. However, if the student has not had sufficient background in business and Economics, one or more of the basic foundation courses, perhaps even at the undergraduate level, may be required before entering the minor program.

## **Examinations and Other Requirements**

### **Language**

UW System policy requires non-native English speakers to demonstrate proficiency in spoken English **before** they are assigned classroom duties as teaching assistants. The SPEAK test is used to evaluate the spoken English of International TAs.

International students who score 26/30 or higher on the iBt TOEFL test, or 8.0 or higher in the speaking section of the IELTS, may be exempt from taking the SPEAK test.

### **Preliminary Examinations**

Each doctoral student is required to meet a preliminary examination requirement set by their department. This is generally met at the end of the second or third year in the PhD program and is a necessary step on the way to becoming a dissertator (an official PhD degree candidate). The preliminary requirement may be met in various ways as determined by the academic department, therefore students are advised to become familiar with the format and expectations of the prelim exam in their respective departments. A warrant from the Graduate School is required for this academic step. Contact the Director for PhD and Research Programs at least 1 month prior to the exam date to arrange logistics.

Copies of previously given preliminary exams are kept by the Director for PhD and Research Programs and may be viewed by making an appointment. These materials may not be photo copied or removed from the Research Programs Office.

### **Admission to Candidacy**

A student is officially admitted to candidacy for the PhD degree after passing the preliminary examination in the major field. Students are not eligible to take the preliminary examination until they have cleared their records of all incomplete grades and submitted their major and minor program (if applicable) forms to the Director for PhD and Research Programs. The Graduate School issues the warrant authorizing the department to admit the student to the preliminary examination. When this warrant is appropriately completed and filed with the Graduate School, it constitutes a formal application for admission to candidacy for the PhD degree.

### **Teaching Requirement**

Candidates for the PhD degree may be required to teach part-time in the WSB at a satisfactory level under the supervision of an appropriately designated faculty member. In some cases, two semesters of equivalent part-time research may be substituted for the teaching requirement. Waiver of the teaching and/or research requirement is possible in exceptional cases. Contact the major advisor for further information.

## **Dissertation**

All candidates must complete a dissertation that represents their own independent contribution to research.

## **Final Oral Examination**

The candidate may not take the final oral examination until all other requirements for the degree, including those of the Graduate School, have been satisfied. The student's record must be cleared of incomplete grades. The final oral examination is conducted by at least four professors; three must be members of the UW graduate faculty. At least one member of this committee must be from a UW-Madison department outside the WSB. Contact the Director for PhD and Research Programs at least 1 month prior to the exam date to make arrangements.

## **Major Concentrations Available in the WSB Doctoral Program**

Major concentrations are offered in the following eight areas by the WSB:

- Accounting and Information Systems
- Actuarial Science, Risk Management and Insurance
- Finance, Investment and Banking
- Joint Business (Finance) and Economics
- Management and Human Resources
- Marketing
- Operations and Information Management (includes Management Information Systems, Operations Management, Operations Research, Quality and Productivity Improvement)
- Real Estate and Urban Land Economics

## **Course Requirements for Specific Doctoral Majors in Business**

In addition to the Graduate School requirements, a doctoral student in the WSB must meet the requirements of the departmental program to which they have been admitted. Minimum departmental requirements follow: (These requirements may change. Consult the advisor in the appropriate department for the latest information).

### **Accounting and Information Systems Foundation Requirements**

- A. A graduate degree in accounting or equivalent course work and/or work experience in accounting to demonstrate competence in an accounting function area (financial, managerial, auditing, tax, or information systems) at the master's level.
- B. An upper division course in micro-Economic theory, taught using a mathematical approach.
- C. Mathematics: One year of calculus (MATH 221 and MATH 222) and linear algebra<sup>1</sup> (MATH 320 or MATH 340)

### **Accounting Major Requirements**

Three seminars in accounting research (3 credits each) are required.

- ACCT IS 971A Introduction to Accounting Research
- ACCT IS 971B Behavioral Accounting Research

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<sup>1</sup> vectors, vector spaces, matrices, linear transformations, eigenvalues

- ACCT IS 971C Archival Accounting Research

### **Economics Requirement**

All students are required to take either AG ECON 635 or ECON 711 (MicroEconomic Theory) and one Economics elective. The elective should be chosen from the following: ECON 461, 464, 467, 501, 521, 548, 712, 713, 741, 743, 761.

### **Statistics and Research Methods**

Either ECON 709 and ECON 710 or PSYC 610 and PSYC 710 (A two-semester graduate level Statistics sequence in another discipline may be substituted if approved by the Accounting and Information Systems PhD Director)

### **Supporting Courses**

Three to five courses in finance, psychology, Economics, sociology, or other approved disciplines. The sequence of courses in the minor should provide the coherent program of study that prepares the student to complete the dissertation. The minor course sequence requires approval of the student's faculty advisor and the Accounting and Information Systems PhD Director. Together with other coursework, the sequence must meet Graduate School requirements.

### **Independent Research**

Students are required to present to the faculty an original research project (possibly co-authored with a faculty member or with another student) by the end of the student's third year in the program. Independent of the presentation requirement, students must have completed a draft of their dissertation proposal (approved by their advisor) prior to the preliminary oral examination.

## **Actuarial Science, Risk Management and Insurance**

### **Prerequisites General Business:**

Students are required to hold a previous BBA or master's degree in business OR take two business courses from outside the Actuarial Science, Risk Management and Insurance (ASRMI) and Finance Departments.

### **Foundation**

The foundation preparation required of the doctoral candidate at the WSB majoring in Risk Management and Insurance includes:

#### 1. Actuarial Science, Risk Management and Insurance

- GEN BUS 805: Introduction to Decision Theory
- GEN BUS 806: Advanced Statistical Methods
- RMI 700: Principals of Risk Management
- RMI 920: Seminar in Actuarial Science, Risk Management & Insurance I
- RMI 930: Seminar in Actuarial Science, Risk Management & Insurance II

And at least one of the following:

- RMI 610: Property Risk Management
- RMI 615: Liability Risk Management
- RMI 620: Employee Benefits Management
- RMI 630: Life and Health Insurance
- RMI 815: Risk Financing Techniques

## **2. Economics**

- ECON 711: Economic Theory-MicroEconomic Sequence
- ECON 302: Intermediate Macroeconomic Theory
- ECON 709: Economic Statistics and Econometrics I
- ECON 710: Economic Statistics and Econometrics II

### **3. Statistics**

- STAT 309: Intro—Statistical Methods
- STAT 310: Intro to Mathematical Statistics

### **4. Finance**

- Two courses at the 800 level or higher.

## **Finance, Investment and Banking**

The doctoral program in finance prepares individuals for careers in research and teaching at the university level. It is a highly quantitative program and provides a strong foundation in financial and Economic theory as well as mathematical statistical techniques. Through a program of elective courses and dissertation research, students specialize in particular areas of finance.

### **1. Background Courses**

Successful candidates usually have completed and performed well in basic undergraduate microEconomics, macroEconomics, corporate finance, accounting and investments. In addition, they will have taken three semesters of calculus, two semesters of mathematical Statistics, one semester of real analysis, and one semester of linear algebra. We admit students from a wide variety of backgrounds, and we do not require that a candidate have majored in business or Economics. However, the candidate must have taken sufficient preliminary coursework prior to entering.

### **2. Core Courses**

#### **Finance**

- FIN 920 Theory of Finance
- FIN 970 PhD Seminar - Investments
- FIN 971 PhD Seminar – Corporate Finance
- FIN 972 Topics Seminar – Finance PhD

#### **Econometrics**

- ECON 709 ECON Statistics & Econometrics I
- ECON 710 ECON Statistics & Econometrics II

#### **Economics**

- ECON 711 ECON Theory – MicroEconomics Sequence I
- ECON 713 ECON Theory – Macroeconomics Sequence I
- ECON 712 ECON Theory – Macroeconomics Sequence I or ECON 714 Economic Theory—Macroeconomics Sequence II

## Math

- MAT 521 Real Analysis\*

\*The requirement may be waived if an equivalent has been completed prior to admission.

### 3. Additional Courses

In addition to the required courses, students must take three advanced courses that form a coherent package and enhance the student's research skills. The courses must be approved by the PhD committee chair. Students often choose elective courses offered by the mathematics, Statistics or Economics departments.

Suggested elective include:

- MATH 635 Introduction to Brownian Motion & Stochastic Calculus
- ECON 715 Econometric Methods I
- ECON 718 Time Series Analysis
- ECON 719 Economic Statistics and Econometrics III
- ECON 761 Industrial Organization Theory
- GBUS 806 Panel Data Analysis

However, it may also be appropriate to choose courses in computer science, law, psychology, accounting, or other areas taught at the University of Wisconsin-Madison. MATH 521 may count for this requirement if not taken before admission. In every semester of the program after the first year, students must enroll in FIN 973 (Seminar - Workshop in Finance). Admitted students who have not taken basic undergraduate micro Economics, macro Economics, corporate finance, accounting, and investments must either take these courses early in their program or, in the case of finance classes, be a teaching assistant for them.

### 4. Finance Workshop and Brownbag Series

Students are required to attend the weekly finance workshop and are strongly encouraged to attend the weekly brownbag seminar. Within two semesters of passing the PhD preliminary exam, doctoral students are required to make a presentation in either the workshop or the brownbag seminar of either a thesis proposal or a literature survey. In addition, students are required to give a workshop presentation of their dissertation research. Normally this presentation occurs shortly before the student begins their job search.

### 5. Summer Paper

During the first summer the students are required to complete a literature review paper on a topic approved by the PhD committee or by the student's advisor. During the second summer, students are required to complete a research paper that should be on a finance topic and contain elements of original research that extend the existing literature. The topic may be either theoretical or empirical and should be chosen in consultation with one or more of the finance faculty, who may also provide guidance during the paper's development. The written paper should be submitted no later than the first day of the Fall semester. The student will make an oral presentation of the paper to the finance faculty early during that Fall semester. In order to successfully complete this requirement, it is important for the student to choose a topic and begin data gathering and other preliminary work in the Spring semester.

### 6. Two-signature proposal

A two-signature proposal is a plan for dissertation research that must be completed by the end of their third year. To complete the requirement, a student must find two UW-Madison finance faculty members to evaluate the proposal. After the student presents their research during a seminar to the finance faculty, the two-sig committee makes a recommendation of whether to pass the proposal to the finance faculty. The student's proposal contains a statement of the questions to be addressed, a description of the proposed solutions, and a discussion of the relevant literature. The two-sig requirement is complete after a positive vote by a majority of the finance faculty. A failure to pass the proposal means the student is not maintaining

satisfactory progress, which can have funding implications.

