

## **Policy and Procedures for the Management Area of Concentration in the Ph.D. Program in Business Administration**

Revised and Effective: September, 2004

These policies and procedures are intended to be consistent with both University and W. P. Carey School of Business policies governing doctoral coursework. Students are responsible for fulfilling university and school requirements, some of which will not be described in this document. Materials contained in this policy statement are subject to revision without prior notification at the discretion of the department.

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## Table of Contents

	Page
I INTRODUCTION	3
II ENTRANCE REQUIREMENTS	4
III PROGRAM OF STUDY	5
A. General Overview of Course Requirements	5
B. Program Committee	5
C. Basic Program	5
D. Advanced Program	6
E. Electives and Transfer of Credit	9
IV ADDITIONAL PROGRAM REQUIREMENTS	9
A. Faculty Expectations for Doctoral Students	9
B. Graduate Assistantships	11
C. Development of Teaching Competence	11
D. Orientation for New Students	11
E. Yearly Progress Report and Feedback to Students	12
F. Comprehensive Examination	12
G. Dissertation	15
V MISCELLANEOUS	18
A. Leave of Absence	18
B. Criteria for Nomination to Consortia	19
C. Use of Department Equipment, etc.	19
D. Office Space Assignments	20
E. Summer Support	20
F. Travel Support	20
G. Where to Go for Help	20
APPENDIX A: Suggested Quantitative Methods Courses	21
APPENDIX B: Core Management Topics	22
APPENDIX C: Doctoral Student Progress Report	24

## I. INTRODUCTION

### The Management Department

The Management Department at Arizona State University is one of eight departments and schools within the W. P. Carey School of Business. Its 20 faculty members cover the areas of Human Resource Management, Organizational Behavior, Organizational Theory, and Strategic Management. The faculty's research and teaching emphasizes a broad array of topics, such as teams, stress, coping, job loss, turnover, workplace identity, process and project management, high tech management, performance management systems, diversity, socialization, alliances/joint ventures, corporate governance, diversification, CEO succession, international strategy, corporate political strategies, and entrepreneurship. Faculty members publish their research in journals such as *Academy of Management Journal*, *Academy of Management Review*, *Management Science*, *Journal of Applied Psychology*, *Strategic Management Journal*, *Organizational Behavior and Human Decision Processes*, *Administrative Science Quarterly*, *Decision Sciences*, *Industrial and Labor Relations*, *Journal of International Business Studies*, *Organization Science*, and *Personnel Psychology*.

### The Doctoral Program

The department offers students the opportunity to obtain a Ph.D. in business with a concentration in management. Although management is a broad field, our doctoral program is best suited for those students interested in specializing in human resource management, organizational behavior, organizational theory, and/or strategic management. The doctoral program places primary emphasis on the development of research competence and also emphasizes teaching as a vehicle to academic professionalism. The mission of the program is to provide an environment that is conducive to the development of scholars who are prepared to assume the diverse responsibilities of positions at leading research universities.

Doctoral students in our program are encouraged to design an individually meaningful course of study within the larger context of our field. Opportunities for doing this are available through coursework, work with faculty members, and independent research and study. Students in the department's Ph.D. program select a series of modules in human resource management, organizational behavior, organizational theory, and strategic management. Students develop additional focus and expertise through collaboration on major papers with individual faculty members. Ph.D. students typically have one or more publications prior to graduation.

We require doctoral students to commit full-time attention to our program at least until they have passed the comprehensive exam and successfully defended the dissertation proposal (see G. Dissertation, #5). Full-time enrollment entails a minimum of 6 credit hours of coursework in any semester. To reach a total of 84 credit hours for the program, most students take 9 to 12 credit hours per semester. In addition, students work closely with faculty members, typically by assuming an assistantship. Our program is relatively small with an emphasis on high quality: we provide a great deal of individual attention to and mentoring of our students.

Full-time enrollment in the doctoral program is necessary to develop the skills and values for effective scholarship. Doctoral students generally learn research and teaching skills best by serving as apprentices to experienced scholars. Thus, an integral part of doctoral education is employment as a graduate assistant. In addition, full-time attendance facilitates the formation of collegial relationships between faculty and students. As our goal is to prepare students for positions in leading research universities, we are unable to fully serve the interests of students who do not intend to pursue research careers in the academic community.

## **II. ENTRANCE REQUIREMENTS**

Entrance to our program is based on the following criteria:

1. A completed application for admission to graduate studies at ASU.
2. College transcripts showing grades received while pursuing all prior undergraduate degrees and graduate degrees.
3. Entrance examination scores. We prefer that you submit GMAT scores, but we will also consider GRE scores. Scores up to five years old (from the date of application) are acceptable. Applicants whose native/official language is not English must submit TOEFL and TSE scores. (If the applicant has graduated from a U.S. college in a country whose native language is English, the TOEFL is not required.) Scores up to two years old (based on the first date of classes; approximately August 25<sup>th</sup>) are acceptable.
4. Three letters of reference from college faculty members, work colleagues, or other individuals who are able to appraise your personal interests, abilities, and the likelihood that you will successfully complete our Ph.D. program.
5. A written statement which discusses your personal career objectives, rationale for pursuing a Ph.D. in Management in general and at ASU in particular, what sorts of research and coursework you plan to pursue, and what you plan to do after receiving your Ph.D.
6. A resume or summary of your prior work experience, both paid and unpaid.

