



THE UNIVERSITY OF CHICAGO BOOTH SCHOOL OF BUSINESS

Stevens Doctoral Program Guidebook

**For Students Matriculating In The
2023-24 Academic Year**

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INTRODUCTION

This guidebook provides information for PhD students in the Stevens Doctoral Program at the University of Chicago Booth School of Business (Booth) who matriculate during the 2023-24 academic year. **The general procedures and rules** (not associated with dissertation area curriculum requirements) **in this Guidebook apply to all PhD students, regardless of year of matriculation, unless otherwise specified.**

PhD students should refer to this Guidebook for information regarding the general and specific PhD degree requirements and for information regarding other procedures, policies, and rules. Students who matriculate during the 2023-24 academic year may choose to use those dissertation area requirements outlined in this Guidebook (2023-24) or those specified in the 2022-23 Guidebook (the requirements in place when the student was admitted to the Program). This decision is up to the student.

You may access this Guidebook and other information about the Program at the following website: Stevens Doctoral Program>Academic Services via login through the Booth Intranet at <http://intranet.chicagobooth.edu>.

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

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

Area Advisors

A student chooses a dissertation area when applying to the Program. Dissertation areas include: Accounting, Behavioral Science, Econometrics and Statistics, Economics, Finance, Management Science/Operations Management, and Marketing. Each of these areas is supervised by a faculty advisor. These area advisors manage the evaluation of applications to their respective areas, counsel new students on the curriculum in that area and how to plan their course of study, and serve as advisors to all the students in their respective areas throughout their course of study. For the academic year 2023-24, these area advisors are:

- Accounting – Hans Christensen, Chookaszian Family Professor of Accounting and Anna Costello, Professor of Accounting
- Behavioral Science – Jane Risen, H.G.B. Alexander Professor of Behavioral Science and Alexander Todorov, Leon Carroll Marshall Professor of Behavioral Science
- Econometrics and Statistics – Veronika Rockova, Professor of Econometrics and Statistics
- Economics – Eric Budish, Paul G. McDermott Professor of Economics and Entrepreneurship and Matt Notowidigdo, David McDaniel Keller Professor of Economics
- Finance – Zhiguo He, Fuji Bank and Heller Professor of Finance and Stefan Nagel, Fama Family Distinguished Service Professor of Finance
- Management Science/Operations Management – Ozan Candogan, Professor of Operations Management
- Marketing – Pradeep Chintagunta, Joseph T. and Bernice S. Lewis Distinguished Service Professor of Marketing

Mission Statement

The mission of the Stevens Doctoral program is to train prospective scholars to become highly skilled and innovative researchers and teachers in various aspects of business and to prepare them for careers as leading researchers at premier research institutions throughout the world.

CHAPTER 1 – PROGRAM EXPECTATIONS AND TIMELINE: AN OVERVIEW

Program Expectations and Timeline

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

Students with questions about expectations, milestones and timeline may contact Malaina Brown in the Stevens Doctoral Program Office or Amanda Young (Director, Graduate Student Affairs) in UChicagoGRAD.

First Year

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

Second Year

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

Third Year

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

Fourth Year

- Take specialized courses (as needed) to develop the area of expertise.
- Reach Candidacy (if not completed by the end of year three).
- Complete the dissertation proposal (or in year five, varies by area).
- Make progress on the dissertation.

Fifth Year and beyond

- Finish and defend the dissertation.

Deadlines:

- Complete candidacy requirements within a maximum of four years from the date of matriculation.

- Propose the dissertation within five years from the date of matriculation; students may request an extension to propose in year six (some areas have earlier deadlines).
- Defend the dissertation and graduate **within seven years** from the date of matriculation (barring exceptional circumstances).

These times represent generous upper limits. Students will generally complete their studies within five to six years of matriculation.

- If, after guidance from the Program Office, students cannot meet the requirements for candidacy within the allowed four years, they will go on academic probation and if they still can't meet the requirements will be advised to leave the Program.
- Students who reach candidacy within the allowed four years but then fail to propose and defend a dissertation within the three subsequent years will also be withdrawn from the Program (barring exceptional circumstances). Students may petition their area advisor, dissertation committee and Stevens Doctoral Program to remain in the program for an 8th year. Such petitions are extremely rare.

Additional details are in Chapter 2—PhD Degree Requirements and in Chapter 4—Satisfactory Academic Progress Requirements.

CHAPTER 2 – PHD DEGREE REQUIREMENTS

Brief Outline

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

Dissertation Area: Successfully complete the general examination requirements in the dissertation area: Accounting, Behavioral Science, Econometrics and Statistics, Economics (and its related fields of study), Finance, Management Science/Operations Management, or Marketing. Students in a Joint Program complete one of these dissertation areas, in addition to other requirements.

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

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

Dissertation Area Workshop: Successfully register for and participate in a workshop in the dissertation area during the second and third years in the Program. Grading is pass/fail. A total of six quarters with a grade of pass is required. Some workshops have strict attendance requirements.

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

Candidacy Requirements: Certification of candidacy indicates that a student has completed the requirements listed above and has reached the advanced stage of the Doctoral Program, permitting them to write a dissertation full-time.

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

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

Consult your dissertation area requirements for additional information specific to your area.

Course Credit

Students may use graduate courses taken at other approved institutions to satisfy PhD requirements for up to three courses **with the approval of the area advisor and the Director of the Program**. These courses may not be used toward the MBA degree. Courses taken at the University of Chicago (including the Booth School of Business) prior to matriculation in the program cannot satisfy PhD requirements if they have been counted toward another university degree. The program at Booth accepts up to three courses for transfer credits from other approved institutions as outlined above. The program does not

grant credit for experiential learning or online courses. An evaluated educational plan will be provided after a student is admitted or before a student on a leave resumes studies.

Details

Dissertation Area General Examination Requirements

Students declare their intended dissertation area upon application to the Stevens Doctoral Program. Dissertation areas include: Accounting, Behavioral Science, Econometrics and Statistics, Economics, Finance, Management Science/Operations Management, and Marketing. Students may apply to join the Joint Program in Financial Economics when they apply and at the end of spring quarter of their first year. Students may apply to join the Joint Program in Psychology and Business after securing advisors at both Chicago Booth and the Department of Psychology.

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

Examinations *in Absentia*

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

Examination Results

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

Examinations Not Passed

If a student fails the General Examination or other area requirements, some dissertation areas require that the student withdraw from the program. In other areas, the area faculty decide if the student may continue the program in that area or should be withdrawn from the Program. In some dissertation areas, students get an additional attempt to pass all components of the examination. Please check the relevant section of the Guidebook for exam policy details for a specific dissertation area. Failure to pass the exam at the relevant point for a student's specific dissertation area will result in withdrawal from the Program.

Course Overlap

Generally, courses taken to satisfy the dissertation area requirements cannot be used to satisfy any other PhD course or General Examination requirement; some areas allow certain exceptions.

Support Area General Examination Requirements

A student must successfully complete the General Examination requirement in an area that supports the student's dissertation area as part of the PhD general degree requirements. Support areas include: Behavioral Science, Econometrics and Statistics, Economics, and Management Science/Operations Management. Some dissertation areas have additional support area options.

The General Examination requirements may include completion of specific courses, research papers, research workshops, a written and/or oral examination, and a faculty evaluation of these requirements. The written portion of the General Examination requirements is administered once a year, usually

between June and September. Generally, the support area General Examination requirements should be completed by the end of the first year in the Program (but this varies by dissertation area).

Examinations *in Absentia*

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

Course Overlap

Generally, courses taken to satisfy the support area requirements cannot be used to satisfy any other PhD course or General Examination requirement; some dissertation areas allow some exceptions.

General Examination Timeline

Students must pass one exam by the end of the second year or the first quarter of the third year (in some areas).

Coordinated Sequence

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

Course Overlap

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

Dissertation Area Workshop Requirement

To fulfill this requirement, PhD students must register as a workshop participant **for the workshop required by their dissertation area** during each academic quarter of the student’s second and third years in the Program - a total of 6 quarters. The workshop participant course requirements vary by area. The minimum requirement is that students attend scheduled seminars; some areas take attendance. The workshops are graded on a pass/fail basis by the faculty member in charge of the seminar during the quarter.

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

Curriculum Paper

Students must write an original research paper and present it at a workshop during their third year in the Program. The paper must be completed by the end of the autumn quarter of the student’s third year in the Program. The paper must be approved by two Booth faculty members, generally from the student’s dissertation area. (A student may request permission from the area advisor to have one faculty member from outside the student’s dissertation area; the other faculty member must be from the student’s dissertation area.) If the paper is approved, the student must present it in a workshop by the end of the spring quarter of the student’s third year in the program. Ideally, the curriculum paper is a preliminary work that will eventually become a student’s dissertation. The specific procedures of the Curriculum Paper are below. **Some dissertation areas have additional requirements and earlier deadlines;**

consult the relevant dissertation area requirements and the section of this guidebook on co-authorship (Chapter 5).

- (1) Prior to the end of the **late June deadline** in the second year in the Program, the student must submit a copy of the “Curriculum Paper Topic Approval Form” to the Program Office, signed by two Booth faculty members who approve the topic and agree to serve as readers of the curriculum paper. If, at any point, the student changes the topic, they must get faculty approval for the new topic and submit a new form to the Program Office. Finance students have an earlier deadline for this approval form due to the earlier due date for the finance paper.
- (2) Prior to **the early September deadline**, the student must submit an outline of the curriculum paper and a signed copy of the “Curriculum Paper Outline Approval Form” to the Program Office.
- (3) By early December of the third year, the student must submit a copy of the completed curriculum paper to the Program Office and to the two faculty readers.
- (4) By early January of the third year, the two faculty readers must read the curriculum paper and affirm that it is satisfactory. The student must submit a signed copy of the “Curriculum Paper Evaluation Form.”
- (5) Students are required to present the curriculum paper in a Curriculum Paper Workshop, preferably the workshop of the student’s dissertation area, held during winter or spring quarter. Both faculty readers must be present and sign the “Curriculum Paper Presentation Form” stating that the presentation was acceptable.

Failure to complete the Curriculum Paper requirement, as outlined above, will mean that the student is **not** making satisfactory academic progress in the Doctoral Program, as outlined in Chapter 4.

Candidacy Requirements

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

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

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

Dissertation Proposal

To gain formal approval, the student’s dissertation proposal must be presented at a seminar. At this seminar, open to all PhD students and faculty members, the student has an opportunity to explain, defend, and modify the dissertation proposal. The final decision whether to permit the student to proceed

with the dissertation topic is made by the dissertation committee composed of the dissertation chairperson and at least three other faculty members. The proposal has no prescribed length and expectations can vary by dissertation area; please see the relevant dissertation area for additional requirements, if any.

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

Dissertation Defense

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

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

Faculty Changes

If a Chicago Booth faculty member leaves Chicago Booth for another institution/organization, students may generally retain that faculty member as their committee chair/member if they wish (see Chapter 6 for more details). If students need assistance in the wake of a faculty departure, they should reach out to their area advisor and/or the Stevens Doctoral Program Office.

CHAPTER 3 – GENERAL EXAMINATION REQUIREMENTS BY AREA

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

Accounting

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

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

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

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

Accounting as a Dissertation Area:

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

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

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

B30900: Foundations of Accounting Research (offered every year)

B30901: Economic Modeling of Accounting Issues (offered in 22-23)

B30905: Corporate Social Responsibility and Policy Assessment (offered in 22-23)

B30903: Topics in Empirical Accounting Research, taken in year 2 or 3 only

B30906: Contracting on Accounting Information

B30908: Accounting for private entities and non-investor stakeholders

(See grid below for sequence of courses.)

B. Prerequisite or concurrent registration course requirements. Students must enroll in all of the following prerequisite courses, earning an average grade of “B” (3.0) or higher: B30901: E30100, E30200, and B33911 or B33914 or E30300*

*Students planning to take B34903 (Corporate Finance I) in their second year should note that the prerequisite for B34903 is E30100, E30200 and either B33911 or B33914 or E30300.

C. Research seminar course requirement. Students are required to take this sequence in the third year; it is optional in the fourth year.

B30930, B30931, and B30932 (Research Seminar in Accounting). Graded Pass/Fail; a student must pass all three quarters to pass the course

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

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

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

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

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

Accounting PhD course sequence:

	Student starts in Year A (2022/23)	Student starts in Year B (2023/24)
Year 1:		
Autumn	B30900	B30900
Winter	B30905	B30906
Spring	B30901	B30908
Year 2:		
Autumn	B30903	No PhD accounting class
Winter	B30906	B30905
Spring	B30908	B30901
Year 3:		
Autumn	B30930: Research Seminar in Accounting	B30930: Research Seminar in Accounting and B30903
Winter	B30931: Research Seminar in Accounting	B30931: Research Seminar in Accounting
Spring	B30932: Research Seminar in Accounting	B30932: Research Seminar in Accounting
Year 4 (optional):		
Autumn	B30930: Research Seminar in Accounting	B30903: Research Seminar in Accounting
Winter	B30931: Research Seminar in Accounting	B30931: Research Seminar in Accounting
Spring	B30932: Research Seminar in Accounting	B30932: Research Seminar in Accounting

Five year course schedule (example)

Here is an example of a five year course schedule for a PhD student writing a dissertation in accounting and taking economics as a support area and econometrics/statistics as a coordinated sequence for students entering in Autumn 2022. Students with other interests will take different schedules.

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting	B30900	B30905	B30901	Summer paper
Economics/Price Theory	E30100	E30200	E30300	
Finance	B35XXX	B35210	B35908	
Econometrics/Statistics	B41901	B41902	B41903	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting	B30903	B30906	B309XX	Curriculum Paper, Written General Exam
Economics	B33914 B33921	E3xxxx		
Finance	B34903	B34904		

Econometrics/Statistics			B4191x	
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B30600	B30600	B30600	

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting	B30930	B30931	B30932	
Specialized Courses (as needed)	XXX	XXX	XXX	
Area Workshop	B30600	B30600	B30600	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Years 4 and 5 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Accounting (optional)	B30930	B30931	B30932	
Dissertation	Propose	Continue	Continue	Complete
Attend Area Workshop				

Teaching Assistantship Policy

Students are not allowed to TA more than 5 sections in an academic year. Students may petition the accounting area advisors to request a waiver for this limit.

Students may not TA through spring quarter of their first year. To TA in summer quarter of their first year and/or in their second year, students must receive permission from the area advisors and turn in the Permission to TA in Year Two form, with an area advisor’s signature, to the Program office.

Accounting as a Coordinated Sequence:

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

Behavioral Science

Behavioral Science involves research on how people make judgments and decisions, and how they interact with one another in dyads, groups, organizations, and networks. The foundation of the Program is on three behavioral science disciplines: traditional Judgment and Decision Making, Social Psychology, and Behavioral Economics. Research draws on theory and methods from cognitive and social psychology, economics, neuroscience, the policy sciences, and other related fields. Behavioral Science applies these disciplines to study human behavior in a wide range of managerial and organizational contexts. Examples include cognitive processes of judgment and decision making; motivation and self-control; psychological aspects of economic behavior; learning, reasoning, and problem solving by individuals, teams, groups, and organizations; processes of negotiation; power and influence; and organizational and cultural influences on decision making. Students focus their studies on the subset of research topics that best fit their interests and career goals. Studies in Behavioral Science can be paired with studies in Marketing for a focus on consumer behavior, with Organizations & Markets for a focus on organizational structures and processes, with Economics or Finance for a focus on economic behavior, and with many other scholarly fields. In addition to courses offered at Chicago Booth, students take courses in Psychology, Economics, Sociology, Public Policy, and other University departments.

Students select a faculty member from the program as an advisor at the start of their studies. Although the advisor may change, most student research is collaborative with faculty members.

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

Behavioral Science as a Dissertation Area:

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

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

- A. Three Foundational Seminars: Behavioral Economics (B38912 or B38915 or B38916 or B38918 or 38120), Foundations of Judgment and Decision Making (B38913), Foundations of Social Psychology (B38914). (Note: 38120 is offered for students with limited background in economics.)
- B. Three Topical Proseminars: Current Topics in Behavioral Science I, II, III (B38901, B38902, and B38903)
- C. Two introductory courses in statistics. Usually B41901 and B41902, but others can be taken with permission. B41901 and B41902 may also count towards fulfillment of the Support Area requirements.
- D. A minimum of two courses in research methods including:
 - At least one in experimental research methods (the courses below are good examples): Behavioral Science Research Methods in Marketing (B37907); Design and Analysis of Experiments (Stat 34500); Experimental Design I & II (Psych 37300, Psych 37900, both courses must be taken to satisfy the requirement); Experimental Economics (Econ 21800); Introduction to Causal Inference (Stat 31900); Social Experiments: Design and Generalization (PPHA 44900); Statistical Methods of Research I & II (Soc 30004 and 30005, both courses must be taken).

- At least one in non-experimental research methods (the courses below are good examples): Behavioral Science Research Methods in Marketing (B37907); Statistical Methods of Research I & II (Soc 30004 and 30005, both courses must be taken); Questionnaire Design (Psych 38600); Survey Research Overview (Soc 30118); Survey Research Methodology (PPHA 41600); Survey Questionnaire Design (PPHA 41800); Big Data (B41201); Applications of Machine Learning to the Empirical Sciences (B32901).
- Note that some courses are listed as examples that can fulfill either requirement because they cover both experimental and non-experimental methods.

2) Successful completion of the First-year Summer Paper no later than the beginning of the Autumn Quarter of the second year. Students should make an oral presentation of the Summer Paper at a Brown Bag research lunch during the Autumn Quarter.

3) Pass the Behavioral Science Written PhD Qualifying Exam. Students must take the exam at the end of their second year in the program. The exam is composed of a written test and the submission of a short research report (a good model for the format and scope of this report is a *Psychological Science* article). Details of the exam are available by request from the Behavioral Science Area Advisor.

