

MANAGEMENT PHD POLICIES AND REQUIREMENTS

CURRICULUM

Students in PhD program in Management must complete 16 graduate-level course units:

- 2.5 CUs of required management seminars (MGMT 9000, 9330, 9340, 9530)
- 4 CUs of management electives
- 2 additional units of research methods (e.g., MGMT 9700 + 970X; + 1 additional CU)
- 2 units of a statistics sequence required by Wharton Doctoral Programs (a 5000+ STAT sequence)
 - For students pursuing large-sample statistics or econometrics, usually “macro” students in the program, this requirement must be fulfilled by taking STAT 5200-5210
- 2 units of courses in social science theory (e.g., any PhD level class in the college)
- 3.5 units of free electives

Under normal circumstances, students are expected to complete the 16 credits of coursework by the end of the second year. Students can defer some credits until the third year, but this should be only under exceptional circumstances approved by the doctoral coordinator.

The following is a list of doctoral courses offered in the Management Department. Electives are taught on a two-year rotation. Required courses are taught every year.

Required Management Foundations	
MGMT 9000: Economic Foundations on Management Research	0.5
MGMT 9330: Psychological Foundations of Management Research	0.5
MGMT 9340: Sociological Foundations of Management Research	0.5
MGMT 9530: Seminar in Research Design + linked ISP	1.0
Required Management Methods (9700 + one of 970x)	
MGMT 9700: Introduction to Research Methods in Management	0.5
MGMT 9701: Quantitative Research Methods in Management: Econometrics	0.5
MGMT 9702: Applied Research Methods and Data Analysis in Organizational Behavior	0.5
MGMT 9703: Qualitative Research Methods in Management	0.5
Management Electives (Strategy)	
MGMT 9250: Seminar in Corporate Strategy	0.5
MGMT 9270: Technology and Innovation Strategy	0.5
MGMT 9260: Seminar in Strategy and Organization Design	0.5
MGMT 9350: Seminar in Organization Learning	0.5
Management Electives (Entrepreneurship)	
MGMT 9370: Seminar in Entrepreneurship	0.5
MGMT 9380: Seminar in Social Entrepreneurship	0.5
Management Electives (Organization Behavior)	
MGMT 9520: Special Topics in Organization Theory	0.5
MGMT 9570: Special Topics in OB: Theories and Methods	0.5
MGMT 9610: Special Topics in OB: Making a Contribution	0.5

Management Electives (Multinational Management)	
MGMT 9550: Foundations of Multinational Management	0.5
MGMT 9600: Seminar in Non-Market Strategy	0.5
MGMT 9620: Seminar in Management in the Global Economy	0.5
Management Electives (Human and Social Capital)	
MGMT 9180: Contemporary Issues in Employment, Careers, and Work Organization	0.5
MGMT 9200: Seminar in Human Resources Research	0.5

Independent Study. In addition to meeting course requirements by taking courses in the Wharton or Penn catalog, students can meet certain elective requirements by taking independent study courses. These are customized programs of learning designed by the student with a faculty member. Students may take no more than 4 credits of ISPs throughout the program.

Independent study courses must be approved by the doctoral coordinator, based on the following guidelines:

- Students must submit the official ISP approval form, which requires sign off from the ISP instructor and the doctoral coordinator. Students must give the coordinator at least 2 weeks of lead time when requesting an ISP (no same-day approvals).
- In addition to the form, students must attach a proposal specifying the learning objectives and key deliverables.
- The scope of the course must be comparable to the workload required for gaining the same number of credits in a normal graduate-level course.

Transfer Credits. Up to 3 units of free electives can be transferred by related graduate-level coursework from another institution with approval from the doctoral coordinator. Approval is not automatic. The coordinator must deem that the courses are equivalent in content and rigor to what students would have taken at Wharton/Penn.

SECOND YEAR EXAM

The second-year qualifying exam is given to allow students to demonstrate their competency in a particular management specialization (or specializations) prior to proceeding to dissertation stage. It must be taken during the month of May.

By the end of February, students choose a core specialization, and may choose a secondary specialization, from the following set of six options:

- Entrepreneurship
- Human Resources
- Multinational Management
- Organization Behavior
- Organization Theory
- Strategic Management

An examination committee is formed by 2-4 faculty members, where the head of the committee is a subgroup member in the core specialization area. The committee membership is chosen by the core subgroup area coordinator in consultation with the doctoral coordinator; at least half the members of the committee are subgroup members in the core specialization area.

A reading list is generated by the committee in conjunction with the student. Typically, the reading list contains required and optional materials from class syllabi as well as other related articles and is supplemented with additional articles that relate to the student's interests.

