

THE OHIO STATE UNIVERSITY  
DEPARTMENT OF ECONOMICS

## **POLICIES AND PROCEDURES OF GRADUATE STUDY IN ECONOMICS**

**Approved by the Graduate Faculty on October 31, 2013**

### **Graduate Studies Program Officers <AY2013-2014>**

David Blau, Professor and Department Chair <Blau.12@osu.edu>  
Hajime Miyazaki, Professor and Director of Graduate Studies <Miyazaki.1@osu.edu>  
Huanxing Yang, Associate Professor and Director of Graduate Placement  
<Levin.36@osu.edu>  
Richard Corley, Graduate Program Coordinator <Corley.14@osu.edu>

### **Graduate Studies Committee (GSC) <AY2013-2014>**

Paul Evans  
John Kagel  
Lung-fei Lee  
Hajime Miyazaki (DGS and Graduate Studies Committee Chair)  
Maryam Saeedi  
Huanxing Yang (*ex officio*, Director of Graduate Placement)

Robert Munk (Graduate Student Member)  
Pan Siqi (Graduate Student Member)

This document is issued by the Department of Economics, The Ohio State University, 410 Arps Hall, 1945 North High Street, Columbus, OH 43210-1172, whose home page is <<https://economics.osu.edu>> . Every effort is made to provide accurate information, and the contents of this document may change without notice. The most recent version is available at <<https://economics.osu.edu/graduate-study-forms-policies-and-procedures>>.

Office of Graduate Studies <Economics-OGS@asc.ohio-state.edu>, (614) 292-2253, and  
Fax (614) 292-3906

Director of Graduate Studies <Economics-DGS@asc.ohio-state.edu >

©Department of Economics, The Ohio State University

## TABLE OF CONTENTS

<b>I.</b>	<b>INTRODUCTION</b> .....	3
	A. General .....	3
	B. Application and Admission to the Program .....	4
	C. Registration .....	5
	D. Program Structure .....	5
	E. Course Loads.....	6
<b>II.</b>	<b>BASIC CURRICULUM</b> .....	7
	A. Core Courses .....	7
	B. Mathematics for Economics.....	8
	C. English as a Second Language (ESL) for Foreign Students .....	8
	D. Grading System.....	9
<b>III.</b>	<b>PROGRAM FOR THE M.A. DEGREE IN ECONOMICS</b> .....	10
	A. General M.A. Requirements .....	10
	B. M.A. Examination.....	10
	C. M.A. Course Requirements.....	11
<b>IV.</b>	<b>PROGRAM FOR THE PH.D. DEGREE IN ECONOMICS</b> .....	11
	A. General Ph.D. Requirements.....	11
	B. Qualifying Examinations.....	11
	C. Course Requirements .....	13
	D. Students with an M.A. Degree in Economics from Another University.....	13

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

E. Written Field Requirements .....	13
F. Research Seminars and Workshops .....	15
G. Annual Research Report Requirements .....	16
H. Candidacy Examination .....	18
I. Dissertation Committee.....	20
J. Dissertation Proposal .....	20
K. Dissertation and Final Oral Examination.....	21
L. Final Approval of the Dissertation.....	22
<b>V. FINANCIAL SUPPORT.....</b>	<b>22</b>
A. Fellowships .....	22
B. Graduate Associateships (GA).....	23
C. Department Policies on GA Support.....	24
D. Regular GA Ranks and Probationary GA Ranks .....	25
E. Penalties and Procedures for Underperformance of GA Functions .....	27
F. Graduate Teaching Associates (GTAs).....	28
<b>VI. JOB PLACEMENT OF STUDENTS .....</b>	<b>30</b>
<b>VII. STUDENT PARTICIPATION IN DEPARTMENT AFFAIRS .....</b>	<b>31</b>
<b>VIII. RIGHT TO PETITION .....</b>	<b>31</b>
<b>IX. GRADUATE MINOR IN ECONOMICS .....</b>	<b>31</b>

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

## I. INTRODUCTION

### A. General

The Department of Economics, hereafter the Department, offers two advanced degrees in economics: the M.A. and the Ph.D. The M.A. degree program is structured to train students in core concepts and analytical techniques that are essential to academic and professional proficiency in economics. The Ph.D. degree program stresses the development of advanced theoretical and quantitative skills as well as an in-depth knowledge of several specialized field areas to enable original academic research in economics. Our M.A. program is embedded in our Ph.D. program<sup>1</sup>. We selectively admit students who intend to pursue a Ph.D., and we award M.A.'s *en route* to their Ph.D.'s<sup>2</sup>. We do not offer separate terminal M.A. admissions, but only *ex novo* Ph.D. admissions. An M.A. in economics is not a prerequisite for admission to our Ph.D. program.

This document, hereafter called *Policies and Procedures* and abbreviated as **P&P**, is a constitution that governs the rules and conduct of our graduate program. Because our graduate program operates within the framework established by The Ohio State University, hereafter called **the University** and abbreviated as **OSU**, students should also refer to the following sources provided by the OSU Graduate School and Registrar.

Graduate School Handbook. This document is the working constitution of the Graduate School policies and procedures, and contains comprehensive chapters on all aspects of graduate program governance at OSU. Graduate students, staff and graduate faculty members are expected to consult, and to familiarize themselves with, the *Graduate School Handbook*. The *Graduate School Handbook* is available at <<http://www.gradsch.ohio-state.edu/graduate-school-handbook1.html>>.

Schedule of Classes & Course Catalog The OSU Registrar provides *the Course Offerings Bulletin* and *Course Catalog* online via its website at <<http://registrar.osu.edu/courses/index.asp>>. This site enables online search for

---

<sup>1</sup>Our graduate program does not offer a “terminal” M.A. program that is separate from the Ph.D. program. It is possible to obtain the M.A. at the end of the first academic year if the student takes a full load and passes all qualifying examinations. See Chapter III: PROGRAM FOR THE M.A. DEGREE IN ECONOMICS.

<sup>2</sup> Students in non-economics Ph.D. programs at OSU can obtain our M.A. in Economics by satisfying all course requirements and by passing all required M.A. examinations. For example, many Ph.D. students in the OSU Department of Agricultural, Environmental and Development Economics (AED Economics) obtain our M.A. in Economics. Students in OSU Department of Finance, Department of Political Science, and Department of Industrial Engineering have also earned our M.A. in Economics. Interested Ph.D. students should contact our Office of Graduate Studies (OGS), after obtaining their home department DGS's approval, for seeking our M.A. in Economics. See the Chapter III: PROGRAM FOR THE M.A. DEGREE IN ECONOMICS.

courses by subject area, course title, course attribute (e.g. honors courses, workshop, etc) campus location and graduate/undergraduate level.

The graduate program in economics is governed by the **Graduate Studies Committee** of the Department (**GSC** hereafter), which consists of both voting members and non-voting members, all appointed by the Department Chair. The **Director of Graduate Studies (DGS** hereafter) is the chair of the GSC. Voting members include the DGS and graduate faculty members; non-voting members include the Graduate Placement Officer (*ex officio*) and two graduate student representatives. Non-voting members may participate in GSC discussions and express their views by casting observer-status straw votes. The graduate student members are recused from GSC sessions in which admissions or an individual student is discussed. The list of the current GSC members is given in the cover page of this document. The DGS is the operational steward of the graduate program, and the Graduate Program Coordinator administers day-to-day operations via the **Office of the Graduate Studies** (hereafter OGS), located at the Department of Economics, **410D Arps Hall, 614/292-2253**, <Economics-OGS@asc.ohio-state.edu>. Questions regarding the graduate program should be addressed to this office.

## B. Application and Admission to the Program

A prospective student may obtain the appropriate admissions application and material on-line from The Ohio State University Admissions Office (614-292-9444) by visiting their website <<http://www.osu.edu/futurestudents/>>. The Ohio State University requires all graduate applicants to apply online. No paper or downloadable applications are available. To initiate your online application, visit <[http://gradadmissions.osu.edu/apply\\_online.htm](http://gradadmissions.osu.edu/apply_online.htm)>. **The application deadline is November 30 of the year preceding entry (matriculation enrollment). We issue new admissions only for Autumn Semester entry (matriculation enrollment).**

Essential elements of the application material include: transcripts of all past academic work at undergraduate and graduate institutions; at least three letters of recommendation, preferably from academic instructors or advisors who can assess the student's potential for doctoral study in economics; the General Test scores of the Graduate Record Examination (GRE); an informative curriculum vitae; and the statement of purpose. Applicants whose first language is not English must also submit Test of English as a Foreign Language (TOEFL) scores. The GSC is responsible for all admissions and financial aid recommendations including fellowships. The first round admissions with potential financial support are issued in the latter half of January; the first round fellowship awards will be announced in mid February; and additional fellowships and financial support will be issued by late April. Early financial support recipients must accept or decline by April 15, and later recipients by April 30. We cancel admission offers of those who do not reply to us by May 15. No entry semester, i.e. matriculation enrollment, can be deferred to a following year.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

The graduate-level course work presumes a strong undergraduate curriculum, which includes the following:

1. Intermediate microeconomics and macroeconomics
2. Introductory mathematical statistics and probability
3. Three quarters (or two semesters) of vector calculus and analytic geometry
4. Linear algebra
5. Differential equations

## C. Registration

Permission to register as an incoming graduate student is granted when the student's Acceptance Statement is returned to the OSU Admissions Office as well as to the OGS. The OGS/DGS will make relevant first-year program information available on-line at our home page in May for those who have accepted our admissions. Incoming students should arrange for an interview with the DGS upon arrival and obtain approval of courses for registration. Throughout enrollment in our Ph.D. program, an individual student develops annual academic plans with his/her advisor each year.

A student's status is called "pre-candidacy" until the student passes the Ph.D. Candidacy Examination (discussed below), and "post-candidacy" after the student passes the Ph.D. Candidacy Examination. The DGS serves as the advisor to all pre-candidacy students. The official advisor to a post-candidacy student is normally the graduate faculty member who chairs the student's Ph.D. Candidacy Examination Committee until the student's Dissertation Committee is constituted. The chair of the Dissertation Committee is the student's final advisor.

## D. Program Structure

Our Ph.D. program is structured as a five-year program. The first-year curriculum is structured to enable students to learn core concepts and techniques that will be necessary for them to attain professional and academic proficiency in economics; students' proficiency is certified by passing *Qualifying Examinations* in microeconomics and macroeconomics at the end of the first year. The potential outcomes of a Qualifying Examination are: Ph.D. Level Pass, M.A. Level Pass, or Fail.