The prerequisites for admission to the Ph.D. program are a Bachelor's degree (in any field) and a computer literacy course (or equivalent experience). Differential & Integral Calculus is not essential for program admission, but is a requirement that must be fulfilled before graduation (however, this requirement is waived if the student's quantitative score on the GMAT exceeds the 75<sup>th</sup> percentile).

The Department Graduate Committee, which consists of four to five faculty members in the Management Department, screens the applications and applicants passing the initial screening will be called for a phone interview. The Graduate Committee then makes admission recommendations to the Chair of the Management Department, who makes

final admission decisions. In making recommendations, the committee considers the entire profile of the applicant, including test scores, transcripts, experience, the personal statement, and letters of recommendation. We also examine the fit between what our program offers and applicant interests. We consider applications only in Winter/early Spring, for admittance in August. We normally admit about three to four students per year to preserve a low faculty-to-student ratio. Our admissions procedures conform to the equal opportunity and affirmative action policies of ASU.

### **III. PROGRAM OF STUDY**

The Program of Study in the Ph.D. program is designed to prepare students to teach and conduct scholarly research in a specialized area of concentration in management.

#### **A. General overview of course requirements**

The program consists of a minimum of 84 credit hours of approved graduate work, including a minimum of 12 hours in the basic program, a minimum of 24 hours in the advanced program, 24 hours in supporting coursework, and 24 hours of research (792) and/or dissertation (799) credits.

#### **B. Program Committee**

Each student must select a program committee during their first year of graduate study. The program committee consists of a chairperson and at least two other members. The program committee must be approved by the Associate Dean of Graduate programs upon recommendation by the Chair of the Management Department.

The committee's primary responsibility is to work with the student to formulate a curriculum (including coursework and research projects) that meets the student's unique interests within the constraints imposed by school and university requirements. With the help of the committee, the student decides on an area of specialty or concentration and chooses appropriate coursework and research experiences to support that decision. The committee also monitors student progress, as described later, and provides feedback to students regarding progress. The program committee may be distinct from the student's dissertation committee, which is formed during the latter part of the student's graduate program. A student must have an approved program of study prior to beginning the third semester of coursework in the Ph.D. program. Entering students are advised on coursework by the Doctoral Coordinator.

#### **C. Basic Program**

The courses comprising the Basic Program are intended to provide the foundation for advanced study in the Management area of concentration and supporting coursework. As such, the student's first 24 credit hours in his or her program of study should consist of at least 12 credit hours from the Basic Program.

According to W. P. Carey School of Business guidelines, the basic program consists of a minimum of 12 credit hours of coursework. This requires at least:

1. For strategy/organization theory students, 3 credit hours of graduate level coursework in economics (ECN 502 may not be used to satisfy this requirement). For organizational behavior/human resource management students, 3 credit hours of graduate level coursework in a foundational discipline such as psychology, sociology, or communication.
2. Six credit hours of coursework in quantitative methods (QBA 502/510 or CIS 502 may not be used to satisfy this requirement).
3. Three credit hours of coursework in the behavioral sciences (for organizational behavior/human resource management students, this is in addition to the foundational work in #1 above). This requirement is normally fulfilled by taking courses outside of the department in foundational disciplines such as psychology and sociology.

#### **D. Advanced Program**

The advanced program consists of a minimum of 29 credit hours. W. P. Carey School of Business guidelines require a minimum of 15 credit hours in a single program area (management) and a minimum of 9 credit hours in 700 level seminars, excluding independent studies (790) or research (792). These requirements include the five management core modules (1 credit hour each), at least three specialty management modules (1 credit hour each), the first and second year major papers (4 credit hours), and research methods (8 credit hours). The additional 9 credit hours of supporting coursework may be fulfilled with additional specialty modules or other coursework. The specific courses taken represent the student's area of specialization and are selected by the student with the help of the program committee. Program of study approval is required by the student's program committee, the Associate Dean for Graduate Programs in the W. P. Carey School of Business, and the Dean of the Graduate College.

##### **1. Management Core Modules (5 credit hours)**

All students will take the following core modules:

###### A. Foundations of management

This survey module examines the classics from the history of management thought and scholarship that provide the basis for current theories and research in human resource management, organizational behavior, organization theory, and strategic management.

###### B. Individual influences on organizational behavior

This survey module examines micro or individual level explanations of organizational behavior. Topics may include attitudes, ability, personality, demographics, motivation, perception, and decision-making processes.

### C. Organizational influences on organizational behavior

This survey module examines macro or organizational level explanations of organizational behavior. Topics may include leadership, groups, power, culture, and communication.

### D. Strategy and competitive advantage

This survey module examines research on the effectiveness of strategies that firms use to create competitive advantage. Topics may include diversification, mergers and acquisitions, alliances, competitive dynamics, and international strategies.

### E. Strategy and structure

This survey module examines the interrelationship of strategy, organizational structure, and technology. Topics may include definitions of technology, and forms of organizational structure and strategy as the formative and integrative principle linking technology and structure.

