

# Northwestern

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Department of **Economics**

## Graduate Student Handbook

September 2023

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## **Changes since Last Edition**

- Text on existing Responsible Conduct of Research (RCR) training
- Text on existing policy on tutoring for first-year students
- Disclaimer on funding section concerning future collective bargaining

This handbook is reissued each summer. It represents the policies and degree requirements of the Department of Economics as of the date on the cover.

The requirements in this document are in addition to, or further elaborate upon, the general degree requirements and the policies on satisfactory progress, probation and exclusion adopted by The Graduate School (TGS) of Northwestern University.

Updates to the handbook during the academic year are posted on the department's website:

<https://www.economics.northwestern.edu>

under the "Graduate" tab, and in the Department's *Graduate Connection* newsletter which is issued at the beginning of September, December, and March.

# DEGREE REQUIREMENTS

## *Ph.D. DEGREE REQUIREMENTS*

<b>Courses</b>	<b>Units</b>
<i>Core Courses:</i>	
ECON 410-1,2,3 Microeconomics	3
ECON 411-1,2,3 Macroeconomics	3
ECON 480-1,2,3 Introduction to Econometrics	3
<i>Nine Approved Field Courses that must include:</i>	
(a) At least one course in Economic History (ECON 420-1 Advanced Topics in American Economic History (or) ECON 420-2 Advanced Topics in European Economic History), and	
(b) Three field sequences of at least two-quarters each. A field sequence consists of two or three quarter-length courses as determined by the department.	9
<i>Total Required Units:</i>	18

### **Other Ph.D. Degree Requirements**

*Examinations:* satisfactory grades in each of the three core areas (microeconomics, macroeconomics, and econometrics); oral examination for approval of dissertation prospectus

*Research/Projects:* two research papers presented in the student seminar (ECON 501) or equivalent

*Ph.D. Dissertation:* original, independent research

*Final Evaluations:* oral dissertation defense

*Supervised Teaching Experience:* All doctoral students are required to act as a teaching assistant for at least one quarter. As part of these duties, the student must lead a weekly discussion section. Teaching experience is an essential part of graduate training. Foreign students must demonstrate acceptable English proficiency as prescribed by TGS. Evaluations are made and kept as part of the students' records.

## *M.A. DEGREE REQUIREMENTS*

The department does not normally admit students for a terminal M.A. degree. Economics doctoral students who complete the ECON 410, ECON 411, ECON 480 sequences with a B average are eligible to receive the M.A. degree. Students must apply for the master's degree within five years of initial registration as a graduate student.

Northwestern Ph.D. students in other departments interested in obtaining an Ad-hoc Combined Master's degree in Economics should consult the separate handbook.

## **FINANCIAL ECONOMICS Ph.D. PROGRAM**

The Department of Economics and the Finance Department in the Kellogg School of Management have a joint Ph.D. degree in Financial Economics. Students enrolled in that program should consult the student handbook for that program and not this document. Both programs have common first year requirements.

There are two points of entry into the joint program. The first is a direct application when applying to graduate school at Northwestern. Admission requires approval by both the Economics and the Finance admissions committees.

The second is for students initially enrolled in the Economics Ph.D. program to apply for entry after achieving candidacy. (Students initially enrolled in the Finance Ph.D. program can do the same.) Economics students should initiate the process by contacting the Economics Director of Graduate Studies immediately after candidacy. Applications must be approved by both the Economics and the Finance admissions committees. If the application is approved, the student initiates a degree transfer request to TGS.

## **SATISFACTORY ACADEMIC PROGRESS**

This section summarizes important deadlines and criteria for maintaining satisfactory academic progress. Failure to maintain satisfactory academic progress can lead to probation and ultimately exclusion (dismissal) from the program and Northwestern University. These conditions should be read in conjunction with the general degree requirements and the policies on satisfactory progress, probation, and exclusion of TGS.

Milestones are extended for students on an approved leave of absence or with approved parental accommodation. See the TGS website for details.

### ***GRADES AND CUMULATIVE GRADE POINT AVERAGE (GPA)***

Students must maintain an overall cumulative grade average of B (3.0 GPA), and not have more than three incomplete (Y or X) grades. Students not meeting this requirement are placed on probation by TGS. Students on probation have two quarters (excluding summers) to remediate their grades or else are excluded from the program and Northwestern University.

### ***ENROLLMENT IN FIRST YEAR CLASSES***

Students must enroll for letter grades in Economics 410-1,2,3, 411-1,2,3 and 480-1,2,3 during their first year. Failure to enroll or dropping any of these classes, except in the case of an approved leave, results in exclusion from the Ph.D. program. There is no additional remediation period associated with this requirement.

## *CANDIDACY*

All qualifying examinations must be completed by the end of the Spring Quarter of the second year of study (the seventh quarter of study). A student failing to pass all three qualifying examinations by this time is excluded from the program and Northwestern University. There is no additional remediation period associated with this milestone.

## *DISSERTATION PROSPECTUS*

Students must complete the coursework component of the Ph.D. degree and have their prospectus (dissertation proposal) approved by their committee no later than the end of the Fall Quarter in their fourth year of study, which falls on the last date of the 13th quarter of study. Any student not meeting this milestone is placed on departmental probation. A student who fails to resume satisfactory academic standing within two quarters, which is the last date of the Spring Quarter in their fourth year of study (last date of the 15th quarter of study), is excluded from the program and Northwestern University.

## *GOOD PROGRESS ON DISSERTATION*

Students in their fifth year and above must be certified as making “good progress” on their dissertation by July 31 at the end of each year. A student not meeting this milestone is placed on departmental probation. Students are removed from probation if their thesis advisor writes to the Director of Graduate Studies advising that satisfactory progress has resumed. A student who fails to resume good progress within two quarters, which is the last date of the following Winter Quarter, is excluded from the program and Northwestern University.

## *TIME LIMIT*

Students must complete all requirements for the Ph.D. within nine years (36 quarters of study) of initial registration in TGS. After nine years, students are placed on probation by TGS. Students who have exceeded their time-to-degree deadline and cannot remediate within the two-quarter probationary period may petition for a one-time extension. Information on the conditions and requirements for an extension can be found on TGS's website.

## *COVID-19 EXTENSION OF DEADLINES*

This applies only to students registered on July 9, 2020 and applies to deadlines that fall on or after March 30, 2020. Due to the global COVID-19 (Coronavirus) pandemic, TGS has automatically provided a four-quarter (one-year) extension of TGS deadlines.

Economics deadlines for candidacy and dissertation prospectus are stricter than the TGS requirements. TGS specified that “programs that have their own internal milestone deadlines may retain those deadlines and are not expected to shift them for all students,

but we encourage programs to work with individual students and make reasonable allowances for those whose circumstances may warrant additional time.”

The Economics Department Graduate Studies Committee decided on July 10, 2020 that the department will not change the deadlines uniformly. However, the Graduate Studies Committee will consider individual applications for deadline extensions. Applications should be submitted in writing to the Director of Graduate Studies.

Economics follows the TGS nine-year (36 quarter) Ph.D. time limit. This limit is automatically extended by one year (4 quarters) for students registered on July 9, 2020.

## **ANNUAL CERTIFICATION OF GOOD PROGRESS**

The Graduate School requires that "each student's academic progress must be reported at least annually by the student's program in writing to the student and to The Graduate School." The Economics Department does this by students meeting with a faculty member and obtaining a signature certifying good progress against set milestones. The deadline is typically July 31, with the exception of completing the dissertation prospectus at the end of the third year when the deadline is August 31.

Not making good progress can, in certain circumstances, put a student at risk of being classified as not making "satisfactory academic progress" and subject to probation or dismissal. But in other situations, while progress is not "good," the student is not at risk of probation or dismissal. See a table of the comparison of the good progress and satisfactory progress rules at the end of this document.

