



# PH.D. PROGRAM GUIDEBOOK

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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/academic-program/phd-business>.

This guidebook complements Rice University’s [General Announcements Catalog](#). Rice University publishes its “General Announcements” each year. These are the official rules of the university and can be found at <http://ga.rice.edu/>. The section titled “Graduate Students” outlines the basic rules and expectation for all graduate students at Rice University. Students must be in agreement with the General Announcements and Code of Conduct found at: <https://sjp.rice.edu/code-of-student-conduct>. 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:** [Brian Rountree](#)

**Finance:** [Kerry Back](#)

**Marketing:** [Sharad Borle](#)

**Organizational Behavior:** [Jing Zhou](#)

**Strategic Management:** [Duane Windsor](#)

## 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. The PhD Program will begin accepting applications in the Accounting, Finance and Strategic Management areas in the Fall of 2019 for Fall 2020 admissions. Applications will be accepted in Marketing and Organizational Behavior in the future.<sup>1</sup> Students applying to begin studies in Fall 2020 must submit their online application and send all of their supporting materials (three letters of recommendation, grade transcripts, personal statement essay, GMAT or GRE scores<sup>2</sup>, a CV or résumé<sup>3</sup>, and a non-refundable application fee of \$40) to the JGS Doctoral Program Office for delivery no later than January 10, 2020. 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.<sup>4</sup> 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.

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<sup>1</sup> For more detailed information, please contact the appropriate area advisor.

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

<sup>3</sup> 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.

<sup>4</sup> For Fall 2020 admissions, the JGS doctoral program will be soliciting applications in the areas of Accounting, Finance and Strategic Management. Applications will be accepted in Marketing and Organizational Behavior in the future.

## **Program Timeline**

A student is expected to be in residence throughout the calendar year (exceptions to this requirement must be approved by the student's dissertation chairperson, area advisor, and the director of the JGS PhD program).

### **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.

### **Year Four and beyond**

- Finish work on dissertation research.
- Defend dissertation research proposal by end of fourth year.
- 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**

All PhD students in the Jones Graduate School of Business doctoral program must maintain an overall 3.0 (B) grade point average in courses for their chosen program of graduate study. In addition, to remain in good standing, graduate students must maintain a minimum overall GPA of 3.0.

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 at the discretion of area faculty. Please consult your area advisor regarding the scheduling of your retake. 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,<sup>5</sup> 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.

## **Graduate and Postdoctoral Studies Guidelines for Academic Probation, Dismissal, Petitions, and Grievances**

Petitions, appeals, and grievances will be handled as specified by the Graduate Council's "Guidelines for Dismissals, Petitions, Appeals, Grievances, and Problem Resolution"

(<http://ga.rice.edu/graduate-students/>).

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<sup>5</sup> 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.

## Advancement to Candidacy for the Ph.D.

After completing the required coursework, qualifying examinations, and demonstrated the ability to carry on scholarly work in his/her subject area each student must petition to Advance to Candidacy for the Ph.D. degree. Upon advancement, a student chooses a thesis committee of at least 3 faculty members with the guidance and approval of the research advisor and PhD area advisor. The thesis committee must include one faculty member whose primary appointment is outside of the Business School. Students submit their petitions for candidacy through their department coordinator.

## Requirements for MA Degree in the field of Business

The MA Degree is a non-thesis master's degree. For general university requirements, please see [Non-Thesis Master's Degrees](#). For additional requirements, regulations, and procedures for all graduate programs, please see [All Graduate Students](#). Although students are not normally admitted to study for an MA, graduate students in the Ph.D. program may complete the MA as part of their path towards the Ph.D. Students pursuing the MA degree in the field of Business must complete:

- A minimum of 36 credit hours to satisfy degree requirements.
- A minimum of 30 credit hours of graduate-level study (coursework at the 500-level or above).
- A minimum of 9 credit hours of doctoral seminars in the student's specified discipline or area of specialization.
- A minimum overall GPA of 3.00.
- A minimum residency enrollment of four semesters (excluding summers) of full-time graduate study at Rice University.

Students must also successfully complete the research workshop participation requirements and the first-year summer research requirements (if applicable) in the area of specialization. Additionally, the Jones School requires that not more than 3 years elapse between the time the student is admitted to the PhD program in Business and the completion of the MA degree, unless an extension is approved by the PhD Program Committee.

