

## **Ph.D. PROGRAM GUIDELINES**

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 expects 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 their tenure in the program, including financial support (see Appendix A), the timeline for coursework and exams for 1<sup>st</sup> and 2<sup>nd</sup> year students, as well as expectations for students in their 3<sup>rd</sup> year and beyond when they are actively working on their dissertation.

## **EXPECTATIONS IN THE PROGRAM**

The main goal of the Ph.D. 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. Students are expected at all times to be intellectually curious, cordial and supportive to fellow students, and engage in scholarly activities with integrity. To maintain such a culture, physical presence and active participation in departmental activities are necessary.

### **Physical Presence**

It is important for students to recognize that being in the Ph.D. program is a full-time job. Ph.D. students are like employees in terms of their responsibilities and commitment, and it is crucial that students maintain a physical presence at the department. On days when students choose to work at home or in the library, they are expected to be available for meetings with faculty during normal office hours.

Each year the Marketing Department invites eminent scholars from peer research institutions to present their research at seminars. Students are expected to attend all seminars, even if the topic is not related to their own research interests. By attending these seminars, students gain important general skills and an understanding of the communication norms that are critical for improving their own research presentations. 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.

Students wishing to leave town for three days or more must submit their travel plans in writing to the Ph.D. coordinators for approval, preferably one week in advance.

### **Research and Teaching Assistantships**

A critical part of the doctoral program is forming relationships with faculty members and learning about research and teaching processes. Throughout their tenure in the Ph.D. program, students are involved in research and teaching assistantships. The Ph.D. coordinators will schedule TA and RA assignments before the start of the academic year. First and fourth year students are not required to work as teaching or research assistants.

The faculty has high expectations for TA and RA performance. Students should approach their assignments in a professional manner. It is strongly recommended that students schedule a meeting with their assigned faculty prior to TA and RA work to discuss faculty expectations. Students are to keep an accurate account of the hours spent on TA and RA assignments each week. This reporting is needed to facilitate payment of funds to the students, and also allows the Ph.D. coordinators to equitably allocate TA and RA responsibilities among the doctoral students.

### **Self-Assessment Statement**

Each student is expected to provide a self-assessment statement at the end of the spring quarter. This document should describe courses taken or audited (if applicable), TA/RA responsibilities, research activities, accomplishments and shortcomings. A template is provided in Appendix C.

### **Annual Feedback**

The marketing faculty will evaluate individual students each year based on inputs from various sources such as coursework, the qualifying exam, summer research paper (see below), students' self-assessment statement, and feedback from faculty who have had the particular student in class and/or as a research or teaching assistant. The Ph.D. coordinators will provide students with a summary of this information. Students who have made satisfactory progress will advance to the next stage of the doctoral program.

### **General Advising**

Ph.D. coordinators provide guidance to students relating to their development as strong scholars. They assist students in course selection and provide feedback to students on their performance throughout the year. They can also provide advice on other matters related to the doctoral program.

### **COURSEWORK**

The marketing Ph.D. coordinator will advise students on course selection. 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 granted for courses that require above-average workloads, such as some advanced courses offered by the economics department. The norm for behavioral students is to take four regular courses each quarter.

As of fall 2010, Northwestern University no longer allows Ph.D. students in their third year and beyond to register for graduate courses. Hence, it is imperative that students finish their required coursework in 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. However, students may audit graduate courses with the permission of the instructor.

### **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 the fall quarter 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.

Students in their second year are expected to take the three marketing Ph.D. courses that they did not take in the 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.

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

### **Independent Study**

In rare cases first year students may sign up for an independent study with a faculty member as one of the four courses. As of fall 2010, the university allows Ph.D. students to register for doctoral courses only during the first two years of study. Thus, 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.

### **Grades**

According to Northwestern University Graduate School (TGS) guidelines, each student must maintain a minimum grade point average of 3.0 or “B” in graduate courses. The marketing department requires that each student maintain a minimum grade point average of 3.35. 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. Students who specialize in quantitative marketing are also expected to take the qualifying exam in microeconomics and econometrics. The marketing faculty provides feedback on student performance and in cases where performance is unsatisfactory students may be allowed to re-take part or the entire exam. All students must pass the exam to continue in the doctoral program.

