



RICE
JONES GRADUATE
SCHOOL OF BUSINESS

PH.D. PROGRAM GUIDEBOOK

Professor Jennifer George, Director

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INTRODUCTION

This guidebook provides relevant information for doctoral students – current and prospective -- at Rice University's Jesse H. Jones Graduate School of Business (JGS). You may access this guidebook, as well as other information about the doctoral program and the JGS, at the following internet addresses:

<http://business.rice.edu/PhD>

This guidebook complements Rice University's [General Announcements Catalog](#). Knowledge of policies outlined in both books is every student's responsibility.

Goals of the JGS Doctoral Program

The JGS doctoral program is intended for candidates aspiring to become faculty members at business schools in prestigious research universities. Students will engage in both coursework and research as part of their doctoral training. Students close to graduation will interview for faculty positions, hoping to start their careers as Assistant Professors, at business schools around the world. The career of an Assistant Professor involves conducting research that is eventually published in well respected, peer-reviewed academic journals, imparting management wisdom (informed by research) in the classroom to BSBA and MBA students aspiring to become effective managers, and eventually training Ph.D. students to become researchers and academics. In due course, a successful (on research, teaching and service dimensions, as deemed by senior faculty colleagues) Assistant Professor is promoted to Associate Professor, and thereafter to Full Professor. How quickly one achieves these promotions depends on one's productivity as an academic scholar.

Area Advisors

A prospective student chooses an area of study when applying to the doctoral program. Areas of study include: (1) Accounting, (2) Finance, (3) Marketing, (4) Organizational Behavior, and (5) Strategic Management. Each of these areas is supervised by a faculty advisor, a member of the faculty specializing in that area. These area advisors; supervise the evaluation of applications to their respective areas, counsel new students on the curriculum in that area and how to plan their course of study, and serve as advisors to all the students in their respective areas throughout their course of study. The current area advisors are listed below.

Accounting: [Thomas Hemmer](#)

Finance: [Kerry Back](#)

Marketing: [Amit Pazgal](#)

Organizational Behavior: [Jennifer George](#)

Strategic Management: [Bob Hoskisson](#)

CHAPTER ONE

GENERAL REQUIREMENTS

Admissions

The doctoral program in Business at JGS accepts students for full-time study beginning in the Fall semester each year. JGS is accepting applications in the Marketing, Finance, Strategic Management, and Accounting areas in the Fall of 2012 for Fall 2013 admissions. Applications will be accepted in Organizational Behavior in the future.¹ Students applying to begin studies in Fall 2013 must submit their online application and send all of their supporting materials (three letters of recommendation, grade transcripts, personal statement essay, GMAT or GRE scores², a CV or résumé³, and a non-refundable application fee of \$40) to the JGS Doctoral Program Office for delivery no later than January 11, 2013. An applicant must declare his or her intended area of study – (1) Accounting, (2) Finance, (3) Marketing, (4) Organizational Behavior, (5) Strategic Management – while applying to the Ph.D. program.⁴ Selected candidates will be notified of admission decisions via e-mail no later than April 15. Candidates who submitted an application to the JGS doctoral program and were not offered admission may re-apply for a later year.

¹ For more detailed information, please contact the appropriate area advisor.

² International applicants whose native language is not English need to report their TOEFL scores as well.

³ Unlike MBA program applicants, Ph.D. program applicants are not required to have work experience. While experience is certainly helpful, evidence of strong intellectual ability is the most important factor.

⁴ For Fall 2013 admissions, the JGS doctoral program will be soliciting applications in the areas of Finance, Marketing, Strategic Management, and Accounting. Organizational Behavior will begin accepting applications in the future.

Program Timeline

A student is expected to be in residence throughout the year.

Year One

- Complete course work during Fall and Spring semesters.
- Begin working on research with area faculty.

Year Two

- Complete course work during Fall and Spring semesters.
- Continue working on research with area faculty through the year.
- Take comprehensive exam (if needed by area)

Year Three

- Take specialized courses as needed during Fall and/or Spring semesters.
- Produce working paper(s) on research with area faculty.
- Work on dissertation research.
- Defend dissertation research proposal by summer.

Year Four and beyond

- Finish work on dissertation research.
- Defend dissertation.

The student's coursework over the first two years, which should cover a minimum of nine courses, will be determined by the student in consultation with the area faculty advisor.

Deadlines

- Defend dissertation research proposal within a maximum of 5 years from the time of matriculation.
- Defend dissertation within a maximum of 7 years from the time of matriculation.

These times represent generous upper limits. Students will be expected to complete their doctoral studies well within these stipulated deadlines.

Other Requirements

If the student's area faculty so desire, the student must also successfully complete the comprehensive exam requirement in an area – economics, psychology, statistics – that supports the student's area as part of the Ph.D. degree requirements.

A student may pass the comprehensive exam in his/her area either unconditionally or conditionally (as determined by area faculty). In the latter case, the area faculty advisor will stipulate the conditions that must be satisfied by the student in order to achieve an unconditional pass. If the student fails the comprehensive exam for the first time, the student may take the exam again during the following year at the discretion of area faculty. If the student fails the exam again, the student will be required to leave the Ph.D. program.

Students will be expected to attend periodic research seminars in their area, where JGS faculty and Ph.D. students, as well as invited faculty members from other business schools, present their research. The research seminar participation requirements will vary by area. The student's summer paper presentation, if the area requires it (as explained in the next paragraph), will also take place at these research seminars. These seminars provide a transition in emphasis for the student from courses to research and also afford a testing ground for dissertation proposals. They also provide an opportunity for the student to gain experience in critiquing and presenting material before a critical group.

Some areas may require doctoral students to write a summer research paper during the first (and possibly even the second) summer of study. There are multiple, sometimes competing, motivations for such a summer paper: (1) It develops a student's research skills, (2) It enables a student to develop joint research with faculty for publication purposes, (3) It serves as a mechanism for faculty to evaluate a student's ability to conduct independent research. The student's summer paper, for an area requiring it, must be approved by the faculty member with whom he or she works during the summer before the student can present it at the research seminar.

