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Ph.D. PROGRAM GUIDELINES

Kellogg's Marketing Department is regarded as one of the premiere marketing programs in the world and is renowned for its groundbreaking research and thought leadership. Doctoral students 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 rigor necessary for students to become successful, productive, and impactful researchers. The marketing faculty expects students to actively engage in research projects throughout their graduate program.

A hallmark of the Kellogg Marketing Ph.D. program is the breadth and depth of training. Students study a variety of disciplines before committing to a specific research specialty. Moreover, the program is sufficiently flexible to allow each student's training to be tailored to his or her background and goals. However, common is a unifying goal of the program: to provide the grounds and tools for each student to become a thought leader in an area of expertise.

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 1st and 2nd year students, as well as expectations for students in their 3rd 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 students to become thoughtful, independent, and exceptional 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 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 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. Mastering the Ph.D. is not the result of one or two activities, but an accumulation of hours of varied activities. When scholars visit from other institutions, time is 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 five 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 obtaining firsthand experience about the 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-year students are not required to work as teaching or research assistants, but are encouraged to get involved in research activities early.

The faculty has high expectations for TA and RA performance. Students should approach their assignments in a professional manner. It is strongly recommended that each quarter 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.

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 annual 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.

Annual Feedback

The marketing faculty will evaluate individual students each year based on inputs from various sources such as coursework, the qualifying exams, annual research papers (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. Students who have made satisfactory progress will advance to the next stage of the doctoral program. In cases where a student's performance is unsatisfactory, the student may be placed on probation or dismissed from the program, as determined by the faculty's assessment of the aforementioned factors.

Self-Assessment Statement

Each student is expected to provide a self-assessment statement at the end of each 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.

General Advising

Ph.D. coordinators provide guidance to students relating to their development as 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.

OVERVIEW OF THE PROGRAM TIMELINE AND REQUIREMENTS

First Year

New students in the program take foundational courses in the Marketing Department and in other departments such as psychology, statistics, and economics, depending on their chosen area of specialization. At the end of the first year, students take a series of qualifying exams to demonstrate their mastery of this material, followed by the submission and presentation of their first-year research paper. We also strongly encourage students to get involved in research from the very beginning of the program. To this end, students should start developing ideas for their paper early in the first year and should seek guidance from faculty on appropriate topics.

Students who have completed the first year of study may be eligible for a Master of Science (MS) degree in Marketing. The requirements include the following:

1. Complete 10 graded doctoral courses and maintain an overall 3.35 GPA from the list of approved courses (refer to page 4 under "Coursework").
2. Complete and present a satisfactory first-year paper. This paper and the subsequent presentation to faculty must be completed by mid-September and/or before the start of their second year.

3. Form a MS committee consisting of three faculty members. Unless otherwise approved by the department, this committee will consist of the department chair and both Directors of Graduate studies. Students must receive a “MS pass” from the committee to be awarded the Master of Science.

Second Year

Students in their second year have completed their coursework with the minimum grade point average of 3.35, passed the qualifying exams, and satisfactorily completed the first-year research paper. Second-year students continue to take courses that expand and deepen their knowledge in their area of specialization. This coursework remains important but students should shift more of their attention towards research with the goal of developing independent and novel research questions. One of these questions might serve as the basis of their second-year research paper, which should have the potential to develop into a journal-quality paper and dissertation chapter.

Students who have not applied for the MS Degree after the end of the first year are eligible to apply for the degree in this year, again conditional on departmental support regarding the student’s overall academic progress as well as the formation of a MS committee consisting of three faculty members from the department approved by the Director of Graduate Studies.

Third Year and Beyond

Students in their third year have completed all the coursework required for the Ph.D. program with the minimum grade point average and have satisfactorily presented their second-year research paper. At this point, research is the primary emphasis of the program, and students should be focused on developing a job market paper and publishing their research. Third-year students are permitted to enroll in up to one course per quarter but are not obligated to do so.

Students must formulate and propose a dissertation topic by August 31st of their third year. Students are admitted to Ph.D. candidacy upon successful demonstration of their academic proficiency in the program, which includes maintaining the Department’s minimum grade point average, passing all qualifying exams, and successfully defending the dissertation proposal by the August 31st deadline. A failure to successfully defend the proposal is grounds for dismissal.

COURSEWORK

The marketing Ph.D. coordinators 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 a 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.