## **FIRST AND SECOND YEAR RESEARCH PAPER**

First and second year students are required to submit a research paper to the Ph.D. coordinators after the first or second year by August 31. In addition, students are required to present a summary of their research to the faculty and Ph.D. students in early September. Students must pass the research paper requirement to continue in the program. In some cases, students who fail this requirement may be allowed to revise and resubmit the paper.

Students must identify a faculty member who will supervise their research paper. After identifying a topic and the advisor, the student must submit a one- to two-page proposal to be approved by the advisor. 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 potentially be published in a top research journal.

Students may start on their research paper at any time but are expected to spend most of the summer of their first year conducting research. Behavioral students are strongly encouraged to complete data collection before the start of the summer. We recommend that first year students develop a proposal by the beginning of the winter quarter.

Students are admitted into PhD candidacy upon successful demonstration of their proficiency in the program which includes passing the preliminary exam and completing the 2<sup>nd</sup> year research paper.

Students who have completed the first two years of doctoral coursework requirements with a 3.35 grade point average, achieved an "MS Pass" on the department's written qualifying examination and successfully fulfilled the 1st and 2nd year summer paper requirements are eligible to receive the MS degree.

### **DISSERTATION**

After passing the qualifying examination and completing most of the coursework, 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 the marketing Ph.D. coordinators 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 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. The defense of the proposal should be announced by the chair(s) of the Dissertation Committee 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 14 days before the scheduled defense, or earlier, 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 the general discussion and references). This requirement is in addition to any university requirements.

**AREAS OF SPECIALIZATION**

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. Students must pass course requirements, qualifying exams, and summer research papers in that chosen area of specialization. If a student is uncertain about his or her area, we recommend resolution of this issue by the end of the fall quarter in the first year. If a student changes his or her area of specialization, and because of that has not taken the course covered in 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, library access, online academic journal access and an e-mail account. 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. The generous research support 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 is strongly discouraged and may impact both future funding and status in the Ph.D. program. ***Students 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. Students must pass the exam to continue in the Ph.D. program. There are four overlapping areas in which competence must be demonstrated; knowledge relevant to these areas is 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 marketing journals such as the *Journal of Marketing*, *Journal of Marketing Research*, *Marketing Science*, *Journal of Consumer Research* 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. Topics revolve around product evaluation and purchase decisions, and include subjects such as motivation, affect, attitudes and memory. Required knowledge includes current and classic articles in marketing and psychology journals.

**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. Relevant knowledge 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 normally takes place over two days. The marketing Ph.D. coordinators are responsible for setting the timing of the exam (usually end of June) and the selection of faculty to write exam questions. The format of the questions is not constrained and may include open-book, closed-book and oral questions. Students who specialize in quantitative marketing are also expected to take and pass the qualifying exam in microeconomics and econometrics.



APPENDIX C  
SELF-ASSESSMENT STATEMENT

YOUR NAME

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1. Course work (credit/audit)

Quarter	Course Title	Faculty	Department

2. TA/RA work

2.1 TA work

Quarter	Faculty	Responsibilities	Hrs. worked

2.2 RA work

Quarter	Faculty	Responsibilities	Hrs. worked

3. Research projects

Title	Description	Advisor/ Collaborators	Status

4. Summarize your research interests.

5. Discuss your accomplishments (including conference activities) and shortcomings in the last year.

**5.1 Conferences**

<b>Conference</b>	<b>Paper submitted</b>	<b>Paper Status</b>	<b>Role*</b>

\* Please indicate presenter, attendee, reviewer, session chair, did not attend, etc.

**5.2 Accomplishments**

**5.3 Shortcomings/Disappointments**

**6. What are your research plans for the summer?**

**7. What are your plans and expectations for the next year?**

**8. Any other issues that you may want to discuss such as suggestions for improvements or other comments?**