



**OFFICE OF DOCTORAL PROGRAMS
FIU BUSINESS
DOCTORAL PROGRAMS
POLICIES AND PROCEDURES MANUAL
June 2021**

This doctoral policies and procedures manual is intended for the guidance of both graduate faculty and students in the FIU Business Ph.D. and DBA programs. Its purpose is to bring together pertinent information essential for FIU Business doctoral faculty, students, and candidates, and is meant to supplement and to clarify guidelines for doctoral study set forth by the University Graduate School and the University as a whole. For information on University Graduate School policies and procedures, see: <http://gradschool.fiu.edu/>

Both FIU Business doctoral students and faculty have a responsibility to become familiar with these policies.

FIU BUSINESS

Doctoral Programs

Policies and Procedures Manual

Contents

DOCTORAL PROGRAM OVERVIEW.....	2
Philosophy and Objectives	2
FIU Business Office of Doctoral Programs	3
Office of Doctoral Programs Structure	3
Office of Doctoral Programs Director’s Committee (DPDC).....	3
Doctoral Student Responsibilities	4
PROGRAM OF STUDY	4
Developing the Program of Study	4
Basic Coursework Requirements.....	5
Concentration Area Coursework	5
Departmental Service Requirements	5
QUALIFYING EXAMINATION	6
COMPREHENSIVE EXAMINATION	6
The Examination.....	7
ADVANCEMENT TO CANDIDACY AND DISSERTATION	8
Dissertation Committee.....	8
DISSERTATION COMMITTEE ROLES AND RESPONSIBILITIES	9
Dissertation Chair Responsibilities	9
Dissertation Committee Member Responsibilities	10
Dissertation Candidate Responsibilities	10
IRB Training Requirements	10
Dissertation Committee Appointment (Form D-1).....	11
Advancement to Candidacy (Form D-2).....	11
Dissertation Proposal (Form D-3)	12
The Dissertation Defense (Form D-5 and ETD).....	13
PETITIONS	14
GRADUATION	14
PROGRAM FUNDING AND SUPPORT	14
PROGRAM TERMINATION AND ACADEMIC MISCONDUCT.....	15
Program Re-admission.....	17

DOCTORAL PROGRAM OVERVIEW

The Doctoral Program in Business emphasizes the development of excellence in both research and teaching acumen to ensure that graduates acquire the credentials necessary for successful completion of terminal degree requirements and placement in academic institutions (where appropriate). The Ph.D. concentration program requires four years of full-time study, including approximately two years of dissertation research. The Doctorate in Business Administration (DBA) track requires three years of full-time study with one year of dissertation research. A set of core or "tool area" business courses, geared toward establishing the student's breadth of knowledge, is required of all doctoral candidates during the first two years of study along with any concentration courses prescribed by the department.

Major areas of concentration include:

- Accounting
- Information Systems and Business Analytics
- Finance
- Global Leadership and Management
- International Business
- Marketing
- Doctorate in Business Administration - DBA

For additional information regarding FIU Business Ph.D. concentrations, see <https://business.fiu.edu/graduate/phd/index.cfm>

For additional information regarding FIU Business DBA program, see <https://business.fiu.edu/graduate/doctor-of-business-administration/index.cfm>

Philosophy and Objectives

The doctoral degree in business¹ is a research oriented academic degree. Accordingly, the program for each concentration area has a very strong emphasis on research activity. At the same time, attention is directed to the development of the skills conducive to excellence in classroom. Program goals include:

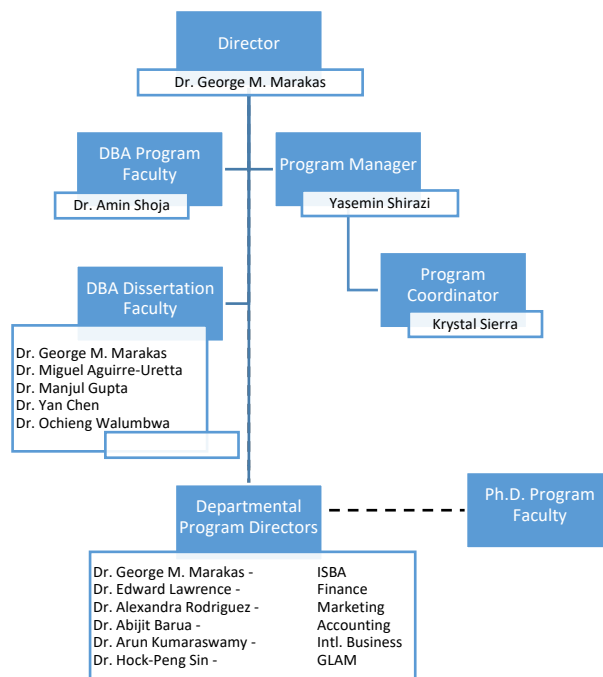
- To provide the student with an in-depth conceptual knowledge of contemporary research issues and research paradigms in a major area of concentration and supporting discipline.
- To integrate propositions or arguments into a logical framework, and to communicate the results in a scholarly fashion.
- To provide the student with a sound conceptual understanding of a set of research tools and skills, (e.g., econometrics, psychometrics, research design and methodology, programming simulation).
- To teach what is required, and to provide guidance, in preparation of scholarly papers for publication.
- To assist the student in the development of excellence in classroom instruction and teaching effectiveness including, but not limited to, classroom management, teaching skills, etc. (Ph.D. only)
- To foster an understanding of the ethical issues involved in research and teaching and promote the attainment of the highest standards in the academic environment.

