Cesar E. A. Virata School of Business
University of the Philippines

Ph.D. Program
Student Handbook
(Updated: May 2013)

Diliman, Quezon City 1101, Philippines
# Table of Contents

Ph.D. Program Student Handbook........................................................................................................... i
Table of Contents......................................................................................................................................... ii
List of Tables.................................................................................................................................................. iii
List of Figures.................................................................................................................................................. iii
1 Admission .................................................................................................................................................. 4
   1.1 Application period and required documents ...................................................................................... 4
   1.2 The entrance examination ................................................................................................................. 4
   1.3 The interview ....................................................................................................................................... 4
2 Program of Study – Ph.D. (Business Administration) ............................................................................. 6
   2.1 Program Schedule ............................................................................................................................ 6
   2.2 Program of Study Flowchart ............................................................................................................. 7
3 Courses .................................................................................................................................................... 8
   3.1 Breadth Courses ............................................................................................................................... 8
   3.2 Core (foundation) courses ............................................................................................................... 9
   3.3 Field courses ..................................................................................................................................... 10
   3.4 Course descriptions and prerequisites ............................................................................................ 10
4 Research Paper and Comprehensive Examinations .......................................................................... 12
   4.1 Research Paper ............................................................................................................................... 12
      4.1.1 Definition and characteristics .................................................................................................... 12
      4.1.2 Procedures .................................................................................................................................. 13
   4.2 Comprehensive Examination ........................................................................................................... 13
   4.3 Master of Science (M.S.) in Management Degree ............................................................................. 14
   4.4 Frequently Asked Questions (FAQs) ............................................................................................... 15
5 The Dissertation ...................................................................................................................................... 16
   5.1 Implementing Guidelines on Dissertation Research
      (Revised Draft | February 1999) ........................................................................................................... 16
   5.2 Dissertation Template and Stylesheet ............................................................................................... 17
   5.3 Graduation ......................................................................................................................................... 17
   5.4 Steps for Dissertation writers .......................................................................................................... 18
6 Important Dates and Deadlines ............................................................................................................ 19
7 UP Diliman 2003 Faculty Manual, Section 11.8.3:
Guidelines for Doctoral Programs ............................................................................................................. 20
   A. Admission ......................................................................................................................................... 20
   B. General Requirements ...................................................................................................................... 20
   C. The Program Adviser/Program Committee and Program of Study .............................................. 21
   D. Transfer of Credits ............................................................................................................................ 21
   E. Graduate Requirement ....................................................................................................................... 22
   F. Qualifying Examination .................................................................................................................... 22
   G. The Candidacy Examination ............................................................................................................. 23
   H. Doctoral Dissertation ......................................................................................................................... 24
   I. Defense of the Doctoral Dissertation ................................................................................................. 26
   J. Residence Rules ................................................................................................................................. 27
   K. Leave of Absence (LOA)/Absence Without Leave (AWOL) ............................................................. 28
   L. Graduation ......................................................................................................................................... 28
List of Tables

Table 1 List of Breadth Courses ................................................................. 8
Table 2 List of Ph.D. Courses ................................................................. 10
Table 3 Style Guide for Dissertations....................................................... 17

List of Figures

Figure 1 Program of Study Flowchart......................................................... 7
Figure 2 Steps for Dissertation Writers ..................................................... 18
1 Admission

1.1 Application period and required documents

The Ph.D. application period opens every first week of October and closes at the last week of January of the following year. The application and admission process takes place only once a year. The Ph.D. admissions and retention committee of the University of the Philippines' Cesar E. A. Virata School of Business is responsible for evaluating applications for admission to the program. The decision to admit an applicant is based on

1. the result of the Ph.D. entrance examination (or the equivalent GRE/GMAT score),
2. an interview and,
3. the following documents submitted by the applicant:
   a. Ph.D. program application for admission.
   b. Two personal recommendations.
   c. Official copy of Master's and/or Undergraduate transcript of records.

Other requirements are the application fee and certification of present position(s) held.

1.2 The entrance examination

The Ph.D. entrance examination is administered every second Sunday of February. Applicants who submitted complete documents and who exceeded an entrance examination cutoff score specified by the Doctoral Program office are requested to appear for interview.

1.3 The interview

The committee upon evaluation of the applicant’s abilities may accept an applicant conditional on (1) the satisfaction of subject proficiency requirements in Mathematics and English and/or (2) the completion of breadth courses (explained below).

For the mathematics proficiency, the committee, if it deems necessary may require conditionally accepted applicants to take summer courses in mathematics offered by the Diliman campus. Admitted applicants who are not from English-speaking countries, or who do
not come from universities using English as the medium of instruction, are required to submit TOEFL scores. If deemed necessary, foreign applicants may be required to take English courses on campus, which start around early May. All these information are transmitted to the applicant during the interview.

The minimum academic degree requirement for an application to be considered is a bachelor's degree from a reputable academic institution. An admitted applicant without a master's degree is required to take the full set of breadth course requirements (See section 3.1 for the list of breadth courses) to satisfy the minimum credit units required under university rules (See section 6 below). An admitted applicant with the relevant graduate degree may still be required to take some or all of the breadth courses if the admissions committee determines that he/she is lacking in background required for doctoral business courses. Hence, breadth course requirements vary among successful applicants according to the assessment of the committee.

An admitted applicant who was required to take breadth courses is not allowed to enroll in 300-level courses until he/she has satisfied these prescribed requirements. Successful applicants are informed of the subjects they need to take by the doctoral program office after the interview.

Admitted applicants who are deemed proficient in Math and English and have already met the breadth requirements by way of an MBA or related degree from a reputable university are directed to the Ph.D. program proper that starts in year 2 of the program of study.
2 Program of Study – Ph.D. (Business Administration)

Note: This program of study was originally approved by the U.P. Diliman University Council on 15 March 1995. Second Revision approved by the U.P. Diliman University Council on 23 April 2003. Third Revision approved by the U.P. Diliman University Council on 7 December 2005.

