PH.D. PROGRAM GUIDEBOOK

Professor Jeff Fleming, 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 (JGSB). You may access this guidebook, as well as other information about the doctoral program and the JGSB, at the following internet address: 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 expectations 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 JGSB Doctoral Program

The JGSB 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 undergraduate 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) Operations Management, (4) Organizational Behavior, and (5) Strategic Management. A faculty advisor, a member of the faculty specializing in that area, supervises each of these areas. 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:	K. Ramesh
Finance:	Kerry Back
Operations Management:	Nicola Secomandi
Organizational Behavior:	Daan van Knippenberg
Strategic Management:	Laszlo Tihanyi

CHAPTER ONE

GENERAL REQUIREMENTS

Admissions

The doctoral program in Business accepts students for full-time study beginning in the fall semester each year. The JGSB Ph.D. Program will begin accepting applications in the Accounting, Finance, Operations Management, Organizational Behavior and Strategic Management areas in the fall of 2024 for Fall 2025 admissions. Students applying to begin studies in Fall 2025 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[1], a CV or résumé[2], and a non-refundable application fee of $40) to the JGSB Doctoral Program Office for delivery no later than December 15, 2024. An applicant must declare his or her intended area of study – (1) Accounting, (2) Finance, (3) Operations Management, (4) Organizational Behavior, (5) Strategic Management – while applying to the Ph.D. program. Selected candidates will be notified of admission decisions via e-mail no later than April 15. Candidates who submitted an application to the JGSB doctoral program and were not offered admission may re-apply for a later year.

[1] International applicants whose native language is not English must also report their TOEFL scores.

[2] 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.

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 JGSB Ph.D. 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 required 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.
- Successfully pass dissertation research proposal by the 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

- Students must complete their required coursework and qualifying examinations, demonstrate the ability to carry on scholarly work in their subject area, and successfully pass their dissertation proposal by the end of the fourth year.
- Students must be approved to Advance to Candidacy for the Ph.D. degree before the beginning of their ninth semester.
- Students must successfully defend their dissertation within a maximum of seven years from the time of matriculation.

These times represent generous upper limits. Students are expected to complete their doctoral studies well within these stipulated deadlines. Any exceptions to these deadlines must be approved by the Ph.D. Program Director in consultation with the student's dissertation chairperson and area advisor.

Other Requirements

All Ph.D. 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.

Academic fraud, such as plagiarism or cheating, in violation of Rice Honor Code principles, is sufficient grounds for failing a student on the comprehensive exam. Students found in violation of academic fraud will not be afforded the opportunity to retake the exam, and thereby the student is subject to dismissal from the Ph.D. program. The faculty group has initial jurisdiction to evaluate evidence of academic fraud by a Ph.D. student. Such a finding will be sent to the Ph.D. Program Director for review. The student will be afforded an opportunity to appeal the finding of academic fraud to the Deputy Dean of Academic Affairs.

Students will be expected to attend periodic research seminars in their area, where JGSB faculty and Ph.D. students, as well as invited faculty members from other business schools, present their research. The research seminar participation requirements 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 JGSB 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,[3] 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/).

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. Please see your Esther account for your individual time boundary deadline date. Upon advancement, a student chooses a thesis committee of at least three tenured or tenure-track faculty members with the guidance and approval of the research advisor and Ph.D. area advisor. At least two committee members must be Rice Business School faculty, and must include one faculty member whose primary appointment is outside of the Business School. Students submit their petitions for candidacy through their department coordinator. Please see Appendix C for required form.

[3] 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.

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 Ph.D. program in Business and the completion of the MA degree, unless an extension is approved by the Ph.D. Program Director in consultation with the area faculty.

The Jones Graduate School of Business requires that there be no academic fraud, such as plagiarism or cheating in courses, on papers and presentations, or on the comprehensive exam, in violation of the Rice Honor Code or its principles, in order to qualify for receipt of the MA degree. In cases that might occur outside of a course, and therefore outside of the jurisdiction of the Graduate Honor Council, the faculty group has initial jurisdiction to evaluate evidence of academic fraud by a Ph.D. student. Such a finding will be sent to the Ph.D. Program Director for review. A finding of academic fraud is sufficient grounds to deny the MA degree. The student will be afforded an opportunity to appeal to the Deputy Dean of Academic Affairs.

Summary

Total Credit Hours Required for the MA Degree in the field of Business	36

Requirements for the Ph.D. Degree in the field of Business

For general university requirements please see Doctoral Degrees. For program details, see the Ph.D. 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 Ph.D. 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 Ph.D. 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 Ph.D. Degree in the field of Business	90

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.

CHAPTER TWO

PH.D. in the field of Business and a Major Concentration in Accounting

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 involves the investigation of how properties of accounting measures and institutions impact investors' determination of firm value (valuation), affect the usefulness for corporate control and managerial performance evaluation (governance) and how they impact the allocation of firm resources and their associated 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. Students must complete a review course in Quantitative Methods in the summer before the beginning of the first semester.
2. During the first two years of the program, students must take a minimum of three courses per semester and preferably four courses in total per semester. The chosen courses must be approved by the Ph.D. area advisor.
3. The student is expected to complete at least four doctoral seminar courses 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. The student may attend the same seminar more than once upon approval by the area PhD advisor or a faculty mentor/advisor.
4. The Ph.D. area advisor will annually assign the student to one or more faculty members to provide research/teaching assistantship.