As part of the evaluation process, the student should form a committee and present preliminary research from their proposal in the finance student workshop before the end of November of their third year. If the proposal is not accepted by the conclusion of the fall, the student should present it again by the end of April of their third year. Students should plan to submit their proposals to their committee at least one month before the relevant deadlines to ensure that there is sufficient time for evaluation.

### **Minor Requirement**

The Course work in Economics specified under core courses satisfies the requirements for an External Minor.

### **Examinations**

**Finance Prelim:** This examination is comprehensive in nature and includes material from the Required Courses and significant research articles in the finance literature. Students who have previously taken the appropriate finance Required Courses (described above) should be ready for the Preliminary Examination after four semesters in the program. The exam is scheduled at the discretion of the Finance Faculty; but typically, it is given during June of each year. Based on the performance on this examination and the quality of the summer paper, the PhD committee makes a recommendation to the full finance faculty to approve the student's passage to dissertator status. Students who fail this exam on the first try are allowed to re-take the exam only once during the subsequent January.

**Final Oral Exam:** This examination is a defense of the dissertation. It is conducted by the dissertation committee in a public forum open to other faculty and doctoral students. The dissertation committee consists of a minimum of four members (the principal advisor, two reading members, and one non-reading members). One of the members must be from outside the WSB.

### **PhD Joint Degree Option: Business (Finance) and Economics**

Admission Requirements and Procedures: Applicants may apply either to the economics department or the finance department. Admission to the program is only granted if both departments agree. Our current experience has been the flow has come from economics to finance. If admission to the joint program is granted after enrollment to either the economics or the finance department, then an add/change major form is required. One of the requirements is to pass the economics micro and macro comprehensive exams offered in the summer following the first year, admission to the joint program must be granted sufficiently early in the student's tenure or else he/she will fall behind the requirements.

Curriculum Overview: Students in the joint program are required to take a common curriculum. That is, there are no "new" course requirements (and hence no new "curriculum costs"). Joint students are required to meet all requirements of both the economics and finance PhD programs. The finance PhD program already requires many of the first year economics PhD program classes (but not all of them). The key differences between the separate programs are: Year 1, Finance does not require ECON703 or ECON714, nor micro or macro comprehensive exams; Year 2, Finance does not require an economics field of the student's choice and economics does not require a finance comprehensive exam; Year 3, Finance does not require another economics field of the student's choice. Since there are no new courses, if a student who was admitted to one of the separate programs "transfers in" to the joint program, courses for which the student meets the appropriate grade required by each department will be granted the appropriate credit.

The specific curriculum along with specific program requirements (B=both, E=Economics, F=Finance) and credits in parentheses is:

Year 1: Fall	Spring	Summer
(B) Micro I Econ 711 (3)	(B) Micro II Econ 713 (3)	(E) Econ Micro Comp
(B) Macro I Econ 712 (3)	(E) Macro II Econ 714 (3)	(E) Econ Macro Comp
(B) Metrics I Econ 709 (3)	(B) Metrics II Econ 710 (3)	
(E) Math Econ 703 (3)		

Total Credits Year 1: 21

Year 2: Fall	Spring	Summer
(F) Financial Theory FIN 920 (3)	(F) Topics in Finance FIN 972 (3)	(F) Finance Comp
(F, E*) Corporate Finance FIN 971 (3)	(F,E*) Asset Pricing FIN 921 (3)	(B) Paper Submission
(E) Economics Major Field (3)	(E) Economics Major Field (3)	
(F) Finance Workshop FIN 973 (2)	(F) Finance Workshop FIN 973 (2)	

Total Credits Year 2: 22. E\*: while this finance class was not required by economics, by permission of the economics graduate director, it could satisfy a minor field course requirement.

Year 3: Fall	Spring
(E) Economics Minor Field (3)	(E) Economics Minor Field (3)
(E,F) Paper Workshop ECON 965, FIN 999 (4)	(E,F) Paper Workshop ECON 965, FIN 999 (4)
(F) Finance Workshop FIN973 (2)	(F) Finance Workshop FIN973 (2)

Total Credits Year 3: 18

GPA—Joint Business (Finance) and Economics students must maintain a minimum GPA of 3.0.

Advancement to Dissertator Status requires: (i) Successful completion of both economics and finance comprehensive exams; (ii) successful completion of sole-authored paper requirement (includes submission of first draft, response to referee report and revision if necessary, acceptance of revision, two presentations (Year 3 Fall and Spring)).

All milestone requirements – field paper, three signature proposal, dissertation committee – are required to include at least one faculty member from the economics and finance departments. A single dissertation, approved by members comprised of both departments, is sufficient to fulfill the dissertation requirement. Completion of this joint PhD will take approximately 5 years, possibly 6, to complete. That is the median for PhDs in each department.

## Management and Human Resources

The PhD program in Management and Human Resources is intended to develop competence in management studies, research methods, and an external minor. Entering students may have already satisfied some of these requirements. Following completion of required coursework, students must pass a preliminary examination. Finally, they must write and successfully defend a dissertation.

### A. Background Requirements

1. The following are school-wide requirements: Students must have an undergraduate or graduate degree in business or take four graduate-level courses, with the approval of their major advisor, in at least two areas outside the major area from among accounting, finance, marketing, management, operations and information management, or Economics.
2. One calculus course and one course in linear and matrix algebra or demonstrated mastery of these topics through approved proficiency testing.
3. One intermediate-level MicroEconomics course (may be satisfied in (a) above).

### B. Management Studies

1. Primary Concentration
  - i. Students select a Primary Concentration in either Human Resource Management, Organizational Behavior, or Organizational Theory/Strategy.
2. Secondary Concentration
  - i. Students select a Secondary Concentration in either Human Resource Management, Organizational Behavior, or Organizational Theory/Strategy.
3. Course Work in Management Studies:
  - i. Foundation Courses include one course in each of Human Resource Management, Organizational Behavior, and Organizational Theory/Strategy.
  - ii. Concentration Courses include four courses in two areas of concentration; two must be doctoral seminars.

C. Doctoral Seminars

The MHR Department offers a slate of PhD seminars across the group's core areas of research. The seminar offerings vary from year to year. The expectation is that students will take all PhD seminars offered by the MHR Department.

D. Advanced Research Methods and Statistics

A minimum of 18 credits in research methods and Statistics consisting of two courses in Statistics, two in research methodology and two depth courses. Courses are selected in consultation with the student's advisor.

The PhD program in Management and Human Resources is intended to develop competence in management studies, research methods, and an external minor. Entering students may have already satisfied some of these requirements. Following completion of required coursework, students must pass a preliminary examination. Finally, they must write and successfully defend a dissertation.

## Marketing

PhD students should develop considerable knowledge of the following areas during the course of their program: research and quantitative methods, marketing and behavioral theories, and managerial issues. Course requirements are designed to help develop this knowledge base. The following are the minimum course requirements for doctoral students in marketing. Students may choose, and are encouraged, to take more course work as desired.

A. Prerequisites:

Either a BBA or an MBA degree, or four courses selected from two or more of the following areas: accounting, finance, management, Economics, operations and information management. In addition, all incoming students are expected to have competency at an intermediate level of Statistics (GEN BUS 706 or equivalent).

B. Marketing:

Four doctoral seminars in marketing at the University of Wisconsin-Madison.

C. Methods:

Four courses at the graduate level, either inside or outside the WSB. Courses must be at a level beyond that of intermediate Statistics, with at least one course in the methods of data collection and at least one in the methods of data analysis.

D. Summer Paper Requirement

Following students' first year in the program, they are required to complete a research project, typically in collaboration with a faculty member. The summer paper should be based on a student's research interests, and it may be empirical or conceptual in nature. The summer paper must be submitted to the doctoral committee no later than August 31. Students will receive written feedback from the committee,

including specific comments that will be similar to what they can expect in reviews from journals. Students will present the research to the department during the fall speaker series and receive feedback from the doctoral committee on their progress.

#### E. Preliminary Examination

In the summer following students' second year in the doctoral program, they will sit for the preliminary examination. The examination is designed to assess a student's breadth and depth of knowledge before they begin working extensively on their dissertation. The examination will be reviewed by the doctoral committee in consultation with the full faculty.

#### F. Other Requirements

Other courses may be required by the department based on the student's previous academic background. Each student, before the start of the second semester in the program, must complete a form showing a list of intended courses. This form must be approved by the Faculty Chair of the Doctoral Program in the Marketing Department, and any changes to the list must also be approved. Approval must be gained for all methods and minor courses before they are taken.

All marketing and methods courses must be satisfactorily completed before the preliminary examination can be taken; the examination cannot be taken before the student has completed at least two years of full-time coursework in the Marketing Department Doctoral Program at the University of Wisconsin-Madison.

## **Operations and Information Management**

This description covers PhD programs in both Information Systems (IS) and Operations and Information Management (OIM). The Department of Operations and Information Management offers PhD programs in two areas: Information Systems and Operations Management. Both programs are designed to prepare individuals for academic careers in research and teaching. The requirements and framework described below apply to both programs and have been designed to assure basic knowledge in certain fundamental areas while allowing sufficient flexibility for students and advisors to design a course of study that best fits the student's interests.

#### A. Foundation

All foundation courses can be waived based on previous coursework. No courses in the foundation can be taken as pass/fail.

#### B. Business Foundation

Twelve (12) credits of graduate-level courses in functional areas (i.e., operations management, marketing, finance, accounting, or management), selected in consultation with advisor. An undergraduate or MS degree in business or an MBA from an accredited institution can be used to fulfill these requirements.

#### C. Mathematical Foundation

MATH 340 Elementary Matrix and Linear Algebra OR  
MATH 521 Advanced Calculus OR  
Other advanced mathematics course approved by advisor

#### D. Statistical Foundation

STAT 333 Applied Regression Analysis OR  
Other statistics course approved by advisor

#### E. Economics Foundation

ECON 311 Intermediate Microeconomic Theory-Math Treatment OR  
ECON 711 Economic Theory OR  
Other economics course approved by advisor

### **Special Foundation**

Other foundation courses may be required in the student's chosen area of concentration, as determined by advisor (e.g., a student in IS is required to have programming skills).

### **Research Methods**

Together with the student's advisor, a minimum of four courses (12 credits) must be chosen in the area of research methodology. These courses can be drawn from inside or outside the WSB. Coursework in this group may be used to fulfill the requirements for the major and minor program.