2.1 Program Schedule

Year 1 (Breadth Requirements – 200-level courses)

Entering bachelor's degree holders are required to take breadth courses. These requirements are met by the satisfactory completion of MBA or MSFIN courses offered in the Master’s program or an equivalent Master's degree from a reputable institution. Students earn 2 units for every master’s level course. A total of 18 units (nine 200-level courses) need to be completed before the student can proceed to Year 2. Master’s degree holders in fields other than management or economics may be required to enroll in these courses.

(Please see Section 3, Table 1 for a list and description of breadth courses.)

Year 2 (Ph.D. Program Courses – 300-level courses)

First Semester

[1] BA 302 Microeconomic Analysis
[3] BA 312 Management Science II

Second Semester

[4] BA 303 Macroeconomic Analysis
[5] BA 313 Econometrics [Field Course (1)]
[6] Field Course Elective (2)

Year 3 (Ph.D. Program Courses)

First Semester

[7] Field Course Elective (3)
[8] Field Course Elective (4)

Second Semester

[9] Field Course Elective (5)
[10] Field Course Elective (6)

Year 4 (and beyond)

Completion of required research paper
Comprehensive examination
Dissertation research
2.2 Program of Study Flowchart

Figure 1
Program of Study Flowchart

Breadth Requirements satisfied?

No

Take breadth courses to satisfy requirements

Yes

Take 4 core courses

A. Take field courses
B. Formally start research paper

A. Pass all Field courses
B. Complete research paper requirement

Comprehensive examination

Fail

Retake next year

Fail

Exit program

Pass*

Dissertation

Summary of academic requirements:
1] Breadth Courses
   – if required by admissions committee or if entering bachelor.
2] Core courses – must have satisfied breadth requirement.
3] Field courses – must have completed first three core courses.
4] Research paper – must be a Year 2 student.
5] Comprehensive examination
   – must have completed coursework and research paper.
6] Dissertation – must have passed comprehensive examination.

*The student may apply for an MS Management degree if he/she completes all program requirements up to the comprehensive examination within 5 years. Details can be found in Section 4.3.
3 Courses
3.1 Breadth Courses

Students not qualified to take 300-level courses as determined by the admissions committee (discussed in Section 1.3 above) must enroll in and complete nine 200-level graduate courses in Year 1. These courses are chosen from the list of courses below.

Table 1
List of Breadth Courses

| MSFIN 201 - Macroeconomics & the Financial System | BA 201 - Economic Analysis |
| MSFIN 211 - Quantitative Methods | BA 211 - Management Science |
| MSFIN 220 - Financial Analysis & Reporting | BA 220 - Managerial Accounting & Control I |
| MSFIN 222 - Corporate Finance I | BA 251 - Organizational Behavior |
| MSFIN 223 - Corporate Finance II | BA 221 - Managerial Accounting & Control II |
| MSFIN 224 - Investment Management | BA 230 - Marketing Management |
| MSFIN 225 - Financial Derivatives | BA 240 - Operations Management |
| MSFIN 227 - International Finance | BA 280.1 - Fundamentals of Financial Management |
| MSFIN 296 - Financial Sector Regulation & Ethics | BA 243 - Management of Innovation |
| MSFIN 204 - Financial Institutions and Markets | BA 286 - Management of Information Technology |
| MSFIN 228 - Management of Commercial Banks | BA 290 - General Management |
| MSFIN 230 - Marketing of Financial Services | |
| MSFIN 290 - Industry/Competitive Analysis & Strategic Planning | |
| MSFIN 292 - Advanced Corporate Finance | |
| MSFIN 293 - Advanced Investment Management | |
| MSFIN 295 - Financial Risk Management | |
| MSFIN 298 - Special Topics in Finance | |

Since these courses are on a trimestral basis, the student is given the flexibility to arrange his/her schedule provided that he/she complies with the prerequisites of the courses as prescribed by the MBA/MSFIN program. He/She must coordinate with the doctoral program and Master’s program offices regarding these matters. He/She must obtain an average of 1.75 or better upon completion of the breadth requirements.
3.2 Core (foundation) courses

1. As outlined in Section 2.1, students are required to take three of the four core (or foundation) courses in the first semester of **Year 2** provided he/she has satisfied all the breadth requirements. The foundation courses of the Ph.D. program are the following:
   a. BA302 – Microeconomic Analysis  (Year 2, first semester)
   b. BA311 – Management Science I  (Year 2, first semester)
   c. BA312 – Management Science II  (Year 2, first semester)
   d. BA303 – Macroeconomic Analysis  (Year 2, second semester)

2. These courses are offered only once each academic year. See Section 2 (Ph.D. Program of Study) for the details of the program core course offerings.

3. A successful applicant to the Ph.D. program may take these core courses if:
   a. he/she has fully satisfied or has successfully completed all the breadth requirements with an average of 1.75 or better. The list of breadth courses is shown in Section 3.1, Table 1 above.
   b. he/she was admitted as a **Year 2** Ph.D. student with a graduate degree in Business/Management, Finance or Economics from a reputable university and was not required by the Admissions Committee to take breadth courses.

4. A student who fails to complete any of the first three core/foundation courses offered during the first semester of **Year 2** is not allowed to proceed to the second semester. This rule may however be waived by the program director in consultation with the admissions committee in exceptional cases.

5. The Ph.D. program adopts the university rules (See Section 7 below) on grade average requirements for purposes of determining the student's standing/status in the program.