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

5) Curriculum Paper. By the beginning of Autumn Quarter of the third year, students must submit a written paper (typically a research/theory review plus an experiment or two, usually in the subject area of the dissertation research and often an extension of the PhD Qualifying Exam ‘Empirical Paper’). Students must make an oral presentation of the curriculum paper material in a research lunch or Workshop forum during the Autumn Quarter of the third year. After the curriculum paper and oral presentation have been reviewed, the Behavioral Science faculty will evaluate the student’s overall performance to decide if the student has successfully completed the General Examination requirements in Behavioral Science.

6) Written Dissertation Proposal. Sometime during the fourth or fifth year, students form their dissertation committee and present and pass their dissertation proposal.

7) Dissertation. Before the end of the fifth (or sixth) year, submit the written dissertation and pass an oral examination on the dissertation (dissertation defense).

The Behavioral Science course requirements include the following policies:

(a) During the first two years of study, a student will usually enroll in a minimum of 3 PhD courses (excluding workshops) each quarter, until his/her course requirements are fulfilled. This minimum is required to obtain financial support. Students who have a good reason to waive this requirement must obtain written permission from the Behavioral Science Area Advisor at the start of each quarter in which they propose to enroll in fewer than 3 courses (unless they have completed all course requirements).

(b) Students must retake any course in which they receive a grade below B–.

Teaching Assistantship Policy

1. Students in the first and second years are not allowed to TA. This is a Booth policy that can be overridden under certain, unusual circumstances (by the area advisor and the Doctoral Program faculty director in year one and by the area advisor in year two).

2. Students in the third year and above (until the year they are on the job market) are expected to TA between 2 to 3 sections a year. This expectation can be relaxed under certain circumstances (by a student's primary advisor and the area advisor).
3. Students are not allowed to TA more than 5 sections in an academic year. Students may petition the Stevens Doctoral Program Faculty Director to request a waiver for this limit.

Psychology as a Support Area for Behavioral Science students.

Students may elect to complete the Support Area requirement in the field of Psychology (instead of the Chicago Booth areas of Economics, Econometrics and Statistics, Management Science/Operations Management, or Organizations and Markets). To complete this requirement in Psychology, students must first complete most of the "Common Graduate Curriculum" coursework requirements in Psychology (all to be passed with grades of B- or higher) (n.b., Students do not have to complete the "Trial Research Seminar" or the "Proseminar" requirements of the Graduate Psychology curriculum):

- 1) Statistics Requirement (which will also "double count" with Behavioral Science requirements)
 - A. "Statistics 220 or Bus 41000 or equivalent" can be fulfilled by the two "introductory courses in statistics requirement [1C]
 - B. "Psychology 37300: Experimental Design I" and "Psychology 37900: Experimental Design II" can be fulfilled by the "at least one [course] in experimental research methods requirement [1Di])
- 2) Breadth Requirement: Three doctoral level courses in Psychology, extending across different areas of psychological science.
- 3) Elective Requirement: Two additional PhD level courses in any area of Psychology that fit the student's study plan.

Policy & Intervention as a Support Area for Behavioral Science students.

Students may elect to complete the Support Area requirement with a specialization in Behavioral Policy and Intervention. This Support Area is designed for students who want to pursue behavioral science careers (in universities, as well as in private or public sector organizations) involving social experimentation, program evaluation, "nudge interventions", and related research in naturally-occurring settings. Students who choose this Support Area are expected to complete research projects for the basic PhD requirements that support and develop this interest. (The Behavioral Science Program will provide connections and resources to allow students to complete the First Year Research Project and Dissertation research in field settings.) In addition, students must complete at least five of the courses indicated below (all to be passed with grades of B- or higher; completing this Support Area exempts students from the Non-experimental Methods requirement):

- 1) Two methods or statistics courses that have been approved by the Behavioral Science faculty as providing skills useful in implementing and evaluating interventions in the field. These courses may not be "double-counted" as fulfilling other Behavioral Science "major" requirements. There are many possibilities, and the student should consult with the Behavioral Science Area Advisor to determine good choices. Some examples include (all Harris School unless otherwise indicated): Program Evaluation, Social Experiments: Design and Generalization, Cost Benefit Analysis, Survey Research Methodology and Analysis, Survey Questionnaire Design, Measuring Public Value, Text Mining in Public Policy, and others.
- 2) Three substantive courses approved by the Behavioral Science faculty that illuminate or support research and modeling relevant to social interventions, for example (Harris School unless otherwise indicated): Field Experiments in Economics (Economics - List), Experimental Behavioral Science in Field Settings (Booth), Poverty Inequality and Government Policy, Poverty and Social Welfare Policy, Crime Policy, and others.

Behavioral Science as a Support Area:

The following are required for Behavioral Science as a support area:

- A. B38901, B38902, B38903, B38912, B38913, B38914, B38915 – any 3 from Current Topics in Behavioral Science I, II, III; Behavioral Economics, Foundations of Judgment and Decision Making, Foundations of Social Psychology, Topics in Behavioral Economics.
- B. Two courses in statistics. Usually B41901 and B41902, but others can be taken with permission. It is acceptable for B41901 and B41902 also to count toward fulfillment of other requirements.
- C. Two courses in research methods including:
 - One in experimental design
This requirement can be satisfied by one of the following (or by an alternative approved by the Behavioral Science Area Advisor):
 - Design and Analysis of Experiments – Stat 34500
 - Experimental Design I – Psych 37300
 - Experimental Design II – Psych 37900
 - Behavioral Science Research Methods in Marketing (B37907)
 - One in non-experimental research methods
This requirement can be satisfied by one of the following (or by an alternative approved by the Behavioral Science Area Advisor):
 - Statistical Methods of Research I & II – Soc 30004 and 30005 (in this case, both courses must be taken to satisfy the requirement)
 - Questionnaire Design – Psych 38600
 - Survey Research Overview – Soc 30118
 - Survey Research Methodology – PPHA 41600
 - Survey Questionnaire Design – PPHA 41800
 - Big Data - B41201
 - Applications of Machine Learning to the Empirical Sciences - B32901.
- D. The Behavioral Sciences exam. This may be taken in the third year instead of the second if preferred and if the dissertation area allows it.

Behavioral Science as a Coordinated Sequence:

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

Joint PhD Degree in Psychology and Business

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

Econometrics & Statistics

The Econometrics & Statistics (E&S) PhD program integrates a comprehensive program of course work in Econometrics, Statistics and Machine Learning, with extensive collaborative research.

Econometrics is concerned with the combination of economic, mathematical, and computing strategies in the analysis of economic and business problems such as forecasting, demand and cost analyses, model building, and testing empirical implications of theories.

Statistics is concerned with data-driven solutions to inferential questions including decision theory, uncertainty quantification and model building/selection.

Machine learning is concerned with algorithm-driven information retrieval from data with a focus on pattern recognition and prediction.

The chief goal of our Program is to provide a rigorous academic training in the science of learning from data drawing from the three disciplines above. The Program is designed for students who *wish to pursue an (academic) research career* in econometrics, statistics or other data-rich academic disciplines, and who are motivated by modern applications (including but not limited to economics and business).

Our PhD students are able to design their own *individual program* of study by combining courses in specific areas of business, such as economics, informational science, finance, accounting, management, marketing, or international business with advanced courses in statistical and machine learning methods. In addition, students can choose from core and elective courses from our partner departments at the University of Chicago (Department of Statistics and Kenneth C. Griffin Department of Economics) as well as the Institute for Data, Econometrics, Algorithms and Learning (IDEAL) which brings together several partnering universities (UIC, NU, TTIC, UC and IIT).

Econometrics & Statistics as a Dissertation Area:

Choosing an Advisor

PhD students are encouraged to get involved in research from the very beginning. Entering PhD students will be paired with faculty advisors based on mutual research interests. New students' research interests are determined by information provided by applicants in their statement of purpose. Students are given the option of requesting a particular faculty advisor as well as an option to change advisors if their interests evolve over time. Our PhD students often receive substantial guidance from other faculty (not just their primary advisor).

By the end of the autumn quarter in the second year, students must notify the PhD area advisor of their primary dissertation advisor. Students who have difficulty in identifying appropriate advisor/s should consult with the PhD area advisor. Students who wish to have an advisor who is not a faculty member of the E&S group should request the approval of the PhD coordinator.

Dissertation

Students are expected to take initiative in seeking out a dissertation topic. The primary advisor takes the main responsibility for supervising the students' work. The PhD dissertation should consist of innovative high-quality methodology/theory research or a substantive data analysis with innovative conclusions. The work should be publishable in refereed journals. The goal is for the majority of students to complete and defend their thesis by the end of their 5th year.

Chicago Booth Workshops and Student Seminars

In addition to formal coursework, students are expected to participate in the informal intellectual life at Booth and, more broadly, the University of Chicago. At the very minimum, students are expected to attend the Booth (E&S) colloquia and the monthly Student Seminar where students present their own research progress (towards a successful completion of their curriculum paper). In addition, students are given the chance to suggest E&S colloquium speakers or to vote to invite one "student-selected" speaker

each year. Students are also welcome to sign-up to meet with the E&S colloquium speakers, individually or as a group depending on the time availability.

Besides the E&S workshop, students are encouraged to participate in other workshops at Booth as well as several seminar series offered at the Statistics Department, Kenneth C. Griffin Department of Economics, Committee on Quantitative Methods in Social, Behavioral and Health Sciences, Toyota Technological Institute at Chicago. Beyond seminar participation, E&S students have various opportunities to engage in the lively data-science community at the University of Chicago, including the Center for Applied Artificial Intelligence at Booth as well as the Data Science Institute. The level of involvement can range from participation in reading groups or lab meetings to research discussions, collaboration and co-authorship. The E&S students will also have an opportunity to connect with Booth faculty (outside) the E&S area through a consulting program for faculty who seek support with their data analyses.

Teaching Assistantship Policy

The E&S group considers teaching (TA) experience to be an important educational component of the Doctoral program. All PhD candidates are normally required to teach and/or to work as research assistants beginning in their third year. Students are allowed to TA in their first and second year after an approval from the PhD area advisor and the Program Office (first year). However, students are not allowed to TA more than 5 sections in an academic year. Students may petition the Econometrics and Statistics advisor to request a waiver for this limit but even if granted, still must adhere to the University limits.

Travel Support

Disseminating research at conferences is an essential part of PhD experience. Conference participation for students is encouraged and can be supported by funds from their advisor and/or the Stevens Doctoral Program Office provided that the trip has been approved in advance and approved by the advisor/faculty member. The travel support is up to \$1500/academic year, depending on whether the student is presenting or not (if they are only attending, the support is up to \$650/conference, if presenting up to \$1,500). The \$1,500 allowance can be split across more than one conference/expense.

Requirements

For students writing a *dissertation* in Econometrics & Statistics, the Examination requirements are described below.

(1) Core Econometrics/Statistics Courses:

Students are required to successfully complete *6 core courses* in the Econometrics & Statistics areas. These courses can be chosen as a coordinated sequence (more below) from offerings at Booth, the Statistics Department or the Economics Department.

A “B” (3.0) or higher grade point average must be achieved. If a student takes a course more than once, the highest grade will be used to calculate the grade point average.

Below are course offerings for 2022-23:

E&S Courses at Booth

- B41901 – Probability and Statistics
- B41902 – Statistical Inference
- B41903 – Applied Econometrics
- B41910 – Time Series Analysis for Forecasting and Model Building
- B41914 – Multivariate Time Series Analysis
- B41916 – Bayes, AI and Deep Learning
- B41917 – Causal Machine Learning

Students might want to substitute some of these core courses for offerings outside Booth. Some examples are provided below.

Core Sequence at the Kenneth C. Griffin Department of Economics

- E31000 – Empirical Analysis I
- E31100 – Empirical Analysis II
- E31200 – Empirical Analysis III

Core Sequences at the Statistics Department

- Mathematical statistics sequence (STAT 30400, 30100, 30210)
- Applied statistics sequence (STAT 34300, 34700, 34800 and 34900)

(2) First-year Summer Paper:

Students are required to complete a first-year summer paper no later than the *beginning of the autumn quarter* of the second year. This paper can be an extensive literature review with innovative insights, a careful data analysis report or a short theory/methods research contribution which can be further extended to fulfill the requirement (4) below. This paper is an opportunity for students to practice their academic writing and to create a basis for their dissertation.

(3) Elective Courses:

Students must take a minimum of *3 additional PhD courses* of their choosing (related to their dissertation area!) to fulfill the course requirements for Econometrics and Statistics; these courses also fulfill the coordinated sequence requirement for the Program. Students may want to consult their primary advisor or the PhD area advisor when choosing these courses. This minimum is generally required to obtain full financial support. Students have traditionally benefitted from rich E&S elective course offerings on the University of Chicago campus. The University of Chicago is now partnering with other universities through the IDEAL institute which offers a variety of machine learning and data science courses. Graduate students at Booth can request to take these courses and, if approved by the PhD area advisor, receive credit at their home institution (or simply audit these courses). More information about the IDEAL course offerings can be obtained from the PhD area advisor.

Though taking the 9 Econometrics and Statistics courses (6 core and 3 elective) is a minimum requirement, a student will generally enroll in a *minimum of 3 courses* each quarter (fall, winter and spring) in their first two years of study in order to complete the dissertation area and support area requirements by the end of year two. First-year students may want to prioritize the core courses before taking electives. Students in their second year, or later, may include workshops as well as MBA courses (if relevant to their PhD curriculum and/or all PhD course requirements are complete) in the ‘three-course-per-quarter’ workload.

A minimum grade of B- (2.7) is required in all courses. Students must automatically retake any course in which they receive a grade of C+ or below.

Below is a sample program sequence of a four/five year course schedule for a PhD student writing a dissertation in Econometrics and Statistics, with *economics as a support area*, and *finance as an application area*:

Year 1 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Econometrics/Statistics	B41901 or Stat 30400	B41902 or Stat 30100, Stat 30210	B41914, B41903	First year summer paper
Price Theory	E30100	E30200	E30300	
Specialized courses/ Electives/Support Area	XXX	XXX	XXX	

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Econometrics/Statistics	E31000	E31100	E31200	Curriculum Paper
Finance	B34901	B34902	B34903	
Electives/Support Area	XXX	XXX	XXX	

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Electives	XXX	XXX	XXX	
Area Workshop	B41600	B41600	B41600	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Year 4 in the Program (and Year 5, if needed):

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Dissertation	Propose	Continue	Continue	Complete

(4) Curriculum Paper:

A successful completion of a research paper in Econometrics and Statistics is required for students to graduate. The paper should be completed by the *second week of the autumn quarter of the third year*.

The paper will be evaluated by at least two Econometrics and Statistics faculty members with a pass or fail grade, and feedback will be given to the student. Normally, the student has only one chance to pass this requirement. If the student successfully passes the research paper, they may revise it, according to the feedback received and expand on the results. All modifications to the paper should be completed by the end of the autumn quarter. The curriculum paper should be presented in a Student Seminar during the winter quarter in the third year. The presentation will be evaluated by faculty with a pass or fail grade. The research paper is intended to form a basis of a dissertation and can be a continuation of the First-year Summer Paper.

The curriculum paper (and its presentation) is essential in determining whether the students' academic process has been sufficient to obtain full financial support and to continue in the program.

Intermediate progress on the curriculum paper can be shared with faculty and fellow students in the monthly Student Seminar series.

(5) Dissertation Completion:

The dissertation proposal and defense should follow the general Booth guidelines. The E&S expectations for the doctoral thesis were described earlier.

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

Econometrics & Statistics as a Support Area:

Empirical work has always been an important part of the research effort at Chicago Booth in all fields of study.

Econometrics and Statistics courses are essential for students to acquire quantitative skills necessary to perform high-quality applied research in data-rich disciplines.

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

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

- B41901 – Probability and Statistics
- B41902 – Statistical Inference
- B41903 – Applied Econometrics
- B41910 – Time Series Analysis for Forecasting and Model Building
- B41914 – Multivariate Time Series Analysis
- B41916 – Bayes, AI and Deep Learning
- B41917 – Causal Machine Learning
- B41201 – Big Data
- B41204 – Machine Learning
- B41206 – Decoding Fintech

Econometrics & Statistics as a Coordinated Sequence:

The following Econometrics and Statistics courses can be taken to fulfill the coordinated sequence requirement for those dissertation areas with such a requirement: any three of B41901, B41902, B41903, B41910, or B41914. The MBA courses B41201, B41204 and B41206 may also be used to fulfill the sequence. No workshop courses at Chicago Booth or the University (e.g., Statistics 49400) can be used to fulfill the coordinated sequence requirement.

Economics

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

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

Economics as a Dissertation Area:

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

Year One:

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

- **Microeconomics** (3 courses): E30100 – Price Theory I, E30200 – Price Theory II, E30300 – Price Theory III
- **Macroeconomics**: (2 courses): E33000 – Theory of Income I, E33100 – Theory of Income II
- **Quantitative Analysis** (3 courses): E31000 – Empirical Analysis I, E31100 – Empirical Analysis II, E31200 – Empirical Analysis III

Pass the Economics Core Examinations in Microeconomics and Quantitative Analysis. Students take the Economics Core Examinations in Microeconomics and Quantitative Analysis. If a student does not pass one or both exams, faculty will complete a holistic review of the student prior to the start of the second year, including reviewing course work and grades. The microeconomics faculty at Booth will determine if a student passes the examination requirement based on this review via affirmative vote. If a student does not pass via faculty review, they must retake courses and the core exam(s) (in the area(s) they did not pass) in the second year, as outlined by the faculty. If a student does not pass on the second attempt, the faculty will complete a holistic review of the student, reviewing course work and grades, participation in workshops, and the student’s research record at Booth. This review will take place before the start of the third year (after the core exam results are available). An affirmative vote from the faculty is required for the student to pass the examination requirement via faculty review. If a student does not pass the examination requirement via passing the exams or via faculty review before the start of the third year, they must withdraw from the Program.

Year Two:

Complete nine PhD level courses in economics. Students may request approval from the Area Advisor for PhD level courses related to economics that are not explicitly listed as such (either through the Economics Department or Booth).