Annual Academic Progress Review

Annually, the academic progress of Ph.D. students in the JGS doctoral program is evaluated. In order to do this, the Director of the Ph.D. program requires Ph.D. students to complete and submit an annual report every year. This report should summarize the student's activities over the past year – coursework taken, status on research projects, research presentations, professional development and any other area-specific requirements that he or she has met. The Director, in consultation with area faculty, reviews each student's annual report, as well as the student's annual report for the preceding year (if applicable), and assesses the student as

1. making satisfactory progress,
2. not making satisfactory progress and put on probation,
3. not making satisfactory progress and terminated from the program.

If the Director of the Ph.D. program, in consultation with area faculty, determines that a student is not making satisfactory academic progress in the Ph.D. program,⁵ one or more of the following consequences will result:

1. The student's stipend support is reduced and/or withdrawn.
2. The student's tuition support is withdrawn.
3. The student is placed on probation, with a letter specifying the conditions to be satisfied within a specific time frame in order for the student to return to good standing in the program. Failure to satisfy these conditions will lead to the student being withdrawn from the program.
4. The student is withdrawn from the program.

Petitions, appeals, and grievances will be handled as specified by the Graduate Council's "Guidelines for Dismissals, Petitions, Appeals, Grievances, and Problem Resolution" (<http://graduate.rice.edu/dismissals/>).

When the student successfully defends his/her dissertation proposal, the Director of the Ph.D. program approves the student for candidacy for a Ph.D. at Rice University.

⁵ For example, a student with less than B average for courses taken over the previous academic year, or who has not made adequate progress on research, or who has failed to formulate independent research ideas, would be considered to be making unsatisfactory progress in the Ph.D. program.

CHAPTER TWO

PH.D. IN THE MARKETING AREA

This chapter presents the specific degree requirements (to add to the general requirements discussed in Chapter 1) for a Ph.D. in the marketing area. Each marketing doctoral student must review the requirements listed in this chapter with the Ph.D. area advisor in marketing.

Requirements

Marketing research addresses marketing problems using foundational expertise in one of two different areas: (1) Consumer Behavior / Psychology, or (2) Economics / Quantitative Methods. The marketing doctoral program allows the applicant to choose between these two areas. A student must then take courses not only in JGS, but also in psychology or economics departments, depending on which of the two above-mentioned areas the student has chosen.⁶ An example of research that relies on consumer behavior / psychology is the study of positive affect on consumer decision-making in service environments. An example of research that relies on economics / quantitative methods is the study of the effects of sales promotions on sales of complementary products.

For doctoral students who have chosen marketing as their area, the Ph.D. degree requirements are as follows.

1. During the student's first two years, he or she must take a minimum of four doctoral-level courses per semester. The chosen courses must be approved by the marketing area faculty advisor.
2. The student is expected to attend all research seminars organized in the marketing area during the student's tenure in the Ph.D. program.
3. During the second and third years, the student must formally register for the marketing research seminar and attend presentations of faculty members from other business schools who visit JGS to present their research. The student must write a short summary and critical comments on two papers presented in the research seminar during the semester. These reviews should be submitted to the area advisor and will be graded by a subset of area faculty for a Pass/Fail grade.

⁶ Courses in the statistics department may be appropriate for students of either leaning.

4. Students must successfully complete the summer research paper requirements during the first two years. This requires working with a marketing faculty member during summer, getting the faculty member's approval of the resulting paper, and then presenting the paper at a marketing research seminar no later than the spring semester of the following academic year.
5. Students must successfully pass a comprehensive exam administered by marketing faculty at the end of the second year. The exam will be jointly administered and graded by marketing faculty, under the supervision of the marketing area advisor. The exam focuses on the coursework taken in marketing and also measures the student's knowledge of the area as a whole. A successful performance in the exam will demonstrate the student's competency in marketing and provide the foundation from which he or she begins the research that will form the basis of the dissertation.
6. Students are expected to successfully defend their dissertation proposal by the end of the third year.
7. Complete and defend dissertation within a maximum of 7 years from the time of matriculation.

Sample Course Sequence I

Economics and Quantitative Methods

Here is a sample course sequence for a doctoral student in Marketing whose foundational expertise is in Economics / Quantitative Methods.

Year One (Fall)

ECON 501	Microeconomic Theory I
ECON 504	Advanced Economic Statistics
ECON 507	Mathematical Economics I
BUSI 501	Pro-Seminar in Marketing – I

Year One (Spring)

ECON 440	Advanced Game Theory
ECON 510	Econometrics I
ECON 523	Dynamic Optimization
BUSI 502	Pro-Seminar in Marketing – II

Year Two (Fall)

ECON 511	Econometrics II
ECON 514	Industrial Organization and Control
STAT 622	Bayesian Data Analysis
BUSI 503	Econometric Models in Marketing

Year Two (Spring)

ECON 577	Topics in Economic Theory
STAT 540	Practicum in Statistical Modeling
STAT 640	Data Mining and Statistical Learning
BUSI 504	Game Theory Models in Marketing

Sample Course Sequence II

Consumer Behavior / Psychology

Here is a sample course sequence for a doctoral student in Marketing whose foundational expertise is in Consumer Behavior / Psychology.

Year One (Fall)

PSYC 502	Advanced Psychological Statistics I
PSYC 511	History and Systems of Psychology
PSYC 507	Research Methods
BUSI 501	Pro-Seminar in Marketing – I

Year One (Spring)

PSYC 503	Advanced Psychological Statistics II
PSYC 550	Foundations of Social Psychology
PSYC 602	Psychometrics
BUSI 502	Pro-Seminar in Marketing – II

Year Two (Fall)

PSYC 601	Multivariate Statistics
PSYC 520	Foundations of Cognitive Psychology
STAT 581	Mathematical Probability I
BUSI 505	Seminar in Consumer Behavior I

Year Two (Spring)

ECON 510	Econometrics I
STAT 540	Practicum in Statistical Modeling
STAT 582	Mathematical Probability II
BUSI 506	Seminar in Consumer Behavior II

Course Descriptions

Doctoral students will continue taking doctoral-level marketing courses beyond their second year as well. Given below are descriptions of doctoral-level marketing courses that will be offered in JGS.