¹ Unless specified otherwise, the term doctoral degree will refer to both Ph.D. and DBA degrees.

FIU Business Office of Doctoral Programs

The Office of Doctoral Programs (ODP) is responsible for all aspects of doctoral programs governance, administration, and delivery with the FIU College of Business and Chapman Graduate School. The Director, appointed by the Dean of the College of Business, reports to the Associate Dean for the Chapman Graduate School, and represents FIU Business in all transactions related to Chapman doctoral programs with the University Graduate School and the University as a whole. The Director serves as the permanent Chair for the Doctoral Programs' Director's Committee (DPDC) and is the direct supervisor for all employees assigned to the office as well as adjunct and visiting faculty assigned to the FIU Business DBA program.

Office of Doctoral Programs Structure



Office of Doctoral Programs Director's Committee (DPDC)

The DPDC consists of one faculty appointed by each academic unit offering a Ph.D. within the College of Business. This committee meets regularly with the FIU Business Director of the Office of Doctoral Programs to discuss issues and plans for program development. It is the policy of FIU Business that DPDC members and the Office of Doctoral Programs Director are classified by the University Graduate School members of the Graduate Faculty and hold a current DAS (Dissertation Advisor Status) designation.

The Committee meets as necessary and evaluates general academic, progress, research direction, competency in basic tool area requirements and classroom activities. The DPDC is charged with providing input to the FIU Business Office of Doctoral Programs and the responsibility of maintaining the standards for doctoral student admission and programs of study within FIU Business.

Doctoral Student Responsibilities

- The conscientious discharge of research or scholarship responsibilities, which may include teaching responsibilities as assigned by the department chair or director.
- Compliance with all relevant federal, state, and municipal regulations and guidelines that relate to human subject's research.
- Compliance with good scholarly and research practice.
- Open and timely discussion with assigned faculty mentor and/or departmental director regarding all facets of the research activities.
- Accurate and timely recording and documentation of research results.
- Prompt disclosure to the assigned faculty mentor and/or departmental director regarding the possession and desire to distribute materials, software, copyrightable and potentially patentable discoveries derived from research made within the scope of university employment or research, or created with University Support or made in the field or discipline in which the Inventor is employed by the University.
- Collegial conduct towards members of the University.
- Compliance with all applicable policies and procedures of the University and the department/responsible unit.
- Conformance to standards of responsible, ethical conduct in research, including taking all required training as prescribed by the department, FIU Business, and UGS.
- Compliance with all Human Subjects of Research requirements as outlined in the Belmont report and by the Institutional Review Board at FIU.
 - The Belmont Report
 - <http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html>
 - FIU Institutional Research Board
 - <http://research.fiu.edu/irb/>

PROGRAM OF STUDY

The Program of Study is designed to develop core competencies with consideration of an individual student's interests and goals.

Developing the Program of Study

Each doctoral student will develop a Program of Study in conjunction with the Departmental Doctoral Program Director upon entrance into the program. Development of the program of study is generally an iterative process which provides a student with reasonable certainty regarding the necessary milestones in pursuit of the degree, while at the same time allowing flexibility for adjustment to the dynamic nature of doctoral level study. Each discipline controls and coordinates their respective program curriculum and, with certain exceptions, is generally pre-ordained in a lock-step fashion. Accordingly, the student and the Departmental Doctoral Program Director will meet regularly to discuss and implement adjustments in proposed coursework. When a student has formally declared a Dissertation Committee, the responsibility for the student's progress within the Program of Study is generally reassigned to the dissertation committee Chair.

Basic Coursework Requirements

The coursework necessary to satisfy the core "tool area" and fundamental requirements of the program include six doctoral level courses. These six courses are tailored for each area of concentration.

The program will be tailored to meet the needs of the student's area of specialization. For example, the statistics requirement may be a sequence of coursework in econometrics or psychometrics. Quantitative methods might include deterministic or stochastic methods, simulation, or causal modeling with structural equations. Selection of this portion of the student's program will be coordinated between the student's Departmental Doctoral Program Director and the Chairperson/Director of the student's area of concentration.

Tool area requirements will normally comprise the first and second years of coursework, along with any prerequisites that are necessary to enable the student to undertake doctoral level coursework.

Concentration Area Coursework

Concentration area coursework includes course offerings within particular departments. In tailoring the program to interests and goals, the student's departmental Doctoral Program Director may design a program of study including both required and elective courses within the concentration area as well as other areas, departments, or colleges.

