

Accounting Information and Management

PhD Program Guide For Students

**OCTOBER
2012**

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Introduction

The goals of the Accounting Information and Management Department (AIM) PhD program are to train students in research methods appropriate for the study of accounting issues from both an empirical/archival and an analytic perspective, and to prepare the students for an academic career at a research-oriented institution in the U.S. This cross-training in theory and empirical methods is one of the strengths of the AIM program. Although most students focus their efforts on either empirical or analytic research, some pursue both.

Currently, the training, background, and research interests of the empirically-oriented AIM faculty support archival, empirical research in financial accounting and reporting; the faculty generally do not research the tax or auditing areas of accounting. Representative examples of their recent research include the study of information intermediaries (e.g., financial analysts) in capital markets, the impact of changes in the regulatory environment on capital markets, and the accounting consequences of firms' compensation and capital structure choices. The research interests of the analytically-oriented faculty encompass all aspects of accounting theory; their recent research includes the study of financial accounting standards and voluntary disclosures, the performance and regulation of the audit market, the construction of accounting-based management incentive contracts, and the design of financial and non-financial performance measures. More information on the faculty's research activities can be found on the Department's web site (<http://www.kellogg.northwestern.edu/accounting/index.htm>).

The purpose of this document is to describe the goals, requirements, policies, and parameters of the PhD program in AIM for the benefit of both faculty and students. The written representation of the requirements of the program should clarify both student and faculty understanding of the program and facilitate appropriate, informed expectations.

PhD students are subject to the requirements and regulations of The Graduate School of Northwestern University (TGS), of the Kellogg School of Management (KSM) PhD Program, and of the Department of Accounting Information and Management (AIM). The student is responsible for knowing, understanding, and complying with all of the applicable rules and requirements. The requirements of the Graduate School and the Kellogg School of Management are laid out in the *Graduate School Bulletin* and in the *Kellogg Doctoral Program* respectively. This document does not repeat all of the provisions in these two documents but focuses on those specific to the AIM department.

The minimum requirements for the PhD include nine quarters of residency. Full-time enrollment is considered to be three courses for the first quarter, and four courses thereafter unless permission is granted for a three course schedule. The six quarters of class work are followed by the qualifying examination and admission to candidacy. During the third year, students develop research projects that demonstrate their ability to conduct independent research. At the end of the third year, students must make a presentation of their third year research efforts with particular attention paid to possible dissertation research. During the final year (or two years), students focus on completing the dissertation as well as on other research projects.

A. Coursework

Students generally complete six quarters of coursework comprising four courses per quarter (fall, winter, spring) during their first two years in the program. (An exception is made for the first quarter, in which three courses may be considered full-time enrollment and for later quarters with approval of the PhD Coordinator.) Each student has a major field and a minor field. The major in AIM consists of the four PhD accounting seminars (520 – 1, 2, 3, 4) and any additional accounting seminars offered from time to time. A minor field consists of three advanced courses in that field. The courses for a minor are in addition to those used to satisfy other requirements (e.g., economics and quantitative methods). PhD course grades are A, B, C, and F with pluses and minuses permitted. All courses must be taken for a grade and the student must maintain a minimum 3.0 (B) average.

Enrolling in MBA courses is not encouraged because the focus of doctoral coursework is development of research skills. Faculty members generally permit PhD students to “sit in” on MBA courses. Such “sitting in” may be done in the third or fourth year of the student’s program or as needed for teaching assistant (TA) requirements.

Faculty members teaching the accounting seminars have developed alternating year sequences so that students may enroll in the seminars in first and second years.

