

DOCTORAL PROGRAM GUIDELINES: MANAGEMENT & ORGANIZATIONS

This document provides guidelines for the Management and Organizations (MORS) doctoral program and addresses two key aspects that go beyond the formal program regulations: student guidance and performance standards. These key aspects are addressed in more detail in the following sections. For course requirements and general information about the program, please see the program [website](#). The MORS guidelines apply to students in the joint PhD program with Sociology except for program components not included in that program.

The MORS doctoral 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 productive researchers. The program celebrates theoretical creativity and methodological pluralism. It is founded on close and collaborative relationships between faculty and students. Students are expected to engage actively in research projects throughout their entire graduate program. The program requirements, standards and policies support these objectives.

The hallmarks of the program are a curriculum that provides a broad theoretical background in the disciplines of psychology, sociology, organizational behavior and management that underlie the behavior of individuals, groups, organizations and their environments; students' active involvement in scholarly research from day one; and the breadth of faculty expertise that fosters innovative and high impact research.

This document includes the following sections:

1. Chronological Overview of Milestones and Deadlines
2. Progress Review and Feedback Process
3. Academic Guidance and Standards for Program Requirements and Milestones
4. Policy for Teaching and Teaching Assistantships
5. Policy for Conference Travel Funding
6. Policy for Financial Support

For specific policies and forms, such as annual reviews and independent studies, please see the program website and intranet repository accessible to members of the department.

1. Chronological Overview of Milestones and Deadlines*

Year 1

Coursework: ongoing

Research: ongoing

Attendance of department colloquia and seminars

Preliminary Exams: July

Year 2

Coursework: All program requirements completed by end of spring quarter

Research: ongoing

Attendance of department colloquia and seminars

Preliminary Exams, rewrites or re-takes (if required): December 31

Candidacy paper, select topic and readers: Fall quarter

GRS Presentation I: Fall quarter

Candidacy paper, first complete draft inc. data: Summer quarter

Year 3

Research: ongoing

Attendance of department colloquia and seminars

GRS Presentation II (candidacy paper): Fall quarter

Candidacy paper, initial submission: December 15

Candidacy paper, revised draft approved: March 15

Dissertation, identify topic and primary advisor: Spring quarter

Year 4

Research: ongoing

Attendance of department colloquia and seminars

Dissertation, proposal drafts and assemble committee: Fall and Winter quarters

Dissertation, proposal defense defended: End of spring quarter

Prepare job market documents: Summer

Year 5 and 6

Research: ongoing

Attendance of department colloquia and seminars

Job search: Fall and winter quarters

Dissertation defense defended

* Formal deadlines and requirements in *italics*, recommended milestones in plain font. Failure to meet formal deadlines and requirements affects funding status and continuation in the program.

2. Progress Review and Feedback Process

All PhD students provide the faculty with an annual progress report in April of each year. The template for the report is available through the MORS intranet site. Students comprehensively report program related activities and accomplishments during the past year and identify goals for the upcoming academic year. The departmental faculty as a whole reviews the progress and goals of each student in May. The PhD coordinator provides the written feedback to students. Additional oral feedback may be requested by students or offered by faculty members working with a student. Students are strongly encouraged to discuss the feedback and their plan for the coming academic year with their primary advisor.

The progress review is the major mechanism for feedback on performance throughout the program and used to determine whether a student is in good academic standing. The goal of the feedback is also 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.

The expectations for academic progress and performance are described in the next section of this document. In addition, 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.

In addition to this continuous review, students are advanced to candidacy upon the timely completion of the program requirements outlined above. The department faculty reviews the overall progress of students upon completion of all requirements, usually in March of year 3. The requirements for candidacy are:

- completed all course work requirements
- maintained a B average
- passed the prelim exam
- presented research in the 2nd and 3rd year GRS
- successfully completed a candidacy paper by March 15 of year 3.

3. Guidance and Standards for Program Requirements and Milestones

Advisor Relationships

Close and continuous advisor relationships are central to the department's approach to doctoral education. We distinguish three advisory roles, which at different points in the program may be performed by different faculty: a) The *program advisor* – the PhD Coordinator – offers advice and guidance related to navigating formal requirements, selecting courses, interfacing with the department and doctoral studies office, etc. b) The *research advisor* – normally a faculty that works closely with a student – offers guidance about developing research skills, selecting and completing research projects, and navigating the relevant research community. c) The *dissertation advisor* chairs the dissertation committee and oversees the completion of the dissertation. In addition the dissertation advisor also offers guidance and support with job placement.