Departmental Service Requirements

As a function of the stipend paid to the Ph.D. student during their studies, an expectation of service to their respective department exists. Unless otherwise established by the Departmental Doctoral Program Director, each student will be expected to render 20 hours per week of service to their department. Such service assignments will be determined and coordinated by the Departmental Doctoral Program Director (and/or Department Chair) and may consist of (but are not limited to) assignment as a research assistant to one or more faculty members, a teaching assistant to one or more faculty members, or both. The intention of these assignments is to create a mentorship whereby the student becomes exposed to the department's faculty, their research interests, their approaches to teaching, and to overall socialization into the Academy and professorate. Exact responsibilities for a given assignment will be coordinated between the student and their assigned supervisor but it is expected and assumed that research assistant assignments will be material in nature and should result in a publication shown to be co-authored by the faculty member and the student or recognition given to the student to acknowledge their participation in the research. This expectation does not preclude the student being engaged to perform basic data extraction or initial literature review commonly associated with the very early stages of a research project.

Teaching excellence and classroom experience are equally important parts of the program. All Ph.D. students will serve as teaching assistants for at least one academic term. All students on assistantship will then be required, as directed by the Departmental Doctoral Program Director, to teach one course each semester until graduation, including summer, from the beginning of their third year (or following formal advancement to candidacy) until completion of their four-year program. Ten hours of required weekly service to the department will be allocated when teaching. No teaching assignment will be required of a Ph.D. candidate during their last semester

before graduation. Such teaching requirements are set by the Dean's office within FIU Business and are subject to change.

QUALIFYING EXAMINATION

A qualifying examination held between Years 1 and 2 of doctoral coursework may be required by any concentration and will be configured and administered by the Departmental Doctoral Director for that concentration. Successful matriculation of the qualifying examination is required for continuation in the program.

DBA students will successfully complete a supervised summer research project as their qualifying exam. As above, successful completion of the summer research project and submission of the required writeup by the established deadline is required for continuation in the program.

COMPREHENSIVE EXAMINATION

A comprehensive examination will be required for all Ph.D. students². A passing score will be necessary for advancement to candidacy and to begin the focus on dissertation research. The comprehensive examination may consist of both written and oral sections and will test the student's competence and mastery of his or her field of specialization.

To be eligible to sit for the comprehensive examination, students must meet the following criteria:

- All course work must have been completed by the end of the semester prior to the semester in which the exam is administered, or the student's Departmental Doctoral Program Director must certify that the student is capable of completing all required course work for the degree by the end of the semester in which the comprehensive examination is administered.
- The student must have completed the residency requirement or must be enrolled for the course work which will constitute such completion at the time of examination.
- Grades of Incomplete must be removed from the student's transcript prior to taking the exam.
- The student must be in good academic standing in the University.
- The Departmental Doctoral Program Director must certify that the student has completed all required course work for the degree.

The content and nature of the comprehensive examination for a given discipline will be determined and coordinated by the Departmental Doctoral Program in conjunction with any requirements or guidelines established by the College of Business. Exact criteria for grading and, if necessary, scheduling a retake of the examination will also be handled at the departmental level. Under no circumstances, however, will more than two comprehensive examination opportunities be afforded to any student. Failure to successfully pass a re-take of the comprehensive examination will result in the student being released from the doctoral program with no recourse or degree awarded beyond their completed coursework appearing on their permanent transcript.

All comprehensive examination results must be determined and reported to the student no later than 21 days following the completion of the exam. This includes both written and oral

² DBA students are exempt from the comprehensive examination requirement.

examination results. Once a final determination has been made, the results must be reported to the Office of Doctoral Programs and the University Graduate School.

Comprehensive examinations must be successfully completed within three years from the time of admission to the program. Any exceptions to this policy must be recommended by the Departmental Doctoral Program Director of the degree concentration area and the Director of the FIU Business Office of Doctoral Programs.

The Examination

The comprehensive examination is intended to be a screening mechanism for Ph.D. candidates. Passing both written and/or oral sections of the exam is necessary for the Ph.D. student to advance to candidacy. The exam should be sufficiently rigorous so as to discriminate among those students who need additional study, those who should be terminated from the program, and those who have achieved a sufficient level of knowledge and scholarly ability to advance to candidacy and dissertation research. Standards of excellence are very high and accordingly such performance is demanded of all candidates. The final content and form of the comprehensive examination will be determined by the Departmental Doctoral Program Director using the guidelines set forth in this section.

Examination questions, in general, are intended to test the potential candidate's conceptual knowledge base and her/his ability to utilize this knowledge to:

- analytically differentiate among distinct dimensions of a problem or issue
- integrate propositions or arguments into a logical framework
- communicate effectively in a scholarly manner

The student is also expected to be able to take a given problem and demonstrate how he/she might research it. Such examination questions involve the identification of the fundamental research objectives, research questions, hypotheses, research methodology, and underlying propositions or limiting assumptions. Moreover, candidates are expected to integrate knowledge from supporting disciplines into their discussions where appropriate.