These 1-credit modules are 5-week seminars. Typically, these will be completed during the first two years of study.

## **2. Specialty Management Modules (3 credit hours)**

Other modules are offered that cover more specialized areas in management. Students must take a minimum of three. Examples of modules that have been offered include:

Selection and staffing

Organizational performance and compensation

Organizational withdrawal

Compensation management

Organizational learning, change, and innovation

Advanced topics in motivation

Advanced topics in groups

Emotion in organizational life

Leadership in organizations

Role of occupations in organizational life

Coping with change

Strategy development and implementation

Alliance and network strategies

Corporate governance

### **3. First and Second Year Major Papers (4 credit hours)**

Students are required to write one major paper in each of their first two years, either sole-authored or coauthored with a mentor or colleague. The papers are intended as (1) a developmental vehicle for the student (2) that will result in publications in top quality journals (although credit is not dependent on publication). Students should individually decide (perhaps in collaboration with the Program of Study chair) what topic they will work on.

Given that most of the research papers will be collaborative, and given that these papers may involve lags and delays in data collection, the supervising faculty member(s) involved with the project will determine when there has been adequate progress to assign a grade.

### **4. Research Methods (8 credit hours)**

The Management Department, in collaboration with other departments in W.P. Carey School of Business, offers two 4-credit seminars in research methods. Research Methods I is offered every year while Research Methods II is offered every other year. The two courses introduce a variety of research designs and methods commonly used in management and organizational research. The topics covered include the scientific process and philosophy of science, formulating research questions, measurement validity and reliability, laboratory and quasi-experimentation, survey research, case study research, qualitative methods, longitudinal designs, cross-level designs, and measurement issues in cross-cultural and international management research.

### **5. Supporting Coursework (9 credit hours)**

A minimum of 9 credit hours of coursework must be taken to support the student's advanced program of study. All supporting coursework must be in graduate (502 and above) level courses. Only 3 credit hours of supporting coursework in 590, 592, 790, or 792 courses will count towards the 9 hour minimum.

Supporting courses depend on the student's chosen area of specialization and should be used to support that choice. Courses may be taken in any department or college within the university. Many students find supporting coursework in economics, psychology, sociology, communications, and marketing. In addition, some courses at other universities may be taken (e.g., Thunderbird).

## **E. Electives and transfer of credits**

Once minimum program requirements are met, remaining credit hours may be taken with elective courses. Students with previous graduate coursework may use up to 30 credit hours of that coursework to satisfy these requirements, subject to the approval of the program committee. (Note: these are 30 semester or trimester credit hours. For students transferring in credits from quarter programs, the credit hours may not be equivalent.)

## **IV. ADDITIONAL PROGRAM REQUIREMENTS**

Coursework is only part of the process of completing the Ph.D. program in Management. This section contains information about additional aspects of the program.

### **A. Faculty Expectations for Doctoral Students**

1. The Management Department frequently invites outside speakers to the department for colloquia or job interviews. We believe that students should take advantage of every opportunity to learn about the field. Thus, we expect that all students will attend these guest presentations and related events, since they provide intellectual challenge and can be a key source of new ideas.
2. The department also holds frequent informal “brown-bag” seminars throughout the year for faculty and students. In these seminars, faculty and students may present their own work and get feedback from others. Other seminars are devoted to the development of teaching skills. Students are expected to attend all such informal meetings.
3. Students are strongly encouraged to attend all Management dissertation proposal and defense presentations. This provides the opportunity to become familiar with the nature of dissertations and the process through which they are completed.
4. We expect students to devote their primary attention to their doctoral studies, which should allow completing the degree in four to five years.
5. Publications are important for all of our students, and are heavily emphasized in the program as a desirable research outcome. As a general guideline, students should begin working on a publishable research project in their first year through their graduate assistantship and/or Major Paper. It is expected that prior to the dissertation phase, students will have two or three manuscripts published or under review for publication. This level of research productivity is necessary in order to be competitive in the job market.

The department recommends that students limit themselves to no more than three research projects at any one time. The purpose of this guideline is to insure that students can finish the program in a timely fashion and with completion of high

quality projects. It is expected that this focus on a limited number of projects will result in successful submission to national conferences and to top journals in the area. As indicated in the doctoral student progress report, submissions to conferences and journals are standards of performance for the first and second year, respectively. Both the submission and the outlets should be of high quality. Sacrificing quality for quantity is the tradeoff that the three project guideline is meant to avoid.

Each student's program of study committee will oversee the number of projects that she/he is working on. Each student should keep his/her program of study committee chair apprised of the projects in which she/he is involved. In most cases, the rule of thumb of three projects will be applied by the committee. If desired, students must seek approval of their program of study committees for involvement on more than three research projects. In rare cases, the committee may approve involvement in more than three projects. Consideration will likely revolve around the extent and nature of the student's involvement and the capacity and performance level of the student and the current status of the projects.

6. Students are expected to begin submitting and presenting papers to national conferences (e.g., Academy of Management) as soon as possible. Visibility at conferences provides job placement opportunities and enables students to meet other scholars in the field.