Students who pass both Qualifying Examinations at least at the M.A. level are eligible for the M.A. in Economics, provided that they meet all other requirements. Only students who pass both Qualifying Examinations at the Ph.D. level may proceed towards the fulfillment of course and research work required by the Ph.D. In the second year, students take course work in at least two specialized field areas, and must satisfy Field Requirements in at least two fields at the end of the second year. Following the successful completion of two Field Requirements, the student enters the third year in which the academic focus shifts to independent research, workshops, and seminars, although the student continues to take some

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL(English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

courses in economics or related disciplines. Every third-year the student is matched with a graduate faculty *mentor*, who will guide the student's course of independent research. Each third-year student will constitute his/her Provisional Candidacy Examination Committee that evaluates the quality of the student's third-year research at the end of the third year. In the fourth year, the student must convincingly demonstrate his/her ability to conduct original research independently by passing the Ph.D. Candidacy Examination. In the fifth year, the student is expected to defend his/her dissertation research in the Final Oral Examination *en route* to graduating with the Ph.D. degree. The student should also plan to enter the new Ph.D. placement market in the fifth year.

## E. Course Loads

*Personal Program of Study (PPS).* A student's PPS specifies the course load and course enrollment plan that facilitates the student's progress towards a Ph.D. At the start of each academic year, the DGS advises each pre-candidacy student in composing the student's PPS for the entire academic year. Once the PPS is approved for the academic year by the DGS, a student should seek DGS pre-approval for any revision to his/her PPS. A post-candidacy student should seek approval of his/her PPS, and its subsequent revision, from his/her dissertation advisor. DGS/OGS will monitor all post-candidacy students' compliance with the general registration guidelines of our program, College, and the Graduate School.

*Standard Course Loads.* The standard course load in our Ph.D. program is 12 credit hours in graduate economics courses per semester for a pre-candidacy student, and the required course load for a post-candidacy student is exactly 3 credit hours in economics. Depending on an individual student's need, interest, and progress, a student's load may include courses in related disciplines. However, all students are expected to comply with the standard minimum load in graduate economics courses, at least on an annual basis. In addition to courses in graduate economics and in related disciplines, a foreign student must take required English as a Second Language (ESL) courses.

The Graduate School stipulates the minimum course loads for full-time graduate students receiving OSU financial support, which includes University Fellowships, their fellowship equivalent, and the Departmental GTA support.

- Pre-Candidacy Fellowship student: minimum of 12 credit hours per semester.
- Pre-Candidacy Graduate Associate (50% appointment): 8 credit hours in a regular semester (Autumn, Spring), and 4 credit hours in Summer.

The Graduate School will not allow a course load in excess of 18 credit hours in a given semester unless the DGS petitions and obtains a specific exemption to this maximum by the Graduate School.

The Graduate School stipulates that a Post-Candidacy student's full-time load is 3 credit hours per semester. A Post-Candidacy student cannot take any more than 3 credit hours

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

per semester unless the Graduate School specifically exempts the student based on the Department and College justifications.

Students not receiving OSU financial support may structure course loads to suit their needs within the general pattern of the program timeline and requirements. Two side constraints all students need to pay attention to are (1) the minimum residency requirements established by the Graduate School, and (2) foreign students, who are not Graduate Associates, must register for at least 8 credit hours per semester in order to be considered full-time students by the Office of International Affairs (OIA) and by the Bureau of Citizenship and Immigration Services, Department of Homeland Security.

## II. BASIC CURRICULUM

### A. Core Courses

All students must demonstrate competence in microeconomic theory, macroeconomic theory, and econometrics, by successfully completing relevant core courses. In addition, a student's proficiency in microeconomic and macroeconomic theory is tested in the Qualifying Examinations, which are based on the level of material delivered in relevant core microeconomic and macroeconomic courses. Hereafter, as part of accepted terminology of the economics profession, microeconomic(s) will be abbreviated as *micro*, and macroeconomic(s) as *macro*.

*Microeconomic Theory Core* (Micro Core): the micro theory core sequence consists of four courses, Economics 8711, 8712, 8713 and 8714. The minimum economics prerequisite for this sequence is intermediate microeconomics. Proficiency in micro theory is tested in the Micro Qualifying Examination. Successful completion of the micro core courses is a prerequisite to all advanced graduate courses in economics.

*Macroeconomic Theory Core* (Macro Core): the macro theory core sequence consists of four courses, Economics 8821, 8822, 8823, and 8824. The minimum economics prerequisite for this sequence is intermediate macroeconomics. Proficiency in macro theory is tested in the Macro Qualifying Examination. Successful completion of macro core courses is a prerequisite to all advanced graduate courses in economics.

*Econometrics Core*: Students are required to demonstrate competence in econometric methods through the satisfactory completion of Economics 8731 and 8732. The minimum prerequisites for this sequence are upper-division undergraduate mathematical statistics and probability courses. Both econometrics courses must be taken for credit (not audited) before a student may proceed to the Candidacy Examination. Successful completion of the econometrics core courses is a prerequisite to all advanced graduate courses in econometrics and for any advanced graduate course in which econometric methods are used.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL(English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, **OSU (Ohio State University)**, **P&P (Policies and Procedures)**



## B. Mathematics for Economics

The minimum technical prerequisites for a graduate program in economics are vector calculus, linear algebra, differential equations, and statistics and probability. The Mathematics Workshop for Economists, hereafter called Math Camp, is an intensive preparatory workshop for those planning to take core graduate courses in economics. Math Camp is devoted to instruction in the mathematical skills that are fundamental to modern economic analysis. Students are strongly advised to attend the intensive Math Camp offered in late summer, before starting their Autumn Semester classes. The Math Camp meets at least for three weeks and covers most of the mathematical methods used in the micro core sequence, key technical aspects of the macro core sequences, and prerequisite statistics and probability theory for econometrics core sequence. The workshop allows students to review and supplement the technical material before, rather than concurrently with, their core courses.

Economics 7700 covers mathematical topics and techniques most commonly used in advanced economic analysis. Economics Ph.D. students are advised to take 7700 during their second year or as early as possible. The course covers real analysis, elementary topology, measure theory, and basic functional analysis, all of which are useful in dissertation research and advanced field courses.

## C. English as a Second Language (ESL) for Foreign Students

The Graduate School requires that a graduate student from a country where English is not the first language must meet the OSU written English requirement within the first year of graduate program matriculation<sup>3</sup>. Upon arrival and before the start of the first semester of enrollment, a student for whom English is a second language<sup>4</sup> must take a placement examination in English<sup>5</sup>, administered and evaluated by the OSU Department of English as a Second Language (ESL)<sup>6</sup>. Depending on the outcome of the test, the student may be placed

---

<sup>3</sup> English is recognized by OSU as the first language in the following countries: Australia, Belize, British Caribbean, British West Indies, Canada (except Quebec), England, Guyana, Ireland, Liberia, New Zealand, Scotland, Wales, and the United States. Visit the OSU website “Before You Apply” at <<http://gradadmissions.osu.edu/faqs/FAQSubject.aspx?sub=Testing&cat=1&tl=>>, where you can check “Testing: Do I have to take an English placement test?” If you meet a condition stated therein, you may be excused from the OSU English Placement Test and subsequent OSU English requirements.

<sup>4</sup> A student from a country where English is not the first language is a student for whom English is a second language. The abbreviation ESL is commonly used to denote “English as a second language”.

<sup>5</sup> A student for whom English is a second language may be exempted from the written English requirement on the basis of sufficiently high TOEFL scores that exceed 650 on the paper-based TOEFL or 114 on the internet-based TOEFL.

<sup>6</sup> The ESL Department is formally a part of the Department of Educational Teaching and Leadership (EDTL) in the OSU College of Education. ESL is a common term in place of more formal EDTL; official OSU course catalogue numbers for ESL courses start with EDTL designation. Thus, ESL 5902 is listed as EDTL 5902, for example.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL (English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

in ESL 5901, 5901.05, or 5902. A student placed in this sequence must complete ESL 5902 within the first year of graduate program matriculation.

The State of Ohio legislature mandates that foreign graduate students for whom English is a second language must be certified in spoken English before they can be assigned to classroom teaching duties as Graduate Teaching Associates (GTA). Therefore, no foreign student is allowed to hold an instructional GTA appointment without having obtained the OSU Instructional English Certification issued by the ESL Department.

The Department of Economics believes that all students, regardless of the source of their funding, should be proficient in the use of English, as it is the working language for instructional, professional, and research purposes. Thus, foreign students in our Ph.D. program must take the required English language tests upon arrival at the beginning of the first year and satisfy the OSU Instructional English requirements by the beginning of the first semester of the second year. The English placement tests are administered and evaluated by the ESL Department. Depending on the outcome of the test, the student may be placed in ESL 5040/ 5045/5050 for spoken English and ESL 5901/5901.05/5902 for written English. A student placed in either sequence must successfully complete ESL 5050 for spoken and ESL5902 for written English within the first year of graduate program matriculation. The OSU Graduate School will not confer any degree to a student who is unable to complete ESL 5050. No department may appoint a student to an instructional GTA duty unless the student has obtained the OSU Instructional English certification by successfully passing the ESL5050 final examination. The DGS-approved Personal Program of Study shall include all English courses needed to complete the English language requirements in a timely fashion.

#### **D. Grading System**

The Graduate School requires that the student carry a 3.0 grade average or be subject to various sanctions, including possible disenrollment, as specified in the *Graduate School Handbook*. Therefore, the Department attempts to grade course work based on the proposition that a grade of B- or less is unsatisfactory for graduate work either at the Ph.D. or MA levels.

