PH.D. PROGRAM GUIDELINES

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

The Marketing Ph.D. 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. Students are expected to engage actively in research projects throughout their entire graduate program.

The hallmark of the Marketing Ph.D. program is that students acquire both a broad background across a variety of underlying disciplines and a commitment to a specific research specialty. To achieve this goal, the program is developed to be consistent with, and tailored to, each student’s background and goals.

This document provides guidelines for the marketing 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 Advisors. Ph.D. coordinators assist students in selecting courses for the first year, provide guidance to students regarding involvement in research and teaching assistantships and other matters as appropriate throughout the first year, and provide feedback to students on their performance throughout the year.

Marketing Seminar Series. Each year the Marketing Department invites eminent scholars from peer research institutions to present their research. Students are expected to attend all the seminars in the marketing workshop/seminar series. Seminar speakers’ schedules typically include a meeting with Ph.D. students. Students are expected to take advantage of these opportunities to interact with visiting scholars.

Research and Teaching Assistantships. A critical part of the doctoral program is forming relationships with faculty members and learning about research and teaching processes. To encourage the early formation of such relationships, the marketing doctoral program requires that during the Winter and Spring Quarters of the first year each student average at least five hours per week of research and teaching assistantship activities. The student’s advisor(s) will provide advice and guidance to help the student engage in activities that match his/her needs and interests with those of the faculty.

Progress Guidelines

The Doctoral Committee is a major mechanism for feedback on performance throughout the program. The role of the committee is to communicate the faculty’s expectations for performance in the program and provide feedback on the student’s performance. Sources of information will include the student’s advisor(s), instructors, and faculty for whom they have
functioned as research or teaching assistants.

Self-Assessment Statement. The student is expected to provide a self-assessment and plans statement immediately after the end of the spring quarter. This document should discuss first-year accomplishments, shortcomings, and areas of interest (Appendix C). The student should also provide a one- to two-page proposal for the topic of the First-Year Paper. 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.

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 that has been accumulated throughout the Ph.D. program so far. The qualifying exam is administered and evaluated by an Examination Committee. In addition to assessing the research paper, the Examination Committee is responsible for coordinating, writing, and grading the qualifying examination. This examination is to be taken in June of the first year. The Examination Committee will grade the exam and determine what actions are required depending upon the level of performance on the exam. Such actions might include retaking some or all of the exam or dismissal from the program.

First-Year Research Paper. An important component of the first year is the First-Year Paper. This paper is to be submitted to the Doctoral Committee on or before September 1st prior to the beginning of the student’s second year. The paper should represent the student’s best work at this stage of the doctoral program. The paper may be a reworked paper handed in for a seminar or a new paper completed over the summer. The objective is that this paper represents work the student feels best demonstrates his or her capabilities at that point in time. The First-Year Paper can be a collaborative effort with a faculty member provided that (1) the student was the primary generator and developer of the main idea and (2) the paper is written by the student. The student should acknowledge the assistance received from the faculty member.

The Doctoral Committee will examine the qualifying exam, the First-Year Research Paper, the student’s self-statement, grades, and feedback from faculty who have had the student in class and/or as a research or teaching assistant. The committee will present this information to the marketing faculty and then provide feedback to the student. Poor performance will likely result in dismissal from the program.

SECOND YEAR

Advice and Guidelines

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

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

Research and Teaching Assistantships. Throughout the second year, students should continue to be involved in research and teaching assistantships at the level of 10 hours per week.
Progress Guidelines

As in the first year, the Doctoral Committee will examine grades, obtain feedback from faculty, assess the student’s performance at the end of the second year, and provide feedback. The committee will request a student self-assessment for the end-of-the-year feedback (Appendix C). Depending upon the level of performance, remedial action or dismissal may be recommended.

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

Second-Year Research Paper. During the second year, students should begin to plan and implement their second-year research paper. This paper is to be submitted to the Doctoral Committee on or before the first day of September prior to the beginning of the student’s third year in the program. The research paper should be a written piece of original research, such as an empirical or an analytical paper. The research may be done jointly with faculty; however, the student must make clear and significant contributions to all phases of the project. The aim is to create a paper that can be potentially published in a top research journal.

THIRD YEAR AND THEREAFTER

The student will continue to be involved in research and teaching assistantships at a level of at least 10 hours per week, on average. Students are also expected to continue to attend all seminars in the marketing workshop/seminar series and meet with visiting speakers.

