

FUNDAÇÃO GETULIO VARGAS
BRAZILIAN SCHOOL OF PUBLIC AND BUSINESS ADMINISTRATION

Rules and Regulations governing the PhD in Administration Program - Class of 2017

Chapter I

Program Objectives

Art. 1. The overall objective of the PhD in Administration Program is to educate future research professors specializing in many different areas of public and business administration.

Chapter II

The Program's Administrative Structure

Art. 2 The PhD in Administration Program's administrative structure includes the Centre for Academic Education and Research (CFAP), the Academic Graduate Program Collegiate and the Program Coordinator.

§1 CFAP's responsibilities include, among others listed in FGV EBAPE 's Rules and Regulations, the following:

- I. To put together the Program's didactic-pedagogical concept;
- II. To define the criteria to be used in the Program's selection process;
- III. To approve the Program's syllabi;
- IV. To deliberate in the case of appeals made by students relating to decisions or rulings made by the PhD in Administration Program Coordinator.

§2. The Academic Graduate Program Collegiate is responsible for the Program's didactic-pedagogical supervision and monitoring.

- I. The Academic Graduate Program Collegiate shall be made up of professors from the NDP (Permanent Core Faculty), as per a specific Resolution set down by the School's Management governing membership of said NDP, and by a representative of the student body and his/her alternate.

- II. The Academic Graduate Program Collegiate shall be presided over by the PhD Program Coordinator.
- III. The Academic Graduate Program Collegiate shall meet at least once a year. Informal area meetings shall take place on an on-going basis.

§3 The PhD Program Coordinator shall be responsible for implementing any rulings made by the CFAP and shall take note of any considerations made by the Academic Graduate Program Collegiate, ensuring that the CFAP is made fully aware of these.

Chapter III

Selection and Enrollment

Art. 3 The PhD Program selection process will require:

- I. The presentation of the following supporting documents:
 - a) Full undergraduate degree diploma;
 - b) School Transcript of the full undergraduate degree Program completed;
 - c) Result of one of the following content exams taken: ANPAD test, GMAT or GRE;
 - d) Result of one of the following English language proficiency exams taken: IELTS, TOEFL IBT or Cambridge.
- II. Interviews with candidates who have been pre-selected, on the basis of the above-listed documents, by a panel made up of professors from the MSc and PhD in Administration Program.

Sole paragraph: the specific exams or tests needed, as well as the minimum grades and validity required shall be defined by the CFAP and specified in the selection process notice, which will be posted on the FGV EBAPE website and be available from the School Registrar's Office.

Chapter IV

Transfer to the PhD Program

Art. 4. The FGV EBAPE MSc student who is approved in the PhD selection process has the option to request a transfer to the PhD Program.

§1 Degree Transfer – The MSc student continues straight to the PhD program without defending his/her Master's dissertation and consequently is not awarded a Master's Degree.

§2 The student may transfer up to 20 of the 24 credits taken in his/her Master's Program to the PhD Program, providing that these are in disciplines that are either required or elective in both the FGV EBAPE Master's Program and in its PhD Program.

§3 The student who opts for such a transfer is then required to comply with the deadlines and the rules and regulations of the PhD Program governing the year in which he/she began his/her Master's Program. For example, a student who began his/her Master's Program in 2015 and then switched to the PhD Program in 2016 would then, from the point of view of rules and regulations and deadlines, be considered a member of the class of the 2015 PhD Program.

§4 The conditions and deadlines for students to request such a transfer to the PhD Program will be set down by the PhD Program Coordinators.

§5 The CFAP shall be responsible for making the final decision in relation to any such transfer application.

Chapter V

Scholarship Grants

Art. 5 FGV EBAPE shall grant, to the extent possible, study scholarships funded by the CNPq, CAPES, FAPERJ or FGV itself to students in its PhD Program who are committed full-time to the Program and have no other employment ties, and in accordance with their standing in the Program's selection process. These scholarships shall be valid for 1 (one) year and may be renewed annually for the subsequent 3 (three) years of the Program.

