Ph.D. in Business Administration (Management)

W. P. Carey School of Business
Arizona State University

Policies and Procedures for the Management Area of Concentration in the Ph.D. Program in Business Administration

Revised and effective: July 2020

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

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TABLE OF CONTENTS

APPENDICES

I: INTRODUCTION

The Department of Management & Entrepreneurship

The Department of Management & Entrepreneurship (also called "the department") at Arizona State University is one of seven departments and schools within the W. P. Carey School of Business. The research and teaching of its faculty members primarily cover the areas of Organizational Behavior and Strategic Management, with secondary coverage of Human Resource Management and Organizational Theory. Faculty members publish their research in journals such as *Academy of Management Journal*, *Academy of Management Review*, *Administrative Science Quarterly*, *Journal of Applied Psychology*, *Organization Science*, *Personnel Psychology*, *Strategic Management Journal*, and many others.

The Doctoral Program

The department offers students the opportunity to obtain a Ph.D. in business administration with a concentration in management. Although management is a broad field, our doctoral program is best suited for those students interested in specializing in organizational behavior and/or strategic management. The doctoral program places primary emphasis on the development of high-quality scholarship, focusing first and foremost on research competence and secondarily on 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 tenure-track faculty positions at leading research universities.

Doctoral students (also called "Ph.D. 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, research with faculty members, and independent research and study. Students in the department's Ph.D. program select a series of modules in organizational behavior, strategic management, human resource management, organizational theory, and research methods. Students develop additional focus and expertise through collaboration on research 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, especially until they have successfully defended the dissertation proposal (see *IV.H. Dissertation*). Full-time enrollment entails a minimum of six credit hours of coursework during the Fall & Spring semesters (the six hours cannot include audit enrollment). To reach the required 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, both as part of their assistantship and independently. We provide a great deal of individual attention to the 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 overarching 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:

- A completed application for admission to graduate studies at ASU.
- College transcripts showing grades received while pursuing all prior undergraduate degrees and graduate degrees.
- 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, IELTS, or PTE scores. English proficiency test scores are only valid if taken within two years prior to the semester of application.

- 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.
- A written statement that discusses your personal career objectives, rationale for pursuing a Ph.D. in management in general and at ASU in particular, types of research and coursework you plan to pursue, and what you plan to do after receiving your Ph.D.
- 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). Although a prior graduate degree is not required for admission, previous Master's or Ph.D. level work will be considered a plus during the committee's consideration for admission.

The Department Ph.D. Committee, which consists of four to six faculty members in the department, screens the applications. Applicants passing the initial screening will be called for a phone interview. Members of the committee may also have follow-up communication with letter of reference writers. In reviewing applications, the committee considers the entire profile of the applicant, including standardized test scores, transcripts, experience, the personal statement, and letters of recommendation. Because of the highly individualized nature of Ph.D. training and the importance of mentorship, we place particular emphasis on the fit between what our program offers, both in terms of content that is taught in our seminars and the research interests of faculty who are available to work with doctoral students, and an applicant's research and teaching interests. The Ph.D. Committee then makes admission recommendations to the Chair of the department, and, if approved, the admittance recommendation is forwarded to ASU Graduate College for approval. After Graduate College admits the applicant, the Chair of the department writes a letter to the applicant that outlines an offer of financial support.

We only consider applications in the fall/early winter for admittance in August; we do not have a rolling deadline. We normally admit two 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: PLAN OF STUDY

The Plan 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.

III. A. General Overview of Course Requirements

The doctoral program consists of a minimum of 84 credit hours of approved graduate work (see Appendix A), including a minimum of 12 hours in the basic program, a minimum of 30 hours in the advanced program, 30 hours in supporting coursework, and 12 hours of dissertation (799) credits.

III. B. Program Advisor

Each student must have a program advisor during the first year of graduate study. The program advisor is typically one of the two formal mentors assigned by the Chair of the department, but it also can be the department's Ph.D. Program Coordinator. The program advisor must be approved by the Dean's office in the W. P. Carey School of Business upon recommendation by the Chair of the department.

The program advisor's primary responsibility is to work with the student to formulate a curriculum (including coursework and research projects), which is subsequently reflected in the Individual Plan of Study (iPOS) that meets the student's unique interests within the constraints imposed by school and university requirements. With the help of the advisor, the student decides on an area of specialty or concentration and chooses appropriate coursework and research experiences to support that decision. The advisor, along with assigned formal mentors, also monitors student progress (see IV.F. below), and provides feedback to students regarding that progress. The advisor may be distinct from the student's dissertation committee (**see IV.H.1 below**), which is formed prior to taking the comprehensive examination (**see IV.G. below**, however, this committee can be amended prior to the dissertation proposal defense). A student must have an approved plan of study prior to beginning the second semester of coursework in the Ph.D. program.

III. C. Basic Program (minimum of 12 credit hours)

According to W. P. Carey School of Business guidelines, the basic program consists of a minimum of 12 credit hours of coursework. The courses composing 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.

This requires at least:

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

III. D. Advanced Program (minimum of 30 credit hours)

The advanced program consists of a minimum of 30 credit hours and complies with the W. P. Carey School of Business guidelines, which 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).

The advanced program, detailed below, includes the four management core modules (three credit hours each), at least two specialty management modules (one credit hour each), and three research method modules (two three credit hour seminars and a one credit module in research ethics). The additional nine credit hours of supporting coursework may be fulfilled with additional specialty modules or other coursework. The specific courses taken beyond the core modules represent the student's area of specialization and are selected by the student with the help of the program advisor and mentors. The plan of study must be approved by the student's program advisor, the head of the academic unit and the Dean of Graduate College.

III. D. 1. Management Core Modules (12 credit hours)

All students will take the following core modules: (these three-credit seminars are each 15 weeks in length, offered every other year, and are typically completed during the first two years of study.)

III. D. 1. a. Macro Seminar: Strategic Management

This survey seminar examines foundational theories as well as contemporary work in strategic management. The aim is to provide a survey of the strategic management field, from theory and research on the effectiveness of business level strategies and managing competitive dynamics to create competitive advantage, to theories and research on the strategies of large multi- product firms, how they are governed, and how the portfolio of businesses is managed. Topics include industrial economics' influence on strategy, and transaction cost, agency, resource dependence, network, and resource-based view theories. We explore alliances, diversification, governance, socio-cognitive approaches, and strategy process.

III. D. 1. b. Micro Organizational Behavior (OB) Seminar

This survey seminar examines theory and research on organizational behavior that is focused on the individual as the primary unit of analysis. The seminar will cover both classic topic areas as well as those that are more contemporary. The module will provide a preview of core OB topics such as job performance, organizational citizenship behavior, commitment, motivation, job attitudes, trust, justice, perception, learning, decision- making, stress, and individual differences in personality and cognitive ability.