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

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

- **Econometrics & Statistics:** Refer to the Econometrics/Statistics General Exam requirements. Courses taken to fulfill the first year Economics core requirements cannot be used to satisfy the Econometrics/Statistics General Exam requirements. Alternate E&S field: see the Department of Economics Program Guidebook for as sequence in the Department of Economics.
- **Financial Economics:** Two asset pricing and two corporate finance courses, subject to the approval of the area advisor
- **Industrial Organization:** B33921, B33922, and B33923 – Advanced Industrial Organization I, II, III. When IO III is not offered, students may have their choice of an additional related topic course to complete the sequence, subject to Area Advisor approval. B33915 is automatically approved to complete the sequence GPA certification.
- **Economic Theory:** Three courses from: B33914 Topics in Information Economics, B33915 Market Design, E30501 Topics in Theoretical Economics, and E30502 Topics in Theoretical Economics II. GPA certification.
- **Labor Economics:** See the Department of Economics Program Guidebook.
- **Behavioral Economics:** B38916 Behavioral Economics- Development & Observational Data, E41120 Topics in Behavioral Economics, and B38918 Behavioral Economics- Theory & the Lab. GPA certification.
- **Development Economics:** See the Department of Economics Program Guidebook.
- **Environmental/Energy Economics:** See the Department of Economics Program Guidebook.
- **Public Economics:** See the Department of Economics Program Guidebook.
- **Other fields by permission:** Students occasionally will wish to construct fields of study not explicitly on this list. This requires approval of the Area Advisor. The principle for approving fields is whether they would be recognizably a field of economics to the rest of the economics profession. Students should describe the specific courses they wish to take and provide a brief rationale and request permission by email. Approved ad hoc fields in recent years have included Applied Econometrics and Household Finance.

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

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

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

Summer Paper

Successful completion of first year summer paper no later than the beginning of the autumn quarter of the second year. If a student must retake the core exams and the Department of Economics is holding retakes in August/September of the same calendar year as the original exams, the student is still expected to complete the summer paper, but may turn it in no later than January of the next year.

Curriculum Paper

Students are expected to turn in a final curriculum paper by the end of the spring quarter of their third year; this is a hard deadline. Students present the paper to the faculty in the spring quarter of the third year. Please refer to Chapter 2 for curriculum paper requirements and details.

Microeconomics Reading and Research Seminar in the Third/Fourth Years

In year three of the program, a three-course sequence, B33903/B33904/B33905, is generally

required. Students who are taking other reading courses may opt out with permission. This course is open to fourth year students, though not required.

Workshops and Talks

1. First year students are required to attend the Applied Economics Workshop (B33610) beginning autumn quarter of their first year and continuing through their time in the program. Note that the workshop sometimes conflicts with required first and second year classes. If this occurs, students are expected to attend their required classes. Students must register (in iBid) for at least six quarter the workshop, receiving a grade of Pass.
2. Students are required to attend all micro group job market talks in winter quarter. Again, classes take priority when there is a conflict.
3. Students are strongly encouraged to attend the Thursday work-in-progress lunch (usually fall and spring quarters).
4. Students are strongly encouraged to attend the Student Research in Economics Seminar (SRES).

While missing an occasional seminar is fine, it is the general expectation that students will attend the micro group's external seminars (1 and 2) and internal workshops (3 and 4) as doing so is crucial for maintaining connectivity to the program and the Booth microeconomics community.

Here is an example of a five-six year course schedule for a PhD student writing a dissertation in economics:

Year 1 in the Program:

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

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Field Specialization I	XXX	XXX	XXX	
Field Specialization II	XXX	XXX	XXX	
Other Courses	XXX	XXX	XXX	
Area Workshop	B33610	B33610	B33610	
Curriculum Paper				Begin

Teaching Assistantship Policy

Students are not allowed to TA more than 5 sections in an academic year (beginning in year 3, when students are allowed to TA). Students may petition the Economics Area Advisor to request a waiver for this limit. The Economics faculty strongly discourages TAing more than 3 sections in an academic year.

Economics as a Support Area:

For students who take economics as a support area (a basic discipline), the General Examination requirement is the completion of six of the courses listed below with a minimum grade point average of

“B-”. At least two of the six courses must be in Microeconomics. At least one course must be chosen from each of Macroeconomics and Empirical Analysis. If a student takes a course more than once, the highest grade will be used to calculate the grade point average. No written General Examination is required.

- **Microeconomics:** At least 2 courses from: E30100, E30200, E30300 – Price Theory I, II, III; B33101 – Advanced Micro Analysis.
- **Macroeconomics:** At least 1 course from: E33000, E33100, E33200 – Theory of Income I, II, III. Students writing dissertations in Accounting, Marketing, Behavioral Science, or MS/OM may substitute one additional Microeconomics course with a theoretical component in lieu of the Macroeconomics requirement. This may be Price Theory III, Topics in Information Economics, Market Design or another course by permission of the Area Advisor. In years when it is offered, students in these areas may also substitute B33949 in empirical macroeconomics.
- **Empirical Analysis:** At least 1 course from: E31000, E31100, E31200 – Empirical Analysis I, II, III; B41901 – Probability and Statistics, B41902 – Statistical Inference, B41903 – Applied Econometrics; or other, more advanced, statistics or econometrics courses such as B41910 – Time Series Analysis for Forecasting & Model Bldg., etc.
- **Additional Courses:** In addition to the four courses required above, students must take two courses. These can be any of the courses mentioned above (subject to the stated constraints) or any other PhD-level economics courses at Booth or in the Department of Economics.

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

Course overlap: Courses used to satisfy other PhD area requirements may not be double-counted as Economics support area courses. That is, students must choose 6 courses from the list above and beyond what they take to satisfy other requirements. If a student must take some of the above courses as part of their dissertation area requirements, so long as they meet the micro, macro and empirical analysis requirements through their dissertation area, they can substitute additional PhD-level economics courses to meet the 6 course support area requirement (they do not have to take/retake additional micro, macro, EA courses once they have met the requirements).

Economics as a Coordinated Sequence:

The following economics courses may be taken to satisfy the coordinated sequence requirement: any three of E30100, E30200, E30300, E33000, E33100, E33200, B33914. Industrial Organization is also an approved sequence: B33921, B33922, and B33923 (B33915 can serve as a substitute for B33923 when it is not offered).

Finance

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

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

Finance as a Dissertation Area

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

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

- The following four required classes: B34901 – Asset Pricing I; B34902 – Asset Pricing II; B34903 – Corporate Finance I; B34904 – Corporate Finance II.
- At least two electives from this list:
 - B34905 – Asset Pricing III
 - B34906 – Corporate Finance III
 - B35901 – Portfolio Choice and Asset Pricing: Theory and Applications
 - B35906 – Behavioral Finance
 - B35907 – Topics in Asset Pricing
 - B35908 – Research Projects
 - B35910 – Asset Pricing and Macroeconomics
 - B35913 – Advanced Theory of Corporate Finance and Capital Markets
 - B35915 – International Macroeconomics and Finance
 - B35916 – New Developments in Public Finance
 - B35132 – Advanced Models of Option Pricing and Credit Risk
 - B33911 – Economics of Information
 - B33915 – Market Design
 - B33948 – Financial Markets in the Macroeconomy
 - B33949 – Applied Economics: Heterogeneity and Macro
 - Econ 35340 – Macroeconomics and Financial Frictions
 - Econ 33580-- Risk, Uncertainty and Value: Prices, Quantities and Policies
 - Public Finance I (ECON 36000)

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

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

2) Successful completion of the support area and coordinated sequence requirement. Between support area and coordinated sequence, students must have successfully taken the following courses with a minimum average grade of B (3.00):

- Microeconomics: At least 2 Price Theory courses (Econ 30100, 30200, 30300)*
- Macroeconomics: At least 2 Theory of Income courses (Econ 33000, 33100, 33200)
- Statistics/Econometrics: At least 2 Empirical Analysis courses (Econ 31000, 31100, 31200) or Econometrics and Statistics courses from Booth (B41901, B41902, B41903 or more advanced)

*While you only need to take 2 Price Theory courses to fulfill this requirement, all three Price Theory courses are a prerequisite for B34903.

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

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

Students will present their paper in front of a small group of finance faculty, typically scheduled at the end of September or early October. This presentation serves the purpose of an "oral exam." The small group of faculty members will submit a review report for each student.

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

Papers co-authored with faculty members or students (at Chicago or elsewhere), or where co-authorship is anticipated, may not be used to satisfy the second-year paper requirement.

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

4) Successful completion of the Finance research requirement:

a) Students are required to register for the Finance Workshop, B35600, for a grade of Pass/Fail each quarter that it is offered for six quarters, generally during their third and fourth years (second year if there are no course conflicts) in the Program. Attendance at least 70% of the workshops is required to obtain a grade of Pass. Attendance is taken by Program Office staff.

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

c) Students will need to complete at least three papers, and at least one of them must be solo-authored. At least one solo-authored paper must be part of the dissertation. Coauthored papers, if any, are encouraged to be joint with other PhD students, and the same coauthored paper can be used by all fellow-student coauthors to fulfill this requirement. The student's dissertation chair will confirm with the Program Office when this requirement is fulfilled. See Chapter 5 ("Co-Authorship") for more information on co-authorship.

Research Seminars in Third Year

In year three of the program, a three-course sequence, B35930/B35931/B35932, is offered. The course is led by at least two faculty members in the finance area. This course encourages students to progress in their research during year three; research presentations are required. These courses are required for all Finance and Joint Program students, unless permission is granted from the area advisor.

Teaching Assistantship Policy

Students are not allowed to TA more than 5 sections in an academic year (beginning in year 3, when students are allowed to TA). Students may petition the Finance Area Advisor to request a waiver for this limit.

Optional First Year Summer Paper in Finance

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

- (1) Original Research: Submit an original paper to the Program Office by the end of September of the first year. If the paper is an extension of one written for a course, the extension must be substantial and the original paper must be submitted with the CRSP research paper. The Finance faculty will evaluate these papers and provide feedback.
- (2) Junior Co-authorship: Work as a junior co-author with a Finance faculty member. The student must be signed on as a junior co-author by a faculty member before the summer quarter of the student's first year in the Program. (See Chapter 8 of this *Guidebook* for details about co-authorship.)

The requirements and procedures are as follows:

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

Sample Five year Course Schedule

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

Year 1 in the Program:

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

Year 2 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Finance	B35901	B34902	Elective	
Finance	B34901	B34904	Elective	
	B34903	Elective	Elective	
Area Workshop	B35600	B35600	B35600	
2 nd year/Curriculum Paper			Begin	Complete

Year 3 in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Third-Year Research Seminar	B35930	B35931	B35932	
Area Workshop	B35600	B35600	B35600	
Curriculum Paper	Complete	Present		
Dissertation		Begin	Continue	Continue

Years 4, 5 (and possibly 6) in the Program:

<i>Description</i>	<i>Autumn</i>	<i>Winter</i>	<i>Spring</i>	<i>Summer</i>
Dissertation Year 4	Continue	Continue	Continue	Continue
Dissertation Year 5 (6)	Propose	Continue	Complete	

Finance as a Support Area:

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

Finance as a Coordinated Sequence:

The following Finance courses can be taken to fulfill the coordinated sequence requirement: any three of B34901, B34902, B34903, B34904, B34905, B34906, B35901, B35905, B35906, B35907, B35908, B35910, B35913, B35915, B35916, and B35132.

Joint Program in Financial Economics

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

Management Science/Operations Management (November 2023)

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

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

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

Management Science as a Dissertation Area:

Prerequisites:

A student entering the PhD Program in Management Science/Operations Management should be proficient at the level of the following courses, or enroll (for a letter grade) in the following courses at the start of his/her program. The prerequisites do not count as the doctoral-level coursework requirements described below.

1. Math 20300 – Analysis I
2. Math 25000 – Elementary Linear Algebra
3. Stat 25100 – Intro to Mathematical Probability
4. CMSC 15100 and 15200 (Introduction to Computer Science 1 and 2)

Students who lack these prerequisites will be required to take equivalent courses at UChicago subject to approval of the area advisor.

Below is a list of the program milestones focused on research, followed by the required coursework, followed by example student paths through the program.

Program Research Milestones:

From the start of the program, a student should be reaching out to faculty and securing a primary advisor and committee members. A student is welcome to work with multiple faculty on their research papers or to write a solo paper. However, generally, a student will want to have one faculty member with responsibility for overseeing their progress. Students are encouraged to seek guidance from all faculty members.

The following are the program milestones.

Year	Milestone	Description	Evaluation/Contingency

1	Qualification exam	The qualification exam is a collection of exams based on the Operations core courses listed below, generally taken the second Friday after the end of the Spring Quarter of the first year.	If a student fails the qualification exam, then the student will be given a retake exam at the end of the summer quarter of their first year. <u>If the student fails the exam again, the student will be asked to leave the program.</u>
2	First-year paper & presentation	By the first day of the Fall quarter in the second year , the student should, under the guidance of the faculty member(s) they are working with, have produced a preliminary research paper (first-year paper). The research paper, although preliminary, should show knowledge of relevant literature, state a clear research question, goals/conjectures, and provide direction towards the eventual completion of the research paper.	The student and the mentor(s) prepare a document describing the next steps in the research program. This document is submitted to the Ph.D. program office. The student is asked to present the progress in the spring quarter of their second year.
3	Curriculum paper and presentation/exam.	By the first day of the fall quarter of the third year , the student should have completed their curriculum paper. The curriculum paper should be of enough substance to be submittable to a top journal. The completion of the curriculum paper should be approved by the faculty member(s) the student is working with. In the fall quarter of the third year, the student should present their curriculum paper. To pass this milestone, after the presentation, the student is required to receive paper and presentation approval from at least three faculty: a faculty member as the main advisor and two other faculty	If the curriculum paper presentation is not passed and/or the student is not able to secure three faculty members in support of the student, then the student might be asked to redo the presentation by the end of the Spring quarter of the third year (after working on the paper and addressing the feedback received from the faculty). If the student is not asked to redo during the first attempt or fails the second attempt after being asked to retake the presentation, <u>then the student will be asked to leave the program. Students are graded on this presentation. A grade of A is a pass, a grade of B allows the student to redo the presentation as outlined above and a grade of C is fails (with no option for a retake).</u> Students who pass this requirement in their first attempt are also encouraged to present their progress

		members who are willing to support the student. The student needs to secure these (at least) three faculty passes before the end of the fall quarter.	in the spring quarter of their third year.
4	Proposal	Students are required to propose by the end of spring quarter of the <u>fourth year</u> .	A student not ready to propose their dissertation or not passing their proposal exam at the end of the spring quarter of the fourth year will be given until the end of autumn quarter of the fifth year (at the discretion of the committee chair), assuming adequate research progress is being made. If the student is still not ready to propose or does not pass the proposal exam, <u>then the student will be asked to leave the program.</u>
5	PhD defense	Students are encouraged to defend by the end of the Summer quarter of their <u>fifth year</u> .	

Coursework Requirements:

Doctoral-Level:

Students are required to take at least **15** doctoral-level courses to fulfill the requirements (a half-quarter course is counted as a 0.5 credit course) and satisfy certain grade point average requirements, as detailed below. If a student takes a course more than once, the highest grade will be used to calculate the GPA (and the course will only count once towards the required 15). Students are required to take core courses in the first two years. The rest of the doctoral-level courses can be taken any time before graduation, though a student cannot reach candidacy without finishing all coursework and thus we encourage a student to complete all PhD coursework no later than the end of year 4. Each course can be used to satisfy the coursework requirement in at most one of the sections below (i.e., no double counting of any courses is allowed).

1) Core courses

In the first two years, students are required to take the five Operations core courses from Section A and two price theory courses from Section B. Core qualifying exam classes should be taken in the first year in advance of the qualifying exam. Courses in Section A should be taken in the first year if they are offered in that year:

A. Operations core:

- Linear Programming
- Mathematical Computation I (Stat 30900)
- Convex Optimization
- Stochastic Processes
- Dynamic Programming

B. Economics core:

Two of three of the following Price Theory classes: Price Theory I (Econ 30100), Price Theory II (Econ 30200) and Price Theory III (Econ 30300). If a student chooses Price Theory II and III, the student is encouraged to take B33101 Advanced Microeconomic Analysis (depending upon their previous background). These courses cannot double-count toward the Economics support area.

To satisfy the core requirement:

- a student needs an overall average GPA of 3.0 (across sections A and B);
- an operations core average GPA of 3.5;
- and, the letter grade for each operations core course needs to be B+ or higher.

If the grade requirement is not met, then the course must be retaken.

2) Advanced field courses taught by the MS/OM group

Students should also take at least **four full-credit** advanced field courses taught by the OM group, which fit their research interests. Two advanced computing courses from the list below can also be used to satisfy this requirement (in lieu of OM courses):

Advanced Field Courses:

- Approximate Dynamic Programming
- Queueing Theory
- Asymptotic analysis of stochastic networks
- Stochastic Calculus and Control with Applications
- Stochastic Programming
- Supply Chain Foundations & Theory
- Online Optimization and Applications in Operations Management
- Modern Large-Scale Optimization: Theory & Computation
- Healthcare Data for Researchers
- Networks: Introduction to Modeling and Analysis
- (Advanced computing) Scientific Computing with Python
- (Advanced computing) C++ for Advanced Programmers

Any other advanced courses taught by Operations faculty are usually counted subject to approval by the Area advisor.

To satisfy the advanced field course requirement, a student needs to earn an overall average GPA of 3.3 or higher.

3) Support Area (for MS/OM students)

Typically, the student will fulfill the requirements for at least one of the following MS/OM specific support areas.

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

Any other support area available at Booth can also be considered subject to the Area advisor's approval. To fulfill the requirements for an Operations support area, the student needs to take at least **three** courses from the area. The letter grade for each course needs to be B or higher to count towards this requirement. After satisfying the advanced field course requirements, if a student continues to take courses from the list in Section 2, these courses can be used to satisfy support area course requirements subject to approval by the Area advisor (however no double counting is allowed).