1. A typical program of study is the following (subject to changes in scheduling):

Fall Quarter, First Year

Microeconomics	–	ECON 410-1	Microeconomics
Marketing	-	MKTG 476	Introduction to Applied Econometrics I
Optimization	-	MECS 460-1	Foundations of Managerial Economics I: Static Decision Models

Winter Quarter, First Year

Accounting	-	ACCT 520-1	Seminar in Capital Markets Research (Lys)
Accounting	-	ACCT 520-4	Seminar in Agency Theory and Accounting (Sridhar)
Microeconomics	-	ECON 410-2	Microeconomics (General Equilibrium Theory)
Managerial Econ.	-	MECS 477	Introduction to Applied Econometrics II

Spring Quarter, First Year

Accounting	-	ACCT 520-2	Seminar in Positive Accounting Research (Rusticus)
Accounting	-	ACCT 520-3	Seminar in Information Economics & Accounting (Dye)
Microeconomics	-	ECON 410-3	Microeconomics (Game Theory)
Elective*			Elective in statistical methods, corporate finance, etc.

Summer Quarter, First Year

First Year Review. Research for Summer Paper

Fall Quarter, Second Year

Electives*

Winter Quarter, Second Year

Accounting	-	ACCT 520-1	Seminar in Capital Markets Research (Lys)
Accounting	-	ACCT 520-4	Seminar in Agency Theory and Accounting (Sridhar)
Electives*			

Spring Quarter, Second Year

Accounting	-	ACCT 520-2	Seminar in Positive Accounting Research (Rusticus)
Accounting	-	ACCT 520-3	Seminar in Information Economics & Accounting (Dye)
Electives*			

Summer Quarter, Second Year

Qualifying Examination (No formal course work)

***Suggested electives (this list is not exhaustive):**

ECON	-	480- 1, 2, 3	Introduction to Econometrics
ECON	-	414- 1, 2, 3	Economics of Information
ECON	-	450- 1	Industrial Organization and Prices
ECON	-	482	Applied Econometrics: Time Series Analysis
ECON	-	483	Applied Econometrics: Cross Section Methods
FINC	-	485	Introduction to Finance (Static asset pricing models)
FINC	-	486	Seminar in Corporate Finance
FINC	-	488	The Econometrics of Financial Markets
FINC	-	487	Introduction to Finance (dynamic asset pricing)
FINC	-	520-0	General Seminar for PhD Students (current topics)
MKTG	-	520-2	Multivariate Data Analysis
MATH	-	320 or 321	Real Analysis (check course requirements before registering)
MATH	-	450 – 1, 2	Probability
MECS	-	460-2	Foundations of Managerial Economics II: Dynamic Decision Models
MECS	-	460-3	Foundations of Managerial Economics III: Game Theory
MECS	-	462	Decision Theory
MECS	-	465	Contract Theory and Mechanism Design
MECS	-	485	Empirical Issues in Business Strategy
POL_SCI	-	405	Linear Models
STAT	-	420 - 1, 2, 3	Advanced Statistics: Introduction to Statistical Theory and Methodology

The specific curriculum will vary depending on the student's background and interests. Students must obtain the approval of the PhD Coordinator for each quarter's course of study.

2. Suggested program of study for students without sufficient training in quantitative methods

We expect students to enter the program with proficiency in differential and integral calculus and in linear algebra. Students entering the program without a strong quantitative background may find it appropriate, determined by consultation with the PhD Coordinator, to take additional quantitative methods and mathematical economics courses in preparation for the program of study outlined above.

For students already residing in the U.S., it may be desirable to arrive at Northwestern in time for the summer school quarter and to enroll in courses in linear algebra, multivariable calculus, etc. Such arrangements must be made in consultation with the PhD Coordinator. In addition, the Department will pay for tutoring in any courses for which a student believes such assistance would be beneficial.

B. Beyond Formal Coursework

Throughout the student's tenure at Northwestern University, the faculty expects PhD students to attend the accounting workshops which generally are held on Wednesday afternoons. These workshops consist of outside scholars invited to present their research as well as Kellogg AIM faculty and PhD students who likewise present their research. AIM faculty members expect all PhD students to read the research papers carefully and encourage them to participate in the workshop by asking questions and making comments. During winter quarter and early spring quarter, the workshops are often new faculty recruiting workshops. The PhD students have the opportunity to meet as a group with each visiting speaker. The faculty expects all PhD students to attend and to participate fully in such meetings unless they have a course conflict.