III. D. 1. c. Macro Seminar: Organizational Theory (OT)

This survey seminar examines the major theoretical approaches to the field of organizational theory. Organizational theory pertains to understanding how organizations—which are ubiquitous in contemporary human experience—form, grow, change, interact, influence, and make decisions and respond to problems internal and external to their boundaries. Topics include “old” and “new” institutional theories; organizational learning, attention, and decision making; sensemaking and enactment; social evaluations, including reputation, status, and legitimacy; upper echelons perspective; organizational ecology; and the social movement perspective. We explore rational, natural, and open systems views of organizations.

III. D. 1. d. Meso Organizational Behavior Seminar

Meso organizational behavior theory and research simultaneously studies at least two levels of analysis including individual, group, and organizational levels and the links between these levels. The objective of this seminar is to review theories and research that synthesize micro and macro organizational process. The topics of this seminar include the meso building blocks of multilevel theory, context, process, and time, and the specific content areas of relational perspectives, social networks, groups/teams, power and politics, leadership, organizational culture/climate/identity, and the future of work.

III. D. 2. Specialty Management Modules (minimum of 2 credit hours)

Other modules are offered that cover specialized areas in management and research methods, or that “dive deeper” into important issues that were covered only briefly in the core seminars. Students must take a minimum of two one-credit seminars (each five weeks in length) within the first two years of study. However, to promote continuous development of scholarly knowledge and skill, students in years three through five are highly encouraged to take advantage of the specialty management modules that are offered.

Examples of specialty management modules include:
General

- Theory Building

Research Methods Topics

- Qualitative Research
- Research Ethics
- Analysis of Mediation and Moderation
- Meta-analysis
- Multilevel Research Design and Analysis

OB Topics (Micro/Meso)

- Organizational Attachment
- Mood and Emotion
- Organizational Culture

- Leadership in Organizations
- Organizational Dysfunctions
- Organizational Learning, Change, and Innovation

Macro Topics (Strategy/Organization Theory)

- Strategy Development and Implementation
- Alliance and Network Strategies
- International Strategy
- Corporate Governance
- Economic Theories of Organization
- Institutional Theory

III. D. 3. Research Method Modules (7 credit hours)

All students will take the two three-credit seminars in research methods offered by the Management Department: Research Methods I and Research Methods II as well as one one-credit Research Ethics seminar. These seminars introduce a variety of research designs, methods, and ethics 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, measurement issues in cross-cultural and international management research, and various data analysis techniques.

III. D. 4. Additional Coursework (minimum of 9 credit hours)

A minimum of nine credit hours of coursework must be taken to support the student's advanced plan of study. All supporting coursework must be in graduate (502 and above) level courses. In general, only three credit hours of supporting coursework in 590, 592, 790, or 792 courses should be used towards satisfying the nine-hour minimum, although exceptions can be made with approval from the Ph.D. Coordinator.

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, Finance, Psychology, Sociology, Communications, and Marketing. In addition, some courses at other universities may be taken with approval from the Ph.D. Coordinator.

III. E. Supporting Coursework (minimum of 30 credit hours)

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 Ph.D. Committee and Graduate College.* (Note: these are 30 semester or trimester credit hours. For students transferring in credits from quarter programs, the credit hours may not be equivalent.)

III. F. Dissertation (12 credit hours)
See "Dissertation" (IV.H.)

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.

IV. A. Graduate College and W. P. Carey School of Business Requirements

IV. A. 1. Graduate College Satisfactory Academic Progress Policy

(as outlined in https://graduate.asu.edu/sites/default/files/asu-graduate-policies-and-procedures_032019_0.pdf)

a. All graduate students are expected to make systematic progress toward completion of their degree. This progress includes satisfying the conditions listed below, and achieving the benchmarks and requirements set by the individual degree programs (see IV.A.2 below).

   - Maintain a minimum of 3.00 GPA on both the iPOS GPA *(calculated from all courses that appear on the student's approved iPOS)* and Graduate GPA *(calculated from all courses numbered 500 or higher that appear on the transcript)*. If either GPA falls below 3.00, the student must develop, with their advisor, an academic performance improvement plan that includes the conditions and timeframes for making satisfactory academic progress in their degree program.
   - Satisfy the maximum time limit for graduation from the Ph.D. (10 years from admission) and comply with the five-year time limit for graduation after passing the comprehensive examinations, whichever is shorter.
   - Stay continuously enrolled in their degree program. Failing to do so without a Graduate College-approved Request to Maintain Continuous Enrollment is considered to be lack of academic progress and may lead to automatic dismissal of the student from the degree program. Persistent "W" and "I" grades during multiple semesters on a plan of study or transcript may reflect lack of academic progress.
   - Successfully pass comprehensive exams, qualifying exams, and/or foreign language exams.
   - Successfully complete the oral defense of the proposal for the dissertation.
   - Successfully complete the Dissertation and the oral defense of the Dissertation.

b. Students are responsible for verifying additional satisfactory progress policies as required by their degree program.

c. If a student fails to satisfy the requirements of their degree program and/or the benchmarks outlined above, the student may be placed on probation or dismissed from the program based on the Academic Unit's (department's) recommendation to Graduate College. The Dean of Graduate College makes the final determination.

IV. A. 2. Satisfactory Academic Progress Requirements Specific to the W. P. Carey School of Business

In addition to the above Graduate College requirements for satisfactory progress, Ph.D. students are required to satisfy the following conditions for satisfactory progress as set by the W. P. Carey School of Business Doctoral Committee:

- *Academic Integrity*. A student who engages in academic misconduct as outlined in ASU's academic integrity policy (https://provost.asu.edu/academic-integrity) while attending the W. P. Carey School of Business Ph.D. program will be subject to strict penalties. Those penalties may range from a full two-letter reduction in final course grade (at a minimum) to expulsion from the program and School of Business. All allegations of academic misconduct must be reported to program administrators. Any subsequent act of academic misconduct, regardless of severity, will result in dismissal from the program and the School of Business.
- *Pass all courses*. Grades of "D" or "E" are not considered passing grades for Ph.D. students. At any point while pursuing their Ph.D. degree, a student who receives a grade of "D" or "E" in any course will not be permitted to continue coursework. If a student is currently on probation, the student will be recommended for dismissal to Graduate College. If the student is not on probation, a time frame for restarting the program will be determined. At the discretion of the department-level Ph.D. Committee, requirements for restarting the program may include retaking all courses in the program (i.e., restart the program from the beginning), retaking all courses beginning in the period during which a grade of "D" or "E" was earned, or retaking only the course(s) in which a grade(s) of "D" or "E" was (were) earned. Failure to restart the program in the determined time frame constitutes unsatisfactory progress in completing Ph.D. Degree requirements and the

student will be recommended for dismissal from the Ph.D. program to the Graduate College.

- *Department-level requirements.* Each department can have its own set of Academic Progress requirements (e.g., qualifying exams, comprehensive exams, etc.), as long as they are explained in the department's Ph.D. Manual. A student is required to meet all those additional requirements in order to be considered as having satisfactory academic progress.