5. The student is expected to attend **all** research workshops (presentations of faculty members from other business schools that visit JGSB to present their research or internal presentations by JGSB faculty or Ph.D. students) organized in the accounting area during the student's tenure in the Ph.D. program. The student is expected to actively contribute to the workshop discussions, especially as their tenure in the program increases. In preparation for such workshops, students must take turns to lead pre-workshop discussions among the students. The Ph.D. area advisor will designate a senior Ph.D. student to keep track of this requirement and provide a report to the advisor at the end of the spring semester.

6. **Comprehensive exam**: Students must pass a comprehensive exam administered by the accounting faculty at the end of the fall semester of the second year. Only students not on probation, who have successfully completed the first-year summer research work (see below) and with a satisfactory annual evaluation, are eligible to take the comprehensive exam. The exam will be jointly administered and graded by the accounting faculty involved in teaching PhD courses under the supervision of the Ph.D. area advisor. The exam is focused on the coursework taken in accounting and topics covered in research workshops offered by the accounting area. To satisfy the comprehensive exam requirement, the student must demonstrate their competency in accounting research, which lays the foundation for their dissertation research and academic career.

7. During the summers following each of the first two academic years, students are expected to be fully engaged in research. The details are as follows:

   First-year summer research work: The purpose of the first-year summer research work is to help a student develop the ability to identify good research questions in the student's area of interest and to acquire necessary methodological expertise. It could involve working on new ideas in specific topics and/or undertaking a thorough literature review with a focus on developing methodological (analytical/empirical) skills. We strongly encourage students to perform directed replications of relevant existing findings in their chosen topics as part of their summer research work. That said, the overall scope of this work is to be determined jointly by the student and the student's faculty mentor/faculty advisor. The Ph.D. area advisor will appoint a faculty mentor/advisor in consultation with the student. The summer work must be presented to accounting faculty at a research workshop/brownbag before 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 faculty mentor/summer research advisor. Unsatisfactory performance may result in the student being put on probation.

Second-year summer research work/Third year research requirement: The student is expected to devote the second-year summer to writing an original, solo-authored research paper. The following rules will apply:

a) The student must submit a draft proposal of the summer research work, and a copy of the Summer Research Paper Approval Form signed by the faculty mentor/advisor, to the PhD area advisor by June 1 following the student's second year in the program. The proposal should clearly describe the research question, the research framework and methodology, and the expected contribution to the relevant literature.
b) The student must present a completed research paper at the accounting area research workshop by November 30th of the student's third year in the program. The requirements for a passing evaluation of the second-year paper requirement include both demonstrated research ability as well as the ability to communicate the research in the presentation.
c) Not completing this research requirement satisfactorily is grounds for the student being put on probation or being dismissed from the doctoral program.

8. By June 30th of the third year in the program students must have a Jones School faculty member who has agreed to serve as their dissertation advisor.. Students are expected to constitute their dissertation committee by October 1 of the fourth year in the program.
9. During the dissertation phase (post successfully completing the comprehensive exam), students are strongly encouraged to take one course every semester (from the first semester of the third year to the second semester of the fourth year) to advance their skills, communication, and knowledge in tools, techniques, and topics relevant to their area of interest/dissertation topic. Students are expected to select these courses in consultation with the area PhD advisor or faculty/dissertation advisor.

Sample Course Sequence for a Doctoral Student in Accounting

The summer prior to the student's first fall semester, a review Quantitative Methods course (an "**Intensive Math and Statistics Camp**", hosted by the Economics department and Rice Online Learning) must be successfully completed as a required prerequisite to Core Requirements.

Year 1 (Fall)

ECON 501 Microeconomic I

ECON 510 Econometrics I

BUSI 530 Introduction to Accounting 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

Year 3-4 (Spring)

Students are strongly encouraged to take graduate-level accounting courses beyond their second year as well. Examples of elective courses are:

ECON 435: Industrial Organization

ECON 511: Econometrics II

ECON 514 Industrial Organization and Control

ECON 517 Empirical Industrial Organization

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

BUSI 522 Corporate Finance

BUSI 511 Select Topics in Marketing

BUSI 524 Finance Special Topics

BUSI 527 Finance Special Topics

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 (BUSI 530-533)

I. Introduction to Accounting Research — The course offers a thorough and broad-ranging introduction to empirical and theoretical accounting 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 intend 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 field of Business and a Major Concentration in Finance

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

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 Research 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 Research Paper Presentation Report*, 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 1st year.

The summer prior to the student's first fall semester, a review Quantitative Methods course (an "**Intensive Math and Statistics Camp**", hosted by the Economics department and Rice Online Learning) must be successfully completed as a prerequisite to Core Requirements.