During the summer following the first year, the student writes the Summer Research Paper (see below). Upon the completion of courses as outlined above, the student no longer takes formal coursework. During the summer following the second year, the student takes the Qualifying Examination. During the third year, the student conducts research and exploration of dissertation topics, culminating in a presentation to a faculty committee.

During the fourth year (and beginning of the fifth), the student works to complete the dissertation and other research projects and prepares for interviewing for an academic position upon graduation.

Throughout their tenure (including summers) in the AIM PhD program, the faculty expects students to be engaged actively in study and research and to contribute to the intellectual life of the Department, Kellogg, and the University.

C. Financial Aid

PhD students receiving financial aid from the Kellogg School of Management generally receive such aid for five years, subject to remaining in good standing with the Graduate School and to achieving satisfactory progress in Kellogg and in the AIM department. The financial aid package consists of tuition, health insurance, and a monthly fellowship stipend. The summer stipend is conditional on the student being in residence, actively pursuing research, during the entire summer (not just during the weeks school is in session for the summer).

In the first year, the fellowship stipend requires no teaching or research assistantship activities. In years two through five, the fellowship stipend (no work requirement) is reduced by approximately 25%. By working ten hours per week during all four academic quarters as a teaching assistant or research assistant the student may earn the other 25%. Because the teaching and research assistantships are similar

to apprenticeships, and thus important to the student's professional development, we expect that the student will avail himself/herself of this opportunity.

Extended absences (greater than two weeks) must be approved in advance by the PhD Coordinator and the AIM Department Chair. PhD training consists of academic and professional development and such training cannot occur while the student is not in residence and fully engaged in academic activities. The training should be considered similar to on-the-job training in other professions – that is, as a job, and most jobs do not allow extended vacations or absences while the training is in progress.

If the student continues in the program for a sixth year, funding is not guaranteed by either AIM or Kellogg. Provided the student is in good standing and making significant progress toward completion of the program, Kellogg provides for health insurance for the sixth year.

The faculty also encourages students to seek external sources of funding. There are many grants, fellowships, and scholarships available outside of Kellogg and outside of Northwestern University. The student may also assume more teaching assistantship responsibilities. The five years of guaranteed funding is designed to encourage students to complete their graduate study program in five years.

D. Research Assistantship

Because the PhD program is, in part, an apprenticeship, and the student's involvement in all phases of research is a critical part of professional development, each student is expected to serve as a research assistant (RA) to members of the AIM faculty for each of the quarters from fall of the second year through summer quarter of the fourth year (unless the student graduates in June). The research assistantships provide training and guidance to the student in conducting research and benefit both faculty and students in accomplishing research goals. Beginning with the summer quarter of the student's first year in the PhD program, the PhD Coordinator assigns each student to one or more faculty members for the following quarter based on mutual research interests and research needs. The assignment will be re-evaluated each quarter and may or may not be extended to subsequent quarters depending on needs, interests, and mutual benefit. Each student will be given the opportunity to work with several faculty members as part of their RA training. Students are exposed to all aspects of the research process and encouraged to develop their own research skills in the process. This early and consistent exposure to academic research throughout the PhD program is one of the strengths of the program. The RA work will require approximately ten hours per week throughout each academic quarter.

In addition to the 10 hour per week requirement, there are often additional opportunities to work as a research assistant for additional pay. Students should indicate their interest in such work to the PhD Coordinator.

E. Teaching Assistantship

There are usually numerous opportunities for PhD students to provide faculty with support as teaching assistants (TA). Such work may be assigned as part of the 10 hour work requirement or may be undertaken for additional compensation. TA experience can benefit the student by providing exposure to teaching materials, the opportunity to conduct review sessions, etc. PhD students at institutions without undergraduate programs in business generally have limited opportunities to develop classroom skills. However, many of these same institutions employ new faculty members who must immediately teach in the MBA classroom, which can be a daunting experience. Therefore, the faculty encourages students to gain teaching-related experience.