This annual certification applies to all students. Students with non-University funding in the coming year (such as an outside fellowship) are not exempt from the annual certification of good progress.

The forms for students in years 2 and above can be found in the Graduate > Current Student Resources > Frequently Used Forms section on the website. These are fillable PDFs that can be signed electronically by faculty. They should be submitted as an e-mail attachment to the Graduate Program Manager.

### ***END OF YEAR 1***

***Milestone:*** Completing the qualifying examinations in all three core areas.

***Deadline:*** Soon after grades are filed at the end of Spring Quarter, the Department will send a letter congratulating you if you have achieved candidacy or specifying which core areas are incomplete and the course(s) that may be retaken to remediate the GPA.

***Form:*** Students passing the qualifying exams in all three core areas should then submit the “*PhD Qualifying Exam*” form online via TGS Forms in GSTS.

## *END OF YEAR 2*

*Milestone:* Good progress toward the field course requirements and a draft Economics 501 paper.

*Deadline:* July 31.

*Form:* "Certification of Good Progress at End of Year 2"

## *END OF YEAR 3*

*Milestone:* Dissertation Prospectus.

*Deadline:* August 31.

*Form:* "Certification of a Dissertation Prospectus"

## *END OF YEAR 4*

*Milestone:* Certification by the dissertation committee chair of a written paper submitted sufficiently far in advance of the deadline for the faculty member to have comprehensively reviewed it, and that it is of suitable quality to form at least one chapter of a dissertation. Coauthored papers are allowed but can only be used by one student for purposes of paper certification.

*Deadline:* July 31.

*Form:* "Certification of Good Progress at End of Year 4"

## *END OF YEAR 5 AND SUBSEQUENT YEARS*

*Milestone:* Certification of good progress by dissertation committee chair.

*Deadline:* July 31.

*Form:* "Certification of Good Progress at End of Year 5 and Above"

# **GOALS FOR FIRST YEAR GRADUATE STUDENTS**

## *CORE COURSE REQUIREMENTS*

In their first year, graduate students are required to take the following courses:

- Economics 401 *Mathematical Methods for Economic Theory*

- Economics 410-1,2,3 *Microeconomics*
- Economics 411-1,2,3 *Macroeconomics*
- Economics 480-1,2,3 *Introduction to Econometrics*

Doctoral students do not formally register for Economics 401 which is held prior to the start of the Fall Quarter. (The course is listed in the registration system in Fall Quarter, but just for undergraduates in the accelerated BA/MA program.)

Students must enroll for letter grades in the other nine courses during their first year. Failure to enroll or dropping any of these classes, except in the case of an approved leave, results in dismissal from the Ph.D. program.

### **Tutoring**

Tutoring services will be provided, at no cost, for those students who are struggling with the core classes. Requests for tutoring services will only be considered after the first midterm examination in a course. The criteria for receipt of tutoring services are that the student:

- (a) received among the lowest scores on the first midterm examination,
- (b) had maintained good attendance at lectures, discussion sections and office hours, and
- (c) had met in-person with the instructor of the course and developed a plan of study that includes tutoring.

If a student meets the above criteria, they should request a tutor by emailing the Graduate Program Manager with a copy to the instructor of the course. Tutors will be assigned based on availability and will be in either one-on-one or small group sessions. If a student does not meet the requirements above but would still like to procure a tutor, a student may do so at their own expense. The economics department website maintains a [list of tutors](#).

### ***MAINTAIN FULL-TIME CONTINUOUS REGISTRATION***

Students must register for at least three units each quarter to be a full-time student. During Fall, Winter and Spring Quarters, students register for Economics 410, 411 and 480. During the Summer Quarter at the end of the first year, students receiving funding register for TGS 500 to maintain their full-time status.

### ***ADDITIONAL MATH TRAINING***

Students with weaker mathematical preparation, or who do poorly in Economics 401, should ask the instructor of Economics 401 or the Director of Graduate Studies for recommendations for additional math courses. These may include the Math Department's undergraduate *Real Analysis* course (Math 320-1) as a fourth course in the fall quarter. This course continues in the winter and spring quarters. Students with stronger mathematical backgrounds might consider the graduate level *Analysis* course (Math 410-1,2,3).



## *ACHIEVE CANDIDACY*

*The candidacy rules were revised for the entering class of 2020. Students in the class of 2019 may elect to follow these new rules. Students from earlier years should consult the relevant Graduate Student Handbook.*

To achieve candidacy, students must pass qualifying examinations in each of the three core areas of study: microeconomics, macroeconomics, and econometrics.

To pass the qualifying examination in a core area, students must achieve a cumulative grade point average (GPA) of 3.0 or greater in the three courses in that core area. Specifically:

- In microeconomics, a cumulative GPA of 3.0 or greater in ECON 410-1, ECON 410-2, and ECON 410-3.
- In macroeconomics, a cumulative GPA of 3.0 or greater in ECON 411-1, ECON 411-2, and ECON 411-3.
- In econometrics, a cumulative GPA of 3.0 or greater in ECON 480-1, ECON 480-2, and ECON 480-3.

Students who have not passed all three qualifying examinations at the end of their first year can remediate a lower GPA in a core area by retaking courses during their second year. Specifically, students can retake (in the second year only) as many of the core courses in a specific core area in which they received a B- or lower grade when the course was initially taken to bring the GPA in that core area to 3.0. When a course is retaken, the grade in the retake (whether higher or lower than the original grade) supersedes the original grade for the purposes of calculating the GPA in that core area.

TGS requires satisfactory academic progress defined in part as maintaining a cumulative GPA of 3.0 or greater in all courses combined. Students may be excluded by TGS for failing to remediate this threshold within two quarters. Students should note that in calculating the overall cumulative GPA, the university includes both the original grade and the retake grade with equal weight when a course is retaken. This contrasts with how the GPA in the core areas is calculated to determine whether a student passes a qualifying exam.

All qualifying examinations must be completed by the end of the Spring Quarter of the second year of study. Students failing to pass all three qualifying examinations by this time are excluded from the program. There is no additional remediation period associated with this milestone.

## *APPLY TO RECEIVE A MASTER'S DEGREE*

Doctoral students who have passed all three qualifying examinations are eligible to apply for a M.A. degree in Economics if they are in good standing with TGS. This is done through GSTS.

In addition, students failing to pass all three qualifying examinations by the end of the Spring Quarter of the second year of study can apply for a M.A. degree in Economics provided that they obtained a grade of C- or greater in each of the nine courses, and are in good standing with TGS. However, they cannot continue in the Ph.D. program,

There are some rare occasions when it is not in a doctoral student's interest to apply for the M.A. An example might be if an external funder terminates funding if the student applies for any graduate degree. Please check for these rare circumstances before applying.

### *LANGUAGE REQUIREMENT*

The primary source of funding in the second through fifth years is as a Teaching Assistant (TA). To serve as a TA, students must demonstrate proficiency in spoken English. This can occur in several ways:

- Obtaining an undergraduate degree from an accredited institution where the language of instruction is English,
- Scoring 26 or higher on the speaking section of the TOEFL Internet-based test taken in the two years prior to entry to Northwestern,
- Scoring 8 or higher on the speaking section of the IELTS test taken in the two years prior to entry to Northwestern, or
- Taking the Versant English Test which is administered soon after arrival at Northwestern in the weeks prior to the start of the Fall Quarter and scoring at least 65 (out of a possible 80).

Students who fail to pass the Versant test receive information on English as a Second Language (ESL) programs offered by TGS. Students then have several options to demonstrate proficiency in spoken English:

- Retake the Versant English Test and score 65 or higher (out of a possible 80),
- Retake the Versant English Test and score 63 or 64 on two separate occasions. The tests with these scores need not be consecutive,
- Take the SPEAK test and score 50 or higher (out of a possible 60), or
- Enroll in Linguistics 480 *The Language of Teaching and Teachers* and demonstrate the required level of English proficiency during the face-to-face teaching demonstration required as part of this course.