BUSI 501: Graduate Proseminar in Marketing Research – I

Fall

This course will be taught collectively by the marketing faculty members. It is designed to expose Ph.D. students to cutting-edge research in marketing in order to help students to define and advance their research interests. This course will offer in-depth discussions on important substantive topics in marketing by faculty experts, along with tools and methodologies required for conducting research in those areas.⁷ The course will offer broad exposure to JGS faculty members and their proven research styles.

BUSI 502: Graduate Proseminar in Marketing Research – II

Spring

This course will be taught collectively by marketing faculty members. It is designed to expose Ph.D. students to cutting-edge research in marketing in order to help students to define and advance their research interests. This course will offer in-depth discussions on important substantive topics in marketing by faculty experts, along with tools and methodologies required for conducting research in those areas. The course will offer broad exposure to JGS faculty members and their proven research styles.

BUSI 503: Econometric Models in Marketing

Fall

This course (taught for teaching credit by one or two marketing faculty) deals with promotional mix models, brand-switching models and competitive response models. Econometric methods to deal with binary, count and continuous outcomes are discussed.

⁷ For example, substantive topics may include the following: (1) Bob Westbrook – Customer Satisfaction, (2) Vikas Mittal – Customer Divestment, (3) Seethu Seetharaman – Variety Seeking, (4) Randy Batsell – Consumer Choice Behavior, (5) Utpal Dholakia – Online Auctions, (6) Amit Pazgal – Dynamic Pricing, (7) Sharad Borle – Retail Assortments, (8) Siddharth Singh – Customer Lifetime Value, (9) Andrew Perkins – Brand Attitudes.

BUSI 504: Game Theory Models in Marketing

Spring

This course (taught for teaching credit by one or two marketing faculty) deals with prescriptive marketing mix decision-making of firms in competitive channel contexts. Issues such as Bertrand-Nash pricing, collusion, double marginalization etc. are discussed.

BUSI 505: Seminar in Consumer Behavior – I

Fall

This course (taught for teaching credit by one or two marketing faculty) deals with applied psychology models of consumer behavior.

BUSI 506: Seminar in Consumer Behavior – II

Spring

This course (taught for teaching credit by one or two marketing faculty) deals with experimental techniques used in consumer behavior research.

CHAPTER THREE

PH.D. IN THE FINANCE AREA

This chapter presents the specific degree requirements (to add to the general requirements discussed in Chapter 1) for a Ph.D. in the finance area. Each finance doctoral student must review the requirements listed in this chapter with the Ph.D. area advisor in finance.

Overview

Financial economics studies how investors determine the value of assets in financial markets (asset pricing), how firms allocate their resources and make financial decisions (corporate finance), and how financial institutions and markets facilitate financial transactions (financial intermediation). Topics in finance include; portfolio management, pricing of assets and contingent-claims, the theory of the firm, financial risk management, the role of financial markets and institutions, corporate investment and financing decisions, and others. The main goal of the finance doctoral program is to train students to do high-quality research in any of these areas and to prepare them for a career as a professor of finance at top academic research institutions. To achieve this goal, Ph.D. students are required to take courses in economics, statistics, econometrics, and finance, and to write research papers examining important and relevant issues in financial economics.

Requirements

In addition to the requirements described in Chapters 1 and 6 of this guide, doctoral students who have chosen finance as their area must satisfy the following requirements for a Ph.D. degree.

Course, Research Work and Dissertation Advisor

1. The student's course work must be approved by the area faculty advisor.
2. During the student's first year, he or she must take a minimum of four courses per semester.
3. The student is required to take at least six credits of BUSI 524 - Advanced Topics in Finance.

4. The student is expected to attend all research seminars organized in the finance area during the student's tenure in the Ph.D. program. Moreover, during the second and third years, the student must formally register for the finance research seminar and attend presentations of faculty members from other business schools who visit JGS to present their research. The student must write a short summary and critical comments on two papers presented in the research seminar during the semester. These reviews are to be submitted to the area advisor and will be graded by a subset of area faculty for a Pass/Fail grade.
5. Students are expected to be fully engaged in research during all the summers, including the summer of their first year, of their tenure in the Ph.D. program.
6. Students must have a Jones School finance faculty member who has agreed to serve as their dissertation advisor by the end of the spring semester of their third year in the program.

Exam Requirements

1. Students must successfully pass a comprehensive exam in microeconomics administered by the economics faculty at the end of the first year.
2. Students must successfully pass a comprehensive exam administered by the finance faculty at the end of the second year. The exam will be administered and graded by finance faculty, under the supervision of the finance area advisor. The exam focuses on the coursework taken in finance and also measures the student's knowledge of the area as a whole. A successful performance in the exam will demonstrate the student's competency in finance and provide the foundation from which he or she begins the research that will form the basis of the dissertation.

Third-Year Research Paper

Each student must write and present a solo-authored original research paper at a workshop during their third year in the program. The paper must be completed by the end of the fall semester of the student's third year in the program. The paper must be approved by two tenure-track finance faculty members. If approved, the student must present the paper in a faculty workshop by the end of the spring semester of the student's third year in the program. The specific procedures are as follows:

1. By August 1st after the student's second year in the program, a student must submit a copy of the *Third-Year Paper Topic Approval Form* to the Finance area advisor, signed by two JGSB faculty members, who approve the topic and agree to serve as readers of the paper. If, at any point, the student changes topics, the student must get faculty approval for the new topic and submit a new form to the Ph.D. area advisor. (A copy of this form appears in the appendix.)
2. A student must submit a detailed outline of the paper and a copy of the *Third-Year Paper Outline Approval Form*, signed by the two faculty readers, to the Finance area advisor by September 15 of the student's third year in the program. (A copy of this form appears in the appendix.) The outline should also include references to the related literature investigating the research topic and to any studies underpinning the analytical methods to be used.

- a. The outline for an empirical paper should include:
 - i. the research hypothesis
 - ii. motivation for the research hypothesis
 - iii. description of the data
 - iv. description of the empirical tests
 - v. the expected contribution to the literature
 - b. The outline for an analytical paper should include:
 - i. the basic phenomenon under study,
 - ii. the economic setting,
 - iii. the modeling approach,
 - iv. the fundamental assumptions, and
 - v. the expected contribution to the literature.
3. A student must submit a copy of the completed third-year paper to the Finance Faculty advisor and to the two faculty readers by December 15 of the student's third year in the program.
 4. A student's two faculty readers must affirm that the paper is satisfactory by January 30 of the student's third year in the program. The faculty readers will notify the Finance Faculty advisor to the Ph.D. program by submitting the *Third-Year Paper Evaluation Form* (A copy of this form appears in the appendix.)
 5. A student must present the third-year paper at a faculty research workshop during the spring semester of the student's third year in the program and at least one of the faculty readers must be present and sign the *Third-Year Paper Presentation Form*, stating that the presentation is acceptable. (A copy of this form appears in the appendix.)