The written component of the exam contains multiple questions. Students are typically required to answer certain questions and are provided optional elections among other questions. Students are given between 8-10 hours to complete their written responses. The exam is open book / open notes and is delivered and returned via email. The oral component of the exam is held 2-3 days after the written component. In a session lasting between 30 minutes and 1 hour, the student answers questions intended to clarify their written responses. Throughout the duration of the exam period, students may ask clarifying questions of faculty members of their committee but are not permitted to discuss exam answers with faculty or fellow students.

After the oral exam, the committee grants a pass, a conditional pass, or a fail. "Pass" means that the student is qualified to move to dissertation stage. "Conditional pass" means that the student needs a limited amount of remedial work; in this case, the committee will require some additional writing due within one week and may request a follow-up oral exam. "Fail" means that the student has demonstrated serious deficiencies; in this case, the exam must be retaken and passed before August 15 in order for the student to remain in the program. Any student who fails a re-examination will be dismissed from the program.

Students taking the exam will officially enroll in a 0.5 CU independent study taken during Q4 in the spring of year 2. This will provide structure to the process of assembling a committee, selecting the reading list, and reading the selected articles. The chair of the committee will serve as the instructor of record for the independent study course. The final deliverables of the course will be the written and oral parts of the exam, as outlined above.

SECOND YEAR PAPER

The second-year paper requirement is designed to develop and demonstrate a student's ability to work on a project throughout all the key stages—ideation, hypothesis development, research design, data analysis and interpretation, and writing. It is meant to help students gain experience completing the key steps of a research project as training for the dissertation. In addition, the second-year paper provides an opportunity to practice presenting a paper in a full-length research seminar format (80-90 minute). The work should be of sufficient quality to be accepted at a high-quality conference (e.g. AOM or SMS). We strongly encourage students to submit their second-year papers to a conference soon after it is completed, and to eventually submit to a prestigious journal for publication well before the job market year.

A second-year paper **committee should be formed no later than March 31** of the second year. The committee includes an advisor and two readers who are faculty members of the Management department. Of the three, the advisor should be the one with the most prior exposure to the paper. The paper can be coauthored, and the student need not have had the original idea, but the student must have been involved early and deeply enough to have earned primary or co-equal authorship. A faculty coauthor cannot serve as a reader, but they can serve as the advisor.

The paper should be **successfully defended no later than August 31** before the third year of the program (i.e. the summer between years 2 and 3) for students to remain in good standing. After receiving a draft of the paper, the committee will have two weeks to approve the paper as is or ask for revisions. (In practice, the advisor has seen multiple prior drafts of the paper, and the readers have

provided feedback on at least some prior drafts before the official submission.) Once the committee deems that the paper is ready for presentation, the student is responsible for securing a presentation date that works for the committee and a member of the doctoral committee (typically the doctoral coordinator). All members of the department are invited to attend the presentation.

To maximize the chances of completing the paper defense on time, students should begin working on it as early as possible in year 1 and no later than the summer between years 1 and 2.

EVALUATION GUIDELINES BY YEAR IN THE PROGRAM

All doctoral students in the management department will be evaluated by the doctoral coordinator and the doctoral advisory group (the “evaluation committee”) for good standing at a meeting during the summer of each academic year. The annual feedback is based on comments provided by the faculty with whom the student interacted in the previous academic year (seminar instructors, advisor(s), committee members, coauthors, informal mentors, etc.). The evaluation process should serve as an opportunity to offer constructive advice. However, students found not to be in good standing are at risk of loss of funding and of dismissal from the program.

For first-year students, the following rules shall apply:

- a. Grades: To remain in good standing, students must maintain a grade average of at least B+.
- b. Overall evaluation: Any student who has maintained the required grade standard will be deemed to have met the academic standard for continuation in the program. Should grade performance be marginal or unacceptable, the doctoral committee will decide, following a simple majority voting rule, whether to dismiss the student from the program or to establish additional remedial work. This vote will also take into consideration feedback from the student’s first-year research assistantship supervisor as well as written feedback from any other faculty members who have significant information concerning the student’s progress. In the event of a tied vote, the doctoral coordinator will cast the deciding vote.