Please take fulfilling the language requirement seriously. Students cannot be funded as a TA until they demonstrate proficiency. Deadlines for providing documentation of proficiency are July 31 for Fall Quarter, November 15 for Winter Quarter and February 15 for Spring Quarter. In the past, otherwise qualified students have been ineligible for TA funding and have had to seek alternative funding.

Even students who are expecting to receive external funding in their second year are advised to meet this requirement as soon as possible. External funding rarely lasts for a student's full career at Northwestern. Moreover, TGS requires students serve as a TA for at least one quarter as a degree requirement.

## *RESPONSIBLE CONDUCT OF RESEARCH (RCR) TRAINING*

Federal law requires that all students funded by or working on projects supported by the National Science Foundation (NSF) or the National Institutes of Health (NIH) complete a training program on responsible and ethical conduct of research (RCR). The training comprises both in-person instruction and an online practicum. There are many faculty members in the economics department who hold NSF and NIH grants and involve graduate students in the projects as research assistants. Therefore in-person RCR training will be given to all incoming students at the start of our program. During Fall Quarter registration all first-year students will register for ECON 519 to certify their attendance. (ECON 519 is a non-credit course graded as satisfactory/unsatisfactory. It is not counted as part of the student's grade point average.) Then, when a student is engaged in a NSF/NIH sponsored project as a research assistant, they will be contacted by the department's Director of Finance and Administration to complete the online portion of the training. The department believes that all graduate students will benefit from instruction in responsible and ethical conduct of research and not just those who may ultimately be funded by NSF or NIH.

## *SUMMER AFTER THE FIRST YEAR*

The first-year core courses are a lot of work, and students deserve a well-earned break. The Department recommends that students also take time during the summer to:

1. Get familiar with the field course options. The department organizes a session for students to become familiar with the various fields and meet with faculty members in those fields.
2. Start thinking about research. All faculty members should be willing to talk about a summer plan of work. Talk to one or two of them about a research project, a reading list, or other ways of getting involved in research. The summer after the first year is a great time for doing so.

## **GOALS FOR SECOND- AND THIRD-YEAR GRADUATE STUDENTS**

### *OVERALL OBJECTIVE*

By the end of the third year a student should have decided on a thesis topic and found a faculty advisor(s) and dissertation committee. Students do this by taking field courses and interacting with the instructors of these courses, attending field seminars, participating in informal field lunches and paper reading groups, and presenting their own papers in the Economics 501 seminar.

## COMPLETE CANDIDACY

Students who have not passed all three qualifying examinations at the end of their first year can remediate a lower GPA in a core area by retaking courses during their second year. Specifically, students can retake (in the second year only) as many of the core courses in a specific core area, in which they received a B- or lower grade when the course was initially taken, to bring the GPA in that core area to 3.0. When a course is retaken, the grade in the retake (whether higher or lower than the original grade) supersedes the original grade for the purposes of calculating the GPA in that core area.

## FIELD COURSE REQUIREMENTS

Students must take a minimum of nine approved field courses for **letter grades** (not P/N). These nine courses must include:

- (a) At least one course in Economic History. Students must take either Economics 420-1 *Advanced Topics in American Economic History* or 420-1 *Advanced Topics in European Economic History* for a letter grade. In some years, additional economic history courses may be scheduled as Economics 498 *Advanced Topics in Economics*. The annual guidance statement identifies additional courses that meet the economic history requirement. Typically, Economic History courses are partially evaluated by the writing of a research paper. Students have one calendar year after taking the course to submit the paper.
- (b) Three field sequences of *at least* two-quarters each. A field sequence consists of two or three quarter-length courses as determined by the department.

At least six of the nine courses must be among those offered by the Economics Department. They must carry an Economics course number.

## Procedures and Guidance on Field Course Selection

- Each summer, the department posts a document on its website providing guidance on acceptable course sequences for the upcoming academic year.
- Any individual course cannot be used to satisfy more than one sequence.
- Any sequence not listed in the guidance must be approved *in advance* by an Economics field group representative and the Director of Graduate Studies. This includes sequences offered by the Kellogg School of Management.
- Students are welcome to audit or register for additional courses for credit beyond the minimum requirements.
- Students are advised to seek guidance from faculty members who might be their future advisor or thesis committee members on the appropriate choice of field courses that prepare them for doctoral research.
- During the Spring Quarter of the first year, the department organizes events for students to become familiar with the various fields and meet with faculty members in those fields.

- Except for courses in Economic History, students should receive a letter grade at the end of the quarter in which they register for a course. Please see the department's policy on incomplete grades.

### **Departmental Policy on Incomplete Grades**

TGS defines an incomplete grade as follows: "A grade of Y is given when a student does not submit all assigned work in a course; a grade of X is given when a student fails to take the final examination. All X or Y grades are incompletes and must be made up within one calendar year of the date the grade is incurred; after one calendar year, the X or Y becomes a permanent grade on the record." TGS places students with more than three incomplete grades on academic probation.

Consequently, faculty are expected to limit field course assignments to those that can be completed during the quarter. There are only two exceptions. First, the history requirement (Economics 420) can assign an incomplete grade for 12 months to permit completion of a paper. Second, econometrics courses can assign an incomplete only until the end of the break following the quarter the class is in.

Otherwise, incomplete grades require the permission of the Director of Graduate Studies. Students should notify the Director of Graduate Studies immediately of any violation of this policy.

Sometimes, students may see a "NR" on their transcript. This means the instructor did not file a grade by the deadline of the Monday after exam week. Students seeing an NR should immediately contact the instructor to rectify the situation. "NR" grades cause complications when the prospectus is filed and when the student graduates, and it is best to rectify the situation before memories fade.

### ***OTHER COURSES***

In addition to the courses taken as part of field course requirements, students are encouraged to take additional courses that they find interesting. Unlike courses that count as part of the field requirements, students should generally audit these classes rather than take them for credit. However, students can take additional courses for a letter grade if they wish.

### ***ATTEND FIELD SEMINARS***

While not part of the formal degree requirements, attending research seminars is probably one of the most valuable aspects of graduate education. These seminars typically meet in the Fall and Spring Quarters. Students get to meet leaders in each field and observe the cutting edge of new research. Starting in the second year, students should regularly attend one or more of our seminar series. As a signaling and commitment device students can formally register for one or more of these series.

The seminar offerings are:

- Economics 515 – Research Seminar in Economic Theory
- Economics 520 – Research Seminar in Economic History
- Economics 525 – Research Seminar in Development Economics
- Economics 530 – Research Seminar in Macroeconomics
- Economics 535 – Research Seminar in Applied Microeconomics
- Economics 550 – Research Seminar in Industrial Organization
- Economics 560 – Research Seminar in International Economics
- Economics 580 – Research Seminar in Econometrics

Additional seminar series are organized by the Kellogg School of Management.

Most fields also offer weekly informal lunch meetings and paper reading groups, some of which are organized by and for students. These events are invaluable for students to have informal contact with older students and faculty in fields that interest them and in which they might write a dissertation.

### *MAINTAIN FULL-TIME REGISTRATION*

Students must register for at least three units each quarter to be a full-time student.

#### **In Fall, Winter and Spring Quarters**

*If you are registered for three or more courses:* no further action is necessary,

*If you are registered for two courses:* also register for 1 unit of Economics 590,

*If you are registered for one or zero courses:* also register for TGS 500. (TGS 500 is listed for zero credits but assures fulltime status and allows registration in one course.)

#### **In Summer Quarter**

Register for TGS 500.