Every candidate should, at minimum, be familiar with the classic literature of his/her discipline and must keep current with contemporary research of the discipline. Therefore, a candidate should be prepared to handle conceptual questions related to the classical literature and recently published research in major journals.

In keeping with the philosophy of program tailoring, part of the examination will cover areas expected of all candidates for the degree and part will be specifically tailored to the student's program of study. As part of the examination, the student may be expected to demonstrate the ability to critique an unpublished manuscript or article in her/his area of professed expertise.

Although candidates are expected to be knowledgeable with respect to authoritative pronouncements and have skills in solving related problems, these will not be tested on the comprehensive examination. Assessment of these requirements will be satisfied by other means as determined by the department of the student's degree concentration.

Following successful completion of the comprehensive examination the student will be advanced to Ph.D. Candidacy.

Candidates who receive an overall grade of No Pass in the comprehensive examination will be allowed to take the examination a second time no later than three months following the initial administration of the first examination. The departmental Doctoral Program Director is responsible to work with the student in assigning remedial work deemed necessary to better prepare the student to retake the examination. The content and nature of such remediation is left to the discretion of the departmental Doctoral Program Director. Should the candidate receive an overall grade of No Pass on the second administration of the examination, he/she will be terminated from the doctoral program without recourse (see Program Termination below). The final structure, content, and adjudication of the comprehensive exam results shall be dictated by the departmental requirements for the degree concentration.

ADVANCEMENT TO CANDIDACY AND DISSERTATION

The dissertation is the culmination of the student's program of study. It is intended to be an original contribution of theoretical and/or empirical importance to the candidate's field of study. Further, it is expected that the structure and content of the dissertation will lead to one or more publications to targeted journals within the candidate's discipline of study. During this sequence, a minimum of 18 hours of dissertation credits must be taken and the completed dissertation must be successfully defended.

Dissertation Committee

The purpose of the candidate's dissertation committee is to guide development of the dissertation and prepare the student to gainfully enter the professorate.

The dissertation committee functions to:

- advise the candidate in all academic and research matters
- formulate a program of study
- approve the dissertation proposal
- review program progress on the dissertation research
- administer the defense of dissertation
- render final approval of the dissertation

The dissertation committee consists of an FIU Business faculty member, holding Dissertation Advisor Status (DAS) with UGS, serving as the dissertation committee Chair (Chair) and three or more additional faculty members – the selection of which is the sole discretion and responsibility of the candidate³. The Chair should have a clear academic competence in the candidate's major field and should assist the candidate in the determination of appropriate faculty members to invite to join the committee.

The candidate is expected to formally invite each prospective faculty member to join the committee with the understanding that a faculty member may decline the invitation for any reason. Ultimately, the faculty members comprising the dissertation committee should be selected by the candidate such that relevant emphases of the dissertation are fully represented. All members of the committee must be admitted as members of the Graduate Faculty:

³ DBA candidates will be assigned to a Chair and committee members by the Director of the Office of Doctoral Programs.

<http://gradschool.fiu.edu/faculty-staff-grad-das-faculty.shtml>

One member of the dissertation committee must be from outside the candidate's department. This designated "outside member" may be from another department within FIU Business, another college, a professional from a relevant external agency, or a faculty member another university whose appointment has been approved by the Chair of the committee and the Departmental Director of the Doctoral Program of the degree concentration area of the doctoral program.

Committee members who are not faculty members at FIU must be approved by the Departmental Doctoral Program Director. The dissertation Chair must submit a curriculum vita for the non-FIU member along with a memo describing the role the non-FIU member will play on the dissertation committee. A signed copy of the non-FIU commitment form from the University Graduate School is also required with the memo and CV. The curriculum vita should be attached to Form D-1 (formation of a dissertation committee) upon departmental Doctoral Program Director approval. Under no circumstances may an external committee member (FIU or non-FIU) be the Chair of the candidate's dissertation committee and may not be relatives or on-site paid supervisors of a student.

If additional committee members do not have FIU Graduate Faculty status, these individuals must understand the time commitment required to read the doctoral student's proposal, participate in annual progress meetings, and attend the dissertation defense. Non-FIU Graduate Faculty committee members must submit a CV and complete the Commitment Form for Non-FIU Committee Members. These documents must be submitted with D-1 form. Non-FIU Graduate Faculty must be approved by the UGS.

DISSERTATION COMMITTEE ROLES AND RESPONSIBILITIES

Dissertation Chair Responsibilities

The dissertation chair for Ph.D. committees is invited by the Ph.D. candidate and approved by the ODP and UGS per the previous section. The DBA dissertation chair will be selected by the FIU Business Director of ODP based on content expertise, research acumen and experience, and a positive relationship with the DBA program. The dissertation chair for all doctoral committees is responsible for guiding the candidate to produce doctoral level, applied research scholarship in their proposed topic area.

