

# Northwestern

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Department of **Economics**

## Graduate Student Handbook

September 2026

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### **Changes since Last Edition**

- Revised rules on remediating first-year courses and candidacy
- References to GSTS system changed to GSP system
- Deletion of COVID-19 extension of deadlines (affected students have now all graduated)
- ECON 401 registration as a non-credit course

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*

| Courses                                                                                                                                                                 | Units |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| <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*

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.

Students in the terminal M.A. degree in Economics should consult the separate handbook.

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.

## **J.D./ Ph.D. COMBINED DEGREE**

The Department of Economics and the School of Law offer an integrated J.D. and Ph.D. degree. Students complete all the requirements listed in this handbook for the Economics Ph.D. in addition to the requirements of the J.D. degree. The combined degree is typically completed over a period of seven years with three years spent at the School of Law. A suggested timeline for the combined degree and consequent modifications to the Economics Ph.D. milestones is contained in a separate supplement to this handbook.

## **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 who do not meet 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*

Students must be admitted to candidacy by the end of the Spring Quarter of the second year of study (the seventh quarter of study). A student failing to be admitted to candidacy 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.

## **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:* Candidacy.

*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 core area(s) in which the GPA must be remediated.

*Form:* Students achieving candidacy should then submit the "PhD Qualifying Exam" form online in GSP.

### ***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*

ECON 401 is held prior to the start of the Fall Quarter. Students register for it in Fall Quarter as a non-credit course so that they can access materials in the *Canvas* course material management system. (ECON 401 is a non-credit course graded as

satisfactory/unsatisfactory. It is not counted as part of the student's grade point average. It is not formally part of the Ph.D. degree requirements.)

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.

### *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*

To achieve candidacy, students must demonstrate competency in each of the three core areas of study (microeconomics, macroeconomics, and econometrics) and undergo a review by the tenure-track faculty that evaluates the student's performance in the core areas and their potential to successfully complete the field courses and undertake doctoral research.

#### *Competency in Each Core Area*

To demonstrate competency, 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 met the grade requirements 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 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 purpose of calculating the GPA in that core area.

The Graduate School (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 demonstrates competency.

### *Faculty Review*

Students who have demonstrated competency in all three core areas will be automatically approved for candidacy. Students who have not demonstrated competency in one or more of the core areas will be reviewed by the tenure-track faculty. In such cases, the review is expected to be negative, and the student will ordinarily be excluded from the program. Only in extraordinary circumstances will the faculty recommend that a student enter candidacy despite not having demonstrated competency in all three core areas. Such a recommendation requires an affirmative vote of at least two-thirds of the tenure-track faculty, following faculty review.

### *Candidacy*

Candidacy must be completed by the end of the Spring Quarter of the second year of study. Students failing to pass candidacy by this time are excluded from the program. There is no additional remediation period associated with this milestone. Students achieving candidacy should then submit the “*PhD Qualifying Exam*” form online in GSP.

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

Doctoral students who have demonstrated competence in the three core areas are eligible to apply for a M.A. degree in Economics if they are in good standing with TGS. This is done through GSP.

In addition, students failing to demonstrate competence in all three core areas 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 demonstrated competence in all three core areas 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 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.
- 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 about July 15 (for Fall) and February 1 (for Spring) an online spreadsheet showing the initial allocation of dates for each presentation is circulated to the presenters. Pareto-improving exchanges can then occur between students using the online spreadsheet.

## **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 because their funding is 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 otherwise need to be funded as a Teaching Assistant. Such students should discuss how they will meet the requirement with the Associate Chair.

Foreign students must demonstrate acceptable English proficiency as prescribed by TGS to work as a Teaching Assistant.

## *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 GSP.

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.

## **Using Undergraduate Research Assistants**

The Department and its research centers occasional have funds available to support PhD students in hiring undergraduate research assistants to assist in aspects of their doctoral research such as data collection. When department-wide funding is available, an announcement is sent before the start of each quarter with details on how to apply. In general, the department discourages work with undergraduate students on a volunteer

(unpaid) basis. This is to ensure an equitable and inclusive research environment. If you are considering having an undergraduate volunteer, you must first review Northwestern's guidelines on undergraduate research participation:

<https://hr.northwestern.edu/for-managers/hiring/hiring-interns-volunteers/>

After reviewing the policy, please discuss with the Director of Finance and Administration, before moving forward. Note that is generally inappropriate to have an employment relationship (paid or unpaid) with an undergraduate who is also in a class in which you are serving as a teaching assistant.

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

### *MAINTAIN SATISFACTORY ACADEMIC PROGRESS*

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

Students are making good progress 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 GSP. 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 GSP 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**

The information stated below is applicable to funding that is derived from Departmental sources. These are:

- University Fellowships
  - First Year University Fellowships (UF)
  - Summer University Fellowships (SUF)
  - Dissertation Year University Fellowships (DYUF)
- Teaching Assistantships (TA) offered by the Department of Economics, and also those funded by other programs, such as MMSS, that use Economics students as TAs
- Research Assistantships (RA)

Many of our students are successful in obtaining other external fellowships, both from within the United States and from foreign countries. Subject to some limitations, the University will supplement external awards up to the stipend and tuition level associated with University funding.

## ***GENERAL PRINCIPLES***

Students' admission letters specify the nature of the funding in the first and subsequent years. Typically, funding is offered for five years (20 quarters). In general, students are funded with a fellowship in the first year and in their final dissertation year, and are funded as TAs or RAs in the years in between. Pedagogically the Department believes that dissertation year fellowship funding should be taken in the Spring Quarter of the year before the student goes on the job market and in the Fall and Winter Quarters of the job market year.

The Department attempts to support students beyond 20 quarters until the Spring Quarter of the sixth year (23 quarters). We are able to do so because some students obtain Research Assistantships (RA) with our faculty or obtain external fellowships.