Failure to complete the Third-Year Paper requirement, as outlined above, will mean that the student is **not** making satisfactory academic progress in the Ph.D. Program and is grounds for dismissal from the doctoral program.

Sample Course Sequence

The course curriculum is designed around a challenging course of study in both the theory of financial economics and in cutting-edge empirical work. Here is a sample course sequence for a doctoral student in finance. Doctoral students may continue taking courses beyond their second year.

Summer before the beginning of first semester

Quantitative Methods Review and Workshop in Statistical Computing and Research

Year 1 (Fall)

ECON 501 Microeconomic Theory I

ECON 504 Advanced Economic Statistics

ECON 507 Mathematical Economics I

BUSI 521 Finance I

Workshop in Statistical Computing and Research

Year 1 (Spring)

ECON 508 Microeconomics II

ECON 510 Econometrics I

ECON 524 Basic Financial Engineering

BUSI 522 Finance II

Workshop in Statistical Computing and Research

Year 2 (Fall)

BUSI 523 Empirical Methods in Finance

Elective

Elective

Elective

Year 2 (Spring)

BUSI 524 Advanced Topics in Finance

Elective

Elective

Elective

Examples of elective courses are:

ECON 509 Microeconomics III

ECON 502 Macroeconomics/Monetary Theory I

ECON 503 Macroeconomics/Monetary Theory II

ECON 511 Econometrics II

ECON 514 Industrial Organization and Control

ECON 523 Dynamic Optimization

ECON 579 Topics in Econometrics

STAT 522 Advanced Bayesian Statistics

STAT 581 Mathematical Probability I

STAT 582 Mathematical Probability II

STAT 621 Computational Finance II: Time Series Analysis

STAT 622 Bayesian Data Analysis

STAT 650 Stochastic Differential Equations

Course Descriptions

BUSI 521: Finance I

This course is an introduction to portfolio choice and asset pricing theory. Topics include expected utility maximization, stochastic discount factors, arbitrage, mean-variance analysis, representative investors, and beta-pricing models. Single-period and dynamic models are studied.

BUSI 522: Finance II

The purpose of this course is to provide a background for understanding the major research directions in corporate finance. Topics include theory of the firm, capital structure, external financing decisions, payout policy, agency problems, corporate control and governance, investment decisions, and the role of financial institutions in corporate transactions.

BUSI 523: Empirical Methods in Finance

This course is an introduction to empirical research in finance, covering the techniques most often used in the analysis and testing of financial economic theory. The course covers both time-series and cross section methods. Topics include event studies, empirical tests of asset pricing models, forecasting relationships, return predictability in the time-series and cross-section, asset pricing anomalies, and specification and identification issues in corporate finance.

BUSI 524: Advanced Topics in Finance

This course covers various topics in financial economics. Topics may vary from year to year, and the course may be repeated for credit with the consent of the Ph.D. advisor for the finance area. The course may be offered either for 1.5 or for 3 units of credit.

Candidacy

Certification of Candidacy indicates that a student has reached the advanced stage of the Ph.D. Program, permitting him/her to devote full time to writing a dissertation. At least eight months must elapse between admission to candidacy and conferral of the degree. The requirements for candidacy are:

- (1) Successful completion of the course work requirements,
- (2) Successful completion of the examination requirements.

CHAPTER FOUR

PH.D. IN STRATEGIC MANAGEMENT

This chapter presents the specific degree requirements (to add to the general requirements discussed in Chapter 1) for a Ph.D. in strategic management. Each strategy doctoral student must review the requirements listed in this chapter with the Ph.D. advisor in the Strategy and Environment (SE) area.

Overview

The Ph.D. program in strategic management provides course work in the base theories in strategic management. The field of strategic management studies big picture issues facing managers of firms, such as deciding what markets and industries to enter, how to enter and exit various markets, how to position the firm in the market in order to gain competitive advantage, and the timing, sequencing, and orchestration of competitive initiatives. Topics in strategic management include: Competitive strategy, resource allocation and corporate strategy, strategic decision processes, international and emerging market strategies, knowledge and innovation management, strategic entrepreneurship, corporate governance, and environment and non-market strategies. The main goal of the strategic management doctoral program is to train students to do high-quality research in any of these areas and to prepare them for careers as mainstream professors of strategic management at top academic research institutions. To achieve this goal, Ph.D. students are required to take courses in strategic management, research methods and statistics, as well as possible disciplinary elective courses in economics, psychology and political science, and to write research papers examining important and relevant issues in strategic management.

Requirements

In addition to the requirements described in Chapters 1 and 6 of this guide, doctoral students who have chosen strategic management as their area must satisfy the following requirements for a Ph.D. degree.

Course, Research Work and Dissertation Advisor

1. The student's course work must be approved by the area faculty advisor.
2. During the student's first two years, he or she must take a minimum of 12 hours of approved graduate level courses per semester.
3. Course work includes a combination of required and elective courses. The required courses are listed in the attached course sample sequence.

4. The student is expected to attend all research seminars organized in the strategic management area during the student's tenure in the Ph.D. program. Moreover, during the second and third years, the student must formally register for the strategic management research seminars and attend presentations of SE faculty as well as those of faculty members from other business schools who visit the SE area to present their research.
5. Students are expected to be fully engaged in research during the Ph.D. program, especially during all the summers, including the summer after the first year of their residency in the Ph.D. program.
6. Students must have a Jones School SE faculty member who has agreed to serve as their dissertation advisor by the end of the spring semester of their third year in the program.
7. From the second year onwards, students are required to give at least one research presentation every year in front of faculty and other doctoral students. Such presentations should demonstrate that the student is making adequate progress in his/her research. The presentation requirement may be fulfilled in the fall of the second and third years by presenting the required papers. It is the student's responsibility to schedule this yearly presentation, together with his/her advisor and/or the strategic management area advisor.