## Summary

Total Credit Hours Required for the MA Degree in the field of Business
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36
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## Requirements for the Ph.D. Degree in the field of Business

For general university requirements, please see [Doctoral Degrees](#). For program details, see the PhD Program Guidebook distributed by the Jones Graduate School of Business. Admissions applications should include scores on the Graduate Management Admissions Test (GMAT) or the Graduate Record Examination (GRE). Full financial support will be provided to admitted doctoral students. Candidates for the PhD degree spend at least two years in full-time coursework and at least two years writing the

dissertation. Four to five years is a reasonable goal for completing the program. Students pursuing the PhD degree in the field of Business must:

- Complete a program of doctoral-level courses that is approved by the area faculty advisor. Students take courses from departments such as economics, psychology, statistics, and political science in addition to courses from Jones Graduate School of Business.
- Complete and defend orally a doctoral dissertation, setting forth in publishable form, the results of original research.

### Summary

Total Credit Hours Required for the PhD Degree in the field of Business
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90
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## Title IX

Rice encourages any student who has experienced an incident of sexual, relationship, or other interpersonal violence, harassment or gender discrimination to seek support. There are many options available both on and off campus for all graduate students, regardless of whether the perpetrator was a fellow student, a staff or faculty member, or someone not affiliated with the university.

Students should be aware when seeking support on campus that most employees are required by Title IX to disclose all incidents of non-consensual interpersonal behaviors to Title IX professionals on campus who can act to support that student and meet their needs. The therapists at the Rice Counseling Center and the doctors at Student Health Services are confidential, meaning that Rice will not be informed about the incident if a student discloses to one of these Rice staff members. Rice prioritizes student privacy and safety, and only shares disclosed information on a need-to-know basis.

If you are in need of assistance or simply would like to talk to someone, please call Rice Wellbeing and Counseling Center, which includes Title IX Support at 3311 / (713) 348-3311

Policies, including Sexual Misconduct Policy and Student Code of Conduct, and more information regarding Title IX can be found at [safe.rice.edu](http://safe.rice.edu).

## CHAPTER TWO

# 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 three doctoral-level courses per semester and preferably four courses in total per semester. The chosen courses must be approved by the area faculty advisor.
3. The student is expected to attend four doctoral seminars organized in the accounting area during the student's first two years in the Ph.D. program and additional accounting doctoral seminars as required by the student's advisor.
4. The student is expected to attend all research workshops (presentations of faculty members from other business schools that visit JGS to present their research or internal presentations by JGS faculty or PhD students) organized in the accounting area during the student's tenure in the Ph.D. program. The student must lead a discussion preceding the workshop with the other Ph.D. students each semester. PhD students will designate a senior PhD student to keep track of this requirement and provide a report to the area faculty advisor at the end of the spring semester.
5. During the summers following each of the first two years, students will complete a summer research study/paper. The scope of the study/paper is to be determined jointly by the student and a faculty member who will act as the student's summer research advisor.
  1. The first year summer study/paper must be presented to accounting faculty at a research workshop no later than the end of the fall semester of the second academic year. The content and format of this presentation will be determined by the student's summer research advisor.
  2. The second year summer research must result in a working paper (with at least preliminary results), which must be presented to accounting faculty at a research workshop no later than the spring semester of the third academic year.

6. Students must pass a comprehensive exam administered by the accounting faculty at the end of the second year. Only students not on probation and with a satisfactory annual evaluation are eligible to take the comprehensive exam. 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 topics covered in research workshops offered by the accounting area. 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 fourth 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 510 Econometrics I

BUSI 530 Introduction to Accounting Research

Workshop in Statistical Computing and Research

Elective

### **Year 1 (Spring)**

ECON 508 Microeconomics II

BUSI 532 Analytical Research in Accounting

BUSI 533 Contemporary Accounting Research Topics

Workshop in Statistical Computing and Research

Elective

### **Year 2 (Fall)**

BUSI 531 Empirical Methods in Accounting

BUSI 523 Empirical Methods in Finance

Elective

Elective

## **Year 2 (Spring)**

BUSI 532 Analytical Research in Accounting (suggested retake)

BUSI 533 Contemporary Accounting Research Topics (suggested retake)