§1 Renewal of the scholarship should be done via a formal request from the student. As an attachment to this request, the student should include: (a) a school transcript, (b) an up-dated Lattes curriculum, and (c) a Yearly Research Report (YRR). The YRR allows the student to highlight his/her work in progress (i.e. on-going research projects outside the classroom in conjunction with one or more research professors), exactly what kind of activity the student is involved in in such projects, the extent to which this or these activities contribute to the development of his/her skills as a researcher, and the potential for publishing this work in progress. Working papers (i.e. completed manuscripts), if there are any, should also be highlighted. The YRR should not exceed one page in length.

§2 Applications for a scholarship renewal shall be judged by a Committee made up of the CFAP. This committee will assess and classify students in accordance with their academic merits based on the aspects outlined in §1.

§3 Failure to pass in disciplines, absenteeism or tardiness in Graduate Seminars, obtaining a C grade in more than one discipline, or failure to pass in any one of the 3 (three) stages of qualification (conceptual paper, thesis project, or thesis defense) may result in the scholarship not being renewed.

§4 At no time during the term of validity of the scholarship may a PhD student enter into any kind of formal employment contract whatsoever without the prior authorization of the Program coordinator. Any non-compliance with this ruling will imply the immediate suspension of the scholarship grant.

Chapter VI

Special and Audit Students

Art. 6 Students may participate in the Program as **special students**, providing they make a formal request to this effect and that this request is duly approved by the Program Coordinator.

§ 1 The special student is one who has a Master's Degree recognized by the Ministry of Education (MEC), and is interested in taking certain individual disciplines offered by the Program without establishing formal ties with any FGV EBAPE graduate Program

as a whole. This student can enroll in a discipline offered under the PhD in Administration Program, providing the following conditions are met:

- I. the Program will accept a maximum of three special students per discipline;
- II. those students denominated as “special” may take disciplines regardless of whether they are formally enrolled or not in a Teaching Institution;
- III. those students denominated as “special” may take only one discipline every two school trimesters;
- IV. If a “special student” performs below the required standard in one of the disciplines in which he/she has enrolled, then he/she will automatically be prevented from taking any other discipline in the Program;
- V. “Special students” will be awarded a certificate for the credits obtained if they pass in a discipline.

§ 2 Students formally enrolled in the Master’s or PhD in Administration Programs offered by FGV EBAPE may request that they be considered **audit students** in regular disciplines run as part of the PhD in Administration. The decision with respect to this condition should be agreed upon by the student’s advisor or mentor, the professor giving the discipline in question and the student, in accordance with the following conditions:

- I. the Program will only accept a maximum of two audit students per discipline;
- II. The audit student will not be eligible for any credits corresponding to the disciplines he or she takes.

Chapter VII

The Program Structure

Art. 7 The Program will be based on the school trimester, with classes given between 9am and 12 pm and between 2pm and 5pm from Mondays to Fridays. Academic activities may also take place, exceptionally, on Saturdays.

§ 1 The Program is offered in English.

§ 2 The Program has four lines of research: **Behavioral Sciences and Decision Making; Management and Organizations; Finance; and Institutions, Policies and Government.** By the end of the second trimester, students should formally register their chosen line of research with the Office of Academic Records (SRA).

§ 3 By the end of the Program, students should have obtained 48 credits specific to the PhD and other activities, as follows:

- I. 36 (thirty-six) credits should be obtained by passing in 30-hour disciplines, equivalent to 2 credits per discipline. Of these, at least 10 credits should come from the list of required disciplines for the line of research chosen by the student and 2 (two) credits should come from attending the *Graduate Seminars I and II* of the first year of the PhD Program. The other 24 credits can come from a combination of credits obtained in disciplines from the line of research chosen, from other lines of research, or from other elective disciplines available in the academic Program.
- II. 12 (twelve) additional credits, of which 3 (three) obtained by passing the qualification exam, 3 (three) by passing the second qualification exam and 6 (six) by passing in the thesis defense.
 - a) The *Graduate Seminars* are obligatory for all PhD Program students in the 1st Year. Students are required to attend at least 75% of the *Graduate Seminars* lectures.
 - b) In the third and/or fourth year, students should present a working paper of their own authorship or co-authorship at the *Graduate Seminars*.
 - c) Non-compliance with the rules set out in (a) and (b) of this section may result in the non-renewal of a scholarship.
 - d) Although not obligatory, it is suggested that students also attend the *Graduate Seminars* in their 2nd, 3rd and 4th years.

