

PH.D. PROGRAM GUIDELINES

Kellogg's Management and Organizations faculty has long been considered one of the top research departments in the world. Its faculty members are known both for the breadth of topics they pursue, as well as their in-depth, ground-breaking research on these topics. Specific areas of strength include: e.g., corporate governance, decision making, negotiations, networks and alliances, strategic adaptation and change, stereotyping and diversity, and team and group processes. The department's PhD program is highly regarded because it produces the faculty of the future who are teaching at the best business schools around the world and producing research published in top journals. Doctoral students are expected to continue this tradition of scholarship.

The Management and Organizations PhD program centers on research, with emphasis on the interplay between theory development and empirical research. The program is designed to develop the theoretical knowledge and methodological skills necessary for students to become successful (published) productive researchers. Students are expected to engage actively in research projects throughout their entire graduate program.

The hallmark of the Management and Organizations PhD program is a first year program that provides a broad theoretical background in the disciplines of psychology and sociology that underlie the theory of individuals, groups, organizations and their environments. Students complement this theoretical training by becoming actively involved in research.

This document provides guidelines for the Management and Organizations doctoral program and addresses two key aspects of the program: student guidance and performance standards. These key aspects are addressed in more detail in the following sections.

FIRST YEAR

ADVICE AND GUIDANCE

First-Year Advisor. First-year students are supervised by the PhD coordinator and a professor that students choose to work with on research (although students may be working with more than one faculty, and are encouraged to do so). The PhD coordinator assists students in selecting courses for the first year and also provides guidance to students regarding involvement in research and other matters as appropriate throughout the first year. Finally, the PhD coordinator provides the department's feedback to all students at the end of the first year. The students' research advisors introduce them to the research skills required for success in the field.

GRS Seminar Series. All PhD students (including first-year students) are expected to attend all the GRS seminars. In these seminars, second- and third-year students present 30 minute talks in the Fall and or Spring quarters. At these talks, students present research they conducted during the first and second years. Typically these talks are used as preparation for conference presentations. The GRS talks are informal and an important learning experience for the presenters and those who will be presenting in future years.

Department and Center Speaker Series. The department, DRRC (Dispute Resolution Research Center), KTAG (Kellogg Teams and Groups Center), and the CSD (Center on the Science of Diversity) invite eminent scholars to campus to present their research. First-year PhD students

setting by signing up for the traditional lunch reserved for PhD students and visiting faculty.

Teaching Assistantships. There are many opportunities for advanced PhD students to provide support to faculty in the MBA classroom and at executive programs at the Allen Center. However, this is not an activity for first year students. In the event that a first year student or a professor would like to consider having a first year student do a teaching assistantship, approval must be granted from the PhD Coordinator.

PROGRESS AND GUIDELINES

All PhD students provide the faculty with an annual activity report in April of each year. This report format is located in Appendix D. The departmental faculty as a whole reviews the progress of each student. Either the PhD coordinator or another faculty member will provide written feedback to students. Additional oral feedback may be requested by students or faculty. This is the major mechanism for feedback on performance throughout the program. The goal of the feedback is developmental, to communicate the faculty's view of what the student is excelling at and where the student needs to place more effort. Discussions often result in specific plans for students to improve any areas of weakness.

An additional review of all first year students is conducted by the faculty in the fall of their second year after grading summer prelim exams. Written feedback from this review is also provided, typically by the PhD coordinator with additional oral input from faculty advisors.

Students are expected to maintain a cumulative grade point average of "B" or better by the end of the first year and throughout the rest of the program.

PRELIMS

Management and Organizations students take their preliminary exams in the summer between their first and second years. The format for the prelim exam is in appendix B. Prelim exams cover material in the four Management and Organizations PhD core courses and questions are written by those faculty. Each prelim question is graded by the question writer and at least two other faculty members. The grading process of preliminary examinations is blind, meaning faculty are not aware of the authors of the questions. Once the grading is done, the faculty as a whole meets to review the prelim performance. This step continues to be blind as to which student wrote which answer. Performance can be High Pass, Pass, Low Pass, and Fail. At this point students are identified. The options for those receiving Low Pass and or Fail marks on prelim questions include rewriting that question, or rewriting another question. Students failing one or more prelim questions may be given options to make up the work, which may include a remedial study plan. Students who receive a preponderance of Low Pass and Fail grades may be asked to retake the whole prelim exam. The options are selected by the faculty as a whole depending on the overall performance of the student, the evidence of remedial need, and the faculty's evaluation of the likelihood that deficiencies will be overcome. Remedial work is reviewed by the faculty as a whole and the student is either invited to continue in the program, or may be requested to leave the program due to poor performance.