7. Students are expected to maintain a 3.0 GPA during the course of the assistantship and may not accumulate more than two incompletes at any given time. Falling below 3.0 and/or accumulating more than two incompletes may result in cancellation of the graduate assistantship. Beyond meeting coursework responsibilities, students are expected to maintain adequate progress in all other program requirements. This includes timely completion of the comprehensive exam, dissertation proposal defense and progress, and adequate assistantship (teaching and research) performance. Progress in the program is monitored and evaluated yearly by the program committee, Doctoral Program Coordinator, and Management Department Chair. Students whose progress is deemed inadequate may be terminated from the program.

## **B. Graduate Assistantships**

All students admitted to the doctoral program typically receive a graduate assistantship. The assistantship offers a stipend plus in-state tuition for the academic year. Graduate assistants are assigned to a faculty member to assist with research and writing work, classroom duties, and discussion sessions. The specific duties and distribution of teaching vs. research work will vary depending upon which faculty member you have been assigned. Regardless of assignment, all first and second year graduate assistants are expected to spend 20 hours per week on work determined by their supervising faculty members. In the third year, graduate assistants are assigned to more intensive support of an MBA course taught by a faculty member. This assignment provides substantial exposure to effective MBA teaching while providing support to the course. In subsequent years, graduate assistants are assigned a class to teach under the supervision of a faculty course coordinator. During the third and subsequent years, graduate assistants are also expected to spend 10 hours per week on research work with their supervising faculty member. Supplemental support is available in the summer in the form of either a R.A. or through teaching summer courses.

Graduate assistants will be considered for reappointment provided that they continue to make satisfactory progress on program requirements and that they successfully complete teaching and research assignments. Doctoral students may be reappointed up to 10 semesters.

The assistantship is a critically important part of doctoral education, as it is one of the primary ways in which research and teaching skills are learned.

## **C. Development of Teaching Competence**

The development of teaching skills is accomplished through several interrelated activities. One activity is the assistantship. Students gain experience through helping a faculty member design course materials, develop and grade tests, and also conduct in-class activities. In addition to the assistantship, the university provides several resources for the development of teaching skills. All newly appointed teaching assistants are required to attend several university-wide seminars on teaching. In addition, the faculty development office offers numerous seminars and workshops throughout the year on teaching. The Management Department also offers several brown-bag seminars a year that are focused on teaching skills. As the department has several faculty noted for teaching excellence, and also a reputation within the W. P. Carey School of Business for excellent teaching, students are encouraged to visit and observe as many faculty classrooms as they can.

## **D. Orientation of New Students**

During the week prior to the start of classes in the fall semester, special orientation sessions are conducted by both the Graduate College and the Management Department for new students. The purpose of these sessions is to answer questions and clarify expectations for the program. Advanced students actively participate in the department

sessions and play an ongoing role throughout the program in the socialization of new students.

In addition, the department assigns each new student a “big brother/sister” for the first semester. This is a returning student who is available to answer other questions and concerns, show the student around the campus and department, and help with housing and other questions.

### **E. Yearly Progress Report and Feedback to Students**

In May of each year, the Doctoral Program Coordinator solicits from the chairs of program committees a progress report on all doctoral students. This progress report documents and evaluates the student’s accomplishments and activities during the year. Evaluations are made of course progress, research progress, teaching activities, and service/citizenship. Each student first completes a self evaluation form (Appendix C), recording and evaluating his/her past activities, and setting developmental goals for the coming year. This form is submitted to the assistantship advisor, who uses that information as input to his/her final evaluation. The advisor or chair of each program committee will then meet with the student to conduct a developmental feedback session. A copy of the evaluation is forwarded to the Associate Dean in the Graduate Program Office and to the Management Department Graduate Committee. The committee reviews all progress reports and may make recommendations for student development beyond those provided by the advisor or chair of a student’s program committee.

If a student is not progressing successfully, the Management Department Chair may send a written recommendation to the Associate Dean asking for the student to be removed from the program. Upon approval of the Associate Dean, the Graduate College will be notified and a formal letter will be sent to the student notifying them of their dismissal.

As mentioned, these progress reports serve both developmental and evaluative purposes. Students are expected to maintain adequate progress for continuation in the program and continuation of any assistantship.

### **F. Comprehensive Examination**

The comprehensive examination is taken by each student upon completion of all or most coursework and is meant to demonstrate competence in the general field of management and in the student’s area of specialization.

#### **1. Sequence and eligibility**

The comprehensive exam should be taken before the start of the sixth semester of the program. Most students are encouraged to take the exam during their second summer of the program. An alternate date during early January may also be scheduled. Any retakes of the exam should be completed prior to the start of the fourth year in the program.

In addition, the student is responsible for doing the following:

- a) Notify the Management Department Chair and the program committee chair at least two months in advance of the scheduled exam date of his/her intention to sit for the exam.
- b) Request the approval of the program committee chair and submit the request to the Director for Graduate Programs in the W. P. Carey School of Business at least one month prior to the examination. The program chair is responsible for ensuring that the student is eligible to sit for the exam.

## 2. Timing

The comprehensive exam is typically offered twice during the academic year in accordance with school policy. Students can request either of these times. Any deviation from this schedule must be approved by the Graduate Committee of the department. When scheduling an exam date, students should also schedule a day for exam feedback within 10 days after the exam date. This day for feedback should be kept open so that revisions, if necessary, can be made.