### *TWO PAPERS PRESENTED IN THE ECONOMICS 501 SEMINAR*

Each student must write and orally present two research papers in Economics 501 *Graduate Student Seminar*. Two faculty member readers must approve the paper. The Economics 501 seminar is an opportunity to present work in progress that may become part of the student's dissertation. Because the papers are evaluated by two faculty of a student's choosing, Economics 501 is a mechanism for students to interact with faculty and interest them in becoming their thesis advisor or serve on their thesis committee.

## **Format**

For the purposes of Economics 501 a paper must minimally consist of a deck of presentation slides (PowerPoint or equivalent). The slides should describe the problem statement, a literature review, data sources (if appropriate), findings and results, and discussion and conclusions. A written working paper format is also permissible and encouraged. A valuable component of graduate training is communicating research results both in writing and verbally.

Each paper is verbally presented in a 50-minute seminar session. Presenters should be prepared to speak for thirty to forty minutes and expect to receive questions.

## **First 501 Paper**

A draft of the first paper should be completed in early summer at the end of the second year in sufficient time for one faculty member to certify that it is likely to meet the requirements for a Economics 501 paper on the *Certification of Good Progress at End of Year 2* form by July 31. The faculty member signing this form need not necessarily hold a tenure-line appointment in the Economics Department. This paper is then presented in the Economics 501 seminar during the Fall Quarter of the third year.

## **Second 501 Paper**

The second paper is typically completed by the Winter Quarter of the third year and presented in the Economics 501 seminar during the Spring Quarter of the third year. The second paper may be a revised version of the first, but only if the readers feel that sufficient progress has been made.

## **Registration**

Students must register for a total of two quarters of Economics 501 in the Fall and Spring Quarters of the third year. The seminar normally meets twice or three times a week. The days and times are listed in the university class schedule. The seminar is organized by one or two faculty members each year, who attend each seminar.

Economics 501 is aimed primarily at third year students. Second year students should plan to audit some seminars in the Spring Quarter to gain some idea of the level of papers and presentation. Any second-year student who has made good progress on their first paper can elect to present the paper in the spring quarter of their second year if they wish.

## **Order of Presentations**

An initial order of the presentations for Fall and Spring of the following academic year are included in the March edition of the *Graduate Connection* newsletter, based on two separate random drawings of names. Then in the September (for Fall) and March (for Spring) editions of the *Graduate Connection*, the actual dates for each presentation are

given. Pareto-improving exchanges can then occur between students, with the consent of the organizers.

## **Evaluation**

The course is graded Pass / No Pass (P/N). In each quarter, a pass grade for the quarter is awarded if:

1. A research paper is written and orally presented in the Economics 501 seminar.
2. Two faculty members sign the *Completion of an Economics 501 Paper* form signifying that the paper met the requirements for an Economics 501 research paper for the Ph.D. degree in Economics, and that they attended the presentation of the paper and affirm that it met required presentational standards. At least one of the faculty signing each form must hold a tenure-line appointment in the Economics Department (an exception to this condition is only permissible with prior written approval of the Director of Graduate Studies). The form must be received by the Graduate Program Manager within two weeks of the presentation or by the Friday of exam week of that quarter, whichever is earlier.
3. The student had satisfactory attendance at the seminar. Economics 501 is designed to be an interaction between the presenter and peer students. It is mandatory that all third-year students attend every Economics 501 seminar. Excessive absence results in an "N" grade being assigned for the Spring Quarter registration. Excessive absence is defined as being absent from more than 10% of the combined number of sessions in the Fall and Spring Quarters. (For example, if there are 44 sessions in an academic year then absence from five or more sessions is considered excessive absence.) A student is considered absent irrespective of the reason or whether the instructor had been notified in advance. A student assigned an "N" grade for this reason can have the grade changed to a "P" by attending in the following Fall Quarter three sessions for each absence above 10%. (For example, a student missing seven sessions in a year with 44 sessions would have to make up nine sessions, calculated as  $3 \times (7 - 4) = 9$ .)

A total of two pass grades in Economics 501 is required for a student to satisfy the department's research paper requirement.

It is the responsibility of the student to arrange for the examination of their paper. The student should approach two appropriate faculty members to (a) evaluate the paper, and (b) attend the presentation. The student should approach faculty who taught classes which stimulated the student's interest in the topic and are also likely to serve on the student's dissertation committee. The presenter should provide both faculty members with copies of the paper at least one week in advance of the presentation.

## ***SUPERVISED TEACHING EXPERIENCE***

Teaching experience is an essential part of graduate training. All doctoral students are required to act as a teaching assistant for at least one quarter at some point in their graduate career (this need not necessarily occur in the second or third years). As part of



these duties, the student must lead a weekly discussion section. Evaluations are made and kept as part of the students' records.

Nearly all students fulfill this requirement while funded as a Teaching Assistant. In a few rare cases, a student may be fully funded for all years of their study from other sources and may not need to be funded as a Teaching Assistant. Such students should "volunteer" as an unpaid Teaching Assistant for one quarter to meet the degree requirement. This can be arranged with the Associate Chair.

Irrespective of whether a Teaching Assistant is paid or a volunteer, foreign students must demonstrate acceptable English proficiency as prescribed by TGS.

### *WRITTEN AND VERBAL PRESENTATION SKILLS*

The effectiveness of research depends crucially on how well researchers can communicate their findings in writing and verbally. In addition, professional economists must be able to communicate with students in the classroom, to clients, and to the public. While these skills are essential for success on the job market, time is scarce during the job-market year, so it is good idea to start working on these skills early.

The Economics 501 seminar and duties as a teaching assistant provide opportunities for students to develop their skills. In addition, Northwestern University offers several resources for developing writing and presentation skills. See our website for more information and links to resources.

### *A DISSERTATION PROSPECTUS PRESENTED AT AN ORAL EXAMINATION*

The prospectus signifies two things. The first is that the student has an acceptable thesis proposal, which is defended at an oral examination. The second is completion of all coursework which comprises the field course requirements including the history requirement, and two Economics 501 presentations.

The oral examination ascertains whether the student's dissertation topic is feasible. The student selects a prospective thesis advisor and a committee of examiners. The student works with the advisor and committee to write a thesis proposal, which is the basis of the oral examination. It is important that the student choose a thesis advisor several months before the proposed oral examination. The advisor's assistance is invaluable in developing a thesis topic.

The terms "advisor" and "committee chair" are used interchangeably.

Rules on the composition of the committee are:

1. The committee must have three or more individuals.
2. At least two members of this committee, including the chair, must be members of the Northwestern University Graduate Faculty.

3. The chair of the committee must hold a tenure-line appointment in the Economics Department or have a voted courtesy appointment in the Economics Department.
4. If the committee chair holds a courtesy appointment, at least one other member of the committee must hold a tenure-line appointment in the Economics Department.

Exceptions to conditions 3 and 4 are only permissible with prior written approval of the Director of Graduate Studies. The names of faculty outside Economics holding courtesy appointments are listed on our website in the section on the dissertation prospectus.

### **Time Limits**

The department expects that students making good progress should have completed their coursework and successfully defended their dissertation prospectus by August 31 at the end of their third year. This is a requirement for fourth year funding.

If a student has not completed their coursework and successfully defended their dissertation prospectus by the end of the Fall Quarter in their fourth year of study, which falls on the last date of the 13th quarter of study, they are placed on departmental probation. A student who fails to resume satisfactory academic standing within two quarters, which is the last date of the Spring Quarter in their fourth year of study (last date of the 15th quarter of study) is excluded from the program and Northwestern University.

### **Administrative Procedures**

After completing all course work, and scheduled the oral qualifying examination, initiate the process by submitting the *Prospectus Committee* form to TGS on-line using GSTS. Select the "TGS Forms" tab, and then select the prospectus from the pull-down menu.

TGS then asks the department to verify that the course work is complete, and a successful prospectus defense occurred. So that the department can do this, the candidate should complete the department's *Certification of a Dissertation Prospectus* form.