Elective

Elective

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

General:

ECON 435: Industrial Organization

ECON 511: Econometrics II

ECON 514 Industrial Organization and Control

ECON 517 Empirical Industrial Organization

Analytical Track:

BUSI 510 Analytical Models in Marketing

ECON 502 Macroeconomics

ECON 505 Financial Economics

ECON 509 Topics in Microeconomics

ECON 575 Topics in Financial Economics

MATH 321 Introduction to Analysis I

MATH 515 Integration Theory

STAT 581 Mathematical Probability

STAT 552 Applied Stochastic Processes

Empirical Track:

BUSI 522 Corporate Finance

BUSI 511 Select Topics in Marketing

BUSI 524 Finance Special Topics

BUSI 527 Finance Special Topics

ECON 309 Applied Econometrics

ECON 578 Topics in Econometrics I

ECON 579 Topics in Econometrics II: Time Series Analysis

STAT 519 Statistical Inference

STAT 541 Multivariate Analysis

## **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 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 careers as professors of finance at top academic research institutions. To achieve this goal, Ph.D. students are required to take courses in economics 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. 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 each semester of the second and third years, 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.



3. 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.
4. Students must have a Jones School finance faculty member who has agreed to serve as their dissertation advisor by January 1 of their third year in the program.

### Exam Requirements

1. Students must successfully pass comprehensive exams in economic theory and econometrics 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 Fall semester of the second year. The exam will be administered and graded by finance faculty, under the supervision of the finance area advisor.

### Third-Year Research Paper

Each student must write and present a sole-authored original research paper during their third year in the program. The paper must be presented by October 15 of the student's third year in the program. The specific procedures are as follows:

(1) By March 1st of the student's second year in the program, two JGSB faculty members must agree to serve as readers of the paper.

(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 June 1 following the student's second year in the program. The outline for an empirical paper should include: (1) the research hypothesis, (2) motivation for the research hypothesis, (3) description of the data, (4) description of the empirical tests, and (5) the expected contribution to the literature. The outline for an analytical paper should include: (1) the basic phenomenon under study, (2) the economic setting, (3) the modeling approach, (4) the fundamental assumptions, and (5) the expected contribution to the literature. 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.

(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 September 15 of the student's third year in the program.

(4) A student must present the third-year paper at a research workshop at a date chosen by the faculty during the first half of October 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.

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. BUSI 524, 525, 526, and 527 are half-semester courses on special topics in finance taught biennially. Students should consult the finance area advisor regarding whether to substitute a more advanced math course for Math 321 in the Fall of the 1<sup>st</sup> year.

### **Year 1 July 1 – August 15**

Math Camp and Stat Camp

#### **Year 1 - Fall**

ECON 501 - Microeconomic Theory I  
ECON 502 - Macroeconomics I  
Math 321 Introduction to Analysis I  
ECON 510 - Econometrics I

#### **Year 1 - Spring**

ECON 508 - Microeconomic Theory II  
ECON 511 Econometrics II  
BUSI 521 Asset Pricing Theory  
ECON 504 Computational Economics

#### **Year 2 - Fall**

BUSI 524 or BUSI 525  
BUSI 523 - Empirical Methods in Finance  
BUSI 522 - Corporate Finance

Elective

#### **Year 2 - Spring**

BUSI 526 or BUSI 527  
ECON 503 Topics in Financial Economics

Electives

#### **Year 3 - Fall**

BUSI 524 or BUSI 525

#### **Year 3 - Spring**

BUSI 526 or BUSI 527

## **Course Descriptions**

### **BUSI 521: Asset Pricing Theory**

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: Corporate Finance**

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, 525, 526, 527: Special Topics in Finance**

These are half-semester courses covering various topics in financial economics.

## **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 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.

### Overview

The doctoral program at Jones School of Business at Rice University is designed to provide students with the training necessary for a successful research and teaching career. This training revolves around attaining expertise in the foundational areas and using this as a basis to address important marketing issues. The training components involve selecting courses to meet individual needs and interests, working closely with faculty members on joint research, and conducting original research projects which ultimately lead to a dissertation that advances the field.

Marketing is naturally interdisciplinary in nature and therefore draws theory and methodology widely from a variety of fields, including economics, statistics, psychology, anthropology, sociology, and neurosciences. Research in marketing encompasses three broad overlapping areas: quantitative modeling, consumer behavior, and strategy.