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

- Stat 38100: Measure Theoretic Probability I
- Stat 38300: Measure Theoretic Probability II
- Stat 38500/ Math 38509: Advanced Topics
- Stat 38600: Topics in Stochastic Processes
- Stat 38650: Random Matrices and Related Topics
- Stat 31520: Stochastic Simulation II
- CMSC 38300: Numerical Solution of PDEs
- Queueing Theory
- Stochastic Calculus and Control with Applications
- Asymptotic analysis of stochastic networks

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

Economics: For students using Economics as a support area, the following is a suggested list of courses to choose from: E30100, E30200, E30300 – Price Theory I, II, III (only one course could count since two count toward core course requirements). B33914 Topics in Information Economics, B41910 – Times-series Analysis for Forecasting and Model Building, E30500 – Game Theory, E41800 – Numerical Methods in Economics, B33921, B33922, B33923 – Advanced Industrial Organization I, II, III, E30700 – Decision Theory.

Optimization, Computation and Algorithms: For students using optimization, computation and algorithms as a support area, the following is a suggested list of courses to choose from in satisfying the requirements:

- CMSC 37110: Discrete Mathematics
- Econ 41800: Numerical Methods in Economics
- TTIC 3101/CMSC 3700: Algorithms
- TTIC 31080: Approximation Algorithms
- CMSC 37501: Random Algorithms
- Stat 31020: Nonlinear Optimization
- Stat 30750: Numerical Linear Algebra
- Stat 30900: Mathematical Computation I: Matrix Computation
- TTIC 31060: Computability and Complexity Theory
- Stat 31070: Modern Approximation Theory
- Math 28410: Honors Combinatorics

- Approximate Dynamic Programming
- Stochastic Programming

Statistics, Machine Learning, Artificial Intelligence: The following is a suggested list of courses to choose from in satisfying the requirements:

- Stat 30400: Distribution Theory
- Stat 32400/BUSF 42901: Probability and Statistics
- Stat 32500/BUSF 41902: Statistical Inference
- Stat 37500: Pattern Recognition
- Stat 37601: Machine Learning and Large Scale Data Analysis
- Stat 37710: Machine Learning
- Stat 37790: Topics in Statistical Machine Learning
- TTIC 31140: Learning and Inference in Graphical Models
- TTIC 31120: Statistical and Computational Learning Theory
- TTIC 31200: Information and Coding Theory
- CMSC 35246 Deep Learning
- CMSC 35200 Deep Learning Systems

4) Elective Courses

In order to meet the 15 doctoral-level course requirement, the student can take any doctoral level courses at Chicago Booth, or pursue doctoral coursework in other parts of the university such as the mathematics, statistics, economics, or computer science departments. The letter grade for each course needs to be B or higher to count towards this requirement. If a student takes an additional advanced field course or support area course, then it would automatically count towards the electives requirement.

Operations Workshop and Research Paper Review

A. Students are expected to attend all Operations Management/Management Science workshops during their entire tenure in the PhD Program (unless they have a conflict with a class).

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

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

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

MBA coursework and TA Policies

Additional updates on when students may take MBA courses and the TA policy will be provided during winter quarter.

Grandfathering into Previous Requirements and Policies

Current students (who matriculated in Autumn 2023 or earlier) are grandfathered into all curriculum requirements and policies reflective of the policies and requirements in place when they entered the program but may choose to use either the updated requirements and policies in the 2023-24 MS/OM Guidebook or the requirements and policies in the Guidebook reflective of when they entered the program. All students will be asked to decide which curriculum they plan to use, confirm that curriculum with the Program Office, and then adhere to that curriculum moving forward.

Management Science/Operations Management as a Support Area:

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

A. B36906 or other Stochastic Processes courses offered by the MS/OM area.

B. The remaining courses must be taken from among the Booth MS/OM courses offered by Booth Faculty.

Management Science/Operations Management as a Coordinated Sequence:

Students must take any 3 courses from among the Management Science and/or Operations Management courses offered by Booth Faculty.

Marketing

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

Marketing as a Dissertation area.

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

- (1) Successful completion of B37902 and B37903 and all of the prerequisite courses.
- (2) Successful completion of all prerequisite courses specific to the chosen Marketing track.
- (3) Successful completion of the Marketing workshop and Research Paper Review requirement (described below).
- (4) Completion of all general PhD requirements.
- (5) Successful completion of the First-year summer paper no later than the beginning of the autumn quarter of the second year. Faculty advisors must receive the paper at least two weeks prior to the due date to give them time to read it before signing the appropriate forms. The paper must be presented no later than week 3 of the winter quarter of the second year. Although the presentation does not need to be scheduled during the regular Marketing workshop, the majority of the Marketing faculty must be present. It is the student's responsibility to make sure this presentation is scheduled. After the summer paper presentation, the faculty completes a holistic review of each student, reviewing course work, participation in workshops, the summer paper, and the presentation. An affirmative vote is required for the student to continue in the Program.
- (6) The Curriculum Paper must be completed no later than the end of the autumn quarter of the third year. **Extensions are not allowed. Failure to meet this deadline means a student is making unsatisfactory progress (see Chapter 4).** Faculty advisors must receive the paper at least two weeks prior to the approval due date to give them time to read it before signing the appropriate forms. The Curriculum Paper must also be presented in the Marketing Workshop no later than the spring of the third year. It is the student's responsibility to make sure this presentation is scheduled. The student must also make sure the paper is distributed to the entire Marketing faculty (i.e. downloadable from marketing workshop website) at least one week prior to the workshop. Finally, it is the student's responsibility to make sure the Curriculum Paper adheres to all the requirements of both the Marketing Group and the Doctoral Program. In particular, the Curriculum Paper and talk should be based on research ideas and work initiated by the student.
- (7) After the Curriculum Paper is presented, the Marketing faculty will meet to consider the student's performance in the Marketing PhD Program. Performance in coursework, the summer paper and summer paper presentation, attendance at workshops, and the quality of the Curriculum Paper and the Curriculum Paper presentation will be considered and an affirmative vote is required for the student to fulfill the General Exam requirements in Marketing.

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

The Marketing PhD course requirements are:

- (a) In order to receive full funding, all students are required to take a minimum of 3 courses (excluding workshops and 37905) for credit each quarter of their first two years until all course requirements are complete, as detailed below. **Courses are not allowed to “double-count” toward both the dissertation area requirements and the support area requirements.**
- (b) In the first year of the Program, students are required to complete the two marketing PhD courses, B37902–Advanced Marketing Theory: Quantitative Perspective and B37903–Advanced Marketing Theory: Behavioral Science Approach. In each of these two courses, students are required to get a minimum grade of “B” (3.0) for successful completion. Behavioral students are encouraged sit in on B37902 in their first year and take it for a grade in their second year. **Students must receive a grade for B37902 and B37903 no later than the end of summer quarter of the year they take it; failure to receive a grade in that timeframe will require that the student retake the relevant course.**
- (c) All students in the Program **in their 2nd year or above** are required to register for the Marketing Reading Seminar, excluding their job market year. Please see below for details.
- (e) Prerequisite courses: By the end of their second year, students are required to have completed a set of prerequisite courses in one of the two Marketing tracks: Consumer Behavior or Economics/Quantitative Methods. These course tracks are described below. Students can get at most one C or C+ grade and a **minimum grade of B- (2.7) is required in all other courses, as well as an overall minimum GPA of B-**. Students receiving a grade of C+ or below (below 2.7) in a course (beyond the one course allowed) must report to the Marketing Area Advisor and must repeat that course. If at least a B- is not obtained on the second attempt, students will be counseled to leave the Program. Students who receive a grade of F in a marketing course will be counseled to leave the Program.

Track 1–Consumer Behavior:

Students completing the consumer behavior track are required to complete nine prerequisite courses, the courses listed as required, with the remaining courses from the “breadth of knowledge” list below.

Required for all students:

- B41901 – Probability and Statistics or Stat 24400. For students with less statistical background, taking [SOC 3005 or MBA Regression] first or concurrently may be helpful.
- B41902 – Statistical Inference or Stat 34300
- B37907 – Behavioral Science Research Methods in Marketing
- B37909 – Cognitive Underpinnings of Decisions

Required for students whose support area is Behavioral Science:

- One PhD level topics course in the PSYC department
- STAT 34700 – Generalized Linear Models or SOCI 30112 - Applications of Hierarchical Linear Models or PPHA41420 - Multilevel Regression Modeling for Public Policy
- SOCI 41076 Computing for the Social Sciences or LING 28610 Computational Linguistics or approved substitute

Required for students who are *not* using Behavioral Science as their support area:

- B38911 Foundations of Judgment and Decision Making (may be listed as 38901)
- B38914 – Foundations of Social Psychology (or NU Psych 489 Theories of Social Psych – cross listed in Kellogg marketing)

- B38918 – Behavioral Economics-Theory and the Lab (or an approved substitute)

In addition, students are required to take any **two** of the following courses to develop breadth of knowledge:

- Any other approved PhD level psychology seminar
- Any other approved PhD level statistics seminar
- Up to one other approved PhD level Behavioral Science seminar
- Behavioral Finance (BUSN 35906)
- AI Application in the Social Sciences (MACS 31300)
- SOCI 41076 Computing for the Social Sciences
- LING 28610 Computational Linguistics
- B41903 Applied Econometrics
- PhD seminar in Consumer Behavior at Kellogg (commonly titled “General Seminar for PhD Candidates: Consumer Behavior I-IV)
- E30100 – Price Theory

Note that not all courses are offered each year and that course names may change although the content may be similar. Please ensure that any deviation from the above list is approved by the Marketing Area Advisor. For B31901 - Independent Study to count as a replacement for any of these requirements, the course must result in a final paper that is reviewed and approved by two marketing faculty.

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

- E30100 – Price Theory I
- E30200 – Price Theory II
- E30300 – Price Theory III
- E31000 – Empirical Analysis I
- E31100 – Empirical Analysis II
- E31200 – Empirical Analysis III

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

- B41910 – Time-Series Analysis for Forecasting and Model Bldg.
- B41911 – Advanced Econometrics
- B41912 – Applied Multivariate Analysis
- B41913 – Bayesian Econometrics
- B33921 – Advanced Industrial Organization I
- B33922 – Advanced Industrial Organization II
- B33923 – Advanced Industrial Organization III
- B33914 Topics in Information Economics
- E31600 – Non-Linear Econometrics
- E30500 – Game Theory I
- E30900 – Advanced Auction Theory
- Any approved PhD level course in Economics or Statistics (contact the Marketing Area Advisor).

Some other courses to consider:

- Econ 31703 – Topics in Econometrics
- Econ 41800 – Numerical Methods in Economics
- Stat 31510 – Stochastic Simulation (may need advisor permission)
- Stat 37710 – Machine Learning (may need advisor permission)

- TTIC 31020 – Introduction to Statistical Machine Learning
- Linear and Integer Programming
- TTIC 31070 – Convex Optimization
- B36907 – Networks I: Introduction to Modeling and Analysis
- Econ 34901 – Social Interactions and Inequality
- MACS 60000 – Computational Content Analysis (James Evans)
- GEOG 40217 – Spatial Regression Analysis
- GEOG 30500 – Introduction to Spatial Data Science

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

In addition, consider taking B41201 Big Data. (This is an MBA course that would be taken in addition to PhD requirement and cannot count toward PhD dissertation area or support area requirements.)

If a quantitative marketing student selects Economics as a support area, the student is expected to take six elective Economics PhD courses (at Booth or the Department of Economics) separate from those taken to fulfill the quantitative marketing six-course requirement.

Marketing Reading Seminar

All Marketing PhD students in their second year or above are required to register for all the Marketing Reading Seminars offered during their time in the program. The seminar is designed to provide all students (quantitative and behavioral) with exposure to the broader marketing literature. The seminar will be offered in one quarter each year. The format will consist of weekly meetings to discuss specific papers. Each week, student(s) will be assigned to lead the discussion on a paper. The other students will be expected to prepare these papers as well and to participate in the discussion. Evaluation will be based both on each student's presentation as well as their general participation throughout the quarter. Attendance is mandatory. First year students are free to sit in/audit the course. There is some flexibility in this requirement in the year students go on the job market. For example, 4th year students who are going on the market in late Spring of their 4th year do not need to take the seminar in year four; these students must take it in year five if they do not take it in year four.

Marketing Workshop

(1) Students are expected to attend all workshops organized in the Marketing area during their entire tenure in the program.

(2) Students must register for the Marketing workshop for a grade of Pass/Fail each quarter that it is offered during their second and third years in the Program. Attendance at a minimum of 70% of the workshops is required to obtain a grade of Pass. Attendance is taken by Doctoral Program Office staff.

Marketing Teaching Assistantships

- Students without a business background in marketing are expected to TA at least two MBA marketing sections.
- Students may not TA more than 5 sections per academic year (beginning in year three, when TAing is allowed).
- Priority must be given to TAing marketing classes.
- All TAing must be reported to the Program Office; this information will be relayed to the area advisor.

Chapter 4 – Academic Progress

Students must make satisfactory academic progress to remain in the Doctoral Program. The criteria used to evaluate academic progress are described below, as are the consequences for unsatisfactory academic progress and performance. Unless they are on a leave of absence, students must be engaged in taking courses, preparing for exams, or actively conducting research.

Satisfactory Academic Progress Requirements – Timeline

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

- (1) By the end of summer quarter of the second year: pass one general examination.
- (2) By the end of autumn quarter of the third year: submit Curriculum Paper.
- (3) By the end of spring quarter of the third year: satisfactory presentation of the curriculum paper in a Curriculum Paper workshop.
- (5) By the end of the fourth year: complete all requirements for candidacy.
- (6) By the end of the fifth year: satisfactory presentation of the dissertation proposal; this can be extended to autumn of year six by approved application. Sixth year funding is generally contingent on presenting the proposal no later than Autumn of the sixth year.) Some areas have earlier deadlines.
- (7) By the end of the seventh year: satisfactory dissertation defense.

Satisfactory Academic Progress Requirements – General Examinations

Failure to pass a General Examination in the student's dissertation area automatically results in unsatisfactory academic performance. If a student fails the general examination or other area requirements, the Director of the Doctoral Program will consult with the faculty in the area and follow that area's policies. For students allowed to continue after initially failing the General Examination or other area requirements, they have one more attempt to pass all components of the examination. Failure to pass all components on the second attempt will result in withdrawal from the Program. Not all areas allow a second exam attempt.

Satisfactory Academic Progress Requirements – GPA and Grade Requirements

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

Satisfactory Academic Progress Requirements – Annual Academic Progress Review

Annually, the academic progress of PhD students in the program is evaluated. To evaluate the progress, the Director of the Doctoral Program requires PhD students to complete and submit an academic progress report every year. Only students who are on a leave of absence are exempt from this requirement.

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

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

Students must complete the PhD Academic Progress Report/Five-Year Plan and/or the quarterly academic progress report (for those students enrolled in B71900). The objective of these are to guide the student's planning for successful completion of the Program.

Students submit the completed PhD Academic Progress Report and Five-Year Plan by mid-September each year. Quarterly reports are submitted (when required) by the end of each quarter.

In most areas, the faculty require an annual submission of an annual activities report; some areas provide additional feedback to students based on this report.

Consequences of Unsatisfactory Academic Progress

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

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

University of Chicago Policy on Good Academic Standing

Please visit <https://studentmanual.uchicago.edu/academic-policies/registration-for-students-in-phd-programs/good-academic-standing-policy-for-phd-programs/> for this policy.

CHAPTER 5 – CO-AUTHORSHIP

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

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

Accounting – Accounting allows Curriculum Papers to be co-authored subject to permission being granted in advance by the Accounting PhD advisor. Dissertations are very strongly discouraged from including co-authored work, but a student may seek the permission of both the Accounting PhD advisor and the dissertation committee to do so under exceptional circumstances. One such circumstance, for example, could be federal government requirements to have a co-author to gain access to certain data.

Econometrics and Statistics – Dissertations may include co-authored work as outlined below:

1. Co-authorship between University of Chicago faculty and a PhD student is allowed.
2. Co-authorship with outside researchers is permitted under certain circumstances; students must receive permission from their advisor(s).
3. Co-authorship between PhD students is allowed, but a research paper can only be used to fulfill the requirement of ONE degree.

For curriculum papers, co-authorship with (a) University of Chicago faculty member(s) is allowed.

Economics – Dissertations may include co-authored work; however, the committee chair must approve any such co-authorship.

Finance – Work co-authored with faculty members or other students at the University of Chicago or elsewhere may not be used to satisfy the dissertation requirement unless other single-authored work is also part of the dissertation. Permission to use co-authored work as part of the dissertation must be granted by the student's dissertation chair and the Finance area advisor. At least one paper in the dissertation must be single-authored.

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

Management Science/Operations Management – Co-authored papers based on the dissertation are allowed in these areas as long as a substantial portion of the dissertation can be identified as being solely the work of the student.

For curriculum papers, co-authorship with (a) University of Chicago faculty member(s) is allowed.

Organizations and Markets – Co-authored papers based on the dissertation are allowed in these areas as long as a substantial portion of the dissertation can be identified as being solely the work of the student.

Student Co-Author for the Curriculum Paper and First Year Summer Paper

A paper co-authored with other Booth PhD students may be used to satisfy the Curriculum Paper requirement and the First Year Summer Paper under special circumstances (note that finance and Joint Program in Financial Economics students may not have a co-authored curriculum or finance paper). “Special circumstances” exist if sufficient synergies result from more than one student working on the paper because of data collection efforts, data analysis efforts, etc., and should therefore result in a higher quality paper than is expected of a sole-authored paper. The approval process is as follows:

- (1) The students petition the Program Office, in writing, for approval to co-author their paper. The petition must describe their research topic and the synergies that result from more than one student working on the paper.
- (2) The petition is reviewed by the Director of the Program and forwarded to the appropriate PhD area advisor for review. After receiving the review, the Director will respond to the student.
- (3) Please note that a student co-authored curriculum paper is generally allowed fulfill the requirement for only one degree (one student).

Finance students may not co-author a curriculum paper (or Finance paper) with another student.

Faculty Co-Author for the First Year Summer Paper

A paper co-authored with a Booth faculty member may be used for the First Year Summer Paper.