The Graduate School will send a *warning* to students who have accumulated less than 15 graduate credit hours with a GPA of less than 3.0. It will place on *probation* a student who has 15 or more accumulated graduate credit hours with a GPA of less than 3.0. Grades have the following interpretations:

#### **[In Good Standing]**

- A (4.0) Superior
- A- (3.7) Good
- B+ (3.3) Satisfactory
- B (3.0) Marginal Quality at Ph.D. level/Satisfactory at MA level

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

### [Not In Good Standing]

- B- (2.7) Unsatisfactory
- C (2.0) Unsatisfactory
- D (1.0) Unsatisfactory
- E (0.0) Failure

## III. PROGRAM FOR THE M.A. DEGREE IN ECONOMICS

### A. General M.A. Requirements

University-wide requirements for the M.A. degree are set forth in the *Graduate School Handbook* <<http://www.gradsch.ohio-state.edu/graduate-school-handbook1.html>>. No student whose graduate grade point average is below 3.0 may receive an M.A. degree. The Department of Economics provides a Plan B curriculum (comprehensive M.A. examination without thesis requirements) for the M.A. degree. The number of credit hours required for our M.A. in Economics is 32 graduate credit hours<sup>7</sup> approved by the Economics DGS. We require that all our graduate students abide by the norm of our academic requirements and progress towards a graduate degree.

### B. M.A. Examination

The *Master's Examination Committee* is composed of the student's advisor, who serves as chair of the committee, the chairperson of the Microeconomics Qualifying Examination Committee, and the chairperson of the Macroeconomics Qualifying Examination Committees. If the student's advisor chairs a Qualifying Examination Committee, there will be only two members of the Master's Examination Committee.

The written portion of the M.A. Examination is offered concurrently with the Qualifying Examinations and consists of separate examinations in microeconomic and macroeconomic theory. Each member of the Qualifying Examination Committee (see Section IV.B) grades the relevant examination as *M.A. Pass* or *Fail*. A necessary condition for passing the Master's Examination is that the student obtains the M.A. Pass grade in both Qualifying Examinations. The Master's Examination Committee has the final authority to determine whether or not a student has passed the Master's Examination. The student passes the Master's Examination only if the Master's Examination Committee *unanimously* judges the student's examination to be of M.A. quality. If a student does not pass the Master's Examination, the Master's Examination Committee may, under the advisement of the GSC,

---

<sup>7</sup> Our requirements exceed the minimum graduate credit hours (30) that the Graduate School requires for an OSU M.A. degree.

DGS (Director of Graduate Studies), DUS (Director of Undergraduate Studies), ESL(English as a Second Language), GA (Graduate Associate), GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), GSC (Graduate Studies Committee), GTA (Graduate Teaching Associate), OGS (Office of Graduate Studies), OSU (Ohio State University), P&P (Policies and Procedures)

require the student to retake one or both of the Qualifying Examinations. No student may take each Qualifying Examination more than twice.

The student is responsible for completing the *Application to Graduate* form, available from the Graduate School, and submitting it to the Graduate School with a copy given to the OGS in a timely fashion. The OGS completes the *Master's Examination Report* form and forwards it to the Graduate School. If the written Qualifying Examination is not passed at the M.A. level, a *failure* must be recorded on the Master's Examination Report Form to the Graduate School. If the student attempts the Master's Examination a second time, the Master's Examination form must be signed by the same committee members who signed the first Master's Examination form.

### C. M.A. Course Requirements

The course requirements for the M.A. degree in economics stipulates satisfactory completion of the econometrics sequence, Economics 8731-8732, with the average grade no less than a B<sup>-</sup> (2.70/4.00). Unless the DGS gives a prior exemption, a student should also take the sequences in microeconomic theory (Economics 8711, 8712, 8713, 8714) and macroeconomic theory (Economics 8721, 8722, 8723, 8724). Proficiency in microeconomics and macroeconomics is determined by passing the Qualifying Examinations at the M.A. level. A student should obtain the DGS approval of his/her Personal Study Plan (PSS) that is conducive to meeting the M.A. requirements. The OSU Graduate School requires that a graduate student must maintain the average grade no less than B (3.00/4.00) on all graduate courses credited at OSU.

## IV. PROGRAM FOR THE PH.D. DEGREE IN ECONOMICS

### A. General Ph.D. Requirements

University-wide requirements for the Ph.D. degree are set forth in the *Graduate School Handbook*. A prospective Ph.D. student bears primary responsibility for being familiar with and meeting these University requirements. The Graduate School requires that a minimum of 120 credit hours of credit hours be applied towards the Ph.D. degree<sup>8</sup>. No student may graduate with a graduate grade point average below 3.00. Regardless of funding sources for their graduate study, we require that all our graduate students abide by the norm of our academic requirement, professional conduct, and schedule of academic progress towards the Ph.D.

---

<sup>8</sup> In case a student is given credits for M.A. degree coursework prior to Ph.D. matriculation, the minimum 50 credit hours beyond the M.A. are required.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL (English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

## B. Qualifying Examinations

The two Qualifying Examinations required of *all* students— one in microeconomics and one in macroeconomics—are comprehensive examinations to certify a graduate student’s proficiency in the core concepts and methods in micro and macro theory. Qualifying Examinations are given in two Qualifying Examination rounds per academic year such that (1) the first examination round starts no later than the first week of June, (2) the second examination round starts no later than the last two weeks of July, and (3) each examination round should span at most three business days. Each Qualifying Examination is four hours long, and its result shall be due in the Office of Graduate Studies within two weeks of the examination date for the June examinations, and within two weeks for the July examinations.

Students are required to take both Qualifying Examinations in *a timely fashion*. Namely, a student must take each Qualifying Examination no later than the first examination round following the student’s Ph.D. matriculation, and if necessary, should retake any Qualifying Examination in the examination round immediately following the student’s first round. A student who does not take a Qualifying Examination in a timely fashion is recorded as *failing* that Qualifying Examination unless he/she obtains a prior written exemption by the GSC.

**Administration of the Qualifying Examinations:** For each examination round, the DGS appoints a Microeconomics Examination Committee of at least three faculty members to administer the Micro Qualifying Examination, and a Macroeconomics Examination Committee of at least three faculty members to administer the Macro Qualifying Examination. Whenever possible, each committee shall consist of the graduate faculty members who taught in the relevant core sequence during the academic year immediately preceding the examination round. In what follows, an “examiner” is synonymous with a member of the relevant examination committee.

Each examiner grades the examination as *Ph.D. Pass*, *M.A. Pass*, or *Fail*. The meanings of these grades are as follows:

<b>Ph.D. Pass</b>	Ph.D. level pass and M.A. level pass
<b>M.A. Pass</b>	Ph.D. level fail and M.A. level pass
<b>Fail</b>	Ph.D. level fail and M.A. level fail

An examiner may provide written comments, positive or negative, on a given examinee's performance; comments will be transmitted *verbatim* in the summary outcome notice to the examinee. An examiner who gives a “Fail” grade *must* provide a written comment on the examinee’s performance. The result of the examination is Ph.D. Pass, M.A. Pass, or Fail, determined by the strict majority rule as follows:

- To obtain the Ph.D. Pass result on the examination, a student must receive Ph.D. Passes from a strict majority of the exam committee.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

- To obtain the M.A. Pass result on the examination, a student must receive at least M.A. Passes from a strict majority of the exam committee.
- A student obtains the Fail result on the examination if and only if the exam committee majority fails to deliver the Ph.D. Pass or the M.A. Pass.

If a vote outcome of the exam committee does not meet any of the above three conditions, the student's examination result will be determined by the DGS in consultation with the exam committee<sup>9</sup>.

A student must obtain Ph.D. Passes on **both** the Micro Qualifying Examination and the Macro Qualifying Examination in order to remain eligible to pursue a Ph.D. in our program. A student may *retake* each Qualifying Examination only once and in a timely fashion. That is, a student may take each Qualifying Examination at most twice and each in a timely fashion.

**Conduct of the Qualifying Examinations:** The DGS appoints a member of a Qualifying Examination Committee as its chair. The chair of a Qualifying Examination Committee assembles, formats, and proofreads the examination before submitting it to the OGS. The OGS duplicates examinations, assigns a random exam ID to each student in a given examination, and prepares the grade report forms. The list of the students' exam IDs are kept only in the custody of OGS. At no time before the examination will any exam-taking student's exam ID be revealed to anyone; only the DGS approved OGS personnel gives each student his/her exam ID at the beginning of the examination. A student's exam ID will be revealed to the examination committee members only after the Qualifying Examination Committee formally reports all grades to the OGS using the OGS-provided grade report forms. The DGS/OGS or their designated deputies proctor the Qualifying Examinations. Proctoring deputies must be regular staff or faculty members; no student shall proctor or assist in proctoring the Qualifying Exams. Students are not permitted to bring any material to a Qualifying Examination except for writing instruments. Students may bring any other item only upon an explicit request by the Qualifying Examination Committee and only if approved by the DGS

The OGS/DGS announces the Qualifying Examination registration period that starts four weeks, and ends one week, before the scheduled date of the pending Qualifying Examination round. A student may withdraw from his/her registration until one week before

---

<sup>9</sup> If the exam committee consists of three members, the strict majority rule means that (1) to obtain the Ph.D. Pass there must be at least two Ph.D. votes, (2) to obtain the M.A. Pass there must be at least two M.A. or Ph.D. votes, and (3) to obtain the Fail, there must be at least two Fail votes. For example, {PhD, MA, Fail} obtains the M.A. Pass, but {PhD, Fail, Fail} results in the Fail outcome. If the exam committee consists of four members, the strict majority rule means that (1) to obtain the Ph.D. Pass there must be at least three Ph.D. votes, (2) to obtain the M.A. pass there must be at least three M.A. or Ph.D. votes, and (3) to obtain the Fail, there must be at least two Fail votes. To illustrate for the case of a four-member exam committee, {PhD, PhD, Fail, Fail}, {PhD, M.A, Fail, Fail}, and {MA, MA, Fail, Fail} are all Fail outcome as well as {PhD, Fail, Fail, Fail}, {MA, Fail, Fail, Fail} or {Fail, Fail, Fail, Fail}. In any exam committee, the Fail outcome is always the complement of the M.A. Pass or Ph.D. Pass.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

the pending Qualifying Examination round. A “no show” at the examination without a proper prior withdrawal procedure shall be recorded as “Fail.” A student may be exempted from the automatic failure due to an unanticipated “no show” if and only if the student cannot attend the examination due to a family or medical emergency that is documentable and recognized by the University examination rules. During the examination registration period, a student may petition the DGS for prior GSC approval of not taking an examination in the pending Qualifying Examination round.

### **C. Course Requirements**

There is no formal course requirement except Economics 8731 and 8732. These two econometrics courses must be taken with the grade of B<sup>-</sup> or better before the student may proceed to the Ph.D. Candidacy Examination.