§ 4 The first qualification exam is held at the end of the 6th (sixth) trimester and involves the production of a conceptual paper.

§ 5 After the first qualification exam, the School encourages students to take a Sandwich PhD Program.

§ 6 The second qualification exam is held at the end of the 10th (tenth) trimester and corresponds to the defense of the **thesis project**.

§ 7 The student should defend his/her PhD thesis by the end of the fourth year.

Chapter VIII

The Structure of Credit Acquisition

Art. 8 The 36 (thirty-six) credits should be obtained by passing in 30-hour disciplines, as follows: 12 credits in 6 required method disciplines, 10 credits in 5 required disciplines from the line of research chosen by the student and 2 (two) credits obtained by attending the *Graduate Seminars I and II* of the first year of the PhD Program. The other 12 credits can come from a combination of credits obtained in additional disciplines offered by the line of research chosen or from other lines of research available in the academic Program. These disciplines should be distributed as follows:

- I. Disciplines per line of research:
 - a) Disciplines in the line of research denominated as **Behavioral Sciences and Decision Making**:

Discipline	Prerequisite (s)
Statistics IIA - Applied Econometrics	Statistics IA & IB
Advanced Survey Methods	Statistics IA
Statistics IIB - Panel Data Analysis	Statistics IA & IB
Consumer Behavior	
Organizational Behavior	
Adaptive Behavior in Complex Systems	
Financial Decision Making	
Advanced Theories of Leadership	

b) Disciplines in the line of research denominated as **Management and Organizations:**

Discipline	Prerequisites
Statistics IIA - Applied Econometrics	Statistics IA & IB
Advanced Survey Methods	Statistics IA
Statistics IIB - Panel Data Analysis Models	Statistics IA & IB
Innovation Management	
Global Strategy & International Management	
Strategy	
Organizations & Information	
Organizational Theory	

c) Disciplines in the line of research denominated as **Institutions, Policies and Government:**

Discipline	Prerequisites
Statistics IIA - Applied Econometrics	Statistics IA & IB
Advanced Survey Methods	Statistics IA
Statistics IIB - Panel Data Analysis	Statistics IA & IB
State, Government, and Society	
Political Economy of Public Policy	
Comparative Political Institutions	
Comparative & Historical Methods	
Public Management	
Political Economy of Development	

d) Disciplines in the line of research denominated as **Finance**:

Discipline	Prerequisites
Statistics IIA - Applied Econometrics	Statistics IA & IB
Advanced Survey Methods	Statistics IA
Statistics IIB - Panel Data Analysis	Statistics IA & IB
Advanced Corporate Finance	
Asset Pricing	
Business Economics	
Corporate Finance	
Financial Decision Making	

§ 1 Changes in the list of required disciplines and required class hours for each of these may occur from one year to the next.

§ 2 Students may acquire up to 4 (four) credits in the disciplines “Advanced Topics in Administration Research I and II”, which consist of a series of short-term Programs on current topics taught at FGV EBAPE.

§ 3 Those students who have joined from the FGV EBAPE MScs Program have the option to use 20 (twenty) credits obtained from disciplines taken during their Master’s Program, providing these are first evaluated and approved by the PhD Program coordinators.

§ 4 Students coming from other Academic Master’s Programs may use up to 10 (ten) credits obtained in disciplines taken during these Master’s Programs of origin, with prior authorization from the CFAP. However, unless clear evidence of compatibility is provided, the hope is that PhD students will take the required Master’s disciplines in his/her line of research of interest and that these serve as a prerequisite for the disciplines in the PhD Program.

§ 5 The required disciplines should be taken in the FGV EBAPE PhD in Administration Program.

§ 6 Temporary withdrawal from or suspension of attendance will be permitted in the case of, at most, one discipline per trimester, providing the student has not completed more than 25% of the discipline he/she wishes to withdraw from or suspend, equivalent to three classes.

§ 7 Re-Enrollment or late Enrollment will be permitted providing that not more than 25%, or the equivalent of three classes of the discipline in which the student wishes to enroll has already been completed.