### **Coursework in Major Area**

Coursework in the candidate's major research area of interest is to be chosen together with the advisor. In addition, each student must complete a research paper before taking the preliminary exam (see below). The main purpose of this paper is to let the student explore and deepen his/her knowledge in an area of study, structure the field, identify critical problems, and formulate a set of propositions and/or a research plan for future studies. The methodologies involved are most likely literature searches, case studies, and/or simple experiments. The paper, which will be done as a three credit-hour independent study under the supervision of the advisor, may represent the foundation for the candidate's dissertation.

For a student entering the PhD program with a master's degree in the major area, the expected length of study to complete the required course work beyond the foundation—major and minor—is estimated to take two years.

### **Preliminary Examination**

By the end of the third year of study, and after the student has completed a research paper submitted to the advisor, the student is required to sit for a four-hour written exam in the major area of study. Immediately after the written exam, an article taken from the literature is to be reviewed as a take-home assignment. Within seven days, the student is to orally present his/her review. The preliminary exam, the written research paper, and the quality of the oral presentation will be graded by a departmental sub-committee, and a decision of pass/fail will be taken by the department as a whole. All incomplete/progress grades must be removed before the preliminary exam. This exam can only be taken twice. Failure to pass the second time, within the one-year time span after taking the first preliminary exam, will lead to the student's termination in the PhD program.

### **Dissertator Status**

To achieve dissertator status, the student must have:

Passed the preliminary examination

Fulfilled the minor requirements

Completed all requirements for the major (except the proposal exam and the dissertation)

Removed any incomplete or progress grades in non-research courses

Satisfied any residence requirements

### **Proposal Examination**

An oral dissertation proposal exam is to be taken approximately one year after the successful passing of the preliminary exam. The purpose of this exam is to test the student's preparation to conduct the proposed research, the suitability of the topic, and the viability of the research methodology. Two weeks prior to the exam, a dissertation proposal document should be submitted to the examination committee. This proposal should contain

(1) a clear statement of, and motivation for, the dissertation topic; (2) a thorough review of the literature; (3) an in-depth discussion of the research methodologies and analysis approaches that will be followed; (4) anticipated findings and contributions of the research; and (5) a time-phased plan of milestones to be reached during the remainder of the candidate's study.

The proposal examination committee, chosen in conjunction with the student's advisor, shall consist of between three and five professors. The proposal exam can only be taken twice. The second exam must be taken within one year of the first exam. Failure to pass the second time, as decided by the examination committee, will lead to the student's termination from the PhD program.

### **Dissertation Defense**

A final oral examination in defense of the dissertation research must be taken, as administered by the candidate's PhD examination committee. This final exam can only be taken twice. The examination committee, chosen in conjunction with the candidate's advisor, must consist of at least four current graduate University of Wisconsin-Madison faculty members, and at least one of these must represent a graduate field outside the WSB. Each member of the committee must receive the written dissertation document at least two weeks before the exam. As per Graduate School requirements, the candidate has five years from the date of passing the preliminary examination to take the final oral examination and deposit the dissertation. Failure to take the final oral examination within five years after passing the preliminary examination requires the candidate to take another preliminary examination and be admitted to candidacy a second time.

### **Real Estate and Urban Land Economics**

The doctoral program in real estate prepares individuals for careers in research and teaching at the university level. The program is highly quantitative and provides a strong foundation in financial and Economic theory as well as mathematical statistical techniques. Through a program of elective courses and dissertation research, students specialize in particular areas of real estate Economics and finance. Typically, at least four years is required between the time a student enters the program and the dissertation is completed.

#### **A. Background Courses**

- a. Three semesters of calculus, two semesters of mathematical Statistics, one semester of real analysis, and one semester of linear algebra.
- b. Introductory course work covering microeconomics and macroeconomics
- c. A course in real analysis is required for the program, and students are strongly encouraged to complete such a course prior to starting the program. Otherwise, it is desirable to take Mathematics 521 (or equivalent) as early in the program is possible, at least no later than the fall semester of the second ye
- d. Students are expected audit RE710 and at least one more master's level courses in real estate.

#### **B. Core Courses**

- Real Estate 870 Advanced Real Estate Finance Theory
- Real Estate 875 Advanced Urban Land Economics
- FIN 920 Theory of Finance I
- FIN 921 Theory of Finance II
- ECON 709 Economic Statistics and Econometrics I
- ECON 710 Economic Statistics and Econometrics II
- ECON 711 Microeconomics I
- ECON 712 Macroeconomics I
- ECON 713 Microeconomics II
- ECON 715 Econometric Methods I

### C. Real Estate Workshop

Starting in the second year, students take the real estate research workshop, RE 978. This workshop is designed to help students make progress toward completion of their second year summer paper and their dissertation. Students are encouraged to take this course during their first year.

### D. Finance Workshop

Finance 973 is taken each semester beginning with the second semester in the program and continuing as long as the student is in residence. Furthermore, students are encouraged to audit this course during their first semester.

### 5. Additional Courses Beyond the Core

At the beginning of the second year in the program, each student should propose a set of three advanced courses that form a coherent package and enhance the student's research skills. This set of three courses must be approved by the Real Estate PhD Committee. Students are free to choose elective courses offered by the Economics, finance, mathematics, or Statistics departments; however, it may also be appropriate to choose courses in computer science, law, psychology, accounting or other areas taught at the University of Wisconsin-Madison.

Students are strongly encouraged to audit one Real Estate 700 level course beyond RE 710.

### E. Summer Paper Requirement

During the first summer, students are normally preparing for the Microeconomics preliminary exam. During subsequent summers they are involved with research activities or supplementary course work. They may also be employed in assistantship positions or internships which enhance their knowledge and research skills. During the second summer, there is also a specific requirement to complete a research paper. This paper should be on a real estate Economics or finance topic and contain elements of original research which extend the existing literature. The topic may be either theoretical or empirical and should be chosen in consultation with one or more of the real estate faculty, who may also provide guidance during the paper's development. The written paper should be submitted no later than the first day of the fall semester. The student will make an oral presentation of the paper to the real estate faculty early during that fall semester. In order to successfully complete this requirement, it is important for the students to choose a topic and begin data gathering and other preliminary work in the spring semester.

### F. Minor Requirement

The course work in Economics specified under core courses is sufficient to satisfy the requirements for an external minor if the student takes Macro II as an elective. The course work in finance specified under core courses is sufficient to satisfy the requirements for an external minor in finance, if the student takes one more course from finance courses 600 and above, not including Fin 700 or Fin 973.

### G. Examinations

- a. Microeconomics Theory Examination: Students must take the Microeconomics Theory Exam at the end of their first year in the program.
- b. Real Estate PhD Preliminary Examination: This examination is comprehensive in nature and includes material from the core courses, significant research articles in the real estate Economics and finance literature. Students who have previously taken the appropriate core courses (described above) should be ready for the preliminary examination after five semesters in the program. The examination is scheduled at the discretion of the real estate faculty; but typically, it is given during January of each year. Based on the performance on this examination and the quality of the summer paper (see

section E above), the PhD committee makes a recommendation to the full real estate faculty to approve the student's passage to dissertator status.

- c. Final Oral Examination: This examination is a defense of the dissertation. It is conducted by the dissertation committee in a public forum open to other faculty and doctoral students. The dissertation committee consists of a minimum of four members (the principal advisor, two reading members, and one non-reading members). One of the members must be from outside the WSB.

#### H. Teaching/Research Assistance

The department will attempt to provide financial support to all PhD students. Students are expected to provide teaching assistance for at least one semester for undergraduate or graduate teaching in real estate and research assistance also for at least one semester. These appointments should be considered an integral part of the training for academic positions.

#### I. Review Process

The overall review process is described in a document entitled Real Estate PhD Review Procedures. As a part of that process, the progress of each student will be reviewed annually by the Real Estate Department faculty.

### **GenBus 933: Beginning a Research Career** (Offered each Fall)

Instructor: Karla Johnstone

#### **Course Overview and Objectives**

This course will aid in your transition to the next phase of your professional life, that of an academic in a Tier 1 Research Institution.

We require that you enthusiastically engage this course, and your other courses, because incoming PhD Students are often overwhelmed with and confused by the demands that this transition requires. The goal of this course is to help you navigate that transition. We will aim to create a collective cohort to which you can rely upon for support during the next five years of your transition to being an academic.

#### **Learning Objectives/KDBIN**

This may be the first time that you have encountered the KDBIN framework. I encourage you to read the article at this [link](#), which describes the leadership of our former Dean, and his innovative thinking about curriculum:

KDBIN™ comprises the following elements: **Knowing, Doing, Being, Inspiring and Networking.**

##### **Knowing**

1. Resources/tools: Learn what resources we have available to support researchers (data, software, financial resources, etc.) that are critical to your success in our program.
2. Academic careers: Understand the bigger picture of what is required to be a successful academic (tenure process, networking, preparation for the job market ...).
3. Research process: Understand the basics of how research is conducted (generating ideas, framing a contribution, responding to reviewers, surviving rejection...).
4. PhD Program steps: Understand how to chart a path through PhD program requirements.

##### **Doing**

1. Resources/tools: Learn what resources we have available to support researchers (data, software, financial resources, etc.) that are critical to your success in our program. Be able to find and utilize resources we have available, as well as the right people to answer key questions.

2. Academic careers: Demonstrate an ability to network within the PhD program and among faculty in each of your departments.

### Being

3. Who are you now? Who will you become? Imagine a new life for yourself. What will be the challenges? What will be the benefits that will accrue to you and your family?
4. Discuss the transition from professional to academic, and the bridge that exists between these two spheres; the most successful researchers are neither one nor the other, but a complex mix of the two.
5. We will discuss academic ethics, including those relating to plagiarism, falsification of data, and appropriate relationships among mentors and mentees. We will also discuss how to be an academic with outstanding ethics, in terms of being very conscientious, allowing the data to ‘speak to us’ rather than us speaking to it, and the notion of lifetime collaborations and friendships that you can foster with your peers, mentors, and other colleagues.

### Inspiring

6. How will you do all this? Who can help you? How can you give back as you proceed through the program (it’s not all about you...)? We will engage in discussions with many professionals who can inspire you to conduct publishable and impactful research and behave as a responsible member of our profession.

### Networking

7. Students will begin to create networks within (and even beyond) the School to serve as a springboard for their careers. We live in a small world professionally; we will consider what that means in the good and the bad of it. We will explore how this small world impacts you, how you can impact it, and the navigational challenges and rewards that can accrue from engaging it.