Core Requirements

BUSI 521 FINANCIAL ECONOMICS I

BUSI 522 CORPORATE FINANCE

BUSI 523 EMPIRICAL METHODS IN FINANCE

BUSI 524 SPECIAL TOPICS IN FINANCE I

BUSI 525 SPECIAL TOPICS IN FINANCE II

BUSI 526 SPECIAL TOPICS IN FINANCE III

BUSI 527 SPECIAL TOPICS IN FINANCE IV

BUSI 800 PHD RESEARCH

ECON 501 MICROECONOMICS

ECON 502 MACROECONOMICS

EC ECON 508 MICROECONOMICS II

ECON 510 ECONOMETRICS I

ECON 511 ECONOMETRICS II

Elective Requirements

Select coursework from Business, Economics, Statistics, Computational and Applied Mathematics, or other departments with the approval of the area advisor to total a minimum of 90 credit hours

Additional Information

1. Students should consult the finance area advisor regarding whether to take MATH 321 or substitute a more advanced math course in the fall semester of the first year.
2. Students may select other elective courses if approved by an advisor in consultation with the faculty under the Major Concentration.

Course Descriptions

BUSI 521: Financial Economics I

Introduction at the graduate level to asset pricing and portfolio choice theory. Covers single-period and dynamic models, including pricing by arbitrage, mean-variance analysis, factor models, dynamic programming, recursive utility, and an introduction to continuous-time finance. Cross-list: ECON 505.

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.

CHAPTER Four

PH.D. in the field of Business and a Major Concentration in Operations Management

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

Overview

Operations Management research involves the systematic and scientific study and potential improvement of how business, government, and non-profit organizations manufacture products and provide services that contribute to the well being of society. Operations Management encompasses a varied set of contexts, such as manufacturing, supply chains, energy, healthcare, and technology management, and related processes, including strategic design, tactical planning, and operational execution. The major concentration in Operations Management of the Ph.D. degree in the field of Business prepares students to investigate fundamental questions about these contexts and processes. The distinguishing features of this concentration are its rigorous theoretical and methodological training and the interplay between the development of innovative theory and methodology and their application to a broad set of current and relevant contexts.

Requirements

The following regulations will shape a student's course of study:

- The student's coursework over the first two years will be determined in consultation with the Operations Management Area Ph.D. Advisor. It includes a combination of required and elective courses but it must cover all the core courses. An example course sequence for the first two years, all the courses, and the descriptions of the courses that reside within the Operations Management group are included below in this chapter. During the first two years students must take a minimum of 12 credit hours of approved graduate level courses, including research, per semester.

- Students are expected to attend all research seminars and ancillary research activities such as conferences organized in the Operations Management area during a student's tenure in the Ph.D. program. Students are encouraged to attend seminars in other areas as well. Moreover, during each semester of the second and third years, the student must write a short summary of and critical comments on two papers presented in the Operations Management research seminars during the semester. These reviews are to be submitted to the Operations Management Area Ph.D. Advisor and will be graded by a subset of the area faculty for a Pass/Fail grade.
- There is an expectation that students will be fully engaged in research during all the summers of their tenure in the Ph.D. program, including the summer of their first year.
- Students, as part of their funding, will serve as Research and Teaching Assistants for Operations Management faculty members. The Operations Management Area Ph.D. Advisor makes such assignments, which may be rotated each semester, based on consultation with the Operations Management Area Coordinator and the student.
- Students must have a Rice Business Operations Management faculty member who has agreed to serve as their dissertation advisor by January 1 of their third year in the program.
- Students must successfully pass a comprehensive exam at the end of the spring semester of the second year. The exam will be administered and graded by the Operations Management faculty, under the supervision of the Operations Management Area Ph.D. Advisor.
- During each of the first two years students will complete a research study/paper. Typically, and especially for the first year of study, most of the work will be carried out in the summer. The first-year research work should involve a thorough study and replication of a published/working paper, which may include reproducing numerical findings or re-deriving analytical results, for example steps that the paper may not have explicitly reported, with an extension in the area of the student's interest. The research study must be presented to the Operations Management faculty. The student's faculty readers and the student will jointly determine the content and format of this presentation. The second-year research work must result in a working paper (with at least preliminary results), which must be presented to the Operations Management faculty. This research could be joint work with one or both of the faculty readers, but the student is expected to take the lead. The detailed steps of both the first-year study and the second-year paper are available later on in this chapter.
- Due to the high demands of the Operations Management job market, students are strongly encouraged to submit their research for publication as soon as it reaches a stage in which it can be submitted to a top journal. This assessment is to be made in consultation with the

Operations Management Area Ph.D. Advisor (before January 1 of the third year) or their Dissertation Committee Chair (after January 1 of the third year).

- Having teaching experience is important for doctoral students to perform well in the academic job market. As such, the Operations Management faculty members strongly encourage students in the Operations Management area to teach a section of the Operations Management core in the Rice undergraduate program (during the summer between the 3rd and 4th years if such a section is available).

Sample Course Sequence

Year 1 - Fall
CAAM 571 - Linear & Integer Programming
ECON 501 - Microeconomic Theory I
STAT 518 - Probability
MATH 321 - Introduction to Analysis I

Year 1 - Spring
BUSI 571 – Markov Decision Processes in Operations Management
ECON 508 - Microeconomic Theory II
STAT 552 - Applied Stochastic Processes

Year 2 - Fall
BUSI 572 - Game Theory in Operations Management
ECON 510 - Econometrics I

Year 2 - Spring
BUSI 573 - Stochastic Models in Operations Management

The sample course sequence for the first two years is typical and provides flexibility to students for structuring a specific degree plan. Doctoral students may continue to take courses beyond their second year.