IV. B. Specific Department-level Requirements for Doctoral Students

IV. B. 1. First and Second Year Major Papers

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 that (2) will result in publication in top quality journals (although credit is not dependent on publication). Students should consult their program advisor to ensure that the topic and scope of the paper is sufficient for the purposes of meeting this requirement. Generally speaking, the papers need to be developed to the point where they would have a reasonable chance of being "accepted" at a scholarly conference where submissions are peer reviewed. If the paper is co-authored, the student needs to include a written statement that outlines their role in the project. To be acceptable, the student needs to have written a significant portion of the paper and made a significant intellectual contribution. If the student's program advisor is not involved in a respective project, he or she is nonetheless responsible for reviewing the paper to determine whether it is acceptable. The outcome of this review will be noted on the student's Yearly Progress Report. Therefore, the papers are due when the Yearly Progress Report is due (see IV. F. below).

IV. B. 2. Colloquia and Job Talks

The 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 and future professional relationships.

IV. B. 3. Informal Seminars

From time to time, the department also holds informal "brown-bag" seminars for faculty and students. For example, faculty and students may present their own work and solicit feedback; other seminars may be devoted to the development of teaching skills, professional norms, and so on. Students are expected to attend all such informal meetings.

IV. B. 4. Proposal and Dissertation Defenses

Students are strongly encouraged to attend all of the department's 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.

IV. B. 5. Program Duration

We expect students to devote their primary attention to their doctoral studies, which should allow completing the degree in four to five years.

IV. B. 6. Publication Aspirations

Publications are important for all of our students and are emphasized in the program as a highly 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 in their field of specialization. It is expected that prior to the dissertation phase, students will have two or more manuscripts published or under review for publication. This level of research productivity is necessary in order to be competitive in the job market.

IV. B. 7. Conference Submission Aspirations

Students are expected to begin submitting and presenting papers to national conferences (e.g., Academy of Management) by their second year. First year students are encouraged to attend (with department financial support) the annual Academy of Management meeting and participate in the New Doctoral Student Consortium. Visibility at conferences enables students to meet other scholars in the field and eventually provides job placement and networking opportunities.

IV. C. 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.

For the first and second years, graduate assistants are assigned to one or two faculty mentors, for whom the student provides assistance with research and writing. Usually, one of these mentors will serve as the student's program advisor and primary point of contact for matters related to the student's development. All first- and second-year graduate assistants are expected to spend 20 hours per week on research determined by their supervising faculty member(s).

In the third year, part of the graduate assistantship is spent in 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 the fourth and fifth 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 mentor, who is usually the dissertation chair. Supplemental support may be available in the summer, awarded on a competitive basis; for example, in the form of summer teaching opportunities or research grants.

Graduate assistants will be considered for reappointment provided that the student continues to make satisfactory progress on program requirements and successfully completes 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 and developed.

IV. D. Development of Teaching Competence

The development of teaching skills is accomplished through several interrelated activities. One activity is the assistantship described above. 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 Graduate College's Teaching Assistant Development Program (TAD). The TAD Program is designed to provide new TAs with an orientation to ASU and the TA position, provide professional development throughout the first semester of appointment, teach new ASU graduate teaching assistants about their role as student instructors, provide strategies for successfully interacting with students, and tips on how to lead discussions and grade students' work. For all

TAs new to ASU, this training is required by the Arizona Board of Regents. Students must complete the Pre-Orientation Modules (usually by the first week before classes begin) through the ASU Career Edge platform, found on your My ASU (ASUrite ID and password required) and attend orientation. Upon assignment of an assistantship by your department, all TAs and RAs should visit career-edge.asu.edu and search for the Graduate Assistant Training (TA/RA) course. TAs are also required to complete two "Developmental Experiences" by the end of the fall semester. Orientation dates and additional details can be found here (https://graduate.asu.edu/current-students/enrich-your-experience/professional-development/graduate-assistant-training-tara).

- All incoming international students are required to attend the international student orientation. Moreover, students who do not meet the required scores on the TOEFL iBT oral portion (26 or higher) or IELTS speaking portion (8 or higher) must pass the SPEAK test offered at ASU by Global Launch (55 or higher) or complete the ITA Teacher Trainer Course (with a score of "certified") by the end of the fall semester in the second year in the program (https://learnenglish.asu.edu/international-teaching-assistant)
- In addition, the faculty development office offers numerous seminars and workshops on teaching throughout the year.
- From time to time, the business school offers brown- bag seminars that are focused on teaching skills.
- As the department has many faculty noted for teaching excellence within the W. P. Carey School of Business, students are encouraged to visit and observe as many faculty classrooms as they can. Students are expected to begin their teaching development activities in their first year and not wait until their third year.
- In addition to observation and formal seminars, students also will have teaching mentors when they are assigned to be a TA for an MBA course in their third year, and when they teach undergraduate courses in their fourth and fifth years. The teaching mentor for their fourth and fifth year is usually the course coordinator for the course. This coordinator will help the student with course design, syllabus preparation, and sharing of resources and knowledge, and will provide advice and feedback to the student. The coordinator may also observe the doctoral student teaching in the classroom.

IV. E. 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 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 an officemate/mentor for their first year. This student is available to answer any questions and concerns, show the student around the campus and department, and help with housing, library, computer centers and other questions.

IV. F. Yearly Progress Report and Feedback to Students

By the end of May each year, the Doctoral Program Coordinator solicits from the faculty mentors a progress report on all doctoral students for developmental and administrative purposes. 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. The process is as follows:

- Each student completes a self-evaluation form (Appendix D), recording and evaluating his/her past activities, and setting developmental goals for the coming year.
- This form is submitted to the primary supervising faculty member, who uses the information as input to his/her final evaluation. For first year students, additional inputs are sought from all faculty members who taught the Ph.D. modules.
- The primary faculty mentor will then meet with the student to conduct a developmental feedback session.
- A copy of the final evaluation is forwarded to the department's Ph.D. Committee. The Ph.D. Committee reviews all progress reports, research papers, transcripts, other faculty inputs and may make recommendations for student development beyond those provided by the advisor.

- If sufficient progress is not being made, a student may be recommended for probation or dismissal, subject to the W. P. Carey School of Business Ph.D. Program Probation and Dismissal Policy (see Appendix E.)

IV. G. 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.

IV. G. 1. Sequence, Timing, and Eligibility

The comprehensive exam should be taken before the start of the fifth 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. <u>Any deviation from this schedule must be approved by the Ph.D. 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 to the exam, if necessary, can be made.</u>

The student is responsible for notifying the 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.

With the approval of the supervisory committee, head of the academic unit, and the Dean of Graduate College, a re-examination may be administered no sooner than three months and no later than one year from the date of the original examination. Only one re-examination is permitted.

IV. G. 2. Administration

The exam is administered by the department. 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 organizational behavior (micro or meso) and macro (i.e., strategic management and organizational theory) core topics. These are topics identified by the Comprehensive Exam Committee that every management student should know. The list of core management topics is included in Appendix C. The second day is six hours long and consists of two questions covering the student's area of specialization. One specialty question will be in the student's general area (e.g., OB, strategy, organization theory), and the other specialty question will be more narrowly defined. The student will negotiate with his/her comprehensive exam committee to identify his/her specialty domain.

