

**FACULTY COUNCIL  
SCHULICH SCHOOL OF BUSINESS**

A meeting of the Schulich Faculty Council for the 2016-2017 academic year will be held on  
Friday October 14<sup>th</sup> 2016 at 11:30 am in SSB E111.

**AGENDA**

	<b>Pages</b>
<b>1. Welcome &amp; Chair's Remarks</b>	
<b>a) Motion:</b> Removal of Summer Authority Vested in Executive Committee	
<b>2. Enquiries &amp; Communications</b>	
<b>a) Presentation:</b> The Business Research at York Toolkit ( <i>A. An &amp; S. Quail</i> )	
<b>b) For Information:</b>	
1. APPRC Forums - IIRP Working Group Reports and Recommendations	<b>1-2</b>
2. Senate Synopses (2016.05.26 & 2016.06.16)	<b>3-9</b>
3. Senate Year-End Report (2016.06.16) <a href="http://secretariat.info.yorku.ca/files/ProvostYearEndReport.pdf">http://secretariat.info.yorku.ca/files/ProvostYearEndReport.pdf</a>	
4. Report from the Vice President Finance & Administration - Budget Planning Update (2016.06.16) <a href="http://secretariat.info.yorku.ca/files/BudgetPlanningUpdate.pdf">http://secretariat.info.yorku.ca/files/BudgetPlanningUpdate.pdf</a>	
<b>3. Dean's Remarks</b>	
<b>4. PHD/GBC/UBS Initiatives</b>	
<b>5. PhD Program Committee</b>	
<b>a) Motions:</b> ( <i>E. Fischer</i> )	<b>10</b>
1. New Course Proposal for SGMT 7030 3.00 - International Business Seminar	<b>11-35</b>
2. New Course Proposal for SGMT 7040 3.00 - Seminar on Corporate Strategy	<b>36-49</b>
3. New Course Proposal for SGMT 7050 3.00 - Business, Society and Global Governance	<b>50-68</b>
4. New Course Proposal for ACTG 7050 3.00 - Advanced Topics in Financial Accounting Research II	<b>69-82</b>
<b>6. Master Programs Committee / Programs Coordinating Committee</b>	
<b>a) Motion:</b> New Course Proposal for PROP 6150 3.00 - Economic Forces Shaping the City ( <i>A. Kuzmicki</i> )	<b>83-102</b>
<b>b) Motions:</b> ( <i>J. Zemans</i> )	<b>103-105</b>
1. Renaming the MBA specialization Arts and Media Administration to Arts, Media and Entertainment Management	
2. Renaming the Graduate Diploma in Arts and Media Administration to Graduate Diploma in Arts, Media and Entertainment Management	
<b>7. EMBA Program Committee</b>	
<b>a) Motion:</b> New Course Proposal for EMBA 6550 2.00 - Leading Entrepreneurial Growth ( <i>M. Biehl</i> )	<b>106-117</b>
<b>8. Other Business:</b>	
<b>a) Motion:</b> Revised Grounds for Appeal to Executive Committee ( <i>M. Biehl</i> )	<b>118-130</b>
<b>b) Motion:</b> Potential Graduated List for Fall 2016 Convocation ( <i>M. Judd</i> )	<b>131-135</b>
<b>c) For Information:</b> Committee Work Plans for 2016 -2017	

1. BBA/iBBA Program Committee	136-137
2. Master Programs Committee/Programs Coordinating Committee	138-141
3. EMBA Program Committee	142
4. PhD Program Committee	143
5. Masters Admissions Committee	144
6. Nominating Committee	145
7. Research & Library Committee	146
8. Student Affairs Committee	147
9. Tenure & Promotions Committee	148

## 9. Adjournment

### CONSENT AGENDA

*A consent agenda item is deemed to be approved unless, prior to the commencement of a meeting, a member of the Council of the Faculty of the Schulich School of Business advises the Chair, James McKellar, of their request to debate it.*

	Pages
1. <b>Master Programs Committee / Programs Coordinating Committee</b>	
a) Curriculum Change for PROP 6001 0.00 - Leadership in Real Estate and Infrastructure I (description)	149-160
2. <b>EMBA Program Committee</b>	
a) New Course Proposal for EMBA 6280 2.00 - Visualization for Persuasion	161-167
b) New Course Proposal for EMBA 6320 2.00 - Value Investing	168-178
c) Curriculum Change for EMBA 6350 2.00 - Strategic Alliances (title & description)	179-187
3. <b>Nominating Committee</b>	
a) Approval of Changes to the 2016-2017 Nominating Slate	188-194
4. <b>Executive Committee Mandate Update</b>	128
5. <b>Faculty Council Meeting Minutes: 2016.05.27</b>	195-199

If you are unable to attend the meeting, please send regrets to council secretary Emily Rush at [erush@schulich.yorku.ca](mailto:erush@schulich.yorku.ca).



## APPRC Forums -- IIRP Working Group Report and Recommendations

2016/10/07 02:57 PM

Sent by:

"Senate Secretaries/Faculty Council Secretaries Info." <SENATE-S@YORKU.CA>

From: Robert Everett <beverett@YORKU.CA>

To: SENATE-S@YORKU.CA

Sent by: "Senate Secretaries/Faculty Council Secretaries Info." <SENATE-S@YORKU.CA>

**FACULTY COUNCIL SECRETARIES:** Your assistance in distributing this communication on your listservs is greatly appreciated. This is a very important set of forums and participation by faculty members, students and staff is greatly valued.

The Academic Policy, Planning and Research Committee is sponsoring a series of forums on the reports and recommendations of Institutional Integrated Resource Plan working groups. The forums are open to the University community but Senators are specially invited to attend and participate in these important discussions.

The events will be held on both the Glendon and Keele campuses and you are welcome to attend more than one forum. The schedule is as follows:

Thursday, October 20, 2016

9:00 a.m. to 12:00 Noon

Glendon Campus BMO SkyRoom, 3rd Floor Centre of Excellence

Tuesday, October 25, 2016

9:00 a.m to 12:00 noon

Keele Campus 519 Kaneff Tower and adjacent areas

Wednesday, October 26, 2016

9:00 a.m. to 12:00 noon

Keele Campus Founders College Assembly Hall

The forums will begin with remarks by Provost Rhonda Lenton and Vice-President Finance and Administration Gary Brewer.

These events offer unique opportunities for timely, in-depth explorations of academic planning opportunities pivoting around IIRP initiatives that are designed to advance University Academic Plan 2015-2020 objectives. Each forum will feature two break-out sessions led by members of the Academic Policy, Planning and Research Committee and representatives of the working groups.

Participants should prepare by reading the reports prepared by the IIRP working groups.

For more details, to access the working group documents and to complete your RSVP for one or more forums please follow this link

<http://secretariat.info.yorku.ca/senate/academic-policy-planning-and-research-committee/academic-planning-in-2016-2017-institutional-integrated-resource-plan-recommendations/>

A link to the forums website is also found on the APPRC pages under "Related Resources."

For additional information please contact Robert Everett of the University Secretariat ([beverett@yorku.ca](mailto:beverett@yorku.ca))

# The Senate of York University

## Synopsis

The 626th Meeting of Senate held on Thursday, May 26, 2016

### Remarks

The Chair of Senate encouraged Senators to participate in convocation ceremonies and celebrate the University's graduates in the company of their family and friends.

York's President, Dr Mamdouh Shoukri, recounted highlights from successful trips to London (where he spoke on the topic of science diplomacy at a major conference), Israel and the West Bank (accompanying Premier Kathleen Wynne's delegation to promote partnerships), and Costa Rica, where he helped inaugurate the Lillian Meighen Wright Centre and EcoCampus. Among other topics discussed by the President were the following:

- the University's application for funding under Ottawa's Postsecondary Strategic Infrastructure Fund initiatives
- opportunities for the community to contribute ideas as York celebrates Canada's 150<sup>th</sup> anniversary in 2017
- the University's part in hosting the 2017 World Indigenous People's Games awarded to the city of Toronto
- a generous gift from the Mirkopoulos family of Cinespace Film Studios to the University and the School of the Arts, Media, Performance and Design for the creation of the Motion Media Studio
- the 50<sup>th</sup> anniversary of the Schulich School of Business
- the University's due diligence regarding a major benefactor who has been the subject of recent media coverage

### Reports

The Academic Colleague to the Council of Ontario Universities, George Turlakis, commented on major developments on the provincial postsecondary policy scene with special reference to the status of the Ontario University Funding Model Review, consultations underway leading to a new tuition fee framework in 2017, and changes to the student assistance framework that will be reflected in a consolidated Ontario Student Grant. Professor Turlakis, who will be succeeded by Professor David Leyton-Brown, was thanked for his service as Colleague.

### Approvals

Senate approved nominees for election to Senate committees and other positions, an action that resulted in acclamations and a process leading to election by e-vote for some positions.

# The Senate of York University

## Synopsis

Senate approved a recommendation of the Academic Policy, Planning and Research Committee to change the name of the Graduate Program in Computer Science and Engineering to the Graduate Program in Electrical Engineering and Computer Science.

Senate approved recommendations of the Academic Standards, Curriculum and Pedagogy Committee to:

- establish a Bachelor of Commerce (BCom) degree type
- rename the Bachelor of Administrative Studies Degree Program to the Bachelor of Commerce Program and discontinue the Bachelor of Administrative Studies Degree
- establish a Bilingual Honours Bachelor of Arts In Communications, Glendon
- establish a Dual Credential program between EM Lyon Business School and the iBA in International Studies, Glendon
- discontinue the York–Ryerson Co-Registration Option
- amend requirements for a series of graduate diplomas in the field of Education (Early Childhood Education; Language & Literacy; Post-Secondary Education: Community, Culture & Policy; and Education in Urban Environments)
- amend requirements for the Bachelor of Arts Programs in Psychology, Glendon
- amend requirements for the Graduate Program in Philosophy, the Graduate Program in Francophone Studies and the Graduate Program in Social and Political Thought

### Committee Information Reports

Senate Executive advised that it continues to welcome expressions of interest or suggestion as it seeks to finalize the spring round of nominations and elections.

APPRC advised that Professor Logan Donaldson has agreed to serve as the Committee's member on the Open Access & Open Data Steering Committee created by Vice-President Research Robert Haché and University Librarian Joy Kirchner.

ASCP reported that it had approved minor modifications for the following:

#### *Education*

- minor changes to the requirements for the International Education Specialization within the BEd degree program

# The Senate of York University

## Synopsis

### *Graduate Studies*

- minor changes to the requirements for the Graduate Program in Social Anthropology

### *Lassonde*

- a nomenclature change within the requirements for the BEng program in Software Engineering
- a correction to the supporting documentation for a previously announced change to the General Education regulation for BA programs in the Lassonde School of Engineering

### *Science*

- establishment of “ISCI” as a rubric for the integrated first-year program

ASCP also reported that the Ministry of Training, Colleges and Universities had approved for funding the Master of Real Estate and Infrastructure (anchored in the Schulich School of Business), the Master of Leadership and Community Engagement (anchored in the Faculty of Education) and the PhD in Nursing programs (anchored in the School of Nursing). The Committee continues to coordinate with the Registrar’s Office and Faculties on the implementation of “academic forgiveness” policies approved by Senate in February.

Senators joined the Awards Committee in congratulating the following individuals chosen to receive prestigious awards:

Distinguished Research Professor: Laurence Packer, Biology, Science

University Professors: Paul Delaney, Science and Eileen Fischer, Schulich

The Awards Committee also responded to questions raised at the April meeting of Senate about funding for students in part-time programs.

Please refer to the full Senate agenda posted online for details about these items.

<http://secretariat.info.yorku.ca/files/senate-agenda-20160526.pdf>

**Senate’s next meeting will be held at 3:00 p.m. on Thursday, June 16, 2016.**

# The Senate of York University

## Synopsis

The 627th Meeting of Senate held on Thursday, June 16, 2016

### Remembering Orlando

The Chair of Senate and the President reflected on the horrific acts of violence perpetrated in Orlando, Florida on June 11. In doing so they stressed the community's profound sorrow and united rejection of the hatred and intolerance represented by the shootings. Pride Month Toronto is a reminder of the need to promote and celebrate diversity while ensuring that York's campuses are welcoming and safe for all.

A statement to the community by the President, Provost and Vice-President Finance and Administration can be accessed from the Y-File archives at

<http://yfile.news.yorku.ca/2016/06/13/statement-from-president-shoukri-provost-lenton-vice-president-brewer-we-stand-with-orlando/>

### Remarks

At the outset of the final Senate meeting of 2015-2016, the Chair, Professor George Comninel, expressed heartfelt appreciation to Senators, committee chairs and members, and Faculty Council members and staff for their contributions to governance during the year. He urged Senators to participate in Convocation ceremonies and noted that the city's many cultural festivities can be an ideal way to enrich summer breaks.

York's President, Dr Mamdouh Shoukri, applauded Senators for their hard work and successes, extolled recipients of major research awards (including an impressive total of three of this year's fifteen Trudeau Fellows), and congratulated Vice-President Finance and Administration Gary Brewer who had been recognized for excellence by the Canadian Association of University Business Officers. The fundraising campaign continues to gain momentum, and the most recent major gifts continue to align well with the University Academic Plan while demonstrating the confidence reposed in the University by its many supporters. National Aboriginal Day, June 21, will be marked with the unveiling of an Inuit sculpture *Ahqahizu* and the awarding of an honorary degree to Jeannette Corbiere Lavell. President Shoukri also commented on the following:

- the naming of Deputy Premier Deborah Matthews to head the re-named Ministry of Advanced Education and Skills Development
- the status of a task force recommendation to establish a French-only university in Toronto, and the efforts the University will exert to ensure that any decision by Queen's Park will be fully and properly informed, and not detract from York's unique bilingual mandate at Glendon

The President's monthly Kudos Report was posted online with the agenda package.

# The Senate of York University

## Synopsis

### Major Reports

Under the auspices of the Academic Policy, Planning and Research Committee (APPRC) Provost Rhonda Lenton and Vice-President Finance reported on academic planning accomplishments and priorities as well as the budget context for academic planning. Their reports were posted online with the Senate the agenda package.

### Approvals

On a recommendation of APPRC, Senate approved the chartering of the Centre for Automotive Research for a five-year term beginning July 1, 2016.

Professor Vivian Saridakis was acclaimed as a member of the Academic Standards, Curriculum and Pedagogy Committee.

Senate approved recommendations of the Academic Standards, Curriculum and Pedagogy Committee (ASCP) to:

- establish an Honours (120 credit) Bachelor of Environmental Studies degree option and revise requirements for the Bachelor of Environmental Studies program effective 2017-2018
- effect changes to the York University – Humber College Joint Program in International Project Management, the York University – Seneca Dual Credential Program in Urban Sustainability and the York University – Fleming College Dual Credential Program in Ecosystem Management Technology (all of them housed in the Faculty of Environmental Studies) effective 2017-2018

### Notice of Statutory Motion

Senate Executive gave notice of its intention to recommend approval by statutory motion of an increase in the number of elected faculty members on the Appeals Committee from eight to nine.

### Revised Student Appeals Procedures

The Appeals Committee submitted revised appeals procedures. Committee members and staff who have responsibilities in the domain of student appeals and petitions are asked to take special note of the revisions as summarized in the text of the report.

### Committee Information Reports

Senate Executive advised that it continues to welcome expressions of interest or suggestion as it seeks to finalize the spring round of nominations and elections, and announced the results of a ballot to elect members of the Senate Appeals Committee. The Committee also informed Senate of the following:

- the addition of six individuals to the pool of prospective honorary degree recipients as recommended by the Sub-Committee on Honorary Degrees and Ceremonials

# The Senate of York University

## Synopsis

- Senate attendance in 2015-2016 and the outcome of an Executive Committee discussion on ways to promote engagement
- approval of the Faculty Council membership lists for Environmental Studies, Glendon and Graduate Studies
- progress made by APPRC, ASCP and the Executive on priorities for 2015-2016 they established in the autumn
- a consolidated report on actions taken by Senate in 2015-2016
- a positive review of changes to the Faculty of Education Council's committee structures and mandates resulting in agreement that they were consistent with principles of collegial governance and practices elsewhere in the University

APPRC submitted a report entitled "Perspectives on Planning" based on discussions with the Deans, Principal and University Librarian in March and April. The document focused on approaches to planning that appeared especially promising as aids to the implementation of University Academic Plan objectives and to "making the UAP matter." The Committee also:

- provided an update on planning for the Markham Centre Campus
- transmitted annual reports Animal Care Sub-Committee, Biosafety Sub-Committee and Human Participants Review Committee
- reported that it had accepted advice from the SSHRC Travel and Small Grants Sub-Committee concerning modifications to the Grant in Aid of Travel Program (renamed the SSHRC Conference Opportunity Grant) and the SSHRC Small Grants Program (renamed the SSHRC Research Opportunity Grant Program)
- advised on the status of the Plan for the Intensification and Enhancement of Research and confirmed that a final version of the document would be shared with Senate in September

ASCP reported that it had approved:

- changes to the requirements of the PhD program in Theatre and Performance Studies (comprehensive exam structure)
- a new course rubric of "PACC" for the Diploma in Professional Accounting (Type 3).

Senators joined the Awards Committee in congratulating the following individuals chosen to receive prestigious awards for graduating students:

Governor-General's Gold Medals: Jennifer Sarah Rabin (Graduate Program in Clinical Psychology) and Leva Rouhani (Graduate Program in Sociology)

Governor-General's Silver Medals: Catherine Maria Spagnuolo (BSc Honours, Faculty of Science, First Class Standing with Distinction); Youssef Maged Kodsy (BA, Special Honours, Political Science, Liberal Arts and Professional

# The Senate of York University

## Synopsis

Studies, *Summa Cum Laude*); Jesse Adrian Thistle (BA, Special Honours, History, Faculty of Liberal Arts and Professional Studies, *Summa Cum Laude*)

The Murray G. Ross Award: Sayjon Ariyaratnam (BA Honours, Double Major in Criminology and Human Rights and Equity Studies, Liberal Arts and Professional Studies) *Summa Cum Laude*

The final reports for 2015-2016 of the Joint Sub-Committee on Quality Assurance were conveyed by APPRC and ASCP. Documentation included Final Assessment Reports for recently completed Cyclical Program Reviews (which will also be communicated to the Board of Governors and Faculty Councils) along with a summary of recommendations and suggestions made by Quality Council auditors and the development of an internal action plan by the Office of the Vice-Provost Academic and University Secretariat emerging from a pan-University retreat.

### Summer Authority

The authority to act on behalf of Senate between the regular meetings of June and September is vested in the Executive Committee.

### Additional Information about this Meeting

Please refer to the full Senate agenda and supplementary material posted online with the June 16, 2016 meeting for details about these items.

<http://secretariat.info.yorku.ca/senate/meeting-agendas-and-synopses/>

### Next Meeting of Senate

Senate's next meeting will be held at 3:00 p.m. on **Thursday, September 22, 2016.**

## Schulich School of Business

---

### Memorandum

To: James McKellar, Chairperson, Faculty Council

From: Prof. Eileen Fischer, PhD Program Director

Date: September 28, 2016

### Motions

That Faculty Council approve the new course proposals:

**ACTG 7050 3.00: Advanced Topics in Financial Accounting Research II**

**SGMT 7030 3.00: International Business Seminar**

**SGMT 7040 3.00: Seminar on Corporate Strategy**

**SGMT 7050 3.00: Business, Society and Global Governance**

### Rationale:

The Ph.D. committee is presenting four new course proposals for the approval of Faculty Council, three from the Strategy area and one from Accounting. The rationale for proposing these electives is largely to formalize existing practices; variants of these electives have been offered on an ad hoc basis in earlier years.

These electives will be normally offered once every two years, subject to there being sufficient student demand. Having them formally approved by Faculty Council will enable us to add them to the calendar of course offerings which will facilitate communication with and planning by both prospective students and those already enrolled in the program.

# Faculty of Graduate Studies

## New Course Proposal

### 1. Program

Schulich PhD Program

### 2. Course Number

SGMT 7030

### 3. Credit Value

3.00

### 4. Long Course Title

Seminar in International Business

### 5. Short Course Title

Seminar in International Business

### 6. Effective Session

Winter 2017

### 7. Calendar (Short) Course Description

The course examines the origins and evolution of the field of international business and is designed to provide students an understanding of the various theoretical traditions and methodological approaches used in international business research. It is expected that students will critically evaluate the various schools of thought within the field, and develop their own research agenda related to some specific aspect of international business.

### 8. Expanded Course Description

The course examines the origins and evolution of the field of international business and is designed to provide students an understanding of the various theoretical traditions and methodological approaches used in international business research. Students will study the historical transition of understanding global business from an inter-country trade perspective to the specific focus on the role of multinational corporations. This will entail an appreciation of the theories of the multinationals emanating from a variety of theoretical traditions including transaction costs analysis and internalization theory, behavioural theory of the firm, institutional theory, among others. The course will examine how the macro-level factors (e.g., global institutional arrangements, role of the state, cultural and political aspects) interact with micro-level factors (e.g., organizational arrangements and structures, organizational culture, etc.) to shape firm behaviour and strategies across different contexts. Furthermore, students will be exposed to a diversity of methodological approaches used in international business research.

### 9. Evaluation

Class Participation and Discussion Leader	30%
Review Essay	20%
Research Paper	50%

**10. Integrated Courses**

**Not applicable**

**11. Rationale**

One of the core focus and strength of the Schulich School of Business is in the area of international business, with numerous faculty across the core areas conducting research on topics related to international business and publishing this research in top-tier journals. Thus, the PhD program attracts a large number of students with interests in the study of cross-border business aspects. Currently, there is no course offered in the doctoral program that exposes students to the broad theoretical traditions and overall content of the field of international business. The proposed seminar will introduce students to the various strands, theoretical traditions, and methodological approaches related to international business research and will complement the current course offerings in their respective core disciplines. While the course is offered as an elective for students in strategic management, it will be of interest to students from other areas, including accounting, finance, marketing, operations management and organizational studies.

**12. Faculty Resources**

Preet S. Aulakh, Justin Tan, Steve Weiss, and Anoop Madhok. are qualified to teach the course. It is hoped that the course will be offered every second year to give every new generation of PhD students the opportunity to take this course, the only one of its kind in the PhD Program. There will be no significant impact on faculty resources, given that several faculty members are available to teach the course.

**13. Cross-listed Courses**

Not applicable

**14. Bibliography and Library Statement**

A library statement is attached to the proposal.

**15. Physical Resources**

Fully equipped classrooms as available at Schulich are sufficient; no additional physical resources are required.