Courses

Core Courses

BUSI 571 - Markov Decision Processes in Operations Management

BUSI 572 - Game Theory in Operations Management

BUSI 573 - Stochastic Models in Operations Management

BUSI 800 - Ph.D. Research

CAAM 571 - Linear & Integer Programming

ECON 501 - Microeconomic Theory I

ECON 508 - Microeconomic Theory II

ECON 510 - Econometrics I

STAT 518 - Probability

STAT 552 - Applied Stochastic Processes

Elective Courses

Relevant BUSI, CAAM, ECON, and STAT courses, among others. Examples follow.

BUSI 520 - Python for Business Research

BUSI 521 - Asset Pricing Theory

BUSI 522 - Corporate Finance

BUSI 523 - Empirical Methods in Finance

CAAM 560 - Optimization Theory

CAAM 565 - Convex Optimization

CAAM 570 - Graph Theory

CAAM 585 - Stochastic Optimization

ECON 504 - Computational Economics

ECON 511 - Econometrics II

ECON 514 - Empirical Industrial Organization I

ECON 517 - Empirical Industrial Organization II

STAT 502 - Neural Machine Learning I

STAT 519 - Statistical Inference

STAT 541 - Multivariate Analysis

STAT 581 - Mathematical Probability I

Course Descriptions

BUSI 571 - Markov Decision Processes in Operations Management
This course is an introduction to Markov Decision Processes, which are models of decision making under uncertainty that play a foundational role in operations management. Topics include basic models that arise in both manufacturing and service applications, the optimality conditions (Bellman equations), algorithms to obtain optimal policies, including dynamic programming based solution of the optimality conditions, and both reinforcement learning approximation and bounding approaches to deal with intractable models.

BUSI 572 - Game Theory in Operations Management
This course will teach students to model and analyze agent behavior and incentives, with the goal of informing tactical decisions and policy choices in operational settings. Topics covered will include strategic consumer behavior (with applications in pricing and revenue management), autonomous supplier behavior (with applications in two-sided marketplaces), contract theory (with applications in supply chain management), information transmission (with applications in platform design), and competition (with applications in manufacturing and product placement), among others.

BUSI 573 - Stochastic Models in Operations Management
This course introduces students to the use of stochastic modeling to analyze the operations of manufacturing and service enterprises, for which uncertainty is a key aspect of performance. It focuses on the modeling and optimization of workflows to achieve and sustain operational competitiveness. The course also covers topics related to capacity and revenue management, as well as the operations of online platforms, which play an increasingly important role in delivering services to customers.

First-Year Study and Second-Year Paper

The first-year research work should involve a thorough study and replication of a published/working paper, which may include reproducing numerical findings or re-deriving analytical results, for example steps that the paper may not have explicitly reported, with an extension in the area of the student's interest. The research study must be presented to the Operations Management faculty. The student's faculty readers and the student will jointly determine the content and format of this presentation. The detailed steps are as follows:

1. By May 1 of the student's first year in the program, two Rice Business faculty members must agree to serve as readers of the study (at least one of them must be an Operations Management faculty member).
2. By June 1 of the student's first year in the program, a student must submit a detailed outline of both the results to be replicated and the proposed extension, as well as a copy of the First-Year Study Outline Approval Form, signed by the two faculty readers, to the Operations Management Area Ph.D. Advisor.
3. A student must submit a copy of the completed first-year study to the Operations Management Area Ph.D. Advisor and to the two readers by September 15 of the student's second year in the program.
4. A student must present the first-year study to the Operations Management faculty by mid October in the Fall semester of the second academic year. At least one of the readers must be present and sign the First-Year Study Presentation Form, stating that the presentation is acceptable.

The second-year research work must result in a working paper (with at least preliminary results), which must be presented to the Operations Management faculty. This research could be joint work with one or both of the faculty readers, but the student is expected to take the lead. The specific procedures are as follows:

1. By March 1 of the student's second year in the program, two Rice Business faculty members must agree to serve as readers of the paper (at least one of them must be an Operations Management faculty member).
2. By June 1 of the student's second year in the program, a student must submit a detailed outline of the paper and a copy of the Second-Year Paper Outline Approval Form, signed by the two faculty readers, to the Operations Management Area Ph.D. Advisor. The outline should include: (i) The business setting, (ii) the basic phenomenon under study, (iii) the modeling and methodological approach, (iv) the fundamental assumptions, and (v) the expected contribution to

the literature. For empirical papers, item (iii) would be replaced with the motivation for the research hypothesis, the research hypothesis, and the description of the data. The outline should also include references to the extant literature related to the research topic and the methodology to be used.

3. A student must submit a copy of the completed second-year paper to the Operations Management Area Ph.D. Advisor and to the two readers by September 15 of the student's third year in the program.

4. A student must present the second-year paper to the Operations Management faculty by mid October in the Fall semester of the third academic year. At least one of the readers must be present and sign the Second-Year Paper Presentation Form, stating that the presentation is acceptable.

The required forms are in Appendix B.