IV. G. 3. Comprehensive Exam Committee

Each year, a single comprehensive exam committee (for all students taking the exam) will be appointed by the department's PhD Coordinator and must meet the following guidelines:

a. A minimum of five departmental faculty members
b. At least two members from the organizational behavior area of concentration
c. At least two members from the strategy area of concentration
d. The exam advisor or dissertation chair for each student taking the exam.

Note that the exam advisor or dissertation chair can "count" towards the requirement of having "two members from the *organizational behavior or strategy* area of concentration" (b & c above), however, the committee must consist of at least five department faculty members.

The comprehensive exam committee is expected to have at least one meeting with test candidates prior to the exam. The purpose of the meeting 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.

IV. G. 4. Grading

Each member of the comprehensive exam committee must participate in the grading of a student's exam. After the exam is graded, the entire committee meets to discuss the student's performance.
The exam committee will judge the exam and provide feedback to the student 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 overall 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.

Failure results when either: (1) the research methods answer is deemed unacceptable, or (2) more than two answers are judged unacceptable by the committee. 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 no sooner than three months and not later than one year from the date of the original exam. Approval to retake the exam must be obtained from the Comprehensive Exam committee, the head of the academic unit in the W. P. Carey School of Business, and the Dean of Graduate College. 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.

IV. G. 5. Notification of the Exam Results

The student's exam advisor will notify the student of the results. After the exam advisor has notified the student, the exam committee will notify the Chair of the department.

IV. G. 6. Academic Integrity

As with all components of the Ph.D. program, students are expected to follow the University's guidelines for Academic Integrity (see IV. A. above), as well as the department's rules against self-plagiarism (defined as using one's own previously written material and passing it off as having been written anew for the current exam, including retyping or copying-pasting from previously written notes or papers during this open book exam) in taking the Comprehensive Exam.
In a case where the exam committee determines a violation of academic integrity has occurred (e.g., plagiarism, self-plagiarism, receiving outside help during the exam, etc.), the following procedures will be followed:

a. The Ph.D. Coordinator (if not on the committee) and Department Chair will be notified of the violation.
b. The student's exam will be given a failing grade by the exam committee.
c. The Ph.D. Coordinator will explain to the student (preferably in person) the reasoning behind the exam committee's decision.
d. The Ph.D. Coordinator will initiate non- probationary dismissal as outlined in the W.P. Cary School of Business Probation and Dismissal Policy (see Appendix F). Note that procedures for student appeals of dismissal recommendations are outlined in this policy as well.

IV. H. 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.

IV. H. 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 members 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.

Faculty members have a right to refuse the invitation to serve on a Dissertation Committee (as chair or as a committee member) and the right to withdraw from a Dissertation Committee up to the point when Dissertation Committee members indicate their approval for the student to defend their dissertation proposal. The intent is that after that point in time, the Dissertation Committee will remain intact through the completion of the dissertation and the dissertation defense.

IV. H. 2. Preparation of the Dissertation

IV. H. 2. a. Research Plan and Proposal Defense for a Traditional Dissertation

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. 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; and (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.

IV. H. 2. b. Guidelines for a "Three-Paper Option" Dissertation

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. The purpose of this option is to provide some flexibility in the format of the dissertation research and to ensure that our training provides the student with the best preparation for a productive research career. This format allows the student to have at least 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.

The process is similar to that of a regular dissertation. The student is expected to work *with* a committee to decide if the three-paper format is desirable and logical given the topic and the research plan. In other words, *the three-paper option should be approved by the student's entire Dissertation Committee, rather than just the chairperson*. Also, no papers should be completed (e.g., already submitted to a journal for publication) before the committee's approval of the overall plan. Once this decision is made, the student needs to develop a written proposal and sit for a proposal defense. After the proposal is approved at the defense, the student proceeds to complete the work and do a final dissertation defense.

1. **The written proposal**
   - A 3 - 6 page summary of the research stream represented by the three proposed papers. The papers should have a coherent theme that relates to a substantive topic or theory. To prepare students with both strong theory development and empirical research skills, *at least one of the papers must be theoretical and at least one must be empirical*. Clearly, theory development is not restricted to the theory paper. For the papers to be eventually publishable in top-tier journals and contribute to the literature, all empirical papers should include rigorous theory development.
   - A completed version of paper #1 (approximately 30 – 40 pages). This paper must be a theoretical paper developing the new theoretical contribution of the dissertation and should clearly serve as the foundation for the other two papers. This first paper should be close to ready for final, friendly review before submission to a journal at the time of the proposal defense. The paper should be ready for submission after the review and the committee's judgment that it has met the quality requirements set forth.
   - Written proposal for empirical paper #2, including theory, hypotheses, and methods (approximately 15 – 20 pages).
   - A proposal for paper #3 (approximately 5 – 10 pages of text plus references) that details the central idea of the study/paper and its theoretical foundations.

2. **The dissertation proposal defense**
   - The presentation of a completed version of [paper #1 (theoretical).
   - The presentation of the theory and methods of paper #2 (usually empirical).
   - The presentation of the central theory / core ideas of paper #3 (theoretical or empirical).

3. **The final dissertation defense**
   - A summary of the research stream representing the three papers.
   - The presentation of a completed version of paper #2 or 3 (however, the presented paper must be empirical).
   - This is done in a regular defense-type setting with the committee and others who are invited.

Below are additional guidelines regarding authorship, and topics and data of the three papers.

Authorship: It is expected that all three papers directly reflect the ideas and efforts of the student. Authorship on the papers should not be part of the dissertation process. This should be decided after the dissertation is completed and the paper is ready to be sent to the journal for publication consideration. The papers, as part of the dissertation, should not have any names of co-authors, although the committee members' names can be mentioned during any presentations. In other words, students and committee members should not focus on authorship, but rather focus on developing the papers.

Topics and data: At least one paper should involve original data collection. Students must demonstrate their

empirical research skills by undertaking at least one empirical study involving substantial new data collection. If the dissertation includes a second empirical paper, that paper may be based on previously collected data, or data collected as part of a larger research project with other researchers.
The above are guidelines and the student in consultation with his or her committee might find that a broader or narrower range topic better suits his or her particular interests. However, the dissertation proposal and defense process should conform closely to the guidelines provided.

IV. H. 3. Candidacy

Doctoral students achieve candidacy status upon the successful completion of the comprehensive examination and successful defense of the dissertation proposal. Doctoral students who have been advanced to candidacy are required to maintain continuous enrollment until all degree requirements have been completed and the student has graduated. It is only at this point, after the dissertation proposal has been successfully defended, that faculty should provide letters of recommendation for any job search the student may undertake.

IV. H. 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 12 total dissertation credit hours (799) over the course of the program. 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:

- “Full time” registration is a minimum of nine credit hours in one semester if the student is not on an assistantship, six credit hours if he/she is on an assistantship. (Audited courses do not count toward full-time enrollment.)
- We recommend a maximum of 12 credits in a given semester; any credits above 12 requires department approval.