6. Entering Ph.D. students who have satisfied the breadth requirements but are deemed not proficient in quantitative tools may be asked to enroll in courses prescribed by the Ph.D. admissions committee before enrolling in Ph.D. core courses.
3.3 Field courses

Ph.D. students who have completed the first three of four core courses may enroll in field courses offered and prescribed by the Ph.D. program (See sequencing of courses in Section 2.1, Program Schedule). The field courses are:

Table 2
List of Ph.D. Courses

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>BA 313</td>
<td>Econometric Analysis</td>
</tr>
<tr>
<td>BA 320</td>
<td>Financial Theory</td>
</tr>
<tr>
<td>BA 321</td>
<td>Risk Analysis</td>
</tr>
<tr>
<td>BA 323</td>
<td>Corporate Finance</td>
</tr>
<tr>
<td>BA 322</td>
<td>International Finance</td>
</tr>
<tr>
<td>BA 324</td>
<td>Empirical Methods in Finance</td>
</tr>
<tr>
<td>BA 325</td>
<td>Special Topics in Finance</td>
</tr>
<tr>
<td>BA 330</td>
<td>Marketing Decision Models</td>
</tr>
<tr>
<td>BA 350</td>
<td>Organization Theory</td>
</tr>
<tr>
<td>BA 390</td>
<td>Business Policy</td>
</tr>
<tr>
<td>BA 391</td>
<td>Industrial Organization</td>
</tr>
<tr>
<td>BA 392</td>
<td>Regulation and Public Policy</td>
</tr>
<tr>
<td>BA 394</td>
<td>Empirical Methods in Business Policy</td>
</tr>
<tr>
<td>BA 395</td>
<td>Special Topics in Business Policy</td>
</tr>
</tbody>
</table>

3.4 Course descriptions and prerequisites

BA 302 – MICROECONOMIC ANALYSIS
Consumer choice; choice under uncertainty; analysis of firm behavior; market structure; principal-agent problem; general equilibrium, public goods & externalities.  
Prerequisite: None

BA303 – MACROECONOMIC ANALYSIS
Macroeconomic theory; schools of thought in macroeconomics; growth theory; financial market systems  
Prerequisite: None

BA 311 – MANAGEMENT SCIENCE I  
Deterministic and stochastic models applied to business  
Prerequisite: None

BA 312 – MANAGEMENT SCIENCE II  
Multivariate statistical models  
Prerequisite: None
BA 313 – ECONOMETRIC ANALYSIS
Single and simultaneous equation regression estimation using time series data, cross-section data and panel data; estimation with qualitative dependent variables; generalized method of moments
Prerequisites: BA 302, 311, 312

BA 320 – FINANCIAL THEORY
Basic portfolio theory; static and dynamic asset pricing theories; analysis of financial markets.
Prerequisites: BA 302, 311, 312

BA 321 – RISK ANALYSIS
Risk measurement and modeling including value at risk; options and other financial derivatives; credit, market, operational and integrated risk management strategies.
Prerequisites: BA 302, 311, 312

BA 322 – INTERNATIONAL FINANCE
Open-economy macroeconomics; exchange rate regimes; International capital markets
Prerequisites: BA 302, 311, 312

BA 323 – CORPORATE FINANCE
Capital budgeting; theory of capital structure; corporate governance, corporate control and capital restructuring
Prerequisites: BA 302, 311, 312

BA 324 – EMPIRICAL METHODS IN FINANCE
Empirical testing of CAPM, APT, CCAPM, and other asset pricing models; market volatility and market microstructure studies; interest rate models; advanced financial econometric issues
Prerequisites: BA 313 Econometric Analysis

BA 330 – MARKETING DECISION MODELS
Empirical models of consumer behavior and markets.
Prerequisites: BA 302, 311, 312

BA 350 – ORGANIZATION THEORY
Behavioral concepts as applied to organizations
Prerequisite: BA 302, 311, 312

BA 390 – BUSINESS POLICY
Strategy formulation and implementation at the firm level.
Prerequisites: BA 302, 311, 312

BA 391 – INDUSTRIAL ORGANIZATION
Exercise of monopoly power; degrees of price discrimination; Short-run price competition; dynamic price competition; price and non-price competition through product differentiation; information and strategic behavior.
Prerequisites: BA 302, 311, 312

BA 392 – REGULATION AND PUBLIC POLICY
Economic, political, and legal foundation of public regulation; benefits and costs of regulation, effects of regulation, alternatives to regulation, and the issues of regulatory reform and deregulation.
Prerequisites: BA 302, 311, 312
BA 394 – EMPIRICAL METHODS IN BUSINESS POLICY
The interaction of the firm with the macro-environment; research concepts and scientific methods; formulation of hypotheses, measurement concepts and multivariate analytical tools. Blend of behavioral science and quantitative approaches in the research applications.
Prerequisites: BA 313 Econometric Analysis

4 Research Paper and Comprehensive Examinations*

The two crucial stages of a Ph.D. student's stay in the UP College of Business Administration are the preparation of a research paper and the comprehensive examination. The paper is the major research work of the student prior to taking the comprehensives. Satisfactory completion of the paper is the first milestone. Passing the comprehensive examination is another milestone that elevates the student to PhD candidacy. This completes all program requirements but the dissertation.

Outlined in Section 4.1 below are the implementing rules and guidelines that need to be observed in the course of the research and the requirements that need to be fulfilled before a student is allowed to take the comprehensive examination. Section 4.2 writes down the rules governing the comprehensive examination. Section 4.3 discusses the rules governing the awarding of an MSM degree to Ph.D. candidates. Section 4.4 is a list of frequently asked questions (FAQs).

4.1 Research Paper
4.1.1 Definition and characteristics

The research paper, a major research undertaking by the student, must have the following characteristics:

1. The paper must be a complete paper in any field in business/management. It is a complete paper in the sense that it can be submitted to an academic journal for publication consideration.
2. The paper must have been done by the student within his/her period of stay in the program.

* Approved at a Faculty meeting held in October 9, 1996.
It can be a paper that builds on a previous research paper submitted in a Ph.D. class provided it meets the characteristics of a research paper described above.  

4.1.2 Procedures

The following are the procedures that must be followed for a successful completion of this requirement.

1. The student signifies his intention to formally commence working on his/her research paper by submitting the title of the research paper and requesting the doctoral program office to accomplish Student Progress Form No. 2, the Research Paper Progress Report.

2. The student should also submit a typewritten list of the titles of all the previous term papers written by the student for his/her doctoral courses that will be attached to the Research Paper Progress Report. This will form part of the student’s file.