CHAPTER 6 – PhD DISSERTATION AND GRADUATION

PhD Dissertation Committee

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

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

Members of the dissertation committee change only in exceptional circumstances.

Scheduling the Dissertation Proposal or Defense

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

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

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

Proposal and Dissertation Requirements

Graduation Procedures

- (1) Reach candidacy. Generally this is done at least 8 months before graduation.
- (2) Successfully propose and defend your dissertation. (If you have not successfully defended your dissertation but plan to do so within the quarter, you may still apply for graduation if you will be able to meet the Dissertation Office deadlines.)
- (3) Submit an online graduation application (or applications, if you are also getting the MBA). **The deadline for degree application is in week one of the quarter in which you intend to graduate.**
- (4) Verify with the Program Office that there is a transcript on file for each school from which you have received a degree. If the file is incomplete, have an official transcript sent to the Program Office.

- (5) If you plan to take any required courses (for the MBA) during your intended graduation quarter, be sure you are aware of University grade policies, as well as the individual professor's grades policies, prior to registering for your final quarter's classes. Many non-Booth classes require current quarter graduates to complete their coursework early to ensure that a final grade will post the week before graduation. Policies that govern early course completion requirements upheld by other divisions are nonnegotiable.
- (6) Contact the Dissertation Office (Regenstein Library 100B, 773-702-7404) early in the quarter in which you intend to graduate to resolve any questions or problems you may have in preparing your dissertation. University Wide Requirements for the PhD Dissertation and other useful information are available on the web at <http://www.lib.uchicago.edu/e/phd/>. Please note that **as a condition for receipt of the PhD**, all dissertations produced by University of Chicago students are placed in the circulating collections of the university library and made available to researchers through the library and for purchase through ProQuest Information and Learning.
- (7) If you receive a conditional pass on your dissertation defense:
 - a. Make the required revisions in the dissertation manuscript.
 - b. Submit the manuscript to your chair to secure committee approval of the revised manuscript.
 - c. Your committee chairperson must then notify the Program Office of the unqualified acceptance of the manuscript. The Program Office must receive notification of the unqualified acceptance of the manuscript **before** the manuscript can be submitted to the Dissertation Office; this acceptance must occur before the Dissertation Office's deadline for final submission of the dissertation.
- (8) Submit the manuscript electronically to the Dissertation Office by their deadline in the format required by the Dissertation Office, including getting the Departmental Approval Form signed as required by the Dissertation Office (and as outlined by the Doctoral Program Office). **The deadline for submitting a manuscript to the Dissertation Office is listed on their website. You cannot graduate if you do not meet this deadline.** The Program Office has an earlier deadline in order to get the Department Approval Form to you (this is noted in email). If there is any question as to the final submission date, please contact the Program Office. Please recognize that the Dissertation Office often requires formatting changes after submission of your dissertation; if these changes are not made, you will not be allowed to graduate.
- (9) Submit an electronic copy of your final manuscript to the Manager.

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

In addition to the above, please also:

- (1) Return all carrel and office keys. Clean out your carrel and/or locker. The Program Office is not responsible for any items you leave behind.
- (2) Remove everything stored on the Mercury Cluster.

(3) Update your contact information in My Profile.

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

The University requires PhD students to be continuously registered (except for summer quarter, if a student is not graduating). If a student successfully defends their dissertation and submits it to the Dissertation Office by the Friday of week one of a quarter and applies to graduate in that quarter, they will not be registered as a student in that quarter. They will not be required to pay tuition or fees associated with registration; however, they will not have access to the privileges associated with student status (student visa, student health insurance, library, etc).

Convocation

Every quarter, Chicago Booth confers degrees. Each spring quarter, the all-university convocation ceremony is held on the Main Quadrangle, officiated by the university president. This is followed by a Booth ceremony for all graduates of the MBA and Doctoral programs officiated by the Dean of Chicago Booth and held at an off-site location. PhD students are hooded at the Booth ceremony. Convocation is a formal academic ceremony officiated by the university president. Traditional academic attire is worn. While this is a day of celebration for graduates, students are expected to comport themselves in a professional and respectful manner. All students are encouraged to attend convocation. If a student is unable to attend, arrangements will be made to have the diploma mailed after the ceremony. In summer, autumn, and winter quarters, students may graduate and receive their diploma(s). Graduates from these quarters may participate in the spring quarter ceremony following their graduation. Under certain circumstances (if students defend by certain deadlines), if students plan to graduate in summer, they may be allowed to participate in the spring quarter University and Booth ceremonies. If they do not do so, they may participate in the next year's spring quarter ceremony.

Diploma Mailing

During the graduation application process, students will supply a valid address to which diplomas will be mailed following receipt of final quarter grades and confirmation of GPA compliance. Students should expect to receive their diplomas via U.S. standard mail approximately six weeks following the end of the quarter.

CHAPTER 7 – CHANGES IN STATUS

Changing Dissertation Areas

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

The formal procedures for changing dissertation areas are as follows:

- (1) The student's request is submitted on a form available from the Program Office to the area advisor in the area the student is leaving. That advisor may approve or deny the request.
- (2) If approved, the request is then submitted to the area advisor in the area into which the student would like to transfer. The advisor in that area will review the request, as well as the student's original application materials and academic record, consult with other faculty in the area, potentially meet with the student and/or request additional materials, and decide to approve or deny the transfer.
- (3) Final approval of the request is made by the Faculty Director of the Program.

Leave of Absence

See Chapter 14.

Withdrawal from the Doctoral Program

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

Withdrawal may take place voluntarily by a student who finds it no longer possible to continue in the Program for any reason. The Director of the Program may administratively withdraw a student if the student's academic progress is unsatisfactory, if the student has surpassed the time limits for completion, or if the student is unable to find faculty support for and work on a dissertation that meets Booth's standards.

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

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

If a student withdraws or is administratively withdrawn in the current quarter, the Chicago Booth account and privileges are disabled effective 14 days after the official withdrawal date unless the student has received an MBA.

Re-admittance into the Doctoral Program

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

Students who have not reached candidacy and want to be readmitted to the dissertation area they were in when they withdrew from the Program must submit a letter to the Director of the Program outlining the following information:

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

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

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

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

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

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

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

CHAPTER 8 – MBA DEGREE FOR PHD STUDENTS

A PhD student in good standing who wishes to work toward the MBA degree while in the Doctoral Program must submit the appropriate MBA for PhD Students curriculum review form for approval to the Program Office and must satisfy the academic policies and standards of the MBA Program, as well as additional standards of the Doctoral Program. A student may not get the MBA after the PhD has been conferred.

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

Upon obtaining faculty approval of the dissertation proposal in a proposal seminar, a PhD student is eligible to apply to graduate with the MBA after completing all course requirements, as outlined in the MBA for PhD Students curriculum review form(s), and submitting a completed MBA for PhD students curriculum review form to the Program Office. Note that the MBA curriculum was updated in Autumn 2021—students who entered the Doctoral Program in Autumn 2021 and later must follow the updated curriculum. Students who entered the Doctoral Program in Autumn 2020 or earlier may choose which curriculum to complete. Note that, whichever curriculum you opt into must be followed in its entirety.

MBA Curriculum for Booth PhD students who matriculated in or after Autumn 2021

- (1) 3 courses—one course in each of three foundations area of Accounting, Microeconomics and Statistics
- (2) 7 courses—One course in seven of eight categories representing Functions (Finance, Marketing and Operations), Leadership and Management (Decisions and People), and the Business Environment (Economy and Society).
- (3) Complete 10 elective courses. At most, one independent study course (B31901) is acceptable toward the MBA degree. **No more than 6 electives may be taken outside of Booth but at the University of Chicago.**

MBA Curriculum for Booth PhD students who matriculated before Autumn 2021

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

Please check the MBA for PhD students curriculum review form (under “Useful Forms” on the Intranet) for additional details. Petitions for course substitutions should be sent to the Program Office and should include which specific course you are hoping to substitute for, a

justification for the proposed substitution and a syllabus for the requested substitution course and the original course.

The below rules apply to all PhD students seeking the MBA:

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

MBA concentrations are not granted to PhD students who have earned the MBA.

Only Booth courses may be used to fulfill these course requirements, with the exception of (up to) 6 elective courses (noted above) and courses listed as meeting specific requirements in the MBA for PhD students curriculum review form. Master’s level courses taken at another institution cannot fulfill the MBA course requirements. If a student feels that they have already taken a course elsewhere that is equivalent to one of the required Booth courses, they may take another, more advanced Booth course to satisfy the course requirements, with the approval of the MBA substitution coordinator.

Previous University of Chicago courses taken while in another program at the University (the College, GSAL, a master’s program, etc) can only be counted toward the MBA if they were not counted toward another degree at the University and if they were taken within five years of the date the MBA will be awarded.

If a student is graduating with the MBA in the quarter in which the student is also getting the PhD, and the student still has to take courses for the MBA degree, the student must earn a grade of at least a C in those courses. Failure to do so will mean the MBA diploma will not be awarded.

A student withdrawing from the Doctoral Program must receive permission from the Doctoral Program to complete coursework in order to earn the MBA. A student must meet minimum GPA requirements, as outlined previously, in order to do so.

CHAPTER 9 – VISITING STUDENTS

Visiting Student Statuses

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

Non-Degree Visiting Students

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

International students who are invited to visit Booth must demonstrate English language proficiency. Eligible international students will be able to obtain a visa-eligibility document from the University's Office of International Affairs (OIA).

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

Exchange Students

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

CHAPTER 10 – COURSE REGISTRATION AND GRADING

Approval of Course Registration

First-year PhD students must have their autumn quarter registration approved by the Director of the Program.

All PhD students should discuss their course schedule with the Program Office in any quarter in which their course schedule varies from the most recent approved PhD Academic Progress Report and Five-Year Plan.

Registration: Booth Courses

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

Course Bidding System (iBid)

Registration for continuing students each quarter generally begins in week 7 of the previous quarter with the final phase of bidding usually ending Monday of Week 2 of the current quarter.

All bids are entered in the online bidding system (iBid). Bidding instructions are available on the Chicago Booth Intranet via the iBid quick link. Bid deadlines also appear on this site.

It is the expectation that students review all course descriptions and syllabi prior to bidding on courses. Moreover, it is the expectation of Booth faculty that students attend, prepare assignments for, and participate in group work for all courses enrolled in and/or on which they are bidding, as well as any courses for which students are waitlisted. Failure to do so may result in the student being administratively dropped from the course per the faculty's request. Syllabi should be considered "contracts" between faculty and students that detail course expectations.

Bid Points

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

Points may be charged, however, when PhD students take MBA-level courses or PhD courses that are popular with MBA students. Points will be charged only when demand for the course they are taking exceeds supply. Bid points are paid in the amount of the closing price for each course added in that phase of bidding. If a price is set, that amount is deducted from the 8,000 point "bank" with which PhD students start the program. For each 100-unit MBA-level course PhD students take, they will accrue an additional 2,000 points. The points that are carried forward to the next quarter are the initial amount (8,000), less any points paid for the courses, plus 2,000 additional points for each 100-unit MBA course taken.

The bidding point allocation for PhD students is sufficiently large to guarantee that students can register for course sections required for the General Examination course requirements.

For those PhD students who take MBA-level courses, further information on bidding history and closing points are available in the bidding instructions found on-line in the iBid system.

Point refunds for dropped courses occur based on the bid point penalty schedule posted in iBid. This includes late drops/withdrawals, drops for leaves of absences and drops due to student error.

Registration: Non-Booth Courses

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

Schedule Adjustments: Booth and Non-Booth Courses

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

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

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

Workshop Registration

All 2nd and 3rd year students **must register for the workshop that is required by their dissertation area** each quarter, do the work necessary to receive a grade of P, and make sure that the grade is posted on their transcripts. This six-quarter workshop requirement is necessary to reach candidacy. Students should not register if there is a course conflict; they should simply register for workshops in the 4th year until they have met this requirement.

Course Registration for B31901

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

Course Registration for B71900

All PhD students who are not enrolled in coursework for at least 300 credits will be enrolled by the Program Office in B71900: Advanced Study for every quarter the student does not have a full-time credit load (excluding summer). The Faculty Director will be the instructor of record for this course. It will be graded Satisfactory (S)/Unsatisfactory (U). In order to receive a grade for this course, you will be required to submit an Academic Progress report. This will consist of a one page form indicating your coursework, research, and teaching activities for

the quarter you are enrolled in this course, as well as some additional information if you are in your 4th year or beyond. (Students who are already submitting a tuition waiver form on a quarterly basis will not be required to turn in this additional form since the tuition waiver form will serve the same purpose.)

Summer Courses

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

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

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

Course Grades

The following course grades are used: A+, A, A-, B+, B, B-, C+, C, C-, D+, D, P (pass), F (fail), I (incomplete), R (registered), S (satisfactory), U (unsatisfactory) and W (withdrawal). Grade requirements are discussed in "General Examination Requirements by Area." The grade W (withdrawal) indicates that the student has withdrawn from the course after the third week of the quarter. A grade of F cannot count toward degree requirements as it indicates unsatisfactory work. If a student repeats a course, the highest grade obtained in the course will count toward the student's PhD (or MBA) requirements (if the grade is high enough and meets requirements), however, all grades are included in the student's cumulative grade point average.

University of Chicago Course Grades

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

The University of Chicago Law School grades on a scale of 155 to 186. The following conversions are used 184 to 186 = A+, 182 to 183 = A, 180 to 181 = A-, 178 to 179 = B+, 177

= B, 174 to 176 = B-, 172 to 173 = C+, 170 to 171 = C, 168 to 169 = C-, 166 to 167 = D+, 163 to 165 = D, 160 to 162 = D-, 155 to 159 = F.

Grade Point Average Calculation

When computing GPA, A+ = 4.33, A = 4, A- = 3.67, B+ = 3.33, B = 3, B- = 2.67, C+ = 2.33, C = 2, C- = 1.67, D+ = 1.33, D = 1, and F = 0. A grade of F counts in the GPA calculation even though the course does not count toward the degree requirements. Grades of P, I, R, S, U, and W do not count in grade point calculations. If a student repeats a course, the highest grade obtained in the course will count toward the student's PhD (or MBA) requirements (if the grade is high enough and meets requirements), however, all grades are included in the student's cumulative grade point average.

Pass/Fail in Booth Courses

PhD students may register for the grade of pass/fail in courses offered in Booth. With the exception of the workshops, the student must request permission from the faculty member to take a course pass/fail. The deadline for such approval is Sunday of the 4th week of the quarter in which the class is taught. The grade of "P" or "F" is neither acceptable toward the MBA degree nor for any courses used toward fulfilling the course requirements for the PhD degree (with the exception of the workshop requirement). Pass/fail is not allowed in 50 unit (half) courses.

Pass/Fail in Other University of Chicago Courses

Students taking a course outside Booth who wish to register to take a course pass/fail should obtain permission from the instructor at the time they request enrollment in the course. In some divisions, students must register for pass/fail grading through a department or division office; in most divisions, however, grading is managed by the instructor. Students should follow the grading guidelines of the department or division in which the course is taught. It is the responsibility of the student to ensure that the instructor is reminded of the agreement to take the course pass/fail prior to the time the grade is issued. The grade of "P" or "F" is neither acceptable toward the MBA degree nor for any courses used toward fulfilling the course requirements for the PhD degree (with the exception of the workshop requirement).

Official Audit

PhD students may register for the grade of "R" (registered/audit) in courses offered at Booth with the instructor's permission. Students may register for the grade of "R" in courses offered in other University departments and schools, if such a grade is allowed, with the instructor's permission. The grade of "R" is neither acceptable toward the MBA degree nor for any courses used toward fulfilling the course requirements for the PhD degree.

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

To register for the grade of "R" in courses offered in other University departments or schools (if such a grade is allowed), the student must have the instructor email their permission to the Assistant Director by Friday of week two of the quarter.

Incompletes and Blank Grades

An incomplete signifies that a portion of the required work for a course is or will be outstanding at the time the faculty member submits final grades for that quarter. If schedule conflicts, workload, or other factors have affected a student's ability to keep up in a particular

course, a student should withdraw from the course. If a student needs to repeat a course in order to satisfactorily complete it, the student should not request an incomplete, but should instead register for the course again.

Incompletes are given at the discretion of the instructor. The manner of and time period for completion of the work are agreed on by the instructor and the student, so long as the time period does not exceed the one year limit placed by the Program Office. If the instructor is unwilling to give an incomplete, the student should withdraw from the course. Students may make up an incomplete only with the instructor who granted it. Please note that the grade of "I," in addition to the final grade, will remain on the student's university transcript. Sometimes students receive a blank grade instead of an official "I." The same policies apply to a blank grade.

Incompletes and blank grades must be resolved within one year (i.e., if an incomplete or blank grade was granted for a course taken in autumn quarter 2023, the incomplete or blank grade must be changed to a grade by the end of autumn quarter 2024). If a student fails to receive a grade for an incomplete or blank grade within the one year limit, the student must retake the course in order for it to count toward degree requirements. There are no exceptions to this rule.

Obtaining Grades

At the end of each quarter, students may check their grades via my.uchicago.edu. Students use their University CNetID and password. Due to privacy policies, no grades may be given out over the telephone or by e-mail.

Official Transcripts

All courses completed or withdrawn from for a grade of W appear on the official student transcript with the grade received. All entering students pay a lifetime transcript fee in their first year of study. The lifetime transcript fee allows students to request an unlimited number of official transcripts, now and in the future, whenever they need it, at no additional cost. Transcripts may be ordered at registrar.uchicago.edu/students/transcripts.

Grade Appeal Procedures

A student who believes that there is an error in the grading on any graded material in a course (e.g., assignment, paper, project, examination) should follow the guidelines provided by the professor for a grade appeal. If the professor does not provide specific guidelines either in the syllabus or verbally, the student should:

- (1) Discuss the potential grading error with the professor.
- (2) Submit a written request for a review of the graded material to the professor.
- (3) If the student believes that the appeal was not given appropriate consideration by the faculty member, the student should contact the Program Office.