SECOND YEAR

ADVICE AND GUIDELINES

Second-Year Advisors. The PhD coordinator remains the advisor for second-year students in terms of taking courses and fulfilling university and departmental requirements. By the beginning of the second year, PhD students should have developed research relationships with one or more faculty members who serve as research and professional development advisors.

GRS Seminar Series. As in their first year, students in the second year are expected to attend all GRS seminars. Second-year students are expected to present a 30 minute report of the research in which they engaged during the first year.

Teaching Assistantships. Throughout the second year, students may become involved in supporting faculty in the MBA classroom. Students should be spending no more than 10 hours a week in this activity. Identifying assistantship opportunities requires student initiative in linking up with faculty who are teaching a course in an area the student would like to learn about.

PROGRESS GUIDELINES

As in the first year, all PhD students provide the faculty with an annual activity report in April. Please see progress guidelines for first year for details about this process and feedback.

Candidacy Paper. During the second year, students are expected to develop their own research project under the guidance of their faculty research advisor. This project must be evaluated and accepted by 2 department faculty in addition to the student's primary research advisor. The deadline for completing the project is end of fall of the third year (~December 15). The project is the focus of third-year students' GRS presentations during the fall quarter.

THIRD YEAR AND THEREAFTER

PhD students continue to be involved in research and teaching assistantships at a level of at least 10 hours per week, on average in their third year. Students are also expected to continue to attend all seminars and meet with visiting speakers. However, the major activity for the third and into the fourth year is the completion of the Candidacy paper and preparation of a dissertation proposal.

CANDIDACY

To enter into candidacy, a Management and Organizations PhD student needs to have completed all course work, maintained a B average, passed the prelim exam, presented research in the 2nd and 3rd year, and completed a candidacy paper.

Candidacy Paper (formerly called the Summer Paper). The Candidacy is due at the end of fall of the third year (~December 15). The paper must be COMPLETELY SIGNED OFF by the Chair of the Candidacy Paper Committee and 2 readers from the department by the end of the Winter Quarter (~March 15). If the final deadline for admission to candidacy is not met students will face a probationary period and will no longer be in good standing in the department or at the Kellogg School. Funding can be cut and any additional tuition cost incurred because you are not in candidacy may need to be reimbursed by the student to the school. Upon completion of the Candidacy Paper, assuming the student is in good standing on all other

requirements and coursework, the student will then be admitted to candidacy. This means that students should be in candidacy no later than end of Winter quarter of their 3rd year in the program. It must be done before the beginning of the fourth year. This deadline is fixed by Kellogg and the Graduate School and must be met to ensure funding. These deadlines are not negotiable.

DISSERTATION PROPOSAL

Important dates and milestones. The next biggest milestone for PhD students is completion of the dissertation proposal. Students should be working on their dissertation proposals during the 3rd and 4th year of the program. Students must defend their dissertation proposals by the end of Spring quarter of the 4th year (~June 1). Students who do not have their dissertation proposals defended by end of Spring quarter 4th year will face a probationary period and funding can be cut.

To facilitate the meeting of this deadline, students are strongly advised to adhere to the following set of milestones to ensure having the dissertation proposal defended by ~June 1 at end of 4th year. Given the pattern of summer conferences and faculty availability students should consider the following recommendations:

- *3rd year March* - No later than 3rd year beginning of Spring quarter identify dissertation chair and choose dissertation topic. A timeline for completing the dissertation should be developed. The Annual Activity Reports, due 1st week of April, will require a title, dissertation chair, and one paragraph description of your current thoughts about the dissertation.
 - *3rd year June* – By end of Spring quarter students should submit at least 5 pages to be shared with the dissertation chair regarding progress on the dissertation made over the quarter. This should be accompanied by a plan for progress over the summer.
 - *4th year September* – At beginning of Fall quarter students should submit at least 20 pages to be shared with the dissertation chair and a committee should be identified if it has not yet been determined. The dissertation committee must be approved by the Associate Dean of Academics (submit to Susan Jackman for processing). The 20-page proposal draft should be shared with the dissertation committee for review and suggestions.
 - *4th year December* – By end of Fall quarter students should submit well-developed full draft of the dissertation proposal to the committee (~ December 15). This will give you one full quarter to get feedback from your faculty advisors and make adjustments to the proposal.
 - *4th year March* – By end of Winter quarter the dissertation proposal defense should be done (~March 15).
 - *4th year June* – FINAL DEADLINE. Dissertation proposal must be defended by end of Spring quarter (~June 1).
- Please note that these milestones are a starting place and identify minimum deadlines for moving your dissertation along. No matter how the dissertation proposal progresses, you must defend your dissertation proposal by June of your 4th year.