## Faculty of Graduate Studies

### New Course Proposal

### Part B (Schulich Use Only)

#### 16. Instructors and Faculty Coordinator

**Initial instructor**

Preet S. Aulakh

**Alternative instructors**

Justin Tan and other instructors within the Strategic Management Area with research interests in International Business can teach this course.

**Course coordinator**

Preet S. Aulakh

#### 17. Specializations

**Primary area or specialization**

Strategic Management

**Secondary areas or specializations**

International Business

## 18. Student Contact and Enrolment

### Contact hours

36 classroom hours

### Maximum enrolment

10 students

### Expected enrolment

3-6 Schulich PhD students, plus visiting PhD students

### Evidence for enrolment expectations

The proposed course has been successfully offered in the past as independent study. Last time it was offered, in Winter 2015, it attracted four Schulich PhD students from Strategic Management and Marketing Areas. It is anticipated that students from all academic areas, with an interest in international or cross-border aspects of business, could take this course.

## 19. Human Participants Research

Not applicable

## 20. Conditions for Approval

**If this proposal is for a new elective course, please indicate which one of the three following conditions required by Faculty Council applies:**

### b) Provide a convincing case for the proposed course.

This proposal suggests converting a successful existing offering under the 'Independent Study' category into a regular PhD course. Also, the course is unique as the only course offering in the PhD Program that focuses on the international business field.

## Course Originator

Preet Aulakh  
Signature

September 23, 2016  
Date

Preet S. Aulakh  
Name

## Supporting Faculty Members

The course originator should consult with other interested parties and obtain their support. Support should be obtained from other units of the university if their interests are related to this course.

The faculty members whose names appear below confirm that they have examined this course proposal. They feel it is a worthwhile addition to the SSB curriculum and does not, to their knowledge, significantly duplicate the content of existing courses.



**International Business Ph.D. Seminar  
Winter 2017**

**COURSE INFORMATION AND SCHEDULE**

Instructor: **Dr. Preet S. Aulakh**, Professor/Pierre Lassonde Chair in International Business  
 Office: N305C, Schulich School of Business  
 Telephone: (416) 736-2100, Ext. 77914  
 e-mail: paulakh@schulich.yorku.ca  
 Office Hours: By appointment  
 Assistant: Stephanie Allen, N305A SSB, Ext. 66125

**BRIEF COURSE DESCRIPTION**

The course examines the origins and evolution of the field of international business and is designed to provide students an understanding of the various theoretical traditions and methodological approaches used in international business research. It is expected that students will critically evaluate the various schools of thought within the field, and develop their own research agenda related to some specific aspect of international business.

**CONTENTS**

Detailed Course Description.....	2
<a href="#">Course Learning Outcomes</a> .....	<b>Error! Bookmark not defined.</b>
<a href="#">Course Structure and Requirements</a> .....	<b>Error! Bookmark not defined.</b>
<a href="#">Performance Evaluation</a> .....	3
<a href="#">Overall Course Grade</a> .....	3
<a href="#">General Academic Policies: Grading, Academic Honesty, and Accommodations</a> .....	4
<a href="#">Class-by-Class Topics</a> .....	5
Background Readings.....	6
Readings for Individual sessions.....	7

## DETAILED COURSE DESCRIPTION

The course examines the origins and evolution of the field of international business and is designed to provide students an understanding of the various theoretical traditions and methodological approaches used in international business research. Students will study the historical transition of understanding global business from an inter-country trade perspective to the specific focus on the role of multinational corporations. This will entail an appreciation of the theories of the multinationals emanating from a variety of theoretical traditions including transaction costs analysis and internalization theory, behavioural theory of the firm, institutional theory, among others. The course will examine how the macro-level factors (e.g., global institutional arrangements, role of the state, cultural and political aspects) interact with micro-level factors (e.g., organizational arrangements and structures, organizational culture, etc.) to shape firm behaviour and strategies across different contexts. Furthermore, students will be exposed to a diversity of methodological approaches used in international business research.

## COURSE LEARNING OUTCOMES

This seminar focuses on the foundations and current research in international business. The seminar will cover the theoretical and methodological domains of various streams of research within the field. The seminar will emphasize the following learning objectives:

- Gain exposure to some major areas of international business research
- Develop skills for literature review
- Develop skills for critical evaluation of both theory and methods
- Develop skills to evaluate major gaps and identify original research
- Develop a program of original research

## COURSE STRUCTURE AND REQUIREMENTS

This course is a doctoral seminar, and as such, each participant should come fully prepared to class in order to participate in class discussions. The teaching approach would be discussional, in part, based on the assigned readings.

**Class Participation and Discussion Leader:** Student participation is critical to the success of the course and the evaluation on this component will be based on students' preparedness and participation in each class. The class-participation grade (30%) is based on in-class discussions and performance as a discussion leader. Each of you will be assigned to lead a discussion for two sessions. **The discussion leader's** task is to prepare the topic to be discussed on the assigned day (the leader should become very familiar with the topic and should make every attempt to read some of the recommended readings as well), prepare questions and activities for class discussion which lead students to integrate and compare the papers, and seek out research opportunities, and lead and moderate the discussion efficiently and effectively. **The rest of you** are expected to read *at least the required readings* for the class.

**Summaries and Peer Critiques:** For each class session, students (except the discussion leader) will be assigned one or more readings to summarize. These summaries will be from one to three pages (typed, single-spaced) in length, and will have the following format:

- Title of the reading (full citation)
- Summarized by:

- Purpose of the reading: this section should describe how this reading fits in within the broader topical area (research stream), its fundamental objectives, etc.
- Theoretical Argument: this section should summarize the theoretical argument of the reading, basic assumptions, hypotheses/propositions, etc.
- Methodology: if the paper is empirical, this should summarize the research methods including data collection, statistical methods, etc.
- Results and Conclusions: this section should summarize any empirical results, any theoretical and normative conclusions, other implications, etc.

Students should make copies of the summaries for everyone in class and distribute them at the beginning of the respective session. Although each student will provide summary of only one or two articles per class, it is expected that everyone will read *all* the required articles.

**Research Paper:** Each of you is required to present *and* submit a research paper at the end of the semester. The paper must focus on a contemporary research issue in international business. It may be an exhaustive literature review of a certain research area, a theory-building paper, or a conceptual paper. The aim of this exercise is to enhance your research skills through critical thinking and initiate you with the task of scholarly publication. You should develop this paper in such a way so that it can be submitted to a top notch refereed journal. You are encouraged to meet with me throughout the course of the semester to discuss your progress on the research paper. *The paper* (no more than 25 double-spaced pages in length, including references, tables, and figures) should be submitted a week after the last class.

Each student will turn in a 2-3 page typed proposal of their research paper to the instructor and fellow students in Week 9. These proposals will be discussed and critiqued during class. Each student will be asked to critique and review the research proposals of the fellow students and help them in developing the research projects.

**Review Essay:** Each student will write a review essay of the theories of the multinational. The essay will be based on readings from the following sessions: Week 3, 4, 5 and 6. Your essay will critically evaluate the theories of multinationality/internationalization, their extensions and applicability to firms from emerging economies. The essay will be 10 pages (double-spaced). The written essay is due in class in Week 7.

### **PERFORMANCE EVALUATION:**

Class Participation and Discussion Leader	30%
Review Essay	20%
Research Paper	50%

### **OVERALL COURSE GRADE**

The overall course grade will be determined by weighting the graded deliverables as outlined in performance evaluation, using a 9-grade-point scale.

## **GENERAL ACADEMIC POLICIES: GRADING, ACADEMIC HONESTY, AND ACCOMMODATIONS**

### **Grading**

Grades at Schulich are based on a 9-value index system. The top grade is A+ (9) and the minimum passing grade is C- (1). However, because this is a PhD course, most students will be expected to achieve grades of B+ to A. In cases of exceptionally good or poor performance, higher or lower grades may be awarded by the instructor.

### **Academic honesty**

Academic honesty is fundamental to the integrity of university education and degree programs, and applies in every course offered at Schulich. Students should familiarize themselves with York University's policy on academic honesty, which may be found in the following Faculty of Graduate Studies website:

**<http://gradstudies.yorku.ca/current-students/regulations/academic-honesty/Accommodations>**

For accommodations sought due to exam conflicts, religious reasons, unavoidable absences or disabilities, please refer to the Student Handbook or contact Student Services. For counseling & disability services, contact Student Services or see: <http://www.yorku.ca/cds>.

### **Class By Class Topics**

Week 1	Course Introduction and Domain of International Business
Week 2	Classical and New Theories of International Trade
Week 3	From International Trade to International Business: Role of the Firm  Introduction to the Theories of the Multinational Corporation
Week 4	Extensions/Critiques/Alternatives to the Theories of the MNC
Week 5	Internationalization Theory
Week 6	Emerging Market Multinationals: Theoretical Refinements
Week 7	Methodological Approaches to International Business Research REVIEW ESSAY DUE
Week 8	Role of the State and Implications for International Business
Week 9	Foreign Entry Modes: Theoretical and Empirical Approaches  RESEARCH PROJECT PROPOSALS DUE
Week 10	Structuring and Managing Cross-Border Equity and Non-equity Alliances
Week 11	Global Strategy
Week 12	Cross-Border Knowledge Transfer: Macro- and Micro-Perspectives

### Background Readings

(Not required for the class but should become familiar if focusing on International Business)

- Robinson, Richard D. (1964), *International Business Policy*, New York: Holt, Rinehart & Winston.
- Fayerweather, John (1969), *International Business Management*, 2nd ed., New York: McGraw-Hill.
- Vernon, Raymond (1971), *Sovereignty at Bay*, New York: Basic Books.
- Caves, Richard E. (1996), *Multinational Enterprise and Economic Analysis*. Cambridge: Cambridge University Press.
- Stopford, John M. and Louis T. Wells, Jr. (1966), *Managing the Multinational Enterprise*, New York: Basic Books.
- Knickerbocker, F.T. (1973), *Oligopolistic Reaction and the Multinational Enterprise*, Harvard University Press.
- Behrman, Jack (1970), *National Interests and the Multinational Enterprise*, Englewood Cliffs, NJ: Prentice Hall.
- Kindleberger, Charles P. (1969), *American Business Abroad*, New Haven, CT: Yale University Press.
- Farmer, Richard N. and B. Richman (1966), *International Business: An Operational Theory*, Homewood, IL: Richard D. Irwin.
- Dymza, William A. (1972), *Multinational Business Strategy*, New York: McGraw-Hill.
- Hymer, Stephen (1960), *The International Operations of National Firms: A Study of Direct Investment*, unpublished Ph.D. dissertation, Massachusetts Institute of Technology (reprinted by MIT Press, 1976).
- Aharoni, Y. (1966), *The Foreign Investment Decision Process*, Boston, MA: Harvard University Press.
- Gilpin, Robert (1987), *The Political Economy of International Relations*. Princeton: Princeton University Press.

## READINGS FOR INDIVIDUAL SESSIONS

### Week 1: Domain of International Business

#### Required Readings:

- Robinson, Richard D. (1981), "Background Concepts and Philosophy of International Business from World War II to Present," *Journal of International Business Studies*, 12 (1), 13-21.
- Dunning, John H. (1989), "The Study of International Business: A Plea for a More Interdisciplinary Approach," *Journal of International Business Studies*, 20 (Fall), 411-36.
- Bruton, Garry D., Franz T. Lohrke, and Jane W. Lu (2004), "The Evolving Definition of What Comprises International Strategic Management Research," *Journal of International Management*, 10(3), 413-429.

#### Additional Readings:

- Buckley, Peter J. and Malcolm Chapman (1996), "Theory and Method in International Business," *International Business Review*, 5 (3), 233-245.
- Aulakh, Preet S. and Masaaki Kotabe (1993), "An Assessment of Theoretical and Methodological Development in International Marketing: 1980-1990," *Journal of International Marketing*, 1 (2), 5-28.
- Inkpen, Andrew C. and Paul W. Beamish (1994), "An Analysis of Twenty-Five Years of Research in the *Journal of International Business Studies*," *Journal of International Business Studies*, 25 (4), 703-713.
- Daniels, John D. (1991), "Relevance in International Business Research: A Need for More Linkages," *Journal of International Business Studies*, 22 (Second Quarter), 177-86.
- Wright, Richard W. and David A. Ricks (1994), "Trends in International Business Research: Twenty-Five Years Later," *Journal of International Business Studies*, 25 (4), 687-701.
- Griffith D. A., S. T. Cavusgil, and S. C. Xu (2008), "Emerging Themes in International Business Research," *Journal of International Business Studies*, 39(7), 1220-35.

## Week 2: Classical and New Theories of International Trade

### Required Readings:

Torelli, Paul (2013), "Theories of International Trade." HBS Digital Chapter.

Posner, Michael V. (1961), "International Trade and Technical Change," *Oxford Economic Papers*, 13 (October), 323-41. (A)

Vernon, Raymond (1966), "International Investment and International Trade in the Product Cycle," *Quarterly Journal of Economics*, 80 (May), 190-207. (A)

Porter, Michael E. (1990), "The Competitive Advantage of Nations," *Harvard Business Review*, 68 (March-April), 73-93.

Hazard, Heather A. (1990), "'New' Theories of International Trade." HBS Article. (J)

Krugman, Paul R. (1987), "Is Free Trade Passe?" *Journal of Economic Perspectives*, 1(2): 131-144. (J)

### Additional Readings:

Giddy, Ian H. (1978), "The Demise of the Product Cycle Model in International Business Theory," *Columbia Journal of World Business*, 13 (Spring).

Vernon, Raymond (1974), "The Location of Economic Activity," in John H. Dunning, ed., *Economic Analysis and the Multinational Enterprise*, London: George Allen & Unwin, Ltd., 89-114.

Krugman, Paul and Maurice Obstfeld (1997), *International Economics: Theory and Policy*, Reading, Addison-Wesley.

Yoffie, David B. and Helen V. Milner (1989), "An Alternative to Free Trade or Protectionism: Why Corporations Seek Strategic Trade Policy?" *California Management Review*, 111-131.

Grant, Robert M. (1991), "Porter's 'Competitive Advantage of Nations': An Assessment," *Strategic Management Journal*, 12, 535-548.

Melitz, Marc, and Fabio Ghironi. 2005. International Trade and Macroeconomic Dynamics with Heterogeneous Firms, *Quarterly Journal of Economics* 120: 865-915.

### Week 3: From International Trade to International Business

#### Required Readings:

- Caves, Richard E. (1971), "International Corporations: The Industrial Economics of Foreign Investment." *Economica*, 38: 1-27.
- Buckley, Peter J. and Mark Casson (1976), "The Long-Run Theory of the Multinational Enterprise." In Pereter Buckley and Mark Casson, *The Future of the Multinational Enterprise*, New York: Holmes & Meier Publishers, Inc. (J)
- Dunning, John H. (1988), "The Eclectic Paradigm of International Production: A Restatement and Some Possible Extensions," *Journal of International Business Studies*, 19 (Spring), 1-31.
- Dunning, John H. (1995), "Reappraising the Eclectic Paradigm in an Age of Alliance Capitalism," *Journal of International Business Studies*, 26 (Third Quarter), 461-92. (A)

#### Additional Readings:

- Teece, David J. (1986), "Transaction Cost Economics and the Multinational Enterprise: An Assessment," *Journal of Economic Behavior and Organization*, 7, 21-45.
- Kojima, Kiyoshi and T. Ozawa (1985), "Micro- and Macro-Economic Models of Direct Foreign Investment: Toward a Synthesis," *Hitotsubashi Journal of Economics*, 25 (June), 1-20.
- Horaguchi, Haruo and Brian Toyne (1990), "Setting the Record Straight: Hymer, Internalization Theory and Transaction Cost Economics," *Journal of International Business Studies*, 21 (Third Quarter), 487-94.
- Hennart, Jean-Francois (1986), "What is Internalization?" *Weltwirtschaftliches Archiv*, 122 (Winter), 791-804.
- Rugman, Alan M. and Alain Verbeke (2003), "Extending the Theory of the Multinational Enterprise: Internalization and Strategic Management Perspectives," *Journal of International Business Studies* 34(2), 125-37.
- Buckley, Peter J. and Mark C. Casson (2009), "The Internalisation Theory of the Multinational Enterprise: A Review of the Progress of a Research Agenda after 30 Years," *Journal of International Business Studies*, 40 (9), 1563-1580.

#### **Week 4: Extensions/Critiques/Alternatives to the Theories of the MNC**

##### **Required Readings:**

- Itaki, Masahiko (1991), "A Critical assessment of the Eclectic Theory of the Multinational Enterprise," *Journal of International Business Studies*, 22 (Third Quarter), 445-460. (J)
- Kogut, Bruce and Udo Zander (1993), "Knowledge of the Firm and the Evolutionary Theory of the Multinational Corporation." *Journal of International Business Studies*, 625-645. (A)
- Boddewyn, Jean J. (1988), "Political Aspects of MNE Theory," *Journal of International Business Studies*, Fall, 341-363. (J)
- Teece, David J. (2014), "A Dynamic Capabilities-Based Entrepreneurial Theory of the Multinational Enterprise." *Journal of International Business Studies*, 45: 8-37. (A)
- Cantwell, John, John H Dunning and Srianna M. Lundan (2010), "An Evolutionary Approach to Understanding International Business Activity: The Co-Evolution of MNEs and the Institutional Environment." *Journal of International Business Studies*, 41: 567-586.
- Jones, Gregory and Richard Deeg (2008), "Comparing Capitalisms: Understanding Institutional Diversity and its Implications for International Business." *Journal Of International Business Studies*, 39: 540-561.

##### **Additional Readings:**

- Hall, Peter A. and David Soskice (2001), *Varieties of Capitalism: Institutional Foundations of Comparative Advantage*. New York: Oxford University Press.
- Kostova, Tatiana, Kendall Roth and M. Tina Dacin (2008), "Institutional Theory in the Study of Multinational Corporations: A Critique and New Directions." *Academy of Management Review*, 33(4): 994-1008.
- Cantwell, John (1989), *Technological Innovation and Multinational Corporations*, Oxford: Basil Blackwell.
- Chen, Shih-Fen S. (2005), "Extending Internalization Theory: A New Perspective on International Technology Transfer and its Generalization," *Journal of International Business Studies*, 36 (Second Quarter), 231-245.

## Week 5: Internationalization Theory

### Required Readings:

- Johanson, Jan and Jan-Erik Vahlne (2009), "The Uppsala Internationalization Process Model Revisited: From Liability of Foreignness to Liability of Outsidership," *Journal of International Business Studies*, 40 (9), 1411-1431.
- Hutzschenreuter, Thomas, Torben Pedersen, and Henk W. Volberda (2007), "The Role of Path Dependency and Managerial Intentionality: A Perspective on International Business Research," *Journal of International Business Studies*, 38, 1055-68.
- Sapienza, Harry J., Erkko Autio, Gerard George and Shaker Zahra (2006), "A Capabilities Perspective on the Effects of Early Internationalization on Firm Growth and Survival and Growth," *Academy of Management Review*, 31(4): 914-933. (A)
- Zaheer, Srilata (1995), "Overcoming the Liability of Foreignness." *Academy of Management Journal*, 38(2): 341-363. (A)
- Perkins, Susan E. (2014), "When Does Prior Experience Pay? Institutional Experience and the Multinational Corporation." *Administrative Science Quarterly*, 59(1): 145-181.

### Additional Readings:

- Johanson, Jan and Jan-Erik Vahlne (1977), "The Internationalization of the Firm--A Model of Knowledge Development and Increasing Foreign Market Commitments," *Journal of International Business Studies*, 8 (Spring/Summer), 23-32.
- O'Grady, Shawna and Henry W. Lane (1996), "The Psychic Distance Paradox," *Journal of International Business Studies*, 27 (Second Quarter), 309-333.
- Malnight, Thomas W. (1995), "Globalization of an Ethnocentric Firm: An Evolutionary Perspective," *Strategic Management Journal*, 16, 119-141.
- Miller, Stewart R. and Arvind Parkhe (1998), "Patterns in the Expansion of U.S. Banks' Foreign Operations," *Journal of International Business Studies*, 29 (2), 359-390.
- Malhotra, N. and Hinings, C. (2010), "An Organizational Model for Understanding Internationalization Processes," *Journal of International Business Studies*, 41(2), 330-349.
- Andersen, Otto (1993), "On the Internationalization Process of Firms: A Critical Analysis," *Journal of International Business Studies*, 24 (2), 209-231.
- Sarkar, MB, S. Tamer Cavusgil, and Preet S. Aulakh (1998). "International Expansion of Telecommunication Carriers: The Influence of Market Structure, Network Characteristics, and Entry Imperfections," *Journal of International Business Studies*.
- Chang, S.J. (1995), "International Expansion Strategy of Japanese Firms: Capability Building Through Sequential Entry," *Academy of Management Journal*, 38 (2): 383-407.
- Vermeulen, Freek and Harry Barkema (2002), "Pace, Rhythm, and Scope: Process Dependence in Building a Profitable Multinational Corporation," *Strategic Management Journal*, 23: 637-653.

## Week 6: Emerging Market Multinationals: Theoretical Refinements?

### Required Readings:

Hennart, J-F. (2012), “Emerging Market Multinationals and the Theory of the Multinational Enterprise,” *Global Strategy Journal*, 2: 168-187.

Hashai, N. and Peter J. Buckley (2014), “Is Competitive Advantage a Necessary Condition for the Emergence of the Multinational Enterprise?” *Global Strategy Journal*, 4: 35-48.

Cuervo-Cazurra, Alvaro (2012), “Extending Theory by Analyzing Developing Country Multinational Companies: Solving the Goldilocks Debate.” *Global Strategy Journal*, 2: 153-167.

Luo, Y. and R.L. Tung (2007), “International Expansion of Emerging Market Enterprises: A Springboard Perspective.” *Journal of International Business Studies*, 38: 481-498. (A)

Gubbi, S.R., Preet S. Aulakh, Sougata Ray, MB Sarkar and Raveendra Chittoor (2010), “Do International Acquisitions by Emerging-Economy Firms Create Shareholder Value? The Case of Indian Firms.” *Journal of International Business Studies*, 41: 397-418.

### Additional Readings:

Duysters, Geert, Jojo Jacob, Charmianne Lemmens and Yu Jintian (2009), “Internationalization and Technological Catching Up by Emerging Multinationals: A Comparative Case Study of China’s Haier Group.” *Industrial and Corporate Change*, 18(2): 325-349.

Peng, Mike W., Denis YL Wang and Yi Jiang (2008), “An Institution-Based View of International Business Strategy: A Focus on Emerging Economies.” *Journal of International Business Studies*, 39: 920-936.