The Program Office can verify that the procedure outlined above has been followed. If there is evidence of a grading error, it will be brought to the attention of the faculty member. Note that neither program administrators nor the Program Office can alter a grade.

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

Restricted Registration

The University applies restrictions to students' university accounts. See [Restrictions](#) in the University's Student Manual for more details on reasons for restrictions.) Restrictions prohibit course enrollment for the upcoming quarter. Notifications to students are sent immediately for disciplinary cases, week 4 for immunization restrictions, and week 6 for all other types of restrictions.

If a restriction is unresolved by Friday of week seven of the quarter, the student is placed on inactive status for the upcoming quarter and is prohibited from bidding for courses for the upcoming quarter. Additionally, restrictions will prohibit university privileges and services. If restricted, you cannot:

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

Once the restriction is resolved, the student's status is changed back to active for the upcoming quarter, and the student regains privileges for course bidding.

If the restriction is not cleared by the end of week two of the subsequent quarter, the student is not able to enroll in courses due to the Chicago Booth Doctoral Program deadline of all course enrollments being complete by that time. Therefore, a student's status would remain as inactive. For example, if a restriction is imposed in autumn quarter, and it is cleared after Friday of week two of winter quarter, the earliest a student may enroll in courses (and have an active status) is spring quarter. Please see the section on inactive status for further implications. PhD students who are not taking courses must resolve the restriction by the end of week three of the quarter; a student in both cases would be placed on administrative leave of absence. At the beginning of the next quarter, if the student has failed to clear all restrictions, the student will be administratively withdrawn from the University by their Dean of Students (unless the student is on a documented non-administrative leave of absence).

In accordance with University of Chicago policy, the Program Office may also place a student on restricted status for non-compliance in any administrative area after giving advance written warning.

CHAPTER 11 – FINANCIAL SUPPORT

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

Tuition Grants

Full tuition support is available for six years of full-time study, conditional on satisfactory progress in the Program. The Doctoral Program will only pay tuition for the quarter after a student has defended the dissertation (presuming the student is eligible for a tuition waiver).

The Program does not pay tuition for students who have full-time employment. The Program does not pay tuition for students in a 7th year.

Stipends

It is the policy of the Program that students offered stipend support upon admission to the Program will continue to receive it for five years of full-time study, provided they continue to make satisfactory academic progress and are in residence at Booth. 6th year stipend support; such support is generally dependent upon a student proposing their dissertation.

1st Year Summer Research Awards

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

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

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

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

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

Students may be required to upload a PDF copy of their summer paper to the PhD database so other students and faculty can access it.

5th and 6th year Funding

For the 2023-24 academic year, the Program will award fellowships worth up to \$48,000 to students in their fifth year. Recipients of 5th year fellowships are expected to be in residence in Chicago during the academic year and may not be employed full time. Students generally need to reach candidacy in order to obtain this funding.

For the 2023-24 academic year, students in good standing can apply to receive stipend fellowships worth up to \$37,000 for the 6th year. Students are eligible for this funding if they propose before year 6 or no later than autumn quarter of year 6 and if they are in residence at Booth and do not have full-time employment. Students *will not need to defend* to receive any portion of this funding

The application for 6th year funding generally requires:

1. An outline of the dissertation or a draft of the proposal.
2. A detailed timetable for completion of the proposal and dissertation
3. A statement indicating that the student will be in residence in Chicago and not employed full-time during the upcoming academic year
4. Who the chair of the student's committee is (a committee chair is required to apply for funding); if committee is fully formed, indicate who the other members are.
5. A recommendation form completed by your committee chair
6. A list of what you have to complete in order to reach candidacy and a timetable for completing these items (if candidacy has not yet been reached).

The Program does not have stipend funding available after year 6. The Program will provide tuition support and single student insurance payment for a student in year 6 so long as they are in residence, not employed full-time and are in good standing (which generally means they have met candidacy and proposed). The Program will provide single student insurance payment if a student is in year 7 so long as they are in residence, not employed full-time and are in good standing (which generally means they have met candidacy and proposed).

Doctoral Program Special Fellowship Awards

Students may receive one of several Doctoral Program endowed fellowship awards as part of their standard fellowship funding in the later years of the program (the regular stipend is paid out of an endowed account). A small number of awards and prizes reward strong performance with additional funding. These awards include:

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

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

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

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

The Drumheller Family Foundation PhD Fellowship: The Foundation established this fellowship to provide support annually to one student over the course of their study (typically 5 years) in the Doctoral program at Chicago Booth.

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

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

The Fischer Black Fellowship in Finance: This endowment fund was established to provide stipend support for Booth PhD students in finance.

The Sanford J. Grossman Fellowship in Honor of Arnold Zellner: This endowment fund was created by U.C. alumnus (PhD, Economics, 1975) Sanford J. Grossman for the following purpose: “The fellowship will be awarded annually to an outstanding PhD student, and its recipient determined by the Director of the PhD Program.”

J. Michael Harrison Doctoral Prize Fund: This award was created and funded by former Chicago Booth dean, Sunil Kumar and his wife, Sumati Murli. The Prized will “recognize a doctoral student enrolled at Chicago Booth whose research is judged to make the most impactful contribution to theory.”

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

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

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

The Liew PhD Fellowship: Booth PhD alumnus in Finance John Liew, AB'89, MBA'94, PhD'95 and his wife Serena Liew, Lab'85, AB'89, established this fund to provide support for PhD students in Chicago Booth.

The Keizo Matsumoto Scholarship: This scholarship was established by a gift from the estate of Dr. Keishiro “Charlie” Matsumoto. Dr. Matsumoto earned a PhD in finance and a master’s degree in mathematics from the University of Minnesota, and an MBA from the University of Michigan. He began working as a finance professor in the School of Business at the University of the Virgin Islands (UVI) in 1993.

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

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

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

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

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

Juan Manuel de la Torre Sanchez Memorial PhD Fellowship: This endowment fund was created by Booth Professor Pradeep Chintagunta, with his wife Marisa de la Torre, to provide fellowship support for PhD students.

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

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

Non-Booth and Non-University Research Fellowships

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

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

Various RA/TA positions are available to PhD students to supplement their stipends and provide relevant experience. The Guaranteed TAship program guarantees students in their third and fourth years the opportunity to TA two (for students who entered in 2015 or later) or three (for students who entered before 2015) sections per academic year, with a payment of \$3,000 per section. Securing guaranteed TAships is the responsibility of the student. Additional details on the courses covered by this are provided by email each summer. Students are generally expected not to TA until their second or third year. **To TA in your second year requires permission from your area advisor. Students must turn in the Permission to TA in year two form, signed by their area advisor. If you plan to TA outside of Booth, please check in with the Program Office.**

Students may not TA more than 5 sections/year unless they have the permission of their area advisor.

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

University Employment

Per University policy, students may be employed by the University for up to 20 hours per week to allow students sufficient time to focus on their coursework and/or research. Working more than 20 hours per week during the academic year requires the permission of the Program

Office (and is not allowed for international students due to visa restrictions). During the summer, students may work up to 37.5 hours per week. Students on a leave of absence may not hold any student employment positions at the University, including TAing.

Support for Travel, Data, and Human Subject Research

The Doctoral Program has limited funds to support travel, data purchases and human subject research directly related to a student's dissertation research. Each request will be reviewed on the basis of its intrinsic merit and availability of funds at the time of the request. The earlier in the academic year that a request is made, the better the chance of money being available to fund it. Applications are available on the Program's website and must be submitted to the Program Office **prior to the activity**. An advisor's signature (or email approval) is required. The Program Office may approve up to \$1,500 per student per academic year (September 1-August 31) for students to:

- (1) attend a conference at which a student is giving a paper or a poster
- (2) perform human subject research
- (3) purchase data (additional policies apply)
- (4) attend a conference (but not present); eligible for up to \$650.

We will receive applications for funding **until we have run out of money in our budget line for these expenses**. You must apply for the funding to the Doctoral Office; **you should apply for funding prior to the activity for which you are requesting funding**.

Additional details are available by email and in the Useful Forms section of the intranet; please read the funding guidelines prior to submitting an application. Questions should be sent to the Program Office.

Additional Support for Research

Students may apply for additional research support through a twice annual call for proposals (April and November). Students must apply for research funding from a relevant Booth center (if applicable) before applying to the Program. Centers include: Accounting Research Center, Center for Decision Research, Fama-Miller Research Center and Rustandy Center.

Marjorie Walters Memorial Emergency Loan Fund

This fund is used to help a PhD student deal with short-term financial problems. Interest-free loans of up to \$1,000 are available quickly upon request for short periods of time (usually one month). Students should feel free to stop in and speak to the Director if they find themselves in financial need. The loans are given in total confidence.

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

Other Loan Assistance

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

US Federal Financial Aid Eligibility

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

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

CHAPTER 12 – INFORMATION TECHNOLOGY, COMPUTING RESOURCES AND POLICIES

The PhD Student Lounge (Room 383) is a room designated for the exclusive use of Booth PhD students. The room contains PCs, a printer, and a dry erase board as well as lounge space.

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

Chicago Booth and Stevens Doctoral Program Computing Resources

Chicago Booth provides a variety of free and discounted Information Technology (IT) resources for students. A complete listing of the resources along with instructions and tutorials are on the Booth intranet in the Technology section.

Each student’s login and password enables usage of the Booth PhD computing workstations. For everyday usage, there is a 100 gigabyte limit. Students working on special computing projects requiring additional amounts of disk space for a limited period of time should request a temporary allocation of more storage by submitting the “Application for Temporary Increase of Mercury Cluster Space” to the Program Office. This form is available on the “Useful Forms” section of the intranet. A faculty signature is required. Students requiring substantially more space will likely need to seek additional resources.

Information Technology Policies

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

- (1) Policy on Information Technology Use and Access
<https://its.uchicago.edu/policies/acceptable-use-policy>
- (2) Student Manual of University Policies and Regulations
<https://studentmanual.uchicago.edu/university-policies/networking-information-technology-policies/>
- (3) File Sharing Policy
<https://its.uchicago.edu/policies/file-sharing-policy>

Disruption of IT resources through deliberate human action—whether it affects the operation of computing systems or telecommunications, the security of electronically stored information, or the integrity of such information—is a serious academic offense and may be subject to disciplinary action within the university as well as to civil and/or criminal action.

Information Security

Booth has a dedicated Information Security team. They monitor IT Security systems and controls and manage security-related incidents. Security concerns or questions should be forwarded to security@lists.chicagobooth.edu or the Help Desk (helpdesk@chicagobooth.edu).

Any students accessing restricted data (such as healthcare PHI or other personal data) either in class or on research projects may be required to take additional Security Awareness training. The need to complete this training will be communicated from faculty, research leaders, or

Information Security. Failure to complete any required awareness training will result in access to sensitive data being denied.

Email security is critical to the security of Booth's IT environment as well as the school's reputation. Good email practices are required for everyone that uses a Booth email address. Spamming or malicious emails sent from Booth email systems will result in the account being temporarily disabled during security incident management processes. Do not share your email credentials or allow anyone else access to your Booth email. It is highly recommended that emails from unrecognized senders, emails with hyperlinks, or emails with attachments be carefully scrutinized before being opened.

PHD STUDENT LOUNGE RULES

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

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

- (1) **THIS LOUNGE IS FOR THE EXCLUSIVE USE OF BOOTH PHD STUDENTS ONLY.** Guests and visitors of Booth PhD students are not allowed and will be asked to leave, as will any student who is not a Booth PhD student.
- (2) Doors to the Lounge cannot be propped open. This rule protects students and their possessions, as well as computer equipment and supplies.
- (3) Personal property should not be left unattended. Any area is only as safe as the users make it. The Doctoral Program is not responsible for any lost personal property.
- (4) Computers are not assigned to a particular student. They are to be used on a first-come, first-served basis each day. The tables must be cleared of all books, papers, and other personal property when the student leaves for class or for the day.
- (5) Cell phone usage should be kept to a minimum.
- (6) No furniture, lab equipment, or office supplies can be moved out of the Lounge without the explicit permission of the Program Office staff.
- (7) Smoking and/or vaping is absolutely prohibited within Booth, including this Lounge.
- (10) **At random intervals, the hard drives on the computers in the PhD Lounge will be erased and software will be freshly reinstalled. No notice will be given prior to these erasures and reinstallations. In order to prevent loss of your work, do not save your work to local hard drives.**
- (11) For computing operational problems, students should contact the Helpdesk (2-7114).
- (12) Students are expected to be aware of and comply with the Booth's Computer Use Policy, posted on Booth's Computing Services website. Disruption of computing through deliberate human action – whether it affects the operation of computing systems or telecommunications, the security of electronically stored information, or the integrity of such information – is a serious academic offense and will be subject to disciplinary action within the University as well as to civil and criminal action.

CHAPTER 13 – CARRELS, LOCKERS AND GROUP STUDY ROOMS

Locked File Drawers

There are file cabinet drawers with locks available for students in rooms 384, 385, 321, 342 and 372 in the Harper Center. Students may apply in the Program Office for a drawer assignment and key. A \$5 refundable deposit fee will be charged at the time the key is issued. Students must vacate their drawer and turn in their key when they graduate or leave the Program. The deposit will be returned when the key is turned in.

Students with a carrel at McGiffert will automatically receive a locker with an electronic lock. No additional deposit is needed to use this locker.

PhD Student Office Space (Carrels)

Use of the PhD Student Office Space (Harper rooms 384, 385, 372, 342, and 321 and the 3rd floor of McGiffert) is a privilege. Students must follow the rules to maintain this privilege. Violation of the rules will result in a loss of this privilege, as well as other consequences, depending on the severity of the violation. Excessive violations may result in closing the space to all students until the problems are remedied.

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

- Doors to Harper rooms and the McGiffert floor cannot be propped open. This rule protects students and their possessions.
- Personal property should not be left unattended and unlocked. Please use the locking drawers/bin of your carrel. Any area is only as safe as the users make it. The Doctoral Program is not responsible for any loss of personal property.
- The McGiffert floor and Harper rooms are for the exclusive use of Booth PhD students and visitors approved by the Program Office. Please do not allow access to any non-Booth PhD student. Students may have an occasional visitor if they are working together, but students are never to give their access cards to a non-Booth PhD student or allow visitors to use the space alone.
- No furniture, equipment, or office supplies can be moved out of these spaces without the explicit permission of the Program Office staff.
- Maintenance problems in the carrel rooms (temperature problems, problems with carrel locks, burned out lights, etc.) should be reported to the Manager via email.
- Smoking is absolutely prohibited within Booth, including these spaces.
- No display of inappropriate materials is allowed. Such material will be removed if it is displayed.
- Students with an assigned carrel may request the key for their carrel. A \$5 refundable deposit will be charged at the time the key is issued. When the key is returned, the deposit will be returned to the student. Students who lose their key forfeit their deposit and must make a new deposit of \$10.

- Given that these rooms are shared spaces, students are expected to respect the other occupants. Cell phone conversations should be carried out elsewhere, as should extended conversations.
- Students are not at liberty to give their carrels away or make trades without discussing it with the Program Office first. Students may not trade their carrel within 2 quarters of their scheduled graduation quarter. Similarly, students who are about to graduate are not entitled to give their carrels to a student of their choosing. Upon graduation, a student's carrel goes back into the carrel lottery so it may be distributed fairly.

Harper Group Study Rooms—Usage Policy

All students registered for a Booth class who are matriculated into the Evening, Executive, Full-Time, PhD, or Weekend Programs can reserve group study rooms in Booth 455, Gleacher Center, and Harper Center. Group study rooms are reserved online via the online reservation tool through the Intranet.

Students will have priority access to space in the building where their program is based: for example, the Full-Time MBA and Doctoral programs are based at Harper Center, and Evening MBA, Weekend MBA and Executive MBA are based at Booth 455 and Gleacher Center. Priority access means students can reserve group study rooms located in their home campus (e.g., Harper Center for Full-time and PhD, Gleacher Center for Evening, Executive and Weekend) up to seven days in advance. All others can make reservations one day in advance (for example: reservations for Friday can be made beginning 12:00 am on Thursday).

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

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

McGiffert Group Study Rooms—Usage Policy

The third floor of McGiffert is for the exclusive use of Booth PhD students, faculty, and staff. All PhD students can book the study rooms. To gain access privileges for reserving rooms, please contact the Program Manager.

Group study rooms are intended for use by two or more students and can be reserved in 30 minute increments, with a maximum reservation time of 3 hours. Reservations are cancelled if the student does not arrive within 15 minutes of the reservation start time. Groups without a room booking may use a group study on a first come, first served basis only, but must vacate the room if requested by a group with a reservation.

The Program Office reserves the right to modify or cancel a reservation when necessary. The office will notify the listed student when making any changes to their reservation.

CHAPTER 14 – OTHER UNIVERSITY AND BOOTH POLICIES

University Residence and Registration Requirements, including Leave of Absence

To receive a PhD, students in doctoral programs at the University of Chicago must **maintain registration (even when not taking classes) until the doctorate is awarded**. Satisfactory academic progress toward the doctorate is a prerequisite for continued registration. A third residence status is Leave of Absence. These registration statuses are described below.

Doctoral Residence: All PhD students are required to be registered for at least three academic quarters in every academic year. The Program specifies that these quarters be autumn, winter and spring. Registration during the summer is not required and must be approved by petition to the Director of the Program if additional summer coursework is desired. Summer coursework is generally not permitted in the summers after the first and second years in the Program, except to take Academic and Professional Writing.

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

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

Doctoral candidates who submit their approved dissertation to the Dissertation Office by Friday of the first week of a quarter and apply to graduate in that quarter will not be registered as students in that quarter. They will not be required to pay tuition or fees associated with registration (and will therefore not have access to the privileges associated with student status).

Student-Initiated Leave of Absence: PhD students may apply to the Program Office for leaves of absence, subject to the conditions and procedures described below. Leaves of absence must be approved by the Director and, in some cases, the student's area advisor.

Availability of student health insurance during a leave of absence will be governed by the student health insurance policies at the time the leave is taken. Other University privileges, facilities, and services are not available to students on leaves of absence, unless otherwise indicated.