F. First Year Review

At the end of a student's first year in the AIM Doctoral Program, the Department reviews their coursework progress, with particular attention to the development of research skills and to performance to date in the Department's seminars. Ultimate success in the doctoral program requires development of a level of expertise that allows the creation of new knowledge, and the Department will make an assessment as to the student's progress in achieving such a level of expertise. If a student is not making adequate progress, the Department may recommend corrective steps or, in some cases, recommend that the student leave the program.

G. Summer Research Paper

The purpose of the summer research paper is to provide the student with early, independent experience with the research process. The student should begin considering potential topics for the summer paper during the second quarter of the first year. The student writes the summer paper under the direction of a faculty advisor of the student's choice. The selection of the faculty advisor and of the summer paper topic must be made by **July 31** following the student's first academic year in the program and must be communicated to the PhD Coordinator by that time (see form attached as Exhibit A). The summer paper may be either analytical or empirical.

If the summer paper is empirical, the requirements for the paper are that the student:

- f Demonstrates ability to develop an original research question
- f Articulates the testable hypotheses
- f Designs an appropriate study to test the hypotheses
- f Identifies the appropriate variables for the tests and gathers the data
- f Interprets the results of the tests appropriately

If the summer paper is analytical, the requirements for the paper are that the student:

- f Motivates the study by reference to a well-articulated accounting problem or set of related problems
- f Develops a set of theorems that provide new observations about these problems
- f Demonstrates the ability to prove original, and correct, theorems of interest to accounting academics

The student is required to present the summer paper to the AIM faculty in a 60 minute workshop no later than **January 31** of the following year (with encouragement to make the presentation prior to the end of the fall quarter). The paper provides the student's first experience in conceptualizing, developing, writing, and presenting original research. The paper is to be original but the benchmark is that it demonstrates the student's aptitude to conduct academic research and not that it necessarily be of publishable quality. In other words, the paper must be more than a replication of an existing study but need not pass the test of potential publishability in a top tier journal. Tenured and tenure-track members of the AIM faculty attending the workshop assess the quality of the summer paper. The student's advisor and the PhD Coordinator must both indicate their acceptance of the student's work on the form provided (see example attached as exhibit B).

If the summer paper is considered inadequate, the student's summer paper advisor and the PhD Coordinator document the steps necessary to rectify the situation (e.g., revise the paper along specified dimensions by a given date). This document is discussed with the student. The student's summer paper advisor and the PhD Coordinator monitor progress consistent with the document. The student will

present the paper at another workshop. No student will be permitted to sit for the qualifying exam prior to presentation of an acceptable summer research paper.

H. Qualifying Examination

The qualifying exam is a comprehensive exam covering both analytical and empirical topics in accounting research. The purpose of the exam is to test whether the student meets the required hurdle of competence in both analytical and empirical approaches to accounting research. The exam consists of two parts. The first part contains equally-weighted sections of analytical and empirical questions which the students answer in a closed book exam environment administered by AIM. The two sections of the exam, analytical and empirical, are given on consecutive days (generally Monday and Tuesday). The student may take up to eight and a half hours to complete each section of the exam. The student may either hand write the exam or use a computer (a word processing program) to write the exam. The second part of the exam is a take-home “referee report.” The student is given an empirical and an analytical paper to review and must choose one to review. The student evaluates the paper’s strengths and weaknesses, its contribution to the literature, and ways in which the research may be improved or extended. The student picks up the paper at the end of the “in-class” portion of the exam (generally 5:00 p.m. on Tuesday) and has four days in which to write the referee report. The referee report is due by 5 pm on the fourth day (generally Saturday).