## **Week 7: Methodological Approaches to International Business Research**

### **Required Readings:**

- Doz, Yves (2011), "Qualitative Research for International Business." *Journal of International Business Studies*, 42: 582-590.
- Lamb, Peter, Jorgen Sandberg and Peter W. Liesch (2011), "Small Firm Internationalization Unveiled Through Phenomenography." *Journal of International Business Studies*, 42: 672-693.
- Aulakh, Preet S., Masaaki Kotabe and Hildy Teegen (2000), "Export Strategies and Performance of Firms from Emerging Economies: Evidence from Brazil, Chile and Mexico." *Academy of Management Journal*, 43(3): 342-361.
- Chang, Sea-Jin, Chi-Nen Chung and Ishtiaq P. Mahmood (2006), "When and How Does Business Group Affiliation Promote Firm Innovation? A Tale of Two Emerging Economies." *Organization Science*, 5: 637-656. (A)
- Henisz, Witold J., Bennet A. Zelner and Mauro F. Guillen (2005), "The Worldwide Diffusion of Market-Oriented Reform, 1977-1999." *American Sociological Review*, 70: 871-897.

### **Additional Readings:**

- Shaver, J. Myles (1998), "Accounting for Endogeneity When Assessing Strategy Performance: Does Entry Mode Affect FDI Survival," *Management Science*, 44(4), 571-585.
- Hult, G., Ketchen, D., Griffith, D., Finnegan, C., Gonzalezpadron, T., Harmancioglu, N., Huang, Y., Talay, M., & Cavusgil, S. (2008). "Data Equivalence in Cross-Cultural International Business Research: Assessment and Guidelines," *Journal of International Business Studies*, 39(6), 1027-1044.

## Week 8: Role of the State Implications for International Business

### Required Readings:

- Lenway, Stefanie Ann and Thomas P. Murtha (1994), "The State as a Strategist in International Business Research," *Journal of International Business Studies*, 25 (3), 513-536. (J)
- Boddewyn, Jean J. and Thomas L. Brewer (1994), "International-Business Political Behavior: New Theoretical Directions," *Academy of Management Review*, 19 (1), 119-143, (A)
- Cuervo-Cazurra, Alvaro, Andrew Inkpen, Aldo Musacchio and Kannan Ramaswamy (2014), "Governments as Owners: State-Owned Multinational Companies." *Journal of International Business Studies*, 45: 919-942.
- Teegen, Hildy, Jonathan P. Doh, and Sushil Vachani (2004), "The Importance of Nongovernmental Organizations (NGOs) in Global Governance and Value Creation: An International Business Research Agenda," *Journal of International Business Studies*, 35 (6), 463-483. (A)
- Li, Ming Hua, Lin Cui, and Jiangyong Lu (2014), "Varieties in State Capitalism: Outward FDI Strategies of Central and Local State-Owned Enterprises from Emerging Economy Countries." *Journal of International Business Studies*, 45: 980-1004. (J)

### Additional Readings:

- Gilpin, Robert (1987), "Three Ideologies of Political Economy," in Gilpin, Robert, *The Political Economy of International Relations*. Princeton: Princeton University Press, 25-64.
- Kotabe, Masaaki (1985), "The Role of Japanese Industrial Policy for Export Success: A Theoretical Perspective," *Columbia Journal of World Business*, Fall, 59-64.
- Baron, David P. (1997), "Integrated Strategy, Trade Policy, and Global Competition," *California Management Review*, 39 (2), 145-169.
- Murtha, Thomas P. and Stefanie Ann Lenway (1994), "Country Capabilities and the Strategic State: How National Political Institutions Affect Multinational Corporations' Strategies," *Strategic Management Journal*, 15, 113-129.
- Wells, Louis T. (1998), "Multinationals and the Developing Countries," *Journal of International Business Studies*, 29 (1), 101-114.

## **Week 9: Foreign Entry Modes: Theoretical and Empirical Approaches**

### **Required Readings:**

Madhok, Anoop (1997), "Cost, Value and Foreign Market Entry Mode: The Transaction and the Firm," *Strategic Management Journal*, 18, 39-61.

Xu, Dean and Oded Shenkar (2002), "Institutional Distance and the Multinational Enterprise." *Academy of Management Review*, 27(4): 608-618.

Agarwal, Sanjeev and Sridhar N. Ramaswami (1992), "Choice of Foreign Market Entry Mode: Impact of Ownership, Location, and Internalization Factors," *Journal of International Business Studies*, 23 (First Quarter), 1-27.

Aulakh, Preet S. and Masaaki Kotabe (1997), "Antecedents and Performance Implications of Channel Integration in Foreign Markets," *Journal of International Business Studies*, 28 (1), 145-175.

Hennart, Jean-Francois and Young-Ryeol Park (1993), "Greenfield vs. Acquisition: The Strategy of Japanese Investors in the United States." *Management Science*, 39(9): 1054-1070.

Meyer, Klaus E., Mike Wright and Sarika Pruthi (2009), "Managing Knowledge in Foreign Entry Strategies: A Resource-Based Analysis." *Strategic Management Journal*, 30: 557-574. (A)

### **Additional Readings:**

Gatignon, Hubert and Erin Anderson (1987), "The Multinational Corporation's Degree of Control over Foreign Subsidiaries: An Empirical Test of a Transaction Cost Explanation," *Journal of Law, Economics and Organization*, 4(Fall), 305-336.

Chan, Kim W. and Peter Hwang (1992), "Global Strategy and Multinationals' Entry Mode Choice," *Journal of International Business Studies*, 23 (First Quarter), 29-53.

Erramilli, M. Krishna and C.P. Rao (1993), "Service Firms' International Entry-Mode Choice: A Modified Transaction-Cost Analysis," *Journal of Marketing*, 57 (July), 9-38.

## Week 10: Structuring and Managing Cross-Border Equity and Non-Equity Alliances

### Required Readings:

- Inkpen, Andrew C. and Paul Beamish (1997), "Knowledge, Bargaining Power, and the Instability of International Joint Ventures," *Academy of Management Review*, 22 (1): 177-202. (J)
- Contractor, Farok K. and Jeffrey J. Reuer (2014), "Structuring and Governing Alliances: New Directions for Research." *Global Strategy Journal*, 4: 241-256. (J)
- Reuer, Jeffrey J. and Tony W. Tong (2005), "Real Options in International Joint Ventures." *Journal of Management*, 31(3): 403-423.
- Abdi, Majid and Preet S. Aulakh (2012), "Do Country-Level Institutional Frameworks and Interfirm Governance Arrangements Substitute or Complement in International Business Relationships?" *Journal of International Business Studies*, 43: 477-497.
- Vasudeva, Gurneeta, Jennifer W. Spencer and Hildy J. Teegen (2013), "Bringing the Institutional Context Back In: A Cross-National Comparison of Alliance Partner Selection and Knowledge Acquisition." *Organization Science*, 24(2): 319-338.

### Additional Readings:

- Hennart, Jean-Francois (1988), "A Transaction Cost Theory of Equity Joint Ventures," *Strategic Management Journal*, 9 (July-August), 361-74.
- Kogut, Bruce (1988), "Joint Ventures: Theoretical and Empirical Perspectives," *Strategic Management Journal*, 9 (July-August), 319-32.
- Parkhe, Arvind (1993), "'Messy' Research, Methodological Predispositions, and Theory Development in International Joint Ventures," *Academy of Management Review*, 18 (2), 227-268.
- Aulakh, Preet S., Masaaki Kotabe, and Arvind Sahay (1996), "Trust and Performance in Cross Border Marketing Partnerships: A Behavioral Approach," *Journal of International Business Studies*, 27, 1005-1032.
- Dyer, Jeffrey H. and Wujin Chu (2000), "The Determinants of Trust in Supplier-Automaker Relationships in the U.S, Japan and Korea," *Journal of International Business Studies*, 31 (Second Quarter), 259-285.

## Week 11: Global Strategy and Performance Issues

### Required Readings:

- Ghoshal, Sumantra (1987), "Global Strategy: An Organizing Framework," *Strategic Management Journal*, 8, 425-40.
- Bartlett, Christopher A. and Sumantra Ghoshal (1991), "Global Strategic Management: Impact on the New Frontiers of Strategy Research," *Strategic Management Journal*, 12 (Summer), 5-16.
- Ricart, Joan Eric, Michael J. Enright, Pankaj Ghemawat, Stuart L Hart and Tarun Khanna (2004), "New Frontiers in International Strategy." *Journal of International Business Studies*, 35: 175-200. (A)
- Makino, Shige, Takehiko Isobe and Christine M. Chan (2004), "Does Country Matter?" *Strategic Management Journal*, 25: 1027-1043.
- Lu, Jane W. and Paul W. Beamish (2004), "International Diversification and Firm Performance: The S-Curve Hypothesis." *Academy of Management Journal*, 47(4): 598-609.
- Hennart, Jean-Francois (2011), "A Theoretical Assessment of the Empirical Literature on the Impact of Multinationality on Performance." *Global Strategy Journal*, 1: 135-151.

### Additional Readings:

- Kogut, Bruce (1985), "Designing Global Strategies: Comparative and Competitive Value-Added Chains," *Sloan Management Review*, 26 (Summer), 15-28.
- Levitt, Theodore (1983), "The Globalization of Markets," *Harvard Business Review*, 61 (May-June), 92-102.
- Porter, Michael E., ed. (1986), *Competition in Global Industries*, Boston, MA: Harvard Business School Press (Chapter 1 only).
- Hamel, Gary and C.K. Prahalad (1985), "Do You Really Have a Global Strategy?" *Harvard Business Review*, 63 (July-August), 139-48.
- Strategic Management Journal* Special Issue on Global Strategy, Vol. 12, Summer 1991.

## Week 12: Cross-Border Knowledge Transfer: Macro and Micro Perspectives

### Required Readings:

- Bhagat, Rabi S., Ben L. Kedia, Paula D. Haverston and Harry C. Triandis (2002), "Cultural Variations in Cross-Border Transfer of Organizational Knowledge: An Integrative Framework." *Academy of Management Review*, 27(2): 204-221.
- Spencer, Jennifer W. (2008), "The Impact of Multinational Enterprise Strategy on Indigenous Enterprises: Horizontal Spillovers and Crowding Out in Developing Countries." *Academy of Management Review*, 33(2): 341-361.
- Shenkar, Oded, Yadong Luo and Orly Yeheskel (2008), "From Distance to Friction: Substituting Metaphors and Redirecting Intercultural Research." *Academy of Management Review*, 33(4): 905-923.
- Wang, Dan (2014), "Activating Cross-Border Brokerage: Interorganizational Knowledge Transfer Through Skilled Return Migration." *Administrative Science Quarterly*.
- Feinberg, Susan E. and Anil K. Gupta (2004), "Knowledge Spillovers and the Assignment of R&D Responsibilities to Foreign Subsidiaries." *Strategic Management Journal*, 25: 823-845.

### Additional Readings:

- Almeida, P. and A. Phene (2004), "Subsidiaries and Knowledge Creation: The Influence of the MNC and Host Country on Innovation," *Strategic Management Journal* 25(8-9), 847-64.
- Frost, Tony and Changhui Zhou (2005), "R&D Co-practice and 'Reverse' Knowledge Integration in Multinational Firms," *Journal of International Business Studies*, 36(6), 676-687.
- Kotabe, Masaaki, Denise Dunlap-Hinkler, Ronaldo Parente, and Harsh A. Mishra (2007), "Determinants of Cross-National Knowledge Transfer and its Effect on Firm Innovation," *Journal of International Business Studies*, 38 (2), 259-282.
- Feinberg, Susan E. and Sumit K. Majumdar (2001), "Technology Spillovers from Foreign Direct Investment in the Indian Pharmaceutical Industry," *Journal of International Business Studies*, 32 (3), 421-437.
- Mudambi, Ram and Pietro Navarra (2004) "Is Knowledge Power?: Knowledge Flows, Subsidiary Power and Rent-Seeking within MNCs," *Journal of International Business Studies*, 35 (September), 385-406.

**MEMORANDUM**  
***Peter F. Bronfman Business Library***

**SUBJECT:** Library Statement for SB/SGMT 7030 3.0: IB Seminar

**FROM:** Xuemei Li, Business Librarian

**DATE:** September 22<sup>nd</sup>, 2016

This course is a doctoral seminar, and each participant should come fully prepared to class in order to participate in class discussions. The teaching approach would be discussional, in part, based on the assigned readings. This course is designed to provide an overview of the field of international business and familiarize participants with several international business research streams. The major emphasis is on development of international business thought so that participants can appreciate how research streams have developed over the years. While the course does not cover all subject matters exhaustively, participants will be exposed to both classic and current research materials that have helped shape the domain of international business.

York University Libraries will be able to support the proposed doctoral seminar course in international business. The library resources available in support of this seminar course include a wide range of international business related collection of both print and online materials including books, journals, magazines, newspapers, government publications, statistics and data, industry and marketing research reports and analysis, and a wide range of related online full-text articles databases.

The Books 24x7 database provides full text access to electronic books which have an emphasis on professional and practitioner literature. Databases such as Global Insight, IMF eLibrary, World Development Indicators provide detailed economic country information as well as comprehensive statistics on countries globally. Databases such as Proquest Business, Business Source Premier, JSTOR and Scholars Portal are the four key international business related article databases. Econlit covers economics related articles, and Factiva and Lexis Nexis Academic include comprehensive news and media articles. In particular, the requested and additional articles from journals listed below can be accessed online or in print from York Libraries.

*Journal of International Business Studies*  
*Journal of International Management*  
*International Business Review*  
*Journal of International Marketing*  
*Oxford Economic Papers*  
*Quarterly Journal of Economics*  
*Harvard Business Review*  
*Journal of Economic Perspectives*  
*Columbia Journal of World Business*  
*California Management Review*  
*Strategic Management Journal*  
*Economica*  
*Journal of Economic Behavior and Organization*  
*Hitotsubashi Journal of Economics*

*Weltwirtschaftliches Archiv*  
*Academy of Management Review*  
*Academy of Management Journal*  
*Administrative Science Quarterly*  
*Global Strategy Journal*  
*Industrial and Corporate Change*  
*Organization Science*  
*American Sociological Review*  
*Management Science*  
*Journal of Law, Economics and Organization*  
*Sloan Management Review*

For books and articles not available from York Libraries, York RACER Interlibrary Loan services can help students to borrow the research materials from other libraries. <http://www.library.yorku.ca/web/ask-services/borrow-renew-return/racer-interlibrary-loan/>

Knowledgeable business librarians are available to support the students' research needs in person at Bronfman reference desk (reference hours <http://www.library.yorku.ca/web/hours-and-locations/?tab=2>), by email ([bronfref@yorku.ca](mailto:bronfref@yorku.ca)) and via chat sessions <http://www.library.yorku.ca/web/bbl>.

# Faculty of Graduate Studies

## New Course Proposal

The following information is required for all new course proposals. To facilitate the review/approval process, please use the headings below, REPLACING each <explanation> with your intended text.

### 1. Program

Schulich PhD Program

### 2. Course Number

SGMT 7040

### 3. Credit Value

3.00 credits

### 4. Long Course Title

Seminar on corporate strategy

### 5. Short Course Title

*Seminar on corporate strategy*

### 6. Effective Session

Fall 2017

### 7. Calendar (Short) Course Description

This doctoral seminar on corporate strategy surveys select aspects of the strategic management field as they apply to strategic alliances, joint ventures, networks and acquisitions. We will discuss a range of issues from both economics and management perspectives and pertaining to both formation as well as management.

### 8. Expanded Course Description

This doctoral seminar on corporate strategy surveys select aspects of the strategic management field as they apply to strategic alliances, joint ventures, networks and acquisitions. About half the course will address issues pertinent to alliances and joint ventures, and the other half to networks and acquisitions. The focus of the course is more on theoretical understanding than on empirical investigation. We will discuss a range of issues from both economics and management perspectives and pertaining to both formation of alliances as well as management.

### 9. Evaluation

Participation: 30%

Write-ups (2): 20%

Term paper: 50%

### 10. Integrated Courses

N/A

**11. Rationale**

This is a more specialized PhD course on corporate strategy that complements the more introductory general seminars taken by the students. It covers alliances, joint ventures, networks and acquisitions, these topics being enduring ones in strategy research.

**12. Faculty Resources**

Anoop Madhok. No overlap is expected with other courses

**13. Cross-listed Courses**

N/A

**14. Bibliography and Library Statement**

*Attached*

**15. Physical Resources**

None required

## Faculty of Graduate Studies New Course Proposal Part B (Schulich Use Only)

### 16. Instructors and Faculty Coordinator

**Initial instructor**

Anoop Madhok

**Alternative instructors**

None

**Course coordinator**

N/A

### 17. Specializations

**Primary area or specialization**

Strategy

**Secondary areas or specializations**

None

### 18. Student Contact and Enrolment

**Contact hours**

36 hours per term

**Maximum enrolment**

10

**Expected enrolment**

4

**Evidence for enrolment expectations**

Depends on number of strategy students and others from elsewhere at Schulich or York who may be interested.

### 19. Human Participants Research

N/A

### 20. Conditions for Approval

If this proposal is for a new elective course, please indicate which one of the three following conditions required by Faculty Council applies:

a) The Area is deleting courses with at least the same total number of credits.

*No course is being deleted.*

**b) Provide a convincing case for the proposed course.**

*The Strategy/Policy requires this course as it strengthens students' knowledge on corporate strategy and deepens their understanding of empirical as well as qualitative research in strategy. Because the course is scheduled to be offer every alternative year, there will be enough Ph.D. students enrolled in the course.*

**Course Originator**

Anoop Madhok  
Signature

<Date>  
Date

Anoop Madhok  
Name

**Supporting Faculty Members**

The course originator should consult with other interested parties and obtain their support. Support should be obtained from other units of the university if their interests are related to this course.

The faculty members whose names appear below confirm that they have examined this course proposal. They feel it is a worthwhile addition to the SSB curriculum and does not, to their knowledge, significantly duplicate the content of existing courses.

Stan Xiao Li  
Name

Preet Aulakh  
Name

Burkard Eberlein  
Name

<Name of faculty member>  
Name

## Approvals

### Area or Specialization

I have reviewed this course proposal with the faculty members of this Area or Specialization, and I support the addition of the course to the SSB curriculum.

James Darroch  
Signature

<Date>  
Date

James Darroch  
Area Coordinator or Specialization Director

Strategy/Policy  
Area or  
Specialization

### Degree Program

This course has received the approval of the Program Committee, and I support the addition of the course to the SSB curriculum.

Eileen Fischer  
Signature

<Date>  
Date

Eileen Fischer  
Program Director

PhD Program  
Program

### Required Attachments

- Schulich course outline: must conform to program norms; see the Program Assistant for details
- Librarian's statement indicating that adequate library resources are available for the course
- For cross-listed courses: signed statement of agreement from director of other graduate course
- For integrated courses: signed statement of agreement from chair of undergraduate program
- If applicable, a completed Human Participants Research Protocol Form.

### Send to:

Send an electronic copy of all forms and attachments, and forward emails of support from other faculty members, to the appropriate program assistant:

- IMBA: Jamie Heron, Program Coordinator, IMBA ([jheron@schulich.yorku.ca](mailto:jheron@schulich.yorku.ca))
- MBA/MPA/MS BA/MAcc: Mel Poteck, MBA Program Assistant ([mpoteck@schulich.yorku.ca](mailto:mpoteck@schulich.yorku.ca))
- MF: Lucy Sirianni, Faculty Secretary, Finance ([lsirianni@schulich.yorku.ca](mailto:lsirianni@schulich.yorku.ca))

# SGMT 7040: Seminar on Corporate Strategy



## Seminar on Corporate Strategy

### Course Outline

#### Fall Term 2017

#### Hours:

#### Room:

**Professor:** Anoop Madhok

Office hours: By appointment (Rm: N312; email: [amadhok@schulich.yorku.ca](mailto:amadhok@schulich.yorku.ca))

Adm. Asst: Clara Kan (Rm: N305; email: [ckan@schulich.yorku.ca](mailto:ckan@schulich.yorku.ca))

### Course objectives and description

This doctoral seminar on corporate strategy surveys select aspects of the strategic management field as they apply to strategic alliances, joint ventures, networks and acquisitions. About half the course will address issues pertinent to alliances and joint ventures, and the other half to networks and acquisitions. The focus of the course is more on theoretical understanding than on empirical investigation. We will discuss a range of issues from both economics and management perspectives and pertaining to both formation of alliances as well as management. Given the vast literature that exists and the wide range of topics to be covered, the streams of research covered are by no means meant to be exhaustive.

The objective of the seminar is:

1. To familiarize the student with some of the major themes in the strategic management field, as they apply to strategic alliances, joint ventures, networks and acquisitions.
2. To expose the students to both some of the more 'classic' and established work as well as the more current 'state of the art' in the theory and research on the above topics.
3. To help students develop the skills necessary to evaluate, critique, and contribute to the research in strategic management in this area.

### Pedagogy

The teaching of the course is discussion-based. Each class is organized around an assessment of the overall coherence and promise of the theory as analyzed through its underlying arguments, assumptions, hypotheses as well as contributions to issues of central interest to economics and management.

For each class, there are a number of required as well as supplementary readings. The former is mandatory whereas the latter set is optional and is provided for you to deepen your knowledge of the material. As in any seminar, much of the responsibility for the success of the class depends on you. It is expected that you will have read **all** the assigned material and are prepared to actively participate in a **meaningful** (i.e., critical and constructive) way in the discussions.

## Organization

Each Class will roughly follow the below format (except for the first one):

### *Student presentations (60 minutes):*

- Each student will present one (previously selected) article in each class. The presentation will be limited to 15 minutes and should introduce and analyze key aspects of the article. The presentation will be followed by Q&A and discussion of the article (15 minutes)

### *Analysis and discussion (60 minutes):*

After the presentations, the discussion will then be devoted to a deeper analysis to understand internal coherence and the contributions of the studied theory.

- One student will perform the role of 'discussant' for the session. As a discussant, you will approach the readings as an overall set, examining issues such as: the research questions addressed, underlying commonalities/differences/ complementarities among the articles, how they relate to, draw upon or build up on one another (or to prior research), key cumulative conclusions/contradictions, follow-on research questions that you can see from these papers that seem promising, etc.

- *Current developments (30 minutes):* The last half hour will be devoted to the recent developments of the theory.

## Grading:

Participation: 30%

Write-ups (2): 20%

Term paper: 50%

### Participation:

There are two aspects to the participation:

- Presentations: Clarity of the oral presentations and the capacity to answer questions
- Extent and quality of involvement in the class discussions

### Write-ups:

Each student will be a discussant two times over the course of the seminar. As a discussant, you will be required to hand in a 4-page (double-spaced) write-up on the topic. This may require you to read additional articles on the topic. The write-up should be circulated to the other students and to myself the morning of the class.