Dissertation Proposal

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

The student should notify the Doctoral Committee 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 faculty. At least one member of the committee must be from outside the student’s program. The student will choose a chair or two co-chairs for the dissertation from this committee. The committee chair and at least one other member must be from The Graduate School faculty, and the chair and at least one other committee member are expected to hold appointments in the student’s program to ensure that half of the committee members represent the student’s program. From this point forward, the Dissertation Committee monitors progress and provides feedback.

Students must take their dissertation proposal before June 1st of their fourth year so that they can be admitted into candidacy. The defense of the proposal should be announced to the marketing faculty and Ph.D. students at least two weeks in advance.

Appendix D summarizes key requirements and milestones over the course of the program.
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 1-4), contingent upon satisfactory academic performance.

Research and academic support
The Marketing Department strives to provide Ph.D. students with the resources necessary for a successful academic career. Each Ph.D. student is provided with a workspace, a personal computer with office software and access to the university mainframe, including all major statistical packages, library access, online academic journal access and e-mail. The department provides additional financial support for miscellaneous research and academic expenses such as: text books required for classes, research software, conference expenses not covered by the travel support, research expenses, etc. The funds are awarded as follows: first-year and second-year students: $750, third-year, fourth-year, and fifth-year students: $1,000 per academic year. Research and academic support funds not used during the year rollover to the following year. Requests for reimbursement must be submitted to the departmental assistant within 90 days of incurring the expense.

Travel support
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 financial support for one conference annually in the amount of $750 plus conference registration fees for conferences held in North America and $950 plus registration fees for conferences held elsewhere. To encourage participation in research conferences for students early in the program, the funding of first and second year students is not contingent on presenting or co-authoring a presented paper.
APPENDIX B
THE QUALIFYING EXAM

Content of the qualifying exam

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

1. Marketing Strategy
   Students are expected to master the literature in marketing strategy. The focus will be on foundational concepts, frameworks, findings, and models. This includes knowledge published in journals such as the *Journal of Marketing*, *Journal of Marketing Research*, *Marketing Science*, and related articles in strategy, organizational, and economics journals.

2. Research Methodology
   Competence in research methodology involves the ability to critique, design, and implement research projects. Relevant issues include sampling, experimental design, and the assessment of threats to validity. Knowledge includes articles in the journals listed above, as well as relevant readings in psychological and statistical journals.

3. Consumer Behavior
   Students are expected to have a good understanding of the processes through which buyers and consumers make purchase decisions and knowledge of the major comprehensive theories of consumer behavior. This knowledge includes current and classic articles in the *Journal of Consumer Research*, the *Journal of Consumer Psychology*, the *Journal of Personality and Social Psychology*, the *Journal of Marketing Research*, and other related articles in the psychological literature.

4. Quantitative Modeling
   Quantitative modeling involves the various empirical and theoretical analytic models that are used to interpret research data or to make managerial decisions. Such models include econometric models, optimization models for managerial decision making, and more elaborate choice and scaling models. This includes articles published in journals such as the *Journal of Marketing Research*, *Marketing Science*, *Management Science*, *QME*, and related articles in economics and statistics journals.

Examination procedure

The exam will normally take place over two days. The first day will cover general knowledge in some or all of the four areas listed above. On the second day the student will be expected to show mastery of selected subfields. These subfields are determined jointly by the student and his or her Examination Committee.

The procedure for selecting and evaluating questions will be as follows. First, the student’s Examination Committee will solicit exam questions from relevant faculty. They will then put together an exam from these questions. The student’s Examination Committee makes the final assessment of whether the student has passed the exam.

The format of the questions is not constrained. They will typically be written and open-book
questions. However, some questions may be closed-book, others may be take-home (for example, a review of an article), and some questions may require an oral response. The committee is called on to use whatever format will best enable them to assess the skills of the student and at the same time motivate the student to productively assemble and organize the wealth of knowledge that has been accumulated throughout the Ph.D. program so far.

Since the program is flexible, the student is advised to consult members of his or her Examination Committee. They will provide guidance as to what should be studied for the exam and the likely format of the questions.
APPENDIX C

PROGRESS STATEMENT

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

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

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

4. Summarize your research interests.

5. Discuss your accomplishments and shortcomings in the first year.
   [Please describe noteworthy outcomes in your coursework, your RA/TA activities, and your other research projects. List any papers written, submitted, or published, as well as conference attendance and/or talks given. What do you think you have learned? What could you have done better?]

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

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

8. Please append a two-page proposal for your First-Year/Second Year paper. You are encouraged to get feedback on the proposal from one or more faculty members or your advisors before submission.
APPENDIX D

OVERVIEW OF REQUIREMENTS AND MILESTONES (FIRST AND SECOND YEAR)