CHAPTER FIVE

PH.D. in the field of Business and a Major Concentration in Organizational Behavior

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

Overview

The Ph.D. degree in Business program, with the major concentration in Organizational Behavior, prepares students to research fundamental questions about complex organizations as well as the groups and individuals that behave within them, drawing from a variety of behavioral science perspectives. Students pursue high-quality research, at multiple levels of analysis, to advance theoretical understanding of individuals and groups in organizations, the environments that shape their behaviors, and the psychological and sociological mechanisms that explain them. A distinguishing feature of the Ph.D.-Business degree program (OB concentration) is its broad interdisciplinary training and focus on both "micro" and "macro" organizational behavior. Students are expected to develop proficiency in both areas but may pursue research that draws from either or both approaches.

The field of organizational behavior addresses fundamental topics in contemporary organizations that covers the who (e.g., diversity, individual differences, teams), how (e.g., leadership, networks, power and influence), why (e.g., affect, cognition, motivation, trust), and what (e.g., creativity and innovation, employee wellbeing, ethical decision makings, organizational change, performance, social justice and equity) of organizational life.

Requirements

The following regulations will shape a student's course of study:

1. The student's course work must be approved by the OB area Ph.D. 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 and ancillary research activities such as conferences organized by the OB area.
5. Students are expected to be fully engaged in research during the Ph.D. program, including during the summers starting with the summer after the first year of their residency in the Ph.D. program. This includes work with an OB tenured or tenure-track faculty member (hereafter, OB faculty member) as part of a student's research assistantship.
6. Students must have a Jones School OB 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. Having teaching experience is important for doctoral students to perform well in the academic job market. As such, we require students in the OB area to (a) preferably teach a section of core OB in the Rice undergraduate program (during the summer between 3rd and 4th years), or (b) serve as a TA to an OB faculty member for one semester. At the discretion of the OB Ph.D. Advisor, alternative arrangements can also be approved, such as teaching a class at another institution.
8. Students, as part of their funding, will serve as a Research Assistant for an OB faculty member. Assignments are made by the OB PhD Area Advisor based on consultation with the OB Area Coordinator and the student.
9. Students must successfully pass a comprehensive exam administered by the OB faculty at the end of the second year. If the student fails the comprehensive exam for the first time, the student may take the exam again at the discretion of OB faculty. The exam tests students' foundational knowledge of micro- and macro- organizational behavior and provides students opportunities to receive personalized feedback on research question generation, research design development and practical implications of their work. The exam is administered and graded by OB faculty, under the supervision of the OB Ph.D. Advisor or a special committee set up for this purpose. The exam includes two parts. Part I focuses on the coursework taken in organizational behavior and measures the student's knowledge of the area as a whole including basic theories, main OB research topics, and research methods. It comes in the form of providing a reviewer critique of a recently published research study, as well as a response to the reviewer letter. Part II requires

writing a paper as a take-home exam (generally within 48 hours) on a topic jointly discussed between two OB faculty and the student, including the theory and methods sections. 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 organizational behavior and provides the foundation from which he or she begins the research that forms the basis of the dissertation.

10. Students are required to write a major paper before advancing to candidacy, either sole-authored or coauthored with an OB faculty member(s). This paper is proposed at the beginning of the spring semester of the second year and completed by 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 (in collaboration with an OB area faculty member) on what topic the student will address. The paper must be approved by two OB faculty members. The student is expected to present the paper in a faculty workshop at the beginning of the fall semester of the third year. See Appendix B for research paper approval and evaluation forms.
11. As noted above, in the third year of the program, all students need to complete a teaching component of the program, preferably as the instructor of record in a summer core OB course at Rice (or if approved, at another institution).

Sample Course Sequence

The sample course sequence is typical, although students might choose different courses across disciplines to structure a specific degree plan. Doctoral students may continue taking courses beyond their second year. The sample course sequence illustrates 18 credits of required work in OB, 12 credits of statistics, 3.0 credits of research design, and elective work in other areas in the Ph.D. in business and/or in other Rice departments. A major component of the program is the "Special Topics" series which allows students to take classes together on a variety of topics based on OB faculty members' expertise and the most important areas in the field of OB. The OB Area Coordinator, in consultation with the OB Ph.D. Area Advisor, will work with the Dean's office to determine which special topics classes are offered (a sample listing is provided below).

Notes:

* Denotes required class offered yearly.

BOLD: Denotes Special Topics series which rotate among faculty members, are taken by all first and second year students [and optional for students beyond their second year]. The OB group will offer four 1.5 credit special topics classes each year.

The default statistics sequence is in the Political Science department (alternative options are available in consultation with the OB PhD area advisor)

Year 1:

<u>Fall Semester</u>

BUSI 561 Micro OB Seminar (3.0)*
BUSI 562 Becoming an Organizational Scholar (3.0)*
BUSI 563 Sociology of Organizational Behavior (1.5) [offered every other year]
or BUSI 564 OB Special Topics I (1.5)
BUSI 565 OB Special Topics II (1.5)
or BUSI 566 OB Special Topics III (1.5) *
Statistics such as POLI 502 (3)

<u>Spring Semester</u>

BUSI 567 OB Special Topics IV (1.5)
or BUSI 568 OB Special Topics V (1.5)*
BUSI 569 OB Special Topics VI (1.5)
or BUSI 570 OB Special Topics VII (1.5) *
BUSI 552: Design of Research (or equivalent) (1.5).
Elective in Strategy area (1.5)
Statistics such as POLI 506 (3)
Elective (3)

Year 2:

<u>Fall Semester</u>

BUSI 540 Strategy I (3)
BUSI 563 Sociology of Organizational Behavior (1.5) [offered every other year]
or BUSI 564 OB Special Topics I (1.5)
BUSI 565 OB Special Topics II (1.5)
or BUSI 566 OB Special Topics III (1.5) *
Statistics such as POLI 504 (3)
Elective (3)

Spring Semester

BUSI 567 OB Special Topics IV (1.5)
or BUSI 568 OB Special Topics V (1.5)*
BUSI 569 OB Special Topics VI (1.5) or BUSI 570 OB Special Topics VII (1.5) *
Statistics such as POLI 511 (3)
Elective (3)
Elective (3)

Additional Requirement: Students will need to take at least 1.5 credits of qualitative methods, such as SOC 541 or another option, subject to approval by the OB PhD Area Advisor.