Complete sections 1 to 3 of this form before the oral examination. These sections ask for information on course work. Take the form to the oral examination, where committee members can sign their acceptance of the prospectus in section 4.

The completed form, along with a transcript (which can be downloaded from CAESAR), should be returned immediately to the Graduate Program Manager's office. The Director of Graduate Studies reviews the form and authorizes TGS to accept the prospectus.

### **A Note on Human Subjects**

Even though we are a social science rather than a medical science, it is possible that government restrictions on the privacy of human subjects may apply. Collecting new data, or even using previously collected data on individual identifiable people, may require prior approval from Northwestern's Institutional Research Board. Read the Submitting to IRB

> Getting Started page of their website to see if it applies. The website also includes information on the approval process if that is necessary.

## **GOALS FOR DISSERTATION YEARS GRADUATE STUDENTS**

### *MAINTAIN SATISFACTORY ACADEMIC PROGRESS*

#### **By the end of the Fourth Year**

Students are only eligible for fifth year funding if their dissertation committee chair has certified by July 31 that the student has submitted a written paper sufficiently far in advance of the deadline for the faculty member to have comprehensively reviewed it, and can certify that it is of suitable quality to form at least one chapter of a dissertation. Coauthored papers are allowed but can only be used by one student for purposes of paper certification.

#### **At the end of the Fifth and each Subsequent Year**

Students in year five and above can demonstrate making “good progress” by July 31 each year by (1) having already filed to receive their degree in the Summer Quarter, or (2) their advisor checks options A (student going on the job market in the coming year) or option B (student is not going on the job market but is making good progress) or Option C (student already has a job and is making good progress) on the form *Certification of Good Progress at End of Year 5 and Above*. A student whose advisor either checks option D (student is not making good progress) or does not submit the form is regarded as not making good progress and placed on departmental probation.

Students are removed from probation if their thesis advisor writes to the Director of Graduate Studies advising that satisfactory progress has resumed. A student who fails to resume good progress within two quarters, which is the last date of the following Winter Quarter, is excluded from the program and Northwestern University.

#### **Complete Thesis Within Time Limit**

Students must complete all requirements for the Ph.D. within nine years (36 quarters of study) of initial registration in TGS. After nine years, students are placed on probation by TGS for unsatisfactory progress. Students who have exceeded their time to degree deadline and cannot remediate within the two-quarter probationary period may petition for a one-time extension. Information on the conditions and requirements for an extension can be found on TGS's Website.

## *ACTIVELY PARTICIPATE IN RESEARCH SEMINARS*

During the dissertation years, active participation in the field seminar(s) appropriate to a student's interests is vital. Students get to meet, at lunches and in office visits, external presenters with whom they may ultimately interview for jobs. When the student has prepared their job market paper, they normally present their work in the relevant field seminar in the Fall Quarter of their final year.

## *CONTINUOUS REGISTRATION*

All active students must be registered in each of the fall, winter and spring quarters until all degree requirements have been completed. Summer registration is also required when the student is receiving university funding.

Dissertation-stage students receiving funding should register for TGS 500. If a student is not funded in a quarter, they should register for TGS 512. Consult the TGS website for fees and conditions associated with TGS 512.

## *PLACEMENT*

The department assists its students in obtaining jobs. The assistance includes editorial advice on the job market paper and vita, training on presentation skills and practice interviews. The vitae of job market candidates are disseminated by the department on its website. Candidates also prepare a personal web page on a university server.

The Placement Director coordinates the activity. Each year a handbook is issued that contains a timetable of key dates, templates for preparing vitae and personal websites, and advice and guidance.

The Placement Director is a resource to advise job candidates and also the conduit for employers seeking information on candidates. Students on the job market should inform the Placement Director of their preferred positions, any constraints they face, the state of their negotiations, and their acceptance of job offers.

## *DISSERTATION GUIDELINES*

TGS requires that "every candidate for the Ph.D. degree must present a dissertation that gives evidence of original and significant research."

The Department of Economics has additional guidelines:

1. Each dissertation should contain at least three chapters.
2. At least one chapter should be single authored. A student can be exempted from this requirement by their dissertation committee, subject to the written approval of the Director of Graduate Studies.

3. Coauthored chapters with other students and faculty members are allowed, but at most one chapter can be coauthored with a faculty member. Each of the student authors of a coauthored paper can include it in their dissertation.

TGS has guidelines for the format of the thesis posted on their website.

### *FINAL ORAL EXAMINATION (“THESIS DEFENSE”)*

When the student's dissertation is complete, they must pass a final oral examination on the dissertation and related topics.

Ordinarily, the examiners are the members of the student's thesis committee. The committee need not be the same as that listed at the prospectus. However, the same rules on committee composition apply:

1. The committee must have three or more individuals.
2. At least two members of this committee, including the chair, must be members of the Northwestern University Graduate Faculty.
3. The chair of the committee must hold a tenure-line appointment in the Economics Department or have a voted courtesy appointment in the Economics Department.
4. If the committee chair holds a courtesy appointment, at least one other member of the committee must hold a tenure-line appointment in the Economics Department.

Exceptions to conditions 3 and 4 are only permissible with prior written approval of the Director of Graduate Studies. The names of faculty outside Economics holding courtesy appointments are listed on our website in the section on the dissertation prospectus.

### *THESIS COMPLETION PROCEDURES*

Full information on completion procedures are posted on TGS's website.

Step 1 is to file an *Application for Degree* form with TGS using GSTS. Degrees are awarded four times a year at the end of each quarter. The deadline for submission of the application to receive the degree in a quarter is shown in the Registrar's academic calendar, and in the *Graduate Connection* newsletter.

Step 2 is to set a final exam date and confirm participation of committee members. Then file a *PhD Final Exam* form with TGS using GSTS several weeks before the exam date.

Step 3 is to hold the final exam. Committee members render their approval by clicking the embedded link in the email they automatically receive once the defense date passes.

Step 4 is to make any edits and revisions required by the committee and submit the thesis to TGS online via ProQuest. TGS reviews its formatting and confirms via email that the dissertation is acceptable or notifies the student if changes need to be made.

The deadline for submitting the final thesis to receive the degree in a quarter is shown in the Registrar's academic calendar, and in the *Graduate Connection* newsletter.

## ***GRADUATE!***

Congratulations!

## **FUNDING**

Disclaimer: This section describes the status quo as of the date on the cover of this handbook. It may be superseded by any subsequent collective bargaining agreements.

*See the Graduate > Funding section of the Department's website for the forms that need to be submitted to certify good progress to make a student funding eligible.*

The funding criteria stated below are applicable to funding that is allocated by the department. These are:

- University Fellowships
  - First Year University Fellowships (UF)
  - Summer University Fellowships (SUF)
  - Dissertation Year University Fellowships (DYUF)
- Teaching Assistantships (TA)

These criteria also apply to TA positions funded by other programs, such as MMSS, that use Economics students as TAs.

Students' admission letters specify the nature of the funding in the first and subsequent years. Typically, funding is offered for five years (20 quarters). The Department attempts to support students beyond 20 quarters until the Spring Quarter of the sixth year (23 quarters), and to fund students in later years who were not offered funding in their first year.

We do so by defining and enforcing criteria for satisfactory progress to be eligible for funding, and because some students obtain Research Assistantships (RA) or obtain external fellowships. TGS has policies to supplement and incentivize external awards.

Students holding University Fellowships or Teaching Assistantships can undertake additional work for hourly pay. There are limits on the additional hours each quarter, and permission must be obtained from TGS in advance.

In rare cases, a student's admission letter may contain alternative funding criteria, which take precedence over these rules.

## *FOREIGN STUDENTS*

Students graduating from institutions where instruction is not in English must demonstrate proficiency in English prior to being funded as a TA.

## *ACADEMIC YEAR FUNDING*

### **First year students**

*Eligibility:* A student's admission letter indicates whether they have been awarded University funding in the first year.