Please see the *Analysis and Discussion* section above regarding expectations for the write-up.

### Term paper

You will also turn in a term paper (about 20-25 pages, double-spaced) after the end of the course. For first-year students, the paper will be a comprehensive review of a particular topic chosen by the professor, after taking into account the interests of the student. For more advanced students, the topic can be chosen by the student but will require the approval of the professor.

The term paper should be written with the understanding that it will eventually be submitted for at least a major conference. Evaluation will be based, among other things, on the following:

- Did the paper must demonstrate a comprehensive knowledge of the relevant literature?
- Did the attempt to push this literature forward in a non-trivial manner?
- Did the paper ask interesting questions and propose a novel research idea or conceptual insights?
- Did the paper engage with select aspects of strategic management and economics theory in a salient manner?
- The quality of writing (clarity, organization, persuasiveness, coherence, etc).

NOTE: All written assignments are to be double-spaced and 12-pt font.

I look forward to all of us helping make this seminar a fruitful and enjoyable learning experience in what I hope will be a productive and stimulating environment.  
LET'S HAVE FUN!!!

### **General Academic Policies: Grading, Academic Honesty, and Accommodations**

#### **Grading**

Grades at Schulich are based on a 9-value index system. The top grade is A+ (9) and the minimum passing grade is C- (1). However, because this is a PhD course, most students will be expected to achieve grades of B+ to A. In cases of exceptionally good or poor performance, higher or lower grades may be awarded by the instructor.

#### **Academic honesty**

Academic honesty is fundamental to the integrity of university education and degree programs, and applies in every course offered at Schulich. Students should familiarize themselves with York University's policy on academic honesty, which may be found in the following Faculty of Graduate Studies website:

**<http://gradstudies.yorku.ca/current-students/regulations/academic-honesty/Accommodations>**

For accommodations sought due to exam conflicts, religious reasons, unavoidable absences or disabilities, please refer to the Student Handbook or contact Student Services. For counseling & disability services, contact Student Services or see: <http://www.yorku.ca/cds>.

## Class-by-Class Syllabus

The following list of lecture topics and readings indicate the material to be read for the various class sessions. [Note: Additional readings are optional].

### Week 1. Introduction

J. Child, D. Faulkner and S. Tallman. 2005. *Cooperative Strategies*, Oxford University Press, Ch 2, 3, p. 17-49.

Kogut, B. 1988. Joint ventures: Theoretical and empirical perspectives. *Strategic Management Journal*, 9, 4, 319-332.

Osborn, R.N. and J. Hagedoorn. 1997. The institutionalization and evolutionary dynamics of interorganizational alliances and networks. *Academy of Management Journal*, 40, 261-278.

### Week 2. Interorganization collaboration: An overview of the issues

P. Kale and H. Singh. 2009. Managing strategic alliances: What do we know now, and where do we go from here? *Academy of Management Perspectives*, 23, 3, pp 45-62.

Parmigiani, A. and M. Rivera-Santos . 2011. Clearing a path through the forest: A meta-review of interorganizational relationships. *Journal of Management*, 37, 4, 1108-1136.

Dyer, J. and H. Singh. 1998. The relational view: Cooperative strategy and sources of interorganizational competitive advantage. *Academy of Management Review*, 23, 660-679.

Madhok, A. and S. Tallman. 1998. Resources, transactions and rents: Managing value through interfirm relationships. *Organization Science*, 9, 3, 326-339.

### Week 3. Acquisition: The acquiring firm's perspective

Barney, J. 1988. Returns to bidding firms in mergers and acquisitions: Reconsidering the relatedness hypothesis. *Strategic Management Journal*, 9 (Summer Special Issue), 71-78.

Ahuja, G. and R. Katila. 2001. Technological acquisitions and the innovation performance of acquiring firms: A longitudinal study. *Strategic Management Journal*, 22, 3, 197-220.

Reuer, J. 2009. Organizational economics insights from acquisitions research. *Advances in Strategic Management*, 26, 241-265.

Barkema, H. and M. Schijven. 2008. Toward unlocking the full potential of acquisitions. *Academy of Management Journal*, 51, 696-722.

Puranam, P., H. Singh and M. Zollo. 2006. Organizing for innovation: Managing the coordination-autonomy dilemma in technology acquisitions. *Academy of Management Journal*, 49, 2, 263-280.

#### **Week 4. Acquisition: The acquired firm's perspective**

Graebner, M. 2004. Momentum and serendipity: How acquired leaders create value in the integration of technology firms. *Strategic Management Journal*, 25, 8-9, 751-777.

Graebner, M. 2009. Caveat venditor: Trust asymmetries in acquisitions of entrepreneurial firms. *Academy of Management Journal*, 52, 3, 435-472.

??Graebner, M. and K. Eisenhardt. 2004. The seller's side of the story: Acquisition as courtship and governance as syndicate in entrepreneurial firms. *Administrative Science Quarterly*, 49, 3, 366-403.

??Bresman, H., J. Birkinshaw and R. Nobel. 1999. Knowledge transfer in international acquisitions. *Journal of International Business Studies*, 30, 3, 439-462.

From earlier course:

Wang L. and E. Zajac. 2007. Alliance or acquisition? A dyadic perspective on interfirm resource combinations. *Strategic Management Journal*, 28, 1291-1319.

#### **Week 5. Diversification: Managing the multi-business firm**

Galunic, D.C. and K. Eisenhardt, 2001. Architectural innovation and modular corporate forms - *Academy of Management Journal*, 44, 6, 1229-1249.

Chatterjee, S. and B. Wernerfelt. 1991. The link between resources and type of diversification: Theory and evidence. *Strategic Management Journal*, 22, 1, 33-48.

Markides, C. and P. Williamson. 1994. Related diversification, core competences and corporate performance. *Strategic Management Journal*, 15 (Special Summer Issue), 149-165.

#### **Week 6. Networks**

Brass, D.J., J. Galaskiewicz, H. Greve and W. Tsai. 2004. Taking stock of networks and organizations: A multilevel perspective. *Academy of Management Journal*, 47, 795-819.

Gulati, R., N. Nohria and A. Zaheer. 2000. Strategic networks. *Strategic Management Journal*, 21 (Special Issue), 203-215.

Ahuja, G. 2000. Collaborative networks, structural holes, and innovation: A longitudinal study. *Administrative Science Quarterly* 45: 425-55.

Powell, W., K. Koput and L. Smith-Doerr. 1996. Interorganizational collaboration and the locus of innovation. *Administrative Science Quarterly*, 41, 116-145.

### Other

??Burt, R. S. 2000. The network structure of social capital. *Research in Organizational Behavior*, 22: 345-423.

Coleman, J. S. 1988. Social capital in the creation of human capital. *American Journal of Sociology*, 94(Supplement): S95-S120.

Uzzi, B. 1997. Social Structure and Competition in Interfirm Networks: The Paradox of Embeddedness. *Administrative Science Quarterly*, 42(1): p. 37-69.

Inkpen, A. and E. Tsang. 2005. Social capital, networks and knowledge transfer. *Academy of Management Review*, 30, 146-165.

### **Week 7. Firm-centric networks/alliance portfolios**

Dyer, J. and K. Nobeoka. 2000. Creating and managing a high-performance knowledge-sharing network: The Toyota case. *Strategic Management Journal*, 21 (Special Issue), 345-368.

D. Lavie. 2007. Alliance portfolios and firm performance: A study of value creation and appropriation in the U.S. software industry. *Strategic Management Journal*, 28, 1187-1212.

Tsai, W. and S. Ghoshal. 1998. Social capital and value creation: The role of intrafirm networks. *Academy of Management Journal*, 41, 464-476.

Ozcan P. and K. Eisenhardt. 2009. Origin of alliance portfolios: Entrepreneurs, network strategies and firm performance. *Academy of Management Journal*, 52, 246-280.

?? Dhanaraj, C. and A. Parkhe. 2006. Orchestrating innovation networks. *Academy of Management Review*, 31, 659-669.

### **Week 8. Alliance dynamics and rivalry**

Khanna, T. R. Gulati and N. Nohria. 1998. The dynamics of learning alliances: Competition, cooperation and relative scope. *Strategic Management Journal*, 19, 3, 193-210.

Parkhe, A. 1993. Strategic alliance structuring: A game theoretic and transaction cost examination of interfirm cooperation. *Academy of Management Journal*, 36, 794-829.

Hamel, G. 1991. Competition for competence and interpartner learning within international strategic alliances.

*Strategic Management Journal*, 12 (Summer Special Issue), 83-103.

Madhok A., M. Keyhani and B. Bossink. 2015. Understanding alliance evolution and transformation: Adjustment costs and the economics of resource value. *Strategic Organization*, 13, 2, 91-116.

?? Park, S. and G. Ungson. 2001. Interfirm rivalry and alliance complexity: A conceptual framework of alliance failure. *Organization Science*, 12, 37-53.

?? Kale, P. and H. Perlmutter. 2000. Learning and protection of proprietary assets in strategic alliances: Building relational capital. *Strategic Management Journal*, 21, 217-237.

### **Week 9. Managing cooperative relationships: The socio-cognitive perspective**

Ring, P. S. and A. H. Van de Ven (1994), Developmental Processes of Cooperative Interorganizational Relationships, *Academy of Management Review*, 19, 90-118.

Weber, L. and K. Mayer. 2014. Transaction cost economics and the cognitive perspective: Investigating the sources and governance of interpretive uncertainty. *Academy of Management Review*, 39, 3, 344-363.

Arino, A. and J. de la Torre, 1998. Learning from failure: Towards an evolutionary model of cooperative ventures. *Organization Science*, 9, 3, 306-325.

### **Week 10. Control and coordination issues**

Gulati, R., F. Wohlgezogen and P. Zhelyazkov. 2012. The two facets of collaboration: Cooperation and coordination in strategic alliances. *Academy of Management Annals*, 6, 1-53.

Das T.K. and B.S. Teng. 1998. Between trust and control: Developing confidence in partner cooperation in alliances. *Academy of Management Review*, 23, 491-512.

Gulati, R. 1998. The architecture of cooperation: Managing coordination costs and appropriation concerns in strategic alliances. *Administrative Science Quarterly*, 43, 781-814.

Doz, Y. L. 1996. The evolution of cooperation in strategic alliances: Initial conditions or learning processes. *Strategic Management Journal*, 17 (Special Issue), 55-84.

### **Week 11. Contracts and trust**

Williamson, O. 1979. Transaction cost economics: The governance of contractual relations. *Journal of Law and Economics*, 22, 2, 233-261.

Poppo, L. and T. Zenger 2002. Do formal contracts and relational governance function as substitutes or complements? *Strategic Management Journal*, 23, 707-725.

Faems, D, M. Janssens, A. Madhok, and B. Van Looy. 2008. Towards an integrative perspective on alliance governance: Connecting contract design, contract application and trust dynamics, *Academy of Management Journal*, 51, 1053-1078.

Cao Z. and F. Lumineau. 2015. Revisiting the interplay between contractual and relational governance: A qualitative and meta-analytic investigation. *Journal of Operations Management*, 34, 15–42.

?? Madhok, A., T. Mellewigt and A. Weibel. 2007. Trust and formal contracts in interorganizational relationships – Substitutes *and* complements. *Managerial and Decision Economics*, 2007, 28, 833-847.

?? Mayer

### **Week 12. Alliance capability**

Kale, P., J. Dyer and H. Singh. 2001. Alliance capability, stock market response and long-term alliance success: The role of the alliance function. *Strategic Management Journal*, 23, 8, 747-767.

M. Schreiner, P. Kale and D. Korsten. 2009. What really is alliance management capability and how does it impact alliance outcomes and success? *Strategic Management Journal*, 30, 1395-1419.

Schilke, O. and A. Goerzen. 2010. Alliance management capability: An investigation of the construct and its measurement, *Journal of Management*, 36, 5, 1192-1219.

Wang Y., and N. Rajagopalan. 2015. Alliance capabilities: Review and research agenda. *Journal of Management*, 41, 1, 236–260.

### **Week 13. Wrap-up and Presentations**

#### **Extras**

Grant, R. and C. Baden-Fuller. 2004. A Knowledge Accessing Theory of Strategic Alliances, *Journal of Management Studies* 41:1, 61-84

Beamish P. and N. Lupton. 2016. Cooperative strategies in international business and management: Reflections on the past 50 years and future directions. *Journal of World Business*, 51, 163–175.

Puranam, P., H. Singh and S. Chaudhuri. 2009. Integrating acquired capabilities: When structural integration is (un) necessary. *Organization Science*, 20, 2, 313 – 328

Ahuja, G. 2000. The duality of collaboration: Inducements and opportunities in the formation of interfirm linkages, *Strategic Management Journal*, 21 (Special Issue), 3, 317-343

**MEMORANDUM**  
**Peter F. Bronfman Business Library**

**SUBJECT:** Library Statement for SGMT 7040  
Seminar on Corporate Strategy

**FROM:** Sophie Bury  
Head, Peter F. Bronfman Business Library

**DATE:** September 12<sup>th</sup>, 2016

York University Libraries will be able to support this new proposed PhD course, SGMT 7040 *Seminar on Corporate Strategy*, a doctoral seminar course which focuses on the strategic management field as related to strategic alliances, joint ventures, networks and acquisitions.

It is noted that for each class there are a number of required and supplementary readings which students are asked to discuss and analyze during class. Students must also prepare a term paper, which requires the use of secondary literature.

The library owns both print and electronic copies of the required book listed as reading for this course (Week 1). Other readings are predominantly scholarly journal articles, which can be found in the library's e-journal collection. Note that the professor of this course may place these e-articles on reserve at the library if desired. This means that readings are available under the course code or the professor name featuring bibliographic information and permalinks to the full-text of articles. Requests may be placed online here: [reserves.library.yorku.ca/](http://reserves.library.yorku.ca/)

Students can avail of additional materials on topics of relevance to this course by using the library catalogue to identify books on topic at [www.library.yorku.ca](http://www.library.yorku.ca) The library also offers an expansive collection of business periodicals, including a large number of leading scholarly business and management publications, many of which are available online. Databases of particular relevance for this course would include *Proquest Business*, *Business Source Premier*, and *Scholars Portal*.

In addition to the periodical databases, a number of other databases may be used to find company information including data on mergers and acquisitions and joint ventures. This includes *SDC Platinum*, *Bloomberg*, *Mergent Online*, *Lexis Nexis Academic*, *Thomson One Investext*, *Hoovers*, *Standard & Poor's NetAdvantage*, and *Marketline Advantage*. This may potentially serve as a useful supplementary information resource for themes taught in this course.

In addition, students may find it relevant to consult the Business Library's finding articles, company and finance research guides featuring links to resources and research strategy tips. They are located at: [www.library.yorku.ca/web/bbl/guides/](http://www.library.yorku.ca/web/bbl/guides/)

Core library services available to support student work in this course include reference and instructional support. Assistance with information resources is available in-person, by email, by telephone, by chat reference via an IM service, and through appointments with the librarian assigned to the strategic management area, Sophie Bury. Library instruction sessions on relevant materials tailored to this course are available on request by contacting Sophie Bury at the Peter F. Bronfman Business Library.

# Faculty of Graduate Studies

## New Course Proposal

### 1. Program

Schulich PhD Program

### 2. Course Number

SGMT 7050

### 3. Credit Value

3.00

### 4. Long Course Title

Business, Society, and Global Governance

### 5. Short Course Title

Business, Society, and Global Governance

### 6. Effective Session

Winter 2018

### 7. Calendar (Short) Course Description

The course offers students the opportunity to gain an in-depth understanding of the rich scholarly research in business and society, with a particular emphasis on its relationship to global governance. Students will develop insights into how one can make a theoretical, methodological, and practical contribution to the management literature through business, society and global governance research.

### 8. Expanded Course Description

The business and society field is a broad one. It addresses social, ethical, environmental and political dimensions of business, and draws from, and contributes to, a range of theoretical and empirical traditions. The course offers students the opportunity to gain an in-depth understanding of the rich scholarly research in business and society, with a particular emphasis on its relationship to global governance. It features guest presentations from Schulich faculty whose research contributes to and intersects with the business and society field. The course develops students' understanding in three main areas: foundational theories and concepts; different research perspectives (e.g. economic, political, normative, psychological); research contexts and issues (e.g. business sustainability, cross-sector partnerships, social entrepreneurship). Students will develop insights into how one can make a theoretical, methodological, and practical contribution to the management literature through business, society and global governance research.

### 9. Evaluation

Class participation and preparation	20%
Article evaluations	20%
Term paper	60%

## **10. Integrated Courses**

**Not applicable**

## **11. Rationale**

The course serves as unique anchor and gateway for the business and society research field in the PhD program. It integrates different approaches, methodologies and perspectives to offer students comprehensive access to research in a broad field that encompasses aspects of business ethics, CSR, business and sustainability, cross-sector relations, the political role of business, and social impact and entrepreneurship. The course also features, through guest presentations from faculty colleagues in different departments, the richness of Schulich's research as it relates to the business and society field.

Based on rigorous evaluation and critique of existing research, students will acquire the ability to recognize and contribute to leading edge theory and research and target the relevant top journals in the field. Students will mainly target the management literature. However, in previous iterations of this offering as independent study, it has also attracted and supported Schulich and visiting PhD students in Accounting, Organizational Studies, and related areas.

## **12. Faculty Resources**

Burkard Eberlein, Dirk Matten, as well as other faculty members affiliated with the Schulich Centre of Excellence in Responsible Business (COERB) are qualified to teach the course. It is hoped that the course will be offered every second year to give every new generation of PhD students the opportunity to take this course, the only one of its kind in the PhD Program. There will be no significant impact on faculty resources, given that several faculty members are available to teach the course.

## **13. Cross-listed Courses**

Not applicable

## **14. Bibliography and Library Statement**

A library statement is attached # to the proposal.

## **15. Physical Resources**

Fully equipped classrooms as available at Schulich are sufficient; no additional physical resources are required.

## Faculty of Graduate Studies New Course Proposal Part B (Schulich Use Only)

### 16. Instructors and Faculty Coordinator

**Initial instructor**

Burkard Eberlein

**Alternative instructors**

Dirk Matten; other faculty members affiliated with Schulich's Centre of Excellence in Responsible Business (COERB)

**Course coordinator**

Burkard Eberlein, Dirk Matten

### 17. Specializations

**Primary area or specialization**

Policy, Responsible Business

**Secondary areas or specializations**

To be determined

## 18. Student Contact and Enrolment

### Contact hours

36 classroom hours

### Maximum enrolment

45 students

### Expected enrolment

6 to 8 Schulich PhD students, plus visiting PhD students

### Evidence for enrolment expectations

The proposed course has been successfully offered in the past as independent study. Last time it was offered, in Winter 2016, it attracted six Schulich PhD students (from different areas), plus two visiting PhD students.

## 19. Human Participants Research

Not applicable

## 20. Conditions for Approval

**If this proposal is for a new elective course, please indicate which one of the three following conditions required by Faculty Council applies:**

### b) Provide a convincing case for the proposed course.

This proposal suggests converting a successful existing offering under the 'Independent Study' category into a regular PhD course. Also, the course is unique as the only course offering in the PhD Program that focuses on the business and society field.

## Course Originator

Burkard Eberlein  
\_\_\_\_\_  
Signature

September 9, 2016  
\_\_\_\_\_  
Date

Burkard Eberlein  
\_\_\_\_\_  
Name

## Supporting Faculty Members

The course originator should consult with other interested parties and obtain their support. Support should be obtained from other units of the university if their interests are related to this course.

The faculty members whose names appear below confirm that they have examined this course proposal. They feel it is a worthwhile addition to the SSB curriculum and does not, to their knowledge, significantly duplicate the content of existing courses.

CONFIRMATIONS OF SUPPORT YET TO BE RECEIVED

<u>Chris Bell</u> Name	<u>Irene Henriques</u> Name
<u>Geoffrey Kistruck</u> Name	<u>Linda Thorne</u> Name
<u>Cameron Graham</u> Name	<u>James Darroch</u> Name
<u>Mike Valente</u> Name	<u>Detlev Zwick</u> Name
<u>&lt;Name of faculty member&gt;</u> Name	<u>&lt;Name of faculty member&gt;</u> Name

**Approvals**

**Area or Specialization**

I have reviewed this course proposal with the faculty members of this Area or Specialization, and I support the addition of the course to the SSB curriculum.

<u>Dirk Matten</u> Signature	<u>&lt;Date&gt;</u> Date
<u>Dirk Matten</u> Area Coordinator or Specialization Director	<u>Responsible Business</u> Area or Specialization

**Degree Program**

This course has received the approval of the Program Committee, and I support the addition of the course to the SSB curriculum.

Eileen Fischer  
Signature

<Date>  
Date

Eileen Fischer  
Program Director

PhD Program  
Program

### Required Attachments

- Schulich course outline: must conform to program norms; see the Program Assistant for details
- Librarian's statement indicating that adequate library resources are available for the course
- For cross-listed courses: signed statement of agreement from director of other graduate course
- For integrated courses: signed statement of agreement from chair of undergraduate program
- If applicable, a completed Human Participants Research Protocol Form.

**SCHULICH SCHOOL OF BUSINESS  
YORK UNIVERSITY**

**SGMT 7050.030**

**Business, Society, and Global Governance**

**Winter Term 2018**

**Time: TBC**

**Room: TBC**

**Professor: Burkard Eberlein**  
**Email: [beberlein@schulich.yorku.ca](mailto:beberlein@schulich.yorku.ca)**  
**Office: N209 SSB**

**PhD Secretary: Stephanie Allen**  
**Office: N305**  
**Telephone: ex 66125**  
**Email: [sallen@schulich.yorku.ca](mailto:sallen@schulich.yorku.ca)**

### **Aims and objectives**

The business and society field is a broad one. It addresses social, ethical, environmental and political dimensions of business, and draws from, and contributes to, a range of theoretical and empirical traditions. This course provides students with the opportunity to gain an in-depth understanding of the richness of scholarly research in business and society, with a particular emphasis on its relationship to global governance. Students taking the course will also develop insights into how one can make a theoretical, methodological, and practical contribution to the management literature through business, society and global governance research. Specifically, by the end of this course you should be able to:

- Understand, recall, and explain core texts in the field of business, society and global governance
- Evaluate and critique research in the field.
- Recognize and contribute to leading edge theory and research in the field.

The course develops students' understanding in three main areas:

- (i) **Foundational theories and concepts in business, society, and global governance.** Here, students will study core areas such as the purpose of the corporation, theories of corporate social responsibility, stakeholder theory, and global business governance.
- (ii) **Research perspectives on business, society, and global governance.** In this part of the course, students will have the opportunity to explore the contributions and challenges of alternative approaches to business and society research such as economic and political perspectives, normative approaches, international comparative research, and psychological perspectives on business and society.
- (iii) **Research contexts and issues.** Finally, students will examine research that addresses specific contexts and issues, namely social entrepreneurship, cross-sector partnership, and business sustainability and environmental governance.