### **D. Students with an M.A. Degree in Economics from Another University**

A Master’s degree in economics is not a prerequisite to our Ph.D. program. A student who enters our Ph.D. program with a Master’s degree in economics from another university or with considerable graduate economics credit must nevertheless take both Qualifying Examinations, must satisfy two Field Requirements, and is subject to the same criteria for continuing graduate study as other students. Generally, students will not receive any transfer credit hours towards our graduate degree in economics for course work done elsewhere. We do not admit students who have failed to meet the normal progress requirements at their Ph.D. program in economics.

### **E. Written Field Requirements**

A Ph.D. student is required to attain proficiency in *at least* two major fields of the student’s choice before the start of the third year and before reaching the Ph.D. Candidacy Status. The student’s field proficiency is tested by fulfilling field requirements either in the form of field exams or field papers, the option of which is determined by the Field Requirement Committee that the DGS appoints for each field.

There are 10 approved fields, 8 of which the Department offers as follows:

- (1) Econometrics
- (2) Economic History
- (3) Economic Theory
- (4) International Economics
- (5) Labor Economics
- (6) Macro and Monetary Economics
- (7) Public and Urban Economics
- (8) Industrial Organization

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

Two outside fields approved by the GSC are Finance and Development Economics. A student may elect at most one of the two required fields in either Finance or Development Economics. The Finance field is offered by the Department of Finance<sup>10</sup>, and the field of Development Economics is offered by the Department of Agricultural, Environmental and Development Economics (hereafter AED Economics)<sup>11</sup>. The written field examinations offered by either department will be evaluated and graded by their own examination committee, and their grades will be entered as the final field examination grade in our record. Students wishing to take an outside field must petition the Economics DGS to obtain prior approval.

Unless a student fulfills the requirements for two fields in a timely fashion, he/she is not allowed to progress further towards a Ph.D. In particular, a student must fulfill the two-field requirements before taking the Ph.D. Candidacy Examination. The normal progress requires that a student must pass the qualifier examinations before proceeding to the second year, and complete the two-field requirements before proceeding to the third year. The maximum number of attempts permitted to pass the Field Requirement of a given field is two<sup>12</sup>, to be completed in the two successive exam/paper rounds that fall between the student's second-year May Session and third-year Autumn Semester. The two rounds in a given year are early June and mid-late July. Second-year students are required to register for the June round, and should then register for the July round to complete any part of their field requirements not satisfied in the preceding June round. If a student does not fulfill the field requirements of the two chosen fields after two Field Requirement rounds, the student's progress towards a Ph.D. will be terminated.

Each field has an option to decide whether its field requirement for a given academic year should be satisfied by a written field paper or by a written field examination. To satisfy the field paper requirement, a student must not only submit a paper of passing quality, but must also maintain the minimum grade point average (GPA) over the set of relevant field courses. The minimum grade point average (GPA) required to accompany a field paper fulfillment is B<sup>+</sup> (3.30/4.00) without a grade of B<sup>-</sup> (2.70/4.00) or below over the set of relevant field courses that the DGS designates. The written field examination is a stand-alone

<sup>10</sup>The Finance field and the Finance Theory Examination are offered by the Faculty of Finance. The examination covers the subject matter of the Finance 8210 sequence along with other current developments in finance, and is scheduled for six hours; a grade of "marginal pass" or better is required. Students without any previous background in finance should take preparatory courses for the Finance 8210 sequence; therefore the field generally requires more than one year. Students considering the Finance field should consult the Chair of the Finance Graduate Education Committee (Department of Finance, Fisher College of Business) as early as possible, and should determine: (1) the date on which the examination will be offered; (2) the current subject matter of the examination; (3) suitable preparatory courses in finance; and (4) any other requirements for students taking Finance as an outside field.

<sup>11</sup>The field of Development Economics can be arranged, upon approval, by the GSC and is administered jointly with the Department of Agriculture, Environment and Development Economics. Students interested in Development Economics should contact the Economics DGS to make arrangements.

<sup>12</sup> Since there are two field rounds, and because a student can attempt two fields in each round, the student has altogether four attempts to pass the two-field requirements.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL (English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, **OSU (Ohio State University)**, **P&P (Policies and Procedures)**



requirement without any course grade requirements; a student must pass only the examination standard set by the field's examination committee. In each field, the Field Requirement Committee appointed by the DGS decides on the option between the paper and examination requirement in consultation with its field faculty. The DGS announces each field's requirements in May for the next academic year.

**Field Requirement Committees:** Prior to each Field Requirement round the DGS appoints the Field Requirement Committee and its chair for each field offered by the department. Each Field Requirement Committee consists of three faculty members with research interests in the field, and whenever possible, at least two of whom have recently taught courses in the field. DGS designates one member of each committee as the committee chair, who is responsible for coordinating the preparation, grading and reporting the results of the examination. No faculty member shall chair a given Field Requirement Committee for two consecutive rounds. The committee membership, however, remains same in the June and July Field Requirement rounds of a given year.

**Grading Procedure for the Written Field Paper and Examinations:** Each student's written field requirement, field paper or field exam, is graded in its entirety by each member of the given Field Requirement Committee. Committee members are encouraged to provide written comments, positive or negative, on a given student's performance; comments will be transmitted *verbatim* in the summary outcome notice to the student. A Committee member who gives a "Fail" grade *must* provide a written comment and *must* also indicate whether the failure is serious or marginal.

For each student the outcome of the second-year field requirements is graded as Good, Satisfactory, or Fail. "Good" means that a student has demonstrated a potential ability to do original research in a given field. "Satisfactory" means that a student has a general grasp of the field material but has not convincingly demonstrated an ability to do original research in a given field. "Fail" means that a student does not comprehend or is technically unable to appreciate the field material at the Ph.D. level. A student's outcome in a given field is decided by a majority vote of its field committee members. A student passes a given field requirement if and only if the student obtains at least two votes of Good or Satisfactory<sup>13</sup>. A student's field outcome will be recorded as follows:

Good Pass = {Good, Good, Good} = {Good, Good, Satisfactory} = {Good, Good, Fail}

<sup>13</sup> Normally a Field Requirement Committee consists of three members, but in case of four members, a student passes a given field if and only if the student obtains at least three votes of Good or Satisfactory. Good Pass = {Good, Good, Good, Good} = {Good, Good, Good, Satisfactory} = {Good, Good, Good, Fail}, Satisfactory Pass = {Good, Good, Satisfactory, Satisfactory} = {Good, Good, Satisfactory, Fail} = {Good, Satisfactory, Satisfactory, Satisfactory} = {Good, Satisfactory, Satisfactory, Fail} = {Satisfactory, Satisfactory, Satisfactory, Satisfactory} = {Satisfactory, Satisfactory, Satisfactory, Fail}. All other combination of four votes will be designated as Fail, including {Good, Good, Fail, Fail}, {Good, Satisfactory, Fail, Fail}, or {Satisfactory, Satisfactory, Fail, Fail}.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

Satisfactory Pass = {Good, Satisfactory, Satisfactory} = {Good, Satisfactory, Fail} =  
 {Satisfactory, Satisfactory, Satisfactory} = {Satisfactory, Satisfactory, Fail}

Fail = {Good, Fail, Fail} = {Satisfactory, Fail, Fail} = {Fail, Fail, Fail}

The student shall receive the committee’s vote-cum-comment tally without identifying the individual members’ votes or comments, and any “Fail” vote shall be accompanied by a comment.

A student fulfills the requirement of a given field if and only if he/she achieves at least the level of “Satisfactory Pass” in that field. If a student does not achieve at least the level of “Satisfactory Pass” in the two chosen fields after two Field Requirement rounds, the student’s progress towards a Ph.D. will be terminated.

A student ipso facto fails in a field paper requirement if the student fails to maintain the minimum grade point average (GPA) over the set of relevant field courses that the DGS announces at the start of the academic year. Typically, there will be two or three field courses designated for each field. Since the student’s GPA must be at least equal to B+ (3.30/4.00) and without any course grade B- (2.70/4.00) or below, the passing GPA combinations for two-course and three- course scenarios are as follows.

[GPA ≥ B+] without B- or below			
Over 3 Field Courses			
Case	Grade 1	Grade 2	Grade 3
1	A	A	A
2	A	A	A-
3	A	A	B+
4	A	A	B
5	A	A-	A-
6	A	A-	B+
7	A	A-	B
8	A-	A-	A-
9	A-	A-	B+
10	A-	A-	B
11	A	B+	B+
12	A	B+	B
13	A-	B+	B+
14	A	B	B
15	A-	B+	B
16	B+	B+	B+

[GPA ≥ B+] without B- or below		
Over 2 Field Courses		
Case	Grade 1	Grade 2
1	A	A
2	A	A-
3	A	B+
4	A	B
5	A-	A-
6	A-	B+
7	A-	B
8	B+	B+

DGS (Director of Graduate Studies), DUS (Director of Undergraduate Studies), ESL(English as a Second Language), GA (Graduate Associate), GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), GSC (Graduate Studies Committee), GTA (Graduate Teaching Associate), OGS (Office of Graduate Studies), OSU (Ohio State University), P&P (Policies and Procedures)

**Administration of Written Field Examinations:** Field Examinations are given in two examination rounds per academic year such that (1) the first examination round starts no later than the first week of June, (2) the second examination round starts no later than the last two weeks of July, and (3) each examination round should span at most three business days. Each Field Examination is four hours long, and its result shall be due in the Office of Graduate Studies within two weeks of the examination date for the June examinations, and within two weeks for the July examinations.

The OGS/DGS announces the Field Examination registration period that starts four weeks, and ends one week, before the scheduled date of the pending Field Examination round. A student may withdraw from his/her registration until one week before the pending Field Examination round. A “no show” at the examination without a proper prior withdrawal procedure shall be recorded as “Fail.” A student may be exempted from the automatic failure due to an unanticipated “no show” if and only if the student cannot attend the examination due to a family or medical emergency that is documentable and recognized by the University examination rules. During the examination registration period, a student may petition the DGS for prior GSC approval of not taking an examination in the pending Field Examination round.