*Type of Funding:* University Fellowship.

### **Second year students**

*Eligibility:* Students who remain in the doctoral program are funding eligible irrespective of whether they have achieved candidacy.

*Type of Funding:* TA.

### **Third year students**

*Eligibility:* Good progress toward the field course requirements and a draft Economics 501 paper by July 31.

*Type of Funding:* TA.

### **Fourth year students**

*Eligibility:* Thesis prospectus by August 31.

*Type of Funding:* TA. Spring Quarter funding can be changed to a DYUF if the student's dissertation committee chair certifies by February 15 that the student is expected to enter the job market in their fifth year. In addition, the department awards the Robert Eisner Memorial Fellowship to one fourth year student. This award recognizes a student who has distinguished themselves in both teaching and research.

*The Small Print:* We cannot guarantee that TA funding is available for a student whose thesis prospectus is completed after August 31. In any event, TA funding is not awarded for any quarter in which the student has not completed the thesis prospectus. For example, a student completing the prospectus in November of the fourth year will not receive TA funding for the Fall Quarter and can only be funded in the Winter and Spring Quarters if there are any unallocated TA positions remaining within our budget.

## **Fifth year students**

*Eligibility:* Certification by Committee Chair by July 31 of a written paper of suitable quality to form one chapter of a dissertation.

*Type of Funding for Students on the Job Market:* If the student intends to be on the job market, funding is as a DYUF in Fall and Winter Quarters, followed by a TA in Spring Quarter. If the student withdraws from the job market prior to November 30, the Winter Quarter DYUF is converted to a TA.

*Type of Funding for Students Not on the Job Market:* TA. Spring Quarter funding can be changed to a DYUF if the student's dissertation committee chair certifies by February 15 that the student is expected to enter the job market in their fifth year. (Note that if the student took advantage of a DYUF in the Spring Quarter of their fourth year, they are not eligible again in their fifth year.)

## **Sixth year students**

*Eligibility:* Certification by Committee Chair by July 31 of good progress on their dissertation and the student is entering the job market.

*Type of Funding:* Students can use any remaining quarters of their three-quarter DYUF eligibility that they did not use in their fourth or fifth years. (The department suggests that students give priority to taking a DYUF in the Winter Quarter, as they will be traveling and unable to undertake alternative funding such as a TA or RA.) The remaining quarters are funded as a TA. If the student withdraws from the job market prior to November 30, any remaining quarters of funding are withdrawn. Such students may be funded as a TA, but only if there are still funds available after all the qualified younger students have been funded.

*Students making Good Progress but Not on the Job Market):* Non-job market sixth years are generally not funded. If there are still funds available after all the qualified younger students, and the job-market sixth year students, have been funded, other sixth year students may be supported. Funding is as a TA in every quarter that they are funded. DYUF funding is not available to sixth year students who are not on the job market.

## **Seventh and higher year students**

In normal circumstances, university rules do not permit funding of students in the seventh and higher years. The department can petition WCAS for funding as a TA only if (a) there are still funds available after all of the qualified younger students have been funded, and (b) there is an inadequate number of Teaching Assistants to meet classroom needs. The dissertation committee chair must have certified by July 31 that the student is making good progress, and preference is given to those on the job market. However, DYUF funding is not available, even if the student is on the job market.



## *SUMMER QUARTER FUNDING*

### **First Year Students**

A student's admission letter indicates whether they are eligible for a Summer University Fellowship (SUF) at the end of the first year. Recipients of SUFs must:

- Intend to be registered as full-time student this coming Fall Quarter;
- Conduct academic pursuits and not take more than three weeks of vacation;
- Do not hold an outside fellowship that provides summer tuition and stipend;
- Limit any work for pay either outside of Northwestern University or as an hourly paid research assistant within Northwestern University to a maximum of 120 hours between June 15 and September 15.

The acceptance form for summer funding must be submitted between May 1 and May 15.

### **Second through Fifth Year Students**

To obtain an SUF, students must:

- Have met the departmental rules for good academic progress;
- Intend to be registered as full-time student this coming Fall Quarter (unless you are graduating at the end of Summer Quarter);
- Conduct academic pursuits and not take more than three weeks of vacation;
- Do not hold an outside fellowship that provides summer tuition and stipend;
- Limit any work for pay either outside of Northwestern University or as an hourly paid research assistant within Northwestern University to a maximum of 120 hours between June 15 and September 15 (this includes any graduating student with a job that starts prior to August 24).

The acceptance form for summer funding must be submitted between May 1 and May 15 each year.

### **Sixth Year Students and Beyond**

The university only funds summers up until the fifth year. Older students can seek RA positions.

## **HELP AND SUPPORT**

### *ACADEMIC ADVICE*

Students looking for academic advice should approach any member of the faculty that they feel comfortable speaking with. For more general academic advice see the Director of Graduate Studies (DGS). Students having difficulties forming a dissertation committee

should speak with the DGS as soon as possible. The DGS can offer advice and act as a go-between to establish connections with faculty.

### *HELP WITH ADMINISTRATIVE ISSUES*

Students needing assistance in resolving an administrative or payroll issue should contact the Graduate Program Manager. They can connect with contacts in TGS and other university offices.

### *HELP WITH PRACTICAL ISSUES OF LIVING IN THE UNITED STATES*

Need help with riding the Chicago Transit Authority, dealing with the cable company or the Social Security Administration? Speak to the Graduate Program Manager or talk with some of the older students.

### *HELP WITH UNDERSTANDING THE DEPARTMENT'S FUNDING RULES*

The webpage on departmental funding explains the department's rules and progress milestones for funding. Students with unusual or extenuating circumstances should talk with the Associate Chair.

### *HELP WITH IMMIGRATION ISSUES*

The staff of the [Office of International Student and Scholar Services](#) ("The International Office") are best equipped to help. Please contact the Graduate Program Manager for documentation for an I-20 extension.

### *HELP WITH PERSONAL AND MEDICAL ISSUES*

TGS has a [webpage](#) describing health and wellness services. These include:

- on-campus Student Health Services
- emergency and urgent care
- counseling and mental health services provided by Counseling and Psychological Services (CAPS)
- medical care covered by student health insurance, and
- the process for requesting a medical leave of absence.

If the student feels comfortable with sharing any personal or medical issues that affect their studies, they can speak in confidence with the DGS or the Graduate Program Manager. (Note however the mandatory reporting requirement described under "Discrimination, Harassment and Sexual Misconduct" below.) They can offer advice and connect the student with resources within the university. They can also help the student navigate the process if the student feels that a medical leave of absence is necessary.

Students who witness a peer having personal or medical issues should reach out to the peer student or alternatively speak confidentially with the DGS or the Graduate Program Manager.

### *HELP NAVIGATING UNIVERSITY PROCESSES*

The [Office of the Ombudsperson](#) is a confidential, neutral, informal and independent resource for navigating life at Northwestern. Services include facilitating communication, providing referrals and consulting on conflict resolution and University policies and procedures. The ombudsperson can provide information that relates to your situation, suggest options available to you, and mediate and facilitate "difficult conversations." But they cannot give legal advice, conduct formal investigations, or change rules, policies or procedures.

### *STUDENTS WITH DISABILITIES*

Accommodations such as in lectures and in test taking for students with disabilities are determined solely and confidentially by the [AccessibleNU office](#). They evaluate and confidentially inform instructors about any accommodations that are necessary. Instructors cannot independently make accommodations or deny accommodations specified by AccessibleNU.

### *PROBLEMS ENCOUNTERED AS A TEACHING ASSISTANT*

When serving as a Teaching Assistant (TA), students should expect that faculty act as a mentor. Faculty are asked to monitor how TAs are doing in the discussion section(s) and other duties, and to provide constructive advice. However, TAs have a right to be treated with respect. The inevitable mistakes or errors should be discussed with the instructor and treated as a learning experience. If there is unresolved conflict with an instructor, contact the Associate Chair. For issues with a student in the class, contact the instructor of the course and/or the Director of Undergraduate Studies.