### Assignments and Evaluation

This is a one-credit course and we will keep the workload consistent with that course load. You must attend and actively participate. I will take attendance at every session, and I will evaluate your weekly performance. My objective is to provide you with a set of career-long tools that will help you excel as an extraordinary academic professional. Grades are on a satisfactory/unsatisfactory basis and are based almost entirely on regular attendance and participation; do know that receiving an unsatisfactory grade in this course is a very negative signal of your commitment as an academic. I’m here to support you and get you off to a good start in your program. You are here to engage me and the other students. Together we will engage in academic excellence in a supportive work environment. I look forward to getting to know each of you.

### Resources

I will keep the readings and resources in a CANVAS web site, and I will email you through the resources on that web site (<https://canvas.wisc.edu/courses/66032>).

### Outline of Session Topics

Week	Date	Topic	Instructor <sup>1</sup>
1	9-6	<b>Welcome.</b> Get to know each other. Where am I and what have I gotten myself into? What resources are available to me to help me manage this transition?	
2	9-13	<b>Surviving the first year.</b> A panel discussion of supportive ideas (Accounting, Marketing, Finance)	Kim Walker—Accounting

			Anil Isisag—Marketing Pavel Brendler—Finance
3	9-20	<b>Surviving the first year.</b> A panel discussion of supportive ideas (MHR, OIM, Actuarial Science)	Andy El-Zayaty—MHR Soum Padhee—OIM Lisa Gao—ASRMI
4	9-27	<b>Resources/Tools: Productivity tools for PhD Students.</b> Citation management: Introduction to Zotero, Evernote, Mendeley, Endnote, OneNote, etc.	
5	10-4	<b>Resources/Tools: Financial databases.</b> Accessing WRDS, CRSP, Compustat, IBES, Thompson Reuters, SDC, SEC EDGAR, UW Data and Info Services Center (DISC), BLS, etc.	Michael Enyart (Library)
6	10-11	<b>PhD Program: Achieving Various Milestones.</b> (Minors, Comprehensive exams, Proposing, committee composition, finding resources) and your representatives on the PhD committee.	Belle Heberling PhD Committee Student Representatives
7	10-18	<b>PhD Program: What is a dissertation?</b> One big study? Three papers? Other models? Framing an overarching contribution and creating a springboard for a research program.	
8	10-25	<b>Academic careers: Tenure Process.</b> What does it look like and implications for your time management and development of a research program.	
9	11-1	<b>Mentoring and Working with Others.</b> How do I find mentors? What can mentors do for me? What can I do for my mentors? How can I be a mentor? Learning from people whom you admire. How to construct an effective work team, including senior co-authors and your peers.	
10	11-8	<b>Research Process: Strategies for generating research ideas.</b>  <b>Choosing Your Classes: Tips from Other PhD students</b>	3 <sup>rd</sup> Year PhD students
11	11-15	<b>Personal issues.</b> The next five years. The following seven or eight years. Anticipating the experiences you will likely go through, along with the associated stresses, and tips for enjoying life through a hectic and demanding work phase. Ethics and differential power relationships.	
12	11-21	<b>DATE CHANGE to accommodate travel for Thanksgiving.</b>  <b>Ethics: Learning from the Jim Hunton plagiarism scandal.</b>	
13	11-29	<b>Research Process: Publication process.</b> Submitting articles; possible decisions; Responding to reviewer feedback.	
14	12-6	<b>Academic careers: Preparing for the job market.</b> Job market paper; teaching/research statements, giving a job talk, preparing a vita, preparing for job interviews.	
15	12-13	<b>Academic careers: Networking and presenting yourself.</b> Preparing vitae, web pages, digital measures, social networking (FB/LinkedIn/Twitter), and conferences.	

<sup>1</sup> Instructors are generally either faculty (F) or PhD students (S)

## IV. ENROLLMENT

### Enrollment Requirements

WSB PhD students must enroll for a minimum of 8 credits each semester (Fall and Spring). Dissertators must continuously enroll for 3 credits with their advisor (fall and spring). All of the credit requirements must be satisfied by graded, graduate-level courses; courses numbered below 300, audit, and pass/fail do not satisfy the minimum requirement.

See Appendix B for the Graduate School policies on: Enrollment Requirements, Auditing Courses, Continuous Enrollment, Residence for Tuition Purposes and Transfer of Graduate Work from Other Institutions.

## V. SATISFACTORY PROGRESS – ACADEMIC EXPECTATIONS

Most graduate programs have requirements that exceed the Graduate School's minimum requirements (<http://guide.wisc.edu/graduate/#policiesandrequirements>). In most cases, the WSB requirements exceed the minimum requirements for the Graduate School and so these are the relevant criteria.

### WSB PhD Program Guidelines

Minimum course grade requirements (for all and/or specific courses) 8 credits per semester as a non-Dissertator and 3 credits per semester as a Dissertator (Fall and Spring only).

#### Minimum GPA requirements:

Accounting	3.2
Actuarial Science, Risk Management and Insurance	3.2
Finance (updated October 2018)	3.2
Joint Business (Finance) and Economics	3.0
Management and Human Resources	3.2
Marketing	3.2
Operations and Information Management	3.2
Real Estate (updated January 2018)	3.2

#### Course/seminar attendance requirements (see individual Department listings)

The seminar and course requirements exceed minimum Graduate School standards but vary by department. Please see the individual department listings for specific requirements.

#### Incomplete grade requirements (see the Graduate School Guidelines)

#### Continuous enrollment and/or credit requirements (see the Graduate School Guidelines)

A student's failure to comply with the expectations for satisfactory progress outlined above may result in disciplinary action or dismissal. See the next section for more details.

### Graduate School Guidelines

Continuation in the Graduate School is at the discretion of a student's program, the Graduate School, and a student's faculty advisor. The Graduate School sets minimum standards that all graduate students in the university must meet. The WSB has additional requirements that exceed these Graduate School minimum

requirements. The definition of satisfactory progress is defined elsewhere in this document. The *Graduate School Catalog*, <http://guide.wisc.edu/graduate/>, also includes the Graduate School's minimum degree requirements and each program's minimum criteria for satisfactory progress.

The Graduate School requires that students maintain a minimum graduate GPA of 3.00 in all graduate-level work (300 or above, excluding research, audit, credit/no credit, and pass/fail courses) taken as a graduate student unless probationary admission conditions require higher grades. The Graduate School also considers Incomplete (I) grades to be unsatisfactory if they are not removed during the subsequent semester of enrollment; however, the instructor may impose an earlier deadline.

A student may be placed on probation or suspended from the Graduate School for low grades or for failing to resolve incompletes in a timely fashion. (<https://grad.wisc.edu/documents/probation/>) In special cases the Graduate School permits students who do not meet these minimum standards to continue on probation upon recommendation and support of their advisor.

The WSB requires satisfactory progress to continue guaranteed funding support. <https://grad.wisc.edu/documents/satisfactory-progress/>. This condition of continued funding is also found in each student's financial package award letter.

## **VI. CONDUCT EXPECTATIONS**

### **Professional Conduct**

All students are expected to adhere to the highest standards of professional behavior and ethics. Students should avoid even an appearance of improper behavior or lack of ethical standards while in Graduate School at UW-Madison, in all professional settings, and in their personal lives. Students should conduct themselves according to the standards expected of members of the profession to which the student aspires. Concerns about infractions of Professional Conduct may be effectively handled informally between the instructor/advisor and the student. If a resolution is not achieved, a graduate program representative may be included in the discussion. Separate and apart from a violation of Professional Conduct, a student may face University disciplinary action with regard to the same action. Students are responsible for reading the information here as well as the information published on all the relevant web sites. Lack of knowledge of this information does not excuse any infraction.

**Professional Ethics:** Students shall show respect for a diversity of opinions, perspectives and cultures; accurately represent their work and acknowledge the contributions of others; participate in and commit to related opportunities; aim to gain knowledge and contribute to the knowledge base of others; understand the UW Student Code of Conduct; represent their profession and the program; and strive to incorporate and practice disciplinary ideals in their daily lives. Resumes/CVs must reflect accurate information.

**Honesty and Integrity:** Students shall demonstrate honesty and integrity as shown by their challenging of themselves in academic pursuits; honesty and ethics in research and IRB applications—including honesty in interpretation of data, commitment to an unbiased interpretation of academic and professional endeavors; and the need to document research activities, protect subject/client confidentiality and HIPPA regulations. Students shall follow-through and pull their weight in group activities and understand where collaboration among students is or is not allowed; not plagiarize others or past work (self-plagiarism), cheat, or purposefully undermine the work of others; and avoid conflicts of interest for the duration of their time in the program. As a professional,

honesty and integrity also extends to personal behavior in life outside of the academic setting by realizing that students are representatives of the program, UW-Madison, and the profession as a whole.

**Interpersonal and Workplace Relationships:** Students shall interact with peers, faculty, staff and those they encounter in their professional capacity in a manner that is respectful, considerate, and professional. This includes and is not limited to attending all scheduled meetings, honoring agreed upon work schedules, being on-time and prepared for work/meetings, contributing collaboratively to the team, keeping the lines of communication open, offering prompt response to inquiries, and employing respectful use of available equipment/technology/resources. Chronic or unexplained absences are unprofessional in the workplace and could be grounds for termination or removal of funding. To facilitate the free and open exchange of ideas, any criticism shall be offered in a constructive manner, and the right of others to hold different opinions shall be respected.

**Commitment to Learning:** Students are expected to meet their educational responsibilities at all times. Be actively prepared for class and be ready for questions and answers. Be on time for every class and always show courtesy during class or if you have to leave class early. If possible, students should notify the instructor at least one day in advance of a planned absence. Students who are unable to attend class are responsible for finding out what occurred that day and should not expect instructors to give them individual instruction. Recognizing that the pursuit of knowledge is a continuous process, students shall show commitment to learning by persevering despite adversity and seeking guidance in order to adapt to change. Students shall strive for academic excellence and pursue and incorporate all critique, both positive and negative, in the acquisition of knowledge in order to understand and respect the community in which they work.

**Professional Appearance:** Students shall convey a positive, professional appearance in order to represent the program in a dignified manner. Appearance includes a person's dress, hygiene, and appropriate etiquette/protocols for the environment (including safety protocols and protective clothing in environments that require them).