### **Course meetings**

The course meets once weekly for three hours. I will be present throughout, but on some weeks we will have subject experts from across the Schulich faculty to lead sessions in their areas of expertise. Some of these dates may be subject to change depending on availability.

<b>Session</b>	<b>Topic</b>	<b>Date</b>	<b>Session Leader</b>
<b>Foundational theories and concepts</b>			
1	Introduction to research on business, society, and global governance		
2	The role and purpose of the corporation and CSR		
3	Corporate citizenship and political approaches to business, society, and global governance		
4	Stakeholder theory		
5	Global business governance		
<b>Research perspectives</b>			
6	Economic approaches to business and society, and the challenges of measuring corporate social performance		
<b>No class this week</b>			
7	Psychological perspectives on business and society, and the challenges of individual-level research		
8	Normative perspectives on business and society, and developing ethical theory		
9	International comparative perspectives on business, society and global governance		
<b>Contexts and issues</b>			
10	Research contexts and issues I: Business, and environmental & social governance		
11	Research contexts and issues II: Cross-sector partnership		
12	Research contexts and issues III: Social entrepreneurship		

## Course Requirements

### 1. Participation and class discussion:

Students will be expected to come to class having read the assigned readings and be prepared to discuss them. In addition, students will be assigned as discussion leaders for one or two papers for each session. The discussion of the article should relate the reading to the other readings for the session, evaluate the reading's main strengths and weaknesses, and highlight new directions for future research. There are around five required readings for each session. We will spend approximately 20-30 minutes on each article. Optional readings are provided to round out your knowledge of the subject and for further research. You are advised to skim read these or to study in more depth those related to your own area of focus for the term paper

### 2. Article evaluations

Each week students will be expected to provide one paper summary of a selected reading. The summary should document the main contribution of the reading and suggest three main strengths and three main weaknesses of the article. The summaries should be no more than 4 pages double-spaced.

### 3. Term paper

Students will write an original and publishable paper based on one of the course topics. The paper may take the form of either a theoretical piece or the front-end of an empirical study. The paper should include a thorough review and critique of the literature up to this point and development of a conceptual framework. The paper should attempt to provide a contribution to the existing literature and propose a novel research idea or conceptual insight. If an empirical study is contemplated, students should review the data sources available for the study of the topic and the methods that will be employed to carry out the study. The length should be 25-30 double-spaced pages. Students should work closely with the instructor to develop their ideas, finding references and any other issues that arise.

#### Due dates:

- x One page outline of your paper topic and proposed contribution

First draft of the paper – I will provide developmental feedback on this draft

Due date for the final, completed paper

#### Evaluation

Class participation and preparation	20%
Article evaluations	20%
Term paper	60%

## **General Academic Policies: Grading, Academic Honesty, and Accommodations**

### **Grading**

Grades at Schulich are based on a 9-value index system. The top grade is A+ (9) and the minimum passing grade is C- (1). However, because this is a PhD course, most students will be expected to achieve grades of B+ to A. In cases of exceptionally good or poor performance, higher or lower grades may be awarded by the instructor.

### **Academic honesty**

Academic honesty is fundamental to the integrity of university education and degree programs, and applies in every course offered at Schulich. Students should familiarize themselves with York University's policy on academic honesty, which may be found in the following Faculty of Graduate Studies website:

**<http://gradstudies.yorku.ca/current-students/regulations/academic-honesty/Accommodations>**

For accommodations sought due to exam conflicts, religious reasons, unavoidable absences or disabilities, please refer to the Student Handbook or contact Student Services. For counseling & disability services, contact Student Services or see: <http://www.yorku.ca/cds>.

## **V. Readings**

### **1. Introduction to research on business, society, and global governance**

#### **Required:**

- Barnett, M. L., & Salomon, R. M. 2012. Does it pay to be really good? Addressing the shape of the relationship between social and financial performance. *Strategic Management Journal*, 33(11): 1304-1320.
- Scherer, A. G., Palazzo, G., & Baumann, D. 2006. Global rules and private actors - towards a new role of the TNC in global governance. *Business Ethics Quarterly*, 16(4): 505-532.
- Walsh, J. P., Weber, K., & Margolis, J. D. 2003. Social issues and management: Our lost cause found. *Journal of Management*, 29(6): 859-881.
- Wood, D. J. 1991. Corporate social performance revisited. *Academy of Management Review*, 16 (4): 691-718.

#### **Optional**

- Barley, S. R. 2007. Corporations, democracy and the public good. *Journal of Management Inquiry*, 16(3): 201-215.
- Gond, J. P., & Crane, A. 2010. Corporate social performance disoriented: saving the lost paradigm? *Business & Society*, 49(4): 677-703.
- Margolis, J. D., & Walsh, J. P. 2003. Misery loves companies: rethinking social initiatives by business. *Administrative Science Quarterly*, 48(2): 268-305.

### **2. The role and purpose of the corporation and CSR**

#### **Required:**

- Carroll, A. B. 1999. Corporate social responsibility - evolution of a definitional construct. *Business & Society*, 38(3): 268-295.
- Campbell, J. L. 2007. Why would corporations behave in socially responsible ways? An institutional theory of corporate social responsibility. *Academy of Management Review*, 32(3): 946-967.
- Crane, A. & Matten, D. 2016. Engagement required: the changing role of the corporation in society, in: Barton, D., Horvath, D. & Kipping, M. (eds.), *Re-Imagining capitalism: building a responsible, long-term model*, Oxford University Press, forthcoming.
- Garriga, E. and Mele, D. 2006. Corporate social responsibility theories: Mapping the territory. *Journal of Business Ethics*, 53 (1-2): 51-71.
- McWilliams, A. & Siegel, D. 2001. Corporate social responsibility: A theory of the firm perspective. *Academy of Management Review*, 26 (1): 117-127.

#### **Optional**

- Aguilera, R. V., Rupp, D., Williams, C. A., & Ganapathi, J. 2007. Putting the S back in corporate social responsibility: a multi-level theory of social change in organizations. *Academy of Management Review*, 32(3): 836-863.
- Banerjee, S. B. 2008. Corporate social responsibility: the good, the bad and the ugly. *Critical Sociology*,

34(1): 51-79.

Basu, K., & Palazzo, G. 2008. Corporate social responsibility: a process model of sensemaking. *Academy of Management Review*, 33(1): 122-136.

Chapple, W., & Moon, J. 2005. Corporate social responsibility in Asia: a seven country study of CSR website reporting. *Business and Society*, 44(4): 415-441.

Friedman, M. 1970. The social responsibility of business is to increase its profits, *The New York Times Magazine*: 13th September 1970.

### **3. Corporate citizenship and political approaches to business, society, and global governance**

#### Required:

Matten, D., & Crane, A. 2005. Corporate citizenship: towards an extended theoretical conceptualization. *Academy of Management Review*, 30(1): 166-179.

Scherer, A. G., & Palazzo, G. 2011. The new political role of business in a globalized world – a review of a new perspective on CSR and its implications for the firm, governance, and democracy. *Journal of Management Studies*, 48(4): 899-931.

Mäkinen, J., & Kourula, A. 2012. Pluralism in political corporate social responsibility. *Business Ethics Quarterly*, 22(4): 649.

King, A. A., & Lenox, M. J. 2000. Industry self-regulation without sanctions: the chemical industry's responsible care program. *Academy of Management Journal*, 43(4): 698-716.

Norman, W., & Néron, P.Y. 2008. *Citizenship Inc.* Do we really want businesses to be good corporate citizens? *Business Ethics Quarterly*, 18(1): 1-26.

#### Optional

Christmann, P., & Taylor, G. 2006. Firm self-regulation through international certifiable standards: determinants of symbolic versus substantive implementation. *Journal of International Business Studies*, 37(6): 863-878.

Elms, H., & Phillips, R. 2009. Private security companies and institutional legitimacy: corporate and stakeholder responsibility. *Business Ethics Quarterly*, 19(3): 403–432.

Moon, J., Crane, A., & Matten, D. 2005. Can corporations be citizens? Corporate citizenship as a metaphor for business participation in society. *Business Ethics Quarterly*, 15(3): 427-451.

### **4. Stakeholder theory**

#### Required:

Donaldson, T. & Preston, L. E. 1995. The stakeholder theory of the corporation: Concepts, evidence, and implications. *Academy of Management Review*, 20 (1): 65-91.

Jensen, M. C. 2001. Value maximization, stakeholder theory, and the corporate objective function. *Journal of Applied Corporate Finance*, 14(3): 8-21.

Mitchell, R. K., Agle, B.R., & Wood, D. J. 1997. Toward a theory of stakeholder identification and salience: Defining the principle of who and what really counts. *Academy of Management Review*,

22 (4): 853-886.

Phillips, R., Freeman, R. E., & Wicks, A. C. 2003. What stakeholder theory is not. *Business Ethics Quarterly*, 13(4): 479-502.

Rowley, T. 1997. Moving beyond dyadic ties: A network theory of stakeholder influences. *Academy of Management Review*, 22: 887-910.

Optional:

Agle, B. R., Mitchell, R. K., & Sonnenfeld, J. A. 1999. Who matters to CEOs? An investigation of stakeholder attributes and salience, corporate performance, and CEO values. *Academy of Management Journal*, 42 (5): 507-525.

Freeman, R. E. 1984. *Strategic management: A stakeholder approach*. Boston, MA: Pitman.

Jones, T. M. 1995. Instrumental stakeholder theory: A synthesis of ethics and economics. *Academy of Management Review*, 20: 404-437.

Parent, M. M., & Deephouse, D. L. 2007. A case study of stakeholder identification and prioritization by managers. *Journal of Business Ethics*, 75(Spring): 1-23.

**5. Global business governance**

Required:

Abbott, K.W. & Snidal, D. 2009. The governance triangle: regulatory standards institutions and the shadow of the state. In: Mattli, W. & Woods, N. (eds) *The Politics of Global Regulation*. Princeton: Princeton University Press, 44-88.

Büthe, T.(ed). 2010. Private regulation in the global economy. *Business and Politics*, 12(3), (special issue) introduction and conclusion.

Eberlein, B., Abbott, K.W., Black, J., Meidinger, E., Wood, S. 2014. 'Transnational business governance interactions: conceptualization and framework for analysis', *Regulation & Governance*, 8(1): 1-21.

Vogel, D. 2010. 'The private regulation of global corporate conduct: achievements and limitations', *Business & Society*, 49(1) March, 68-87.

Optional:

Banerjee, S.B. 2010. Governing the global corporation: a critical perspective. *Business Ethics Quarterly*, 20(2), 265-274.

Flohr, A., Rieth, L., Schwindenhammer, S., Wolf, K.W. 2010. *The role of business in global governance: corporations as norm entrepreneurs*. New York: Palgrave, 3-37; 232-255 (first and last chapter).

Levy, D. L. & Kaplan, R. 2008. 'Corporate social responsibility and theories of global governance' In: Crane, A., McWilliams A., Matten D., Moon J. & Siegel D. S. (Eds.). *The Oxford Handbook of Corporate Social Responsibility*. Oxford; New York, Oxford University Press: 432-451.

Ougaard, M. 2010. 'Introducing business and global governance', in M. Ougaard & A. Leander (eds.), *Business and Global Governance*, New York: Routledge, 1-36.

## 6. Economic approaches to business and society and the challenges of measuring corporate social performance

### Required:

Mahoney, J. T. and Qian, L. 2013. Market frictions as building blocks of an organizational economics approach to strategic management. *Strategic Management Journal* 34 (9): 1019-1041.

Aguinis, H. and Glavas, A. 2012. What we know and don't know about corporate social responsibility: A review and research agenda. *Journal of Management* 38 (4): 932-968.

Wade-Benzoni, K. 2002. A golden rule over time: reciprocity in intergenerational allocation decisions. *Academy of Management Journal*, 45: 1011–1028.

Sharma S. & Henriques I. 2005. Stakeholder influences on sustainability practices in the Canadian forest products industry. *Strategic Management Journal*, 26: 159-180.

### Optional:

Orlitzky, M. O., Schmidt, F. L. & Rynes, S. L. 2003. Corporate social and financial performance: A meta-analysis. *Organization Studies*, 24, 403-442.

## 7. Psychological perspectives on business and society, and the challenges of individual-level research

### Required:

Chin, M. K., Hambrick, D. C., & Treviño, L. K. 2013. Political ideologies of CEOs: the influence of executives' values on corporate social responsibility. *Administrative Science Quarterly*, 58(2): 197-232.

Rupp, D. E., & Bell, C. M. 2009. Extending the deontic model of justice. *Business Ethics Quarterly*, 20(1): 89-106.

Sen, S., & Bhattacharya, C. B. 2001. Does doing good always lead to doing better? Consumer reactions to corporate social responsibility. *Journal of Marketing Research*, 38(May): 225-243.

Thorne, L., & Hartwick, J. 2001. The directional effects of discussion on auditors' moral reasoning. *Contemporary Accounting Research*, 18(2): 337-361.

Treviño, L. K., Weaver, G. R., & Reynolds, S. J. 2006. Behavioral ethics in organizations: A review. *Journal of Management*, 32(6): 951-990.

### Optional

Hekman, D. R., Aquino, K., Owens, B. P., Mitchell, T. R., Schilpzand, P., & Leavitt, K. 2010. An examination of whether and how racial and gender biases influence customer satisfaction. *Academy of Management Journal*, 53(2): 238-264. [2010 AMJ Best paper award winner]

Welsh, D. & Ordóñez, L. 2014. Conscience without cognition: the effects of subconscious priming on

ethical behavior. *Academy of Management Journal*, 57(3), 723-742.

## **8. Normative perspectives on business and society, and developing ethical theory**

### Required:

Donaldson, T. & Dunfee, T. W. 1994. Toward a unified conception of business ethics: Integrative social contracts theory. *Academy of Management Review*, 19 (2): 252-284.

Hsieh, N. 2009. Does global business have a responsibility to promote just institutions? *Business Ethics Quarterly*, 19(2): 251–273.

Scherer, A. G., & Palazzo, G. 2007. Toward a political conception of corporate responsibility: business and society seen from a Habermasian perspective. *Academy of Management Review*, 32(4): 1096-1120.

Wettstein, F. 2011. Silence as complicity. *Business Ethics Quarterly*, 22(1): 37-61.

### Optional:

Crane, A., Knights, D., & Starkey, K. 2008. The conditions of our freedom: Foucault, organization, and ethics. *Business Ethics Quarterly*, 18(3): 299-320.

Donaldson, T. 2012. The epistemic fault line in corporate governance. *Academy of Management Review*, 37(2): 256-271.

Moore, G. 1999. Corporate moral agency: review and implications. *Journal of Business Ethics*, 21: 329-343.

van Oosterhout, J., Heugens, P. P. M. A. R., & Kaptein, M. 2006. The Internal Morality of Contracting: Advancing the Contractualist Endeavor in Business Ethics. *Academy of Management Review*, 31(3): 521-539.

## **9. International comparative perspectives on business, society and global governance**

### Required:

Brammer, S. J., Jackson, G., & Matten, D. 2012. Corporate social responsibility and institutional theory: new perspectives on private governance. *Socio-Economic Review*, 10(1): 3-28.

Matten, D. & Moon, J. 2008. “Implicit” and “Explicit” CSR: A conceptual framework for a comparative understanding of corporate social responsibility. *Academy of Management Review*, 33 (2): 404-424.

Surroca, J., Tribó, J. A., & Zahra, S. A. 2013. Stakeholder pressure on MNEs and the transfer of socially irresponsible practices to subsidiaries. *Academy of Management Journal*, 56(2): 549-572.

Tempel, A. & Walgenbach, P. 2007. Global standardization of organizational forms and management practices? What new institutionalism and the business-systems approach can learn from each other. *Journal of Management Studies*, 44(1): 1-23.

### Optional:

Fortanier, F., Kolk, A. & Pinkse, P. 2011. Harmonization in CSR reporting. *Management International Review* 51(5): 665-696.

Jackson, G. & Apostolakou, A. 2010. Corporate social responsibility in Western Europe: An

institutional mirror or substitute? *Journal of Business Ethics*, 94: 371-394.

Midttun, A., Gautesen, K. & Gjøølberg, M. 2006. The political economy of CSR in Western Europe. *Corporate Governance* 6: 369-385.

Rossouw, G. 2005. Business ethics and corporate governance in Africa. *Business & Society*, 44(1): 94-106.

## **10. Research contexts and issues I: Business, and environmental and social governance**

### Required:

Bartley, Tim. 1997. Institutional Emergence in an Era of Globalization: The Rise of Private Transnational Regulation of Labor and Environmental Conditions. *American Journal of Sociology* 113(2), 297-351.

Falkner, R. 2012. Business power, business conflict: a neo-pluralist perspective on international environmental politics. In P. Dauvergne (eds), *Handbook of Global Environmental Politics*, Cheltenham, UK: Edward Elgar, 319-329 (available as **ebook** at YU Library)

Fransen, L. & Conzelmann, T. 2015. Fragmented or cohesive transnational private regulation of sustainability standards? A comparative study. *Regulation & Governance* 9(3), 259-275.

Fuchs, D. & Kalfagianni, A. 2012. The effectiveness of private environmental governance. In P. Dauvergne (eds), *Handbook of Global Environmental Politics*, Cheltenham, UK: Edward Elgar, 298-307 (available as **ebook** at YU Library).

Toffel, M., Short, J.L. & Ouellet, M. 2015. Codes in context: how states, markets, and civil society shape adherence to global labor standards. *Regulation & Governance*, 9(3), 205-223.

### Optional:

Green, J.F. 2013. 'Order out of chaos: Public and private rules for managing carbon', *Global Environmental Politics*, 13(2) May, 1-25.

Levy, D.L. 2012. Private actors and strategies in global environmental governance: the role of information disclosure. In P. Dauvergne (eds), *Handbook of Global Environmental Politics*, Cheltenham, UK: Edward Elgar, 308-318 (available as **ebook** at YU Library!)

Zell, F. & van Asselt, H. 2013. 'The institutional fragmentation of global environmental governance: causes, consequences, and responses', *Global Environmental Politics*, 13(3), August, 1-13.

## **11. Research contexts and issues II: Cross-sector partnerships**

### Required

Hardy, C., & Phillips, N. 1998. Strategies of engagement: Lessons from the critical examination of collaboration and conflict in an interorganizational domain. *Organization Science*, 9(2): 217-230.

- Koschmann, M. A., Kuhn, T. R., & Pfarrer, M. D. 2012. A communicative framework of value in cross-sector partnerships. *Academy of Management Review*, 37(3): 332-354.
- Rivera-Santos, M., & Rufín, C. 2010. Odd couples: Understanding the governance of firm–NGO alliances. *Journal of Business Ethics*, 94(1), 55-70.
- Selsky, J. W., & Parker, B. 2005. Cross-sector partnerships to address social issues: challenges to theory and practice. *Journal of Management*, 31(6): 1-25.

### Optional

- Bryson, J. M., Crosby, B. C., & Stone, M. M. 2006. The design and implementation of cross-sector collaborations: propositions from the literature. *Public Administration Review*, 66: 44-55.
- Pattberg, P. 2005. The institutionalization of private governance: how business and nonprofit organizations agree on transnational rules. *Governance*, 18(4): 589-610.
- Rondinelli, D. A., & London, T. 2003. How corporations and environmental groups cooperate: Assessing cross-sector alliances and collaborations. *The Academy of Management Executive*, 17(1), 61-76.
- Seitanidi, M. M., & Crane, A. 2014. *Social partnerships and responsible business: a research handbook*. Abingdon, UK: Routledge.

## **12. Research contexts and issues III: Social entrepreneurship**

### Required

- Dacin, T., Dacin, P., & Tracey, P. 2011. Social entrepreneurship: A critique and future directions. *Organization Science* 22(5), 1203-1213.
- Choi & Majumfar. 2014. Social entrepreneurship as an essentially contested concept: Opening a new avenue for systematic future research. *Journal of Business Venturing* 29(3), 363-376.
- Pache, A. & Santos, F. 2013. Inside the hybrid organization: Selective coupling as a response to conflicting institutional logics. *Academy of Management Journal* 56(4), 972-1001.
- McMullin, J. 2011. Delineating the domain of development entrepreneurship: A market-based approach to facilitating inclusive economic growth. *Entrepreneurship Theory & Practice* 35(1), 185-193.

### Optional

- Kistruck, G., Sutter, C., Lount, R., & Smith, B. 2013. Mitigating principal-agent problems in base-of-the-pyramid markets. *Academy of Management Journal* 56: 659-682.
- Miller, T., Grimes, M., & McMullen, J. 2012. Venturing for others with heart and head: How compassion encourages social entrepreneurship. *Academy of Management Review* 37(4): 616-640.
- Short, J., Moss, T. & Lumpkin, T. 2009. Research in social entrepreneurship: Past contributions and future opportunities. *Strategic Entrepreneurship Journal* 3:161-194.
- Zhara, S., Gedajlovic, E., & Neubaum, D. 2009. A typology of social entrepreneurs: Motives, search processes, and ethical challenges. *Journal of Business Venturing* 24: 519-532.

**MEMORANDUM**  
**Peter F. Bronfman Business Library**

**SUBJECT:** Library Statement for SGMT 7050  
 Business, Society and Global Governance

**FROM:** Sophie Bury  
 Head, Peter F. Bronfman Business Library

**DATE:** September 12<sup>th</sup>, 2016

Library resources and services are in place to support PLCY 7050 *Business, Society and Global Governance* a proposed new PhD course at the Schulich School of Business which explores scholarly research in the field of business and society with special emphasis on its relationship to global governance.

It is noted that students are provided with a list of required and optional readings including primarily scholarly articles, with some magazine articles, books and chapters in books. Each week students are also expected to provide a one paper summary of a selected reading. A review of these readings determines that the library offers electronic versions of recommended articles. With just one exception, all books on the reading list are owned by the library. An order for the book not owned by the library has been placed.

The professor of this course may wish to place books or e-articles on reserve at the library if desired. This means that readings are available under the course code or the professor name featuring bibliographic information and permalinks (in the case of library subscription e-resources). Requests may be placed online here: [reserves.library.yorku.ca/](http://reserves.library.yorku.ca/)

Course content is interdisciplinary in nature drawing on diverse fields including business, public administration, sociology, psychology and political science. Therefore the collections of both the Bronfman Business Library and the Scott Library will be relevant in supporting this course, where students need to engage with the scholarly literature to prepare an original and publishable paper.