The role of an advisor is to guide a student's overall progress and development. The role is thus different from simply collaborating with a faculty member on a research, where the focus is more narrowly on completing that project. Students are encouraged to request regular meetings with their advisors that solely focus on the advisory role. Typically, who takes on the advisory roles changes over the course of the program:

First Year. First-year students are advised by the PhD coordinator, who initially acts as program and research advisor. 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. The PhD coordinator meets with first year students at least once a quarter. In the course of the year, students form relationships with other professors that students they chose to work with on research (students may be working with more than one faculty, and are encouraged to do so). The students' research advisors introduce them to the research skills required for success in the field.

Second and Third Year. The PhD coordinator remains the program 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 advisors. By the end of the second year, every student should designate one primary research advisor who takes on the more holistic advisory role described above. The student's primary research advisor can but does not need to be the chair of the candidacy paper committee or the future dissertation chair.

After Year Three. At the beginning of the fourth year, students choose a dissertation advisor who is willing to support their dissertation research. The dissertation chair also normally acts as the primary research and professional advisor. This is normally a faculty member with whom they already have research collaborations. However, there is no requirement that a student work with a single faculty member throughout the PhD program. Indeed the expectation is the opposite. By encouraging students to develop research relationships with multiple faculty members early in the program, the student should have no trouble forming a dissertation committee.

Coursework and Independent Studies

The courses required for the MORS PhD program are listed on the program [web page](#). In addition to completing the specific courses required by the program, students must also meet the enrolment requirements by Northwestern's Graduate School. Students are required to complete the required coursework by the end of the second year. They are strongly encouraged to plan their course schedule well ahead of time and to consult faculty and senior students in their selections.

In addition to formal courses, students may enroll in MORS 499, Independent Study (IS) with individual faculty members. IS allow students to develop highly specialized expertise or learn about topics for which no courses are currently offered. The department supports two types of IS:

- a) Directed reading IS, in which a student reads the literature in a specialized field. These are substitutes for classes and normally require a syllabus and a final deliverable that often takes the form of a lit review or research proposal; student and faculty should meet at least every other week to discuss the readings; the topic cannot be covered by a regular course offered on campus within a reasonable timeframe.
- b) Research-based IS, in which a student works with a faculty to develop a research project. These allow a student to immerse herself normally in a new research area and are suitable to "get up to speed" quickly. IS are not for regular collaborations with faculty on research. These are covered by the stipend work requirement and occur outside the course work. Research based IS must have a significant general learning objective (new theory, methods, etc.) beyond routine research.

All independent studies must be documented in the IS form available on the MORS intranet, and approved by the PhD Coordinator. Students are not normally allowed to enroll in more than one independent study per quarter. Only in exceptional circumstances can IS count towards coursework requirements.

Preliminary Exams

Management and Organizations students take their preliminary exams in the summer between their first and second years, normally in July. Prelim exams cover material in the four substantive Management and Organizations PhD core courses and questions are written by those faculty. Prelims also require full competence in the material covered in the two core methods classes. Students answer five questions over the course of a week, with four hours allocated to each question.

Each prelim question is graded by the question writer and 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 and a single grade is determined for each question, the faculty collectively reviews the prelim performance. Performance on each question can be High Pass, Pass, Low Pass, and Fail.

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 are in addition

given 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 involved faculty 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. All re-writing, re-taking and remedial work must be completed by the end of the fall quarter of the second year.

Research Requirement

PhD students are expected to be involved in research assistantships at a level of at least 10 hours per week on average throughout the program. The assistantship is normally fulfilled through being involved in collaborative research with one or several faculty, and certified by faculty as part of the annual student review process. The research requirement is in addition to work on the candidacy paper and the dissertation. Assistantships are allocated based on a market system, so it is the responsibility of students to approach faculty for opportunities to collaborate on research. Students are encouraged to work with multiple faculty.