IV. H. 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:

- 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.
- 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.
- The student will be required to maintain continuous enrollment in at least one dissertation credit hour while conducting the research in absentia.
- 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 endorsed by the student’s supervisory committee and the Chair of the department, and must be approved by the Dean of Graduate College *prior* to the semester of the leave request.

IV. H. 6. 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 and Graduate College. At least one week prior to the defense, a memo from the department will be sent to all the School of Business 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 and Graduate College deadlines for defense and graduation. The student is also responsible for obtaining the appropriate forms and initiating action regarding their completion whenever necessary.

IV. H. 7. 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. Students should 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 typically takes about a year and a half. Consequently, students should begin work on the proposal immediately after their comprehensive exam has been completed.

According to Graduate College guidelines, students have 10 years to complete the doctoral study and five years after the comprehensive exam, whichever is the shortest time. Any exceptions to this timeframe have to be approved in writing by the Dissertation Committee, the Chair of the department, and the Dean of Graduate College.

IV. H. 8. 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, following Graduate College's guidelines and deadlines. Revisions to the dissertation are typical and must be completed in a timely manner. If the student is unable to complete revisions to the thesis and submit to UMI/ProQuest by the deadline for the semester in which the defense is held, the student must complete the revisions, remain continuously enrolled, and present the final document to UMI/ProQuest within one year of the defense. Failure to do so will require the re-submission of the document for format review and may result in re-defense of the dissertation to ensure currency of the research.

IV. H. 9. Academic Integrity

As much as at any point in the student's program, standards of academic integrity must be upheld during the dissertation process. In a case where a violation of academic integrity is discovered within a student's dissertation (e.g., plagiarism, self-plagiarism, data creation, etc.), the following steps should be taken:

a. The Ph.D. Coordinator and Department Chair will be notified of the violation.
b. The student will be notified of the violation by their dissertation chair.
c. Depending on the timing of the discovery of the violation, the student will fail either their dissertation proposal defense or final dissertation defense.
d. The Ph.D. Coordinator will initiate non-probationary dismissal as outlined in the W.P. Cary School of Business Probation and Dismissal Policy (see Appendix F). Note that procedures for student appeals of dismissal recommendations are outlined in this policy as well.

V. MISCELLANEOUS

V. 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 plan of study must be interrupted for one or more academic year semesters, the student may apply for a leave of absence for a maximum of two semesters during their entire program. 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 Graduate College upon recommendation of the department and the head of the academic unit 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 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 Chair of the department, must be approved by the Dean of Graduate College *prior* to the semester of the leave request.

V. 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. A student who wishes to attend a consortium should first consult their advisor, and if the advisor agrees, the advisor should make the request to the Ph.D. coordinator.

Doctoral programs are typically allowed to nominate one student for a consortium. The criteria for our selection of a student include:

- Performance as a student. The Ph.D. Committee will consider the student's active involvement in research and the degree to which steady progress is being made toward the degree.
- Career stage and interest. The Ph.D. Committee will consider fit between the student and consortia in terms of demonstrated interests, stage in the Ph.D. program, and other criteria suggested by the consortia organizers.
- Representation of the department. Students selected for the consortia are our representatives to the professional community. Thus, the Ph.D. Committee will consider the way in which the student is likely to represent the department.
- It is not always the case that students will be sent each year. After considering whether a student has met the criteria for attendance, the Ph.D. Committee will research a final decision. 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.

V. C. Use of Department Equipment, Supplies, Facilities, Mailroom and Telephones

The department maintains a workroom in which there is a copy machine, computer, fax machine, limited supplies, and 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-hours 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.

V. 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 "big brother/sister" as part of the mentoring process.

V. E. Summer Support

Summer support in the form of research fellowships is made available to students in the summer on a competitive basis. Summer support also is available through summer teaching.

V. F. Travel Support

1. The department aims to support travel to one major national conference per fiscal year (July 1 – June 30). This support is available to students who are in good standing in the program. Support is limited to students

who will be attending a major national professional conference (AOM, SIOP, SMS) to:

- Present a paper (symposia, panel or poster) that's been authored or coauthored by the student and appears in the conference program
- Attend a major doctoral consortium. Typically, these are full- or multi-day consortia, for which selection is competitive (students have to apply and only the students that best meet the criteria are accepted). Examples include the doctoral consortia held at AOM each year that are sponsored by the OB, HR, BPS and TIM divisions. AOM's New Doctoral Student Consortium is also considered a major doctoral consortium.
- Be actively involved in significant conference activities that appear in the conference program. Chairing/organizing symposia or being a panelist are examples of activities that merit support. Attending pre- conference professional development workshops and presentation sessions are examples of activities that do not merit support.

2. Depending on the availability of funds in the budget, travel support to attend a second major national conference in a fiscal year may also be provided. The same conditions noted above apply.

3. Travel support may also be provided to students in good standing who wish to attend specialized training delivered by a recognized national organization or authority. Examples include short courses delivered by the Consortium for the Advancement of Research Methods and Analysis (CARMA), LINKS Center for Social Network Analysis summer workshops, and the UC Davis Qualitative Methods Workshop. Along the same lines, the department may also provide support for a student to attend a specialized professional conference tailored to a student's research interests. Importantly, students can receive department support for only one of these alternative trips while in the PhD program. Students who wish to receive support will be asked to provide justification. Normally, justification involves (a) an explanation of why the training content/professional experience is needed for a specific research project or program of research, and (b) compelling evidence that something comparable isn't offered at ASU or the major professional conferences (AOM, SIOP and SMS).

4. The total maximum reimbursement for student travel cannot exceed $3,200 per fiscal year. This is the historical average total reimbursement from the department for two conference trips. Students cannot bank funds "left over" from the previous year. Note that this amount can be amended from year to year depending on the department budget and number of active doctoral students.

5. In situations where the department's ability to provide travel support is constrained, decisions will be made on a competitive basis. Specifically, priority for funding will be determined based on student's research record and level of involvement in the conference. For example, a student with two manuscripts under review at top-tier journals requesting support to present two first authored papers at AOM would receive priority for funding relative to a student with one manuscript under review at a "B" level journal requesting support to co- chair a symposium at AOM.

6. Unusual requests and exceptions to this policy will be handled on a case-by-case basis. Only students with an exceptional record of accomplishment in the program will be considered for support. In most of these cases, department support will be limited to an amount that matches funding from another source (e.g. travel grant, supervisor research account).

7. Travel requests must be made prior to attending a conference. The first step is to seek approval to attend from your advisor. Then 60 days prior to the conference, you will receive a link to a survey. You will be asked about your role/involvement in the conference and to provide documentation (e.g., an email from the conference chair indicating that a paper has been accepted). Please provide clear and complete information so that your request can be considered. You must complete the survey and submit it by the deadline, which will be stated in the email. The PhD Coordinator (Jeff LePine) will review each request for conformance to this policy and forward recommendations to the department Chair (Wei Shen) for final

approval.