The Dissertation Chair's responsibilities include:

- being familiar with current FIU UGS dissertation policies and procedures.
- advising the candidate through the final defense of the dissertation.
- guiding the candidate to set a realistic timeline for completion of the dissertation.
- insuring candidate will complete all dissertation requirements and graduate by the date set forth for the candidate's cohort (DBA) or expected program length (Ph.D.).
- responsibly assigning the candidate a grade for dissertation credit each semester based on performance and adherence to learning objectives and assigned responsibilities.
- guiding the candidate toward achieving a high level of technical and ethical quality in the dissertation research.
- guiding the candidate in the selection of methods/procedures for data collection and analysis.

- assisting the candidate in the dissertation proposal defense process.
- assisting the candidate in navigating the IRB approval process.
- assisting the candidate in data collection and analysis.
- submit monthly progress reports for each candidate under their charge (DBA).
- preparing the candidate for the defense process.

All members of the candidate's committee share responsibility in ensuring that the candidate produces high-quality scholarship. Committee members are responsible for reading manuscripts within an agreed-upon time frame as requested by the dissertation Chair, suggesting substantive editorial changes, and providing rationale for their support and critiques. Committee members who perceive major flaws that are likely to result in a candidate's unsuccessful defense should discuss these concerns with the dissertation committee Chair immediately.

Dissertation Committee Member Responsibilities

Committee member's responsibilities include:

- In cooperation with the dissertation Chair, advising (as necessary) the candidate through the final defense of the dissertation.
- provide subject matter expertise as requested by the Chair.
- reading drafts and providing meaningful feedback at each defense stage of the dissertation process.
- guiding the candidate in the selection of methods/procedures for data collection and analysis.
- assisting the candidate in data collection and analysis as requested by the Chair.
- Corresponding with the Chair and candidate as needed for clarification/resolution of methodological issues during the dissertation process.

Dissertation Candidate Responsibilities

The candidate is expected to engage in active preparation of the dissertation process from the onset of the dissertation coursework phase of the program. Candidates are responsible for choosing a topic, submitting proofread drafts of materials to the Chair, preparing adequately for meetings, thoroughly reviewing all dissertation policies and procedures, and communicating on a regular basis with the Chair via email, phone, or other communication modality. The candidate is expected to maintain a respectful and professional attitude always.

Candidates are expected to maintain contact with the Chair throughout the dissertation process to ensure that the research and writing adhere to the agreed-upon plan and timeline. As the project is the candidate's responsibility, s/he must frequently keep the Chair informed of progress such that the required progress reports (DBA only) can be completed by the Chair and submitted in a timely manner to the FIU Business ODP. The candidate should contact the Chair in the event of any significant changes in his/her personal or professional life which may interfere with program completion and agreed upon deadlines.

IRB Training Requirements

Federal Regulations require that key personnel in studies involving human subjects undergo training to improve research subject safety. Key personnel are all individuals responsible for the design and conduct of the study. This includes the PI, Co-PI's, Supervisors, and other personnel who will be interacting with the human subject or that will be handling data (even if they do not interact with the human subjects). All dissertation Chairs and dissertation candidates are required

to complete all required IRB training and obtain IRB approval for any human subject's data collection effort prior to dissertation proposal defense.

As of January 2, 2013, FIU will only accept human subject training through the Collaborative IRB Training Initiative Program (CITI). This new requirement applies to all new IRB protocol submissions and when adding project personnel onto an existing IRB-approved protocol. Investigators with active IRB protocols will need to ensure that all project personnel have satisfied this new IRB training requirement when submitting for their next IRB continuing review.

Required CITI IRB Online Training for All Researchers (Initial Training). To complete the required training and for more information, go to the FIU Research website at <http://www.citiprogram.org>

Dissertation Committee Appointment (Form D-1)

No later than 60 days following the successful completion of the comprehensive examination, form D-1 should be completed by the candidate and submitted to the FIU Business Office of Doctoral Programs immediately upon formation of a dissertation committee. All D-forms require the signatures of the ODP Director, and the Associate Dean for the Chapman Graduate School and ample time should be allotted to collect these signatures. It is highly recommended that the candidate begins the process of inviting faculty to serve as Chair or as a member of his or her committee in the semester prior to the first administration of the comprehensive examination so as to avoid delays in the filing of form D-1. Regardless of the situation, form D-1 must be filed no later than four semesters prior to the anticipated graduation term.⁴

The composition of a dissertation committee may need to be changed at some point during a candidate's program of study. If this should become necessary, the candidate must submit the D-1r form to the FIU Business ODP following discussion and approval from the candidate's dissertation Chair. Should the candidate request changing of the dissertation Chair, the candidate should submit a written request to both Departmental Doctoral Program Director and the Director for the FIU Business ODP.

The committee appointments are approved by FIU Business on the recommendation of the Departmental Doctoral Program Director and with the approval of the Director for the ODP.