In the first and fifth year, this additional research involvement is a recommendation, but funding is not conditional on it. In years two to four, a portion of the financial aid package is allocated toward this assistantship (see the section on Financial Aid). Failure to meet the research requirement may lead to that portion of funding being cut. Because the research requirement is a formal program requirement, it may also lead to a review of the student's academic standing in the program.

Graduate Research Seminars (GRS)

Second- and third-year students present 30 minute research talks to faculty and other students during the Fall quarter. 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 an important learning experience for the presenters and those who will be presenting in future years. Second year students present research in which they engaged during the first year, either in collaboration with a faculty member or as part of their candidacy paper. Third year students present their candidacy paper. Third year GRS presentation should include the empirical findings of the research.

The GRS seminars are scheduled by a student committee throughout the fall quarter. It is strongly recommended that third year students present at the beginning of the quarter.

Attendance of Colloquia and GRS

The department and centers affiliated with the department – the DRRC (Dispute Resolution Research Center), KTAG (Kellogg Teams and Groups Center), SION (Social Interaction and Organizations at Northwestern), and the CSD (Center on the Science of Diversity) – invite eminent scholars to campus to present their research. All PhD students are expected to attend at least all departmental talks, and may meet with the speakers to discuss research, or may interact with them in a more informal setting by

signing up for the traditional lunch reserved for PhD students and visiting faculty. Students of all years are expected to attend all GRS seminars.

Candidacy Paper

Students are required to develop an empirical paper by March 15 of their third year. The paper can be co-authored with faculty members, but the student must make an original and leading intellectual contribution to the research. The paper must be empirical. The quality of the paper that is turned in should be such that it is ultimately publishable in a recognized journal and can be submitted after no more than one round of revisions.

This paper must be passed by the Chair of the Candidacy Paper Committee and 2 readers from the department. The student chooses the chair and together with the chair determines the other two readers.

Students are expected to develop this research project under the guidance of their faculty research advisor during the second year. Students should select a topic and recruit a Chair for the reading Committee no later than the fall of their second year. Data collection and analysis normally occurs during the spring and summer of the second year, and the complete study is presented in the GRS during the fall quarter of year three. A first complete draft must be submitted to the committee for feedback by the end of the fall quarter, and the paper must be completely signed off (i.e., without any required revisions) by March 15 of the third year.

If the final deadline is not met, students will no longer be in good standing in the department or at the Kellogg School. They will either face a probationary period or be asked to leave the program. In addition, funding can be cut and any additional tuition cost incurred because a student is not in candidacy may need to be reimbursed by the student to the school. Even in the case of hardship circumstances, students must be in candidacy 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

Students propose a dissertation research project to their dissertation committee by the end of the spring quarter of the fourth year. If they pass the proposal they work on completing the dissertation and defend it normally at the end of their 5th or 6th year in the program.

Expected Standards. The dissertation must be an original piece of scholarly work that demonstrates the candidate's own ability for rigorous investigation, ethical inquiry, theoretical soundness, and methodological proficiency, providing research that adds substantively to knowledge in a field of academic study. The department expects all dissertations to be suitable to be turned into publications in the top academic journals in the field of Management & Organizations. Dissertations can take the format of a monograph or a set of cumulative papers. In either case, the expected theoretical and empirical scope of a dissertation is significantly greater than for a single article.

Expectations for the dissertation proposal. 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. The committee must be able to evaluate with confidence whether the dissertation as proposed meets quality standards and can be successfully executed. At a minimum, a proposal will clearly articulate the research question, discuss in detail why this question is important in light of extant knowledge, describe the specific research design and method the student intends to use investigate the question (inc. constructs, data, sample, measurement, methods of inference), and offer evidence of the feasibility of the proposed study (e.g., data access, scope of work). 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.

Chair and Committee. Most students choose a faculty member with whom they have already been doing research. However, this is not required. By encouraging students to develop research relationships with multiple faculty members during the first 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. The chair and at least one other committee member are expected to hold appointments in MORS to ensure that half of the committee members represent the student's program. The committee chair and at least one other member must be from Northwestern's Graduate School faculty (normally = tenure line). At least one member of the committee must be from outside MORS. Usually one member of the committee represents the student's minor field.