### *SUGGESTIONS FOR IMPROVEMENTS TO OUR PROGRAM*

Our program has evolved based on suggestions by students. For suggestions regarding changes in the curriculum, please speak with the DGS. For suggestions on improvements in support services, please speak to the Graduate Program Manager. Another option is to share concerns with the student representatives on the department's Graduate Studies Committee, who can discuss the issue with the committee.

### *ACADEMIC INTEGRITY*

The university has policies dealing with academic integrity, plagiarism, and the responsible conduct of research. TGS has a [web page](#) providing advice on avoiding

academic integrity violations. The webpage also has information on reporting, procedures for review of alleged violations, and possible sanctions.

### *CONFLICTS WITH OTHER STUDENTS, FACULTY AND STAFF*

In many cases, the situation should be addressed directly with the other person, but there are options if the conflict is unresolved or if the victim is uncomfortable raising the issue.

#### **Conflicts with Faculty**

TGS has a [policy statement and processes](#) to deal with conflicts between students and faculty such as conflicts between students and their dissertation advisor and committee.

#### **Conflicts with Other Students**

Northwestern has a student [code of conduct](#). The [Office of Student Conduct](#) deals with peer to peer conflict including incidents of hate or bias. Northwestern has a [Behavioral Consultation Team](#) available to provide advice if a student feels that their personal safety is at risk.

#### **Departmental Help and Support**

If the student feels comfortable talking with them, the DGS or the Graduate Program Manager are best equipped to initially address concerns and provide connections with the appropriate office on campus.

### *DISCRIMINATION, HARASSMENT OR SEXUAL MISCONDUCT*

Northwestern is committed to fostering an environment in which everyone is safe, secure, and free from sexual misconduct, discrimination and discriminatory harassment.

#### **Departmental Help and Support**

If the student feels comfortable talking with them, the DGS or the Graduate Program Manager are best equipped to initially address concerns and provide connections with the appropriate office on campus. Note that currently most university personnel are required to report any sexual misconduct, discrimination or harassment of which they become aware during the scope of their work. This includes the DGS and the Graduate Program Manager, as well as faculty, staff and graduate students with teaching responsibilities. The Office of Equity outlines the options for [confidential support](#) concerning sexual misconduct.

#### **University Reporting and Support**

Northwestern encourages anyone who has been the target of, or who witnesses, sexual misconduct, discrimination, or harassment based on a protected category to report the

incident to the [Office of Civil Rights and Title IX Compliance](#) so that those impacted can be provided with information on available resources and options. The Office of Civil Rights and Title IX Compliance outlines the options for [confidential support](#) concerning sexual misconduct.

### **Confidential Reporting**

The university has contracted with an independent third-party company, NAVEX Global Inc., to receive confidential reports of violation of illegal or unethical behavior while maintaining the reporter's anonymity and confidentiality. The reporting tool, called EthicsPoint, can be contacted by [Internet](#) or by calling 1-866-294-3545. Note that EthicsPoint is not an emergency service, and there may be a delay in responding. If there is an imminent threat, call 911. [Read](#) about how EthicsPoint operates and the services it provides.

### **Inappropriate Professional Conduct**

The American Economic Association (AEA) has a [code of professional conduct](#). If the victim believes that the AEA should become involved, the AEA has appointed an [ombudsperson](#) to deal with violations of this code of conduct.

### ***CONNECT WITH OTHER STUDENTS***

Students in the program are a great support group and can provide answers to questions and offer practical advice on the resources available at the university and in the community.

## **NONDISCRIMINATION STATEMENT**

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information or any other classification protected by law in matters of admissions, employment, housing or services or in the educational programs or activities it operates. Harassment, whether verbal, physical or visual, that is based on any of these characteristics is a form of discrimination.

Northwestern University complies with federal and state laws that prohibit discrimination based on the protected categories listed above, including Title IX of the Education Amendments of 1972, which prohibits discrimination based on sex (including sexual misconduct) in the University's educational programs and activities. In addition, Northwestern provides reasonable accommodations to qualified applicants, students and employees with disabilities and to individuals who are pregnant.

Any alleged violations of this policy or questions with respect to nondiscrimination or reasonable accommodations should be directed to Northwestern's Office of Civil Rights and Title IX Compliance, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60201.

Any alleged violations of this policy or questions with respect to sexual misconduct or sexual harassment should be directed to Northwestern's Title IX Coordinator, 633 Clark Street, Room 2-636, Evanston, Illinois 60608, 847-491-3745, [TitleIXCoordinator@northwestern.edu](mailto:TitleIXCoordinator@northwestern.edu).

A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting the [Department of Education's Office for Civil Rights website](#) or calling 800-421-3481.

*SUMMARY OF GOOD PROGRESS AND SATISFACTORY PROGRESS RULES*

By End of	Good Progress	Satisfactory Progress* <i>(Determines ability to continue in program)</i>
Year 1	Candidacy (completion of qualifying exams in all three core areas)	
Year 2	Good progress toward field course requirements and draft 501 paper by July 31	Candidacy by end of Spring Quarter (no additional remediation period)
Year 3	Thesis Prospectus (successful thesis proposal defense and completion of all course work) by August 31	
Year 4	Certification by Committee Chair by July 31 of a written paper of suitable quality to form one chapter of a dissertation	Thesis Prospectus by end of Spring Quarter (deadline of the end of the Fall Quarter plus two quarters of probation)
Years 5, 6, 7 and 8	Annual certification by Committee Chair by July 31 of "good progress" on dissertation by July 31	Annual certification by Committee Chair of "good progress" on dissertation by July 31. Failure to return to good progress within two quarters of probation (until the end of following Winter Quarter) will lead to dismissal from program
Year 9		Thesis submission time limit. Students who have exceeded their time-to-degree deadline and cannot remediate within the two-quarter probationary period may petition for a one-time extension under certain circumstances.

\* in addition to general TGS requirements on good academic standing and maintaining a 3.0 grade point average. Milestones are extended for students on an approved leave of absence or with approved parental accommodation.

# Economics Ph.D. Student Developmental Benchmarks

## First Year

- Form study groups and identify effective study strategies
- Utilize resources (TA office hours, Faculty, CAPS)
- Demonstrate proficiency in spoken English by July 31\*
- Achieve Candidacy
- Apply for Master's Degree according to University deadlines

## Second Year

- Explore fields via field course sequences and seminars
- Attend ECON 501 seminars to gain an understanding of paper and presentation expectations
- Start to build relationships with faculty that could serve on committee and identify a potential committee Chair
- Draft first ECON 501 paper by July 31
- Complete teaching requirement by serving as a Teaching Assistant (now or in a later year)

## Third Year

- Complete field sequences
- Enroll in ECON 501 in Fall and Spring and give two presentations
- Create committee of faculty, including identification of the committee Chair
- Defend Prospectus by August 31