The qualifying exam is given during the **second or third week of July**. The students will be notified of the results of the exam in writing as soon as possible after completion of the exam.

The student may pass one or more portions (empirical, analytical, referee report) of the exam and may be required to take steps to address perceived deficiencies in performance on the exam even if he or she passes the overall exam. The faculty communicates these requirements to the student in writing. Students should discuss their performance on the exam with each member of the exam committee in order to gain feedback beyond that provided by the grade. The grading on the exam is high pass (HP), pass (P), low pass (LP), and fail (F). Each question on the exam is graded by at least two faculty members. The grades are cumulated for each portion of the exam – analytical, empirical, and referee report. A series of low passes in any portion of the exam translates to a failing grade for that portion.

If the student fails one or more portions of the exam, the student is expected retake the exam before the end of the summer quarter. The faculty may require the student to retake any one or all portions (analytical, empirical, referee report) of the exam. Successful completion of the qualifying examination is required for continuation in the doctoral program.

I. Masters Degree in Accounting Information and Management

The AIM Department admits students only for the PhD degree, not for a masters degree. However, students who enter the program without a previous masters degree may earn a masters degree after successful completion of two years of coursework (with a GPA of 3.0 or higher), the first year summer paper and the qualifying examination.

Students who complete two years of coursework, take the preliminary examination, and are in good standing, are eligible for a terminal masters degree (MS) in Accounting Information and Management upon petition to the AIM department. The petition takes the form of a formal letter addressed to the Department Chair and to the PhD coordinator. The terminal masters degree will be awarded only to students who terminate the program before attaining the PhD degree. At the time of grading the preliminary examination, the faculty will assess whether a student who does not pass the exam has demonstrated sufficient knowledge on the exam to be eligible for the masters degree.

J. Third-Year Research Presentation

Successful job candidates for new faculty positions typically have a handful of working papers in addition to a paper based on the dissertation. In most cases, these additional working papers are co-authored with faculty and/or other doctoral students, and in some cases, the papers have been published. Developing that kind of research portfolio takes time and effort, and the third year of the doctoral program is a critical period for this activity.

Prior to the start of the fourth year, the student must make a research presentation to a subcommittee of faculty. At this presentation, the student describes their research activities over the third year, including a description of completed working papers and work in progress. Often these research papers are jointly-authored with faculty or with other PhD students. It is not required that these research efforts result in a working paper for submission to a journal, but the faculty does expect evidence of active research endeavors.

In addition, the student must present some ideas about dissertation topics. At this point, the faculty does not expect a fully-formed dissertation proposal. Rather, it is an opportunity for early feedback on possible research directions and for planning of future research efforts.

Satisfactory completion of the Third-Year Research Presentation is a condition for continuation in the PhD program.

K. Oral Research Examination

The Graduate School requires that PhD students pass an oral research exam prior to the beginning of fall quarter of the student's fifth year in the program. Students should communicate the date and time of the exam to the Graduate School and to the AIM Department three weeks in advance. The exam consists of the presentation of an original research project that should be intended as the dissertation. The student makes this presentation in an open, formal workshop setting of ninety minutes in length.

In preparation for this exam, the student forms a qualifying examination committee, including a chair. (A minimum of four faculty members are required, with the chair and at least one other member from the AIM department, and at least one member from outside the AIM Department. The committee chair must be a member of The Graduate School faculty.) Obtaining feedback from the committee prior to presenting the paper in a general workshop is critical to development of the research and to passing the exam.

Specifically, the student must identify the internal (AIM) members of the oral examination committee, including the chairman, no later than **January 31** of the student's fourth year and provide this information to the PhD Coordinator (see Exhibit C). The student schedules an informal presentation of his/her research to the committee no later than the **February 28** of the fourth year. These requirements ensure that there is significant interaction between the student and each committee member so that the student receives early feedback on the proposed dissertation topic and suggestions for its development. It is possible that committee membership might change as the research topic evolves. Note that these are the minimum requirements and the department encourages more extensive interaction.