Exam Requirements

Students must successfully pass a comprehensive exam administered by the SE faculty at the end of the second year. The exam will be administered and graded by SE faculty, under the supervision of the strategic management area advisor or special committee set up for this purpose. The exam will include two parts. Part I is focused on the coursework taken in strategic management and also measures the student's knowledge of the area as a whole. Part II will focus on research methods and design. A successful performance in the exam will demonstrate the student's competency in strategic management and provide the foundation from which he or she begins the research that will form the basis of the dissertation.

First- and Second-Year Paper Requirements

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 first year paper is proposed in the spring semester of the first year and completed by the end of the fall semester of the second year. The second year paper is proposed in the spring semester of the second year and completed by the end of the fall semester of the third year. The bulk of the work on these papers is intended to be done in the summers. The papers are intended as (1) a developmental vehicle for the student (especially the first year paper) (2) that will result in publications in top quality journals (although credit is not dependent on publication). The student is

expected to take the lead on the second year project (in the manner of a lead author) and should individually decide (perhaps in collaboration with an SE area faculty member) on what topic the student will work. Each paper must be approved by two tenure-track SE faculty members (one is typically the student's adviser). The student is expected to present the papers in a faculty workshop by the end of the following fall semester. Failure to complete the First- and Second-Year Paper Requirements, as outlined above, will mean that the student is **not** making satisfactory academic progress in the Ph.D. Program. See Appendix B for research paper approval and evaluation forms.

Sample Course Sequence

The course curriculum is designed around a challenging course of study in both the theory of strategic management and in cutting edge empirical work. We provide three sample course sequences: Strategic Leadership, Competitive Strategy, and International Strategy. Each of the sample course sequences below is oriented to a particular discipline, but students might choose different courses across disciplines to structure a specific degree plan. Doctoral students may continue taking courses beyond their second year.

Sample Course Sequence in Strategic Leadership (Psychology Oriented)

Year 1 (Fall)

BUSI 541	Strategic Management Theory I
PSYC 502	Advanced Psychological Statistics I
PSYC 550	Foundations of Social Psychology
PSYC 507	Research Methods

Year 1 (Spring)

BUSI 542	Strategic Management Theory II
PSYC 503	Advanced Psychological Statistics II
PSYC 636	Organizational Psychology
Elective	

Year 2 (Fall)

BUSI 545	Research Methods in Strategic Management
PSYC 601	Multivariate Statistics
Elective	
Elective	

Year 2 (Spring)

BUSI 547	Advanced Topics in Strategic Management (1.5 hours)
BUSI 547	Advanced Topics in Strategic Management (1.5 hours)
Elective	
Elective	
Elective	

Sample Course Sequence in Competitive Strategy (Economics oriented)

It is recommended that students pursuing this concentration take “Quantitative Methods Review” before the beginning of the first semester (a non-credit course taught on campus)

Year 1 (Fall)

BUSI 541	Strategic Management Theory I
ECON 501	Microeconomic Theory I
ECON 504	Advanced Economic Statistics
ECON 507	Mathematical Economics I

Year 1 (Spring)

BUSI 542	Strategic Management Theory II
ECON 440	Advanced Game Theory (or equivalent)
ECON 510	Econometrics I (or equivalent)
Elective	

Year 2 (Fall)

BUSI 545	Research Methods in Strategic Management
ECON 511	Econometrics II (or equivalent)
ECON 514	Industrial Organization and Control
Elective	

Year 2 (Spring)

BUSI 547	Advanced Topics in Strategic Management (1.5 hours)
BUSI 547	Advanced Topics in Strategic Management (1.5 hours)

Elective

Elective

Elective

Sample Course Sequence in International Strategy (Political Science Oriented)

Year 1 (Fall)

BUSI 541	Strategic Management Theory I
POLI 503	Topics in Methods and Data Analysis
POLI 527	Institutional Analysis and Design
PSYC 507	Research Methods

Year 1 (Spring)

BUSI 542	Strategic Management Theory II
POLI 504	Advanced Topics in Methodology and Data Analysis
PSYC 503	Advanced Psychological Statistics II
POLI 564	Political Economy of Development

Year 2 (Fall)

BUSI 545	Research Methods in Strategic Management
POLI 505	Political Methodology (Panel Data or Time Series)
PSYC 601	Multivariate Statistics
Elective	

Year 2 (Spring)

BUSI 547	Advanced Topics in Strategic Management (1.5 hours)
BUSI 547	Advanced Topics in Strategic Management (1.5 hours)
POLI 575	Game Theory
Elective	

Examples of elective courses are:

BUSI 503	Econometric Models in Marketing
BUSI 504	Game Theory Models in Marketing

PSYC 502	Advanced Psychological Statistics I
PSYC 503	Advanced Psychological Statistics II
PSYC 507	Research Methods
PSYC 601	Multivariate Statistics
PSYC 637	Meta-Analysis in Psychological Research
ECON 514	Industrial Organization and Control
ECON 523	Dynamic Optimization
STAT 522	Advanced Bayesian Statistics
STAT 541	Multivariate Analysis
STAT 606	SAS Statistical Programming
STAT 621	Time Series Analysis
STAT 622	Bayesian Data Analysis
PSYC 550	Foundations of Social Psychology
PSYC 636	Organizational Psychology
PSYC 639	Groups and Teams: Advanced Topics in I/O
POLI 503	Topics in Methods and Data Analysis
POLI 504	Advanced Topics in Methodology and Data Analysis
POLI 505	Political Methodology (Panel Data or Time Series)
POLI 511	Measurement and Research Design
POLI 527	Institutional Analysis and Design
POLI 576	International Political Economy
POLI 575	Game Theory

Course Descriptions

BUSI 541: Strategic Management Theory I

This seminar covers foundational as well as contemporary theories in strategic management. The course draws upon foundational theoretical perspectives from economics, sociology and organization theory to supplement more traditional strategy approaches towards understanding firm performance and related issues. Potential topics on contemporary theories may include transaction cost economics, agency theory, behavioral agency theory, structural contingency theory, theories of cooperative strategy, organizational networks, the resource-based view of the firm and upper echelon theories or theories regarding top management teams, theories of opportunity recognition and new venture creation, resource dependence theory, and theories of organizational evolution.