If a committee vacancy should occur or if, for legitimate reasons, the candidate wishes to change the composition of the dissertation committee, he or she should first discuss the changes with the dissertation committee Chair. If the Chair agrees, the changes are forwarded to the Departmental Doctoral Program Director, then to the Director for the FIU Business ODP.

Advancement to Candidacy (Form D-2)

Form D-2 must be submitted to the Graduate School no later than five business days before the first day of classes and must be on file and approved by the Graduate School by the first day of classes in the term in which the candidate advances to doctoral candidacy. Candidates will not be allowed to register for dissertation credits without an approved form D-2 on file at the University Graduate School.

A graduate student is not a candidate for the Ph.D. degree until granted formal admission to candidacy by completion of Form D-2 (Program for Doctoral Degree and Application for Candidacy). This form requires signatures from the candidate's dissertation committee Chair, the

⁴ DBA students will have their forms administered by the FIU Business ODP.

Director for ODP, and the Dean of the University Graduate School. Approval is based on:

- completion of coursework specified in the Program of Study
- successful completion of the Comprehensive Examination
- completion of the Quantitative Skills Requirement (if required by the departmental degree of concentration).

Dissertation Proposal (Form D-3)

A dissertation is required of all candidates for the Ph.D. and DBA degrees and must conform to the format outlined in the Regulations for Thesis and Dissertation Preparation Manual available to students online from the Graduate School:

http://gradschool.fiu.edu/documents/Graduate_Packet_For_Dissertations.pdf

The primary objective of the dissertation proposal and proposal defense is to ensure that the candidate is ready to proceed with a theoretical or empirical research-oriented dissertation. Careful thought must be given to specific details and complete plans of the research task, design, and methodology.

Form D-3 should be submitted to the Director for ODP as soon as the dissertation proposal has been developed and approved by the candidate's dissertation committee. Form D-3 should typically be submitted within a semester following the submission of form D-2 but no later than three semesters prior to the anticipated graduation date. Summer term is counted as a semester.

If the candidate's research involves human subjects, the research (including all protocols and instruments) must be approved by the Institutional Review Board (IRB). IRB approval is the responsibility of the candidate, and failure to obtain approval is grounds for charges of academic misconduct. See <http://research.fiu.edu/irb/> for the details and requirements associated with the approval process.

Each candidate is required to present and defend his or her proposal before the dissertation committee (the proposal defense). Final authority for approval or disapproval of the proposal will rest with the members of the committee and unanimous consent must be obtained. Once the dissertation proposal is approved, the candidate may proceed to complete the dissertation under the coordination and guidance of the committee Chair.

Once advanced to candidacy, candidates must be continuously enrolled in at least three credits each term including summer term until he or she graduates.

The statute of limitations for completion of the doctoral degree is nine calendar years from the date of initial admission into the program although it is expected that the candidate will complete all requirements for the degree within the allotted four-year period for the program. It is understood that the candidate is expected to maintain a positive relationship with his or her dissertation Chair and committee members regardless of any delays in the completion of the doctoral degree program. Failure to do so could result in the faculty becoming unavailable or unwilling to continue participation in the candidate's dissertation activities. Further, a minimum of three credits of dissertation must be enrolled until the dissertation defense is successfully completed or the statute of limitations for the doctoral degree is exceeded.

The FIU Business doctoral program requires each doctoral candidate to meet annually with their

dissertation committee after Form D-1 has been filed. The Departmental Doctoral Program Director must submit a completed Annual Student Evaluation and Mentoring Plan form to the Director for ODP following the annual meeting of the dissertation committee. The Performance Summary and Future Goals sections must be completed by the dissertation Chair with input from the committee members. If a committee member cannot attend physically, they may participate via video or telephone conference and can then send an email to the dissertation Chair authorizing him/her to sign the form. Failure to actively conduct these required annual meetings and submit the required form can result in the candidate being terminated without recourse from the FIU Business doctoral program.

The Dissertation Defense (Form D-5 and ETD)

After preliminary approval of the dissertation by all committee members and completion of all other prescribed work for the doctoral degree, the candidate will give a public presentation. The candidate will also be given a final oral examination by the dissertation committee. The examination will be based primarily on the dissertation research and related topics. The dissertation defense is a university requirement and must be scheduled and held to comply with university deadlines. The University Graduate School publishes their deadlines for the last date of submission of Form D-5 on their website:

<http://gradschool.fiu.edu/electronic-thesis-dissertation-deadlines.shtml>

A copy of the near-final draft of the dissertation, a copy of the defense seminar announcement, and a completed form D-5 must be filed with the Director for ODP **4 weeks** before the defense date as the University Graduate School deadline is **3 weeks** before the defense. Thus, the student who does not comply with these deadlines will be forced to reschedule the defense on a new date, which may require enrolling in another term.