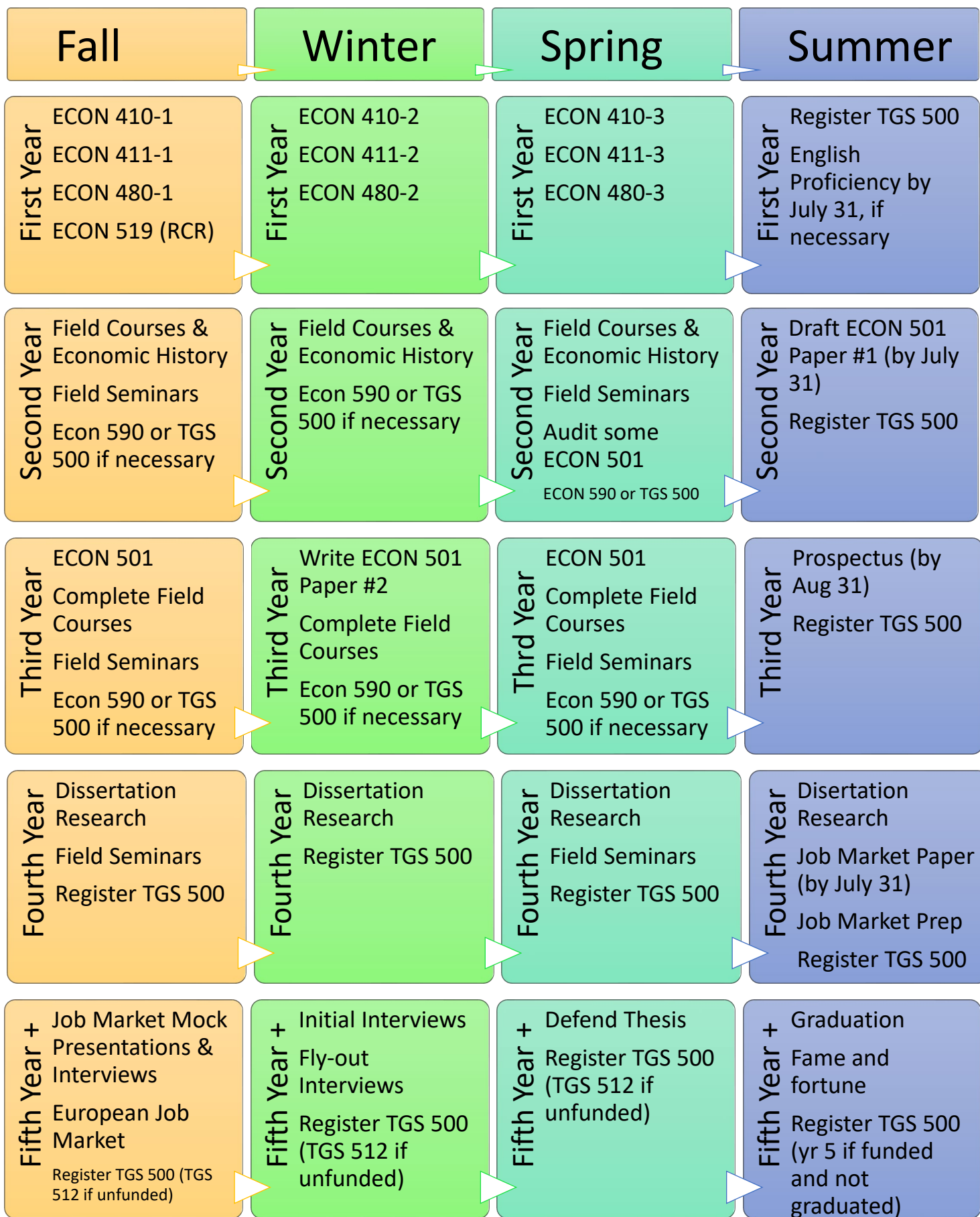
## Fourth Year

- Dissertation Research
- Attend Job Market Practice Presentations
- Write Job Market Paper
- Declare intent to enter the job market for the following year by February 15
- Get certification by dissertation Chair of good progress for funding in the fifth year by July 31

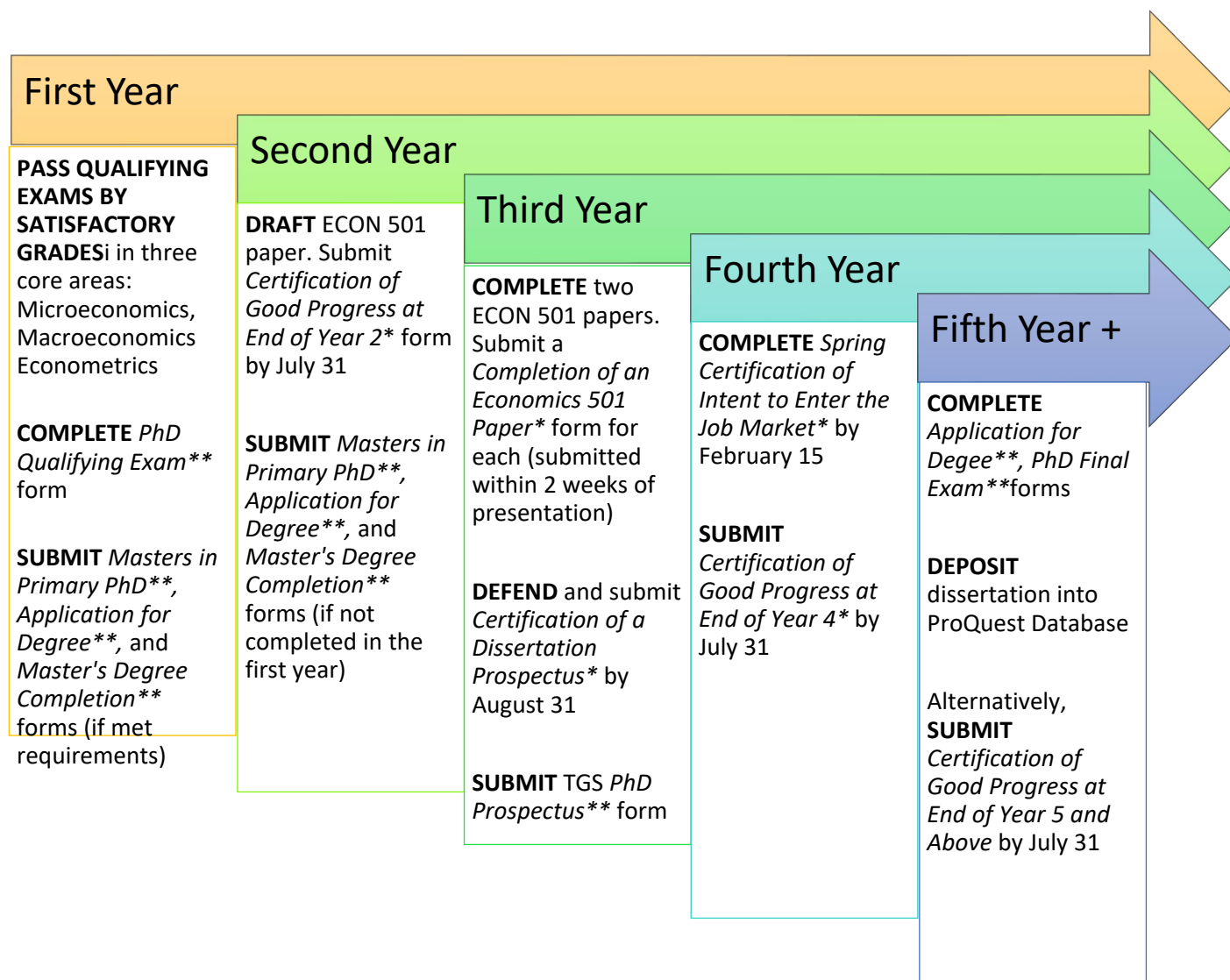
## Fifth Year & Beyond

- Practice Job Market Presentation
- Practice interviewing skills through mock interviews
- Finalize Job Market Paper
- Defend Thesis successfully; submit final copy of thesis to ProQuest
- Apply for degree and submit final dissertation according to University deadlines





## Required forms from the Economics Department or TGS include:



\*Forms can be found at <https://www.economics.northwestern.edu/graduate/student-resources/forms.html> and submitted electronically to the Graduate Program Manager.

\*\*Forms can be found in GSTS at <https://gsts.northwestern.edu>. Login with NET ID and password → TGS Forms tab → Create New Form dropdown → Select form type, complete and submit. These forms must be submitted by University deadlines in the Academic Calendar.