Kellogg School of Management

PH.D. PROGRAM GUIDELINES

UPDATED: 9-2010

Kellogg's Marketing Department is regarded as one of the finest marketing programs in the world and is renowned for its groundbreaking research. Doctoral graduates are expected to continue this tradition of scholarship.

The Marketing Ph.D. program emphasizes both theoretical and empirical research. The program is designed to develop the theoretical knowledge and methodological skills necessary for students to become successful, productive researchers. The marketing faculty expect students to actively engage in research projects throughout their graduate program.

A hallmark of the Marketing Ph.D. program is the breadth and depth of training. Students study a broad variety of disciplines before committing to a specific research specialty. Moreover, much of the program is sufficiently flexible to allow each student's training to be tailored to his or her background and goals.

This document provides an overview of what students can expect during the first two years of the program, which is when all of the required coursework and exams occur. The document briefly discusses expectations for the third year and beyond when students are actively working on their dissertation. A separate document lists aspects that may require annual updating, such as financial support or particular courses offered.

FIRST YEAR

Advice and Guidance

First-Year Advisors. Ph.D. coordinators assist students in selecting courses for the first year and provide guidance to students regarding involvement in research and teaching assistantships. They also provide feedback to students on their performance throughout the year and can provide advice on other matters related to the doctoral program.

Marketing Seminar Series. Each year the Marketing Department invites eminent scholars from peer research institutions to present their research at a weekly seminar. Students are expected to attend all seminars in the marketing seminar series, even if the topic is not related to their own research interests. By attending these seminars, students learn important general skills and norms regarding what makes a good (and bad) research presentation. When scholars visit from other institutions, time is often set aside in their schedule to meet with doctoral students. Students are expected to take advantage of these opportunities—they offer an excellent chance to get advice about everything from choosing a dissertation topic to publishing in top journals.

Research and Teaching Assistantships. A critical part of the doctoral program is forming relationships with faculty members and learning about research and teaching processes. Students on first year fellowships are not required to work as teaching assistants or research assistants. However, we expect the early formation of research relationships with one or more faculty members. These relationships provide an opportunity not only for students to learn more about the field, but also for faculty members to learn more about students and their capabilities. Faculty advisor(s) will provide advice and guidance to help the student identify research opportunities that match his/her needs and interests with those of the faculty.

Course Work
Students are expected to register for four courses per quarter for fall, winter, and spring quarters. Taking fewer courses is allowed but requires permission from the Ph.D. coordinator. Exceptions may be allowed for courses that require above-average workloads, such as some advanced courses offered by the economics department.

Marketing Courses. The marketing department offers seven doctoral courses and students are expected to take all of these courses during the first two years of the Ph.D. program. In fall of the first year, all students are expected to take a course in Marketing Strategy that provides an overview of managerial issues in the field. Students who specialize in consumer behavior are expected to take a three quarter sequence (fall, winter, spring) that teaches fundamentals of consumer behavior. Students who specialize in quantitative methods are expected to take a three quarter sequence (fall, winter, spring) that specializes in quantitative models. Thus, in the first year each student should take four marketing Ph.D. courses. As explained later in this document, the remaining three marketing Ph.D. courses should be taken in the second year of the program.

Non-marketing Courses. Students who specialize in quantitative methods are required to take econometrics in the fall and winter of their first year. In addition, these students take additional courses in micro-economics, statistics, game theory, and econometrics. The marketing Ph.D. coordinator will advise students on course selection.

Students who specialize in consumer behavior take additional courses in psychology, sociology, anthropology, and statistics.

Independent Study. Students are encouraged to explore research projects with faculty. The initiative for these projects almost always begins with the student, who identifies a faculty member whose research is of interest, and who approaches the faculty member to discuss related research ideas. In some cases this may result in registering for an independent study with a faculty member, although most of the time this research is conducted without signing up for independent study. As of fall 2010, the university allows Ph.D. students to register for doctoral courses only during the first two years of study. Students should be careful that registering for an independent study does not preclude them from taking a course that is critical for their doctoral studies. In all cases, independent studies must be approved by the marketing Ph.D. coordinator and no more than one independent study may be taken in a quarter. For behavioral students the normal situation is to take four courses each quarter.

Progress Guidelines

The marketing faculty will evaluate course grades, the first year qualifying exam, the first-year research paper, the student's self-assessment statement, and feedback from faculty who have had the student in class and/or as a research or teaching assistant. Each of these elements is explained below. The Ph.D. coordinators will provide the students with a summary of this information. Students who have made satisfactory progress will advance to the second year of the doctoral program.