Members of the faculty question the student during the presentation for the oral research examination as in a regular workshop setting. At the end of the presentation, the examination committee, after discussion with other members of the tenure-track AIM faculty in attendance, determines one of the following outcomes:

- 1) The student's research topic qualifies as a dissertation proposal; the student's presentation demonstrates appropriate research aptitude for successfully completing the PhD program; the student passes the qualifying exam, and the committee drafts a document constituting the plan for completion of the dissertation (see below for a description of this document). The dissertation chairman is responsible for monitoring compliance with the plan of completion.
- 2) The student demonstrates sufficient research aptitude to continue toward writing a dissertation; the research paper is an appropriate dissertation topic; and the student passes the oral research exam. However, the research has not progressed sufficiently for the committee to draft a plan for completion of the dissertation. The committee outlines the requirements, in writing, that the student must meet before scheduling a second presentation, which will serve as the basis for drafting a plan for completion of the dissertation. The dissertation chairman is responsible for monitoring progress toward the goal and specifying a deadline for the second presentation.
- 3) The student demonstrates sufficient research aptitude to continue toward writing a dissertation; the student passes the oral research exam, but the research paper presented does not qualify as a dissertation topic. The student must develop a separate research topic for the dissertation and make a second presentation to the department of the new research which the committee, in consultation with other members of the department, will evaluate as a dissertation topic. The same procedures must be followed for the retaking of the oral exam with respect to committee formation (a new committee may be formed), preliminary presentation to the committee, notifications, etc. This outcome may require that the student spend an extra year in the program.
- 4) The student demonstrates insufficient research aptitude to continue in the program, fails the oral research examination, and is asked to leave the program, effective immediately.

The outcome of the oral research examination is communicated to the student by the committee chairman both verbally and in written form. A copy of the written document is provided to the PhD Coordinator.

If the student is required to make a second presentation but is unable to do so by June 30, the student may request a three month extension of this requirement from the department.

The dissertation committee drafts the written plan for completion of the dissertation. The plan outlines the steps necessary for completion of the dissertation. The dissertation chair communicates the contents of this document to the student. It is important that the student and the committee agree on the meaning of the terms, conditions, and requirements for completion of the dissertation. The department

expects that the student will not distribute his/her “road paper” as part of the search for an academic position prior to the drafting of the plan for completion document. The dissertation chair is responsible for monitoring the student’s compliance with the document.

L. Progress in the Program

The Graduate School, the Kellogg School of Management, and the AIM Department all require that the student maintain a minimum 3.0 grade average (out of 4.0) and have no more than one incomplete grade pending at any time in order to remain in good standing. In addition to these requirements, the Department expects the student to develop deep expertise in some research methodology area. That expertise should be reflected in high grades in that area. For example, a transcript of all B grades would meet the grade average requirement, but it would not reflect the deep expertise that is expected of a scholar in the field.

The AIM faculty assesses the academic progress of the PhD students annually in July. As part of this evaluation, each student completes the “AIM PhD Student Activity Report,” copy attached (exhibit D), by **June 30**, and submits it to the PhD Coordinator. In this report, the student describes progress toward completion of the program’s academic requirements and goals. The PhD Coordinator, the Department Chair, the PhD seminar faculty, faculty for whom the student has worked as an RA, and other interested faculty evaluate the student’s progress, as well as promise, and the PhD Coordinator communicates the department’s assessment in writing to the student no later than **July 31**. Students are assessed as:

- a) making satisfactory progress
- b) not making satisfactory progress and placed on probation
- c) not making satisfactory progress and terminated from the program

Additional assessments of the student’s progress toward completion of the PhD are made after the student takes the qualifying exam and after the student completes the oral research exam, both as described above.

If the student is placed on probation, the student and the PhD Coordinator develop a plan, with specific action steps and specific completion dates, for the student to return to non-probationary status. This plan is put in writing and monitored by the PhD Coordinator.