The WSB, the Graduate School, and the Division of Student Life all uphold the UW-System policies and procedures in place for academic and non-academic misconduct. In addition, graduate students are held to the same standards of responsible conduct of research as faculty and staff. Furthermore, unprofessional behavior towards clients/subjects, faculty, staff, peers and public are significant issues in the evaluation and promotion of students. In turn, we hold expectations for the highest level of academic integrity and expect professional, ethical, and respectful conduct in all interactions. Students may be disciplined or dismissed from the graduate program for misconduct or disregard for professional conduct expectations regardless of their academic standing in the program. Separate and apart from a violation of Professional Conduct, a student may face University disciplinary action with regard to the same action. Students are responsible for reading the information here as well as the information published on all the relevant web sites. Lack of knowledge of this information does not excuse any infraction.

## **Statement on Consensual Relationships**

### **Guidelines**

It is in the interest of the University of Wisconsin-Madison to provide clear direction and educational opportunities to the university community about the professional risks associated with consensual romantic and/or sexual relationships between members of the university community where a conflict of interest and/or a power differential between the parties exists. Individuals entering such relationships must recognize that:

- (1) Conflicts of Interest may arise when such relationships occur between and among faculty, staff,

students and prospective employees. University policies and ethical principles already preclude individuals from evaluating the work or academic performance of others with whom they have intimate familial relationships, or from making hiring, salary or similar financial decisions concerning such persons. The same principles apply to consensual romantic and/or sexual relationships and require, at a minimum, that appropriate arrangements be made for objective decision-making.

(2) Power Differentials between the parties in a consensual romantic and/or sexual relationship may cause serious consequences even when conflicts of interest are resolved. Individuals entering into such relationships must recognize that:

- A. the reasons for entering, maintaining, or terminating such a relationship may be a function of the power differential;
- B. where power differentials exist, even in a seemingly consensual relationship, there are limited after-the-fact defenses against charges of sexual harassment. Furthermore, under certain situations consensual relationships may be outside the scope of employment for university employees and, if so, an individual would not be covered by the state's liability protection in subsequent litigation; and
- C. it is almost always the case that the individual with the power or status advantage in the relationship will bear the burden of accountability.

### **Reporting Policy**

Where a conflict of interest exists, or may exist, in the context of a consensual romantic and/or sexual relationship, the individual with the power or status advantage shall notify their immediate supervisor. The supervisor shall have the responsibility for making arrangements to eliminate or mitigate a conflict whose consequences might prove detrimental to the university or to either party in the relationship.

### **Consequences**

Failure to report a consensual romantic and/or sexual relationship, or to comply with an arrangement to mitigate conflict of interest, may result in discipline or dismissal according to the rules appropriate to the individuals involved.

### **Academic Misconduct**

Academic misconduct is an act in which a student (UWS 14.03(1)):

- Seeks to claim credit for the work or efforts of another without authorization or citation
- Uses unauthorized materials or fabricated data in any academic exercise
- Forges or falsifies academic documents or records
- Intentionally impedes or damages the academic work of others
- Engages in conduct aimed at making false representation of a student's academic performance
- Or assists other students in any of these acts.

Examples of academic misconduct include but are not limited to:

- Cutting and pasting text from the Web without quotation marks or proper citation
- Paraphrasing from the Web without crediting the source

- Using notes or a programmable calculator in an exam when such use is not allowed
- Using another person's ideas, words, or research and presenting it as one's own by not properly crediting the originator
- Stealing examinations or course materials
- Changing or creating data in a lab experiment
- Altering a transcript
- Signing another person's name to an attendance sheet
- Hiding a book knowing that another student needs it to prepare for an assignment
- Collaboration that is contrary to the stated rules of the course
- Tampering with a lab experiment or computer program of another student.

See Appendix C for additional information regarding academic misconduct

### **Non-Academic Misconduct**

The university may discipline a student in non-academic matters in the following situations:

- For conduct which constitutes a serious danger to the personal safety of a member of the university community or guest
- For stalking or harassment
- For conduct that seriously damages or destroys university property or attempts to damage or destroy university property, or the property of a member of the university community or guest
- For conduct that obstructs or seriously impairs university-run or university-authorized activities, or that interferes with or impedes the ability of a member of the university community, or guest, to participate in university-run or university-authorized activities
- For unauthorized possession of university property or property of another member of the university community or guest
- For acts which violate the provisions of UWS 18, Conduct on University Lands
- For knowingly making a false statement to any university employee or agent on a university-related matter, or for refusing to identify oneself to such employee or agent
- For violating a standard of conduct, or other requirement or restriction imposed in connection with disciplinary action.

Examples of non-academic misconduct include but are not limited to:

- Engaging in conduct that is a crime involving danger to property or persons, as defined in UWS 18.06(22)(d)
- Attacking or otherwise physically abusing, threatening to physically injure, or physically intimidating a member of the university community or a guest
- Attacking or throwing rocks or other dangerous objects at law enforcement personnel, or inciting others to do so
- Selling or delivering a controlled substance, as defined in 161 Wis. Stats., or possessing a controlled substance with intent to sell or deliver
- Removing, tampering with, or otherwise rendering useless university equipment or property intended for use in preserving or protecting the safety of members of the university community, such as fire alarms, fire extinguisher, fire exit signs, first aid equipment, or emergency telephones; or obstructing fire escape routes
- Preventing or blocking physical entry to or exit from a university building, corridor, or room
- Engaging in shouted interruptions, whistling, or similar means of interfering with a classroom presentation or a university-sponsored speech or program

- Obstructing a university officer or employee engaged in the lawful performance of duties
- Obstructing or interfering with a student engaged in attending classes or participating in university-run or university-authorized activities
- Knowingly disrupting access to university computing resources or misusing university computing resources.

See Appendix D for additional information regarding non-academic misconduct

## **Research Misconduct**

Much of graduate education is carried out not in classrooms, but in laboratories and other research venues, often supported by federal or other external funding sources. Indeed, it is often difficult to distinguish between academic misconduct and cases of research misconduct. Graduate students are held to the same standards of responsible conduct of research as faculty and staff. The Graduate School is responsible for investigating allegations of research misconduct. This is often done in consultation with the Division of Student Life as well as with federal and state agencies to monitor, investigate, determine sanctions, and train about the responsible conduct of research. For more information, contact the Associate Vice Chancellor for Research Policy, 333 Bascom Hall, (608) 262-1044.

Please see section on “Grievance Procedures and Misconduct Reporting” for further information on reporting research misconduct of others. Here are links for additional information regarding Research Misconduct and

See Appendix E for additional information regarding responsible conduct

## **Hostile and Intimidating behavior**

Hostile and intimidating behavior (HIB), sometimes known by the shorthand term “bullying,” is defined in university policy as “unwelcome behavior pervasive or severe enough that a reasonable person would find it hostile and/or intimidating and that does not further the University’s academic or operational interests.” Hostile and intimidating behavior is prohibited by university policy. Please find full details as well as information on campus resources, addressing HIB, preventing HIB, and more at: <https://hr.wisc.edu/hib/>.

## **VII. DISCIPLINARY ACTION AND DISMISSAL**

Failure to meet the program’s academic or conduct expectations can result in disciplinary action including dismissal from the program. If a student is not making satisfactory progress in regards to academic or conduct expectations, the advisor will consult with the Director for PhD and Research Programs to determine if disciplinary action or dismissal is advisable or recommended.

Student progress will be reviewed through coursework (grades and grade point average) and through a written performance evaluation annually. It is recommended that advisors meets with all advisees at the time the written review is presented. If the advisor and the PhD and Research Committee find that a student has failed to achieve satisfactory progress with academic or conduct expectations, dismissal proceedings may be initiated. Students placed on probation will be placed on probation for one semester and will be reviewed by the appropriate authorities following the probationary semester. Students placed on probation may be subject to dismissal proceedings or allowed to continue based upon review of progress during the probationary semester.

The status of a student can be one of three options:

- 1) Good standing (progressing according to standards; any funding guarantee remains in place).
- 2) Probation (not progressing according to standards but permitted to enroll; loss of funding guarantee; specific plan with dates and deadlines in place in regard to removal of probationary status.
- 3) Unsatisfactory progress (not progressing according to standards; not permitted to enroll, dismissal, leave of absence or change of advisor).

Any graduate student who fails to meet the program's expectations during two consecutive semesters (not including summer) may be subject to dismissal from the program at the end of the subsequent semester. Any student who fails to meet the program's expectations because of failure to pass any required exams and procedures within designated time limits may be subject to loss of financial support or dismissal from the program at the end of the subsequent semester.

A semester GPA below the department's minimum outlined elsewhere in this document will result in the student being placed on academic probation. If adequate improvement is not attained during the subsequent semester of full time enrollment the student may be dismissed from the program or allowed to continue for 1 additional semester based on advisor appeal to the Graduate School. A cumulative GPA minimum of 3.0 is required to graduate, but departments also have higher minimums. Consult with your advisor to assure you achieve at the appropriate level. See the Graduate School Academic Policies & Procedures: Probation <https://grad.wisc.edu/documents/probation/> and Grade Point Average (GPA) Requirement <https://grad.wisc.edu/documents/gpa-requirement/>.

Students may be disciplined or dismissed from the graduate program for any type of misconduct (academic, non-academic, professional, or research) or failure to meet program expectations regardless of their academic standing in the program. Separate and apart from a violation of Professional Conduct, a student may face University disciplinary action with regard to the same action. Concerns about infractions of Professional Conduct may be effectively handled informally between the student and the advisor/faculty member. However, if a resolution is not achieved, the issue may be advanced for further review by the Programs Office and/or the PhD and Research Committee.

#### **Process / Committee / Possible Sanctions**

The Research Programs Office and the PhD and Research Committee administer the regulations established by the faculty of the WSB. They make sure students are meeting the program expectations and impose sanctions, in conjunction with the student's advisor and departmental committee members, when appropriate. Faculty and faculty committees determine whether the quality of a student's work and conduct are satisfactory, and determine whether the student is satisfying the academic requirements in a timely fashion and meeting program conduct expectations.

## **VIII. GRIEVANCE PROCEDURES & REPORTING MISCONDUCT AND CRIME**

### **Grievance Procedures**

If a student feels unfairly treated or aggrieved by faculty, staff, or another student, the University offers several avenues to resolve the grievance. Students' concerns about unfair treatment are best handled directly with the person responsible for the objectionable action. If the student is uncomfortable making direct contact with the individual(s) involved, they should contact the Director for PhD and Research Programs for consultation and advice on next steps. For more information see the Graduate School Academic Policies & Procedures: Grievances & Appeals: <https://grad.wisc.edu/documents/grievances-and-appeals/>.