BUSI 542: Strategy Management Theory II

This seminar examines the effectiveness of corporate and competitive strategy in creating and maintaining competitive advantage. Topics may include firm resources and sustained competitive advantage, dynamic capabilities and knowledge-based theories of competence, strategy as real options, and cooperative strategy including strategic alliances and joint ventures. Topics may also include corporate diversification strategy, international diversification and entry into emerging markets, corporate governance, management of diversified business groups, strategic entrepreneurship, and management of innovation.

BUSI 545: Research Methods in Strategic Management

The focus of this course is on skills needed to perform exemplary research in Strategic Management. Topics include: Issues in philosophy of science, causation, relationship of theory and research, problem selection and definition, research design, hypothesis formulation and testing, sampling, alternative measurement techniques (e.g., survey, interview, and archival), collection and analysis of data. Emphasis on applied quantitative research methods – cross-sectional and longitudinal. Design and implementation of a course-based research project including proposal, data collection, analysis, and presentation of results.

BUSI 547: Advanced Topics in Strategy (1.5 credit course modules)

These modules might include topics such as:

- Organization Theory
- Organization learning and management of technology
- Entrepreneurship and new venture management
- Alliance and network strategies
- International and emerging market strategy
- Corporate strategy
- Strategic leadership and governance
- Business and government
- Ethics and strategy

Candidacy

Certification of Candidacy indicates that a student has reached the advanced stage of the Ph.D. Program, permitting him/her to devote full time to writing a dissertation. At least eight months must elapse between admission to candidacy and conferral of the degree. The requirements for candidacy are:

- (1) Successful completion of the course work requirements
- (2) Successful completion of first- and second-year paper requirements
- (3) Successful completion of the examination requirements.

CHAPTER FIVE

PH.D. IN THE ACCOUNTING AREA

This chapter presents the specific degree requirements (to add to the general requirements discussed in Chapter 1) for a Ph.D. in the Accounting area. Each accounting doctoral student must review the requirements listed in this chapter with the Ph.D. area advisor in accounting.

Overview

Accounting Research studies how properties of accounting measures and institutions impact how investors determine the value of claims to firms in financial markets (valuation), affect the usefulness for corporate control and managerial performance evaluation (governance) and how they impact how firms allocate their resources and make financial decisions (real effects). The main goal of the accounting doctoral program is to train students to do high-quality research in any of these areas. To achieve this goal, the Ph.D. students are required to take courses in economics, statistics, econometrics, and accounting theory, and to write research papers examining important and relevant issues pertaining to Accounting.

Requirements

For doctoral students who have chosen accounting as their area, the Ph.D. degree requirements are as follows.

1. Complete a review course in Quantitative Methods in the summer before the beginning of the first semester.
2. During the student's first two years, he or she must take a minimum of four doctoral-level courses per semester. The chosen courses must be approved by the area faculty advisor.
3. The student is expected to attend all research seminars organized in the accounting area during the student's tenure in the Ph.D. program.
4. During the second and third years, the student must formally register for the accounting research seminar and attend presentations of faculty members from other business schools that visit JGS to present their research. The student must write a short summary and critical comments on two papers presented in the research seminar during the semester. These reviews should be submitted to the area advisor and will be graded by a subset of area faculty for a Pass/Fail grade.
5. Students must successfully complete the summer research paper requirements during the first two years. This requires working with an accounting faculty member during summer, getting the faculty member's approval of the resulting paper, and then presenting the paper at an accounting research seminar no later than the spring semester of the following academic year.
6. Students must successfully pass a comprehensive exam administered by the accounting faculty at the end of the second year. The exam will be jointly administered and graded by accounting faculty, under the supervision of the accounting area advisor. The exam is focused on the coursework taken in accounting and also measures the student's knowledge of the area as a whole. A successful performance in the exam will demonstrate the student's competency in accounting and provide the foundation from which he or she begins the research that will form the basis of the dissertation.

7. Students are expected to successfully defend their dissertation proposal by the end of the third year.
8. Complete and defend dissertation within a maximum of 7 years from the time of matriculation.

Sample Course Sequence for a Doctoral Student in Accounting

Summer before the beginning of first semester

Quantitative Methods Review

Year 1 (Fall)

ECON 501 Microeconomic Theory I

ECON 504 Advanced Economic Statistics

ECON 507 Mathematical Economics I

MGMT 9xx Introduction to Accounting Research

Workshop in Statistical Computing and Research

Year 1 (Spring)

ECON 508 Microeconomics II

ECON 510 Econometrics I

MGMT 9xx Analytical Research

Workshop in Statistical Computing and Research

Elective

Year 2 (Fall)

ECON 509 Microeconomics III

MGMT 9xx Empirical Research in Accounting

Elective

Elective

Year 2 (Spring)

MGMT 9xx Advanced Contemporary Accounting Research

Elective

Elective

Elective

Doctoral students will continue taking graduate-level accounting courses beyond their second year as well. Examples of elective courses are:

MGMT 911-914 Finance Seminars

ECON 511 Econometrics II

ECON 514 Industrial Organization and Control

ECON 523 Dynamic Optimization

ECON 579 Topics in Econometrics

STAT 622 Bayesian Data Analysis

STAT 522 Advanced Bayesian Statistics

STAT 621 Time Series Analysis

PSYC 550 Foundations of Social Psychology

PSYC 520 Foundations of Cognitive Psychology

Overview of Accounting Ph.D. Seminar Series

I. Introduction to Accounting Research — The course offers a thorough and broad-ranging introduction to accounting theory and research. It covers origins and evolution of key relevant accounting institutions, thought, paradigms and methods.

II. Analytical Research – The course provides a thorough and comprehensive introduction into the key economic theories underlying a significant part of contemporary cutting edge accounting research. The course is designed to be sufficiently deep to support both students intent on pursuing analytical research and at the same time broad enough that students with an empirical orientation will gain a solid foundation.

III. Empirical Research in Accounting – The course provides a thorough and comprehensive synthesis of empirical accounting research, covering the key “classic” papers in the major research areas, methodological issues and emerging areas within empirical accounting research.