Elective Requirements: Approval of OB Ph.D. Area Advisor on course selection. In general, students should take classes that complement their course of studies, such as in the psychology, sociology, political science, anthropology, or economics departments.

Course Descriptions

***BUSI 561: Micro Organizational Behavior* (Van Knippenberg)**

This is a Ph.D. foundational course on the major research streams and theoretical approaches to the field of micro organizational behavior. Its primary objectives are to familiarize students with the field's fundamental assumptions, phenomena, concepts and theories, and to provide the students with a foundation from which they may start generating their own research interests and building their own research program. The course serves as a crucial building block for the comprehensive examine in the Ph.D. program in organizational behavior.

***BUSI 562: Becoming an Organizational Scholar* (Sonenshein)**

In this seminar, we will cover the foundational skills to become a productive and impactful organizational scholar, including how to identify a research passion, formulate a research question, theorize the "hook" of a paper and communicate results. The course will also address other practical parts of building a career as an organizational scholar, including developing a professional network, understanding the journal submission process, and critically evaluating others' work.

***BUSI 563: Sociology of Organizational Behavior* (Kim)**

What determines how organizations are internally structured and why? This seminar provides an introduction to scholarship in internal organizational dynamics that affect both decision-making at the more micro-level (e.g., hiring, discrimination, segregation) and interactions with external environments (e.g., strategic planning). While the research covered in the course represents an important component of contemporary economic sociology, the course does not cover much that often goes under the heading of economic sociology. Rather, the focus is on getting a closer understanding of contemporary sociological research that addresses questions that bear on internal-organization-relevant issues.

BUSI 552: Design of Research

This is a doctoral-level course designed to give students a thorough grounding in the design of social science research as it pertains to business studies (this course is currently offered as a requirement for the Strategy PhD program). Topics covered include a brief introduction to epistemology, how to define and operationalize constructs, as well as potential pathways to theory building and idea generation. The course concludes with a survey of prevailing methodologies for inductive theory building and deductive theory testing including field and lab experiments, correlational approaches, ethnography, configurational approaches, case studies, and formal modeling.

BUSI 564-570: Special Topics in Organizational Behavior **(1.5 credit course modules)**
Special Topics classes are usually offered no more frequently than once every other year. The exact courses offered each year will be decided by the OB Area Coordinator in consultation with the OB PhD Area Advisor. Below is a list of Special Topics classes that may be offered, although this list might change over time. Three or Four 1.5-credit Special Topics classes will be offered every year [BUSI 563 will be offered when only 3 Special Topics classes will be offered).

Research on Creativity and Innovation (Zhou)
This course covers contemporary theory and research into creativity and innovation in the workplace. Students will read exemplar or representative works that address interesting and important topics with regard to the antecedents and consequences of employee creativity and innovation, learn how to capture meaningful phenomena related to creativity and innovation, generate research ideas and design research studies to create knowledge and gain understanding of how to promote employee creativity and innovation in organizations and the impact of creativity and innovation at the individual, team, and organizational levels of analysis.

Leadership (Van Knippenberg)
Leadership is one of the most direct ways in which organizations can shape organizational behavior. Not surprisingly therefore, it is a major area of research in organizational behavior and related disciplines. To build an understanding of the state of the science in this field, this course reviews major perspectives in leadership research. This is done from the viewpoint that learning is for doing: the emphasis is on how leadership can be studied, on what are important research questions in leadership research, and on the conceptual and operational problems and solutions one deals with in studying leadership.

Positive Organizations (Sonenshein)
This course will cover key topics from a “positive organizations” perspective, including high-quality connections, resilience, resourcefulness, positive emotions, positive deviance and thriving. The class will unpack an important “lens” for understanding how individuals, teams and organizations achieve an optimal state of functioning, with a focus on outcomes such as growth, creativity, and well-being.

Moral Psychology (Mooijman)
Discussion of theories, methods, and current research on moral cognition and behavior. Topics include definitions and foundations of morality, the development of moral cognition, and the role that other aspects of human experiences (e.g., emotion, intentions, goals) play in moral judgments and behavior. We focus in particular on what moral psychology can tell us about human behavior in organizational contexts.

Intergroup Relations and Social Hierarchy (Jun)
In this course, we will take a social psychological perspective to examine predominant themes in research related to intergroup relations and social hierarchy. Topics discussed will include social identity, intergroup relations, intergroup bias, social inequality, and social justice.