Grades. Per university rules, each student must maintain a minimum grade point average of 3.0 or "B" in graduate courses. In addition to the university rules and requirements on incomplete grades, the marketing department strongly discourages doctoral students from taking incomplete grades in their courses.

Qualifying Exam. The qualifying exam serves a dual purpose: (1) to assess the skills of the student and (2) to motivate the student to productively assemble and organize the wealth of knowledge accumulated throughout the Ph.D. program. The qualifying exam is administered by the marketing faculty during June of the first year. The marketing faculty provides feedback on student performance and in cases where performance is unsatisfactory students will be allowed to re-take part or all of the exam. All students must pass the exam to continue in the doctoral program.

First-Year Research Paper. To prepare for their first year research paper, students should identify research topics no later than winter or spring of their first year. Students may start their research at any time but are expected to spend most of the summer of their first year conducting research. For students who conduct experiments it is crucial to have finished data collection before the start of the summer.

Students must identify a faculty member who will supervise and approve their first-year research paper. After identifying a supervisor and topic, the student must create a one- to two-page proposal that is approved by the advisor.

A written paper must be submitted to the Ph.D. coordinators by August 31st. In addition, students are required to present a summary of their research paper to the faculty and Ph.D. students in early September of the second year. The marketing faculty will provide feedback on student performance. In cases where performance is unsatisfactory students may be allowed to re-write the first-year paper. In all cases, students must pass the first year paper to continue in the program.

Self-Assessment Statement. Each doctoral student is expected to provide a self-assessment and plans statement immediately after the end of the spring quarter. This document should discuss first-year accomplishments, shortcomings, and areas of interest (Appendix C).

Feedback from Faculty. In addition to the above information, faculty members are asked to submit their own assessment of doctoral students, based on their exposure to students during doctoral seminars and their interactions with students who have served as teaching assistants or research assistants.

Code of Conduct

Unlike undergraduate study, courses and exams are only one part of the Ph.D. program. The main goal of the program is to train excellent researchers. The marketing department expects its Ph.D. students to contribute to its collaborative and collegial culture and to take an active part in this community, learning not only in courses, but also informally from fellow students and faculty, be it in the hallway or in a research presentation. To maintain such a culture, physical presence and active participation in departmental activities are necessary. Thus, in our Ph.D. program we see it as crucial that students maintain a physical presence at the department and, even if on a given day they work at home or the library, if requested are always available for meetings during normal office hours and come to all research presentations. Moreover, there will be significant periods of time during which no course work is required; such times should be spent focusing intensely on research. In many ways the Ph.D. program is more similar to being an employee than to being an undergraduate student.

SECOND YEAR

Advice and Guidelines

Second-Year Advisors. By October of the second year, each student will select an advisor who will guide this student's progress throughout the year. The advisor will meet with the student before selection of winter and spring quarter courses and at any other time the student needs guidance or advice.

Marketing Seminar Series. As during their first year, students in the second year are expected to attend all seminars in the marketing workshop/seminar series and to take advantage of opportunities to interact with these visiting scholars.

Research and Teaching Assistantships. Throughout the second year, students should expect to be involved in research and teaching assistantships. The Ph.D. coordinators will schedule TA and RA assignments in August of each year. Each doctoral student should keep an accurate account of hours spent on TA and RA assignments. These numbers will be collected each quarter and allow the Ph.D. coordinators to equitably allocated TA and RA responsibilities among the doctoral students.

The marketing faculty have high expectations for TA and RA performance. Students should approach these positions in a professional manner. It is strongly recommended that each student schedule a meeting prior to TA and RA work to discuss faculty expectations.

Course Work

Similar to the first year, students are expected to register for four courses per quarter for fall, winter, and spring quarters. Taking fewer courses requires permission from the Ph.D. coordinator. Exceptions may be allowed for courses that require above-average workloads, such as some advanced courses offered by the economics department.

Marketing Courses. In their second year, each student is expected to take the three marketing Ph.D. courses that they did not take in their first year. Students who specialize in quantitative methods should take the behavioral courses; students who specialize in consumer behavior should take the quantitative methods courses. At the end of the second year, all marketing Ph.D. students should have completed the seven required Marketing courses.

Non-marketing Courses. Similar to their first year, students are expected to take advanced courses in their area of specialization. In addition, the marketing department and faculty affiliated with the marketing department offer advanced electives.

Progress Guidelines

The marketing faculty will evaluate course grades, the second-year research paper, the student's self-assessment statement (Appendix C), and feedback from faculty who have had the student in class and/or as a research or teaching assistant. The Ph.D. coordinators will provide the students with a summary of this information. Students who have made satisfactory progress will advance to the second year of the doctoral program.