§ 8 Over the course of the Program, the necessary credits should be obtained within the timetable set out below:

- I. By the eighth trimester of the Program (end of the second year): 36 credits obtained through required and elective disciplines.
- II. In the sixth trimester: 3 (three) credits obtained by passing the first qualification exam.
- III. In the tenth trimester: 3 (three) credits obtained by passing the second qualification exam.
- IV. By the end of the fourth year: 6 (six) credits obtained from a successful thesis defense.
- V. Students should have completed at least 33 (thirty-three) credits in disciplines by the time they take the second qualification exam or face being suspended from the Program.
- VI. Students should take at least one discipline per trimester during the first three trimesters.

Chapter IX

School Grading System

Art. 9 Student performance in each discipline will be assessed through tests, exams, class work and projects, as well as through each student's participation and interest shown in the classroom.

§ 1 Evaluation or assessment will be expressed using the following grading system:

A – Very good: with the right to credit.

B – Good: with right to credit.

C – Satisfactory: with right to credit.

D – Unsatisfactory: failed with no right to credit.

§ 2 Students who receive 3 (three) C grades in disciplines over the course of the Program shall be suspended from the same.

§ 3 If a student obtains a D grade in a required discipline, then he/she should take it again. In the case of an elective, the student may substitute it with another. Students who receive 2 (two) D grades during the Program shall be suspended from the same.

§ 4 Students whose class attendance is below 75% (seventy-five percent) shall be considered as having failed, except in specific situations set down in the current legislation.

§ 5 Students will be allowed to temporarily suspend Enrollment in the Program for up to two school trimesters, whether consecutive 6(six months) or not, providing they have already taken and passed at least 4 (four) disciplines. Temporary suspension of Enrollment does not imply suspension of the timetable set to complete the Program.

Chapter X

The 1st Qualification Exam – The Conceptual Paper

Art. 10. The conceptual paper represents the first qualification exam. In this document, students revise, organize, abstract and theorize on a particular subject of research/field of knowledge. Details of what is expected of a conceptual paper are available from the Program Coordination department.

§ 1 The conceptual paper will be evaluated by a panel using a blind review system in accordance with the following steps:

- I. The student advisor suggests 4 (four) possible external evaluators. Each evaluator should obey the minimum qualification criteria required (150

CAPES in the triennium). Two of the four evaluators shall be selected randomly by the Program coordinators.

- II. Each one of the two evaluators will have approximately 30 days as from receipt of the conceptual paper to produce a final evaluation in the form of a written document containing comments and a suggested evaluation, which should be expressed in either of the following two terms:
 - a) Pass.
 - b) Fail.
- III. If both evaluators award a pass, then the conceptual paper will be graded a pass.
- IV. If both evaluators award a fail, then the conceptual paper will be graded a fail.
- V. If one evaluator awards the paper a pass and the other a fail, then the student should, within a period not to exceed 30 days, revise the document according to the suggestions made by the evaluators and submit to the Program Coordinators and the CFAP: (a) a revised version of the conceptual paper; and (b) revision notes of not more than two pages detailing what was changed in relation to the previous version and where (on what pages) these changes can be found. This new version **does not return** to the original evaluators. It is up to the Program Coordinators and the CFAP to make a final decision as whether to pass or fail this new version of the conceptual paper.
- VI. If the conceptual paper is awarded a fail grade, then the student will automatically be asked to leave the PhD Program.
- VII. The aforementioned rules are passed onto the evaluators before they begin their evaluations.

Chapter XI

The 2nd Qualification Exam – Thesis Project

Art. 11. Evaluation of the thesis project will be done by a panel made up of 5 members (the student advisor, two members from within and two members from outside FGV). It will be the student advisor's responsibility to provide the Program coordinators with a list of the members who will make up this panel, ensuring that the minimum qualification criteria set down in the specific Ruling of the School's Management on the subject are fully met.

§ 1 FGV EBAPE 's Regulation and Evaluation Department (SRA) will formally set the date of the defense and make it known to the academic community.

§ 2 The result of the defense of the project will be expressed as follows:

I. Pass – with the candidate required to take into account the considerations made by the panel in order to make improvements to the project, and consequently to his/her final thesis.

II. Fail.

§ 3 If the student is unable to fulfil this qualification process within the stipulated timeframe he/she may, prior to the end of the tenth trimester, request an extension in the deadline of up to ninety days. This request for additional time should be formally submitted to the Registrar's Office and be assessed by the Program Coordinator. If the deadlines are not met, then the student will automatically be asked to leave the Program.