A student asked to leave the program will do so before the beginning of the fall quarter.

M. “Job Market” Paper Presentation

Prior to sending out a packet of materials for consideration for employment at an academic institution, the student must present his or her “job market” paper to the AIM faculty in a 90 minute workshop. Because job market materials should be mailed before the end of November, this presentation should be scheduled no later than the **beginning of fall quarter**. The purpose is to provide the student with feedback on his or her research as well as on the presentation. The dissertation chairman is responsible for ensuring that such a workshop is scheduled prior to the student’s applying to the job market.

N. Dissertation Defense

With the consent of the dissertation committee, the student may schedule his or her dissertation defense (to which the entire AIM faculty is invited). Notice of the defense must be provided to all AIM faculty at least two weeks prior to the scheduled date. AIM requires that no more than one member of the dissertation committee may be absent from the defense. At the completion of the defense, the committee votes on whether the student has successfully defended his/her dissertation. All members of the dissertation committee must sign the Graduate School forms indicating that the student has passed or not passed the dissertation defense.

**Kellogg School of Management
Northwestern University**

Accounting Information and Management

PhD Program - Summary of Due Dates and Deadlines

First year

Fall Quarter

Coursework

Winter Quarter

Coursework

Spring Quarter

Coursework

Summer Quarter

Research for summer paper

June 30 – Activity report due to PhD Coordinator

July 31 – Summer Research Paper Title and Advisor due to PhD Coordinator

Second year

Fall Quarter

Coursework

Research to complete summer paper

TA and RA work

Winter Quarter

Coursework

TA and RA work

January 31 – Deadline for presenting Summer Paper to AIM faculty

Spring Quarter

Coursework

TA and RA work

Summer Quarter

Prepare for preliminary examination

TA and RA work

June/July – Qualifying Examination

June 30 – Activity report due to PhD Coordinator

Third year

Fall Quarter

Research

TA and RA work

Winter Quarter

Research

TA and RA work

Spring Quarter

Research

TA and RA work

Summer Quarter

Research

TA and RA work

June 30 – Activity report due to PhD Coordinator

September 1 – Deadline for scheduling Third-Year Research Presentation

September 18 – Deadline for Third-Year Research Presentation (approximate date)

Fourth year

Fall Quarter

Research

TA and RA work

Winter Quarter

Research

TA and RA work

Spring Quarter

Research

TA and RA work

Summer Quarter

Research

TA and RA work (unless graduating in June)

June 30 – Activity report due to PhD Coordinator (if continuing in program)

August 31 – Deadline for Oral Research Examination

Fifth year and beyond

TA and RA work; Dissertation research.

Exhibit A

**Kellogg School of Management
Northwestern University**

Accounting Information and Management

PhD Program – Summer Research Paper Advisor and Title

Please complete and submit this form to the PhD Coordinator no later than **July 31** of the summer following your **first year** in the program.

Date _____

Student name _____

Faculty advisor for summer paper _____

Title of summer paper _____

Brief description of summer paper:

Exhibit B

**Kellogg School of Management
Northwestern University**

Accounting Information and Management

PhD Program – Summer Research Paper Completion

Please complete and submit this form to the PhD Coordinator no later than **January 31** of your **second year** in the program.

Date _____

Student name _____

Faculty advisor for summer paper _____

Title of summer paper _____

Date summer paper presented _____

By signing below, I signify that the above named student has fulfilled the requirements for the successful completion and presentation of the summer research paper.

Faculty Advisor _____

PhD Coordinator _____

Exhibit C

Kellogg School of Management Northwestern University

Accounting Information and Management

PhD Program – Oral Research Examination Committee

Please complete and submit this form to the PhD Coordinator no later than **January 31** of your **fourth year** in the PhD program. Although the oral research examination committee must consist of at least four faculty members of which the chair and one other member must be AIM faculty, for the purposes of this form, only the internal (AIM) faculty members need to be named. Please indicate below the date (no later than **February 28** of the **fourth year**) of the initial presentation of the proposed research topic to the committee.