8. Students who seek support from the department also need to apply for other available travel support. Reimbursements to students who fail to seek available travel support will be reduced by the amount of a typical award for support. Department travel funds are awarded in conjunction with travel support that has been requested and approved by Graduate College's Travel Grants Program. The amount of the award from the department and Graduate College depends on budget limitations and is usually restricted to one conference per year per student. For information, and to access Graduate College's Travel Award Application form, visit Graduate College's web site at https://graduate.asu.edu/awards/travel.

9. Take careful note of the deadlines for submission. Nicole Nelson will work with you on the travel authorization numbers and application process. In addition, be sure to allow time for the PhD Coordinator and Department Chair to review and approve your request, as the department's commitment for support must be reflected on Graduate College's application form before it is submitted to Graduate College.

10. The ASU Trip Request form must be attached to Graduate College's application form, but it must first be submitted by the traveler and approved by the department Chair. Work with Nicole Nelson to estimate your expenses and prepare this request. If you have questions about this process, please see Nicole.

V. G. Student Resources

- "Graduate Wellness Resources" – a one-page guide to Financial, Social, Emotional, and Physical Health and Wellness Resources for ASU Graduate Students, developed by the GPSA
- "10 Best Practices in Graduate Student Wellbeing" – proven ways to help graduate students better care for themselves under the increasing demands of graduate school
- Special needs and disability accommodations: The Disability Resource Center (DRC) provides information and services to students with any documented disability who are attending ASU's campuses. Individualized program strategies and recommendations are available for each student as well as current information regarding community resources. Students also may have access to specialized equipment and supportive services and should contact the instructor for accommodations that are necessary for course completion. For further information on this subject please refer to: https://eoss.asu.edu/drc.
- Title IX is a federal law that provides that no person be excluded on the basis of sex from participation in, be denied benefits of, or be subjected to discrimination under any education program or activity. Both Title IX and university policy make clear that sexual violence and harassment based on sex is prohibited. Individuals who believe they have been subjected to sexual violence or harassed on the basis of sex can seek support, including counseling and academic support, from the university. If you or someone you know has been harassed on the basis of sex or sexually assaulted, you can find information and resources at https://sexualviolenceprevention.asu.edu/faqs

V. H. Master of Science in Passing

PhD students in good standing may apply for a Master's in Passing (MIP) degree if they meet qualifiying conditions.

- This degree is for students who plan to withdraw from the PhD program, and who have not previously completed a Master's degree in the same area.
- Students need to have an approved iPOS on file.
- The student is required to have earned at least 30 credits (students cannot use credits transferred from a previously awarded master's degree).
- The culminating experience will involve the student writing and successfully defending a research portfolio to his/her research advisor and the department's PhD Coordinator (or PhD Committee). This portfolio must be an original research paper, written solely by the stdent, and in a form that could be

published in a professional journal. The departments PhD coordinator (or PhD Committee) will only provide final approval for the student to apply for the MIP upon successful completion of both defenses.

APPENDIX A

Plan of Study Quick Reference Sheet

All students:

Minimum credit hours required	**84**
Basic program	12
Advanced program	30
Supporting coursework	30
Dissertation	12

Note: Full-time enrollment for students on assistantship is 6 credit hours. Typical load is 9-12 credit hours per semester.

Basic program: 12 credit hours required	**OB (micro & meso) students**	**Macro (strategy & OT) students**
3 credit hours	Grad level psychology, sociology, or communication	Economics (not ECN 502)
6 credit hours	Quantitative methods (not QBE 502/510 or CIS 502)	
3 credit hours	Behavioral Sciences	

Advanced program: 30 credit hours	**All**
MGT 791 Core Modules (12 credit hours)	
3 credit hours	Strategic Management Core
3 credit hours	Organizational Theory Core
3 credit hours	Meso Organizational Behavior Core
3 credit hours	Micro Organizational Behavior Core
MGT 791 Research Methods (7 credit hours)	
3 credit hours	Research Methods I
3 credit hours	Research Methods II
1 credit hour	Research Ethics
MGT 791 Specialty Modules (2 credit hours)	
1 credit hour	elective
1 credit hour	elective
Additional coursework (9 credit hours)	
9 credit hours	electives

Supporting coursework: 30 credit hours required	**All**

Dissertation: 12 credit hours required	**All students**

APPENDIX B

Suggested Quantitative Methods Courses

Quantitative research skills are essential for high quality research in management. All students are required to take the departmental research methods courses focus on research design and not data analyses. For a more comprehensive preparation for conducting empirical research, students may need preparation in the following additional areas depending on their core areas of interest:

- Regression/analysis of variance
- Multivariate statistics
- Structural equation modeling
- Qualitative methods
- Multilevel linear modeling
- Survey methods
- Psychometrics
- Exploratory data analysis
- Time series
- Econometrics
- Survival models
- Panel data
- Limited dependent variables

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.

Quantitative Method courses offered at the W. P. Carey School of Business
- ECN 525 Applied Regression Models
- ECN 527 Categorical Data Analysis
- ECN 530 Experimental Design
- ECN 535 Multivariate Methods
- ECN 540 Forecasting
- ECN 725 Econometrics I
- ECN 726 Econometrics II

Quantitative Methods courses offered in Psychology and Sociology
- EDP 552 Multiple Regression
- EDP 554 Analysis of Variance
- EDP 652 Multivariate Procedures
- EDP 654 Structural Equation Modeling
- PSY 531 Multiple Regression in Psychological Research
- PSY 532 Analysis of Multivariate Data
- PSY 533 Structural Equation Modeling
- SOC 505 Applied Regression Analysis
- SOC 507 Social Statistics IIA: Categorical Data Analysis
- SOC 508 Social Statistics IIB: Structural Equation Analysis
- SOC 512 Secondary Data Analysis

APPENDIX C

Core Management Topics

The following are some of the topics for which students are expected to gain knowledge through the modules and their own readings. They should have a broad knowledge of the key theories and studies of these topics in preparation for their research as well as for the comprehensive exam.

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, creativity, sense making)
- Affect (i.e. emotion, mood)
- Organizational Cognition (knowledge, information, learning)
- Organizational Culture and Climate
- Individual, Group, and Organizational Identity

Strategy/Organizational Theory Core Topics

- Strategy Paradigms/Theory/Trends (e.g., agency, transaction cost, resource-based, knowledge-based, resource dependency theory)
- Organizational Theory topics (e.g., institutional theory; organizational learning, attention, and decision making; sensemaking and enactment; social evaluations, including reputation, status, and legitimacy; upper echelons perspective; organizational ecology; and the social movement perspective)
- 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
- 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
- Longitudinal Design
- Variance versus Process Research Methods
- Qualitative Data Collection and 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
    - Analysis of Hierarchical or Cross-level Data
    - Cross-level analysis (e.g., HLM or MLSEM)

APPENDIX D

Name:_____________________________ Supervising Faculty: ___________________________
Year in program:_____________________ Date: ______________________________

This report should be completed by the student, and submitted to the primary supervising faculty member, who will provide his/her own evaluation of the student. An electronic version of this progress report and an updated C.V. should also be sent to Nicole Nelson by____________(date). *Nicole does not need paper copies of this form.*

1. **Research**
   a. *Publication progress*. As a general guideline, students should begin working on a publishable research project in their first and second 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 major conferences in their second year [please note, this formerly said "as soon as possible"]. In the space below, please list all your publications, presentations, and work in progress. For first and second year students, please indicate which paper(s) fulfills the "First and Second Year Major Paper" requirement as outlined in the department PhD program manual. Note, that if this paper is co-authored, you also need to describe your role in the project. Specifically, describe how you contributed to the project intellectually and how much of the writing is yours. If your primary supervising faculty member is not a co-author on your first or send year major paper, you should include it along with this evaluation form.