The quantitative modeling area is rooted in microeconomics, econometrics, psychometrics, sociometrics, statistics and industrial organization. Some of the major objectives include creating models to probe competitive marketing strategies that explain and predict consumer choices and understand market structure. Examples of topics investigated by researchers at Rice include how to detect underlying trends using google data, how consumers allocate their time and discretionary income competing products, services and activities, how product assortment impacts customer retention, why prices in the internet vary widely even though customers can easily search and why digital piracy might not be bad for firms.

Consumer behavior primarily focuses on explaining why consumers behave the way they do. Traditionally, psychology and sociology have been used to understand factors that explain consumer behavior. More recently, empirical modeling, survey methods, and neuroscience have

provided important insights about consumers. Examples of the research conducted at JSB include why consumers purchase extended service contracts, how different identities (political, gender, moral) affect consumer decision making, studying lending decisions in peer-to-peer sites like Kickstarter and Kiva, developing strategies to encourage consumers to save more, why being on online communities fosters more risk taking, why just surveying customers makes them more satisfied.

The marketing strategy area deals with issues that focus on understanding and improving the strategy of the firm, and with strategic decision making of managers. Today, researchers in this area use a variety of tools including quantitative modeling, experiments, and surveys to answer questions related to a variety of topics. Topics researched at JSB include understanding the financial impact of marketing-mix decisions by managers, estimating customer-lifetime value and its impact on a firm's financial performance, developing and measuring the impact of strategies that affect customers in terms of their satisfaction, brand-connection, brand equity, and commitment and measuring marketing outcomes such as brand-equity, customer satisfaction, corporate-social responsibility based on secondary data.

## **Requirements**

Depending on their research interest, a student must take courses not only in JGS, but also in other departments such as psychology, economics and statistics. 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. These courses will be a combination of required courses and electives.
2. 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. Students will also be required to present their research in the spring semester after the second year.
3. Students must successfully pass a comprehensive exam administered by marketing faculty at the end of the second year – typically in early May. The exam will be jointly administered and graded by marketing faculty. The exam is focused 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.

4. Students are expected to complete and defend dissertation within a maximum of 7 years from the time of matriculation.

Doctoral students will continue taking doctoral-level marketing courses beyond their second year as well.

## Sample Course Sequences

Here is a sample course sequence for a doctoral student in Marketing seeking to develop a foundational expertise in **Economics**. Such a foundational expertise can enable students to explore a research path oriented toward Marketing Strategy, Consumer Choice Modeling, Understanding the Marketing-Finance interface, and Industrial Marketing/ Empirical IO Models. Students may also decide to develop a specialization in **Quantitative Methods** that can be applied to a wide variety of marketing problems. .

### 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

Here is a sample course sequence for a doctoral student in Marketing whose foundational expertise in psychology, sociology, and research methods. Such a foundational expertise can enable students to explore a research path oriented toward **Consumer Behavior, Managerial Decision making**, and understanding decision making in general. Students may also decide to develop a specialization in basic psychology with an eye to applying a variety of theoretical perspectives to answer research questions related to behaviors of consumers and managers.

### **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



## CHAPTER FIVE

# 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 the following: competitive strategy, corporate strategy and resource allocation, strategic decision processes, international and emerging market strategies, knowledge and innovation management, strategic entrepreneurship, strategic leadership and corporate governance, and environment and strategies for social responsibility. 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 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, political science, and sociology, and to write research papers examining important and relevant issues in strategic management. The program also has a teaching requirement to the extent that teaching opportunities are available.

### 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 sample course 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 invited from other 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 in the SE area. Such presentations should demonstrate that the student is making adequate progress in his/her research. The presentation requirement is generally fulfilled in the fall or spring of the second and third years by presenting the required research paper and other research projects. It is the student's responsibility to schedule this yearly presentation, together with his/her advisor and/or the strategic management area advisor.
8. Having teaching experience is important for doctoral students to perform well in the academic job market. As such, we require students in the SE area to have a teaching experience. In the third year of the program, all students receive an opportunity to be a teaching assistant for SE faculty in strategic courses at the Jones School. Moreover, to the extent that teaching opportunities are available, we require students to teach at least one semester course as the primary instructor before entering the job market.