## 3. Administration

The exam is administered by the Department of Management. It is an open-book written exam, 15 hours in length and divided into two separate exam days. The first day is nine hours long, and the exam consists of three questions. One question covers research methods and the other two questions cover core management topics in organizational behavior/human resource management and in strategic management/organization theory, identified by the Graduate Committee as those that every management student should know. The list of core management topics is included in Appendix B. The second day is six hours long and consists of two questions covering the student's area of specialization. One specialty item will be in the student's general area (e.g., OB, strategy), and the other specialty item will be more narrowly defined. The student will negotiate with his/her comprehensive exam committee to identify his/her specialty domain.

## 4. Comprehensive exam committee

The comprehensive exam committee is appointed by the Chair of the Management Department and must meet the following guidelines:

- A. a minimum of five departmental faculty members
- B. at least two members from the organizational behavior/human resource management area of concentration

- C. at least two members from the strategy/organization theory area of concentration
- D. include the program chair for each student taking the exam.

Each of the above criteria is independent and an individual faculty member may satisfy more than one criterion.

Comprehensive exam committees are expected to have up to two meetings with test candidates prior to the exam. The purpose of the meetings is to provide reasonable clarification to students regarding exam process and content boundaries. In general, the comprehensive exam is a field exam that is intended to assess and certify competence in the domain of management, with specific sub-domains depending, in part, on the student.

## 5. Grading

The exam must be graded by each member of the exam committee, and the entire committee must meet to discuss each student's performance.

Initial judgment and feedback of exam performance will be made by the exam committee within 10 days of the exam date. Three outcomes are possible: (1) Pass; (2) Revise-and-resubmit; and (3) Fail.

Passing the comprehensive exam requires passing at least four of the five questions, and the research methods question *must* be one of the questions passed.

Revise-and-resubmit shall only be used when: (1) the answer to a question is not clearly a pass or a fail, and (2) the revision is expected to materially affect the final decision (i.e., the exam is not a clear pass or a clear fail regardless of the outcome of the question(s) to be revised). A student may be required to revise-and-resubmit a maximum of two of the five questions. The student will be given the revise-and-resubmit decision at the time of feedback regarding exam performance, and will be asked to revise his/her answer(s) that day. For each item on which the committee requires resubmission, the student will have a total of three hours to make revisions.

If the exam is failed, the student must retake only questions in those areas that were failed. To pass the exam after an initial failure, the student must receive a "pass" grade on all retaken questions. A student who fails the exam may petition to retake the exam one additional time within three to six months of the date of the original exam. Approval to retake the exam must be obtained from the program committee. Only one retake of the exam is permitted. A student who does not pass the retake is ineligible to continue in the Ph.D. program.

## 6. Notification of the exam results

The program chair will notify the student of the results. After the program chair has notified the student, the exam committee will notify the Chair of the Management Department.

## **G. DISSERTATION**

The dissertation represents a major research project of an original and creative nature that will advance the state of theory in the student's major field, while meeting the requirements of the Graduate College. Given the emphasis on research in the program, the dissertation should not be viewed as the student's first research project. However, when the dissertation is completed, it signifies individual competence as a researcher.

### 1. The dissertation committee

The dissertation process is supervised by a dissertation committee composed of at least three people: a chair and two other faculty members. In the case of two co-chairs, at least a third faculty member is required. The student should select a chair from the list of eligible faculty in the department, based on mutual research interests. The selection of additional members of the committee should be based on the contributions they might make to the final product. The student, in selecting members, should consider the mix of knowledge and skills across the committee. In order to make informed judgments in this area, students should make substantial effort to interact with faculty to become aware of their research interests and areas of expertise.

### 2. Preparation of the research plan and proposal defense

The first step in the dissertation process involves developing a proposal indicating the research topic and the method that will be used to examine it. The topic of the dissertation is to be selected through intensive interaction with the dissertation committee and particularly with the chair. Once initial approval of the topic is given by the committee, a research proposal detailing the conceptual model and methods will be developed and presented for final approval. This approval will be granted by the committee upon completion of an oral defense of the proposal in a special seminar open to all faculty and doctoral students. During the defense, committee members and others may comment on the proposal, question the student, and suggest revisions. In a closed session following the defense, the committee votes to determine whether the student will be allowed to proceed with the research and decides on necessary revisions.

Generally, this defense should take place within four semesters of completing the comprehensive exam. It will be scheduled by the dissertation chair through the office of the Dean for Academic Programs in the W. P. Carey School of Business and announced via memos to faculty and students at least one week prior to the

defense date. At least one week prior to the defense, a copy of the proposal will be placed on file in the department office for review by interested parties.

The proposal will consist of (at a minimum): (1) a clear statement of the topic and an indication of its contribution to the state of theory in the field; (2) a review of relevant literature, indicating where the proposed topic fits in this literature; (3) a clear description of the methodology (e.g., sample/data source, measures, analysis) to be employed, including the rationale for this approach; (4) a bibliography. It should be of sufficient rigor and depth that the committee is confident of the student's ability and dedication to complete the project in a timely manner.