- If these milestones are met, students should then be able to use the Spring and Summer of the 4th year collecting data/analyzing/writing in preparation for the August Academy of Management Meetings (August of 5th year). You should be able to say that you defended your dissertation proposal months ago and that you have great data in hand.
- In addition, considering these milestones should give you some confidence that you will be ready to be on the job market - which means having job packets going out with a very well-crafted dissertation proposal and a research talk ready to go for ~October 15 of 5th year (some deadlines are earlier and some later). Also, reaching these milestones should put you in a good position to submit your dissertation proposal for awards and fellowships.

All of these suggestions should be discussed thoroughly with your faculty advisor and a set of deadlines should be agreed upon to ensure completion of the dissertation proposal on time. Regardless of whether you are going on the job market in your 5th year, all dissertation proposals must be defended no later than end of Spring of the 4th year (~June 1).

Choosing an advisor and dissertation committee members. Most students choose a faculty member with whom they have already been doing research. However, there is no requirement that a student work with a single faculty member throughout the PhD program. Indeed the expectation is just the opposite. By encouraging students to develop research relationships with multiple faculty members during the first couple of years in the program, the student should have no trouble forming a dissertation committee. The committee is composed of at least four faculty members, no fewer than three of whom are on the Kellogg faculty (normally three from the department). At least one member of the committee must be from outside the student's program. 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. Usually one member of the committee represents the student's minor field. All faculty members who hold tenure or tenure-line appointments at the University will be automatically, annually, appointed to the Graduate Faculty.

These are the criteria for choosing a committee member from outside of the department/program:

1. a faculty member from outside the department/program or outside of the Kellogg school, but within Northwestern University;
2. a faculty member from outside Northwestern who has a permanent appointment at another university and who supervises doctoral students as they complete their dissertations.

Please note that a faculty member with a joint appointment spanning two Kellogg departments, one of which is within the student's own program, cannot be used as someone from outside the student's program.

All dissertation committees must be approved by the Associate Dean of Academics. Please submit your dissertation committee for approval to Susan Jackman as soon as it is decided (~Fall of 4th year)

The dissertation proposal defense. This meeting with the dissertation committee is open to the Northwestern academic community. Students may and should attend other students' proposal defenses. The purpose of the dissertation proposal defense is to present a well worked out

dissertation plan to the committee. At a minimum, a candidate should provide the committee with a dissertation proposal, which will detail the research question, why this question is theoretically and practically important, how the student intends to investigate the question, and what results theory predicts the student should get. This format can be adapted to the particular research the student is proposing, in consultation with the dissertation advisor. It is advised that the student have a set of hypotheses grounded in theory to propose to the committee. It is appropriate to have as many meetings with the committee before the formal proposal defense as the student, advisor, and committee members see as necessary. The dissertation proposal defense is an opportunity for the candidate to receive input on their ideas from a group of faculty all working together. Dissertation proposals should be well advanced when the defense occurs but a candidate, dissertation advisor, or committee can decide to have subsequent committee meetings with the candidate after the defense.

When you are ready to defend your dissertation proposal you should contact Susan Jackman (s-jackman@kellogg.northwestern.edu). She will help you with the paperwork process. **Please contact her at least two (2) weeks before the date of your scheduled proposal with the following information:**

1. Scheduled date, time, and room number for your proposal
2. Title of proposal
3. List of committee members, noting who your chair is.

TEACHING IN THE SUMMER OF THE FOURTH YEAR

There are opportunities to teach the Negotiations course MORS 470 usually in the summer between 4th and 5th year, or during the fifth year. To be eligible for teaching students must intern in the Negotiations (MORS 470) course with one of the full-time faculty members, and attend the annual teaching workshop for new Negotiations teachers. A memo is sent to PhD students each February asking about interest in teaching 470. Assignments are based on a seniority system that is in Appendix E.

APPENDIX A

FINANCIAL SUPPORT

Stipend

Starting for Academic school year 2008-2009 all Ph.D. students receive a standard 12-month stipend from Kellogg (in addition to their tuition scholarship and health care) 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. Fifth year financial aid for students enrolled prior to Fall 2008 and for the 6th year is described in Appendix F.