IV. Advanced Contemporary Accounting Research – The course provides a more advanced treatment of cutting edge, predominantly empirical accounting research. Accordingly, the course content is expected to change frequently to reflect the current state of accounting research.

CHAPTER SIX

DOCTORAL DISSERTATION

While working on the doctoral dissertation, the student interacts extensively with JGS faculty, seeking advice from faculty with whom the student shares research interests. A dissertation chairperson will be typically selected by the student by the end of his/her second year of study. With the consultation of this dissertation chairperson, the student will typically select his or her dissertation committee members during the third year of his/her study. The dissertation committee members help the student formulate and pursue his or her dissertation topic.

Working on the dissertation involves two important milestones. The first involves the defense of a dissertation proposal explaining the nature of the planned dissertation research. When the student has developed a written dissertation proposal that his or her advisor judges is ready for oral defense, a formal proposal defense before the dissertation committee is held. At the defense, the student proposes his/her dissertation idea, discusses its significance to the development of knowledge and explains the research methods to be used and any preliminary results. JGS doctoral students will typically propose their dissertation defense proposal by the end of their third year of study. The second and final milestone is the dissertation defense. When the written dissertation is judged complete by the student's advisor, it must be defended orally in a final dissertation defense before the dissertation committee and the general Rice community.

Doctoral Dissertation Committee

There is no formal process for creating a dissertation committee. As a student progresses to the dissertation stage (typically after the end of the second year), he or she begins working with a faculty advisor. The advisor may be one of the student's summer paper advisors. This advisor typically then becomes the chairperson of the student's dissertation committee. As the student develops the dissertation, he or she selects other members of the committee on the advice of the chairperson, or by approaching other faculty members who have shown interest in the dissertation topic. The JGS rules regarding committee membership are as follows:

1. The dissertation committee is composed of at least three members who must be approved by the Director of the Ph.D. program.
2. All committee members must be tenured or tenure-track faculty members.
3. At least two committee members must be JGS faculty.
4. At least one committee member must be a non-JGS Rice faculty.
5. At most, one committee member may be a tenure track or tenured faculty member at a university other than Rice University (When a JGS faculty member on a student's committee departs the University prior to the student's defense, the Director of the Ph.D. program may permit an exception to this rule).
6. The committee chairperson must be from JGS.
7. At least three committee members, including the chairperson, must be present at the dissertation proposal. The committee vote must be unanimous for the student to pass the dissertation proposal. Any committee member who will vote in absentia should sign in advance either the regular committee approval form or an absentee member approval form that is available from the Ph.D. Office.
8. At least three committee members, including the chairperson, must be present at the dissertation defense. The committee vote must be unanimous for the student to pass the dissertation defense. Any committee member who will vote in absentia should sign in advance either the regular committee approval form or an absentee member approval form that is available from the Ph.D. Office.

Members of the dissertation committee change only in exceptional circumstances.

Scheduling the Dissertation Proposal or Defense

1. The student sends the proposal/dissertation to all committee members who discuss whether it is acceptable.
2. When the proposal/dissertation is deemed acceptable, the student works with the committee members to find a mutually agreed upon day and time for the proposal or defense.
3. No later than one week before the proposal/defense, the student must provide a copy of the dissertation proposal or dissertation to each of the committee members and to the Ph.D. Office.
4. A formal announcement about the proposal/defense should go out no later than two weeks before the scheduled date.



CHAPTER SEVEN

FINANCIAL ASSISTANCE

Full financial assistance will be offered to each admitted student in the Ph.D. program in the form of a research assistantship, where the student must work as a research assistant for assigned faculty members. The financial assistance is merit-based and is contingent on continued satisfactory progress (which includes prior satisfactory performance as a research assistant).

Tuition Grants

Full tuition support is available for each year of full-time study, conditional on satisfactory progress in the doctoral program.

Stipends

Admitted students will be offered stipend support of \$35,000 per fiscal year.⁸ This stipend is available for each year of full-time study, conditional on satisfactory progress in the doctoral program.

Research and Academic Support

Each student will be provided with a workspace, a personal computer with office software⁹ including all necessary (as determined by area faculty) statistical packages and access to the Rice University network, library access, online academic journals access and e-mail. Each student will also have available \$1000 per year for miscellaneous research and academic expenses such as textbooks required for classes, computer upgrades, conference travel, etc. Students may roll over unused monies from one year to the next.

⁸ A condition for such stipend support is that the student must not engage in outside work for pay without prior permission from the Ph.D. Program Director. An incoming student bringing outside financial support in the form of a merit-based scholarship or fellowship will still be eligible to receive this stipend in full in addition to such outside support. If a student in the third year or beyond generates such outside financial support, the JGS stipend will be decreased by 50% of the outside support.

⁹ The computer will be refreshed after successful defense of the dissertation proposal.

CHAPTER EIGHT

PEDAGOGICAL TRAINING

All doctoral students in the JGS doctoral program will have access to a variety of pedagogical and communications development programs through their program of study. These are summarized below:

- Daylong Communications Workshop offered in the first year, where JGS Communications faculty train the doctoral students on effective presentation skills.
- Periodic one-hour lecturing opportunities in semester courses (taught by full-time faculty), starting from the second year, where students get hands on practice on teaching in front of students.
- Week-long Teaching Workshop (offered as a 0.75-credit elective course), offered during the third year or beyond, which covers issues pertaining to being an effective classroom instructor, such as course design, lecturing, discussions, the use of the case method, and other pedagogical strategies. All participants will be videotaped at least twice and will receive individual, confidential feedback from the instructors.

The above-mentioned development programs prepare JGS doctoral graduates to be effective classroom instructors and research presenters upon graduation.

CHAPTER NINE

FREQUENTLY ASKED QUESTIONS

In which areas of specialization will the Jones Graduate School be accepting Ph.D. applications for Fall 2013 admissions?

For Fall 2013 admissions, the Jones Graduate School will be accepting applications in **Finance**, **Marketing**, **Strategic Management**, and **Accounting**.

What is your application deadline (including all supplemental documentation and materials)?

The deadline for receipt of all application materials for the Fall 2013 Program start date is **Friday, January 11, 2013**. Applicants are strongly encouraged to submit their online application and supporting materials 2 – 3 weeks prior to January 11, 2013 to avoid any potential delays in processing.