3. As the research paper tests the student’s capability to do independent research, no research adviser is assigned. However, the student may consult anybody freely. (In some cases, a faculty member who takes special interest in the student’s research may offer to informally advise him/her.)

4. The student may be allowed to change his/her topic only once. In this case the student shall submit an official request for the change to the Program Director.

5. The student submits the completed paper to the Program Director.

6. The Program Director appoints 3 full-time members of the doctoral faculty as members of the research paper committee (RPC) that will evaluate the paper after its presentation in a public seminar.

7. At the end of its assessment, the RPC accomplishes the relevant portion of the Research Paper Progress Report and attaches a summary of its evaluation.

8. A public seminar presentation of the paper by the student may be required if the Director deems it necessary. The members of the RPC are obliged to attend the seminar and will receive an honorarium set in accordance with university rules.

4.2 Comprehensive Examination

1. A student will be allowed to take the comprehensive examinations if:
   a. He/She has completed all the required number of coursework units and has presented his/her research paper in a public seminar.
   b. The RPC has completed the Research Paper Progress Report indicating that the student has satisfactorily completed the research paper requirement.

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*a Note that some courses require a research paper that is mainly a review of literature and is in a sense an incomplete paper as defined above.*
2. The comprehensive examination is given only once a year, every last week of January. All examinations are written.

3. The student who wishes to take the comprehensive examination must have fulfilled all the requirements (Passed all courses with a GWA of 1.75 or better and the research paper requirement) two months before the comprehensive exam date. (e.g., if the exam date is January 30, all requirements must have been fulfilled by November 30 of the preceding year. Otherwise, the student will have to take the examination the following year.) Under exceptional circumstances, the Program director may waive some of the requirements.

4. Failed examinees will be allowed to re-take the examination only once and together with the next batch of examinees at the same time the following year. A second failure disqualifies the student from the program.

5. The doctoral program director appoints the chair and two members of the comprehensive examination committee.

6. Official grading of the comprehensive examinations shall be subject to the 1999 guidelines for graduate programs in U.P. Diliman.

7. The comprehensive examination committee meets twice:
   a. before the examination – to discuss and finalize the questions to be given in the examination; each member prepares questions before the meeting;
   b. after the examination has been graded by each member – to evaluate the graded comprehensive answers and decide on cutoff scores and marginal cases.

4.3 Master of Science (M.S.) in Management Degree

In its 1211th meeting in 28 July 2006, the University of the Philippines Board of Regents (BOR) approved the Ph.D. program's proposal to institute an M.S. in Management (MSM) degree.

The MSM degree is a “pick-up” degree of the program that is awarded to Ph.D. students who have fulfilled specific requirements stated below.

The MSM degree is awarded to a Ph.D. student who meets the following requirements:

1. He/She has earned 30 Ph.D. units of coursework (300 level course) with a minimum GWA of 1.75.

2. He/She has satisfactorily completed the major research paper required before taking the comprehensive examination;

3. He/She has passed the comprehensive examination;

4. He/She has satisfied conditions (1), (2) and (3) within five years of date of first enrollment in the Ph.D. program.

Note that there are significant differences between the MSM degree and other Master’s degree offered by the university. First, the former is not an offering of the college through a
stand-alone master’s program and as mentioned above, is a degree awarded by the Ph.D. program to students who were able to meet all the four requirements above. Second, by requiring a minimum GWA of 1.75, the academic requirements of the former are more stringent than the latter which requires a minimum of 2.0. Third, the student is given 5 years without extension to complete the requirements for the MSM degree.

4.4 Frequently Asked Questions (FAQs)

1. When does a doctoral student start his/her research paper?

   The student can in principle start his/her paper upon acceptance to the program as a first year doctoral student or as soon as he/she finishes his/her breadth requirements. He/She is however advised to start no later than the beginning of the second semester of his/her second year.

2. Are the members of the RPC automatically the members of the student’s dissertation committee?

   Not necessarily. Although one may expect to find most of the members of the RPC in the student’s committee. In the same way, a student’s faculty adviser during the coursework is not necessarily his/her dissertation adviser.

3. Can a full-time UP faculty member outside the School of Business be a member of the RPC?

   Yes, but only if the doctoral program office finds it meritorious. UP outsiders (this includes part-timers) are not allowed to be members of the RPC.

4. Who gives the grade for the research paper?

   No numerical grade is given and no course credits are awarded upon completion of the paper. An evaluation of satisfactory by the RPC however entitles a student who has completed all coursework units to take the comprehensive examination.
5 The Dissertation
5.1 Implementing Guidelines on Dissertation Research
(Revised Draft | February 1999)

The Ph.D. Program can be viewed as a progression of stages. The first stage is the coursework that takes approximately four semesters of full-time work.

The next two crucial stages are the preparation of a major research paper and the comprehensive examination. For a student to be allowed to take the comprehensive examination, he/she must satisfactorily complete the coursework and must have fulfilled the requirements of the major research paper as outlined in Section 4 above.

Passing the comprehensives advances the student to Ph.D. candidacy and permits him/her to work formally on his/her dissertation. This is the final stage of the program.

The following are the guidelines and procedures to be followed in the course of the dissertation research:

1. The student signifies his intention to commence working on his/her dissertation by enrolling in BA 400.
2. The student selects a topic and whenever he/she is ready, coordinates with the doctoral program office for the selection of his/her dissertation committee.
3. The doctoral program director appoints the dissertation committee.
4. The dissertation committee is composed of three full-time faculty members of the University of the Philippines in Diliman. The main adviser who will chair the committee must be a full-time member of the doctoral faculty.
5. The student shall submit a written dissertation proposal to the Dissertation Adviser/Committee. The proposal shall be defended orally before the Dissertation Committee members. A certified copy of the approved dissertation proposal and a form (Student progress form No. 3) endorsing the thesis proposal duly signed by the Dissertation Committee shall be submitted by the Dissertation Committee to the Dean/Director, through channels.
6. The program director, in consultation with the main adviser, selects two faculty members who, in addition to the members of the dissertation committee will form the oral defense committee; the program director appoints the chair of the oral examination committee; the main adviser cannot be appointed chair of the oral examination. Student Progress form No. 4 is accomplished for the oral examination.