Second-Year Research Paper. During the second year, students should begin to plan and implement their second-year research paper. This paper is to be submitted to the Ph.D.

coordinators on or before August 31st prior to the beginning of the student's third year in the program. The research paper should be a written piece of original research, such as an empirical or an analytical paper. The research may be done jointly with faculty; however, the student must make clear and significant contributions to all phases of the project. The aim is to create a paper that can be potentially published in a top research journal. In addition, students are required to present a summary of their research paper to the faculty and Ph.D. students in early September of the third year. The marketing faculty will provide feedback on student performance. In cases where performance is unsatisfactory students may be allowed to re-write the second-year paper. In all cases, students must pass the second year paper to continue in the program. The second-year paper may be a continuation of the first year paper, but must go substantially beyond.

THIRD YEAR AND THEREAFTER

Dissertation

After completing most of the coursework and the qualifying examination, a student should form a Dissertation Committee and begin formulating a dissertation proposal, in which he or she proposes a substantive piece of research, discusses its significance to the development of knowledge, and explains the research methods to be used and any preliminary results.

Students should notify marketing Ph.D. coordinator in writing when they form their Dissertation Committee. The committee is composed of at least four faculty members, no fewer than three of whom are on the Kellogg School faculty. At least one member of the committee must be from outside the student's program. The student will choose a chair or two co-chairs for the dissertation from this committee. The committee chair and at least one other member must be from The Graduate School faculty, and the chair and at least one other committee member are expected to hold appointments in the student's program to ensure that half of the committee members represent the student's program. From this point forward, the Dissertation Committee monitors progress and provides feedback.

Students must pass their dissertation proposal before the end of their third year so that they can be admitted into candidacy. The defense of the proposal should be announced to the marketing faculty and Ph.D. students at least two weeks in advance. The proposal should be defended before the substantial part of the dissertation research is conducted, otherwise its purpose as a proposal would be obsolete.

The deadline for handing in a written dissertation proposal and the final dissertation to the committee is at least 7 days before the scheduled defense, or longer, if the committee needs more time. Documents must be circulated to the entire dissertation committee and should be in their final draft form (e.g., including full discussion and references). This requirement is in addition to any university requirements.

Course Work

As of fall 2010, Northwestern University no longer allows Ph.D. students in third year and beyond to register for graduate courses. Hence, it is imperative that each student finish his or her required courses within the first two years of the Ph.D. program. Under special circumstances, permission of the Graduate School may be requested to register for a course in the third year and beyond. Students may audit graduate courses with the permission of the instructor.

Progress Guidelines

Self-Assessment Statement. Each student will submit a self-assessment and plans statement immediately after the end of the spring quarter.

RA and TA

Each student will continue to be involved in research and teaching assistantships.

Research Seminars

Students are also expected to continue to attend all seminars in the marketing workshop/seminar series and also meet with visiting speakers.

Summer Research and Summer Research Report

If a student has in the past conducted satisfactory research over the summer, summer support will be granted without the need to apply. As of their third year students are required to submit a brief report (about one page) describing the summer research activities they conducted. The student is expected to e-mail this report to the Ph.D. coordinator and to his or her advisor by September 20. If someone fails to meet expectations for summer research, then in subsequent years the student would have to apply by April 1st for summer support. Support would be allocated at the discretion of the Ph.D. coordinators and advisor, and if granted may be reduced.

AREAS OF SPECIALIZTION

Students are admitted to the program with the intention they pursue a Ph.D. in a particular area of specialization, such as quantitative, managerial, or behavioral marketing. If a student wishes to change his or her area, the student must still pass course requirements, qualifying exams, and summer research papers in that area. If a student is uncertain about his or her area, we recommend resolution of this issue by the end of the fall quarter in Year One.

If a student changes specializations and because of that has not taken a course covered on the qualifying exam, a portion of the exam may be delayed until the course (or its substitute) has been completed.

APPENDIX A

FINANCIAL SUPPORT

Stipend

All Ph.D. students receive a standard 12-month stipend from Kellogg (in addition to their scholarship) as part of their acceptance to the program. The stipend is awarded during the first year and renewed each year (years 1-5), contingent upon satisfactory academic performance.

Research and academic support

The Marketing Department strives to provide Ph.D. students with the resources necessary for a successful academic career. Each Ph.D. student is provided with a workspace, a personal computer with office software and access to the university mainframe, including all major statistical packages, library access, online academic journal access and e-mail. Throughout the Ph.D. program we encourage students to attend conferences.