## **Exam Requirements**

Students must successfully pass a comprehensive exam administered by the SE faculty at the end of the second year. The exam is 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 includes two parts. Part I focuses on the coursework taken in strategic management and measures the student's knowledge of the area as a whole including base theories, main strategy research topics, and research methods. Part II requires writing a paper as a take-home exam (generally within 48 hours) on a topic jointly discussed between two SE faculty and the student; it focuses on the student's ability to write a research paper establishing a contribution to the designated literature and also includes research methods and study design. A successful performance in the exam demonstrates the student's solid training in strategic management and provide the foundation from which he or she begins the research that forms the basis of the dissertation.

## **Research Paper Requirement**

Students are required to write one major paper in their first two years, either sole-authored or coauthored with a faculty member(s) in the SE area. This paper is proposed in the spring semester of the second year and completed at the beginning of the fall semester of the third year. The bulk of the work on the paper is intended to be done in the summer. The paper is intended as (1) a developmental vehicle for the student and (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 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. The 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 paper in a faculty workshop at the beginning of the fall semester of the third year. Failure to complete the Research Paper Requirement, 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.

## **Teaching Requirement**

As noted above, in the third year of the program, all students receive an opportunity to be a teaching assistant in strategic courses at the Jones School. However, based on whether opportunities exist, we require students to teach at least one semester course as the primary instructor before entering the job market. It is possible but unlikely to fulfill this opportunity at Rice University since we do not have a large undergraduate business major to service (although we do teach a strategy course in the undergraduate business minor). However, our students have been successful in finding teaching opportunities at local institutions in the Houston vicinity.

## Sample Course Sequence

The course curriculum is designed around a challenging course of study in both the theory of strategic management and in innovative empirical design. The sample course sequence is typical although the students might choose different courses across disciplines to structure a specific degree plan. Besides the required 1<sup>st</sup> and 2<sup>nd</sup> year Strategic management basic and advanced courses, students are required to take a microeconomics course as well as statistic and methodology courses. Doctoral students may continue taking courses beyond their second year.

### Sample Course Sequence in Strategic Leadership (Psychology Oriented)

#### Year 1 (Fall)

BUSI 540	Strategy Management Theory (3.0)
BUSI 549	Strategy Pro-seminar (3.0)
POLI 504	Methodology and Data Analysis (or equivalent-e.g., ECON 510)
PSYC 507	Research Methods (or equivalent)

#### Year 1 (Spring)

BUSI 541	Strategic Management Research (3.0)
BUSI 5XX	Advanced Topics in Strategic Management (1.5 hours see courses below)
BUSI 5XX	Advanced Topics in Strategic Management (1.5 hours see courses below)
POLI 505	Topics in Political Methodology (or equivalent-e.g., ECON 511)
Elective	

#### Year 2 (Fall)

BUSI 5XX	Advanced Topics in Strategic Management (1.5 hours)
BUSI 5XX	Advanced Topics in Strategic Management (1.5 hours)
PSYC 601	Multivariate Statistics (or equivalent)
ECON 501	Microeconomic Theory I (or equivalent)
Elective	

#### Year 2 (Spring)

BUSI 5XX	Advanced Topics in Strategic Management (1.5 hours-see courses below)
BUSI 5XX	Advanced Topics in Strategic Management (1.5 hours see courses below)
Elective	
Elective	
Elective	

#### Examples of elective courses are:

BUSI 503	Econometric Models in Marketing
BUSI 504	Game Theory

BUSI 530	Introduction to Accounting Research
BUSI 531	Empirical Methods in Accounting
BUSI 522	Corporate Finance
BUSI 523	Empirical Methods in Finance
ECON 504	Advanced Economic Statistics
ECON 510	Econometrics I
ECON 510	Econometrics II
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 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
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	Topics in 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 540: Strategic Management Theory***

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: behavioral theory of the firm, 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 541: Strategy Management Research***

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.