   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:

2. **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 (did you take) your comprehensive exams? ________________________

3. 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 Graduate College and the Faculty Development Office; and 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. If you taught a course, please provide a copy of the teaching evaluations, including both ratings and a summary of all the written comments.

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 as a teacher. Also list those activities or goals for the coming year that will help you develop in those areas:

4. 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:

5. Career statement

Briefly describe your area of specialization and your career goals.

APPENDIX E

Sample Doctoral Student Annual Progress Review—Faculty Form

Student's name____________________________________ Year in program______________

Completed by _____________________________________ Date________________________

Pointers to Faculty Mentor:

The Ph.D. Committee would appreciate each faculty member to complete an independent evaluation for each student assigned to them as an RA, TA, and/or main advisor.

a. Each mentor should conduct a separate discussion with the student to provide independent feedback about his or her progress in the program for this past year.
b. We encourage all mentors for a student to share information about that student before meeting with the student to avoid contradictory feedback to the student.
c. Please email this form to Nicole (nicole.nelson1@asu.edu) after you have met with your mentee, but before.

1. Research

   a. Evaluate the student's performance in meeting research responsibilities and publication progress.

   _______ excellent

   _______ satisfactory

   _______ unsatisfactory

Comments:

   b. Evaluate the progress of the research paper if your mentee is a first and second year student and dissertation progress if your mentee is a third or fourth year student. Note the first and second year major papers can be co-authored, however, the student needs have made significant intellectual and writing contributions.

   _______ excellent

   _______ satisfactory

   _______ unsatisfactory

Comments:

2. Coursework

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

   _______ excellent

   _______ satisfactory

_______ unsatisfactory

Comments:

3. Development of teaching competence/meeting teaching responsibilities

   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 Graduate College and the faculty development office; and sitting in on classes offered by departmental faculty.
   b. Teaching responsibilities. Students may be responsible for assisting in your classroom activities, and/or responsible for teaching their own classes.

   Evaluation of student's performance in development of teaching competence and meeting teaching responsibilities:
   excellent

_______ satisfactory

_______ unsatisfactory

Comments:

4. Departmental service and citizenship

   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.

   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: _________________________________ Date of feedback meeting: __________

APPENDIX F

W. P. Carey School of Business Probation & Dismissal Policy

The following document outlines how probation and dismissal decisions will be handled for doctoral students in all departments of the W. P. Carey School of Business (hereafter "School").

While each department can, and does, have its own area- specific requirements that its doctoral students must follow in order to stay in good standing (see IV.B. and entire Ph.D. Manual above), there are also a set of requirements at the School level and Graduate College level that must be met in order to maintain good standing within the program. Those requirements are described above (see IV.A.).

The following documents the appeals process that will be followed for all probation and dismissal decisions arising from a student's failure to meet the Department level, School level, and/or Graduate College level requirements.

If a student fails to satisfy the above Department level, School level, and/or Graduate College level requirements, the student will be placed on probation or dismissed from the program based on the following procedures.

W. P. Carey Probation and Dismissal Procedures

1. **At the end of each academic year, the Department will review their Ph.D. students' academic progress** to ensure that students have met the degree, Department (see department Ph.D. Manual), W. P. Carey (see IV.A.2) and Graduate College (see IV.A.1) satisfactory progress policies. Any Ph.D. student deemed deficient in any of those requirements can then either be placed on probation or recommended for dismissal from the Ph.D. program.

2. **Process for Academic Probation:**
   If a student's Department deems Probation necessary for a student, the Department sends the student an Academic Probation Letter (see Sample Letter B). The letter should indicate:
   - the standard(s) the student failed to meet and provide a link to the Department's or W. P. Carey's Satisfactory Progress Policy;
   - what the student needs to accomplish to obtain good standing;
   - the time frame for doing so (e.g., 9 credit hours or one academic year, whichever comes first); and
   - failure to meet the satisfactory progress standards will result in a recommendation of dismissal from the degree program.
   - Removal from Probation: For students placed on probation in a previous semester who have met the conditions of probation, the Department sends a Good Standing Letter (see Sample Letter C).

3. **Process for Dismissal from program:**
   Dismissal after Probation is not met: For a student who is placed on probation in a previous semester who has not met the conditions of probation, the Department sends a Recommendation for Dismissal Letter to the student (See Sample Letter D). The letter should include:
   - the student's full name, affiliate ID number and full degree program name;
   - the date the student was notified of their probationary status;
   - the requirements the student failed to meet;
   - the Department is recommending dismissal from the degree program and will inform the W. P. Carey's Dean's Office and Ph.D. Director of the student's case unless the student appeals;
   - the student has the right to appeal the recommendation for dismissal based on the School's stated Appeal's Process (point 4 below).

Non-probationary Dismissals: In certain instances, a student may be recommended for dismissal without a probationary period (e.g. failure of a comprehensive exam, violation of the Academic Integrity policy, etc.). The Department sends the student a Non- Probationary Dismissal Letter (see Sample Letter E). The Department and W. P. Carey appeal processes (point 4 below) still apply.

Appeals process within the W. P. Carey School of Business:

1. **Department level appeals process:**
   - A student may appeal a decision to place him or her on probationary status or dismissing that person from the program. A student who chooses to appeal the decision must provide a written request for a hearing with the Department Ph.D. Committee within 10 business days of receiving written notification of being placed on probationary status or dismissal from the program. Failure to appeal within the specified time period will indicate the student's acceptance of the probation/dismissal recommendation (see Sample Letter F).
   - A student who meets with the Department Ph.D. Committee to appeal a probationary or dismissal action within the time specified and is not satisfied with the results may, within 10 business days of that meeting, schedule an appointment with the Department Chair to appeal the committee's decision (see Sample Letters G & H). Failure to meet with the Chair within the specified time period will indicate acceptance of the committee's decision.
   - All Department-level decisions regarding probation are final and cannot be appealed to another ASU entity.
   - A student who appeals a dismissal decision to the Department Chair and who is not satisfied with the Department Chair's decision, may, within 10 business days of Department Chair's decision, make an appeal to the School's Ph.D. Director.