The department provides each student a budget for research and academic expenses such as textbooks, research software, conference expenses, etc. Student budgets are determined on an annual basis by the marketing department, and are listed in a separate guidelines statement. Requests for reimbursement must be submitted with original receipts to the departmental assistant within 90 days of incurring the expense.

Additional Work

As a general guideline, Ph.D. students are discouraged from performing extra work beyond the assigned TA/RA responsibilities. Research support is generous and is designed to provide Ph.D. students with sufficient financial resources. A limited amount of extra work for grading, Dean’s Office surveys, etc. is acceptable, provided that it does not interfere with research progress.

Extra work such as consulting and non-Kellogg activities are strongly discouraged and may impact both future funding and status in the Ph.D. program.

You must receive approval of the Ph.D. coordinators BEFORE engaging in additional work.

In all cases, hours of extra work must be reported to the Ph.D. coordinators and they will evaluate whether this work is affecting progress in the Ph.D. program.

APPENDIX B

THE QUALIFYING EXAM

Content of the qualifying exam

The purpose of the qualifying exam is to test general competence in a variety of areas and specific depth in a few areas. There are four overlapping areas in which competence must be demonstrated; knowledge relevant to these areas will be presented in the marketing doctoral seminars.

1. Marketing Strategy
   Students are expected to master the literature in marketing strategy. The focus will be on foundational concepts, frameworks, findings, and models. This includes knowledge published in journals such as the *Journal of Marketing, Journal of Marketing Research, Marketing Science*, and related articles in strategy, organizational, and economics journals.
2. Research Methodology
   Competence in research methodology involves the ability to critique, design, and implement research projects. Relevant issues include sampling, experimental design, and the assessment of threats to validity. Knowledge includes articles in the journals listed above, as well as relevant readings in psychological and statistical journals.
3. Consumer Behavior
   Students are expected to have a good understanding of research and theories in consumer behavior. The are goes beyond purchase decisions, involving subjects, such as, motivation, attitudes, or memory. Required knowledge includes current and classic articles in the *Journal of Consumer Research*, the *Journal of Consumer Psychology*, the *Journal of Personality and Social Psychology,* the *Journal of Marketing Research*, and other related articles in the psychological literature.
4. Quantitative Modeling
   Quantitative modeling involves the various empirical and theoretical analytic models that are used to interpret research data or to make managerial decisions. Such models include econometric models, optimization models for managerial decision making, and more elaborate choice and scaling models. This includes articles published in journals such as the *Journal of Marketing Research, Marketing Science*, *Management Science, QME,* and related articles in economics and statistics journals.

Examination procedure

The exam will normally take place over two days. The marketing Ph.D. coordinators will be responsible for both the timing of the exam and the selection of faculty to write exam questions. In the past the exam has taken place at the end of June. Historically, faculty who teach in the Marketing Ph.D. courses have been chosen to write exam questions. The format of the questions is not constrained and may include open-book, closed-book and oral questions.

The Ph.D. coordinators will provide students with an evaluation of their performance. Each student must pass the exam to continue in the marketing Ph.D. program.

APPENDIX C

SELF-ASSESSMENT STATEMENT

1. Course work
   [List all courses as follows: quarter, course number, instructor, department]

2. RA/TA work
   [For each assignment provide dates, faculty names, and your role]

3. Other research projects
   [Provide a brief description of the research project, identify collaborators, and indicate status of the project]

4. Summarize your research interests.

5. Discuss your activities, accomplishments and shortcomings during the ongoing academic year.
   [Please describe noteworthy outcomes in your coursework, your RA/TA activities, and your research projects. List any papers written, submitted, or published, as well as conference attendance and/or talks given. What do you think you have learned? What could you have done better? Make clear what work you have accomplished this year (i.e., do not mention work from previous years here).]

6. What are your plans and expectations for the second/third year?
   [How has the first year prepared you for the second/third year? What courses are you planning to take? What research projects are you planning to initiate/continue/discontinue?]

7. Any other issues that you may want to discuss.

8. If you are in your first or second year, please append a two-page proposal for your First-Year/Second Year paper. You are encouraged to get feedback on the proposal from one or more faculty members or your advisors before submission.

APPENDIX D
PH.D. PROGRAM GUIDELINES

Updated: 9-2010

Courses Offered

The following seven courses (covering the 3 areas of consumer behavior, quantitative modeling, and strategy) are required for all Ph.D. students in marketing.