The two new members should be full-time faculty members of UP Diliman; exceptions to this rule may be allowed for one member only in meritorious cases as deemed by the Doctoral program office.
7. The student is required to present his completed research in a seminar at least once before the final defense takes place. The student, during the earlier stages of his work, may hold a seminar (or a series of seminars) to elicit comments. The doctoral program office determines if the student has satisfactorily fulfilled this requirement.

### 5.2 Dissertation Template and Stylesheet

The PhD program office makes available a dissertation template that dissertation writers are required to use. Dissertation writers must use the default font/font sizes and heading level numbering in the template. Some of the settings that must be used are listed in the Table below.

<table>
<thead>
<tr>
<th></th>
<th>Style Guide for Dissertations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Margins:</td>
</tr>
<tr>
<td></td>
<td>Left: 1.5” Right: 1” Top: 1” Bottom: 1”</td>
</tr>
<tr>
<td>2</td>
<td>Spacing:</td>
</tr>
<tr>
<td></td>
<td>Double Space</td>
</tr>
<tr>
<td>3</td>
<td>Paragraph Alignment:</td>
</tr>
<tr>
<td></td>
<td>Left Justified</td>
</tr>
<tr>
<td>4</td>
<td>Notes:</td>
</tr>
<tr>
<td></td>
<td>Footnotes should be used; do NOT use endnotes.</td>
</tr>
<tr>
<td>5</td>
<td>Font (body text):</td>
</tr>
<tr>
<td></td>
<td>Cambria, Size 10.5</td>
</tr>
<tr>
<td>6</td>
<td>Paper Size</td>
</tr>
<tr>
<td></td>
<td>8.5” × 11”</td>
</tr>
</tbody>
</table>

### 5.3 Graduation

The student graduates from the program upon submission of five (5) bound copies and a soft copy of the final draft of the dissertation to the PhD Program Office. Each bound copy should be accompanied by originally signed official transmittal forms and certificates of completion and acceptance. These copies of the final draft must be submitted a month before the day the University Council meets to approve the candidates for graduation for that semester.
5.4 Steps for Dissertation writers

Figure 2
Steps for Dissertation Writers

Select a Dissertation committee in consultation with Ph.D. Program Office

Prepare a dissertation proposal

Defend the proposal before the dissertation committee

Major revision (fail)

Minor revision → Revise

No revision

Dissertation Committee Approves Draft for Oral Defense

Ph.D. Program Office forms Oral defense Committee

Defend the dissertation before the Oral defense Committee

Candidate for graduation

Major revision (fail)

Minor revision → Revise
# Important Dates and Deadlines

The following events or activities are observed once a year on the following dates/periods:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Approximate Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Application period opens</td>
<td>First week of October</td>
</tr>
<tr>
<td>2 Application period closes</td>
<td>Last week of January</td>
</tr>
<tr>
<td>3 Doctoral program admission test</td>
<td>Second Saturday of February</td>
</tr>
<tr>
<td>4 First semester classes begin</td>
<td>First week of June</td>
</tr>
<tr>
<td>5 Second semester classes begin</td>
<td>First week of November</td>
</tr>
<tr>
<td>6 Research paper deadline*</td>
<td>Last week of November</td>
</tr>
<tr>
<td>7 Comprehensive examination</td>
<td>Last week of January</td>
</tr>
</tbody>
</table>

*Deadline for those who wish to take the comprehensive examination the following year (see item 7).*
UP Diliman 2003 Faculty Manual, Section 11.8.3: Guidelines for Doctoral Programs

A. Admission

- Admission into a doctoral program shall require (1) a bachelor's degree, in the case of a direct doctoral program, or a master's degree or equivalent from a recognized institution of higher learning; (2) the intellectual capacity and aptitude for advanced studies and research; (3) language proficiency and (4) satisfaction of additional University requirements such as a health clearance and other special admission requirements that may be imposed by the head of the Institute, Department, Interdisciplinary Program or Graduate Committee/Office concerned with the approval of the appropriate bodies.

Proof of English and/or Filipino proficiency shall be required of students whose native language is not English or Filipino, except those who graduated from institutions where the medium of instruction is English or Filipino. For English proficiency, a score of at least 500 in the Test of English as a Foreign language (Educational Testing Service, Princeton, New Jersey 08540, USA) shall be required. For Filipino proficiency, a certification shall be required from a duly authorized unit of the University.

- Each application for admission into a doctoral program shall be accomplished in the official application form and accompanied by the official transcript of records, to (3) written recommendations from former professors or experts in the field and the officially prescribed application fee.

- Each application shall be submitted to the appropriate Graduate Committee/Office, and referred to the head of the Institute, Department or Interdisciplinary Program concerned for evaluation. The deserving applicant shall be recommended for admission by the latter to the Dean/Director, through channels.

Applications for a system program shall be submitted to the appropriate body in the autonomous unit where the system program is being offered.

B. General Requirements

- Completion of a Program of Study consisting of at least forty-five (45) units of formal graduate courses, excluding dissertation, in the case of a student admitted into the doctoral program with only a bachelor's degree in the discipline or a master's degree in an unrelated field; and of at least twenty-four (24) units of formal graduate courses, excluding dissertation, in the case of a student admitted into the doctoral program with a master's degree in the discipline;

- Maintenance of a Cumulative Weighted Average Grade (CWAG) of 1.75 or better at the end of each academic year until completion of the Program of Study;

- Passing of a Qualifying Examination after completion of the core courses in the Program of Study where applicable;

- Passing the Candidacy Examination after completion of all course work in the student's Program of Study and those units stipulated by the Residence Rules (See 3.10), if applicable;

- Being in residence in the program during the:

  - candidacy examination period;
- defense of the research proposal;
- duration of the research;
- oral defense of dissertation

- Completion of a doctoral dissertation based on independent and original research;
- Successful Oral Defense of the doctoral dissertation in a public doctoral examination:
- Submission of at least five (5) certified bound copies of approved doctoral dissertation.
- Submission of a pre-print.