**Conduct of the Written Field Examinations:** The Chair of a Field Requirement Committee assembles, formats, and proofreads the field examination before submitting it to the OGS. The OGS duplicates examinations, assigns a random examination ID to each student in a given examination, and prepares the grade report forms. The list of the students’ exam IDs are kept only in the custody of OGS. At no time before the examination will any exam-taking student’s exam ID be revealed to anyone; the DGS approved OGS personnel gives a student his/her exam ID at the beginning of the examination. A student’s exam ID will be revealed to the Field Requirement Committee only after the Field Requirement Committee formally reports all grades to the OGS using the OGS-provided grade report forms. The DGS/OGS and/or their designated deputies proctor the Field Examinations. Proctoring deputies must be regular staff or faculty members; no student shall proctor or assist in proctoring the Field Exams. Students are not permitted to bring any material to a Field Examination except for writing instruments. Students may bring any other item only upon an explicit request by the Field Examination committee and only if approved by the DGS.

**Administration of Written Field Papers:** A student automatically and immediately fails in the field paper requirement if the student fails to maintain the minimum grade point average (GPA) of 3.30/4.00, without having a course grade of 2.70/4.00 or below, over the set of relevant field courses that the DGS announces at the start of the academic year. A student who has met the field-course GPA requirements must submit a required field paper to the Office of Graduate Studies in hard and electronic copies by the due date that DGS sets close, but prior, to the start of the June Field Examination round. A student who fails in the field paper submitted in the June round may resubmit a revised paper, or submit a new field paper, to the Office of Graduate Studies in both hard and electronic copies by the due date that DGS sets close, but prior, to the start of the July Field Examination round.

DGS (Director of Graduate Studies), DUS (Director of Undergraduate Studies), ESL(English as a Second Language), GA (Graduate Associate), GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), GSC (Graduate Studies Committee), GTA (Graduate Teaching Associate), OGS (Office of Graduate Studies), OSU (Ohio State University), P&P (Policies and Procedures)

**Conduct of Written Field Papers:** A field paper and a term paper of a course are not substitutable; the former is the assessment required for the field requirement, and the latter is part of a course requirement. A field paper may, however, extend a term paper, or the field paper may overlap in content with a term paper, but they are separate and should not be the same. If a student chooses two fields that require papers, the student should submit two separate papers, one for each field. The two papers may have related or overlapping topics, however. When two related or overlapping papers are submitted, two field committees shall be notified, and each field committee shall make its own decision.

## **F. Research Seminars and Workshops**

After the second year of graduate study, every Ph.D. student *must enroll* in at least one of the Departmental Seminars in every semester on a letter grade basis. Each Departmental Seminar has variable credit hours (1-3); a pre-candidacy student should register for 3 credit hours; a post-candidacy student should register for at least 1 credit hour. The four Departmental Seminars are as follows:

8891.01 Economic Theory Seminar: this seminar includes all topics in advanced economic theory, generally defined, including game theory.

8892.01 Macroeconomics Seminar: this seminar includes all topics in macro-monetary economics and international economics, theoretical or empirical, very inclusively defined.

8893.01 Econometrics Seminar: this seminar includes all topics in advanced econometric theory or applied econometrics.

8894.01 Applied Microeconomics Seminar: this seminar includes all topics in applied or empirical microeconomic fields.

Separate from the Departmental Seminars, the Department convenes Workshops that meet for one hour during lunchtime. These lunchtime workshops are frequently used as a forum for students, and sometimes faculty members and outside speakers, to present their research in progress. In particular, third-year students may use Workshop presentations to partially fulfill their third-year research report requirements. Each Workshop has variable credit hours (1-2), which are graded on a S/U basis. A student may enroll for 2 credit hours of a given Workshop only if the student gives a presentation. All other students may enroll only for 1 credit hour. The four Departmental Workshops are as follows:

8891.02 Workshop in Economic Theory: this workshop includes all topics in advanced economic theory, generally defined, including game theory.

8892.02 Workshop in Macroeconomics: this workshop includes all topics in macro-monetary economics and international economics, theoretical or empirical, very inclusively defined.

8893.02 Workshop in Econometrics: this workshop includes all topics in advanced econometric theory or applied econometrics.

8894.02 Workshop in Applied Microeconomics: this workshop includes all topics in applied or empirical microeconomic fields.

## G. Annual Research Report Requirements

After successfully completing the Second-Year Field Requirements, every student must satisfy the annual Research Report Requirements (RRR), which consists of a research presentation workshop and a written research report, i.e., an original research paper. Every student must present a research workshop at least once before the end of Spring Semester, and must submit a written research report to the OGS by the third week of July.

The venue for the research presentation requirement must be a Departmental Seminar or Workshop, but can also be a non Departmental presentation approved by DGS. DGS approval is usually given to a solo presentation in a session of a bona fide academic conference or a presentation in a seminar or workshop equivalent to the Departmental Seminar or Workshop. No poster-session presentation shall be counted towards meeting the annual research presentation requirement. The Candidacy Examination and the Final Oral Examination (dissertation defense) may each be used to satisfy the requirement of an annual research report presentation. The student's dissertation prospectus will qualify as a written research report if the Candidacy Examination is invoked to meet the student's research presentation requirement. The student's dissertation itself will qualify as a written research report if the Final Oral Examination is invoked to meet the annual research presentation requirement.

The written research report must be evaluated by the student's research evaluation committee by the end of the third week of July. The written research report, or an original research paper, must be evaluated by Dissertation Committee (normally for a fifth-year student or for a post-candidacy student past the dissertation proposal stage), Candidacy Examination Committee (normally for a fourth-year student or for a post-candidacy student in the early stage of dissertation research), or by Provisional Candidacy Examination Committee (normally for a pre-candidacy student in the third year). The nature and scope of the third-year RRR is described below, followed by separate sections on Candidacy Examination and Final Oral Examination.

**Third-Year Research Report Requirements:** Every third-year student is matched with a graduate faculty *mentor* with DGS approval. The primary function of a mentor is to guide the student's independent research in a way that facilitates the student's progress towards dissertation proposal stage, and to constitute the student's Provisional Candidacy

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

Examination Committee that evaluates the student's third-year research report. The student's Provisional Candidacy Examination Committee consists of three members, to be formally approved by the DGS. Normally, the student's mentor chairs the Provisional Candidacy Examination Committee. Each committee member votes either "Pass" or "Fail", and the committee decision is by majority. The criterion for Pass/Fail is as follows:

Pass: The student has produced a research paper that clearly indicates the student's progress towards attaining the Ph.D. Candidacy Status by the end of the student's fourth-year Spring Semester.

Fail: The student has NOT produced a research paper that clearly indicates the student's progress towards attaining the Ph.D. Candidacy Status by the end of the student's fourth-year Spring Semester.

Provisional Examination Committee members are encouraged to provide comments. Any "Fail" vote, however, must be accompanied by a comment. The student will receive the committee's vote-cum-comment tally without revealing the individual members' votes or comments.

A third-year student's failure to meet this third-year research requirement shall automatically result in a probationary status in the fourth-year Autumn Semester. This probationary status will be removed in the fourth-year Spring Semester only if the student completes the third-year research requirement in the fourth-year Autumn Semester. A probationary student in the fourth-year may still take the Candidacy Examination during the fourth-year Spring Semester or fourth-year May Session. Even if a probationary student passes the Candidacy Examination, however, the probationary status continues until the student completes the third-year research requirements. If the student fails to pass the Candidacy Examination by the end of the fourth-year Spring Semester, the student's status shall automatically be probationary in the fourth-year May Session. If the student fails to pass the Candidacy Examination by the end of the fourth-year May Session, the Departmental support to the student will be permanently terminated at the end of the fourth-year May Session.

## H. Candidacy Examination

Graduate School rules specify that "the Candidacy Examination is a single examination consisting of two portions, written and oral, administered under the auspices of the GSC in conjunction with the student's Advisory Committee and the Graduate School" (*Graduate School Handbook*: II.6.9.1). The Graduate School rules also state, "For Ph.D. students the Candidacy Examination is not only a test of the student's comprehension of the field, but also of allied areas of study, of the capacity to undertake independent research, and of the ability to think and express ideas clearly" (*Handbook*: II.6.9.2). The Candidacy Examination tests the student on his/her preparation for executing a successful Ph.D.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL (English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, **OSU (Ohio State University)**, **P&P (Policies and Procedures)**

dissertation, including breadth of knowledge of a field of research, conceptual modeling of the research questions, and, when relevant, knowledge of the sources of data to be exploited.”

Our structure and conduct of the Candidacy Examination abide by the Graduate School rules. For the conduct of the Candidacy Examination, we shall use the term “Candidacy Examination Committee” synonymously with “Advisory Committee” in the *Graduate School Handbook* quoted above. The graduate faculty in economics believes that a comprehensive examination as described in the *Graduate School Handbook* can only be undertaken after the student has developed a broad outline of study, which would be *comparable* to an acceptable dissertation research proposal. A satisfactory grade on the written or oral portion of the examination, however, does not constitute approval, partially or wholly, of the student’s dissertation proposal. There is no requirement that any document prepared for the Candidacy Examination also be, partially or wholly, the student’s dissertation proposal.

**Candidacy Examination Committee:** The student’s Candidacy Examination Committee, consisting of the student’s advisor and three other graduate faculty members, is appointed by the DGS in consultation with the student’s advisor. At least three of the four members of the committee must come from the Department of Economics. In accordance with the Graduate School rules, the student’s Candidacy Examination Committee must be formed at least four weeks prior to the proposed date of the oral portion of the Candidacy Examination. The GSC strongly recommends that the student’s advisor assemble the Candidacy Examination Committee membership no later than the last week of the semester preceding the expected date of the student’s Candidacy Examination<sup>14</sup>. The student’s advisor serves as chair of the Candidacy Examination Committee, and is responsible for coordinating the preparation and conduct of the examination.

**Conduct of the Candidacy Examination:** At least four weeks before the expected date of the oral examination, the Candidacy Examination Committee submits to the student a set of written methodological and substantive questions. The student has two weeks to prepare a response to the questions posed and submit them to the Committee. The Candidacy Examination Committee grades the written portion of the examination as either *Satisfactory* or *Unsatisfactory*. The student is considered to have passed the written portion of the Candidacy Examination only if the Committee’s verdict is “Satisfactory” by a unanimous vote. The results of the written portion of the examination must be made available to all members of the Candidacy Examination Committee at least *one week* prior to the oral portion of the examination.