Types of leaves of absence available:

Personal Leave of Absence. Students may apply for a personal leave of absence for any reason. A student may be approved by the Program Office (with area advisor approval) for a leave of absence of up to four quarters.

Medical Leave of Absence. Students may apply for a medical leave of absence if temporarily unable to continue in their program due to illness or injury. A student may be approved for a medical leave of absence by the Program Office for up to four academic quarters.

Graduate Student New Parent Policy

Students who are planning to become parents should meet with the Director to review resources available to them. PhD students who become parents during their studies may take advantage of the UChicago Graduate Student Parent Policy at: <https://studentmanual.uchicago.edu/university-policies/graduate-student-parent-policy/> which includes a number of options (academic modifications and leaves).

Family Resources

In addition, all students may take advantage of Family Resources offered by UChicago. Visit <https://grad.uchicago.edu/life-at-uchicago/family-resources/> for more information

Military Personnel Leave of Absence. Students may apply for a military leave of absence in order to fulfill service in armed forces. This includes students from countries outside the United States who leave for service in their country's armed forces.

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

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

Curricular Degree Leave of Absence. Students may apply for a leave of absence to pursue another degree program that is integral to their PhD. The appropriateness, relevance, and length of time of the additional degree should be evaluated by the student's primary program and requires written endorsement by the program. A student may be approved by their dean of students for a curricular degree leave of absence for up to three years.

Students must file a Leave of Absence petition available from the Program Office. A student must apply in advance for a Leave of Absence unless unforeseen circumstances prevent this. All leaves require the approval of the area or dissertation advisor and/or the Program Director.

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

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

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

- (1) Bidding for classes: Students should not bid for classes for the quarter(s) they will be on leave. Students who have bid for classes for the upcoming quarter should immediately drop all classes in the next phase of bidding. Students receive a percentage of bid points back according to the bid point penalty schedule. Access to iBid is restricted during the leave quarter(s).
- (2) Tuition and Fees: Students are not charged tuition and/or fees while on a leave of absence, unless a previous balance remains unpaid and incurs additional late payment fees or they elect health insurance (available during a medical leave) and are charged the graduate student services fee as described below.
- (3) Financial Aid and Loans: Students who receive financial aid and/or loans must inform Chicago Booth's financial aid office of their intention to take a leave of absence.

The following are specific considerations for students in the Doctoral Program:

- (1) Student Health Insurance: Students do not maintain health insurance coverage while on a leave of absence. The only exception is for students taking an approved medical leave of absence. In those instances, they may elect to maintain insurance coverage. The Program will cover the cost of health insurance coverage while a student is on a leave of absence. In electing a continuation of coverage, students are assessed the quarterly graduate student services fee, unless they will be residing more than 50 miles from campus and apply for a waiver; this fee is the student's responsibility.
- (2) Health Services and Activities Fees: Students do not pay these fees while on leave of absence. The only exception is for students taking an approved medical leave of absence. In those instances, if they elect to maintain and pay for health insurance, then they are required to pay graduate student services fee in the same quarters (unless they live more than 50 miles away and apply for a waiver). Students may not participate in Booth or university-sponsored events while on inactive status.
- (3) International Students: International students must complete a leave of absence form with the Office of International Affairs and inquire about what documents will be required upon resumption. Taking a leave of absence may affect international students' eligibility for Curricular Practical Training or Optional Practical Training. Students should inquire about eligibility requirements at the Office of International Affairs.
- (4) Student Loans: Students who have student loans from their undergraduate or graduate education should determine what consequences a leave could have on repayment. If a student has loans from Booth, they must discuss their leave of absence plans with the Booth Financial Aid Office. By federal law, students on leave for more than 180 days will be coded as withdrawn in the University's system and reported as such to the Department of Education.
- (5) Students on a leave of absence cannot hold work study positions, be a teaching assistant or maintain any type of student employment at the university.

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

- iBid and other password-protected academic information, such as course evaluations, restricted course materials, and Canvas
- Student Directory, except to update address information

- Financial aid
- Health insurance, except for Doctoral Program students who take an approved leave of absence for medical reasons and elect to remain on university insurance
- Health services provided to Doctoral Program students at the Student Care Center and the Student Counseling Service, except for those taking an approved medical leave of absence who elect to remain on university health insurance
- University libraries
- University athletic facilities
- Chicago Booth and University student events

Students' Chicago Booth e-mail accounts remain active while on inactive status. Students are removed from the administrative e-mail distribution lists. They are added back to these lists upon resuming active status. Access to password-protected information on the Booth Intranet is regained upon resuming active status.

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

Resumption of Studies after Leave of Absence

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

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

Resumption of Study for Military Personnel

Military personnel should contact the Program Office at least six weeks prior to their expected return. Students may petition for an extension of the seven year time limit to degree, if applicable. Please also refer to the policy on Course Credit in Chapter 2 of this handbook for information on transfer credits.

Health Insurance and Graduate Student Services Fee

The University requires PhD students to maintain health insurance coverage by enrolling in the University Student Health Insurance Plans (U-SHIP). The coverage dates of the plans are September 1 through August 31. Insurance premiums are assessed over three quarters. Students who participate in the plan during autumn, winter, and spring quarters of an academic year are automatically covered for the subsequent summer quarter without an additional payment. To fulfill this requirement, students will need to enter the Student Insurance Open Enrollment website <https://wellness.uchicago.edu/student-insurance/u-ship/> and elect U-SHIP coverage; students will be default enrolled in this plan in October if they do not actively enroll. All students must be enrolled in this plan even if they have other health insurance and/or are living elsewhere.

All registered students are charged the Graduate Student Services fee. The fee **cannot** be waived for students who live within 50 miles of the University. The Fee will be waived **ONLY** for those students who live and study over 50 miles from campus, and who will not be on campus during the quarter and who apply for a waiver for themselves. The Chicago Booth Doctoral Program covers the cost of the Graduate Student Services fee, effective autumn quarter 2022.

Graduate Student Parent Policy

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

Students with Disabilities

The University of Chicago fully embraces its responsibility to provide reasonable accommodations to qualified individuals with disabilities according to the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act as amended. Students must self-identify as an individual with a disability to the Student Disability Services (SDS) to receive reasonable accommodations. SDS staff will engage students in an interactive process to identify necessary services and accommodations to ensure equitable access to university programs and services.

Students are responsible for following the procedures outlined on the SDS website for registering and using disability services and accommodations. All requests for an accommodation must be submitted via the online Student Disability Services Request Form. When access needs are not obvious or visible, disability documentation that meets SDS guidelines will be requested to establish eligibility and reasonable accommodations. SDS staff make accommodation decisions on a weekly basis once all supporting documentation and information has been submitted to SDS. Student eligibility is initially shared with the Program Office and approved accommodations are implemented by the Doctoral Program Office. For more information, you may contact SDS at 773.702.6000 or someone in the Program Office.

Confidentiality of Student Records and Information

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

- School officials with legitimate educational interests
- Other schools to which a student is transferring
- Specified officials for audit or evaluation purposes
- Appropriate parties in connection with financial aid to a student

- Organizations conducting certain studies for or on behalf of the school
- Accrediting organizations
- Appropriate officials in cases of health and safety emergencies
- To comply with judicial order or lawfully issued subpoena

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

Official Name Change

Students needing to update their school record due to an official name change may complete a Name Change, found within My Profile. Students must provide official documentation of the new name. Acceptable forms of documentation include: marriage license, driver's license/state identification, or passport.

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

Privacy and Security

Chicago Booth has taken precautions to secure the personal information available through the Chicago Booth Student Directory. The Student Directory is password protected to allow access by Chicago Booth students and alumni only. Although these precautions should effectively protect any personal information available through the Chicago Booth Student Directory from abuse or outside interference, a certain degree of privacy risk exists any time information is shared over the internet. Through viewing options provided to students, the Chicago Booth my profile tool allows students and alumni to control personal information available to one another.

Student Contact Information

Students maintain their contact information via My Profile accessible via the Booth Intranet at <http://intranet.chicagobooth.edu>. The following contact information is required by Booth and/or the University of Chicago:

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

Privacy Display Options

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

Communication Within Booth: Email Account and Email Lists

Individual Chicago Booth Computer Account

Each PhD student is provided two computer accounts (Booth and CNetID). The login/username is the same for both accounts but each has a separate password and e-mail address. The assigned usernames are unique identifiers and are tied to students' University identification numbers (Student IDs); therefore, usernames cannot be changed.

Use of University and Chicago Booth systems is subject to the Security, Privacy and Acceptable Use Policy document. All users of University and Booth systems are subject to this policy and should be familiar with its content. Booth IT policies are posted on the intranet under Technology.

The CNetID provides students access to a variety of resources, including:

- Chicago Booth computer labs
- E-mail
- Chicago Booth Intranet at intranet.chicagobooth.edu
- Community Directory
- Mercury Cluster (Booth ID required for this)
- UChicago Virtual Private Network
- Wireless networking
- Proxy access (reserved library online catalogs)
- my.uchicago.edu (to check grades and bursar account)
- Canvas (<https://canvas.uchicago.edu/>)

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

Forwarding CNetID Account E-mail

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

Administrative Email Lists

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

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

CHICAGO BOOTH ACCESS CARD

The UChicago Card (UC identification card) allows Harper Center access during non-public hours as well as access to PhD Computer lab, the PhD carrel rooms, the Andrew M. and Sharon Sadow Alper Student Study and group study rooms. Access to McGiffert House floor three is restricted at all times and access to Harper Center floors three through five are restricted outside of normal business hours and PhD students must use the card in the elevator or stairways to access these floors. Students are expected to carry the UChicago Card while inside the Harper and Gleacher Centers, McGiffert House, and Booth 455, as they may be asked to show their card as proof of Booth student status. To report and replace lost or stolen Booth access cards, PhD students should visit the Booth Facilities and Operations Department, HC 114.

APPROPRIATE USE OF CHICAGO BOOTH CAMPUSES

Specific areas within Gleacher and Harper Centers, McGiffert House and Booth 455 are designated for the exclusive use of Booth students, staff, faculty and guests of the school's administration. Examples of these areas are: classrooms, computer labs, internet stations, student group study rooms, student lounges, and quiet study areas. Any use of Booth campuses not directly related to the academic mission of the school must be approved by the deans or designated staff.

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

Appropriate Use of Harper Center

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

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

Vendors

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

Photo Rights

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

Research on Human Subjects

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

Activities involving interaction with and the collection of information about living individuals are integral components of the educational practices and administrative processes of the University. Not all of these activities meet the regulatory definitions of "research" and "human subjects." As such, not all of these activities require Institution Review Board (IRB) review.

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

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

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

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

(45 CFR 46.102(f))

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

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

GRIEVANCE POLICY

Chicago Booth is committed to maintaining a climate that supports robust education and research, allowing every student to maximize learning. Respect, civility, and professionalism are essential to the University’s mission and are crucial to ensuring the University’s commitment to free expression principles and academic freedom.

Abuse of authority is the arbitrary or capricious exercise of authority for purposes inconsistent with the University’s educational and research mission. Expression occurring in an academic, educational, or research context is considered a special case and is broadly protected by academic freedom. Such expression will not constitute abuse of authority unless (in addition to satisfying the above definition) it is targeted at a specific person or persons and serves no bona fide academic purpose. Such behavior is unacceptable and counters the principles expressed in the Booth Standards of Scholarship and Professionalism.

Current students and those on approved leaves of absence are eligible to file formal grievances alleging abuse of authority against faculty, staff, postdoctoral researchers, or other academic appointees. Formal grievances will be reviewed and resolved by a small committee of faculty, staff, and students per the procedures below. However, an informal resolution should be the primary method for addressing complaints and concerns. Those options are detailed in this policy, and Booth expects students to attempt informal resolution before filing a formal grievance.

Disputes about grades or other performance metrics should adhere to Booth’s Grade Appeal Procedures unless the concern involves a question of abuse of authority. An example of the potential abuse of authority and grading is outlined below.

In extraordinary circumstances, students may request that a grievance case be handled by the Office of the Provost. If a student wishes to submit a grievance case to be handled by the Provost’s Office, they must provide a supporting rationale for why their case cannot be fairly heard within Booth. Please consult the [University Grievance Policy for Graduate Students](#) for more information.

<i>Not Abuse of Authority</i>	<i>Potential Abuse of Authority</i>
<i>A student receives a lower-than-expected score on an exam.</i>	<i>A student has been assisting one of their instructors by grading in another course the faculty member teaches. During this time, they have received high grades and positive feedback on coursework. After informing the instructor that they can no longer assist with grading, the student receives an atypically low score on an exam.</i>
<i>An instructor disagrees with a claim made by a student during class and corrects the student in front of the entire class.</i>	<i>An instructor negatively responds to a student’s comment in class, berates the student publicly, and suggests they will contact potential employers to warn them against hiring the student.</i>

Related University Policies

Allegation of sexual harassment, misconduct and unlawful discrimination are addressed exclusively under the [University's Policy on Harassment, Discrimination, and Sexual Misconduct](#) and [Policy on Title IX Sexual Harassment](#). More information about these policies and options for reporting and support are available through the [Office of Equal Opportunity Programs](#).

Complaints about student conduct involving possible violation of University policies and regulations and other breaches of standards of behavior should always be brought to the attention of the Director of the Stevens Doctoral Program. For more information, please see [University Disciplinary Systems](#) and [Disciplinary System for Disruptive Conduct](#).

Allegations of academic fraud (e.g. plagiarism; fabrication or falsification of evidence, data, or results; the suppression of relevant evidence or data; the conscious misrepresentation of sources; the theft of ideas; or the intentional misappropriation of the research work or data of others) should also be brought forward in accordance with procedures established in the [University's Policy on Academic Fraud](#).

Issues related to the conduct of members of the University of Chicago Police Department should always be directed to the [University's Safety & Security Complaint Process](#).

Statement of Non-Retaliation

All members of the community should be able to bring forward conflicts, concerns, and possible grievances in a respectful environment and are expected to do so in good faith. The University prohibits retaliation against any person who exercises any rights or responsibilities under this policy. Any act of retaliation may be a separate violation of this policy.

Informal Resolution Options

Recognizing that all situations are unique, Chicago Booth seeks to present students with a number of options and approaches towards addressing conflict and reporting concerns. While formal grievance resolution is only applicable to cases involving an allegation of abuse of authority, the options presented in this section are available to all students regardless of the specific nature of their complaint or concern.

As appropriate, students can raise a concern with the Director or the Faculty Director of the Stevens Doctoral Program. These individuals are able to provide assistance in finding possible informal resolutions. Potential approaches to informal resolutions are outlined below.

Shuttle Diplomacy

The Director and/or Faculty Director will speak with the individual or individuals with whom there is conflict, convey concerns on the student's behalf, and report back about the conversation to the student.

Facilitated Conversation

Students experiencing conflict or any challenging interpersonal situation may benefit from requesting a facilitated conversation. The Director/Faculty Director or designee can arrange a meeting to be attended by both the student and the individual or individuals with whom there is conflict in order to discuss the source of the conflict and collectively address possible solutions.

Reports for Informational Purposes

A student may find themselves in a situation where they want to report a complaint or concern but do not wish to have their individual case acted upon. Students have the option to report concerns or potential abuses of authority for informational purposes. This would be an option

for students who are not seeking individual redress for their situation, but who wish to inform the administration of troubling behavior for the purposes of addressing systemic issues.

Complaints or concerns not related to a grade change may be brought in an email to or a meeting with the Director/Faculty Director. Students can also report concerns or possible abuses of authority to another Program Office staff person who will share the report with the associate dean of faculty and academic services.

Students should be aware that information about these reports may be shared with other university officials without prior consent in the following situations:

- There is a concern about abuse or other possible misconduct that rises to the level of requiring immediate action.
- There is a concern about the student's or another person's health and safety.

Anonymous reports may be made directly to the Office of the Provost [through this form](#). Anonymous reports will be reviewed by the Office of the Provost and shared with academic units and other university officials as appropriate.

Campus-Wide Resources for Informal Resolution and Support

- The [Student Ombuds Office](#) serves as a peer resource to assist students in the resolution of conflicts, concerns, and other problems that they may encounter through the course of University life. Ombuds staff provide individual consultation and [write reports](#) to the campus community identifying recurring student concerns.
- UChicagoGRAD has an administrator who serves as a campus-wide resource for students on issues around graduate student grievance policy and procedures. The staff member can meet with students to discuss individual situations and provide information about options for resolution. Email gradgrievance@uchicago.edu for assistance.

Formal Grievance Procedures

While the informal resolution is available for students to address many conflicts and complaints, the formal resolution process is applicable to instances where there is an allegation of abuse of authority and where attempts at informal resolution have been ineffective.

Timelines are specified for all stages in the formal grievance process. If necessary, specific deadlines may be extended with notice to the student and respondent[s].

Role of Support Person

Both the student and respondent(s) may bring a support person of their choice to any meeting conducted as part of the formal grievance process. However, they must notify the individual or individuals with whom they are meeting of the identity of their support person in advance. If the support person is a lawyer, a representative of the University's Office of Legal Counsel may also attend the meeting. The support person does not function as an advocate or participate directly in any way during the meeting. Both the student and respondent(s) are expected to speak for themselves and submit their own written statements.

Submitting a Formal Grievance

Students wishing to file a formal grievance are required to submit a complaint using [this online form](#).

Initial Review

The form and any provided written documentation will be reviewed by the associate dean of faculty and academic services or the designee will determine if:

- The case is appropriate for formal resolution pursuant to the grievance policy (i.e., it alleges abuse of authority as defined above and is not covered by another policy); and
- The case cannot be resolved by informal means.

The Director or designee will receive and review the complaint to determine if it meets the above-stated criteria for formal resolution. As part of this initial review, the Director or designee may request a meeting with the student to discuss the complaint. At this meeting, there will be discussion of any supportive resources that the student may find helpful.

The student will receive written notification of whether the case meets the criteria for formal resolution within 30 calendar days of submitting the formal grievance complaint.