### ***Advanced Topics in Strategy (1.5 credit course modules)***

Required Advanced Strategy Electives (They take two per semester after the first semester in the program)

BUSI 515 Micro foundations of organization & management (1.5)

BUSI 542 Organization change (1.5)

BUSI 543 Executive leadership & corporate governance (1.5)

BUSI 544 Contemporary management thought (1.5)

BUSI 547 Innovation & knowledge management (1.5)

BUSI 551 Strategy research in corporate development (1.5)

BUSI 550 Corporate social responsibility (1.5)

BUSI 552 Design of business research (1.5)

Other topics are likely to be developed in the future

## 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 research paper requirement
- (3) Successful completion of the comprehensive examination requirements.

## **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 Rice Jones Graduate School of Business faculty.
4. At least one committee member must be a non-Jones Graduate School of Business Rice faculty.
5. At most, two committee members may be tenure track or tenured faculty members at universities other than Rice University. These outside members must be in addition to the three Rice University faculty members.
6. The committee chairperson must be a tenured or tenure-track faculty member of the Jones Graduate School of Business of the student's area.
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.
8. All dissertation defenses must take place on the Rice University campus with the candidate and all committee members in physical attendance. In exceptional cases, appeals to this requirement can be made in writing to the dean of graduate and postdoctoral studies through your graduate coordinator. The committee vote must be unanimous for the student to pass the dissertation defense.

Members of the dissertation committee change only in exceptional circumstances.



## **Scheduling the Dissertation Proposal and Dissertation Defenses**

1. At least 3 months must lapse between the dissertation proposal defense and the dissertation defense.
2. The student sends the proposal/dissertation to all committee members who discuss whether it is acceptable.
3. 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 dissertation defense.
4. No later than two weeks before the proposal/dissertation defense, the student must provide a copy of the dissertation proposal or dissertation to each of the committee members and send an electronic copy to Melinda Pena ([Melinda.E.Pena@rice.edu](mailto:Melinda.E.Pena@rice.edu)), coordinator of the Ph.D. program.
5. A formal announcement about the proposal/dissertation defense, invitation for all Jones School faculty and PhD students to attend the defense, and the title and abstract of the proposal/dissertation should go out no later than two weeks before the scheduled date. Please contact ([Melinda.E.Pena@rice.edu](mailto:Melinda.E.Pena@rice.edu)), coordinator of the Ph.D. program to arrange this announcement. In addition, the dissertation defense must be publicly announced two weeks before the scheduled defense. Defense announcements should be submitted by the student to the Office of Graduate and Postdoctoral Studies by filling out the following form: <http://events.rice.edu/rgs>.

## 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. JGSB PhD students are not allowed to work as research or teaching assistants beyond the 20 hours per week required to earn their stipend and tuition waiver. 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 \$40,000 per fiscal year.<sup>6</sup> This stipend is available for each year of full-time study, conditional on satisfactory progress in the doctoral program. To be a full-time student and receive a stipend, you must be enrolled in a minimum of 9 credit hours every semester (6 credit hours during the summer session).

### Research and Academic Support

Each student will be provided with a workspace, a personal computer with office software <sup>7</sup> 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 academic year students will be granted a research support budget. First and second year students will be given \$1,000, third and fourth year \$2,000 and fifth year \$1,000. These funds are designated rollover funds from one academic year to the next. This budget can be used for miscellaneous research and academic expenses such as books; computer equipment

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<sup>6</sup> 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.

<sup>7</sup> The computer will be refreshed after successful defense of the dissertation proposal. Instead, students completing their 3<sup>rd</sup> year of study may be eligible for a computer refresh if needed and with the recommendation of their advisor.

or software; conference travel or registration; organization dues; or other items that directly support the student in their studies and research.

## CHAPTER EIGHT

# FREQUENTLY ASKED QUESTIONS

### ***In which areas of specialization will the Jones Graduate School be accepting Ph.D. applications for Fall 2020 admissions?***

For Fall 2020 admissions, the Jones Graduate School will be accepting applications in **Accounting, Finance and Strategic Management.**

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

The deadline for receipt of all application materials for the Fall 2020 Program start date is Friday, **January 10, 2020.** Applicants are strongly encouraged to submit their online application and supporting materials 2 – 3 weeks prior to January 10, 2020 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, 2020.**