---

<sup>14</sup> Since 2007 The Graduate School has suspended its requirement to have a Graduate Faculty Representative (GFR), which by their definition is a graduate faculty member outside the student’s home Ph.D. department, for the purpose of conducting a candidacy examination. In the spirit of the GFR moratorium, however, the Graduate School encourages the DGS to include an outside member in the student’s Candidacy Examination Committee when an outside member can clearly contribute to the student’s dissertation proposal development. The Graduate School moratorium on the GFR requirement is only for the conduct of a candidacy examination; the Graduate School still requires GFR in the student’s Final Oral Examination.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

The oral portion of the Candidacy Examination, which lasts approximately two hours, is normally conducted within two weeks of the satisfactory completion of the written portion. The *student* will arrange in a timely fashion with the Graduate School for approval of the membership of the examining committee and for the time and place of the examination. The Graduate School must be notified of the time and place of the oral examination at least *two weeks* in advance.

**Grading Procedure and Reporting of Results:** The Candidacy Examination Committee must discuss and vote on the student's performance on the Candidacy Examination at the end of the oral portion of the Candidacy Examination in the absence of the student. Each member of the Candidacy Examination Committee votes either *Satisfactory* or *Unsatisfactory* by signing the Candidacy Examination Report Form provided by the Graduate School. The student is considered to have completed the Candidacy Examination successfully only by unanimity, namely, if and only if every member of the Committee signs in the satisfactory column of the Candidacy Examination Report Form. If the examination is judged unsatisfactory, the Candidacy Examination Committee must decide whether the student should be permitted to take a second Candidacy Examination and must record that decision on the Candidacy Examination Report form. The scope and nature of the second Candidacy Examination are determined by the Candidacy Examination Committee, but it must include an oral portion. If a second examination is to be held, the Candidacy Examination Committee must be the same as the original one, unless substitution is approved by the Dean of the Graduate School. No student is permitted to take the Candidacy Examination more than twice. In concluding the examination, the Candidacy Examination Report Form must be promptly submitted to the Graduate School.

The student's *Advisor* receives the *Candidacy Examination Report* form from the Graduate School and is responsible for (1) recording the results of the examination on the form and obtaining the signature of each member of the examining committee, and (2) depositing the completed form with the OGS, where a copy will be retained for the file and the original forwarded to the Graduate School. Upon successfully completing the Candidacy Examination, the student attains the so-called post-candidacy status and the student is a Ph.D. Candidate in Economics.

## **I. Dissertation Committee**

Following the successful completion of the Candidacy Examination, the DGS will consult with the Candidate and appoint the Dissertation Committee. The Dissertation Committee consists of the Candidate's advisor, who serves as chair of the committee, and at least two other graduate faculty members. One of these other members may be from outside the Department upon approval of the GSC. The GSC recommends that one member of the committee have primary research interests outside the field of the dissertation. The DGS, after consulting with the Dissertation Committee and the Candidate, is empowered to change the membership of the Dissertation Committee.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)



## J. Dissertation Proposal

Following the Candidacy Examination, the *Candidate* is responsible for submitting a dissertation proposal to the OGS, signed on the title page by the student's Candidacy Examination Committee, which must certify that it is an acceptable proposal. A dissertation proposal must contain the following information:

1. A tentative title of the dissertation.
2. A tentative outline of its content, including a set of chapter titles which show the main structure of the dissertation.
3. A statement of the primary research questions, the scope and nature of expected original research results, and a broad outline of the method of research to be followed.
4. A description of the sources of data to be used, where appropriate, including a bibliography of data sources and closely related research.
5. A statement explaining how the proposed dissertation fits into the existing literature on the subject.
6. An informative bibliography.

The dissertation proposal fulfills the function of providing evidence that the candidate has set forth a research agenda which promises to contribute to the body of knowledge in the field of economics. The dissertation proposal approved by the Candidacy Examination Committee does not constitute an agreement between the Candidate and the Dissertation Committee that the dissertation, when completed as outlined in the dissertation proposal, will be approved. In the course of dissertation research, the Candidate or the Dissertation Committee may find that the dissertation should deviate from the outline in the proposal. The approved dissertation proposal does not prevent the Dissertation Committee from allowing such changes.

## K. Dissertation and Final Oral Examination

The final stage of the Ph.D. program consists of writing a dissertation. The development and writing of the dissertation should be carried out in regular consultation with the advisor and other members of the Dissertation Committee. When progress on the dissertation warrants the Final Oral Examination, the *Candidate* should obtain a copy of the *Doctoral Draft Approval/Notice of Final Oral Examination Form* from the Graduate School, and see that the form is completely and properly executed. To this end, the *Candidate* must: (1) arrange a mutually acceptable time for the two-hour examination with all members of the Dissertation Committee; (2) arrange a place for the examination through the OGS; (3) obtain the signatures of each member of the Dissertation Committee on the form; (4) submit one copy of the signed and completed form to the OGS; and (5) deliver the signed and completed form *in person* to the Graduate School. These tasks should be done at least **two weeks** before the scheduled date of the Final Oral Examination to ensure compliance with Graduate School

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

regulations. In addition, if the examination is held in the term in which the Candidate expects to graduate, the scheduling of the examination must meet the time requirements of the Graduate School, as published in the *Graduate School Handbook*. The Candidate should also request that the OGS publicize the examination through normal channels.

The *Final Oral Examination Committee* consists of the Dissertation Committee and a Graduate Faculty Representative (GFR), whom the Graduate School appoints after receipt of the completed *Doctoral Draft Approval/Notice of Final Oral Examination Form*. The Candidate's advisor serves as chair of the Final Oral Examination Committee. The *advisor* will receive from the Graduate School a copy of the *Final Oral Examination Report Form*, and is responsible for (1) reporting the results of the Final Oral Examination and securing the signature of each member of the Final Oral Examination Committee on the form, and (2) returning the completed form to the OGS, where a copy will be retained for the file and the original returned to the student for hand delivery to the Graduate School.

The *Candidate* is responsible for supplying copies of the draft dissertation **at least one week** before the scheduled examination as follows: one copy to each member of the Final Oral Examination Committee, which includes the GFR, and one copy to the OGS.

Following a discussion in the Examination Committee, voting on the Final Oral Examination is by secret written ballot from each examiner, indicating that the Candidate's performance in the Final Oral Examination has been *Satisfactory* or *Unsatisfactory*. The Candidate passes the Final Oral Examination if and only if the satisfactory vote is unanimous among the Committee members. A vote of "Unsatisfactory" by one or more examiners will result in the examination being judged as "Unsatisfactory." The outcome of the Final Oral Examination does not constitute approval or disapproval of the dissertation itself, but of the oral *defense* of the dissertation.

## L. Final Approval of the Dissertation

The *advisor* will receive from the Graduate School a copy of the *Dissertation Approval* form. This form should be signed by the Dissertation Committee only when a satisfactory dissertation in the final form that conforms to the Graduate School regulations is presented to the members of the Dissertation Committee for their approval. Approval by the Dissertation Committee must be unanimous. The *Candidate* is responsible for providing a copy of the completed and signed Dissertation Approval form to the OGS, and submitting the signed original form —along with a copy of the final dissertation — to the Graduate School. The *Candidate* is responsible for making the entire dissertation conform to the formatting requirements of the Graduate School as stipulated in the *Guidelines for Formatting Theses, Dissertations, and D.M.A. Documents* <<http://www.gradsch.ohio-state.edu/guidelines.html>> and complying with any other requirements necessary for receiving the degree. The *Candidate* must also complete and file the *Application to Graduate Form* no later than the third Friday of the semester of expected graduation.

## V. FINANCIAL SUPPORT

### A. Fellowships

A fellowship is awarded with the expectation that the student will pursue full-time study or research towards completion of the degree. Therefore, a fellowship student shall carry no departmental or university employment duties. A student on fellowship is not permitted to teach or be otherwise employed, unless specifically allowed under the terms of the given fellowship. All students with fellowships, whether funded through the university or by external organizations, must enroll for at least 12 graduate credit hours per semester. University Fellowships are awarded by the Graduate School on a University-wide basis, taking into account departmental recommendations.

Applicants seeking financial support, fellowship or otherwise, should apply by November 30 preceding the Autumn Semester of intended entry year. All application materials, including recommendation letters, statement of purpose, transcripts, and application fees as well as GRE and, if applicable, TOEFL scores, must reach the OSU Admissions Office and the Department of Economics by November 30.

For prospective graduate students, who are *new* to the OSU graduate programs, the Graduate School funds, selects, and administers various **University Fellowships**. The Graduate School also funds, selects and administers **Graduate Enrichment Fellowships** that provide support to members of underrepresented groups. The tenure of these OSU fellowships varies from one year to multiple years<sup>15</sup>. The College of Social and Behavioral Sciences (SBS) and the Department jointly supplement the University and Graduate Enrichment Fellowships, and also offer their own SBS-Economics Fellowships with terms and tenure similar to those of University Fellowships and Graduate Enrichment Fellowships. All these fellowships are merit-based, competitive awards. All fellowships, unless otherwise stated, provide both tuition and stipend coverage for the entire academic year.

**Tuition Awards:** The OSU does not provide *stand-alone* tuition fellowships or tuition scholarships, which cover only tuitions and fees, but no stipend. The Graduate School, however, may consider a possible tuition award to accompany a scholarship or fellowship awarded from a non-OSU source, provided that such a fellowship/scholarship covers the standard maintenance budget *except* tuition. A necessary condition for the Graduate School consideration for a tuition award is that the non-OSU scholarship/fellowship must be genuinely academic, competitive, and comparable to a regular OSU fellowship in its terms

---

<sup>15</sup> The tenure of a University Fellowship (UF) and of a Graduate Enrichment Fellowship (GEF) is one year, covering the first year (12 months) only. The tenure of a Distinguished University Fellowship (DUF) and of Dean's Graduate Enrichment Fellowship (DGE) is two years, covering the first and dissertation years. The tenure of a Dean's Distinguished University Fellowship (DDU) is three years, including the first and dissertation years.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL (English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, **OSU (Ohio State University)**, **P&P (Policies and Procedures)**

and prestige<sup>16</sup>. The OSU Graduate School never provides tuition coverage for a de facto traineeship award supported by employers or for an award by private individuals. Unlike other Graduate School fellowship awards, tuition award coverage need not be a whole academic year, but can be as short as one semester. Students do not apply directly to the Graduate School for tuition award. A student must submit necessary credentials of a non OSU fellowship/scholarship to the Department, and request the Department to petition the Graduate School on his/her behalf for a tuition award.