If the Director or designee decides the complaint is appropriate for resolution, the respondent(s) will be provided with written notice and a copy of the complaint within seven calendar days of the notice to the student.

Chicago Booth Grievance Committee

The Deputy Dean of Faculty will convene a Grievance Committee to consider the case. The Committee is charged with reviewing all information about the case and making a recommendation to the Deputy Dean.

The Committee will generally be composed of three faculty members, one student, associate dean of faculty and academic services, and the Director or Faculty Director.

All members of the Committee are expected to maintain independent judgment and open-mindedness about the alleged grievance, free from material bias and conflicts of interest, or they should recuse themselves.

The student and respondent(s) will be notified of the composition of the Committee as soon as practicable before the Committee begins their review. Either party may request a substitution if the participation of any individual on the Committee poses a conflict of interest. Such requests must be made to the associate dean within two business days of receiving notice of the members of the Committee. Requests must identify with specificity the alleged nature of the conflict of interest. Using reasoned judgment, the associate dean will decide whether the alleged conflict is genuine and material and, if so, whether it compels the Committee member's replacement.

Chicago Booth Grievance Committee Process

The Committee will designate a member or members to:

- Interview, as necessary, individuals who may have relevant knowledge;
- Collect materials, as necessary, including relevant documents.

The complainant and respondent(s) will be given the opportunity to provide relevant documentation, provide names of relevant individuals, and meet with the committee or a designated representative of the committee.

The Committee will apply a preponderance of evidence standard in making its recommendation to the Deputy Dean. Namely, the Committee will decide whether, in consideration of all the information before it, it is more likely than not that an abuse of authority occurred.

Grievance processes and outcomes are intended to create a more respectful and inclusive university environment in which every student has the opportunity to maximize their potential, to provide remedies for students in need of support, and to facilitate productive conversations about challenging issues. In considering appropriate resolutions to grievance cases, Chicago Booth will be guided by the principle that outcomes should focus on addressing harm to the student and preventing its recurrence.

The range of possible outcomes will vary according to the role of the individual found responsible for violating the policy and the severity of the violation. If any individual is found to have abused their authority as defined in this policy, at minimum the Dean and/or other supervisor will meet with the respondent to discuss the finding and expectations regarding future conduct, and a notation regarding the finding and expectations maybe made in the personnel record. Other possible outcomes include, but are not limited to, required training, amendments to teaching and advising assignments, removal from leadership positions or committee assignments, ineligibility for annual pay increases, and referral to applicable processes if further action is recommended. Outcomes will be based on the specific nature of the conduct, the particulars of the situation, and a pattern of violations if such exists.

The student and the respondent(s) shall be notified formally, in writing, of the Deputy Dean's decision no more than 90 calendar days after the case was initially submitted.

Notifications will also provide both parties with information about how to request a review of the outcome by the Office of the Provost under the [Graduate Student Grievance Review Process](#)

CHAPTER 15 – BOOTH STANDARDS OF SCHOLARSHIP AND PROFESSIONALISM

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

Classroom, extracurricular, and professional relationships must be founded on the values and principles of mutual respect, and also on the affirmation of the legal rights of all members of our community. As members of the Chicago Booth community, students (along with administrators, staff, and faculty) are expected to conduct themselves and communicate in a manner consistent with the values of academic, personal, and professional integrity.

This includes, but is not limited to, professional conduct with faculty, other students, and staff through the completion of course requirements, classroom behavior, and extracurricular activities sponsored by Chicago Booth or Chicago Booth–approved student groups, corporate recruiters, alumni, other constituent groups, and members of the student body.

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

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

Specific Standards of Scholarship

Chicago Booth’s Learning Environment

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

1. **Respect for the individual.** There is a deep respect for the individuality of each student and faculty member. Through a wide choice of electives, access to detailed course descriptions in the online Curriculum Guide, and the bidding system to select courses, students can satisfy their particular interests and learning styles. Likewise, faculty members each have the opportunity to decide what they teach and how.
2. **The classroom is a place of learning.** Classrooms at Chicago Booth call for students and faculty to work together to ensure learning. Learning is not a spectator sport; powerful learning experiences require the commitment of both teachers and students. The role of the students is to participate actively in the learning process rather than consume knowledge passively.

3. **Personal integrity.** Both faculty and students are subject to the highest standards of personal integrity in their interactions with Chicago Booth colleagues and with external constituencies. All participants are expected to adhere to the norms established for standards of scholarship.
4. **Continuous improvement.** Chicago Booth is committed to continuous improvement of all aspects of the school's learning environment. Faculty members are encouraged to view the classroom as a laboratory for the testing of cutting-edge, evolving knowledge and techniques.

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

Excellence in a learning environment is attainable only if faculty and students adhere to the ideals listed above. What follows is a set of specific expectations for both students and faculty that follow directly from those ideals.

Student Responsibilities in Class

Academically, each student is responsible for:

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

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

Plagiarism

Plagiarism is the practice of taking someone else's written work or ideas and passing it off as one's own. Students must not represent another's work as their own. In the preparation of all work, students should distinguish between their own ideas and those that have been derived from other sources. Information and opinions drawn from whatever source, even one's own writing or research, should be attributed specifically to its original sources. Punishment for plagiarism may include expulsion from the university. Refer to the section covering "Academic Honesty in Plagiarism" in the university's *Student Manual of University Policies and Regulations* for more details.

EXAMINATIONS AND OTHER GRADED WORK

Graded work is intended to gauge student learning. Accordingly, students should approach exams and other graded work with three guiding principles:

1. Faculty set the terms of evaluation.
2. It is the responsibility of students to abide by those terms.
3. A student should not represent the work of another as his/her/their own.

Unless explicitly stated otherwise, communication is not permitted between students during an examination or on an assignment. Faculty will indicate whether reference materials can be accessed and what tools (such as calculators) may be used.

A paper may be submitted for one course only. Students seeking to use the paper of one course for evaluation in another course must get prior approval from the professor. The title page on a paper should indicate the course (or courses) for which it is submitted. Failure to follow these rules will result in disciplinary action.

Examination Policies

Final exams are to be administered and taken during pre-determined finals periods. Students are expected to be available to write examinations during scheduled exam periods.

Students with unavoidable circumstances, such as illness, grave personal difficulty or a death in the family, should contact the Program Office, and a staff member will work with the faculty in appropriate cases to find a resolution.

Periodically students face conflicts between scheduled exams and work-related commitments. For example, the start of an internship can create a conflict with pre-announced exam periods. In the event of a conflict, students need to speak directly with their faculty regarding the conflict. The resolution of this conflict rests solely with the faculty member.

Harassment, Discrimination, and Sexual Misconduct

The University of Chicago is a community of scholars dedicated to research, academic excellence, and the pursuit and cultivation of learning. Members of the University community cannot thrive unless each is accepted as an autonomous individual and is treated without regard to characteristics irrelevant to participation in the life of the University. Freedom of expression is vital to our shared goal of the pursuit of knowledge and should not be restricted by a multitude of rules. At the same time, unlawful discrimination, including harassment, compromises the integrity of the University.

Sexual misconduct may violate the law, does violate the standards of our community, and is unacceptable at the University of Chicago. Sexual misconduct can be devastating to the person who experiences it directly and can adversely impact family, friends, and the larger community. Regardless of the definitions provided below, people who believe they have experienced any sexual misconduct are encouraged to report the incident and to seek medical care and support as soon as possible.

Sexual harassment including sexual assault by any member of the university community is prohibited. Specifically, the university maintains a Policy on Title IX Sexual Harassment, which prohibits sexual harassment and conforms to legal requirements under Title IX of the Education Amendments of 1971 (“Title IX”), a civil rights law that prohibits sex discrimination by recipients of federal financial assistance, like the University of Chicago, and the US Department of Education’s implementing regulations for Title IX. In addition, matters that do not constitute sexual harassment under the Policy on Title IX Sexual Harassment may

still constitute misconduct that is incompatible with the university's standards and may be the subject to the University of Chicago's Policy on Harassment, Discrimination, and Sexual Misconduct.

Without feeling constrained by specific definitions, any person who believes that his or her educational or work experience is compromised by sexual harassment or sexual assault should contact an advisor or director in his or her appropriate program office to discuss the situation. A student may also seek assistance from the Sexual Assault Dean-on-Call program, <https://csl.uchicago.edu/get-help/sexual-abuse-assault/sexual-assault-dean-call-program> or the Title IX coordinator for students at 773.702.0438 or titleix@uchicago.edu.

The University has disciplinary processes in place to investigate and, when warranted, adjudicate sexual misconduct complaints about students. The university's Title IX coordinator can discuss this process with any person who wishes to make a complaint or is considering making a complaint about a student. The Title IX coordinator for the university can be reached at 773.702.5671 or bcollier@uchicago.edu. Information about the formal resolution process under the Policy on Title IX Sexual Harassment can be found [here](#).

Information about the university-wide disciplinary system, which hears complaints under the Policy on Harassment, Discrimination and Sexual Misconduct can be found [here](#).

Students who have experienced sexual misconduct, dating violence, domestic violence, and stalking perpetrated by another student are not obligated to engage with University offices or respond to institutional outreach regarding the matter. However, in some instances the University may need to move forward based on information already received. If this occurs, the students involved will be notified that the process is proceeding.

The University has a disciplinary process in place for complaints pertaining to faculty, other academic appointees, postdoctoral researchers, and staff members accused of violating the University's Policy on Harassment, Discrimination, and Sexual Misconduct. The Policy on Title IX Sexual Harassment can be found online [here](#). The associate provost and Title IX coordinator for the University can discuss this process with any person who wishes to make a complaint or is considering making a complaint about faculty, other academic appointees, postdoctoral researchers, and staff members. The associate provost can be reached at 773.702.5671. More information on disciplinary procedures under the Title IX policy for faculty, OAs, and postdocs can be found online. It is also available under the Policy on Harassment, Discrimination and Sexual Misconduct [here](#). The University of Chicago strictly prohibits retaliation of any kind by either party involved in the reporting and adjudication of incidents.

For the entire Policy on Harassment, Discrimination, and Sexual Misconduct, students should refer to the university's *Student Manual of University Policies and Regulations* available online at <https://harassmentpolicy.uchicago.edu>. The Policy on Title IX Sexual Harassment can be found online at: titleixpolicy.uchicago.edu.

Civil Behavior in a University Setting

At the University of Chicago, freedom of expression is vital to our shared goal of the pursuit of knowledge, as is the right of all members of the community to explore new ideas and learn from one another. To preserve an environment of spirited and open debate, we should all have the opportunity to contribute to intellectual exchanges and participate fully in the life of the university.

The ideas of different members of the university community will frequently conflict, and we do not attempt to shield people from ideas that they may find unwelcome, disagreeable, or even offensive. Nor, as a general rule, does the university intervene to enforce social standards of civility. There are, however, some circumstances in which behavior so violates our community's standards that formal university intervention may be appropriate. The university may restrict expression that violates the law, that falsely defames a specific individual, that constitutes a genuine threat or harassment, that unjustifiably invades substantial privacy or confidentiality interests, or that is otherwise directly incompatible with the functioning of the university. In addition, the university may reasonably regulate the time, place and manner of expression to ensure that it does not disrupt the ordinary activities of the University.

For additional information regarding the university's commitment to free, robust, and uninhibited debate and deliberation among all members of the university's community, please see the Report of the Committee on Freedom of Expression available online.

Specific Standards of Professionalism

Alcohol and Other Drugs

Illinois law prohibits the consumption and possession of alcohol by persons under the age of 21, and the supplying of alcohol to any person under the age of 21. Illinois law also prohibits the sale of alcoholic beverages except by those licensed to sell such beverages. All members of the university community should be aware of the requirements of Illinois law concerning the consumption, possession, and sale of alcoholic beverages.

Although recreational marijuana use for adults ages 21 and over is legal in Illinois, federal law prohibits its possession, distribution and use in any form on the university's campus, including University of Chicago owned and operated property and facilities, and during any university function.

The university expects each member of the community to be responsible for his or her own conduct and for the consequences of that conduct. Any violation of the university alcohol and other drug policy by a student will result in appropriate disciplinary proceedings, as well as possible legal ones. Individuals planning campus events should consult with the Program Office.

For the entire policy, students should refer to the university's Student Manual of University Policies and Regulations available [online](#).

Alumni

Many alumni are willing to assist current students with informational interviews, with class projects, and/or to give an overview of the industry, function and/or firm in which they work.

Access to alumni data is a privilege, not an entitlement. Students found to solicit their peers or who mass email members of the community may lose this privilege. Common sense and courtesy should always prevail.

Students with questions on alumni-related matters should contact Alumni Relations at 773.702.7731, alumni@chicagobooth.edu or chicagobooth.edu/alumni.

Career Services and the Job Market

Students must accurately represent themselves and their experiences in all written and oral communications with universities and companies.

Students may not renege on an accepted offer, verbal or written. This is important in upholding one's own reputation, as well as Booth's brand within the community. Regarding

academic job offers, students should check with their relevant professional association and can follow whatever rookie recruiting guidelines they have (if any), even if it contraindicates the Chicago Booth policy.

The Pichler Initiative on Professional Development provides career resources for PhD students. Contact the Senior Associate Director for more Information. On campus recruiting through MBA Career Services is only for students enrolled in the MBA program, not for PhD students, even if they are getting an MBA.

Interactions with Faculty, Teaching Assistants and Staff

All communications with faculty, Teaching assistants, and staff should be conducted in a professional manner. Discussion in class, in study groups, and in meetings with program advisors should relate directly to topics pertaining to the academic course or professional matters at hand.

CHAPTER 16 – DISCIPLINARY PROCEDURES AND THE HONOR CODE

University Disciplinary Procedures

The intent of student disciplinary procedures is to ensure a fair and orderly process on questions of possible student misconduct. A disciplinary inquiry enjoys neither the advantages nor the limitations inherent in an adversarial proceeding of a court of law. A student may be held accountable for their misconduct to external civil, criminal, and administrative processes as well as to the university. The university's disciplinary system normally will proceed regardless of those external processes. A disciplinary committee is not bound by external findings, adjudications or processes.

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

For the complete text of the university's disciplinary system, please refer to the *Student Manual of University Policies and Regulations*.

Conduct involving violations of the Policy on Title IX Sexual Harassment may be addressed using the informal resolution process or the formal resolution process for Title IX Sexual Harassment. The informal resolution process is described in the student manual her, as is the formal resolution process.

Disruptive conduct (as defined by University Statue 21) is addressed by the Disciplinary System for Disruptive Conduct, which is described in the Student Manual.

Chicago Booth follows the university disciplinary procedures as described in the Student Manual except as modified below. The area disciplinary systems section of the Student Manual can be found here: studentmanual.uchicago.edu/student-life-conduct/university-disciplinary-systems/area-disciplinary-systems.

Chicago Booth School of Business Disciplinary Procedures

Any allegation against a student that is not a matter under the university's policy on Title IX Sexual Harassment or Policy on Harassment, Discrimination, or Sexual Misconduct, whether brought by a faculty member, a member of the administration, a student, or other complainant, must be detailed in writing to the Director of the Stevens Doctoral Program. The student accused of the possible misconduct is contacted by the Director and informed of the accusations and relevant details. The student is asked to prepare a written response to the accusation. The Director will present the written response and additional information/evidence to the deputy dean (or their designee). The deputy dean (or their designee), in consultation with the Director and Faculty Director, has the authority to dismiss the complaint, informally resolve it, or recommend that the matter be brought to a disciplinary committee.

If a committee is to be convened, the deputy dean (or designee) will appoint a committee consisting of three faculty members, two students, the Director (or designee), and a

representative from Campus and Student Life (CSL). The Director (or designee) and the CSL representative attend the meeting in a non-voting capacity. The Director acts as a liaison to the student and assembles any required documentation for the committee. No member of the committee may engage in independent investigations or have contact with any of the parties outside of the scheduled meetings. If an in-person appearance is not feasible, Chicago Booth will make the appropriate technical arrangements/accommodations for remote access.

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

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

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

Chicago Booth Honor Code

The Chicago Booth community (faculty, students, alumni, deans and staff) shares a commitment to honesty and integrity. The Chicago Booth Honor Code embodies the standards of scholarship and professionalism that we value and that foster an environment of trust and respect.

Upon admission, each student commits to abide by the Chicago Booth Honor Code. Students who violate the Chicago Booth Honor Code renege on this agreement and must accept the sanctions imposed by the Chicago Booth community, which may include official Chicago Booth disciplinary action.

1. Each member of the Chicago Booth Community, as a person of integrity, has a personal obligation to the Chicago Booth Honor Code and Standards of Scholarship and Professionalism to report known violations to the appropriate program office.
2. No student shall misrepresent themselves, their experiences, or their academic record during the admissions process. All offers of admission are contingent upon the applicant's signature on the application document agreeing to adhere to the Chicago Booth Honor Code.
3. No student shall represent another's work as their own. No person shall receive disallowed assistance of any sort, or provide disallowed assistance to another student, at any time before, during, or after an examination or with respect to other graded work for a course.
4. Each student shall sign the following pledge on each exam: "I pledge my honor that I have not violated the Chicago Booth Honor Code during this examination." At the discretion of the professor, this pledge may be required on any other graded work for a course.

5. Each professor, in the course syllabus, shall state that students are required to adhere to the standards of conduct in the Chicago Booth Honor Code and Standards of Scholarship and Professionalism and state any additional standards of conduct for the course.
6. The principles embodied in the Chicago Booth Honor Code apply to every part of the Chicago Booth community.
7. Violations of the Chicago Booth Honor Code that relate to academic issues will be handled according to the university and Chicago Booth's disciplinary procedures (see above).
8. Nonacademic violations of administrative policies (for example, the administrative policies of Information Technology) will be handled procedurally in the forum (Program Office, etc.) in which the violation occurred, but may be referred to a disciplinary committee for further action. Decisions related to nonacademic violations of the Chicago Booth Honor Code or the Standards of Scholarship and Professionalism may be appealed to the deputy dean of the program in which the violation occurred.
9. Purposefully misleading the Chicago Booth Honor Code judicial process is a violation of the Chicago Booth Honor Code