1) **Consumer Behavior**

MKTG 540-0: Angela Lee and Alex Chernev
Consumer Behavior: Information Processing and Decision Making

This objectives of this course are twofold. First to introduce topics in consumer behavior, familiarize students with research in psychology and marketing related to consumer behavior, and provide an understanding of how theories and frameworks are developed. Students will focus on understanding current theoretical and methodological approaches to various aspects of consumer behavior, as well as advancing this knowledge by developing testable hypotheses and theoretical perspectives that build on the current knowledge base. Secondly to provide selective coverage of the research carried out in the area of consumer decision making. In addition to analyzing extant research, the course will cover some methodological issues that are essential for students to be successful in the field of consumer research.

MKTG 541-0: Miguel Brendl
Psychological Theory in Consumer Behavior

This course builds a bridge from social and cognitive psychology to consumer behavior research. The objectives are to give an integrated overview of key psychological principles, which lays the foundations for understanding advanced readings and for developing consumer research out of psychological theory, and learn about the nature of theory construction and theory testing by means of experiments. The course will move from classic psychology readings to cover more recent consumer behavior readings and the type of research questions studied in consumer research. Topics covered include perception, judgment, memory, attitudes, choice, always with an eye for how these mental functions influence preferences.

MKTG 542-0: Kent Grayson and Bobby Calder
Research Philosophies in Marketing and Consumer Behavior

This course will enhance students' ability to understand the philosophical assumptions underlying research methods in marketing and consumer behavior. The first half of the course focuses on consumer behavior from a methodological perspective with the focus being on the broader, more fundamental issues of what should be the goal of consumer research, and what good theory looks like, and how research can be applied. The second half of the course focuses on a particular research tradition in marketing and consumer behavior that will not only to introduce students to an important research tradition in marketing, but also to do so using the analytic frameworks offered during the first half of the course.

Quantitative Modeling

MKTG 550-0: Anne Coughlan
Marketing Models: Analytic Modeling

This course covers the topic of modeling in marketing. Journal articles on analytic economics-based modeling, and field experimental modeling, of a variety of marketing problems will be assigned. The articles will be discussed it terms of their major modeling characteristics and structure, their assumptions and findings, and their impact on the literature in their fields.

MKTG 551-0: Eric Anderson
Marketing Models: Quantitative Modeling

This course will introduce students to the quantitative models that have been used to understand consumer behavior. This course has two main themes: pricing/promotion and causal inference. This is a survey course and is designed to introduce students to these literatures. The 10 week course is divided into two sections: 6 weeks of material on substantive issues in pricing/promotion; 4 weeks of material on methods of causal inference. Readings are multidisciplinary and include topics from marketing, psychology, microeconomics, operations management, and macroeconomics.

MKTG 552-0: Lakshman Krishnamurthi
Marketing Models: Multivariate Statistics

This is a survey course on a number of multivariate analysis procedures such as discriminant analysis, analysis of variance, factor analysis, MDS, conjoint analysis, choice models, etc. Key formulae are derived from first principles. The requirements consist of six to seven individual assignments and a closed book in-class final exam.

2) Strategy

MKTG 560-0: Gregory Carpenter
Marketing Strategy

The seminar covers topics in marketing strategy and marketing management, including the development of marketing, the concept of marketing, the impact of marketing strategy on firm performance, order of entry and competitive advantage, branding, and market orientation. The focus is on major advances in each area, relevant research in related disciplines, and current areas of interest.

3) Advanced Marketing Electives

MKTG 476-0: Introduction to Applied Econometrics I (Qian)
MECS 477-0: Introduction to Applied Econometrics II (Yao)
MKTG 530-1: Special Topics in Marketing: Problems and Solutions in Applied Data Analyses (Bockenholt)
MKTG 530-2: Special Topics in Marketing: Judgment, Emotion, and Consumer Choice (Roese)
MKTG 530-3: Special Topics in Marketing: Topics in Quantitative Marketing and Economics

(Nevo)
PSYCH-489-0: Topics in Social Psychology: Social Identity (Bodenhausen)

Professional Budget

1st year students: $1500
2nd year students: $1750
3rd -5th year students: $2000

This is your total budget for research and conference expenses. All expenses should be drawn from this rather than involve separate requests for funding. Funds roll over from year to year. Sixth-year students who have funds left over may use them, but will not receive additional funds. Funds are for all professional expenses (e.g., conference registration fees, international conferences, software, books, data collection). If you are selected to represent the department at a by-invitation doctoral symposium, the department will bear the expense in the absence of other external funding.

Computers

Each new Ph.D. student will receive one new computer through the Kellogg laptop program. The computer will be provided when students begin the program.

Teaching and Research Assistantships

For students in their 2nd through 5th year, the TA/RA obligation is 10 hours / week for each of the three quarters. Note that this amount is subject to change, e.g., it could in future years include the summer.