Instead of a traditional dissertation, the student has the option to adopt a three-paper format with all three papers related in a coherent fashion to the core idea of the dissertation. This option should be discussed and agreed upon by the dissertation Chair and Ph.D. Program Coordinator. This option is to provide some flexibility in the format of the dissertation research and to ensure that our training provides our student the best preparation for a productive research career. This format allows the student to have three papers ready to be submitted or already submitted to journals when they start their academic career. The normal criteria for quality standards apply to both the traditional dissertation and the three-paper option.

### 3. Candidacy

At the completion of the dissertation proposal defense the chair of the student's dissertation committee will notify the Associate Dean in the W. P. Carey School of Business of the pass/fail status of the student. The Associate Dean will forward the results to the Graduate College, who will in turn forward the exam results to the Graduation Office. The Graduation Office automatically files the student's application for candidacy and sends the student a letter regarding his/her candidate status.

### 4. Enrollment in dissertation credit hours

Students generally will not enroll in dissertation hours (MGT 799) until all or at least a major portion of coursework is completed. The student must enroll in a minimum of 24 total research/dissertation credit hours (792, 799) over the course of the program, keeping in mind the overall minimum total of 84 credit hours beyond the bachelor's degree. Enrollment in 799 in a given semester should reflect the proportion required to meet the overall requirement in the appropriate time frame, and the degree of faculty involvement during the semester. The committee chair and student should be aware of the following guidelines:

A. “full time” registration is a minimum of 7 credit hours in one semester if the student is not on an assistantship, 6 credit hours if he/she is on an assistantship.

B. the maximum allowable registration in a given semester is 15 credit hours if the student is not on an assistantship, 12 credit hours for those who are on an assistantship.

#### 5. Work on the dissertation while off campus

A Ph.D. candidate who has passed the comprehensive exam and successfully defended the dissertation proposal may conduct the research in absentia under the following conditions:

A. The candidate must obtain written approval from the dissertation committee to do so. Research in absentia will be considered a special case and must be justified.

B. The candidate will be expected to submit regular progress reports to the dissertation committee chair, at intervals not to exceed one semester. Any prolonged inactivity on the dissertation is discouraged, and may lead to the disqualification and rejection of the dissertation by the committee.

C. The student will be required to maintain continuous enrollment in at least 1 dissertation credit hour while conducting the research in absentia.

D. If the student anticipates prolonged inactivity on the dissertation, he/she may request a leave of absence. It should be recognized that such a request is undertaken at the risk of the candidate’s status in the program. A leave of absence must be approved by the Associate Dean and the Graduate College.

#### 6. Enrollment in dissertation credits

A minimum of 12 credit hours of 792 or 799 credits must be taken in the semester directly following the dissertation proposal defense (after candidacy has been achieved).

#### 7. Defense of the dissertation

Upon completion of the research, the student will prepare a final draft of the dissertation according to University guidelines. Copies should be distributed to each committee member, and the oral defense of the dissertation should then be scheduled through the committee chair, the Graduate College, and the office of the Dean for Academic Programs in the W. P. Carey School of Business. At least one week prior to the defense, a memo from the Graduate Programs Office will be sent to all faculty and doctoral students, at which time a copy of the full

dissertation should be placed on file in the department office for review by interested parties. Throughout this process, the student should be aware of all University, Graduate College, and W. P. Carey School of Business deadlines for defense and graduation. The student is also responsible for obtaining the appropriate forms and initiating action regarding their completion whenever necessary.

#### 8. Dissertation process duration and time limitations

Students should expect that the dissertation proposal may require at least three to six months to draft initially, then another three to six months to revise and defend formally. Dissertation research and writing usually take about a year, although additional time may be needed. Plan to spend another month or two to respond to criticisms and make revisions requested by the committee before final defense. In sum, the entire process should take about a year and a half. Consequently, students should begin work on the proposal immediately after the comprehensive exam has been completed.

According to W. P. Carey School of Business guidelines, candidates must successfully complete the final oral defense of the dissertation within five years after passing the comprehensive exam. Candidates who fail to meet this guideline are required to retake the comprehensive exam. Any exceptions to this have to be approved in writing by the dissertation committee, the Associate Dean in the W. P. Carey School of Business, and the Dean of the Graduate College.

#### 9. Completion of the program

Upon successful defense of the dissertation, the student is responsible for making any adjustments and/or corrections to the draft of the dissertation and, following the Graduate College guidelines and deadlines, making final submission of the completed document at least three weeks plus two working days prior to the degree conferral date.

### **V. MISCELLANEOUS**

#### **A. Leave of Absence**

Once admitted to the Ph.D. program, the student is expected to be enrolled continuously until all requirements of the degree have been fulfilled. Continuous enrollment promotes steady progress toward the completion of the degree and an ongoing relationship between the student and faculty. If a program of study must be interrupted for one or more academic year semesters, the student may apply for leave status, not to exceed one calendar year. A student on leave is not required to pay fees, but is not permitted to place any demands on university faculty or use any university facilities. A student who interrupts a program without obtaining a leave status may be removed automatically from the Graduate College upon recommendation of the Department of Management and the Associate Dean for Academic Programs in the W. P. Carey School of Business under the

assumption that he or she has decided to discontinue the program. A student removed from the Graduate College for this reason may reapply for admission; the application will be considered along with all the other new applications to the degree program.