## **Procedures for proper accounting of student grievances:**

The student is encouraged to speak first with the person toward whom the grievance is directed to see if a situation can be resolved at this level. Should a satisfactory resolution not be achieved, the student should contact the Director for PhD and Research Programs to discuss the grievance. That individual will facilitate problem resolution through informal channels and facilitate any complaints or issues of students. The first attempt is to help students informally address the grievance prior to any formal complaint. Students are also encouraged to talk with their faculty advisors regarding concerns or difficulties if necessary. University resources for sexual harassment, discrimination, disability accommodations, and other related concerns can be found on the UW Office of Equity and Diversity website: <https://oed.wisc.edu/>.

Other campus resources include

- The Graduate School - <https://grad.wisc.edu/>
- McBurney Disability Resource Center - <https://mcburney.wisc.edu/>
- Employee Assistance Office - <https://eao.wisc.edu/>
- Ombuds Office - <https://ombuds.wisc.edu/>
- University Health Services – <https://www.uhs.wisc.edu/>
- Office of Equity and Diversity - <https://oed.wisc.edu/>

If the issue is not resolved to the student's satisfaction, the student can submit the grievance to the Associate Dean for PhD and Research in writing, within 60 calendar days of the alleged unfair treatment. On receipt of a written complaint, Associate Dean for PhD and Research will obtain a written response from the person toward whom the complaint is directed. This response will be shared with the person filing the grievance. The Associate Dean for PhD and Research, in conjunction with the appropriate faculty jurisdiction within the school, will determine a decision regarding the grievance. At this point, if either party (the student or the person toward whom the grievance is directed) is unsatisfied with the decision of the Associate Dean for PhD and Research, the party may file a written appeal to the Associate dean for Academic Affairs of the Graduate School. Either party has 10 working days to file a written appeal to the School/College. Documentation of the grievance will be stored for at least 7 years. Significant grievances that set a precedent will be stored indefinitely. The Graduate School has procedures for students wishing to appeal a grievance decision made at the school/college level. These policies are described in the Graduate School's Academic Policies and Procedures:

<https://grad.wisc.edu/documents/grievances-and-appeals/>.

## **Reporting Misconduct and Crime**

The campus has established policies governing student conduct, academic dishonesty, discrimination, and harassment/abuse as well as specific reporting requirements in certain cases. If you have a grievance regarding unfair treatment towards yourself, please reference the procedures and resources identified above. If you learn about, observe, or witness misconduct or other wrongdoing you may be required to report that misconduct or abuse. Depending on the situation, it may be appropriate to consult with your advisor, PhD Program Coordinator, or other campus resources (See other campus resources under Procedures for proper accounting of student grievances section).

## **Research Misconduct Reporting**

The University of Wisconsin-Madison strives to foster the highest scholarly and ethical standards among its students, faculty, and staff. Graduate students and research associates are among the most vulnerable groups when reporting misconduct because their source of financial support and the progress in their careers may be at risk by raising questions of wrongdoing. They are also often the closest witnesses to wrongdoing when it occurs

and therefore must be appropriately protected from the consequences of reporting wrongdoing and be informed of their rights. Please find full details at: <https://kb.wisc.edu/gsadminkb/page.php?id=34485>

### **Academic Misconduct Reporting**

If you know a classmate is cheating on an exam or other academic exercise, notify your professor, teaching assistant or proctor of the exam. As a part of the university community, you are expected to uphold the standards of the university. Also, consider how your classmate's dishonesty may affect the overall grading curve and integrity of the program.

### **Sexual Assault Reporting**

Faculty, staff, teaching assistants, and others who work direct with students at UW-Madison are required by law to report first-hand knowledge or disclosures of sexual assault to university officials, specifically the Office of Compliance. This effort is not the same as filing a criminal report. Disclosing the victim's name is not required as part of this report. Please find full details at <https://compliance.wisc.edu/titleix/employee-reporting-requirements/>

### **Child Abuse Reporting**

As a UW-Madison employee (under [Wisconsin Executive Order #54](#)), you are required to immediately report child abuse or neglect to Child Protective Services (CPS) or law enforcement if, in the course of employment, the employee observes an incident or threat of child abuse or neglect, or learns of an incident or threat of child abuse or neglect, and the employee has reasonable cause to believe that child abuse or neglect has occurred or will occur. Volunteers working for UW-Madison sponsored programs or activities are also expected to report suspected abuse or neglect. Please find full details at <https://oed.wisc.edu/child-abuse-and-neglect-reporting/>

### **Reporting and Response to Incidents of Bias/Hate**

The University of Wisconsin-Madison values a diverse community where all members are able to participate fully in the Wisconsin Experience. Incidents of Bias/Hate affecting a person or group create a hostile climate and negatively impact the quality of the Wisconsin Experience for community members. UW-Madison takes such incidents seriously and will investigate and respond to reported or observed incidents of bias/hate. Please find full details at <https://doso.students.wisc.edu/services/bias-reporting-process/>

## **IX. ACADEMIC EXCEPTION PETITION**

Academic exceptions and extensions are considered on an individual case by case basis and should not be considered a precedent. Deviations from normal progress are highly discouraged, but the program recognizes that there are in some cases extenuating academic and personal circumstances. Petitions for course exceptions/substitutions or exceptions to the Satisfactory Progress Expectations (academic or conduct) shall be directed to the Director for PhD and Research Programs. The following procedures apply to all petitions:

- The specific requirement/rule/expectation pertinent to the petition must be identified.
- The student's academic advisor must provide written support for the petition.
- All course work substitutions and equivalencies will be decided by the respective department's PhD coordinator and/or Department Chair.

- The Director for PhD and Research Programs, in consultation with the student’s advisor, may grant extensions to normal progress requirements for students who face circumstances noted in university regulations, such as childbirth, adoption, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond one’s personal control. Where warranted, the petition should provide good evidence of plans and ability to return to conformance with the standard and to acceptably complete the program. The normal extension will be one semester; anything beyond this will be granted *only in the event of highly extraordinary circumstances*. Extensions will be granted formally with the approval of the Associate Dean for PhD and Research and a note of explanation will be placed in the student’s file.

### **Failure of Qualifying Exam**

A student who fails the Qualifying Examination may be offered a second opportunity to pass the qualifying examination or may be dismissed from the program. Petitions of a decision by the Thesis/Dissertation Committee must be made to the Director for PhD and Research Programs within two weeks or they will be final. The Director for PhD and Research Programs, in consultation with the respective Department Chair and the Associate Dean for PhD and Research, will make the final decision regarding a petition and will communicate this decision to all parties involved.

### **Failure to Complete the Degree within the Graduate School’s Five-Year Limit**

Students who have not successfully defended the dissertation within five years from becoming a dissertator may request an extension with the support of the dissertation committee chair. Requests for a one-semester/year extension may be made to the Director for PhD and Research Programs. The Director for PhD and Research Programs is authorized to approve these requests upon written justification from the student and their advisor and with appropriate Graduate School approvals. The student must describe the reasons for the request and provide a proposed timetable for completing all program requirements. The dissertation committee chair must provide a written supporting document indicating their assessment that the student is highly likely to persevere to degree completion and must outline what the student needs to do and the time frames agreed upon for doing these things. The request should be made as soon as the need for an extension becomes apparent. The Director for PhD and Research Programs may request additional documentation as needed. Appeals or requests for additional extensions must be approved by the Associate Dean for PhD and Research and are subject to Graduate School approval.

## **X. FUNDING AND FINANCIAL INFORMATION**

All Business PhD students are offered a financial aid package for a minimum of 4 years. These packages include a stipend, tuition remission, and health insurance for the student and his/her immediate family residing in Dane County. Questions about financial aid should be directed to the PhD Coordinator. Students will receive a funding letter each summer detailing the financial award package for the coming academic year.

### **Graduate Assistantships (TAs, PAs, RAs, Lecturer [SA] positions)**

Process for awarding graduate assistantships: Each student will receive an admission offer letter that details financial aid awards for the duration of their time in the PhD Program. Questions about financial aid should be directed to the PhD Coordinator.

### **Responsibilities**

Graduate Assistants will be notified by their supervisor of their duties for each semester they are employed

The supervisor or the Department Chair should be contacted to receive work assignments. Teaching Assistant will be evaluated by their class each time they teach.

## **Stipend rates**

Stipend rates for graduate assistantships are set by the University. Current rates for TAs, PAs, and RAs can be found on the Graduate School website: <https://grad.wisc.edu/funding/graduate-assistantships/>

Graduate assistants are paid on a monthly basis and stipends are usually deposited directly into student's bank accounts. Students may authorize direct deposit by filling out the Authorization for Direct Deposit of Payroll form (<https://uwservice.wisconsin.edu/docs/forms/pay-direct-deposit.pdf>) and returning it to the WSB Human Resources Office—4250 Grainger Hall.

## **Tuition Remission and Payment of Segregated Fees**

TAs, PAs, and Lecturers (Students Assistants) with appointments of 33.3% or higher (approximately 13 hours/week) receive remission of their full tuition (in- and out-of-state, as applicable). Students with these appointments are still responsible for paying segregated fees. Fellows also receive Tuition Remission.

## **Health Insurance Benefits**

TAs, PAs, RA, and Lecturers (Student Assistants) with appointments of 33.3% or higher (approximately 13 hours/week) for at least the length of a semester are eligible to enroll in a health insurance program. Fellows are also eligible for Health Insurance Benefits. Information about health insurance options can be found at <http://www.ohr.wisc.edu/benefits/new-emp/grad.aspx>.

Current monthly premiums can be found at <http://uwservice.wisc.edu/premiums/index.php#sgh>.

Questions about health insurance can be directed to the WSB Human Resources Office—4250 Grainger Hall.

## **Maximum Appointment Levels**

The Graduate School sets the maximum levels of graduate assistantship appointments. International students should be especially aware of maximum levels of employment. For more information on these policies, please visit <https://grad.wisc.edu/documents/maximum-levels-of-appointments/>.

## **Enrollment Requirements for Graduate Assistants**

Students with graduate assistantships must be enrolled appropriately. Detailed information about enrollment requirements can be found in the Graduate School's academic policies at <https://grad.wisc.edu/documents/enrollment-requirements/>.

## **Fellowships**

There are many different kinds of fellowships on campus. Some are awarded by the program, some are awarded by the school/college, and still others are awarded by the Graduate School. In addition, a number of students have applied for and won fellowships from federal agencies, professional organizations, and private foundations. The terms and conditions of fellowships across campus vary widely. Students receiving a fellowship should understand the obligations and benefits of that fellowship, including stipend, health insurance eligibility, eligibility for tuition remission, pay schedule, etc.