For second-year students, the following rules shall apply:

- a. Grades: To remain in good standing, students need to maintain a grade average of at least B+ with no “permanent incompletes” (terminology used by the university to indicate an incomplete more than a year old, denoted by I* on the transcript).
- b. Second-year qualifying examination: See above for specific guidelines.
- c. Overall evaluation: Any student who the committee unanimously declares to have passed the exam and has maintained the required grade standard will be deemed to have met the academic standard for continuation in the program. Should grade or exam performance be marginal, the evaluation committee and examination committee will jointly decide, following a simple majority voting rule, whether to dismiss the student from the program or to establish additional remedial work. This vote will also take into consideration feedback from the student’s first- and second-year research assistantship supervisor(s), the grade on the first-year examination, as well as written feedback from any other faculty members who have significant information concerning the student’s progress. In the event of a tied vote, the doctoral coordinator will cast the deciding vote.

For third-year students, the following rules shall apply:

- a. As explained above, the second-year paper must have been successfully defended by August 31 before the beginning of the third year.
- b. All course requirements must be fulfilled with no incompletes of any type on record and an overall grade average of at least B+.
- c. The evaluation committee will review the performance of any student who has not met these considerations and decide, following a simple majority voting rule, whether to retain or dismiss the student. The committee will solicit input from faculty serving as advisors or readers for the second-year paper, from other faculty involved with the student in collaborative research, and faculty instructors for any classes taken during the third year, as well as information from the first- and second-year evaluations. In the event of a tied vote, the doctoral coordinator shall cast the deciding vote.

For fourth-year students, the following rules shall apply:

- a. The dissertation proposal must be approved by May 15th. This is considered a “last resort” deadline. Students should strive to defend earlier in the fourth year to have more time to prepare for the job market the following summer.
- b. The evaluation committee will review the performance of any student who has not met these considerations. The committee will also solicit input from faculty serving as dissertation committee members and from any other faculty involved with the student in collaborative research to decide, following a simple majority voting rule, whether to grant fifth-year funding. In the event of a tied vote, the doctoral coordinator shall cast the deciding vote.

For students in their fifth year and beyond, the following rules apply:

- a. Students must be making satisfactory progress towards completing their dissertations.
- b. The evaluation committee will review the performance of each student annually, soliciting input from faculty serving as dissertation committee members and from any other faculty involved with the student in collaborative research to decide, following a simple majority voting rule, whether the student is making satisfactory progress towards the completion of their dissertation. In the event of a tied vote, the doctoral coordinator shall cast the deciding vote.
- c. The department will not provide a stipend *after* the fifth year. At the discretion of the department chair, the department may agree to cover fees and health insurance for students who remain beyond the fifth year.

Note: Any student dismissed from the program has the right to appeal to the Vice Dean of Wharton Doctoral Programs

OTHER PROGRAM GUIDELINES AND POLICIES

Active Participation in the Intellectual Life of the Department

Becoming a scholar entails a significant amount of tacit learning—things that can only be learned via apprenticeship, repeated exposure, and internalization of norms. Taking coursework and meeting the bare minimum formal requirements is not enough to achieve excellence. Doctoral students are expected to participate actively in the full breadth of the intellectual life of the department. This includes frequent attendance of department seminars and other intellectual activities, as well as frequent interactions with faculty members and other doctoral students.

Guidelines on Overlapping Topics

Exploring a general topic of personal interest in more than one course paper is often a wise strategy as it allows students to deepen their expertise by bringing multiple lenses to it. With this approach, work done in multiple course papers on topics is likely to generate the seeds for the second-year paper, the dissertation, and other research papers. To ensure that professors are aware of students' work on the same topic in multiple courses, students need to disclose this information to course instructors as early as possible. If you plan to write a new paper on a topic that you have addressed in a prior class, you must (a) let your current professor know; (b) explain how the work you will complete for the current class will add something new; and (c) give the current professor a copy of your prior deliverable. If you are writing on the same topic for two or more *simultaneous* courses, you must (a) let each of your current professors know; (b) explain the unique dimensions that the deliverables for each class will contain; and (c) make the final deliverable for each course available to the other faculty member upon request.

New Parent Accommodations

Upon the birth or adoption of a child, students are eligible for a 6-month extension to the deadlines for the defense of the second-year paper and the dissertation proposal defense.

TA Work for Additional Compensation

The Management program does not have any required teaching assignments for doctoral students. Nevertheless, students have the opportunity to get involved in teaching-related activities (usually TA or grading work) for additional compensation starting in the second year. (Wharton policy prohibits first-year students from engaging in work for additional compensation.) These opportunities can be an enriching complement to the heavily research-focused tasks of the program, allowing students to develop teaching skills that will be useful upon taking a faculty job.

Any TA (or other) work taken on for additional compensation requires pre-approval by the doctoral coordinator, who will usually consult with the dissertation advisor to ensure TA responsibilities don't interfere with progress on other program milestones. Students and their advisors should be judicious in considering how much TA work is appropriate.