An application for leave status, endorsed by the members of the student's supervisory committee and the Associate Dean for Academic Programs, must be approved by the Dean of the Graduate College not later than the last day to register for classes in the semester for which the student is requesting leave.

## **B. Criteria for Nomination to Consortia**

At national conferences, special pre-conference sessions are conducted for outstanding graduate students. The purpose of these sessions is to provide networking opportunities and discuss research ideas with recognized experts in the field. Doctoral programs are typically allowed to nominate one student for a consortium. The criteria for our selection of a student include:

A. Performance as a student; including active involvement in research and steady progress toward the degree.

B. Career stage and interest. Typically only those students who are post-comprehensive exam will be considered.

C. Representation of the department. Students selected for the consortia are our representatives to the professional community. Thus, the Graduate Committee will consider the way in which the student is likely to represent the department.

D. Other criteria suggested by the consortia organizers.

It is not always the case that students will be sent each year. The final decision is made by the Graduate Committee based on whether one or more students have met the criteria for attendance. An individual may participate in one consortium one year and another in another year. However, no student will be sent to the same consortium twice.

## **C. Use of Department Equipment, Supplies, Facilities, Mail Room, and Telephones**

The department maintains a workroom in which there is a copy machine, computer, fax machine, limited supplies, and the individual departmental mailboxes. Doctoral students have access to this room at all times; thus they share the responsibility for the security of the room during after-hour use. All department equipment and supplies are provided to facilitate work related activities. If you use supplies, the copier, fax or telephone for personal matters or courses in which you are enrolled as a student, you are expected to reimburse the department for such use. Violation of this policy may result in disciplinary action, including loss of the graduate assistantship. A separate document provides details of the various types of support provided by the department.

#### **D. Office Space Assignments**

All doctoral students are assigned office space by the department. Offices are typically shared, with two students in an office. Office assignments will be made prior to the start of the fall semester. Each office is equipped with a phone and two computers. New students are typically paired with a more senior student as part of the mentoring process.

#### **E. Summer Support**

Summer support in the form of research fellowships is made available to students in the summer after the first year of study. Summer support in the subsequent years is available for doctoral students, in the form of either research fellowships or summer teaching.

#### **F. Travel Support**

Departmental travel support is available to students attending national conferences who will be presenting papers, attending doctoral consortia, or otherwise visible in academic conference activities. Support is limited to \$500 per year. Additional travel support is available on a competitive basis from the Graduate College.

#### **G. Where to Go for Help**

If there are problems with the assistantship (e.g., the work is taking too much time, the work is inappropriate, there are other concerns) that cannot be resolved between the supervising faculty member and the graduate assistant, the Doctoral Program Coordinator should be contacted.

## APPENDIX A

### SUGGESTED QUANTITATIVE METHODS COURSES

Quantitative research skills are essential for high quality research in management. All 3 students are required to take the departmental research methods course which focuses on research design and not data analyses. For a more comprehensive preparation for conducting empirical research, students need preparation in the following additional areas:

- Regression/Analysis of variance
- Multivariate statistics
- Causal modeling
- Qualitative methods

In addition, students would be well served to seek training, either on their own or in formal courses, in the following areas:

- Survey methods
- Psychometrics
- Exploratory data analysis
- Time series
- Econometrics

Courses covering these topics are available from a variety of disciplines, including Marketing, Economics, Psychology, Sociology, and Educational Psychology. The student should meet with his/her program committee to select appropriate courses.

## APPENDIX B CORE MANAGEMENT TOPICS

This list is based upon: (1) a list provided by the comps committee chair in 2002, (2) the official topic list in Appendix B of the previous PhD manual (2002), and (3) personal communication with the 2003 comps committee.

### OB Core Topics

- OB Paradigms/Theory/Trends (e.g., foundational issues and major emerging trends, such as Person Environment Fit, Justice, Psychological Contracts, Levels of Analysis)
- Group Composition and Process
- Demography/Diversity
- Job Attitudes and Behavior (e.g., satisfaction, Commitment, Identification, Turnover, Performance, Innovation, Citizenship)
- Leadership
- Motivation including rewards, feedback, task design, incentives
- Stress and Coping
- Power, Politics, Influence
- Individual differences (e.g., ability, personality, efficacy, etc)
- Individual Cognition (e.g., decision-making)

### HR Core Topics

- Compensation
- Appraisal
- Selection/Recruiting
- Planning/HRIS
- Training and Development (including careers)
- Employment relationships
- Strategic HR

### Strategy Core Topics

- Strategy Paradigms/Theory/Trends (e.g., agency, transaction cost, resource-based, knowledge-based, resource dependency theory)
- Defining and measuring firm performance
- Diversification
- Mergers and acquisitions
- Alliances and collaborative strategies (including network interorganizational networks)
- Competitive dynamics
- Corporate governance
- Executive compensation
- Boards of directors
- Shareholder monitoring
- Strategy formulation processes
- Planning versus Emergence
- Strategy implementation
- Strategic renewal
- Corporate entrepreneurship
- Strategic renewal
- TMT decision-making processes
- Dynamic capabilities and evolutionary models of strategic advantage