Keyword searching of the library catalogue at [www.library.yorku.ca](http://www.library.yorku.ca) shows a good collection of books to support research on topics taught in this course. Relevant subject headings include but are not limited to: “social responsibility of business”, “social entrepreneurship”, “business ethics”, and “sustainable development”.

The library also offers an expansive collection of business periodicals on themes of relevance to this course, many of which are available online. Databases of particular relevance include *Proquest Business*, *Business Source Premier* and *Scholars Portal Journals*. Given that social, political, economic and psychological perspectives on course themes are also explored, databases such as *Sociological Abstracts*, *Social Sciences Index*, *Econlit*, *PsycInfo*, and *Worldwide Political Science Abstracts* will also be relevant. Students can also explore dissertations using the database *Proquest Dissertations & Theses Global*.

One specialized company database is also available as a supplementary resource for this course. *Sustainalytics (Jantzi Research)* provides coverage of many publicly-traded companies internationally. This can help students to understand firm-related CSR or ethics issues (mainly ESG performance) offered by third party analysts.

In addition, students may find it relevant to consult the library's subject research guides at [researchguides.library.yorku.ca](http://researchguides.library.yorku.ca). These are librarian-curated guides to resources available in subject areas connected to this course. The research guides "Finding Business Articles" and "Business Ethics" are especially recommended.

Core library services available to support student work in this course include reference and instructional support. Assistance with information resources is available in-person, by email, by telephone, by chat reference via an IM service, and through appointments with a librarian.

# Faculty of Graduate Studies

## New Course Proposal

The following information is required for all new course proposals. To facilitate the review/approval process, please use the headings below, REPLACING each <explanation> with your intended text.

### 1. Program

PhD in Accounting Program

### 2. Course Number

ACTG 7050

### 3. Credit Value

3.00

### 4. Long Course Title

Advanced Topics in Financial Accounting Research II

### 5. Short Course Title

Adv Fin Acctg Research II

### 6. Effective Session

Winter 2017

### 7. Calendar (Short) Course Description

This course explores advanced topics in financial accounting research. It provides an overview of selected topics in financial accounting and related areas, and enhances students' applied skills in analyzing financial accounting data. The course covers classic papers, methodology papers, and papers that represent some of the most recent developments in the field.

### 8. Expanded Course Description

This course explores advanced topics in financial accounting research. It provides an overview of selected topics in financial accounting and enhances students' applied skills in analyzing financial accounting data. The course covers classic papers, methodology papers, and papers that represent some of the most recent developments in the field. It is designed to help two groups of doctoral students. For those pursuing financial accounting research, the course will provide the opportunity to develop the skills necessary to produce articles targeting at *The Accounting Review*, *Journal of Accounting Research*, *Journal of Accounting and Economics*, and *Contemporary Accounting Research*. For those pursuing other kinds of accounting research, the course will provide a guided exposure to financial accounting research with a clear structure for reflecting on this approach to research and integrating into the students' own research the insights arising from the course.

The course is a combination of lectures, guided readings, student presentations and projects. Students are expected to form a conceptual framework of the financial accounting areas covered, to understand the central idea, data, research methodology, and contribution / limitation of each paper, and to develop skills in empirical data analysis. Class attendance is mandatory and active class participation is strongly encouraged and rewarded.

**9. Evaluation**

<b>Course Evaluation</b>	<b>Total Weight</b>	<b>Due</b>
Leading discussion and critic	25%	Weekly
Paper replication	25%	Mar. 3
Term Paper proposal	Pass/Fail	Mar. 17
Term Paper presentation	20%	Apr. 7
Term Paper report	30%	Apr. 30
	<b>100%</b>	

**10. Integrated Courses**

*Not Applicable*

**11. Rationale**

The course covers classic papers, methodology papers, and papers that represent some of the most recent developments in the field. It is designed to help two groups of doctoral students. For those pursuing financial accounting research, the course will provide the opportunity to develop the skills necessary to produce articles targeting at The Accounting Review, Journal of Accounting Research, Journal of Accounting and Economics, and Contemporary Accounting Research. For those pursuing other kinds of accounting research, the course will provide a guided exposure to financial accounting research with a clear structure for reflecting on this approach to research and integrating into the students' own research the insights arising from the course.

**12. Faculty Resources**

The course will be offered on a yearly or bi-annual basis depending on the student demand. The following faculty are all qualified to teach:

Hongping Tan

Albert Tsang

Kiridaran Kanagaretnam

Amin Mawani

Shanker Trivedi

**13. Cross-listed Courses**

N/A

**14. Bibliography and Library Statement**

No additional/other database or library resources are required for this course. Access to online literature database such as Web of Science, and financial database via WRDS platform is already available to students.

## **15. Physical Resources**

This course requires 12 sessions in available classrooms or small meeting rooms, which are readily available. No additional/other physical resources are required.

## Faculty of Graduate Studies New Course Proposal Part B (Schulich Use Only)

### 16. Instructors and Faculty Coordinator

**Initial instructor**

Hongping Tan

**Alternative instructors**

Albert Tsang

Kiridaran Kanagaretnam

Amin Mawani

Shanker Trivedi

**Course coordinator**

Hongping Tan

### 17. Specializations

**Primary area or specialization**

*Accounting*

**Secondary areas or specializations**

N/A

### 18. Student Contact and Enrolment

**Contact hours**

39 hours (13 weeks)

**Maximum enrolment**

30

**Expected enrolment**

3 to 5 students

**Evidence for enrolment expectations**

The phd in accounting program usually takes in 2 to 3 student each year.

### 19. Human Participants Research

N/A

**20. Conditions for Approval**

If this proposal is for a new elective course, please indicate which one of the three following conditions required by Faculty Council applies:

a) The Area is deleting courses with at least the same total number of credits.

N/A

b) Provide a convincing case for the proposed course.

N/A

**Course Originator**


Signature

June 18, 2016

Date

Hongping Tan

Name

**Supporting Faculty Members**

The course originator should consult with other interested parties and obtain their support. Support should be obtained from other units of the university if their interests are related to this course.

The faculty members whose names appear below confirm that they have examined this course proposal. They feel it is a worthwhile addition to the SSB curriculum and does not, to their knowledge, significantly duplicate the content of existing courses.

*Dean Neu*

Name

*Cameron Graham*

Name

*Linda Thorne*

Name

*Jef Everett*

Name

*Marcia Annisette*

Name

*Amin Mawani*

Name

*Kiridaran Kanagaretnam*

Name

*Shanker Trivedi*

Name

*Sylvia Hsu*

Name

*Janne Chung*

Name

*Sandy Qu*

Name

*Albert Tsang*

Name

## Approvals

### Area or Specialization

I have reviewed this course proposal with the faculty members of this Area or Specialization, and I support the addition of the course to the SSB curriculum.

*Cameron Graham*

Signature

*June 20, 2016*

Date

*Cameron Graham*

Area Coordinator or Specialization Director

*Accounting*

Area or Specialization

### Degree Program

This course has received the approval of the Program Committee, and I support the addition of the course to the SSB curriculum.

*Eileen Fischer*

Signature

Date

*Eileen Fischer*

Program Director

*PhD*

Program

### Required Attachments

- Schulich course outline: must conform to program norms; see the Program Assistant for details
- Librarian's statement indicating that adequate library resources are available for the course
- For cross-listed courses: signed statement of agreement from director of other graduate course
- For integrated courses: signed statement of agreement from chair of undergraduate program
- If applicable, a completed Human Participants Research Protocol Form.

## ACTG 7050 R 3.0: Advanced Topics in Financial Accounting Research II



### COURSE OUTLINE

Winter 2017

Friday, 8:30 AM – 11:20 AM, beginning January 13<sup>th</sup>

#### INSTRUCTOR

Dr. Hongping Tan  
Office: SSB N225  
[htan@schulich.yorku.ca](mailto:htan@schulich.yorku.ca)  
Tel: Extension 30099

#### ASSISTANT

Mary Rizzo  
S344K Seymour Schulich Building  
(416) 736-5066  
[mrizzo@schulich.yorku.ca](mailto:mrizzo@schulich.yorku.ca)

Professor Hongping Tan's research interests include corporate disclosure, analyst forecasts, accounting standards, and international capital market. His papers have been published in top accounting and finance journals and presented in conferences and university workshops around the globe. He has served as an ad hoc reviewer for almost all of the top accounting and finance journals.

#### BRIEF DESCRIPTION

This is an elective Phd course which explores advanced topics in financial accounting research. It provides an overview of selected topics in financial accounting and enhances students' applied skills in analyzing financial accounting data. The course covers classic papers, methodology papers, and papers that represent some of the most recent developments in the field. It is designed to help two groups of doctoral students. For those pursuing financial accounting research, the course will provide the opportunity to develop the skills necessary to produce articles targeting at *The Accounting Review*, *Journal of Accounting Research*, *Journal of Accounting and Economics*, and *Contemporary Accounting Research*. For those pursuing other kinds of accounting research, the course will provide a guided exposure to financial accounting research with a clear structure for reflecting on this approach to research and integrating into the students' own research the insights arising from the course.

The course is a combination of lectures, guided readings, student presentations and projects. Students are expected to form a conceptual framework of the financial accounting areas covered, to understand the central idea, data, research methodology, and contribution / limitation of each paper, and to develop skills in empirical data analysis. Class attendance is mandatory and active class participation is strongly encouraged and rewarded.

#### CONTENTS

<a href="#">Course Learning Outcomes</a> .....	8
<a href="#">Deliverables at a Glance</a> .....	8
<a href="#">Course Material</a> .....	8
<a href="#">Student Preparation for Class and Class Participation: Expectations</a> .....	8
<a href="#">Deliverables</a> .....	3
<a href="#">Overall Course Grade</a> .....	3
<a href="#">General Academic Policies: Grading, Academic Honesty, and Accommodations</a> .....	4
<a href="#">Class-by-Class Syllabus</a> .....	4

## Course Learning Outcomes

In ACTG 7040, you are expected to:

- Gain exposure to some major areas of financial accounting research
- Develop skills for literature review
- Develop skills for paper presentation and paper critic
- Identify ways to make contributions to literature
- Familiarize with major empirical data
- Develop preliminary SAS and Stata skills
- Develop a program of original research

## Deliverables at a Glance

Course Evaluation	Total Weight	Due
Leading discussion and critic	25%	Weekly
Paper replication	25%	Mar. 3
Term Paper proposal	Pass/Fail	Mar. 17
Term Paper presentation	20%	Apr. 7
Term Paper report	30%	Apr. 30
	<b>100%</b>	

## Course Material

Readings are provided in the week-by-week syllabus below. The Course Materials Database (CMD) may be used from time to time to post additional material or updates as the course progresses. The following resources are recommended.

<http://papers.ssrn.com>

<http://scholarsportal.info>

<http://www.jstor.org/search/AdvancedSearch>

## Preparation for Class and Class Participation: Expectations

### Class Preparation

You are responsible for careful reading of any required readings before class and for contributing to the discussion of these readings. This will take three to six hours per reading. Skimming them will not suffice for this course. Read each one at least twice. Prepare a written summary, as described in the “Deliverables” section below.

You are also responsible for exploring the foundational literature the articles. You are responsible for exploring more deeply in the foundational literature of one or more of the topic areas, beyond the assigned readings, in

preparation for writing the term paper. *You are strongly encouraged to follow up on the forthcoming papers in the top accounting and finance journals and working papers in the reputable conferences.*

### **Class Participation**

The pedagogical assumption of this course is that we learn the best by contributing actively to class rather than passively consuming what others say. Listening actively to your classmates and helping them to clarify their comments will be considered a particularly valuable contribution. The quality of your contribution is more important than the quantity, so there is no need for any student to dominate “air time” in the classroom.

Students will be expected to lead the discussion on a regular basis, to be assigned in the 2<sup>nd</sup> week. The roster for this will be (somewhat!) open to negotiation, to allow students to tackle topics of particular interest to themselves, and to keep workloads balanced.

## **Deliverables: Descriptions**

This section provides you with an overview of the deliverables for this course. More detailed instructions will be discussed in class and, if necessary, posted on the CMD.

### **Leading discussion and critic**

For weeks with paper readings, each student is expected to lead the discussion of a paper or to be a critical discussant of a paper. Please pay special attention to the following aspects for each reading:

- Main idea, motivation
- Underlying theories and major arguments / assumptions
- Brief literature review
- Major contributions / limitations of the paper
- Data sources and major methodologies
- Analysis of data: Identify the main table
- Limitation and potential extensions to the paper

### **Weekly reading material summary**

These are due every week at the beginning of the class, and will be assigned letter grades. They are required to meet doctoral quality standards. The purpose is to allow students to demonstrate that they are keeping up with the required readings, and to ensure a well-informed class discussion.

### **Data analysis**

It aims to introduce students to the major accounting database and mainstream data analysis packages that is crucial for empirical accounting research. A paper replication mini project allows the students to replicate the main tables of a selected paper.

### **Term Paper**

Research proposals should be structured like a research article: introduction, theoretical framing, proposed data and methodology, preliminary discussion of some data, and a conclusion setting out the anticipated contribution to the research conversation.

The term paper proposal will be graded on a pass/fail basis. Its purpose is to ensure students get adequate feedback on their plans for the term paper, and to provide classmates with the opportunity to develop their skills in providing constructive feedback.

The final paper will receive a letter grade from the instructor.

**Requirement for term paper report (Length: 8 -12 pages, 1.5-line spaced, font: Times New Roman, size 11)**

- Statement of the problem studied (motivation)
- Brief survey of the literature
- Concise, intuitive explanation of the argument producing the major results
- Clearly describe the sample choice and the justification of your choice
- Detailed test procedure, clear and easy-to-read tables/graphs
- Summary of the main results
- Critical examination of your results and conclusion (including possible extensions to the original paper, eg. empirical methodology / data, other factors)
- Clearly identify your data sources and references

## Overall Course Grade

The overall course grade will be determined by weighting the graded deliverables as outlined in Deliverables at a Glance earlier, using a 9-grade-point scale.

## General Academic Policies: Grading, Academic Honesty, and Accommodations

### Grading

Grades at Schulich are based on a 9-value index system. The top grade is A+ (9) and the minimum passing grade is C- (1). However, because this is a PhD course, most students will be expected to achieve grades of B+ to A. In cases of exceptionally good or poor performance, higher or lower grades may be awarded by the instructor.

### Academic honesty

Academic honesty is fundamental to the integrity of university education and degree programs, and applies in every course offered at Schulich. Students should familiarize themselves with York University's policy on academic honesty, which may be found in the following Faculty of Graduate Studies website:

<http://gradstudies.yorku.ca/current-students/regulations/academic-honesty/Accommodations>

For accommodations sought due to exam conflicts, religious reasons, unavoidable absences or disabilities, please refer to the Student Handbook or contact Student Services. For counseling & disability services, contact Student Services or see: <http://www.yorku.ca/cds>.

## Class-by-Class Syllabus

The following list of lecture topics and readings indicate the material to be read, reviewed and/or prepared for each class session. The teaching material is subject to change at the discretion of the instructor. If any changes in this schedule become necessary, notifications will be posted in the course CMD, and where such changes need to be announced between class sessions, an email will be sent to students' Lotus Notes email accounts.

Week	Tentative reading list
1	<p><b>Research methodology</b></p> <p>MacKinlay, A. Craig, 1997, Event Studies in Economics and Finance, <i>Journal of Economic Literature</i> 35, 13-39.</p> <p>DeBondt, W. and R. Thaler, 1985, Does the Stock Market Overreact? <i>Journal of Finance</i> 40, 793-805.</p> <p>Srinidhi CJAR 2013. An essay on conceptualization of issues in empirical accounting research</p>
2	<p><b>Data analysis</b></p> <p>Major data sources</p> <p>Introduction to SAS</p>

Introduction to Stata  
Paper replication mini project

### 3 Paper submission and critic

A Pre-Submission Checklist for Journal Articles

Harvey 2013. Reflections on Editing the Journal of Finance, 2006-2012

Hirschleifer, David, G. William Schwert and Kenneth J. Singleton (2013) "Joint Editorial," available from <http://jfe.rochester.edu/jointed13.htm>

Choi 2002 How to publish in top journals

### 4 Textual analysis

Loughran, Tim, and Bill McDonald, 2011, When Is a Liability Not a Liability? Textual Analysis, Dictionaries, and 10-Ks, *Journal of Finance* 66: 35–65. [http://www3.nd.edu/~mcdonald/Word\\_Lists.html](http://www3.nd.edu/~mcdonald/Word_Lists.html)

Lang, Stice and Lawrence 2014. Textual Analysis and International Financial Reporting, Working paper

Pinho et al IJM 2013. The Usefulness of Financial Analysts' Reports: A Content Analysis

Merkley, Kenneth J. 2014. Narrative Disclosure and Earnings Performance- Evidence from R&D Disclosures. *The Accounting Review* 89 (2), 725-757.

Loughran, Tim, and Bill McDonald, 2015. Textual Analysis in Accounting and Finance: A Survey. Working paper.

### 5 Financial analysts (1)

Brown, L. D., Call, A. C., Clement, M. B., & Sharp, N. Y. (2015). Inside the "black box" of sell-side financial analysts. *Journal of Accounting Research*, 53(1), 1-47.

Bae, K-H., H. Tan, and M. Welker, 2008. International GAAP differences: The impact on foreign analysts. *The Accounting Review* 83: 593-628.

Bae, K-H., R. M. Stulz, and H. Tan, 2008. Do local analysts know more? A cross-country study of the performance of local analysts and foreign analysts, *Journal of Financial Economics* 88: 581–606.

### 6 Financial analysts (2)

Sundaresh Ramnath, Steve Rock, and Philip Shane, 2008, The Financial Analyst Forecasting Literature: A Taxonomy with Suggestions for Further Research, *International Journal of Forecasting* 24, 34-75.

Asquith, P, M. Mikhailb, and A. Au, 2005, Information content of equity analyst reports, *Journal of Financial Economics* 75, 245–282

FogartyRogers AOS 2005. Financial analysts' reports an extended institutional theory evaluation

### 7 Executive compensation (Armin)

CEO compensation and corporate risk: Evidence from a natural experiment. JAE 2013.

2006\_JFE Coles-Managerial incentives and risk taking

Discussion of CEO compensation and corporate risk-taking

ArmstrongLarckerOrmazabalTaylor JFE 2013 - The relation between equity incentives and misreporting

### 8 CSR disclosure

Charles H. Cho, Robin W. Roberts, Dennis M. Patten, AOS 2010, The language of US corporate environmental disclosure

Berthelot, Sylvie. 2003. Environmental disclosure research: review and synthesis. *Journal of Accounting Literature* 22, 1-44.

Albertini, Elisabeth, 2014. A Descriptive Analysis of Environmental Disclosure: A Longitudinal Study of French Companies. *Journal of Business Ethics* 121, 233-254.

### 9 Risk disclosure

The information content of mandatory risk factor disclosures in corporate filings. RAS 2013.  
Carrot or Stick? The Shift from Voluntary to Mandatory Disclosure of Risk Factors, working paper.  
Hope, Hu and Lu 2016. The Benefits of More Detailed Risk-Factor Disclosures  
Campbell et al RAS 2013. The Information Content of Mandatory Risk Factor Disclosures in Corporate Filings

**10 International Research**

Doidge Karolyi and Stulz. 2004, Why are foreign firms listed in the US worth more, *Journal of Financial Economics* 71, 205–238

Hung, M, X. Li, and S. Wang. Post-earnings-announcement drift in global markets: Evidence from an information shock." *The Review of Financial Studies* 28, 1242-1283

Challenges and Opportunities in Cross-Country Accounting Research

**12 Student term paper presentation and course wrap-up**

**13 Project report due: April 30**

---

**MEMORANDUM**  
**Peter F. Bronfman Business Library**

**SUBJECT:** Library Statement for ACTG 7050  
 Advanced Topics in Financial Accounting Research II

**FROM:** Stephanie Quail  
 Business Librarian

**DATE:** June 27, 2016

**ACTG 7050: Advanced Topics in Financial Accounting Research II**

York University Libraries (YUL) will be able to support the proposed course *ACTG 7050: Advanced Topics in Financial Accounting Research II*. The library contains a strong collection of accounting and finance periodicals, books, and research databases that are relevant for the advanced topics covered in this course.

The course proposal includes a list of required journal article readings. The liaison librarian for Accounting has reviewed the reading list. YUL has access to all of the published journal articles included in this list through its extensive accounting, finance, and business electronic journal holdings. Students will be able to access these readings on and off-campus 24/7. Some of the articles listed in the reading list have not been published in an academic journal; however, these articles are freely available for download on the Social Science Research Network.

While the course proposal does not mention if the students will need to access any accounting standards, YUL does provide students with online, 24/7 access to the *CPA Canada Guidance and Standards Collection* and the *International Financial Reporting Standards*. Doctoral students enrolled in this course may find these resources to be useful when researching and writing their term paper. These resources can be searched by name at <http://www.library.yorku.ca> and accessed by an unlimited amount of simultaneous users 24/7 from on and off-campus locations.

The library's periodical collection for accounting, finance, and business topics will be a key resource for students enrolled in this course, especially when they are completing the term paper assignment. YUL provides students with full-text online access to many key journals in these subject areas, which will allow students to access these resources both on and off-campus, 24/7. The collection includes titles such as: *Accounting, Auditing & Accountability Journal*, *Accounting Perspectives*, *The Accounting Review*; *Financial Analysts Journal*; *Journal of Accounting Research*; *Journal of Accounting, Auditing, and Finance*; *Journal of Accounting and Economics*; *Contemporary Accounting Research*; *Journal of Financial Economics*; *Accounting, Organizations, and Society*; *The Academy of Management Journal*; *Journal of Management*; *Journal of Finance*; and *The Review of Financial Studies*.

YUL's collection of print books will also support this course. The majority of relevant print books are housed in the Bronfman Library's collection. Students will be able to find print books on subjects such as: Accounting; Accounting – Standards; Corporations – Finance; Financial Statements, Financial Statements – Analysis, Executives – Salaries; Finance; and Risk Management. YUL's electronic book collection may also be useful for doctoral students in this course, as *Books 24x7* and *Ebrary* will provide access to scholarly and practitioner-focused books that discuss topics relevant to this course.

Additionally, YUL's various article databases provide strong coverage of Canadian and international academic, trade, and popular business articles. Students will have 24/7 on-campus and off-campus access to databases such as *ProQuest Business*, *Business Source Premier*, and *Scholars Portal Journals*. Students can search thousands of business and other interdisciplinary journals simultaneously using the above databases.