§ 4 If the student fails the second qualification exam then he/she will automatically be asked to leave the Program.

Chapter XII

Thesis Advisory

Art. 12. Each student in the PhD in Administration Program should have an academic advisor professor formally nominated by the end of the second trimester.

§ 1 The student advisor's responsibilities include:

- I. Helping the student in the general planning of his/her studies and in the choice of which disciplines to include in his/her Program;
- II. Guiding the student in choosing the subject of his/her thesis and in developing his/her field research;
- III. When the advised student takes part in a Sandwich PhD Program abroad, authorizing this student's trip and monitoring the student's progress in obtaining credits and in the development of his/her thesis whilst abroad;
- IV. Accompanying the student when he/she appears before the examination panels.

§ 2 Only professor from FGV EBAPE 's core faculty (NDP) can work as student advisors.

§ 3 The Student who establishes ties with an International Institution may use a professor from that International Institution as a joint-advisor.

§ 4 Any request for a change in student advisor should first be approved by the PhD Program's Coordinator.

Chapter XIII

The 3rd Qualification Exam – Public Defense of the Thesis

Art. 13. The thesis may be written in either Portuguese or English. Any thesis written in a foreign language should necessarily contain keywords and an expanded summary in Portuguese, summarizing the work's content.

§ 1 The thesis may consist of one single body of work or a set of at least 3 (three) independent but correlated pieces of work, in the form of scientific articles.

§ 2 Students may only defend their theses if they have completed the required number of credits, as per Art. 6.

§ 3 The thesis evaluation will be done by a panel of 5 members (the student advisor, two members from within and two members from outside FGV).

- I. It will be the student advisor's responsibility to provide the Program coordinators with a list of the members who will make up this examining panel, ensuring that the minimum qualification criteria set down in the specific Ruling of the School's Management on the subject are fully met.
- II. FGV EBAPE 's Regulation and Evaluation Department (SRA) will formally set the date of the defense and make it known to the academic community.

§ 4 The thesis evaluation will be done via an oral defense and evaluation.

- III. The oral defense will be public. The final grade will be issued on the basis of the following evaluations:
 - a) Passed without restrictions. In this case, the student should submit his/her work to the digital library and deliver a printed version of the same within no more than 15 (fifteen) days.
 - b) Passed with minor changes necessary, in which case the student should make the changes recommended by the panel to the final version within no more than 30 (thirty) days, under the supervision of his/her advisor.
 - c) Passed with major changes required, in which case the student should re-submit the thesis to the panel's evaluation for a final ruling, within no more than 60 days, without the need to defend it orally. If this version is approved by the panel, then the new suggested changes should be incorporated into the final version within no more than 15 (fifteen) days, under the supervision of the student's advisor.
 - d) Failed.

§ 5 The result will be attributed by a simple majority and nominally.

Chapter XIV

Program Term

Art. 14. The student should make the oral defense of his/her thesis within a period of no more than 4 (four) years, as from the day he/she began the Program. If this deadline is not adhered to then the student will be asked to leave the Program.

§ 1 The thesis should be formally registered in the case of the written version at least 3 (three) months before the final deadline for the oral defense.

§ 2 Any and all interruptions in taking the Program as dealt with in these rules and regulations will not suspend the countdown to the aforementioned deadlines, except in specific cases set down in Law.

§ 3 Where a PhD student's right to present his/her thesis is cancelled, any right to credits obtained to-date during the respective PhD Program will also be cancelled for the effects of obtaining an FGV EBAPE Doctorate in Administration.

Chapter XV

Obtaining a Doctorate in Administration

Art. 15. In order to be awarded a Doctorate (PhD) in Administration, students need to:

- I. obtain the necessary credits as per Art. 7 above;
- II. Publicly defend their thesis and obtain the necessary pass as per Art. 9 above;
- III. Have published two articles in the annals of one or more congresses or in an academic journal recognized by CAPES prior to the oral defense of their thesis.

Chapter XVI

General and Transitory Provisions

Art. 16. Cases or issues not covered herein shall be dealt with by FGV's Technical-Academic Commission, in accordance with the nature of each such case and always observing the legal and governing norms currently in place.