C. **The Program Adviser/Program Committee and Program of Study**

- **The Program Adviser/Committee**
  Each student admitted into a doctoral program shall be assigned a Program Adviser or a Program Committee composed of three professors, all of whom shall have doctoral degrees. The Graduate Committee of the Department, Institute, Interdisciplinary Program concerned shall recommend the Program Adviser/Committee members to its respective Head. The Program Adviser/Committee shall advise, monitor, and evaluate the student until he/she advances to candidacy and is assigned a Dissertation Adviser/Committee.

- **Program of Study**
  Within the first semester of the student’s initial year in the doctoral program, a Program of Study shall be designed by the Program Adviser/Committee, in consultation with the student on the basis of the latter’s academic preparation and desired specialization. A copy of this Program Of Study shall be submitted to the appropriate Graduate Committee/Office through channels. Subsequent revisions in the Program of Study must be authorized by the Program Adviser/Committee and communicated as soon as possible to the Graduate Office, through channels.

- **Study Load Per Semester and Trimester**
  The normal study load of a full-time student shall be nine (9) to twelve (12) units per semester of formal graduate courses and eight (8) to ten (10) units per trimester.

D. **Transfer of Credits**

- **Transfer of Credits from Another University**
  Subject to the recommendation of the appropriate bodies and the approval of the Dean/Director, graduate courses taken by a student in another university may be credited towards his/her doctoral program provided that (1) these courses were taken within the last five years prior to admission, (2) these were validated through appropriate means by the Institute, Department, Interdisciplinary Program, or Graduate Office/Committee concerned, and (3) the total number of credits transferred shall not exceed three eight (3/8) of the total number of units in the student’s doctoral course requirements.
  However, condition (2) shall not apply if the courses were taken in an institution with which the University of the Philippines has a special academic arrangement and if these courses are part of the student’s approved Program of study.

- **Transfer of Credits from Another Program**
  Subject to the recommendation of the appropriate bodies and the approval by the Dean/Director, graduate courses taken by the student under another program of the
University of the Philippines may be transferred for credit to his/her new doctoral program provided that (I) these courses were taken during the last five (5) years prior to the student's admission or transfer to the doctoral program, (2) these units have not been credited to a degree previously obtained by the student, and (3) these courses are relevant to the new program.

- **Processing of Transfer of Credits**
  
  Transfer of credits shall be done within the first semester of the student's admission into the program. The course/s credited shall be specified in the student's record by the Graduate Committee/Head of Institute, Department, Interdisciplinary Program concerned and the College Graduate Office. A copy of the approval shall be sent to the University Registrar.

**E. Graduate Requirement**

- **Grading System**
  
  The following numerical grades shall be used in graduate courses; 1.0 (Excellent), 1.25, 1.5 (Very Good), 1.75, 2.0 (Good), 2.25, 2.5 (Satisfactory), 2.75, 3.0 (Pass), 4.0 (Conditional Failure), INC (Incomplete) and 5.0 (Fail).
  
  A grade of "3.0" or better is a passing grade. A graduate student earns credit for a course when he/she obtains a grade of "3.0" or better.

- **Cumulative Weighted Average Grade**
  
  The Cumulative Weighted Average Grade (CWAG) shall be based on all courses taken by the student in his/her approved Program of Study, including those taken in compliance with the Maximum Residence Rules (See 3.10), if applicable.
  
  To remain in good standing, a student must maintain a CWAG of "1.75" or better in his/her course work at the end of each academic year until the completion of the Program of Study. This CWAG shall be computed by the Program Adviser/Committee and reported by the latter to the Graduate Office, through channels.

- **Failure to Satisfy the Grade Requirement**
  
  A student who fails to satisfy the CWAG of "1.75" at the end of the academic year shall be disqualified from the doctoral program unless the Dean/Director decides, on justifiable ground and upon the recommendation of the student's Program Adviser/Committee, through channels, to waive the rule.

**F. Qualifying Examination**

- **Nature of Examination**
  
  The qualifying examination shall be a written and/or oral examination taken by the student after completion of the core courses in his/her Program of Study. The core courses must be taken within the first three (3) semesters of the student in the program. This examination shall aim to test the student's mastery of the fundamentals of his/her discipline or area provided by the core courses.
  
  A student who enters the doctoral program with a master's degree in the discipline/area may be exempted from the Qualifying Examination by the Institute, Department and Interdisciplinary Graduate Committee concerned, with the approval of the Dean/Director.
• Qualifying Examination Committee
The Qualifying Examination Committee shall consist of doctoral degree holders, except in highly meritorious cases (See 1.2.1).

• Administration
The Qualifying Examination in each doctoral program shall be scheduled and administered by the appropriate Graduate Committee/Office. The Dean/Director, based on the recommendation of the appropriate bodies, shall appoint an examination committee which will formulate the questions and evaluate the results of the examination. Results of the Qualifying Examination must be submitted by the examination committee to the Graduate Office within two (9) weeks after the last day of the examination.

• Rating
A student's performance in the Qualifying Examination shall be rated "High Pass," "Pass," or "Fail." A student who fails the Qualifying Examination shall be allowed to re-take the examination within one (1) year after the first examination. A second failure or the failure to re-take the examination within the prescribed period shall disqualify the student from the doctoral program.

G. The Candidacy Examination

• Nature of Examination
The Candidacy examination shall be a written and/or oral examination that must be taken by the student after (1) completing the course work in his/her Program of Study; (2) satisfying the language requirement, if any; (3) obtaining a CWAG of "1.75" or better in his/her course work; and (4) completing the courses stipulated by the Residence Rules (See 3.10), if applicable. The Candidacy Examination shall aim to test the student's mastery of the discipline/area acquired in the Program of Study.