**Other Fellowships:** The Graduate School awards Presidential Fellowships, very select dissertation-year fellowships, twice a year via the campus-wide competition. The Department occasionally provides Dice Research Awards, which provide stipend support with or without tuition coverage for at least one semester and for the maximum of two semesters depending on the fund's availability.

## **B. Graduate Associateships (GA)**

The Department awards and administers Graduate Associateships (GA) on the basis of students' academic merits as sanctioned by the Departmental Graduate Studies Committee (GSC). A Graduate Associate (GA) is designated as a Graduate Teaching Associate (GTA), Graduate Research Associate (GRA), or Graduate Administrative Associates (GAA), depending on the type of duty assigned. Unless otherwise specified, in what follows, Graduate Associateship (GA) means a full-time GA appointment, which the OSU Office of Human Resources defines as a 50% appointment with 20 hours of duty per week. A student appointed as a full-time GA is not permitted to hold any other employment, unless an overtime assignment is explicitly granted by the Department under the advisement of GSC.

Full-time GA appointment provides monthly stipends, health insurance premium subsidy, and coverage of tuition and academic fees. A full-time GA may be entitled to the *Summer Session fee authorization* by the Department. A student who has been appointed for consecutive Autumn and Spring Semesters as a full-time GA can receive tuition and fee coverage as a full-time student in Summer Session without being a GA in summer<sup>17</sup>.

The Department requires that its pre-Candidacy GAs enroll in the minimum of 12 credit hours, and its post-Candidacy GAs enroll in a minimum of 3 credit hours, per semester. The Graduate School's minimum enrollment requirement is 8 credit hours for a full-time pre-Candidacy GA in a regular semester (Autumn, Spring), and 4 credit hours in Summer, and 3 credit hours for a full-time post-Candidacy GA in any semester. To be appointed as a GA, a

---

<sup>16</sup> Examples of competitive non OSU awards include well-known international scholarships and fellowships such as Fulbright, IMF (International Monetary Fund), and Rotary International Scholarships as well as national scholarships with established reputations.

<sup>17</sup> Such fee authorization applies only to Summer Session. This summer-session fee authorization cannot be deferred to a future term, and cannot be applied to May Session tuition. Note, however, that a graduate student with a Spring Semester GA appointment can enroll free of tuition up to three credit hours of May Session.

student must also satisfy the eligibility requirements stated in the *Graduate School Handbook*, such as the minimum GPA requirement of 3.00 on all graduate courses.

The Department financial support in the form of GA appointment is conditional on the student making normal progress towards a Ph.D., providing a good faith effort to honor the terms of GA appointments, and maintaining satisfactory performance on assigned GA duties. All GA appointments and actual GA stipends are contingent on the annual approval of the Department budget by the University<sup>18</sup>. Our regular GA support is a nine-month appointment that covers Autumn/Spring, providing tuition coverage, a health insurance subsidy, and a monthly stipend. The Department offers a limited number of GA appointments during Summer.

### C. Department Policies on GA Support

It is the intent of the Department of Economics to provide financial support in the form of Graduate Associateships (GA) to all academically eligible students up to and including the fifth year of their Ph.D. program. The Department may support students in the sixth year of their Ph.D. program on the basis of their individual merits, provided that there is sufficient Department funding available for them after supporting all other academically eligible students in their first through fifth year of the program. The Department never supports any student beyond the sixth year of the Ph.D. program.

While receiving full GA support from the Department, a student may not receive concurrent employment or support from non-Departmental sources, including outside scholarships, fellowships, traineeship, support grants, graduate associateships, or non-university employment. If a student receives non-Departmental funding or accepts non-Departmental employment, the Department has an option to prorate its GA support in terms of stipend or GA appointment duration. Our goal is to support all academically eligible graduate students in a fair and efficient manner.

A student who fails to maintain normal academic progress can be (1) terminated from the Ph.D. program, (2) discontinued from Departmental support, or (3) put on a probationary GTA rank with reduced support level. The DGS, after seeking the GSC advice, recommends the Department to apply one of the above measures to a student whose academic progress is unsatisfactory<sup>19</sup>. When a student's GA duty performance is deemed unsatisfactory, the student's GA contract may be revised, including withdrawal of Departmental GA support, at the initiative of the DGS, DUS, or Department Chair. The Department Chair makes the final determination about discontinuing a GA appointment on the ground of underperformance of GA duties. Before discontinuing a GA appointment on the grounds of GA underperformance,

---

<sup>18</sup> Exceptions to the Department support policy may occur in times of financial exigency.

<sup>19</sup> For each major academic requirement, this P&P explains the nature of the requirement, defines the timeline of meeting the requirement, and stipulates possible penalties in case of failure to meet the requirement. In (1), "termination" does not necessarily lead to an ipso facto "disenrollment" from our graduate program, but refers to the state in which a student is not allowed to progress further towards a Ph.D. in our program.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL (English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, **OSU (Ohio State University)**, **P&P (Policies and Procedures)**

the Department Chair will seek the advice of a review committee composed of the DGS and DUS. (See Section V. E. for procedures and penalties concerning GA underperformance).

#### **D. Regular GA Ranks and Probationary GA Ranks<sup>20</sup>**

The Department provides three regular GA ranks: Rank I, Rank II, and Rank III; and three probationary GA ranks: Rank I-P, Rank II-P and Rank III-P. These GA ranks are determined by a student's academic progress towards the Ph.D. Only students making normal academic progress are eligible for regular GA ranks. All regular GA appointments (Rank I, II, and III) are 9-month academic year contracts, issued at the start of a given academic year. The Department reserves the right to change terms of a GA contract if a student's academic status changes so as to affect the GA rank, and a new GA contract will be issued effective in the semester following the academic status change.

A student who fails to maintain the normal academic progress may be appointed to a probationary GA rank with a reduced support level. Probationary appointments (Rank I-P, II-P, and III-P) carry salary reductions of 25% of the stipends in the corresponding regular rank, unless the 25% reduction results in a stipend less than the graduate-school determined minimum. In the latter case, the probationary stipend will be equal to the graduate-school determined minimum. In addition to the the GSC approval of individual probationary cases, the Department's appointment of probationary-rank GAs depend upon the following: (1) availability of funds, (2) departmental teaching needs, (3) satisfactory performance as a GA, and (4) academic progress by the student in the graduate program<sup>21</sup>. All probationary GA appointments are issued in semester contracts, possibly renewable on a semester basis subject to rules governing the causes of probation. To renew a GA contract, a probationary GA must petition in writing to the DGS, prior to the start of a renewal, and also submit written support justifications from the student's advisor or DGS-designated mentor. The student shall return to a regular GA rank with a new contract effective in the semester following the removal of all the causes for the probationary rank.

**Rank I GA appointments:** Rank I GA appointments may be awarded to first-year students on the basis of competitive academic merits as evaluated by the GSC. Rank I GAs normally will not be assigned teaching responsibilities, but will be assigned research, grading or administrative assistance duties. For the purposes of determining hours of work for Rank I GA appointments, the 20 hours of duty per week consists of 10 hours of work as a GA for individual faculty members plus 10 hours under the DGS's direct supervision.

**Probationary Rank I GA appointments (Rank I-P):** Probationary Rank I appointments may be offered at the discretion of the GSC to second-year graduate students

---

<sup>20</sup> Descriptions of GA appointments given here are typical. However, specific terms and conditions given in the letter of GTA appointment take precedence over these descriptions. According to University rules, all GA appointments are subject to the availability of funds.

<sup>21</sup> A probationary GA appointment is contingent on the availability of sufficient funds after supporting all other academically eligible students in regular GA appointments.

**DGS (Director of Graduate Studies)**, **DUS (Director of Undergraduate Studies)**, **ESL(English as a Second Language)**, **GA (Graduate Associate)**, **GAA (Graduate Administrative Associate)**, **GRA (Graduate Research Associate)**, **GSC (Graduate Studies Committee)**, **GTA (Graduate Teaching Associate)**, **OGS (Office of Graduate Studies)**, **OSU (Ohio State University)**, **P&P (Policies and Procedures)**

who are not eligible for Rank II appointments. A Rank I-P appointment cannot be continued beyond Autumn Semester of the second year unless the student has either passed both Qualifying Examinations at the Ph.D. level, or has been given explicit permission by the GSC to retake the Qualifying Examination(s).

**Rank II GA appointments:** To be eligible for appointment as a Rank II GA, the student must pass both Qualifying Examinations at the Ph.D. level, must satisfy the first-year econometrics requirements, and, in the case of foreign students, must also obtain all English language requirements, all before the start of the second year Autumn Semester. A second-year students who passed the both Qualifying Examinations, but who failed to meet either the econometrics requirement or the OSU Instructional English requirements may, upon petition to the DGS, be appointed to a GA with the probationary Rank II-P.

**Rank III GA appointments:** For appointment as a Rank III GA, the student must have completed all courses required<sup>22</sup> for the Ph.D. and must have passed two Field Requirements. Appointment as a Rank III GA prior to passing the Candidacy Examination and submission of an approved dissertation proposal to the OGS will not extend beyond the Spring Semester of the fourth year of graduate study. After passing the Candidacy Examination and submitting an approved dissertation proposal, appointment as a Rank III GTA may not extend beyond the fifth year of graduate study.

**Probationary Rank III GA appointments (Rank III-P):** A student who has passed the Field Requirements and met all Ph.D. course requirements, but who is not eligible for a regular Rank III appointment, may petition the GSC for a probationary Rank III appointment. A pre-candidacy student who has satisfied the Field Requirements and all Ph.D. course requirements, but who failed the annual research report requirement, may petition GSC for a Rank III-P appointment. Such a petition must be accompanied by a written justification from the student's mentor or the chair of the student's Provisional Candidacy Examination Committee. In the case of a student beyond the fifth year of graduate study, a petition for any Rank III-P GA appointment must have a summary statement of the student's progress towards completion of the Ph.D., a petition justification letter from the student's advisor(s), and any supporting documents that the GSC may request to evaluate the student's academic progress and GA performance.

**Half-Time GA Appointments:** The Department may make a half-time GA Appointment, equivalent to the 25% appointment by the OSU Human Resources definition, stipulating 10 hours of duty per week. The ranks of half-time GAs are determined by the same rules that govern full-time GAs. A GA holding 25% appointments is entitled to one-half of a full fee authorization, and must be registered in the Graduate School for at least four credit hours each semester. A half-time GA's stipend is one half of a full-time GA of the equivalent GA rank. A half-time GA may serve as teaching (GTA), research (GRA), or

---

<sup>22</sup> In particular, Economics 8731-8732 must be completed satisfactorily.