Identity and Action (Kim)
How, and in what respects, is it possible to explain individual and organizational action by referring to an actor's "identity"? The core of the issue is that an actor's identity is often discussed as a semi-permanent aspect of an actor that reflects an internal core. But when we claim that an actor acted one way rather than another because of their identity, we are effectively saying that identity is contingent—i.e., that the very same actor could just as well have had a different identity, and their action is explained by the fact that they happened to have had one of these identities rather than one of the others. Moreover, much recent research suggests that there is a great deal about an actor's identity that is contingent, and that identities are in some sense strategically chosen. But if identities are chosen and actions are chosen, how can we sustain the claim that an actor's identity causes them to act one way rather than another?

CHAPTER SIX

PH.D. in the field of Business and a Major Concentration 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 on or before February 1 of the student's 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 D 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 1st and 2nd 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.

The summer prior to the student's first fall semester, a review Quantitative Methods course (an "**Intensive Math and Statistics Camp**", hosted by the Economics department and Rice Online Learning) must be successfully completed as a required prerequisite to Core Requirements.

Sample Course Sequence in Strategic Leadership (Psychology Oriented)

Year 1 (Fall)

BUSI 540	Strategy I (3.0)
BUSI 549	Strategy Pro-seminar (3.0)
POLI 504	Intro. Max Likelihood Est. (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	Advanced Max Likelihood Est. (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	Applied Time Series/Forecasting
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

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

CHAPTER SEVEN

DOCTORAL DISSERTATION

While working on the doctoral dissertation, the student interacts extensively with JGSB 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. JGSB 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 JGSB 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), Ph.D. Program Administrator.

5. A formal announcement about the proposal/dissertation defense, invitation for all Jones School faculty and Ph.D. 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), administrator 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 EIGHT

FINANCIAL ASSISTANCE

Full financial assistance (stipend and tuition waiver) is offered to each admitted student in the Ph.D. program in the form of a Graduate Fellowship Appointment. Students are expected to perform a modest amount of service as part of their degree program. Typically this consists of being assigned to one or two faculty members per semester to support their research and teaching activities and to help students develop their own research abilities and interests. Students with a Graduate Fellowship Appointment are not allowed to work as research or teaching assistants for additional compensation. The Graduate Fellowship Appointment is merit-based and is contingent on continued satisfactory progress (which includes satisfactory performance as a research assistant).

Tuition Waiver

A full tuition waiver is provided for each year of full-time study, conditional on satisfactory progress in the doctoral program.

Stipends

Admitted students are provided stipend support of $43,000 per fiscal year.[4] This stipend is provided 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 (including the summer session). The stipend support normally continues for a maximum of five years, however, sixth-year funding may be granted with the approval of the Ph.D. Program Director in consultation with the student's dissertation chairperson, area advisor and the JGSB Ph.D. Program Committee. Students must successfully pass their dissertation proposal by the end of the fourth year to be considered for sixth-year funding.

Research and Academic Support

Each student will be provided with a workspace, a personal computer with office software [5] 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, fourth and fifth year

[4] 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 JGSB stipend will be decreased by 50% of the outside support.

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

$2,000. 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 or software; conference travel or registration; organization dues; or other items that directly support the student in their studies and research.

CHAPTER NINE

FREQUENTLY ASKED QUESTIONS

In which areas of specialization will the Jones Graduate School accept Ph.D. applications for Fall 2025 admissions?

Please visit the Ph.D. website for updates as to which areas of specialization will be accepting applications.

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

The deadline for receipt of all application materials for the Fall 2025 program start date is **December 15, 2024.** Applicants are strongly encouraged to submit their online application and supporting materials 2–3 weeks prior to December 15, 2024, 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, 2025.**

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 – Ph.D. Program 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 requirement.

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
Ph.D. 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 (Finance)

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 September 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: Approval Forms (Operations Management)

FIRST-YEAR STUDY TOPIC APPROVAL FORM (OPERATIONS MANAGEMENT)

<u>Section 1: Student</u>

My first-year study topic is

____

____

____

____

I understand that I must report periodically during the first-year study research period to the faculty members designated below, I must replicate and extend the chosen paper's results, and I will present this work at a workshop during the Fall semester. This study must be submitted to the designated faculty members by September 15.

Name (signature) ____

Name (print) ____

Date ____

FIRST-YEAR STUDY TOPIC APPROVAL FORM (OPERATIONS MANAGEMENT)

Section 2: For two faculty members

I understand the project that the student above proposes and their work plan for the summer and the Fall semester. I agree to meet with the student periodically throughout this period. I also agree to evaluate the study (if it is submitted to me by September 15) by September 30. I understand that my evaluation will determine whether the student has performed an acceptable study that will be presented at a workshop during the Fall semester.