Students enrolled in an Interdisciplinary Program who are also taking the Candidacy Examination must have taken 6-9 units of cognate courses in each area identified in his/her Program of Study.

• Candidacy Examination Committee
The Candidacy Examination Committee shall consist of a minimum of three (3) regular full-time faculty members with doctoral degrees, except in meritorious cases. Master's degree holders may serve as examiners in doctoral candidacy examinations only in highly meritorious cases and upon approval by the Dean/Director. Professorial Lecturers and Professors Emeritus may serve as examiners provided they are doctoral degree holders and/or known experts in their field and have taught in the unit during the last two (2) years.

• Administration
The Program Adviser/Committee shall recommend to the Dean/Director, through channels, when to administer the Candidacy Examination. The examination shall be administered by the Graduate Office at intervals of at least two (2) days in the officially designated examination room with the approval of the Dean upon the recommendation of the Graduate Committee.

The result must be officially reported by the examination committee to the
Dean/Director, through channels, not later than two weeks after the examination is administered.

- Rating

The grades for the comprehensive examination are as follows: "High Pass." "Pass." Or "Fail."

If a student fails the Candidacy Examination, a second examination shall be allowed within one (1) year after the first examination. Failure to pass this second examination shall bar the student permanently from the doctoral program.

Moreover, the student shall be disqualified from admission into other doctoral programs within the same Department.

- Advancement to Doctoral Candidacy

A student who passes the Candidacy Examination advances to candidacy for the doctoral degree.

H. Doctoral Dissertation

- Standards for the Doctoral Dissertation

The doctoral dissertation shall (1) embody an original, independent, significant, scientific research or creative work; (2) show the student’s capacity to make a critical evaluation of previous work done in his/her chosen research topic; and (3) demonstrate his/her ability to present research findings in a clear systematic, and scholarly manner.

- The Dissertation Committee

Upon advancement to candidacy, the student shall be assigned a dissertation committee composed of the Adviser and two (2) Readers. In special cases requiring joint advising, the Dissertation Committee may consist of an Adviser, a Co-Adviser and a Reader.

The Dissertation Committee shall consist of full-time regular faculty members with doctoral degrees, except in highly-meritorious cases (See 1.2.1.). Either the adviser or the co-adviser shall belong to the College/unit where the student is enrolled. The Co-Adviser and one of the Readers may belong to an external institution (i.e., an academic institution or qualified agency outside the College). A Professorial Lecturer or Professor Emeritus may serve as Co-Adviser. For an interdisciplinary program, majority of the Committee members must come from the University.

The Dissertation Committee members shall be appointed by the Dean/Director upon the recommendation of the heads of the Institute, Department or Interdisciplinary Program concerned and/or Graduate Office.

- The Dissertation Adviser and Co-Adviser

The Adviser/Co-Adviser shall be appointed by the Dean/Director, in consultation with the student, soon after the student passes the Candidacy Examination and chosen on the basis of the former’s expertise in the student’s research topic. The Adviser must come from the unit where the student is enrolled. In cases of joint advising, the Co-Adviser may come from outside the unit.

The adviser shall be responsible for (1) advising the student in the preparation of the dissertation proposal; (2) guiding and monitoring his/her dissertation research; (3) submitting a yearly evaluation report to the appropriate graduate committee/office and (4) endorsing his/her doctoral dissertation for defense.
The Dissertation Reader

The functions of the Reader are to: 1) evaluate the dissertation for defense and 2) endorse the dissertation for oral defense.

Change of Adviser/Reader

If a faculty adviser/reader shall go on leave for more than one (1) semester, the Dean/Director shall appoint a new adviser/reader, upon the recommendation of the appropriate bodies.

A student who wishes to change an adviser/reader shall write the Dean/Director, through channels. On the other hand, an Adviser may request to be relieved of advising duties for justifiable reasons.

The completion of a thesis or dissertation within a reasonable length of time is the joint responsibility of both student and adviser. Both make a commitment to work together to ensure that the output will be of acceptable merit and scholarship and that it is completed on an agreed upon date. A good working relationship between the two (2) parties is thus crucial to this effort. The following are adopted to help ensure the satisfactory progress and successful completion of this partnership [Exec. Com. Meeting, Dec. 3, 2002; 79th UC meeting, Dec. 11, 2002]:

1. The adviser and advisee, together, shall devise a work plan that shall determine the amount, direction and pace of work involved for both parties. This may include a timetable (identifying the start and expected date of completion), schedule of consultations, mutually agreed upon deadlines for partial submissions, mutually agreed upon deadlines for partial submissions of the work as well as the adviser’s schedule for returning the drafts with comments and suggestions for revision.

2. While it is best to adhere to this timetable, particularly as deadlines are concerned, the work plan can be renegotiated by both parties in response to such circumstances as may arise in the course of work.

3. Differences may arise between adviser and advisee. More often, these differences are easily dealt with and resolved to the satisfaction of both parties. However, there may be instances when these differences prove difficult to resolve and adversely affect both the relationship as well as the progress of work. In such an instance, upon the request of the adviser and/or advisee, the head of the graduate program of the department or unit and/or the department chair/institute director will sit with both parties to discuss the problem and try to effect a resolution.

4. One possible outcome of the mediation may be the decision to end the adviser-advisee relationship. The adviser may opt to withdraw from the project; the student may opt for a change of adviser; or both may come to a mutual decision regarding the change. An instance wherein a change of adviser may be necessary will be when the student opts for another research topic that is outside the current adviser’s field of expertise.

5. The department chair/institute director will then inform the Dean of the situation and its resolution. In other cases, the Dean may have to sit with the parties involved to discuss the situation and arrive at a satisfactory solution. The student will then write the Dean a formal letter requesting change of adviser, which is noted by the adviser. As the Dean had previously been informed and/or involved in the discussion, there is no need to detail the reasons involved in the letter.
6. The Dean then appoints a new adviser, following the usual procedure for appointment of an adviser.