Today's Date _____

Student's name _____

Oral Research Examination Committee (Internal members only):

Chairman _____

Member _____

Member _____

Member _____

Scheduled date for initial, informal presentation of proposed research topic

to committee _____

Exhibit D

Kellogg School of Management Northwestern University

Accounting Information and Management

PhD STUDENT ACTIVITY REPORT

June 2011

Please respond to the following questions concerning your academic progress and professional activities as a PhD student during the 2010/2011 academic year and your anticipated progress and activities during the 2011/2012 academic year.

NAME:

Year of Entry:

I. Describe your activities for the 2010/2011 academic year in the following areas:

A. Classes audited, if any.

Dept	Course #	Course name	Instructor name	Term (F, W, S, Su)

B. Describe **dissertation-related research (if applicable)**. Indicate the stage of the research (e.g., preparing for oral research exam, preparing “job-talk” paper, preparing for defense, etc.). Also describe the research question, the research design, any results, and the contribution of the work. Include the following information:

Dissertation title:

Chair of committee:

Committee members:

Projected/actual proposal date:

Projected/actual defense date:

- C. Describe **all (non-dissertation) research** projects in process for which you are the author or co-author (see below for RA work). Provide a brief description of the research question, the research design, any results, and the anticipated contribution of the work. Indicate the names and affiliation of any co-authors. Also indicate the status of the project (e.g., completed summer paper, RA-work in progress, first round submission, etc.)
- D. Describe work you have done as **a research assistant**. Describe your responsibilities and the nature of the work completed. Provide the name/s of the faculty for whom you worked.
- E. List all research presentations made.
- F. Briefly describe any teaching-related activities for the academic year 2010/2011. Include any teaching assistantships (with the name of the course and the professor) you had at Kellogg and the Allen Center as well as any courses you taught at either Northwestern or elsewhere. Please indicate the names of the classes, and the duties (e.g., instructor, grader, review sessions). If there were student evaluations (e.g., TCE), please summarize the evaluations.
- G. Describe any other scholarly activities (e.g., attendance at conventions, consortia, conferences, etc.).
- H. Describe any other compensated activities not covered above.

II. Describe your anticipated activities for the 2011/2012 academic year in the following areas:

A. Classes to be audited (department, course number, name of course, instructor name)

Dept	Course #	Course name	Instructor name	Term (F, W, S, Su)

B. Describe anticipated **dissertation-related research (if applicable)**. Indicate the stage of the research (e.g., preparing for proposal exam, preparing “job-talk” paper, preparing for defense, etc.). Also describe the research question, the research design, any results, and the contribution of the work.

C. Describe **all (non-dissertation) research** projects on which you anticipate working as the sole author or as a co-author. Provide a brief description of the research question, the research design, any results, and the anticipated contribution of the work. Indicate the names and affiliation of any co-authors. Also indicate the planned status of the project (e.g., completed summer paper, submission to an academic journal, etc.)

D. List research presentations you expect to make.

E. Briefly describe any teaching-related activities you anticipate for the academic year 2011/2012. Include any teaching assistantships at both Kellogg and the Allen Center as well as any courses to be taught at Northwestern or elsewhere. Please indicate the names of the classes and the duties (e.g., teacher, grader, review sessions).

F. Describe any other anticipated scholarly activities (e.g., attendance at conventions, consortia, conferences, etc.).

G. Describe any other anticipated compensated activities not covered above.

III. Fifth year (and beyond) students: Please describe your anticipated sources of funding for the academic year 2011/2012. Include all teaching, teaching assistantships, grants, and stipends, together with the source and estimated amount of each.

IV. Please provide any additional information about your past activities or anticipated activities that will be helpful in assessing your academic progress and position in the AIM PhD program.