## Graduate School Fellowships

The Graduate School administers a number of different fellowships on campus, including: the University Fellowships, Chancellor's Fellowships, Mellon-Wisconsin Fellowships, the Dickie Fellowships, and a variety of external fellowships (<https://grad.wisc.edu/funding/fellowships/>). Contact the Office of Fellowships and Funding Resources ([offr@grad.wisc.edu](mailto:offr@grad.wisc.edu)) with any questions.

## Departmental/Campus Fellowships

The WSB PhD Program awards several fellowships. Awarding these fellowships is made by the Dean's Office, and several departments within the School. It is not necessary to apply for these fellowships. Fellowships include a stipend, full tuition remission, payment of segregated fees and health insurance options.

## External Funding/Fellowships

The WSB encourages all students to seek out and apply for funding from sources external to the university (e.g., federal agencies, professional organizations, private foundations). The Graduate School supports selected federal/private fellowships through the provision of tuition support and health insurance, list at <https://kb.wisc.edu/grad/page.php?id=73571>.

UW-Madison does allow for remission of out-of-state tuition for students on external fellowships that provide stipends of at least the equivalent to that of a 33.3% RA.

Students should be aware that fellowships and awards from external sources have unique terms and conditions that should be understood. Questions on external fellowships may be directed to the Office of Fellowships and Funding Resources.

## Fellows with Concurrent Appointments

Students with fellowships payrolled through the university may hold concurrent graduate assistantships and/or student hourly appointments up to a maximum annual stipend amount. Questions about concurrent work along with a fellowship or the current maximum rate should be addressed to the Office of Fellowships and Funding Resources ([offr@grad.wisc.edu](mailto:offr@grad.wisc.edu)).

## Funding for Study Abroad

The International Fellowships Office provides information about opportunities for international research, grants, scholarships and other funding.

## Funding for Conference/Research Travel

See WSB PhD Travel Fund section in this handbook.

The Graduate School provides a limited amount of funding for dissertators whose research has been accepted for presentation at a conference. Award amounts range between \$300-\$1,500. For more information about this funding, visit the [Student Research Grants Competition Information](#)

## Loans

The [Office of Student Financial Aid](#) (OSFA) assists graduate students whose personal and family resources are not adequate to cover the expenses involved in attending the University of Wisconsin-Madison. The office also provides counseling to help students manage their money effectively, information on other potential sources of financial assistance (such as employment), debt management counseling, and small short-term loans for emergencies.

## **XI. PROFESSIONAL DEVELOPMENT AND CAREER PLANNING**

While most of the conduct of seeking potential career placements at research universities after degree completion is done through faculty mentoring and networking at appropriate academic conferences in the student's field during their program, the UW-Madison offers a wealth of resources intended to enrich graduate studies and enhance professional skills. You are encouraged to take full advantage of the resources that best fit your needs and support your career goals.

### **Campus-wide Resources for Professional Development**

In addition to opportunities at the local level, the Graduate School provides professional development programming in the areas of career development and skill building, and also serves as a clearing house for professional development resources across campus. The best way to stay informed is to watch for the weekly newsletter, GradConnections, or visit <https://grad.wisc.edu/professional-development/>.

Be sure to keep a pulse on programs offered by the following campus services as well. Writing Center <http://www.writing.wisc.edu/>

### **Local Resources for Professional Development and Career Planning**

Looking for a great way to improve your communication skills? Consider joining a local chapter of Toastmaster's. The Toastmasters club is the perfect opportunity to overcome your fear of public speaking, polish up your presentations, and enjoy the company of other intelligent professionals and students. They usually meet in the Lowell Center at 610 Langdon Street from 6:15- 8:15pm on the first and third Wednesday of each month, but our location sometimes changes according to space availability on campus. Email us to check on the next meeting location. It is completely free to attend a meeting! <https://173.toastmastersclubs.org/>

### **WSB STUDENT TEACHING AWARDS**

Each year the WSB recognizes PhD students who have exhibited high standards as Teaching Assistants. Student instructors are also nominated for university-wide awards.

### **Student Travel Award Policy/Travel to Meetings and Conferences**

WSB PhD students presenting a paper (as author or co-author) at a research conference may apply for reimbursement of travel expenses. You may receive an award of up to \$600 to assist with expenses. Students are eligible to receive an award for travel expenses only once during each fiscal year (July 1 to June 30), but are eligible for an award each year of their tenure in the PhD program. After receipt of a first WSB travel award, a student must present evidence that he or she has also sought travel funds from a source external to the school, such as the [Student Research Grants Competition](#) or from a federal agency such as the National Science Foundation. Students should also apply for departmental funds for travel if they are available. For this purpose, departmental funds are considered to be internal awards.

To be considered for these travel funds you need to complete the [application](#) and return it to Patrick Stevens or deliver it to 3115 Grainger Hall.

#### **Policies for Award Notification and Acceptance**

Please submit your request no less than three weeks prior to the date of departure. Failure to do so may result in denial of approval or in delay of funding.

Each award will not exceed \$600. Upon completion of the travel, you must request an e-reimbursement. You should work with your department assistant to complete the e-reimbursement. Please let your department assistant know that you are to receive up to \$600 in travel funds from the PhD Programs Office and have the department assistant contact Patrick Stevens to obtain the correct funding string for the travel funds. As with any travel funded through University of Wisconsin-Madison accounts, you are subject to state travel policies, guidelines, and expense/reimbursement limitations. Ask your department assistant for this information before you book airline tickets and/or hotel accommodations.

Approvals are not transferable to other conferences or events without re-application.

If you have any questions or need further clarification, please contact Patrick Stevens via email or at 608-262-3749.

## **XII. OPPORTUNITIES FOR STUDENT INVOLVEMENT**

Graduate students at UW-Madison have a multitude of opportunities to become involved on campus and in their academic disciplines. This involvement enhances academic, professional, and social development.

### **Student Representation in Governance**

Associated Students of Madison (ASM) - The Associated Students of Madison (ASM) is the campus-wide student governance organization at UW–Madison. Graduate and undergraduate representatives are elected to the 33-member ASM Student Council based on their respective college or school. The student council has regular biweekly meetings open to all students. Learn more here: <http://www.asm.wisc.edu/>

Teaching Assistants' Association (TAA) - The Teaching Assistants' Association is a union for TAs and PAs at UW-Madison. As a result of decades of organizing and by working together, graduate students at UW-Madison have achieved good health benefits, tuition remission, and many other gains. The TAA is a democratic union run by the members. Learn more here: <http://taa-madison.org/>

### **Registered Student Organizations**

There are more than 750 student organizations on campus. The best way to seek out current organizations is to visit the [Wisconsin Involvement Network](#). This list will not include unregistered student organizations, and you may find that there are groups in your department that you would like to get involved with as well. If you are interested in officially registering an organization you are involved, you must register at <https://win.wisc.edu/organizations>. Once registered, your organization is eligible for funding from ASM, and your group can reserve rooms in the Union and access other resources.

## **Outreach and Community Connections**

The Wisconsin Idea is the principle that education should influence and improve people's lives beyond the university classroom. For more than 100 years, this idea has guided the university's work. Learn how you can get involved at <http://www.wisc.edu/public-service/>.

The Morgridge Center for Public Service connects campus with community through service, active civic engagement, community-based learning and research, and more. Explore opportunities at <https://morgridge.wisc.edu/>.

## **XIII. STUDENT HEALTH AND WELLNESS**

UW-Madison has a holistic resource for all things wellness called "[UWell](#)". The site includes information and opportunities for wellness for your work/school, financial, environmental, physical, emotional, spiritual, and community.

Students who pay segregated fees are eligible for [University Health Services](#). There is no charge to students for many basic services including counseling sessions, because services are paid through tuition and fees. Personal health and wellness services are also available in addition to medical services.

### **Disability Information**

Students with disabilities have access to disability resources through UW-Madison's [McBurney Disability Resource Center](#). As an admitted student, you should first go through the steps to "[Become a McBurney Client](#)"

Additional [non-academic] disability campus resources can be found at:  
<https://mcburney.wisc.edu/services/nonmcburney/index.php>

The UW-Madison Index for Campus Accessibility Resources can be found at:  
<https://www.wisc.edu/accessibility/index.php>

### **Mental Health Resources On and Off Campus**

[University Health Services](#) (UHS) is the primary mental health provider for students on campus. UHS Counseling and Consultation Services offers a wide range of services to the diverse student population of UW-Madison. They offer immediate crisis counseling, same day appointments and ongoing treatment.

There are many mental health resources throughout the Madison community, but UHS Counseling and Consultation Services is the best resource for referrals to off-campus providers. Call 608-265-5600 for assistance in finding an off-campus provider.

## **XIV. MISCELLANEOUS INFORMATION FOR NEW STUDENTS**

## **Activate your NetID**

You will need your NetID and password to access the My UW-Madison portal at [my.wisc.edu](https://my.wisc.edu). To activate your NetID click on the ACTIVATE NETID button from the My UW Madison login screen. Enter your 10 digit student campus ID number and birthdate. The NetID you create and password you enter are keys to your access to the MyUW portal, so make a record of it and keep it private. If you are unsure about your NetID and password, contact the [DoIT Help Desk](https://doit.wisc.edu) at 608-264-4357.

## **Get your UW Photo ID Card (Wiscard)**

Get your UW ID card - Wiscard - photo taken at the [Wiscard Office](https://wiscard.wisc.edu) in Union South (room 149, M-F 8:30 am - 5:00 pm.) You must be enrolled and have valid identification, such as a valid driver's license, passport, or state ID to get your photo ID.

## **Enroll in classes**

First-semester PhD students will be able to enroll in classes in July, providing they have connected with their advisor to talk about course choices. After having this conversation, contact the PhD Coordinator to release the hold on your registration.

## **Pick up your Madison Metro bus pass**

As a UW student, you can pick up a bus pass at from Student Print, 3<sup>rd</sup> Floor of the Student Activity Center, 333 East Campus Mall at the beginning of the fall and spring semesters. Visit the ASM Web site for more information on Madison Metro bus services: <https://www.asm.wisc.edu/resources/buspass/>. Be sure to bring your UW Photo ID card. **Prerequisite:** You must be enrolled.

## **Attend Program Orientation Events**

A New PhD Student Orientation is held each August, the week before classes begin in September. Students who will serve as TAs at any point during their studies are also required to attend TIP—the WSB Teaching Improvement Program, held the week prior to the beginning of the Fall semester.