7. The head of unit (Dean, Chair or Head of Graduate Program) will sit with the previous and new adviser to jointly determine the sharing of honorarium, acknowledgement and use of the former adviser's contributions. If appropriate, the previous adviser may be appointed co-adviser according to the usual rules on co-advising.

- **Number of Dissertation Advisees**

  The number of advisees (inclusive of thesis and dissertation students) shall be left to the discretion of the Graduate Faculty Council.

- **The Dissertation Proposal**

  The student shall submit a written dissertation proposal to the Dissertation Adviser/Committee. The proposal shall be defended orally before the Dissertation Committee members. A certified copy of the approved dissertation proposal and a form endorsing the thesis proposal duly signed by the Dissertation Committee shall be submitted by the Dissertation Committee to the Dean/Director, through channels.

I. **Defense of the Doctoral Dissertation**

- **Oral Defense Panel**

  After the student’s completed draft is evaluated favorably by the Dissertation Committee members, they shall endorse it for oral defense to the Dean, through channels.

  The Oral Defense panel shall consist of at least 5 members inclusive of the members of the Dissertation Committee (i.e., Adviser, possibly a Co-Adviser, 1 or 2 Readers and, at least 2 additional members). A maximum of two (2) members of the dissertation Oral Defense Panel may come from an external institution, i.e., outside the Department, Institute, College or University.

  The doctoral examination panel shall be chaired by one of the dissertation examiners other than the dissertation adviser.

- **Administration**

  The doctoral defense must be held in the College/unit at a time recommended by the panel, endorsed by the appropriate heads and graduate committees concerned, and authorized by the Dean/Director.

  The time and place of the doctoral defense shall be officially announced by the Graduate Studies Office/Committee concerned at least two (2) weeks before the scheduled oral defense. The schedule of the defense may be changed only upon the recommendation of the doctoral defense panel, through channels, and the formal authorization of the Dean/Director.

  The doctoral defense may be held only if 1) the dissertation manuscript has been received by each member of the doctoral examination panel at least two (2) weeks before the scheduled examination, and 2) all members of the examination panel are present, except for programs that require the inclusion of foreign Co-Advisers or foreign external examiners. If the latter is absent, he/she shall be required to send his/her comments to the Chair of the panel who shall integrate this in the final report. If any
other member of the panel is absent, the defense shall be re-scheduled.

The doctoral defense shall be a public oral examination, the duration of which shall be left to the discretion of the panel. The evaluation and rating of the student's dissertation defense shall be done by the panel in a closed-door meeting to be held immediately after the defense.

• Rating

There shall be three (3) ratings for the defense: "Pass," "Provisional Pass," or "Fail." "Fail" means substantial revisions are required by at least two of the panel members. Any member who fails the student must specify the reason(s) in writing, a copy of which shall be attached to the report of the panel.

"Provisional Pass" means minor revisions are required. All members of the panel must agree on the recommended revisions which must be specified in writing and attached to the final report. A second rating sheet shall be signed only after the student incorporates the revisions and the defense panel certifies that the revisions were made.

The result of the Oral Defense must be reported by the panel to the Dean through channels, within the first working day after the examination.

• Passing or Failing the Doctoral Defense

If the student passes the defense, his/her doctoral dissertation is considered approved.

If the student fails the defense, he/she may submit himself/herself to a second doctoral defense within one academic year after the first defense. Failure to pass the second defense disqualifies the student from his/her current doctoral program. Moreover, a rating of "Fail" in the second defense shall disqualify the student from being admitted into other doctoral programs offered by the same Department or Institute.

J. Residence Rules

• One-Year Residence before Graduation

The student must be officially enrolled at least one (1) academic year prior to the conferment of the doctoral degree.

• Regular Period for Completion

The time limit for the completion of all doctoral requirements shall be six (6) years for a student who enters the doctoral program with a master's degree or its equivalent in the same discipline and eight (8) years for one who enters the doctoral program with a Bachelor's degree or a Master's degree in an unrelated discipline.

The counting of the period of residence shall start from the student's first enrollment in a graduate course after admission into the doctoral program and shall include all leaves of absence from the program. The regular period for completion for a graduate student transferring from another University shall be reduced by one (1) semester.

If there are courses taken by the student prior to his/her admission to the program and credited to his/her course requirements, then his/her allowed period of completion will be reduced by a number of semesters equivalent to one semester for every nine (9) units of courses credited to his/her program.
• Extension of Residence

In exceptionally meritorious cases, extensions of residence beyond the above regular period of completion may be approved by the Dean/Director upon the recommendation of the appropriate bodies. This extension shall be for a period not exceeding one (1) calendar year at a time. In no case shall the extensions exceed more than five (5) years. The student granted an extension shall take additional units of graduate courses in his/her discipline or area during the extension period at a rate of three (3) units for every two (2) years of extension or a fraction thereof.

• Non-Compliance with Residence Rules

Any student who fails to complete all requirements of the degree within the regular period and any approved extension thereof shall be disqualified from the doctoral program.

K. Leave of Absence (LOA)/Absence Without Leave (AWOL)

A student who goes on leave of absence (LOA)/absence without leave (AWOL) from a doctoral program shall seek readmission into the program from the Dean/Director, through channels.

L. Graduation

• Application for Graduation

After the student passes the doctoral defense, he/she shall be qualified to apply for graduation to the University Registrar through the college/unit Graduate Office.

• Submission of Bound Copies

The applicant for graduation must submit to the Graduate Office five (5) bound copies of the approved doctoral dissertation as a prerequisite for graduation. The bound copies must conform to the standard format of the unit/college and contain the official approval of the dissertation by the members of the defense panel, the college/unit Graduate Office/Committee and the official acceptance of the dissertation by the Dean/Director.

• Conferment of the Doctoral Degree

After the graduation of the student shall have been recommended by the College Faculty Assembly, or appropriate body, endorsed by the University Council, and approved by the Board of Regents, he/she shall be officially conferred the doctoral degree.

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