The options for choosing a committee member from outside of the department/program are:

1. a faculty member of Kellogg outside MORS;
2. a faculty member outside of the Kellogg school, but within Northwestern University;
3. 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 departments, one of which is MORS, 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.

Timeline. Students should work 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. They will also not be eligible to teach. Even in the case of special circumstances, the proposal must be successfully defended before September 1. This is a deadline set by Kellogg and the Graduate School. Failure to meet this deadline will result in immediate loss of funding and the student may be asked to leave the program.

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.

Students are strongly advised to adhere to the following milestones to ensure having a dissertation proposal defended by the end of spring quarter of the 4th year. Given the pattern of summer conferences and faculty availability students should not plan on defending the proposal during the summer quarter!

- *3rd year April* - Identify dissertation chair and choose dissertation topic. A timeline for completing the dissertation should be developed. The Annual Activity Reports, due in April, will require a title, dissertation chair, and one paragraph description of your current thoughts about the dissertation.
- *3rd year June* –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* –Submit at least 20 pages to the dissertation chair and complete inviting committee members The 20-page proposal draft should be shared with the dissertation committee for review and suggestions.
- *4th year December* –Submit well-developed full draft of the dissertation proposal to the committee (40-80 pages, theory and method well specified). This will give you one full quarter to get feedback from your faculty advisors and make adjustments to the proposal.
- *4th year March* – Schedule the dissertation proposal defense.
- *4th year June* – Dissertation proposal must be defended AND SIGNED OFF by end of Spring quarter (~June 1).
- *Thereafter* – Completion.

Please note that these milestones are a starting place and identify deadlines for moving your dissertation along. 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 in the fall of year five - which means having job packets going out with a very well-crafted dissertation proposal and a research talk ready to go for September of the 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.

This suggested timeline should be discussed thoroughly with the dissertation advisor and a set of deadlines should be agreed upon to ensure completion of the dissertation proposal on time.

Teaching Assistantships and Teaching Opportunities

Teaching Assistantships. There are many opportunities for advanced PhD students to provide support to faculty in the MBA classroom and at Kellogg's executive programs. Teaching assistantships (TA) offer students useful insight and training in teaching MBA students as future faculty. In the MORS doctoral program, TA work is currently voluntary - neither an entitlement nor required to receive the standard financial support package. 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. TA work for department faculty is paid according to the policy described in section 4 of this document.

TA work is not an activity for first year students. Beginning with the second year, students may become involved in providing teaching supporting faculty. In the event that a first year student and a professor would like to consider a teaching assistantship, prior approval must be granted from the PhD Coordinator.

Students should spend no more than 10 hours a week on this activity. In addition, the faculty may limit the amount of TA work a student is allowed to perform based on academic progress reported in the annual progress review.

Lecturerships. Opportunities commonly arise for doctoral students to teach an MBA course as an instructor. This is primarily for the Negotiations and Leadership courses. These teaching assignments are entirely voluntary. Teaching students are paid a lecturer rate by Kellogg.

To be eligible to teach, students must have previously interned the course in question with a full-time faculty member, defended their dissertation proposal prior to beginning to teach, and for Negotiations, attend the annual teaching workshop for new Negotiations teachers. In addition, the PhD coordinator and faculty advisor determine how much teaching a quarter long course would impede the student's progress on research and dissertation work.

Demand for teaching fluctuates and opportunities to teach a course is not guaranteed. A memo is sent to PhD students each February soliciting interest. Most students teach in the summer of their 4th year (if they have defended their dissertation proposal), or in their 5th or 6th year. Priority is given to students with excellent academic records, a preparedness to succeed in the classroom, and financial need.