## **Attend the New Graduate Student Welcome, hosted by the Graduate School**

This event provides a great opportunity to mingle with Graduate School deans and staff, hear from a panel of current students about graduate student life, learn about the many campus and community resources available to you, and meet other new graduate students from across campus. Learn more and register here: <https://grad.wisc.edu/new-students/>

## **Attend the Graduate Assistant Equity Workshop, hosted by the Office for Equity and Diversity**

Students who will serve as TAs at any point during their studies are required to participate in the equity workshop. The focus of the workshop is on diversity, discrimination and harassment. Participants receive information about relevant laws, policies, regulations and resources; explore the practical application of these

policies to classroom and learning environments; and engage in conversations designed to promote interdisciplinary dialogue and excellence through diversity. Learn more and register here:

<https://oed.wisc.edu/graduate-assistants-equity-workshops/>

### **Program/Department Resources for Students**

Each department within WSB has procedures for allocating space, computers, copiers, supplies, mailboxes, phones, student lounge, etc. Students should check with the PhD program coordinator for their department as well as the departmental administrative assistants.

### **Digital Measures—set up your account**

Digital Measures is a web-based solution for WSB PhD students and faculty to track and share information related to teaching, research, and service activities. Data made public by the user is available for departmental web site faculty and staff bio pages, providing the University and other stakeholders a consistent mechanism to research and learn about WSB faculty and PhD student activities. A variety of reports can be generated quickly and easily. Digital Measures provides reporting vehicles for both personal and departmental annual reports tied to promotion and tenure, as well as reports for other stakeholders.

To log into Digital Measures, follow these steps:

- Go to [www.wisc.edu](http://www.wisc.edu)
- Click on “MY UW” tab at top right of [wisc.edu](http://wisc.edu) home page.
- Enter your NetID and password. Click on “Login”
- Click on the “TEACHING” tab.
- Click on “Digital Measures” located on the bottom right of the screen.

## **XV. ADDITIONAL INFORMATION FOR INTERNATIONAL STUDENTS**

### **International Student Services (ISS)**

International Student Services (ISS) is the main resource on campus for international students and has advisors who can assist with visa, social and employment issues. Visit their website for more information at

<https://iss.wisc.edu/> or to schedule an appointment.

### **Student Visas**

Graduate Admissions issues the federal I-20 form for initial F-1 Visa procurement. Initial J-1 Visa document (DS-2019) is handled by ISS. The Graduate Admissions office sometimes must collect financial information for the DS-2019, which is then forwarded to ISS. After the student is enrolled, all visa matters are handled by ISS.

### **Documents required of new international students**

Many students are admitted with a condition that they submit their final academic documents after arrival on campus. These documents must be turned into the PhD Coordinator.

## Students with ESL requirements

All admitted International Business Students must complete both an ESL and SPEAK test on our campus prior to the start of fall classes. You will be notified when you must appear for this testing (week before beginning of classes).

## International Doctoral Student Recommendations for improved program performance and enhanced job market placement opportunities

Required:

Follow through on ESLAT course requirements by fulfilling them within the first year of the doctoral program (or successively as soon as possible if more than one semester is required).

### Recommendations:

- Practice English in your free time. Living with English-speaking roommates or making friends with others with whom you must consistently speak English will help tremendously. Where possible, try to communicate with friends and colleagues in English, even if they speak your language – you may all benefit from practicing.
- Attend one or more academic seminar per week (if possible). Even if the seminars are not all in your own department, you will learn both good and bad techniques and will absorb ideas and concepts that will ultimately make you a better presenter.
- Practice presenting research every chance you get. You should plan to present at least once per semester either in a seminar or to your department. Be proactive and arrange to present your work so you are very comfortable doing so by the time you need to present a job market paper.
- Explain your research (or some other idea) to English-speakers who are unfamiliar with the subject (e.g., someone outside of your field). Watch for cues and signs about how you are understood and how your ideas are received. It is your responsibility as both a speaker and writer to be sure that you are understood. Ask questions and seek feedback to assess your communication effectiveness.
- Teaching opportunities help you gain confidence in front of a group. Seek TA assignments that require leading discussion sections instead of simply grading. Practice explaining concepts in a clear and effective way. Take students' evaluations seriously and try to improve. Encourage students to come to your office hours to improve one-on-one communication skills.
- Join a Toastmaster's Group ([www.toastmasters.org](http://www.toastmasters.org)) or other organization where practice in public speaking and formal presentations is required or encouraged.
- Use the Writing Center or copy editing services. English and ESL students will edit manuscripts at competitive rates (about \$30/hr). This is a good idea for any major work. The [Campus Writing Center](#) will not edit papers but they will work with students to help them learn to edit their own work. They also provide [short workshops specifically for graduate students](#).

### Take ESL courses as needed to increase your skills:

- For information about specific ESL course offerings and course descriptions please visit: <https://esl.wisc.edu/international-students/courses/>
- Dissertation writing workshops. There are several including: [Mellon-Wisconsin Dissertation Writing Camps](#) and [writing center dissertation workshops](#).

## Funding for International Students

International students are eligible for Teaching, Project, and Research Assistantships on campus as well as university fellowships through the Graduate School. They may not be employed more than 20 hours per week on campus while enrolled full-time.

New international students with assistantships should work with International Students Services to obtain a social security number (<https://iss.wisc.edu/employment/social-security/>). New students with fellowships and no other appointment types are not considered employees and are not eligible for social security numbers. These students should work with ISS to obtain an International Taxpayer Identification Number (ITIN, <https://iss.wisc.edu/employment/individual-taxpayer-identification-number-itin/>).

## XVI. APPENDIX

### Appendix A – Student Progress Report

#### Path through the PhD Program - Student Progress Report

The review form below outlines some critical stepping-stones in completing a PhD successfully. Please complete this and attach your CV to document professional activities.

Name  Dept.  Yr in program

<b>1. Course work</b> a. # credits complete (32 grad credits) b. Average course grade (overall) c. Average grade in core/major courses d. Course grades below AB e. Incomplete courses f. PhD minor designated		<b>2. Teaching</b> a. Effective as a grader b. Effective as a TA (discussion leader) c. Effective teaching a complete course d. Mentoring other students in teaching e. Generating teaching materials (and sharing)	
<b>3. Socialization &amp; Departmental Activity</b> a. <i>Reasonable</i> presence in the building b. Participate in departmental social functions c. Participate in recruiting of PhD students d. Assisting w/special events (conferences...) e. Mentoring PhD students		<b>4. Seminar participation</b> a. Attend seminars (Always/Occasional/Rare) b. Meet with external seminar speakers c. Speak / ask questions in seminars d. Present in internal seminar	
<b>5. Comprehensive exam</b> a. Committee formed b. Date set c. Pass exam		<b>6. Research Paper(s)</b> a. Draft completed b. Responded to feedback c. Completed successfully	
<b>7. Major-conferences</b> a. Review for major conference b. Attend major conference c. Discussant at major conference d. Paper submission to major conference e. Paper acceptance at major conference f. Paper presentation at major conference g. Doctoral consortium participation h. Awards		<b>8. Specialty-conferences</b> a. Review for specialty conference b. Attend specialty conference c. Discussant at specialty conference d. Paper submission to specialty conference e. Paper acceptance at specialty conference f. Paper presentation at specialty conference g. Doctoral consortium participation h. Awards	
<b>9. Publication – Major journal</b> a. # Submissions to top journals b. # R&Rs c. # Acceptances d. Co-authorship (Faculty/student/Sole)		<b>10. Other Pubs</b> (B journal/chapter/proceedings) a. # Submissions b. # R&Rs c. #Acceptances d. Co-authorship (Faculty/student/Sole)	
<b>11. Pre-Proposal</b> a. Advisor selected b. Committee selected c. Preliminary draft of proposal d. Proposal successfully defended		<b>12. Dissertation stage</b> a. Job market paper b. Application process/networking c. Job talks d. Job ☺ e. Final defense	

Notes (list item# & comments)

## Appendix B – Graduate School Policies

- Enrollment Requirements
  - <https://grad.wisc.edu/documents/enrollment-requirements/>.
- Auditing Courses
  - <https://grad.wisc.edu/documents/auditing-courses/>.
- Continuous Enrollment
  - <https://grad.wisc.edu/documents/continuous-enrollment-requirement/>.
- Residency for Tuition Purposes:
  - <https://grad.wisc.edu/documents/residence-for-tuition-purposes/>.
  - <https://registrar.wisc.edu/residence/> (Registrar’s Office).
- Transfer of Graduate Work from Other Institutions
  - <https://grad.wisc.edu/documents/transfer-of-graduate-work-from-other-institutions/>.

## Appendix C – Academic Misconduct

- Graduate School: Misconduct, Academic
  - <https://grad.wisc.edu/documents/misconduct-academic/>
- Office of Student Conduct and Community Standards: Academic Integrity
  - <https://conduct.students.wisc.edu/academic-integrity/>
- Office of Student Conduct and Community Standards: Academic Misconduct Flow Chart
  - <https://conduct.students.wisc.edu/documents/academic-misconduct-flow-chart/>
- University of Wisconsin System: Chapter UWS 14: Student Academic Disciplinary Procedures
  - [http://docs.legis.wisconsin.gov/code/admin\\_code/uws/14.pdf](http://docs.legis.wisconsin.gov/code/admin_code/uws/14.pdf)

## Appendix D – Non-Academic Misconduct

- Graduate School: Misconduct, Non-Academic
  - <https://grad.wisc.edu/documents/misconduct-nonacademic/>
- Office of Student Conduct and Community Standards: Non-Academic Misconduct
  - <https://conduct.students.wisc.edu/nonacademic-misconduct/>
- University of Wisconsin System: Chapter UWS 17: Student Non-Academic Disciplinary Procedures
  - [https://docs.legis.wisconsin.gov/code/admin\\_code/uws/17](https://docs.legis.wisconsin.gov/code/admin_code/uws/17)
- University of Wisconsin System: Chapter UWS 18: Conduct on University Lands
  - [https://docs.legis.wisconsin.gov/code/admin\\_code/uws/18](https://docs.legis.wisconsin.gov/code/admin_code/uws/18)

## Appendix E – Responsible Conduct

- Graduate School: Responsible Conduct of Research
  - <https://grad.wisc.edu/documents/responsible-conduct-of-research/>
- Research Policy: Research Ethics
  - <https://research.wisc.edu/compliance-policy/research-ethics/>
- Research and Graduate Education: Reporting Research Misconduct
  - <http://kb.wisc.edu/gsadminkb/page.php?id=34486>
- Research and Graduate Education: Responsible Conduct of Research Resources
  - <https://kb.wisc.edu/gsadminkb/search.php?cat=2907>