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 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 and repeat some of the behavioral 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 microeconomics, statistics, industrial organization, econometrics, and game theory. 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. The university allows Ph.D. students to freely register for doctoral courses only during the first two years of study. In their third year and beyond, Ph.D. students are limited to register for one doctoral course per quarter. 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, a marketing Ph.D. coordinator must approve independent studies and no more than one independent study may be taken in a quarter.

Grades

The Marketing Department requires that each student maintain a minimum grade point average of 3.35. In addition to the University's rules and requirements on incomplete grades, the Marketing Department strongly discourages doctoral students from taking incomplete grades in their courses. Note that the Marketing Department's minimum grade point average requirement is higher than, and thus supersedes, The Graduate School's (TGS) guidelines that each student

maintains a minimum grade point average of 3.0 in graduate courses.

Approved Courses for the Marketing Curriculum

Marketing PhD students should refer to the list below regarding required “core” classes and electives. This list is not exhaustive, and students should consult with the director of graduate study regarding coursework recommendations.

Behavioral Track:

- Marketing Strategy: MKTG 560-0
- Consumer Behavior: Information Processing & Decision Making: MKGT 540-0
- Psychological Theory in Consumer Behavior: MKTG541-0
- Research Philosophies in Marketing & Consumer Behavior: MKTG 542-0
- Special Topics in Marketing: Judgment, Emotion & Consumer Choice: MKTG530-2
- Special Topics in Marketing: Problems & Solutions in Applied Data Analysis: MKGT 530-1
- 400-level courses in Psychology, Sociology, Statistics or Management & Organizations

Quantitative Track:

- Marketing Strategy: MKTG 560-0
- Marketing Models: Analytic Modeling: MKGT 550-0
- Marketing Models: Quant Modeling: MKTG 551-0
- Marketing Models: Multivariate Statistics MKGT 552-0
- Microeconomics: ECON 410-1,2,3
- Introduction to Econometrics: ECON 480-1,2,3
- Introduction to Applied Econometrics 1: MKTG 476-0
- Introduction to Applied Econometrics 2: MECS 477-0
- Introduction to Applied Econometrics 3: MECS 478-0

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. Refer to Appendix B for more details.

FIRST AND SECOND YEAR RESEARCH PAPERS

First and second year students are required to submit a research paper to the Ph.D. coordinators by August 31 of each year. These papers represent the culmination of a student's experience and learning in the Ph.D. program. 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 based on discussion and approval by the Ph.D. coordinators and the department.

Each year, students must identify two faculty members—a primary and a secondary reader—who will supervise their annual research papers. After identifying a topic and the two readers, the student must submit a one- to two-page proposal to both readers for approval. 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. Both readers will evaluate the final research paper.

Students may start on their research papers at any time. Indeed, students are strongly encouraged to start thinking about paper topics as early as possible. Students are expected to spend most of the summer devoted to working on these research papers. 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.

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 by August 31st of their third year. The chair(s) of the Dissertation Committee should announce the defense of the proposal 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. A student's failure to form a Dissertation Committee and/or successfully defend the proposal by August 31st of his/her third year is grounds for exclusion from the Ph.D. program.

Students must provide their Dissertation Committee with a written copy of their dissertation proposal and the final dissertation at least two weeks 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.

**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. There are four potential areas in which competence must be demonstrated; knowledge relevant to these areas is presented in the marketing doctoral seminars. The exact questions and areas tested vary as a function of whether a student is a quantitative or behavioral candidate, as the students' coursework and areas of expertise are distinct.

1. *Marketing Strategy*

The focus on marketing strategy will be on foundational concepts, frameworks, findings, and models. This includes knowledge published in marketing journals such as *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 empirical and theoretical analytic models that are used to interpret data or to make managerial decisions. Such models include econometric models, optimization models for managerial decision making, and more elaborate choice models. Relevant knowledge includes articles published in journals such as *Journal of Marketing Research*, *Marketing Science*, *Management Science*, *Quantitative Marketing and Economics*, and related articles in economics and statistics journals.

Examination procedure

The exam normally takes place over two days. The marketing Ph.D. coordinators set the timing of the exam (usually the end of June) and the selection of faculty to write exam questions. Historically, faculty members who teach in the Marketing Ph.D. seminars write exam questions. The format of the questions is not constrained and may include open-book, closed-book and oral questions. Students must pass the exam to continue in the Ph.D. program.

APPENDIX C SELF-ASSESSMENT STATEMENT

YOUR NAME

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

Conference	Paper submitted	Paper Status	Role*

* 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?