YUL's collection of current and historical major Canadian newspapers may also be useful for students, as databases such as *Canadian Newsstand Major Dailies* and *Proquest Historical Newspapers* will provide students with access to national and regional papers. *Factiva* and *LexisNexis Academic* will provide students with international newspaper and media coverage. YUL also subscribes to a number of historical business newspaper archives such as the *Financial Times Historical Archive (1880-2010)*.

Students in this course may also need access to specialized finance datasets to complete the course's term paper assignment. PhD students at Schulich have access to research databases such as *Bloomberg*, *Datastream*, *SDC Platinum*, and *WRDS*. While *WRDS* can be accessed on-campus and off-campus, *Bloomberg*, *Datastream*, and *SDC Platinum* must be accessed on-campus. The Finance Librarian, Xuemei Li, has created in-depth research guides that explain how to use and download data from these resources. The guides can be accessed at the following webpage: <http://researchguides.library.yorku.ca/content.php?pid=360682&sid=2951458>

Finally, the Bronfman Library has created a number of useful online research guides such as the *Accounting & Taxation Guide* and the *Finance Guide* that will serve as pathfinders for students in this course. These guides, as well as many other business-specific guides, can be accessed at: <http://www.library.yorku.ca/web/bbl/guides/>. The Bronfman Library would also be able to further support this course by providing an in-class library instruction session.

To: Faculty Council  
From: Andre Kuzmicki, Director, Master of Real Estate and Infrastructure  
Date: September 15, 2016  
Subject: PROP 6150 3.00: Economic Forces Shaping the City - New Course Proposal

---

**Motion:**

That Faculty Council approve the new course proposal for the Master of Real Estate and Infrastructure: **PROP 6150 3.00: Economic Forces Shaping the City**

**Rationale:**

The Master of Real Estate and Infrastructure program (MREI) was approved by Senate in December, 2015 and will be offered for the first time in January, 2017. Senate approval envisioned the creation of 12 new courses for the MREI, of which two will be offered in the Winter term. PROP 6001 is one of these and was approved in April, 2016. PROP 6150 is the other. The remaining 10 new courses will be brought forward for approval later in Fall 2016.

For further details on the MREI, please see the Proposal for a Master of Real Estate and Infrastructure.

Andre Kuzmicki

# Faculty of Graduate Studies

## New Course Proposal – Part A

**1. Program**

Master of Real Estate and Infrastructure

**2. Course Number**

PROP 6150

**3. Credit Value**

3.00

**4. Long Course Title**

Economic Forces Shaping the City

**5. Short Course Title**

Economic Forces Shaping the City

**6. Effective Session**

Winter 2017

**7. Calendar (Short) Course Description**

Those who shape cities must understand the fundamental economic forces at work and the resulting spatial pattern of activities that sustain city life. The course contributes to an understanding of these forces and the role they play in achieving a better built environment. This includes a theoretical perspective as well as the skills and knowledge to make wise decisions.

**8. Expanded Course Description**

In market economies, the combined effect of market forces and government actions generate urban form. The various urban patterns that emerge are called cities: cities are where people seek economic prosperity, safety and security, opportunity, social interaction, and a place to call home. The responsibility for the building blocks falls primarily to those in the private sector who build structures to shelter the population, accommodate economic activity, and provide for the private goods and services upon which society depends. But the building blocks, in turn, depend upon what is largely a public responsibility and engagement; the provision of social and economic infrastructure including roads and highways, bridges and harbours, hospitals, schools, police stations, fire halls and hospitals. Think of infrastructure as the glue that binds and holds the pieces together. Success in each case is measured by the extent to which supply meets demand at a price that society is willing to pay or can afford. In the case of housing, industrial buildings, office buildings or shopping malls, the price is paid as user fees by consumers of services. In the case of infrastructure the cost is paid primarily through a local property tax and typically public services are delivered by a monopoly controlled by government.

The city building enterprise is therefore a combination of public and private actions, the latter of which are largely subject to private market forces, and the former largely subject to political mandates. If out of sync, performance on both sides falls short of expectation, consumers suffer, and cities fail to deliver what they inherently promise. If out of sync, cities lose their competitive advantage. This course will largely focus on

the real estate side of the ledger, but remain aware of the importance of infrastructure and the role it plays to affect the performance of real estate markets.

## 9. Evaluation

Assignment/Task	Total %
Research Assignment One - Individual	10%
Case Assignment Two - Group	15%
Case Assignment Three - Individual	15%
Case Assignment Four - Group	10%
Class participation	10%
Final Exam	40%
<b>TOTAL</b>	<b>100%</b>

## 10. Integrated Courses

Not applicable

## 11. Rationale

Please see Master of Real Estate and Infrastructure program proposal

## 12. Faculty Resources

Jeanhy Shim

## 13. Cross-listed Courses

Not cross-listed.

## 14. Bibliography and Library Statement

Jan K. Bruekner. **Lectures in Urban Economics**. The MIT Press, Cambridge, Massachusetts. 2011.

John M. Clapp. **Dynamic of Office Markets: Empirical Findings and Research Issues**. AREUEA Monograph Series, No. 1. The Urban Institute Press. Washington DC. 1993.

Denise DiPasquale and William C. Wheaton. **Urban Economics and Real Estate Markets**. Prentice Hall, Englewood Cliffs, NJ. 1996.

George Fallis. **Housing Economics**. Butterworth & Co. (Canada). Toronto. 1985.

Neil S. Grigg. **Infrastructure Finance: The Business of Infrastructure for a Sustainable Future**. John Wiley & Sons, Inc. 2010.

Philip McCann. **Modern Urban and Regional Economics** (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013.

Please see Master of Real Estate and Infrastructure program proposal for the Library Statement.

## 15. Physical Resources

No special physical resources are required.

## Faculty of Graduate Studies New Course Proposal Part B (Schulich Use Only)

### 16. Instructors and Faculty Coordinator

**Initial instructor**

*Jeanhy Shim*

**Alternative instructors**

*N/A*

**Course coordinator**

*James Mckellar*

### 17. Specializations

**Primary area or specialization**

*Master of Real Estate and Infrastructure (MREI)*

**Secondary areas or specializations**

*N/A*

### 18. Student Contact and Enrolment

**Contact hours**

*36 hours*

**Maximum enrolment**

*55*

**Expected enrolment**

*45*

**Evidence for enrolment expectations**

*This is a Master of Real Estate and Infrastructure core course and thus enrolment will always be the full complement of each year's intake*

### 19. Human Participants Research

*N/A*

### 20. Conditions for Approval

**If this proposal is for a new elective course, please indicate which one of the three following conditions required by Faculty Council applies:**

**a) The Area is deleting courses with at least the same total number of credits.**

*N/A*

**b) Provide a convincing case for the proposed course.****Course Originator**

James McKellar  
Signature

September 7, 2016  
Date

James McKellar  
Name

**Supporting Faculty Members**

The course originator should consult with other interested parties and obtain their support. Support should be obtained from other units of the university if their interests are related to this course.

The faculty members whose names appear below confirm that they have examined this course proposal. They feel it is a worthwhile addition to the SSB curriculum and does not, to their knowledge, significantly duplicate the content of existing courses.

Ashwin Joshi  
Name

Marcia Annisette  
Name

Detlev Zwick  
Name

Christine Oliver  
Name

James Darroch  
Name

Ric Irving  
Name

**Approvals****Area or Specialization**

I have reviewed this course proposal with the faculty members of this Area or Specialization, and I support the addition of the course to the SSB curriculum.

James McKellar  
Signature

September 7, 2016  
Date

James McKellar  
Academic Director

Real Estate and  
Infrastructure  
Area or  
Specialization

**Degree Program**

This course has received the approval of the Program Committee, and I support the addition of the course to the SSB curriculum.

Andre Kuzmicki  
Signature

September 10, 2016  
Date

Andre Kuzmicki  
Program Director

Master of Real Estate  
and Infrastructure  
Program

**Academic Committee**

This course has received the approval of the Master Programs Committee/Programs Coordinating Committee.

Markus Biehl  
Signature

September 15, 2016  
Date

Markus Biehl  
Chair, Master Programs Committee/  
Programs Coordinating Committee

**Required Attachments**

- Schulich course outline: must conform to program norms; see the Program Assistant for details
- Librarian's statement indicating that adequate library resources are available for the course
- For cross-listed courses: signed statement of agreement from director of other graduate course
- For integrated courses: signed statement of agreement from chair of undergraduate program
- If applicable, a completed Human Participants Research Protocol Form.

**Send to:**

Send an electronic copy of all forms and attachments, and forward emails of support from other faculty members, to the appropriate program assistant:

- IMBA: Jamie Heron, Program Coordinator, IMBA ([jheron@schulich.yorku.ca](mailto:jheron@schulich.yorku.ca))
- MBA/MPA/MS BA/MAcc: Mel Poteck, MBA Program Assistant ([mpoteck@schulich.yorku.ca](mailto:mpoteck@schulich.yorku.ca))
- MF: Lucy Sirianni, Faculty Secretary, Finance ([lsirianni@schulich.yorku.ca](mailto:lsirianni@schulich.yorku.ca))

## Course Outline

### PROP 6150 3.0 Economic Forces Shaping the City

Winter 2017

Schedule TBD

Classroom: TBD

#### Instructor

Jeanhy Shim

W362Q, Seymour Schulich Building

[jmckellar@schulich.yorku.ca](mailto:jmckellar@schulich.yorku.ca)

Room W362Q. Office hours by appointment

## Brief Description

Those who shape cities must understand the fundamental economic forces at work and the resulting spatial pattern of activities that sustain city life. The course contributes to an understanding of these forces and the role they play in achieving a better built environment. This includes a theoretical perspective as well as the skills and knowledge to make wise decisions.

## Course Description

In market economies, the combined effect of market forces and government actions generate urban form. The various urban patterns that emerge are called cities: cities are where people seek economic prosperity, safety and security, opportunity, social interaction, and a place to call home. The responsibility for the building blocks falls primarily to those in the private sector who build structures to shelter the population, accommodate economic activity, and provide for the private goods and services upon which society depends. But the building blocks, in turn, depend upon what is largely a public responsibility and engagement; the provision of social and economic infrastructure including roads and highways, bridges and harbours, hospitals, schools, police stations, fire halls and hospitals. Think of infrastructure as the glue that binds and holds the pieces together. Success in each case is measured by the extent to which supply meets demand at a price that society is willing to pay or can afford. In the case of housing, industrial buildings, office buildings or shopping malls, the price is paid as user fees by consumers of services. In the case of infrastructure the cost is paid primarily through a local property tax and typically public services are delivered by a monopoly controlled by government.

The city building enterprise is therefore a combination of public and private actions, the latter of which are largely subject to private market forces, and the former largely subject to political mandates. If out of sync, performance on both sides falls short of expectation, consumers suffer, and cities fail to deliver what they inherently promise. If out of sync, cities lose their competitive advantage. This course will

largely focus on the real estate side of the ledger, but remain aware of the importance of infrastructure and the role it plays to affect the performance of real estate markets.

**Contents**

Course Learning Outcomes ..... 2  
 Deliverables at a Glance..... 3  
 Course Material..... 3  
 Student Preparation for Class and Class Participation: Expectations..... 4  
 Class-by-Class Syllabus ..... 4  
 Written Assignments/Projects and Exam[s]: Descriptions ..... 9  
 Evaluation of Written Assignments/Projects and Exams ..... 10  
 Calculation of Course Grade ..... 10  
 General Academic Policies: Grading, Academic Honesty, Accommodations and Exams ..... 10  
 Quick Reference: Summary of Classes, Activities and Deliverables ..... 11

**Course Learning Outcomes**

1. Comprehend and understand the economic forces affecting cities that are crucial to making wise development decisions;
2. Balance theoretical frameworks with the tools and basic facts required to analyze urban property markets;
3. Gain insight into the process of urban growth, the operation of urban land and real estate markets, and the efficacy of related infrastructure systems.
4. Understand the use of simple economic models to predict the operation of real estate markets and their relevance to real world situations.

## Deliverables at a Glance

For details see “Written Assignments/Projects and Exam[s]: Descriptions” and “Evaluation of Written Assignments/Projects and Exams.”

Assignment/Task	Total %	Author
Research Assignment One	10%	Individual
Case Assignment Two	15%	Group
Case Assignment Three	15%	Individual
Case Assignment Four	10%	Group
Class participation	10%	Individual
Final Exam	40%	Individual
<b>TOTAL</b>	<b>100%</b>	

## Course Material

Reference texts for this course include the following books. Copies are available in the Bronfman Library.

Jan K. Bruekner. **Lectures in Urban Economics**. The MIT Press, Cambridge, Massachusetts. 2011.

John M. Clapp. **Dynamic of Office Markets: Empirical Findings and Research Issues**. AREUEA Monograph Series, No. 1. The Urban Institute Press. Washington DC. 1993.

Denise DiPasquale and William C. Wheaton. **Urban Economics and Real Estate Markets**. Prentice Hall, Englewood Cliffs, NJ. 1996.

George Fallis. **Housing Economics**. Butterworth & Co. (Canada). Toronto. 1985.

Neil S. Grigg. **Infrastructure Finance: The Business of Infrastructure for a Sustainable Future**. John Wiley & Sons, Inc. 2010.

Philip McCann. **Modern Urban and Regional Economics** (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013.

The course has a Course Materials Data base (CMD) and additional reference materials for lectures will be posted in advance. Some posted articles may be available through internet sites, and others through blogs.

The *Course Materials Database (CMD)* has been created within Schulich’s Lotus Notes. It contains general information for Schulich students and information and materials specific to this course. Check it frequently. Information on direct downloading of the cases will be posted on the CMD. Hard copies will not be distributed in class.

## Student Preparation for Class and Class Participation: Expectations

Class participation is a key part of the learning experience. Preparation for the class and involvement in class discussions are essential to learning. The class participation grade will reflect contributions that enhance the classroom learning environment through insightful comments and questions. Absence from class will negatively impact this portion of the evaluation. Class contribution will be evaluated in terms of attendance in class, participating in class activities, and the evidence of sound reasoning and positive contribution to class discussion.

Students will be granted one class absence without penalty. Unless further absence is granted by prior written permission from the instructor, the participation grade will then be lowered by one bucket (e.g. A to A-) for each recorded absence. It will be the student's responsibility to sign the attendance sheet.

## Class-by-Class Syllabus

Topics, readings, and other preparations for every class are listed below. If any changes in this schedule become necessary, notifications will be posted on the course CMD, and when changes need to be announced between classes, an email will be sent to students' Lotus Notes email accounts, notifying them of the change.

Session	Lecture Topic and Some of the Questions to be addressed	Assignment
1	<p><b>Forces shaping the city</b></p> <ul style="list-style-type: none"> <li>• What is a city?</li> <li>• Where does economic activity take place in the city and why?</li> <li>• What are the linkages that keep the various parts together?</li> <li>• What drives growth?</li> <li>• How do cities compete and with whom?</li> <li>• What role do governments play through public policy, regulation, and investment?</li> </ul> <p><b>Readings:</b></p> <p>Jan K. Bruekner. <b>Lectures in Urban Economics</b>. The MIT Press, Cambridge, Massachusetts. 2011. <i>Chap. 1: Why Cities Exist, Pp 1-22.</i></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap. 8: Economic Geography and Economic History, Pp 279-302.</i></p>	Assigned One Issued
2	<p><b>Urban spatial structure</b></p> <ul style="list-style-type: none"> <li>• What drives the spatial distribution of activities in cities?</li> <li>• What are the competitive advantages of spatial separation?</li> <li>• What is agglomeration and why do certain activities cluster for competitive advantage?</li> </ul>	

	<ul style="list-style-type: none"> <li>• What causes certain patterns of urban growth such as sprawl versus concentration?</li> <li>• What impact do these have on urban land markets, prices and rents?</li> </ul> <p><b>Readings:</b></p> <p>Jan K. Bruekner. <b>Lectures in Urban Economics</b>. The MIT Press, Cambridge, Massachusetts. 2011. <i>Chap 2: Analyzing Urban Spatial Structure, Pp 23-50.</i></p> <p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b>. Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 3: The Urban Land Markets: Rents and Prices, Pp 35-59.</i></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap. 2: Agglomeration and Clustering, Pp. 49-72. Chap. 3: The Spatial Distribution of Activities, Pp 73-106. Chap. 4: The Spatial Structure of the Urban Economy, Pp 107-153.</i></p>	
<p>3</p>	<p><b>Infrastructure and urban systems</b></p> <ul style="list-style-type: none"> <li>• What holds a city together?</li> <li>• How does infrastructure affect location decisions and the distribution of demand?</li> <li>• How do government expenditures on infrastructure influence the location of resources across metropolitan areas?</li> <li>• What is the relationship between infrastructure and land rents?</li> </ul> <p><b>Readings:</b></p> <p>Neil S. Grigg. <b>Infrastructure Finance: The Business of Infrastructure for a Sustainable Future</b>. John Wiley &amp; Sons, Inc. 2010. <i>Chap. 2: Models of the Infrastructure Sectors, Pp 35. Chap. 3: Infrastructure and the Constructed Environment, Pp 37-64.</i></p>	<p><b>Assignment One Due</b></p> <p><b>Assignment Two Issued</b></p>
<p>4</p>	<p><b>Property markets</b></p> <ul style="list-style-type: none"> <li>• What is real estate?</li> <li>• What are property markets and how do they behave?</li> <li>• What is the size and character of the different property markets?</li> <li>• What are real estate cycles and do they mirror business cycles?</li> <li>• What is the stock-flow model of real estate assets?</li> <li>• How are prices set in the property markets?</li> <li>• What role does government play in regulating these markets?</li> </ul> <p><b>Readings:</b></p>	

	<p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b>. Prentice Hall, Englewood Cliffs, NJ. 1996. Chap. 2: <i>The Operation of Property Markets: A Micro and Macro Approach</i>, Pp 22-24.</p>	
5	<p><b>Capital markets</b></p> <ul style="list-style-type: none"> <li>• How big are the markets for what are called the alternative asset classes (real estate and infrastructure)?</li> <li>• What are the similarities and differences in these two markets?</li> <li>• What are the differences between the market for assets and the market for use; how are they linked?</li> <li>• What drives the demand for real estate or infrastructure assets? Where does the supply come from?</li> <li>• What is market equilibrium?</li> </ul> <p><b>Readings:</b></p> <p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b>. Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 1: The Property and the Capital Markets</i>, Pp 1-21.</p>	
6	<p><b>Analyzing real estate markets</b></p> <ul style="list-style-type: none"> <li>• Why do a market analysis?</li> <li>• What is the appropriate context for the analysis?</li> <li>• How do you reconcile supply and demand at both a macro and micro level?</li> <li>• How do you forecast future demand and supply?</li> <li>• What are the strengths and weaknesses of market studies?</li> </ul>	<p><b>Assignment Two Due</b></p> <p><b>Assignment Three Issued</b></p>
7	<p><b>Housing markets</b></p> <ul style="list-style-type: none"> <li>• What is an urban housing market?</li> <li>• What are the differences between the ownership and the rental market; between the market for new units and existing units; and between the price of housing and the price of housing services?</li> <li>• What are consumers purchasing in the housing market?</li> <li>• What is the real cost of ownership?</li> <li>• What is the relationship between density and location and how does this effect rents?</li> </ul> <p><b>Readings:</b></p> <p>Jan K. Bruekner. <b>Lectures in Urban Economics</b>. The MIT Press, Cambridge, Massachusetts. 2011. <i>Chap. 6: Housing Demand and</i></p>	

	<p><i>Tenure Choice, Pp 115-136.</i></p> <p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets.</b> Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 8: The Market for Housing Units: Households, Prices, and Financing, Pp 182-215. Chap. 9: The Market for Housing Services: Moving, Sales and Vacancy, Pp 216-241.</i></p> <p>George Fallis. <b>Housing Economics.</b> Butterworth &amp; Co. (Canada). Toronto. 1985. <i>Chap. 2: The Demand for Housing, Pp 27-48. Chap 3: The Supply of Housing, Pp 49-72. Chap 4. Models of the Housing Market, Pp 73-90.</i></p> <p><b>Guest Speaker:</b> Toronto Residential Housing Market</p>	
<p>8</p>	<p><b>Non-residential land uses</b></p> <ul style="list-style-type: none"> <li>• How do businesses choose locations within a metropolitan area?</li> <li>• Why do we see the spatial concentration of commercial, industrial or retail firms in particular areas or locations in a city?</li> <li>• What is a central business district (CBD)?</li> <li>• Why do most cities have large urban sub-centers in addition to the CBD?</li> <li>• How has employment shifted over time and across eras and what impacts has this had on employment lands?</li> </ul> <p><b>Readings:</b></p> <p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets.</b> Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 5: Firm Site Selection, Employment Decentralization, and Multicentered Cities, Pp 91-123. Chap 11: The Operation of Nonresidential Property Markets, Pp 242-268.</i></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap. 1: Industrial Location: The Location of the Firm in Theory, Pp 3-48.</i></p>	
<p>9</p>	<p><b>Dynamics of office markets</b></p> <ul style="list-style-type: none"> <li>• What jobs drive the demand for different kinds of office space? Why do office jobs tend to cluster in certain locations?</li> <li>• What causes the pronounced cyclical behaviour of office markets? What is office rent?</li> <li>• What is the natural office vacancy rate?</li> <li>• What information is needed to forecast the demand and supply of office space?</li> </ul>	

	<ul style="list-style-type: none"> <li>• Why is urban land able to command a higher price for housing than office use; was this always the case?</li> </ul> <p><b>Readings:</b></p> <p>John M. Clapp. <b>Dynamic of Office Markets: Empirical Findings and Research Issues.</b> AREUEA Monograph Series, No. 1. The Urban Institute Press. Washington DC. 1993. <i>Chap. 1: Introduction, Pp 1-26. Chap. 2: Office Market Cycles: The Natural Vacancy Rate, Pp 27-42. Chap 4: The Economics of Office Locations, Pp 65-84.</i></p> <p><b>Guest Speaker:</b> Toronto Downtown Office Market</p>	
<p>10</p>	<p><b>Retail locations and market competition</b></p> <p>How do consumers spend their money and in what kinds of stores? How often do they shop and how far will they travel to shop?          Why does retail cluster at common sites?          Why are there distinct patterns to the locational choice of retail firms?          How do retailers compete?          What are the potential impacts of on-line purchases on the ‘bricks and mortar of the retail markets?</p> <p><b>Readings:</b></p> <p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets.</b> Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap 6: Retail Location and Market Competition, Pp 124-148.</i></p> <p><b>Guest Speaker:</b> Competition for consumers in the retail market</p>	<p><b>Assignment Three Due</b></p> <p><b>Assignment Four Issued</b></p>
<p>11</p>	<p><b>Trends in the modern global economy</b></p> <ul style="list-style-type: none"> <li>• What impact are factors such as technology, the internet, urban congestion, environmental concerns, or changing demographics having on the both the demand for and the supply of real estate?</li> <li>• What impact is globalization having on the role of cities?</li> <li>• What locational preferences are evident in the behaviour of knowledge-based firms?</li> </ul> <p>What factors contribute to the pricing disparities in residential and office markets in North American cities versus Asian megacities?</p> <p><b>Readings:</b></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap: 9: Cities and Regions in the Modern Global Economy, Pp 303-329.</i></p>	

12	<p><b>Governments, infrastructure, and the services</b></p> <ul style="list-style-type: none"> <li>• What economic theories support government’s roles in the provision of infrastructure?</li> <li>• What are the planning justifications for the key role that local governments play in regulating how land is used?</li> <li>• Should local governments use their powers to influence the location of firms and households?</li> <li>• Is property tax a sufficient source of revenue to drive the local provision of infrastructure and public services?</li> <li>• What roles might senior levels of government play in affecting more efficiency in market performance?</li> <li>• Who should take care of those who cannot participate in private markets, such as the provision of shelter?</li> </ul> <p><b>Readings:</b></p> <p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b>. Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 13: Local Governments, Property Taxes, and Real Estate Markets, Pp319-347.</i></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap 10: Modern Urban and Regional Economic Poliy Analysis, Pp 330-375.</i></p> <p><b>Guest Speaker:</b> Growth Patterns in the Greater Golden Horseshoe (GGH)</p>	<p><b>Assignment Four Due</b></p>
----	---	---------------------------------------

**Written Assignments/Projects and Exams: Descriptions**

All assignments will be submitted as hard copy. **Emails will not be accepted unless by prior arrangement.** Unless stated otherwise in the assignment, the following format will apply to all written submissions:

- Hard copy, paper size, 8 1/2” x 11”
- Margins, top/bottom/left/right -1” minimum
- Spacing - single spacing
- Font size, 11pt, (tables can be 10pt)
- Font style, Arial, Helvetica or Calibri
- Page numbers, lower right corner
- Name, date and student number will be included on each page in the heading bar.