Research and academic support

The Management and Organizations department strives to provide PhD students with the resources necessary for a successful academic career. Each PhD student is provided a carrel, with high speed internet access. Students also have access to department computers which have a variety of statistical software packages. Most students have their own laptop computer. PhD students can participate in Kellogg's MBA laptop computer program, and take advantage of the negotiated volume rates. The department provides additional financial support for miscellaneous research and academic expenses such as: conference expenses and research expenses. The DRRC has research funds and also sends many students annually to the International Association for Conflict Management Conference. All students are encouraged to participate and present their research at academic conferences. For students who are presenting (or are co-authors on a paper being presented), the department will provide some financial support, the amount varies by year and location of the conference.

APPENDIX B

THE PRELIMINARY EXAM

Content of the preliminary exam: The MORS prelim consists of five questions – two Micro, two Macro, and one Meso question - answered over the course of two days. The Macro and Meso questions are answered on the longer of the two days, as students in the Joint MORS and Sociology doctoral program do not answer the Micro questions. The prelims occur in the summer following the first year during the week before the Academy of Management Conference. The students taking the examination will collectively decide on which days the prelims will occur (e.g., Tuesday and Wednesday, or Monday and Wednesday), and the order of the days (whether the Micro day, or the Macro/Meso day, is first). The page limit for each answer is 4-7 pages (double spaced). The Macro/Meso day runs from 9a to 9p. The Micro runs from 9a to 5p. Each student may take two 45-minute breaks on each day. The examination is generally taken in the small group rooms of the Mors Behavioral Laboratory.

By the deadline at the end of each prelim day, the answers must be emailed to the designated department assistant. Faculty will be available to answer questions about the prelim format and preparation in the weeks before the exam.

Prelim questions are developed by the instructors of the core doctoral classes, who also are among the department faculty grading them.

Faculty grading the exam will know what topics and readings were assigned in the core doctoral classes. Students are expected to be knowledgeable about these. Each faculty member grading a question will assign a grade of High Pass, Pass, Low Pass, or Fail. The exams are graded blindly. The multiple grades are accumulated blindly and presented to the faculty at a meeting.

Questions receiving grades of pass and high pass fulfill the requirements for the prelims. Questions receiving one or more failing grades, particularly in a context of other low pass grades, receive particular attention. In this situation the faculty is likely to ask the student to rewrite the question within a stated time frame for reevaluation. Students being asked to rewrite will be told the nature of the problem in the initial response.

Feedback will be provided along with the results of the prelim exam during the fall quarter.

APPENDIX C
Management and Organizations PhD Program
Summer Paper

Title:

Author:

Date Completed:

Chair:

Department Faculty 2

Department Faculty 3

**Appendix D
ANNUAL REPORT
(Due in April annually)**

**MORS PH.D. STUDENT ACTIVITY REPORT
Academic Year**

	Please Enter Responses Here
Name:	
Year of Entry:	
Advisor Name:	
Joint program? (please enter YES or NO):	
In Candidacy (please enter YES or NO):	
On job market for 2008-2009? (please enter YES, NO or MAYBE)	

I have attended the following Academy Doctoral Consortium:

Consortia	Year

I would like to attend the following Academy Doctoral Consortia in rank order please:

1.
2.
3.
4.

List all completed and upcoming research presentations at conferences, symposia or seminars at other institutions for the period April 07 through December 08. Please include all job talks in this list, upcoming summer conference talks, etc.

Date	Location/Conference	Title of Talk/Paper

Ph.D. Program Guidelines

Please indicate any and all job offers you have received and where you plan to be next year if graduating:

Job offer from:	Taken?

I. Research activity (4th, 5th, and 6th year students should attach a vita)

A. Dissertation status (4th, 5th, and 6th year students)

Names of all Committee members	Dept/University Affiliation (e.g., MORS, MEDS, Psych NWU, Soc Stanford)	Topic/Title
Chair:		

Describe the current status of your dissertation and what you want to accomplish in the next academic year. (an abstract will be sufficient)

B. Candidacy paper status (2nd and 3rd year students)

Names of all Committee members	Topic/Title
Chair:	
Signed off date (enter in box under Title):	
For current 2nd years: Are you on target for completing first draft ~Dec 15 3rd year, ~March 15 of 3rd year complete sign off? (1= not at all to 7 = definitely)	

C. List all the collaborations/projects that you are currently involved in. (It is a questionable practice to list projects in progress on your vita as working papers. If you list a working paper on your vita you should be able to produce it on request. You may wish to have a section of your vita that lists projects in progress and if you do, you may refer us to it here.)

Professor	Other PhD or post Docs	Description/Title

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- D. Provide a complete bibliographic reference for each work published or unconditionally accepted for publication. (If you have a vita attach it and ref us to it.)

- E. List works currently under review, indicating the journal and current status of the paper. (If you have a vita attach it and refer us to it.)

- F. List all grants applied for including title of proposal, funding agency, co-investigators, amounts, dates, and disposition status for the period April 07 through the present.