### OT Core Topics

- OT Paradigms/Theory/Trends (e.g. General Systems Theory, Environment-Structure Fit, Technology-Structure Fit)
- Organizational Cognition (Knowledge, Information, & Learning)
- Organizational Culture, Climate, and Identity
- Organizational Structure and Design (Environment and Technology)
- Change and Development

### Methods Core Topics

- Survey Design (including sampling)
- Psychometrics (measurement, reliability, validity)
- Scale Development
- Experimental (field and lab)
- Quasi Experimental
- Levels of Analysis
- Qualitative Analysis (e.g. content analysis)
- Statistics
  - Probit
  - Logit
  - time series data analysis
  - panel data analysis
  - regression
  - ANOVA / MANOVA / ANCOVA
  - Non-parametric methods
  - Causal Modeling / Structural Equation Modeling
  - Factor Analysis

APPENDIX C  
**DOCTORAL STUDENT PROGRESS REPORT**

Name \_\_\_\_\_

Supervising Faculty \_\_\_\_\_

Year \_\_\_\_\_

This report should be completed by the student, and submitted to the supervising faculty, who will provide his/her own evaluation of the student. Both forms should then be submitted to the student's program of study chair.

**1. Career statement**

Briefly describe your area of specialization and your career goals.

**2. Development of teaching competence**

a) *Participation in activities to develop teaching competence.* Each year, students should participate in formal activities to develop teaching skills, including attendance at brown-bag seminars devoted to this, attending seminars and workshops on teaching offered by the graduate college and the faculty development office, sitting in on classes offered by departmental faculty. List below the teaching development activities you have participated in this year:

b) *Teaching responsibilities as a part of the assistantship.* List below the teaching responsibilities you have had this year:

c) *Evaluation of your performance in meeting these responsibilities:*

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Explanation for your rating:

d) *Developmental needs.* Please list below those areas in which you think you need development. Also list those activities or goals for the coming year that will help you develop in those areas:

### 3. Research

a) *Publication progress.* As a general guideline, students should begin working on a publishable research project in their first year through their graduate assistantship and/or Major Paper. It is expected that prior to the dissertation phase, students will have two or three manuscripts published or under review for publication. Students are also expected to begin submitting and presenting papers to national conferences as soon as possible. In the space below, list all your publications, presentations, and work in progress:

b) *Research assistantship responsibilities.* In the space below, list the research responsibilities you have had this year as a part of your assistantship:

c) *Evaluation of your performance in meeting research responsibilities:*

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Explanation for your rating:

d) *Developmental needs.* Please list below those areas in which you think you need development. Also list those activities or goals for the coming year that will help you develop in those areas:

#### 4. **Progress in coursework**

a) List the courses taken this year and the grade received:

Course

Grade

b) Using the attached schedule, check the appropriate category presented below.

\_\_\_\_\_ behind schedule

\_\_\_\_\_ on schedule

\_\_\_\_\_ ahead of schedule

c) Do you have a program committee appointed? \_\_\_\_\_ Yes \_\_\_\_\_ No

d) Do you have a program of study approved? \_\_\_\_\_ Yes \_\_\_\_\_ No

e) When do you plan to take your comprehensive exams? \_\_\_\_\_

## 5. Departmental service and citizenship

a) Students perform service and citizenship duties when they participate in the life of the department, by attending brown-bag seminars and colloquia, by helping to recruit and socialize new students and faculty, by serving on committees, etc. List below the service activities you have been involved in this year:

b) *Evaluation of your performance in meeting service responsibilities:*

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Explanation for your rating:

## DOCTORAL STUDENT PROGRESS EVALUATION FORM

Student's name \_\_\_\_\_ Year \_\_\_\_\_

Completed by \_\_\_\_\_

1. Evaluation of student's performance in meeting teaching responsibilities:

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Comments:

2. Evaluation of the student's performance in meeting research responsibilities:

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Comments:

3. Evaluation of the student's progress and performance in coursework:

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Comments:

4. Evaluation of the student's performance in meeting service/citizenship expectations:

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Comments:

**5. Overall evaluation of student:**

\_\_\_\_\_ excellent

\_\_\_\_\_ satisfactory

\_\_\_\_\_ unsatisfactory

Other comments:

Student signature and date of receipt \_\_\_\_\_

## Recommended Progress

### **Year 1 (OR 2 if student entered without Masters or equivalent)**

#### On Schedule

18 to 24 credit hours to include:

Research methods I	(4)
4 Management modules	(4)
2 Quant methods	(6)
1 Econ or foundational topic	(3)
Major Paper	(2)

### **Year 2 (or 3)**

All of year 1 courses plus the following:

Research methods II	(4)
1 Behavioral science	(3)
4 Management modules	(4)
Major Paper	(2)
Supporting electives	(9)

### **Year 3 (or 4)**

At least 39 credit hours and all prerequisites completed by the end of fall semester.  
Comps completed by the end of spring.

### **Year 4 (or 5)**

Dissertation proposal defended by the end of the fall semester.