4. Policy for Teaching and Teaching Assistantships

1. Serving as a teaching assistant is a privilege contingent on good progress in the program. The MORS PhD coordinator will track the progress of MORS PhD students and, based on their annual student review, determine if they are allowed to serve as TA's and for how many classes.
2. MORS PhD students are allowed to TA only for MORS tenured or tenure track professors and for visiting postdoctoral students in the MORS department or in any of the department's centers. The department does not provide TA's for adjunct or clinical professors or for PhD candidates. We recognize that a MORS PhD student may wish to TA for a non-MORS department course, e.g. a sociology, psychology or other course that fits their career objectives. Such exceptions are encouraged if approved by the MORS PhD coordinator.
3. The current Kellogg PhD stipend has been significantly increased and is paid to all PhD students for five years. MORS PhD students are asked as part of the work requirement of their fellowship to either TA or intern for one course with no extra compensation from any source. This obligation may be fulfilled at any time after their first year assuming conditions 1 and 2 above are met.
4. The stipend for TA's for the pre-term and for classes with over 55 students is \$2,500 per class due to significant extra work required. For all other day or TMP classes the stipend is \$2,000 for classes larger than 40 but smaller than 55 students and \$1,500 for classes smaller than 40 students. The department does not pay for TA's for EMP classes. Faculty paying TA's out of their own research or center funds for regular or EMP courses are asked not to supplement these rates lest issues of fairness arise.

5. Policy for Conference Travel Funding

Sources of Funds. Students qualify for departmental aid to attend up to three conferences a year. The department will provide each student a total budget of \$2,100 per year. This amount can be allocated to qualified conferences at the student's discretion. A list of qualified conferences is available on the MORS intranet. Other conferences must be approved by the PhD Coordinator. Un-used budget does not roll over into another year. The department funds should be used in conjunction with:

1. Students are expected to apply for Northwestern [Graduate School travel grants](#). Graduate School grants are up to \$700 for one conference a year. These grants are allocated on a first come, first served basis, so students should apply as soon as possible in the school year. The Graduate School now limits the number of travel grants to two over the course of a student's graduate program. The grants require proof of acceptance to the conference and a co-sponsorship of \$200, which will be provided by the department.
2. Faculty sponsorship. Faculty may cover the costs of conferences, or costs remaining after Graduate School and Department grants are exhausted.

Department Funding. The following rules apply:

1. Students qualify for department funding if they have exhausted or are unable to obtain Graduate School travel funding.
2. Conditions of Funding: The department contributes only if the student presents research at a conference or is nominated to attend a competitive consortium. Presentations can be in the form of a paper presentation, poster or roundtable. Being a discussant or session chair does not count and no funds are available for passive conference attendance. The department also provides travel grants for students that have been nominated by faculty to attend a competitive consortium or other professional development opportunity. Workshops with unrestricted registration do not normally qualify.
3. The maximum funding for conference travel is \$2,100 per year. The department brings the total funding for conference travel up to this amount after other sources (see above) have been exhausted or are unavailable to a student. For example, if a student obtained \$700 from the Graduate School or faculty, the department adds up to \$1,400. Department funding can be applied towards up to 3 conferences including AOM.
4. Department funding must be approved in advance of travel. Only actual expenses are reimbursed. Qualifying expenses are individual travel, registration, accommodation and food. All reimbursements are paid after the appropriate paperwork and receipts are received.
5. Any additional conference funding is at the discretion of the department. Requests will be treated more favorably if the student has attempted to obtain funding from other sources. Such requests will be handled on a case-by-case basis and are approved by the MORS PhD Coordinator.

6. Policy for Financial Support

Stipend. 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 current stipend is \$33,000 per year. The stipend is awarded during the first year and renewed each year for up to 5 years, contingent upon satisfactory academic performance. Beginning in the second year in the program, part of the stipend is in the form of a research or teaching assistantship equivalent to about 10 hour per week throughout the year. This work requirement is usually met in the form of ongoing research collaborations with faculty, provided that the student spends the expected time and effort. The detailed funding policy is available from the Kellogg Doctoral Program Office.

Funding After Year Five. Kellogg does not provide funding for students beyond the 5th year. The Dean's Office will provide health insurance coverage for students if they are enrolled as full time resident students for at least one quarter. The department is committed to cover this tuition payment, but cannot guarantee it. If students teach, their tuition and health insurance will be covered as part of their teaching package. They will also receive a salary at the level of a lecturership. Because teaching opportunities are not always available, students are strongly encouraged to seek external funding if they anticipate taking more than 5 years to complete the program.

Research 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 have access to Kellogg's research computing staff for statistical and computing advice. Students also have access to shared department and Kellogg computers, which have installed a variety of statistical and other software packages. Most students own 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 travel and research expenses. The DRRC and other Kellogg research centers have funds that students can apply for. 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 offers financial support (see conference travel policy).