Faculty Member 1

Name (signature) ____

Name (print) ____

Date ____

Faculty Member 2

Name (signature) ____

Name (print) ____

Date ____

FIRST-YEAR STUDY TOPIC APPROVAL FORM (OPERATIONS MANAGEMENT)

____

(student's name - please print)

____

(title of chosen paper)

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

Faculty Member 1

Name (signature) ____

Name (print) ____

Date ____

Faculty Member 2

Name (signature) ____

Name (print) ____

Date ____

FIRST-YEAR STUDY EVALUATION FORM (OPERATIONS MANAGEMENT)

I understand that ____
(student's name)

will present my study of the paper ________________________________
(title of paper)

in the ____
(title of workshop)

on ____________________________.
(date)

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

Faculty Member 1

Name (signature) ____

Name (print) ____

Date ____

Faculty Member 2

Name (signature) ____

Name (print) ____

Date ____

FIRST-YEAR STUDY PRESENTATION REPORT (OPERATIONS MANAGEMENT)

Student Name ____

Title of Study ____

____

Date of Presentation (Fall Semester) ____

Faculty member(s) attending presentation

____

____

____

____

Result of Presentation:

Passed ____

Failed ____

Faculty Signatures:

____

____

SECOND-YEAR PAPER TOPIC APPROVAL FORM (OPERATIONS MANAGEMENT)

Section 1: Student

My second-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, I must produce an original paper, and I will present it at a workshop during the Fall semester. This paper must be submitted to the designated faculty members by September 15.

Name (signature) ____

Name (print) ____

Date ____

SECOND-YEAR PAPER TOPIC APPROVAL FORM (OPERATIONS MANAGEMENT)

Section 2: For two faculty members

I understand the project that the student above proposes and their work plan for the summer and the 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 September 15) by September 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 Fall semester.

Faculty Member 1

Name (signature) ____

Name (print) ____

Date ____

Faculty Member 2

Name (signature) ____

Name (print) ____

Date ____

SECOND-YEAR PAPER OUTLINE APPROVAL FORM (OPERATIONS MANAGEMENT)

____

(student's name - please print)

____

(tentative title of paper)

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

Faculty Member 1

Name (signature) ____

Name (print) ____

Date ____

Faculty Member 2

Name (signature) ____

Name (print) ____

Date ____

SECOND-YEAR PAPER EVALUATION FORM (OPERATIONS MANAGEMENT)

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 ____

SECOND-YEAR PAPER PRESENTATION REPORT (OPERATIONS MANAGEMENT)

Student Name ____

Title of Research Paper ____

____

Date of Presentation (Fall Semester) ____

Faculty member(s) attending presentation

____

____

____

____

Result of Presentation:

Passed ____

Failed ____

Faculty Signatures:

____

____

Appendix C: Approval Forms (Organizational Behavior)

RESEARCH PAPER TOPIC APPROVAL FORM (Organizational Behavior)

The research paper should be completed by 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.

<u>Section 1: Student</u>

My research 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 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 ____

<u>Section 2: Faculty mentors</u>

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 (ORGANIZATIONAL BEHAVIOR)

I understand that ____
(student's name)

will present the paper ____
(title of paper)

in front of OB 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 ____

Appendix D: Research Paper Forms (Strategic Management)

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.

<u>Section 1: Student</u>

My research 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 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 ____

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:

____

____

Appendix E: Dissertation Chair/Co-Chair Form (All Areas)

Sign up Form for Dissertation Chair/Co-Chair

Please complete this form and submit an electronic copy of the form to your Area Ph.D. Advisor and your Dissertation Committee Chair(s) (please "cc" Melinda Pena) on or before February 1 of the student's third year in the program.

Student Name:

Date of Entry into the Ph.D. Program:

The following professor(s) has (have) agreed to serve as my Dissertation Committee Chair(s).

______________________________	______________________
Dissertation Chair/Co-Chair (Print Name)	Signature/Date
______________________________	______________________
Dissertation Chair/Co-Chair (Print Name)	Signature/Date

Appendix F: Advancement to Candidacy form (All Areas)

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 shown the ability to carry on scholarly work in his/her subject area
4. Successful completion of student's area requirements (For area requirements, please refer to your specific area of the JGSB Ph.D. Program Guidebook).
5. Successful pass on the dissertation proposal.
6. Approval from the Ph.D. area advisor who confirms that the student is making adequate progress toward a Ph.D.

______________________________________ ________________________

Signature of Ph.D. Program Director Date

______________________________________ ________________________

Signature of Area Advisor 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.
<u>Please return your completed Petition for Approval of Candidacy form, along with this document, to your graduate coordinator.</u>

Appendix G: Dissertation Proposal forms (All Areas)

Dissertation Proposal Scheduling Form

Requirements:

1. Students must successfully pass their dissertation proposal by the end of their fourth year in the program.
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), Ph.D. Program Administrator. A formal announcement about the proposal defense must be sent out to all JGSB faculty and Ph.D. students.
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: ______________________________

Committee Chair: ______________________________

Advisor: ______________________________

Scheduled Presentation Date & Time: ______________________________

Location: ______________________________

Student's signature: ______________________________

Chair's signature: ______________________________

Area Advisor's signature: ______________________________

Return completed form to Ph.D. Administrator, Melinda Pena.

Dissertation Proposal Results Form

Student's Name: ____

Student ID: ____

Major Concentration: ____

Dissertation Proposal Title: ____

The committee for the above named student has determined that the student's performance be considered as follows:

________ **Passed.** The committee has unanimously voted the student's oral dissertation proposal is acceptable.

________ **Not passed.** The committee recommends that the student be allowed to repeat the oral dissertation proposal defense.

________ **Failed.** No provision for repeating the oral proposal defense.

Comments/Action Plan:

____

____

____

____

Required Signatures

______________________________	______________________________
Thesis/Dissertation Chair	Committee Member
______________________________	______________________________
Committee Member	Committee Member