When will I receive a decision?

Candidates will be notified of admission decisions via email no later than **April 15, 2013**.

How do I apply?

Visit <http://business.rice.edu/PhD>, and click “Apply”. Using this online application site, you will create a user account for the creation and submission of your application, and from which you may check the status of your submitted application and receipt of your supplemental documentation.

What are the application requirements?

To be considered for admission, the following documents must be received no later than the posted application deadline:

- Completed online Jones Graduate School Ph.D. application including a Personal Statement Essay and CV/Résumé.
- Three confidential evaluations. Evaluations may be submitted using the online application recommendation feature, or mailed separately in an envelope sealed and signed across the seal by the evaluator.
- Official transcripts from all institutions you have attended. Transcripts must be received in envelopes sealed and signed across the seal by the issuing institution registrar. Uncertified photocopies are not acceptable. To be considered, all documents not in English must be accompanied by official English translations. These translations must bear an original ink signature and seal, and translations alone will not be acceptable.
- Official Graduate Management Admission Test (GMAT) score report or GRE score report. (Test taker copy not acceptable.)
 - *To send your official GMAT score report, log on to <http://www.mba.com/mba/>, click “The GMAT” then “GMAT Scores and Score Reports”. The “Rice University Jesse H. Jones Graduate School of Business – PhD Program” code is **3WS-WD-54**.*
 - *To send your official GRE score report, log on to <http://www.ets.org>, under “Tests” click “GRE”. Under “Test Takers”, click “Order Additional Score Reports”. The “Rice U Mgmt PhD Program” code is **6618**.*
- If you did not earn your undergraduate degree in the U.S., English-speaking Canada, Australia, New Zealand, or the United Kingdom, an official score report of your TOEFL (Test of English as a Foreign Language) taken within 2 years of your application date is required (test-taker copy not acceptable). This requirement is waived for international applicants who have received a Master's degree or a Doctorate from an institution within the U.S., English-speaking Canada, Australia, New Zealand, or the United Kingdom by the application deadline.
 - *To send your official TOEFL score report, log on to <http://www.ets.org>, under “Tests” click “TOEFL” and then “Test Scores”. The “Rice University-Management PhD Program” code is **6618**.*
- A non-refundable application fee of \$40 payable via credit card or check. Please make check payable to Rice University. Applications will not be processed without the required application fee.

Are there minimum GMAT/GRE score requirements?

While our program is highly competitive, we do not have a minimum GMAT/GRE score requirements.

Where do I send my supplemental application materials?

While most of your application materials will be submitted electronically via our online application, materials that must be mailed should be addressed to:

**PhD Admissions / MS 531
Rice University
Jones Graduate School of Business
6100 Main Street
Houston, TX 77005**

May I submit simultaneous applications to the Ph.D. program and one of the MBA programs at the Jones Graduate School?

No. Applicants may not apply for, or be considered for, more than one program at a time within the Jones Graduate School.

Appendix A: Third-Year Research Paper forms

THIRD-YEAR RESEARCH PAPER TOPIC APPROVAL FORM (FINANCE)

Section 1: Student

My third-year paper topic is

I understand that I must report periodically during this research period to the faculty members designated below, and that I must produce on original paper that I will present at a workshop during the Spring Semester. This paper must be submitted to the designated faculty members by December 15.

Name (signature) _____

Name (print) _____

Date _____

THIRD-YEAR RESEARCH PAPER TOPIC APPROVAL FORM (FINANCE)

Section 2: For two faculty members

I understand the project that the student above proposes and his or her work plan for the summer and Fall semester. I agree to meet with the student periodically throughout this period. I also agree to evaluate the paper (if it is submitted to me by December 15) by January 30. I understand that my evaluation will determine whether the student has written an acceptable paper that will be presented at a workshop during the Spring Semester.

Faculty Member 1

Name (signature) _____

Name (print) _____

Date _____

.....

Faculty Member 2

Name (signature) _____

Name (print) _____

Date _____

THIRD-YEAR RESEARCH PAPER OUTLINE APPROVAL FORM (FINANCE)

(student's name - please print)

(tentative title of paper)

.....

I approve of the outline and agree to work with the student throughout the Fall Semester.

Faculty Member 1

Name (signature) _____

Name (print) _____

Date _____

.....

Faculty Member 2

Name (signature) _____

Name (print) _____

Date _____

THIRD-YEAR RESEARCH PAPER EVALUATION FORM (FINANCE)

I understand that _____
(student's name)

will present the paper _____
(title of paper)

in the _____
(title of workshop)

on _____.
(date)

.....
I have read the paper and feel it satisfies the requirements for the required research paper.

Faculty Member 1

Name (signature) _____

Name (print) _____

Date _____

.....
Faculty Member 2

Name (signature) _____

Name (print) _____

Date _____

THIRD-YEAR RESEARCH PAPER PRESENTATION REPORT (FINANCE)

Student Name _____

Title of Research Paper _____

Date of Presentation (Spring Semester) _____

Faculty member(s) attending presentation

Result of Presentation:

Passed _____

Failed _____

Faculty Signatures:

Appendix B: First- and Second-Year Research Paper forms

FIRST- AND SECOND -YEAR RESEARCH PAPER TOPIC APPROVAL FORM
(STRATEGIC MANAGEMENT)

The first year paper is to begin in the Spring Semester of the first year and is to be completed in the Fall Semester of the second year. The second year paper is to begin in the Spring Semester of the second year and is to be completed in the Fall Semester of the third year.

Section 1: Student

My first/second-year (circle one) paper topic is

I understand that I must report periodically during this research period to the faculty members designated below, and that I must produce an original paper which I will present at a workshop during the Fall Semester. This paper must be submitted to the designated faculty members by December 15.

Name (signature) _____

Name (print) _____

Date _____

FIRST- AND SECOND -YEAR RESEARCH PAPER OUTLINE APPROVAL FORM
(STRATEGIC MANAGEMENT)

(student's name - please print)

(tentative title of paper)

I approve of the outline and agree to work with the student throughout the Spring, Summer and Fall Semesters.

(faculty member #1 - signature)

(faculty member #2 - signature)

(faculty name - please print)

(faculty name - please print)

(date)

(date)