Upon successful defense of the dissertation by the candidate, committee members may provide suggested changes in the content of the final document. Should a candidate fail the dissertation defense, a second defense may be allowed, on recommendation of the dissertation committee. If re-examination is necessary, the examination must be held within one year from the date of the first examination. The dissertation Chair is expected to ensure that the dissertation is ready for defense prior to scheduling the formal defense.

When all required changes to the dissertation document have been completed to the satisfaction of the candidate's committee, one paper copy of the final version of the dissertation must be submitted to the Director for ODP with the accompanying Electronic Thesis and Dissertation (ETD) form. The ETD form includes a review and acceptance section with signatures of candidate, dissertation Chair(s), committee members, Departmental Doctoral Program Director or Department Chair, Director for ODP, Dean of College or School, and Dean of University Graduate School. The FIU Business ODP will make a copy of the form and submit the dissertation to the Graduate School. Final ETD approval will not be processed without evidence of current enrollment.

The doctoral degree is awarded following the successful defense of the completed dissertation and all graduation requirements.

Petitions

Strict deadlines are set by the UGS for each D-form and any change in the deadline will result in a lengthy approval process. In addition, the Director for ODP and Associate Dean for the Chapman Graduate School must approve this petition once a candidate uploads a statement with his/her justification for submitting the form late. Once submitted to UGS, the Dean reviews the petition and decides whether it is approved or denied. Students are encouraged to meet all the deadlines for D-forms and there is a penalty for missing any such deadline. If a petition is submitted for a late D-form, \$500 of travel funding may be deducted from the candidate's development account at the discretion of the Director for ODP.

Deadlines for Theses and Dissertations are posted on the University Graduate School website. Dates are available for the next two academic years.

GRADUATION

It is the candidate's responsibility to ascertain that all requirements have been met and that every deadline is observed. The interactive Program of Study form should be updated regularly. The form should be completed, signed, and submitted to the Director for ODP upon fulfillment of all requirements.

A candidate denied graduation must resolve any deficiencies needed for graduation and must reapply for graduation.

A candidate must be registered for the term in which the degree is received. The degree will be awarded providing the following conditions have been met:

- 1) The required application for graduation has been properly submitted
- 2) Recommendation of the faculty of the FIU Business concentration area awarding the degree has been formally made
- 3) Certification by the Dean of the College of Business and Dean of Graduate Studies that all requirements of the degree being sought have been completed
- 4) A grade average meeting the candidate's departmental doctoral program requirements but no less than 3.0 (on a 4-point scale)
- 5) Residency requirement and time limits has been met
- 6) Satisfactory completion and defense of a doctoral dissertation
- 7) Receipt of dissertation by FIU Library

If for any reason the degree is not awarded, the candidate must reapply for graduation in a subsequent semester. The Registrar shall notify the candidate and FIU Business if graduation is not approved for any reason.

Only those doctoral candidates who have completed all requirements for the degree may participate in the commencement ceremonies and receive the diploma.

Program Funding and Support

Every FIU Business Ph.D. student actively enrolled in the doctoral program and in good standing is eligible to receive \$1,000 per year from the Director for ODP office that can be used for authorized expenses.

This support is not limited to only those students receiving stipends. Students funding their education and those on scholarship are also eligible for this support. This support is, however, limited to a maximum of four years⁵.

It is not necessary for students to spend that portion of the funding provided by the ODP on a yearly basis; these funds can be accumulated. Thus, students not spending any of their funding from the ODP during their first three years in the program would have accumulated \$3,000 heading into their fourth year.

The following list of items illustrates the types of uses of these funds likely to be deemed appropriate.

- Expenses for attending a conference (e.g., registration fees, transportation expenses such as an airline ticket, hotel, meals) so long as these are approved by the university's Controller's office and within any restrictions it imposes for certain items (e.g., daily allowance for meals).
- Expenses incurred for collecting research data (e.g., payments for research participants, creation and/or reproduction of research materials, travel expenses incurred while collecting data).
- Membership fees for professional associations in your discipline.
- Subscription fees for journals in your discipline unless access to these journals is available through the university system.

Other expenditures may also be appropriate beyond those listed above. Be aware that any expenditure, including those listed above, for which you wish to use your support funds, must be approved by ODP prior to the expense being incurred.

The approval process entails the following:

The merit of the requested expenditure must be supported initially by either the student's major professor or, for those students that have yet to progress to the point of having a major professor, the Departmental Doctoral Program Director. Once approved, the student must inform the ODP to confirm the availability of funds. If needed, the department will then file a Travel Authorization (TA) on the student's behalf.

Program Termination and Academic Misconduct

Certain circumstances may lead to a doctoral student or candidate being dismissed from the FIU Business doctoral program. Those circumstances may include:

- 1) Falling out of GPA compliance two consecutive semesters
- 2) Student fails comprehensive exams twice
- 3) Failure to maintain continuous enrollment
 - a. 9 credit hours minimum for Fall and Spring
 - b. 6 credit hours minimum during Summer
 - c. 3 credit hours minimum once student has advanced to candidacy
- 4) Failure to meet conditional admission requirements

⁵ DBA students are not eligible for annual development funding.