### ***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. To ensure that your application is reviewed in a timely manner, please select the Jones Graduate School Ph.D. evaluations to send to your recommenders. Individuals who submit the MBA evaluations will be asked to resubmit the correct form.
- Official transcript (s) are required from all undergraduate and graduate schools you have attended. For reviewing purposes, electronic copies of transcript (s) can be uploaded through the online application system to meet the application requirements. If you are offered admission to Rice, official paper or electronic copies of the transcript (s) will be required and should be sent directly to the Rice Jones Graduate School of Business by the issuing institution.
- Official Graduate Management Admission Test (GMAT) score report or GRE score report. (Test taker copy not acceptable.) Please use the appropriate program codes below:
  - *To send your official GMAT score report, log on to <http://www.mba.com/global>, click “The GMAT” then “GMAT Exam Scores”. 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:

**Melinda Peña  
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

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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: Research Paper forms

**RESEARCH PAPER TOPIC APPROVAL FORM (STRATEGIC MANAGEMENT)**

The research paper is to be completed in the beginning of the Fall Semester of the third year. The student should obtain faculty approval of the topic in the Spring Semester of the second year.

Section 1: Student

My research paper topic is

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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 at the beginning of the Fall Semester of my third year in the Ph.D. program. This paper must be submitted to the designated faculty members by August 31.

Name (signature) \_\_\_\_\_

Name (print) \_\_\_\_\_

Date \_\_\_\_\_

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Section 2: Faculty mentors

I approve of the topic and outline of this research project and agree to work with the student and to evaluate the research project when it is completed.

\_\_\_\_\_  
(faculty member #1 - signature)

\_\_\_\_\_  
(faculty member #2 - signature)

\_\_\_\_\_  
(faculty name - please print)

\_\_\_\_\_  
(faculty name - please print)

\_\_\_\_\_  
(date)

\_\_\_\_\_  
(date)

**RESEARCH PAPER EVALUATION FORM (Strategic Management)**

I understand that \_\_\_\_\_  
(student's name)

will present the paper \_\_\_\_\_  
(title of paper)

in front of SE area faculty and doctoral students

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 \_\_\_\_\_

## RESEARCH PAPER PRESENTATION REPORT (Strategic Management)

Student Name \_\_\_\_\_

Title of Research Paper \_\_\_\_\_

\_\_\_\_\_

Date of Presentation \_\_\_\_\_

Faculty member(s) attending presentation

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Result of Presentation:

Passed \_\_\_\_\_

Failed \_\_\_\_\_

Faculty Signatures:

\_\_\_\_\_

\_\_\_\_\_

## Advancement to Candidacy Form

This is to certify that \_\_\_\_\_ has fulfilled all the following university requirements for candidacy for a doctoral degree:

1. Successful completion of the coursework requirements
2. Successful completion of comprehensive exam requirements
3. Demonstrated the ability for clear oral and written communication, and
4. shown the ability to carry on scholarly work in his/her subject area
5. Successful completion of student's area requirements (For area requirements, please refer to your specific area of the JGSB Ph.D. Program Guidebook).
6. Approval from the Ph.D. area advisor who confirms that the student is making adequate progress toward a Ph.D.

\_\_\_\_\_

Original Signature of Ph.D. Program Director

\_\_\_\_\_

Date

This document is to be submitted with the Petition for Approval of Candidacy form. Individual time boundaries for candidacy and defense can be found in your Esther account.

Please return your completed Petition for Approval of Candidacy form, along with this document, to your graduate coordinator.

## Dissertation Proposal Form

### **Requirements:**

1. Students are expected to successfully defend their dissertation proposal by the end of the fourth year; maximum of 5 years from the time of matriculation.
2. At least 3 months must lapse between the dissertation proposal defense and the dissertation defense.
3. No later than two weeks before the proposal defense, the student must provide a copy of the dissertation proposal to each of the committee members and send an electronic copy to Melinda Pena ([Melinda.E.Pena@rice.edu](mailto:Melinda.E.Pena@rice.edu)), coordinator of the Ph.D. program.
4. At least three committee members, including the chairperson, must be present at the dissertation proposal.

For more information, please refer to the JGSB Ph.D. Program guidebook.

Date: \_\_\_\_\_

Student Name: \_\_\_\_\_

Advisor Name: \_\_\_\_\_

Scheduled Presentation Date & Time: \_\_\_\_\_

Location: \_\_\_\_\_

Student signature: \_\_\_\_\_

Area Advisor signature: \_\_\_\_\_