2. **School level appeals process (dismissal only):**
   - If the Department Chair agrees with the recommendation for dismissal, the Department Chair provides the School's Ph.D. Director with a letter recommending dismissal of the student, along with supporting documentation (see Sample I).
   - The student may file a petition of appeal with the School's Ph.D. Director within 10 business days of the Department Chair's recommendation letter being sent to the Ph.D. Director. Failure to appeal within the specified time period will indicate the student's acceptance of the dismissal recommendation (see Sample Letter J).
   - The School's Ph.D. Director will perform a preliminary assessment to determine whether a formal hearing before the School's Ph.D. Committee will be scheduled (see Sample Letter K). If the Ph.D. Director determines that no formal hearing is needed, the decision is forwarded to the School's Dean, who will make a final recommendation to Graduate College (see Sample Letters L & M). The decision of the Dean is final and may not be appealed to any other ASU entity. The Dean notifies the student in writing that they will be recommended for dismissal.
   - If the School's Ph.D. Director decides a formal hearing before the School's Ph.D. Committee is warranted, the Ph.D. Director notifies the student that the appeal will be heard by the School's Ph.D. Committee (see Sample K). The student (and student's advisor, if s/he so chooses) will have the opportunity to submit supporting documents to the School Ph.D. Director for consideration by the School Ph.D. Committee.
   - The complete appeal packet will be distributed to the committee, student and faculty one week in advance of the hearing.
   - The hearing shall be conducted by the School's Ph.D. Director and shall be closed. The student may be accompanied by an advisor and/or witnesses of his/her choice. The advisor/witness may not directly address the committee or other participants; however, they may confer with the student.
   - During the appeals process, the student will be permitted to continue coursework/research within the Department.
   - After considering both sides of the appeal, the School's Ph.D. Committee will make a

recommendation to the Dean. The Dean renders a final decision and notifies the student of the decision (see samples L & M). The decision of the Dean is final and may not be appealed to any other ASU entity.

- If the student does not appeal at the School level, or if the appeal is denied, the School's Dean sends a recommendation for dismissal to Graduate College (Attn: Tamara Underiner, Associate Dean for Academic Affairs), along with supporting documentation (see Sample Letters M & N).

3. **Graduate College Review Process:**
   - Graduate College reviews the case, notifies the student of the final dismissal decision and sends copies of the notification to the Department, as well as the School Ph.D. Director (See Sample Letter O).

Probation and Dismissal Sample Letters

Sample letters to communicate remedial action needed, place students on probation or recommend students for dismissal.

A. Unsuccessful Deficiency Dismissal Letter – to student from Academic Unit
B. Academic Probation Letter – to student from Academic Unit
C. Good Standing Letter (Student met academic probation requirements) to student from Academic Unit
D. Recommendation for Dismissal Letter (Student did not meet probation requirements) to student from Academic Unit
E. Non-Probationary Dismissal Letter – to student from Academic Unit
F. Notice of failure to appeal at the Academic Unit level by deadline to student from Academic Unit
G. Notice of successful appeal at the Academic Unit level to student from Academic Unit
H. Notice of unsuccessful appeal at the Academic Unit level to student from Academic Unit
I. Overall summary of student's situation to College/School-level designee from Academic Unit
J. Notice of failure to appeal at the College/School level by deadline to student from College/School-level designee
K. Confirmation of receipt of appeal – to student from College/School- level designee
L. Notice of successful appeal at the College/School level (College/School does not concur with Academic Unit's decision) to student from College/School-level designee
M. Notice of unsuccessful appeal at the College/School level to student from College/School-level designee
N. College/School Recommendation for Dismissal to Graduate College (Tamara Underiner, Associate Dean for Academic Affairs) from College/School- level designee
O. Graduate College Notice of Dismissal from Program to student from Graduate College
P. International Student Acknowledgement Letter to student from Academic Unit/Advisor

Please note that this process may be amended from time to time. Updates to procedures and sample letters may be found here: https://graduate.asu.edu/resources-faculty-and-staff/student-academic-progress

APPENDIX G

Sample Timeline for Ph.D. Completion— Management Department

In the Management Ph.D. program, the focus is on learning what it means to be an organizational scholar, especially the research aspects of scholarship (although the teaching aspects become important later in the program). Students start broadly by taking a wide variety of theory-based and methodological classes and working with several faculty members on a diverse set of research projects (typically no more than three at a time). Over time, the student's focus begins to narrow in scope, until he/she has developed a clear research agenda that provides the wherewithal to complete a dissertation and compete for assistant professor positions at other Research I universities.

For a management Ph.D., the ideal timeline spans 5 years, although some students have completed the program in 4 years. The following example, however, is based on a typical 5-year program.

Year 1

- Completes a full roster of required and elective courses:
  - ❖ 4 core courses within the department – 2 theory- based seminars and 2 Methods seminars
  - ❖ 1 credit seminar in research ethics
  - ❖ 1-2 elective seminars (5 weeks each) within the department
  - ❖ 2 Statistics courses outside the department
  - ❖ 1 elective outside the department

- Student is supported as a Research Assistant (working with 2 professors) - the primary purpose of the research assistantship is to develop mentor- mentee relationships and to guide students toward doing publishable research
- Summer of year 1:
  - ❖ continues working on in-process research projects
  - ❖ completes first-year Research paper

Aim: by end of year 1, each student should have initial exposure to doing management research (both Organizational Behavior and Strategy) and have gained the building blocks to a solid foundation of theoretical and methodological knowledge within the Management field

Year 2

- Completes a full roster of required and elective classes:
  - ❖ 2 core courses within the department – 2 theory- based seminars
  - ❖ 1-3 elective seminars (5 weeks each) within the department
  - ❖ 1 Behavioral Science/Economics course from outside the department
  - ❖ 1-2 electives from outside the department

- Student is again supported as a Research Assistant (working with 2 professors)
- Summer of year 2:
  - ❖ continues working on in-process research projects
  - ❖ completes second-year Research paper
  - ❖ takes written comprehensive exams (if failed, retake in spring of year 3 - if failed again, then leave the program)

Aim: by end of year 2, each student has had significant research exposure and should have a solid foundation of theoretical and methodological knowledge within the Management field

Year 3

- Student continues to be a Research Assistant (working with 1 professor)
- Student also begins learning the craft of teaching by serving as a Teaching Assistant for 1 core MBA class
- Should be firmly involved in conducting research not only with assigned RA professor, but also beginning to develop independent research ideas and relationships
- Begins thinking about dissertation topic/idea and finalizing the dissertation committee

Year 4

- Student continues to be a Research Assistant for 1 professor
- Student also continues learning the craft of teaching by taking responsibility for teaching one undergraduate classes (or two undergraduate classes if not scheduled to teach in year 4)
- Dissertation proposal submitted and defended by end of year 4
- Continues to work on non-dissertation research projects
- Starts to consider options for post-graduation career and prepares to be on the job market

Year 5

- Student continues to be a Research Assistant for 1 professor
- Student continues teaching one (or two undergraduate classes if no classes were taught in year 4)
- Works toward completion of dissertation project by end of year 5
- Continues to work on non-dissertation research projects
- Applies for assistant professor positions and engages in on-campus interviews for open positions