DGS (Director of Graduate Studies), DUS (Director of Undergraduate Studies), ESL(English as a Second Language), GA (Graduate Associate), GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), GSC (Graduate Studies Committee), GTA (Graduate Teaching Associate), OGS (Office of Graduate Studies), OSU (Ohio State University), P&P (Policies and Procedures)

administrative assistants (GAA). The following additional conditions apply to 25% appointments.

1. Pre-Candidacy Status students with regular Rank II or III appointments may request a 25% appointment at any time.
2. No post-Candidacy Status student can be appointed less than 50% appointments.
3. No student eligible for a 50% appointment under the department's policy of supporting all students making normal progress may be reduced to a 25% appointment without his or her consent.

### **E. Penalties and Procedures for Underperformance of GA Functions**

Permission for a GA absence from duties is given in cases of illness, family emergency, or any medical and family contingencies normally covered by the OSU Human Resources guidelines for OSU staff. Proper documentation can be required as part of official procedure. In addition, the Department may extend courtesy allowance for a GTA's travel to job-market interviews that DGS may certify as part of the GA's legitimate placement activities. Vacation, leisure activities, or any event other than those listed above, shall not qualify for an exemption from GA duties. Further, in case of an anticipated absence from GA duties, the GA must obtain a prior approval from appropriate Departmental administrators. Failure to obtain the proper permission for absence from a GA function, except in case of a documented emergency, will result in the procedure and penalties described in this section.

The Departmental procedure for a graduate student GA who fails to meet the expected standards for fulfilling the GA functions is as follows. The term "offense" covers not only a violation of the professional code of GA conduct but also any malfeasance, nonfeasance or underfeasance of GA duties.

- (a) On the first offense, the Department issues an email warning and a printed copy of the warning will be placed in the student's permanent file. The student should meet with the DUS, DGS, or the Department Chairperson to clarify the nature of the offense, to discuss a remedy, and to ascertain the follow-up procedures. If the student successfully rectifies the situation, and if the student has no further offense in GA duties, the student may petition the Department to have the warning removed from his/her file upon Ph.D. graduation or permanent separation from our graduate program.
- (b) On the second offense, whether it is a repetition of the previous offense or a different type of the offense, the Department issues a formal written warning, and a copy is placed in the student's permanent file. The student should meet with the DUS, DGS, or the Department Chairperson to clarify the nature of the offense, to discuss a remedy, and to ascertain the follow-up procedures.

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)



- (c) If the second offense is not rectified in the timely fashion, the student's GA contract will be revised effective in the semester following the second offense. Such a contract revision may entail one of the following penalties and will be implemented as soon as the OSU Human Resource regulation allows; (1) if a student is on regular GA contract, a new Probationary GA contract will be issued; (2) if a student is already on a Probationary GA contract, a new probationary contract with the monthly stipend reduced to the University minimum will be issued; (3) a student's contract will be cancelled for one semester, i.e., suspended with no coverage or stipend, during the next regular (i.e., non-summer) semester; (4) the Department support for a student is terminated permanently.
- (d) If the student's offense is severe, the Department reserves the right to dismiss the offending student immediately from the GA duty, and to terminate his/her GA contract, possibly permanently, as soon as, and to the extent that, the OSU Human Resource regulation allows.

## F. Graduate Teaching Associates (GTAs)

Graduate Teaching Associates (GTAs) are assigned on a semester basis to one of the three instruction-related functions: independent lecture GTAs, recitation GTAs, and grader GTAs. Immediate supervisors for an independent lecture GTA is the Director of Undergraduate Studies (DUS), for a recitation GTA the instructor of the class, and for a grader GTA the instructor of the class. Independent lecture and recitation GTA functions are considered instructional functions that require classroom presence and student contact hours. We shall use the term "instructional GTA" or "GTA instructor" to mean either an independent or a recitation GTA. GTA graders are not considered to perform instructional functions proper as they can fulfill their duties without having student contact hours or classroom presence of their own. All GTAs, regardless of their instruction-related functions, are required to attend a teaching methods workshop before their first semester of teaching.

A foreign graduate student whose first language is not English cannot be assigned to instructional GTA duties until he/she obtains the OSU Instructional English Certification. To be eligible for an instructional GTA appointment, therefore, a foreign student must complete satisfactorily all English as a Second Language (ESL) courses required by their performance on the English Placement Tests, both spoken and written. Any renewal of, or consideration for, Departmental financial support will depend upon the student's successful completion of these ESL courses. The Department policy is that all students whose first language is not English should obtain the OSU Instructional English Certification by the start of the second year in our program.

All instructional GTAs are required to submit results of their Student Evaluations of Instructions (SEIs) to the Undergraduate Studies Director as soon as possible following each semester's teaching. In addition, the Department will monitor each GTA's performance by various means, including in-class audits and videotapes, until each GTA is certified as qualified to teach his or her own course at the 4000-level. An instructional GTA will

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL(English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

normally teach six recitation sections or two independent lecture sections during the two-semester appointment. A grader GTA will be assigned to put in 20 duty hours a week on average including class attendance hours required by the class instructor. The Department may add an incentive bonus to the monthly stipend determined by the GA Rank for an instructional GTA with superior teaching performance. The Department also issues teaching awards to instructional GTAs with an outstanding record of teaching.

A GTA appointed to be an independent instructor is **required** to meet classes in accordance with the official University calendar, and is expected to perform all normal instructional duties including but not limited to the following:

- 1) To select and order textbooks in advance and in a timely fashion. To write a syllabus; to make homework, quizzes, and exams; and to maintain the class record and grade books.
- 2) To hold class during all regularly scheduled hours.
- 3) To administer a final exam during the regularly scheduled exam period. Any exception must obtain prior approval of the Director of Undergraduate Studies and the Chairperson of the Department.
- 4) To hold regularly scheduled office hours. The common-sense norm is that a GTA should enable students' office hour access for 2–4 hours at different times during the week, not counting recitation sections. A GTA who prefers to schedule relatively few formal office hours should be exceptionally flexible in scheduling office hours “by appointment”.

For GTAs teaching recitation sections, responsibilities, in addition to meeting all regularly scheduled recitation classes, are primarily set by the principal instructor in charge of the main lecture session. These responsibilities include but are not limited to:

- 1) To attend all lectures unless explicitly excused by the course instructor.
- 2) To hold regularly scheduled office hours (see #4 above).
- 3) To teach material specified by the course instructor.
- 4) To participate actively in preparing, administering, and grading exams.

The last two responsibilities require regular meetings between the course instructor and GTAs. The times for these meetings are typically set prior to the semester or during the first week.

\

**DGS (Director of Graduate Studies)**, DUS (Director of Undergraduate Studies), ESL (English as a Second Language), **GA (Graduate Associate)**, GAA (Graduate Administrative Associate), GRA (Graduate Research Associate), **GSC (Graduate Studies Committee)**, GTA (Graduate Teaching Associate), **OGS (Office of Graduate Studies)**, OSU (Ohio State University), P&P (Policies and Procedures)

A GTA appointed as an independent instructor is required to meet classes in accordance with the official University calendar. As soon as a GTA anticipates that he/she cannot meet a class, the GTA must seek prior approval from the Director of Undergraduate Studies (DUS) for the absence. DUS will also approve a remedy for the GTA's absence, including a temporary appointment of a substitute GTA and a possible class cancellation. If the student is unable to contact the DUS, the GTA should contact to seek the prior approval of the Director of Graduate Studies (DGS). In case neither DUS nor DGS is available, contact the Department Chair.

A GTA assigned to a recitation section is required to meet recitation classes and to attend lectures in accordance with the official University calendar. As soon as a recitation GTA anticipates that he/she cannot meet a recitation class, the GTA must seek prior approval from the Director of Undergraduate Studies (DUS) for the absence. While the GTA seeks DUS approval, the GTA must concurrently inform his/her immediate GTA supervisor, normally the instructor of the class. DUS will also approve a remedy for the GTA's absence, including a temporary appointment of a substitute GTA and a possible class cancellation. If the student is unable to contact the DUS, the GTA should seek the prior approval from the Director of Graduate Studies (DGS). In case neither DUS nor DGS is available, then contact the Department Chair.

## VI. JOB PLACEMENT OF STUDENTS

The Graduate Placement Director, in consultation with the DGS, coordinates the efforts of all members of the Department in assisting students to obtain suitable employment when they conclude their graduate work. Members of the Department are urged to report promptly to the Placement Director any information they may obtain about positions available. A list of prospective new Ph.D.'s seeking full-time regular employment is sent to prospective employers worldwide via our home page, by email or by mailing. The Department assists prospective placement candidates in all major aspects of their preparations for job applications, job interviews and job seminars.

## VII. STUDENT PARTICIPATION IN DEPARTMENT AFFAIRS

Graduate students in the Department of Economics are encouraged to participate actively in the affairs of the Department, the College (Social and Behavioral Sciences), and the University. At the College and University levels, participation may be exercised by membership on the Council of Graduate Students, among other bodies of the University. Other avenues of participation are described in the *Graduate School Bulletin* and in other publications of the University.

The Department supports the Economics Graduate Student Society (EGSS), as the forum through which **all** graduate students can bring to bear their interests and concerns about affairs of the Department, and it can be a major channel of communication between the students and the faculty as a whole. EGSS elects its President, Treasurer, and the two student representatives to the GSC of the Department. In the absence of EGSS nominations to the GSC, the Chairperson of the Department in consultation with the DGS appoints the two student representatives to the GSC.

## VIII. RIGHT TO PETITION

In the event a student feels that extenuating circumstances justify the waiver of any of the listed rules, the student concerned may submit a *written* petition to the GSC. Please note that the GSC cannot waive rules that are based upon requirements of the Graduate School.

## IX. GRADUATE MINOR IN ECONOMICS

Students, not seeking a graduate degree in economics, may seek a transcript designated *Graduate Minor in Economics* outside the student's home degree program. See our website <<https://economics.osu.edu/files/EconGradMinorPP2012Semester.pdf>> for the details of the Graduate Minor in Economics that conforms to the Graduate School guidelines and stipulations.