- G. List all current scholarly activity, recognitions, professional offices, awards for the period April 07 through the present (e.g., teaching awards, journal reviewing, positions in various scholarly societies, doctoral consortium attendance, etc.).

Date	Activity	Description

II. Coursework

- A. All 1st, 2nd, and 3rd year students should complete the attached PHD Coursework Requirements Form. If you have been in candidacy since June 07, no need to do this.

- B. Incompletes:

Course	Quarter/Year	Professor	Plan to complete work

- C. Please list any Statistics courses, workshops, consortia, or webcasts (CARMA) that you have attended from September 06 to the present.

Date	Name and/or Location	Title/Topic(s) Covered

III. Teaching, Internship and Course Assistant Activity

- A. Courses taught, or scheduled to be taught (indicate which school/department)

Ph.D. Program Guidelines

Course	Year	Quarter	# of students	Rating Learning	Rating overall	Rating Professor	% A grades

- B. Courses in which you have served as a teaching assistant, grader, organizer or intern. Please include all work completed in all Kellogg affiliated and non-Kellogg affiliated programs including EMP or other programs at the Allen Center, the TMP and Full time MBA programs, TeamBank, Orientation Activities, etc. from September 06 to the present.

Date(s)	Program/Location	Professor	Describe Extent of Involvement

- C. Please indicate the approximate number of hours per quarter that you have spent or plan to spend on TA or teaching related work. Please include information for when you are teaching your own courses as well.

Quarter	Approximate number of hours	Quarter	Approximate number of hours
Fall 2006-2007		Fall 2007-2008	
Winter 2006-2007		Winter 2007-2008	
Spring 2006-2007		Spring 2007-2008	
Summer 2006-2007		Summer 2007-2008	

IV. Service, 2007-2008 Academic Year

A. List all committee memberships and administrative assignments. Describe the extent of your involvement.

B. Other service activities. (e.g. organizing seminars, hosting prospective doctoral students, etc.)

IV. Other Activities, April 2007 through the present.

A. Other activities not listed above that, in your opinion, add value to your educational experience. Here you should include any work on things like course development, Kellogg INSITE writing, etc. Please include both things internal and external to the department and Kellogg

APPENDIX E

MORS 470 Assignment System

We give 5th year students priority to teach given they have met internship and teaching workshop requirements. 4th year students who were going on the market in the 4th year will be given priority for the summer before their 4th year. Sixth year students who are delayed but in good standing may be slotted.

APPENDIX F

5th & 6th-Year Funding Packages for PhD Students April 1, 2008

Note: This 5th year policy applies only to students enrolled prior to the 2008-2009 academic year.

Funding Policy for Non-Teaching 5th-Year Students

Effective for the 2008-2009 academic year, the Dean's Office will fund fifth-year students' tuition and health insurance costs. For fifth-year students who are not teaching, the Dean's Office will match a departmentally funded stipend up to a cap of \$9,000 with a research or teaching assistance appointment. That appointment will include a work requirement of approximately 10 hours of work per week during the fall, winter, and spring quarters. The overall goal will be total funding of approximately \$18,000 and some work required for all fifth-year students.

Funding Policy for Teaching 5th-Year Students

Effective for the 2008-2009 academic year, the Dean's Office will fund fifth-year students' tuition and health insurance costs. For fifth-year students who are teaching, the goal is to provide \$25,000 in stipend/salary money. The Dean's Office will provide:

- \$8,500 in teaching salary
- \$8,250 in fellowship (which includes a \$2,500 teaching supplement) that carries no work requirement.

The additional \$8,250 funding from the Dean's Office is to be matched by department funds in the amount of \$8,250 (\$5,750 in general support and an extra \$2,500 teaching bonus), which carries no work requirement.

Funding Policy for Sixth-Year Students

Effective for the 2008-2009 academic year, the Dean's Office will provide health insurance coverage for all sixth-year students if they have no other insurance coverage. The Dean's Office will not provide any other funding for sixth-year students unless they are hired to teach. If they teach, their tuition and health insurance will be covered as part of their teaching package. They will also receive an \$8,500 salary. It is the department's choice to provide tuition coverage, which can be processed through the PhD Office if an account number is provided.



Management and Organizations Department
Independent Study Form

Please complete this form and turn in to PhD Coordinator by 1st Friday of the quarter for each Independent Study enrolled in.

Name: _____

Quarter: _____

Professor taking the Independent Study with: _____

Work to be completed for the Independent Study:

Signed by:

Date:

MORS Student

MORS Faculty member

Approved by PhD Coordinator: _____