In rare cases, a student's admission letter may contain alternative funding arrangements, which take precedence over those described here.

## *APPOINTMENTS, HOURS, WORKING CONDITIONS*

Information on how TA and RA assignments are made, hours and conditions of work and much more can be found in the Department's

- [Teaching Assistant Manual](#)
- [Research Assistant Manual](#)

## *FOREIGN STUDENTS*

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

## *FUNDING WITHIN THE FIRST 20 QUARTERS: 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 or RA.

### **Third year students**

*Eligibility:* Students who remain in the doctoral program having achieved candidacy

*Type of Funding:* TA or RA.

### **Fourth year students**

*Type of Funding:* TA or RA. 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.

## **Fifth year students**

*Eligibility:* Students who remain in the doctoral program having completed their prospectus.

*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 or RA in Spring Quarter. If the student withdraws from the job market prior to November 30, the Winter Quarter DYUF is converted to a TA or RA.

*Type of Funding for Students Not on the Job Market:* TA or RA. 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 sixth 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.)

### ***FUNDING WITHIN THE FIRST 20 QUARTERS: SUMMER QUARTER FUNDING***

Students in years 1 through 5 are eligible for Summer University Fellowships provided that they:

- Intend to be registered as full-time student the following Fall Quarter (unless they are graduating at the end of Summer Quarter);
- Conduct academic pursuits and not take excessive vacationing;
- Do not hold an outside fellowship that provides some amount of summer tuition and stipend; and
- Not engage in any work for pay outside of NU that requires more than 20 hours a week. (Note that employment for less than 20 hours a week will, nevertheless, require you to seek permission to work in most circumstances.)

An acceptance form for summer funding certifying the above conditions is submitted between May 1 and May 10 each year.

### ***FUNDING BEYOND 20 QUARTERS***

## **Sixth year students**

*Eligibility:* Certification by Committee Chair by July 31 at the end of the fifth year of good progress on their dissertation.

*General Principle and Priority:* Offer letters specify funding for 20 quarters. The Departments attempts to fund students in good standing for 23 quarters. The availability of DYUF and TA funding depends on the Department's budget set by The Graduate School and Weinberg College of Arts and Sciences, and will be allocated in the following priority order:

- Students on the job market (if we have to ration within this category, we will prioritize Fall and Winter Quarter funding)
- Students making good progress but not on the job market or who have withdrawn from the job market.

*Type of Funding for Students on the Job Market:* 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 or RA. If the student withdraws from the job market prior to November 30, any remaining quarters of DYUF funding are withdrawn. Such students may be funded as a TA or RA in Winter and Spring Quarters, but only if there are still funds available after all the job market students have been funded.

*Students making Good Progress but Not on the Job Market:* Funding is as a TA or RA. DYUF funding is not available to sixth year students who are not on the job market.

*Summer Quarter Funding:* Students in year 6 and beyond are not eligible for SUFs but can seek RA funding.

## **Seventh and higher year students**

*Eligibility:* Certification by Committee Chair by July 31 at the end of the previous year of good progress on their dissertation

*Type of Funding:* TA and Fellowship funding is not available to students in the seventh and higher years (DYUF funding is not available even if the student is on the job market). Students can seek RA funding but we cannot guarantee obtaining an RA position.

## **ADDITIONAL WORK**

During the Fall, Winter and Spring Quarters, it is possible for Fellowship holders to supplement their fellowship by working for hourly pay as a research assistant, tutor, grader, proctor or performing other administrative tasks for a maximum of 20 hours per week. The 20 hours a week is the aggregate of all paid work from all sources combined. Any individual occurrence of paid work that (a) exceeds 10 hours a week, or (b) last for longer than a month, or (c) has compensation of more than \$600 requires a permission to work form filed with TGS:

<https://www.tgs.northwestern.edu/academic-policies-procedures/policies/student-funding-policies.html>

Students funded as TAs or as stipend RAs are already presumed to be working for 20 hours a week, and additional paid work is not allowed.

The Department will not grant permission for holders of Summer University Fellowships to do additional hourly work within Northwestern. This is for reasons of equity with students who are employed as stipend RAs.

## 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 FUNDING RULES AND PROCESSES*

The webpage on departmental funding explains the department's rules and processes 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 prohibited conduct](#). The [Office of Community Standards](#) deals with peer to peer conflict including incidents of hate or bias.

### **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. Office of Civil Rights and Title IX Compliance 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 prohibits discrimination on the basis of actual or perceived race, color, religion, creed, national origin, ethnicity, caste, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, reproductive health decision making, height, weight, or any other class of individuals protected from discrimination under federal, state, or local law, regulation, or ordinance or any other classification protected by law in the matters of admissions, employment, housing or services or in the educational programs or activities it operates, as required by Title IX of the Education Amendments of 1972; Title III of the Americans with Disabilities Act of 1990, as amended in 2008; Section 504 of the Rehabilitation Act of 1973; Title VI and VII of the Civil Rights Act of 1964; the Age Discrimination Act of 1975; the Age Discrimination in Employment

Act of 1967; and any other federal, state, or local laws, regulations, or ordinances that prohibit discrimination, harassment, and/or retaliation.

Read The Graduate School's full statement, including contact information for compliance officers at:

<https://www.tgs.northwestern.edu/academic-policies-procedures/policies/nondiscrimination-statement.html>

## *SUMMARY OF GOOD PROGRESS AND SATISFACTORY PROGRESS RULES*

| By End of           | Good Progress                                                                                                            | Satisfactory Progress*<br><i>(Determines ability to continue in program)</i>                                                                                                                                                               |
|---------------------|--------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Year 1              | Candidacy (demonstration of competence 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.