- 5) Student no longer has, or cannot engage, a sponsoring major professor or dissertation chair
- 6) Student is not making satisfactory progress as reflected by unresolved unsatisfactory status on the Departmental Annual Review
- 7) Student Academic or Research Misconduct/Illegal, Fraudulent, or Unethical Behavior
- 8) Other serious issues as determined by the FIU Business Director for ODP or the degree concentration area

1) To remain in good academic standing, doctoral students must maintain a doctoral GPA as set by each department of concentration (with a minimum of 3.0). Failure to maintain good academic standing will result in placement on academic warning, probation, or dismissal. A doctoral student whose cumulative doctoral GPA falls below a 3.0 will be placed on warning, indicating academic difficulty. A doctoral student on warning whose cumulative doctoral GPA remains below 3.0 in the following semester will be dismissed. A doctoral student will not be dismissed prior to attempting a minimum of 12 hours of coursework as a doctoral student. The student has ten working days to appeal the dismissal decision.

2) Failure of a second attempt in the comprehensive exams will result in the student dismissal with no recourse. No appeal of dismissal under these circumstances will be considered.

2a) DBA students who fail to successfully complete the summer research project by the assigned deadline will be deferred for continuation in the program until the Fall of the following year. Failure to successfully complete the summer research project by the end of the deferral period will be dismissed from the program.

3) Lapses in enrollment for two or more consecutive terms prior to advancement to candidacy for Ph.D. After a doctoral student is advanced to candidacy, continuous registration for at least 3 dissertation credit hours each term (including the summer term) is required until the dissertation requirement is fulfilled. Any doctoral student who finds it necessary to be excused from registration must formally request a leave of absence from the graduate program.

4) Ph.D. students who do not meet the UG60 requirement of 3.0 may be admitted if a petition to exception of graduate requirements is approved by the Dean of the College and UGS, but no conditions are attached to the admission. Under some circumstances students are admitted conditionally with unofficial documents, pending receipt of the final official documents. If the official documents are not received by the middle of the first semester of attendance, the student will be dropped from the Program.

5) Faculty sponsors or dissertation Chairs may decide that they are incompatible with a doctoral candidate. If a faculty sponsor has decided that they are no longer willing to advise a student, they must immediately send a memo to the Departmental Doctoral Program Director, copied to the student, stating they will no longer continue to be the student's advisor. Candidates whose advisor has terminated their sponsorship have until the end of the semester to find an alternate sponsor before they will be dropped from the Program.

6) Poor performance evaluations by a major professor or assigned faculty mentor can result in dismissal from the FIU Business doctoral program.

7) Students and candidates are bound by the codes of student and academic conduct as described in the FIU Student Handbook and the FIU Office of Student Conduct.

<https://studentaffairs.fiu.edu/get-support/student-conduct-and-academic-integrity/index.php>

University policies outline acts of student misconduct, which are expressly prohibited and violate University rules and regulations. These include such actions as disruptive conduct, threatening behavior toward faculty and/or fellow students, theft or unauthorized possession, vandalism, hazing, falsification of records, harassment, and assault. Once a student has been charged with a code violation, he/she has three options:

- 1) administrative disposition, whereby the student may accept responsibility and a sanction is imposed by the judicial administrator.
- 2) a formal administrative hearing.
- 3) a formal hearing before the University Judicial Committee.

The format for the formal hearings, the appeals procedures, and possible disciplinary sanctions are all outlined in the Student Handbook and may include dismissal. Separate policies and procedures govern academic misconduct. Academic misconduct (i.e., academic dishonesty) includes but is not limited to cheating, plagiarism, falsification of academic records, bribery to gain academic advantage, and misuse of computer services, including the unauthorized appropriation of another's program(s). Disciplinary penalties for academic misconduct range from counseling to expulsion from the University. Allegations of academic misconduct are handled through the Office of Student Conduct as outlined in the Student Handbook. Faculty are strongly encouraged to refer all such conduct to the Office of Student Conduct to ensure an equitable investigation and adjudication on behalf of both the student and the faculty.

It is important to note that any violation of acceptable student conduct or academic dishonesty must be reported to the Director for ODP and the Office of Student Conduct. FIU Business maintains a zero-tolerance policy in this regard.

8) Other serious issues as determined by the Departmental Doctoral Program Director or Director for ODP

Program Re-admission

A period of at least one academic year must elapse after the date of dismissal before an application for admission will be accepted for consideration. In applications for re-admission, to the same program or admission to another program, admission criteria shall include consideration of previous performance at the graduate level in addition to the normal admission requirements. A student who has been dismissed for failure to make sufficient progress toward degree completion or for non-compliance with the continuous enrollment policy may apply for re-admission at any time prior to their time limit for degree completion. Re-admission of all doctoral students will require approval by the Departmental Doctoral Program Director, the Director for ODP, and the Dean of the University Graduate School.