All visual presentations will be submitted in PowerPoint format to the prescribed length (grey scale can be used in printing) and an electronic copy shall be filed with the instructor.

## Evaluation of Written Assignments/Projects and Exams

A+	9	Grades for assignments will be a letter grades or their corresponding index values according to the schedule to the left. Any submissions received after the deadline will not be accepted and a zero grade will be entered, unless a deferment is agreed upon in advance and in writing from the instructor. All members of a group will receive the same grade unless a grade distribution form is submitted and signed by all team members. All submission shall be in hard copy, unless by prior agreement with the instructor or stated otherwise in the particular assignment. All work will be handed in at start of class. Students can expect to receive their graded work, with comments, within one week of submission, unless notified otherwise.
A	8	
A-	7	
B+	6	
B	5	
B-	4	
C+	3	
C	2	
C-	1	
F	0	

## Calculation of Course Grade

The Final Grade will be derived by weighting the index value of each component according to the proportions assigned to each assignment. The final value will be rounded to the closest index value. Final Grades may be adjusted across the entire class to keep final grades comparable across sections of required core courses, which are normally expected to have a mean grade between 4.7 and 6.1.

## General Academic Policies: Grading, Academic Honesty, Accommodations and Exams

*Grades* at Schulich are based on a 9-value index system. The top grade is A+ (9) and the minimum passing grade is C- (1). To keep final grades comparable across courses, sections of required core courses are normally expected to have a mean grade between 4.7 and 6.1.

The Schulich School does not use a percentage scale or prescribe a standard conversion formula from percentages to letter grades. Conversions within a course are at the discretion of the instructor.

For more details on the index, grading policy, and grade point average (GPA) requirements, consult your student handbook.

*Academic honesty* is fundamental to the integrity of university education and degree programs, and applies in every course offered at Schulich. Students should familiarize themselves with York University's policy on academic honesty, which may also be found in the Student Handbook and on the Schulich website:

<http://schulich.yorku.ca/current-students/academic-honesty/>

*Accommodations.* For accommodations sought due to exam conflicts, religious reasons, unavoidable absences or disabilities, please refer to the Student Handbook or contact Student Services. For counseling & disability services, contact Student Services or see <http://cds.info.yorku.ca/>.

*Exams (Absence from)*

*Mid-term.* Students who miss a mid-term examination must contact their course instructor within 24 hours and provide the course instructor with documentation substantiating the reason for the absence. A copy of the documentation must also be submitted to Student Services; it will be placed in the student's file.

*Final.* Within 24 hours of missing a final examination, students must contact the Director of Student Services, at (416) 736-5060 and must also contact their course instructor. Formal, original documentation regarding the reason for missing the exam must be submitted to the Director of Student Services, (SSB Room W262) within 48 hours of missing the final exam. Students who miss a final exam due to illness must have their doctor complete an "Attending Physician's Statement." For a copy of this document, visit <http://www.registrar.yorku.ca/pdf/attending-physicians-statement.pdf>.

Quick Reference: Summary of Classes, Activities and Deliverables			
Class No., Title and Date	In Class Case/Exercise	Reading Preparation (excluding cases and optional readings)	Assignment
1. <Date> Forces shaping the city	TBD	Jan K. Bruekner. <b>Lectures in Urban Economics</b> . The MIT Press, Cambridge, Massachusetts. 2011. <i>Chap. 1: Why Cities Exist, Pp 1-22.</i>  Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap. 8: Economic Geography and Economic History, Pp 279-302.</i>	Assigned One Issued
2. <Date> Urban spatial structure	TBD	Jan K. Bruekner. <b>Lectures in Urban Economics</b> . The MIT Press, Cambridge, Massachusetts. 2011. <i>Chap 2: Analyzing Urban Spatial Structure, Pp 23-50.</i>  Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b> . Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 3: The Urban Land Markets: Rents and Prices, Pp 35-59.</i>  Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap. 2: Agglomeration and Clustering, Pp. 49-72. Chap. 3: The Spatial Distribution of Activities, Pp 73-106. Chap. 4: The Spatial Structure of the Urban Economy, Pp 107-153.</i>	
3. <Date> Infrastructure and urban systems	TBD	Neil S. Grigg. <b>Infrastructure Finance: The Business of Infrastructure for a Sustainable Future</b> . John Wiley & Sons, Inc. 2010. <i>Chap. 2: Models of the Infrastructure Sectors, Pp 35. Chap. 3: Infrastructure and the Constructed Environment, Pp 37-64.</i>	Assignment One Due Assignment Two Issued
4. <Date> Property markets	TBD	Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b> . Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 2: The Operation of Property Markets: A Micro and Macro Approach, Pp 22-24.</i>	
5. <Date> Capital markets	TBD	Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b> . Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 1: The Property and the Capital Markets, Pp 1-21.</i>	
6. <Date> Analyzing real estate markets	TBD	N/A	
	NO CLASS (Reading Week)		
7. <Date> Housing markets	TBD	Jan K. Bruekner. <b>Lectures in Urban Economics</b> . The MIT Press, Cambridge, Massachusetts. 2011. <i>Chap. 6: Housing Demand and Tenure Choice, Pp 115-136.</i>  Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b> . Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 8: The Market for Housing Units: Households, Prices, and Financing, Pp 182-215. Chap. 9: The Market for Housing Services: Moving, Sales and Vacancy, Pp 216-241.</i>  George Fallis. <b>Housing Economics</b> . Butterworth & Co. (Canada). Toronto. 1985. <i>Chap. 2: The Demand for Housing, Pp 27-48. Chap 3: The Supply of Housing, Pp 49-72. Chap 4. Models of the Housing Market, Pp 73-90.</i>	Assignment Two Due Assignment Three Issued
8. <Date> Non-residential land uses	TBD	Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets</b> . Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 5: Firm Site Selection, Employment Decentralization, and</i>	

		<p><i>Multicentered Cities, Pp 91-123. Chap 11: The Operation of Nonresidential Property Markets, Pp 242-268.</i></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap. 1: Industrial Location: The Location of the Firm in Theory, Pp 3-48.</i></p>	
9. <Date> Dynamics of Office Markets	TBD	<p>John M. Clapp. <b>Dynamic of Office Markets: Empirical Findings and Research Issues.</b> AREUEA Monograph Series, No. 1. The Urban Institute Press. Washington DC. 1993. <i>Chap. 1: Introduction, Pp 1-26. Chap. 2: Office Market Cycles: The Natural Vacancy Rate, Pp 27-42. Chap 4: The Economics of Office Locations, Pp 65-84.</i></p>	
10. <Date> Retail locations and market competition	TBD	<p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets.</b> Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap 6: Retail Location and Market Competition, Pp 124-148.</i></p>	<p><b>Assignment Three Due</b> <b>Assignment Four Issued</b></p>
11. <Date> Trends in the global economy	TBD	<p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap: 9: Cities and Regions in the Modern Global Economy, Pp 303-329.</i></p>	
12. <Date> Governments and public services	TBD	<p>Denise DiPasquale and William C. Wheaton. <b>Urban Economics and Real Estate Markets.</b> Prentice Hall, Englewood Cliffs, NJ. 1996. <i>Chap. 13: Local Governments, Property Taxes, and Real Estate Markets, Pp319-347.</i></p> <p>Philip McCann. <b>Modern Urban and Regional Economics</b> (Second Edition). Oxford University Press. Oxford, United Kingdom. 2013. <i>Chap 10: Modern Urban and Regional Economic Poliy Analysis, Pp 330-375.</i></p>	<p><b>Assignment Four Due</b></p>
<Date>			<p><b>Final Exam</b></p>

**MEMORANDUM**  
***Peter F. Bronfman Business Library***

**SUBJECT:** Library Statement for PROP 6150 3.00  
Economic Forces Shaping the City

**FROM:** Angie An  
Business Librarian

**DATE:** September 15, 2016

**PROP 6150 3.00: Economic Forces Shaping the City**

York Universities Libraries (YUL) are well positioned to support the proposed course PROP6150: *Economic Forces Shaping the City*, which discusses how markets operate, the criteria for assessing market performance, and the circumstances under which markets perform.

All the reference texts will be available at the Peter F. Bronfman Business Library in January 2017. Instructor is also encouraged to utilize the e-reserve option to make required course readings accessible through the reserves section of the library catalogue. This will make it easier for students to locate readings, as they can search the course reserves using the course code or instructor's name and find a list of electronic readings.

YUL has a strong and growing collection of print and electronic books that will support this course. Keyword searching of the library catalogue shows that the collection contains materials with relevant subject headings, such as Housing, Real Property, Real Estate Businesses, and Infrastructure (Economics). Due to the nature of this course's subject, many of the print publications are located at the Peter F. Bronfman Business Library and Scott library. Furthermore, the print collection is supplemented by *Books 24x7* and *Ebrary* which contain many practitioner-focused books. Students can access them anytime anywhere by signing in with a valid Passport York account.

The library's book collection is supplemented by a strong collection of periodicals. The full-texts of many of these journals are available online, providing easier access for students. Titles such as *Infrastructure Journal*, *Real Estate Review*, *The Canadian Realtor*, *Journal of Property Management*, *Canadian Real Estate Review*, *Canadian Property Management*, *The Real Estate Journal*, *Infrastructure*, *Infrastructure Finance*, *Infrastructure Investor*, *Infrastructure Today*, and *Journal of Infrastructure Development* will provide students with useful resources.

In addition to the abovementioned materials, YUL subscribes to various databases that have strong coverage of Canadian and international academic, trade, and popular business periodical titles and will provide students with 24/7 access to articles both on and off-campus. *Proquest Business* (includes five databases: *ABI/Inform Global*, *ABI/Inform Trade and Industry*, *CBCA Complete*, *ProQuest Asian Business and Reference*, and *ProQuest European Business*), *Business Source Premier* and *Scholars Portal* will be particularly useful for students enrolled in this course.

While relevant information resources in YUL's collection will be fundamental in supporting this course, library services available in support of students are key as well. Core services available to students include reference and instructional support. Assistance with information resources is available from reference staff at the Bronfman Business Library in-person, by email, by telephone, by electronic reference via an IM service, and through appointments with a librarian. Library instruction sessions on relevant materials tailored to this course are available by contacting me at the Peter F. Bronfman Business Library.

### Memorandum

To: Faculty Council  
From: Joyce Zemans, Director, Arts and Media Administration Program  
Date: June 15, 2016

---

#### **Motion**

It is moved to approve the following motion:

1. Renaming of the MBA specialization from *Arts and Media Administration* to *Arts, Media and Entertainment Management*
2. Renaming the diploma from *Graduate Diploma in Arts and Media Administration* to *Graduate Diploma in Arts, Media and Entertainment Management*

#### **Rationale**

In keeping with the name change for the Arts and Media Administration specialization (which is part of the diploma requirements) we believe the name of the diploma should also change to Arts, Media and Entertainment Management.

Adding “Entertainment” to the program name more accurately reflects the scope of our program and its work. Lines between delivery methods and revenue models are continually being blurred and jobs in the sectors are being invented or re-invented to address the changing skill sets needed to manage the disruption. The change from “Administration” to “Management” more clearly reflects the skill sets provided to students as well as the language currently used in the industry.

Our program equips students to work in all fields in the arts, media and entertainment sectors, from legacy management to change management, from rights negotiations and managing creative people to building flexible strategies for managing the advent of new, disruptive, technologies while maintaining a solid understanding of the regulatory nature the industry.

Changing the diploma name to reflect the change to the program provides clear identification of graduates as having expertise in these areas of management study.

There are no changes to the diploma requirements, learning outcomes or assessment associated with this change nor is there a need for accommodation for any student currently enrolled in the program.

There are no additional resource requirements associated with this change.

## Change to Program/Graduate Diploma Academic Requirements Proposal Form

---

*The following information is required for all proposals involving a minor modification to program/graduate diploma academic requirements. To facilitate the review/approval process, please use the headings below (and omit the italicized explanations below each heading).*

### 1. Program/Graduate Diploma:

Graduate Diploma in Arts and Media Administration

### 2. Effective Session of Proposed Change(s):

Winter 2017

### 3. Proposed Change(s) and Rationale

#### **a) A description of the proposed modification(s) and rationale, including alignment with academic plans.**

The program requests a change in name from “Arts and Media Administration” to “Arts, Media and Entertainment Management.”

Adding “Entertainment” to the program name more accurately reflects the scope of our program and its work. Lines between delivery methods and revenue models are continually being blurred and jobs in the sectors are being invented or re-invented to address the changing skill sets needed to manage the disruption. The change from “Administration” to “Management” more clearly reflects the skill sets provided to students as well as the language currently used in the industry.

Our program equips students to work in all fields in the arts, media and entertainment sectors, from legacy management to change management, from rights negotiations and managing creative people to building flexible strategies for managing the advent of new, disruptive, technologies while maintaining a solid understanding of the regulatory nature the industry.

The new diploma name would provide a clear identification of graduates as having expertise in these areas of management study and be in keeping with the course content that has been continually updated over the years.

#### **b) An outline of the changes to requirements and the associated learning outcomes/objectives, including how the proposed requirements will support the achievement of program/graduate diploma learning objectives.**

There are no changes to the requirements or learning outcomes for the diploma.

#### **c) An overview of the consultation undertaken with relevant academic units and an assessment of the impact of the modifications on other programs/graduate diplomas.**

We have discussed a program name change with our students, faculty and advisory board over the past number of years and feel that the new name better reflects the program we currently offer to provide students with the skills to address the changes in the industry.

**d) A summary of any resource implications and how they are being addressed.**

No changes required.

**e) A summary of how students currently enrolled in the program/graduate diploma will be accommodated.**

No changes required.

**4. Calendar Copy**

Note: The change will be reflected in the MBA calendar as the diploma is not a stand-alone program.

Existing Course Information (change from)	Proposed Course Information (change to)
<p><b>GRADUATE DIPLOMA IN ARTS &amp; MEDIA ADMINISTRATION</b></p> <p>This designation is available to graduates of the MBA program who have completed the specialization in Arts and Media, a Management 6100 3.0: Strategy Field Study examining an organization in the Arts or Media sector, and satisfied an approved internship/placement.</p> <p><b>REQUIREMENTS</b></p> <ul style="list-style-type: none"> <li>• taken concurrently with a Schulich graduate degree*</li> <li>• diploma must be completed within one term of completing graduate program degree requirements</li> <li>• 12.00 credits of elective courses consisting of:               <ul style="list-style-type: none"> <li>- 3.00 credits of the required elective ARTM 6301 3.00</li> <li>- 9.00 or more credits of recommended courses</li> <li>- a minimum 12-week full-time internship in a cultural sector organization</li> </ul> </li> <li>• MGMT 6100 3.00 Strategy Field Study in a cultural sector organization.</li> </ul> <p>*Students must satisfy both Graduate Diploma (above) and MBA requirements (see page 17).</p>	<p><b>GRADUATE DIPLOMA IN ARTS, ENTERTAINMENT &amp; MEDIA MANAGEMENT</b></p> <p>This designation is available to graduates of the MBA program who have completed the specialization in Arts and Media, a Management 6100 3.0: Strategy Field Study examining an organization in the Arts, <b>Entertainment</b> or Media sector, and satisfied an approved internship/placement.</p> <p><b>REQUIREMENTS</b></p> <ul style="list-style-type: none"> <li>• taken concurrently with a Schulich graduate degree*</li> <li>• diploma must be completed within one term of completing graduate program degree requirements</li> <li>• 12.00 credits of elective courses consisting of:               <ul style="list-style-type: none"> <li>- 3.00 credits of the required elective ARTM 6301 3.00</li> <li>- 9.00 or more credits of recommended courses</li> <li>- a minimum 12-week full-time internship in a cultural sector organization</li> </ul> </li> <li>• MGMT 6100 3.00 Strategy Field Study in a cultural sector organization.</li> </ul> <p>*Students must satisfy both Graduate Diploma (above) and MBA requirements (see page 17).</p>
<p>Insert program requirements from <a href="http://gradstudies.yorku.ca/current-students/regulations/program-requirements/">http://gradstudies.yorku.ca/current-students/regulations/program-requirements/</a></p>	

Please submit completed forms and required supporting documentation by email to the Coordinator, Faculty Governance– [mmschiff@yorku.ca](mailto:mmschiff@yorku.ca)

## New Course Proposal: EMBA 6550 Leading Entrepreneurial Growth

---

1. **Program:** Kellogg-Schulich Executive MBA
2. **Course Number:** EMBA 6550
3. **Credit Value:** 2.0
4. **Long Course Title:** Leading Entrepreneurial Growth
5. **Short Course Title:** Leading Entrepreneurial Growth
6. **Effective Session:** Summer 2017

7. **Calendar (Short) Course Description:**

This course focuses on the challenges and strategies associated with “scaling up” entrepreneurial organizations or ventures beyond the start-up phase. Drawing on leading edge international scholarly and practitioner work, it will explore innovative scaling strategies, discuss how to navigate through the growth phase, and guide participants in their personal leadership journey to help create success for them and their organization.

8. **Expanded Course Description:**

This course focuses on the challenges and strategies associated with “scaling up” entrepreneurial organizations or ventures as they successfully move past the start-up phase and are preparing to rapidly grow into viable, sustainable businesses. Drawing on leading edge international scholarly and practitioner work, and utilizing a dynamic blend of guest speakers, case studies and class discussions, we will explore innovative scaling strategies, discuss implementation tactics for navigating through the relatively chaotic rapid growth phase, and provide insights on how to manage the participants’ personal leadership journey to improve the probability of success for both them and their organization. The course aims to provide students with a set of tools that can be used to enable entrepreneurial growth, focusing in particular on (i) analyzing and evaluating growth opportunities and the options they expose; (ii) assessing growth challenges facing entrepreneurial organizations and generating solutions to mitigate these challenges; (iii) evaluating leader behavior in growth situations and recommending leadership strategies; and (iv) identifying key performance indicators for growing firms, and breaking them down into actionable goals for middle managers and lower level employees.

9. **Rationale:**

Throughout their career, the vast majority of executives will develop and lead entrepreneurial ventures, either as a stand-alone start-up or as a part of corporate venturing. Consequently, these activities have now become an integral part of many MBA and Executive MBA programs, including ours. What research shows, however, is that the growth phase after the initial inception of the new venture is the most critical period, because the ventures must grow rapidly in order to turn into successful and lasting businesses or corporate divisions. This course attempts to address this critical juncture and does so in a very experiential manner, which seems most appropriate for this kind of course offering.

10. **Evaluation:**

Participants will be assessed based on four components, with 55% to be carried out individually, the other 45% in teams (albeit with peer evaluations capturing individual contributions to group-based

work). The components are: (i) an individual case analysis to be carried out and submitted before the start of the course (30%); (ii) a team-based case presentation during the course (25%); (iii) a team-based written report on the scaling strategy for a new venture (25%); and (iv) the individual contribution to the class, which includes in-class participation as well the posting of relevant material on the KS Learning Space (20%)

#### **11. Integrated Courses:**

This course is not integrated.

#### **12. Crosslisted Courses:**

This course is not crosslisted.

#### **13. Faculty Resources:**

This course will be taught by Charlene Zietsma, Associate Professor and Ann Brown Chair of Organization Studies, and Director of Entrepreneurial Studies at Schulich and Steve Parkhill, a transformational leader and founder of the research and consultancy firm ScaleAgility. Professor Zietsma is internationally renowned for her research on innovation and entrepreneurship, particularly in the areas of sustainable and social innovation. She is currently researching the leadership of entrepreneurial organizations through fast or exponential growth phases. Professor Parkhill has over 25 years' experience as a senior executive in the Canadian Food industry with companies such as Maple Leaf Foods, Schneider Foods, Sofina Foods, JS McMillan Fisheries and Rogers' Chocolates. He founded ScaleAgility in 2015 to advise the leadership of high growth companies.

#### **14. Physical Resources:**

The course will take place once per year in the Executive Learning Centre within the Schulich School of Business, which is fully equipped to handle these Executive MBA courses. If needed, participants can also draw on any other resources within Schulich, including the Bronfman business library, as well as York University as a whole. No other resources will be required.

#### **15. Bibliography and Library Statement:**

The detailed list of cases and readings will be provided in the course outline and updated, as needed, from year to year. After obtaining the necessary permissions, all the required as well as additional readings will be made available to participants only via the program specific Kellogg-Schulich Learning Space, which will also host a discussion and posting site limited to class participants. As per the attached library statement the physical and online holdings of the York University Library are fully sufficient to support this course.



EXECUTIVE MBA GLOBAL NETWORK

## EMBA6550 Leading Entrepreneurial Growth

### Course Outline

June 2017

#### Instructors

Dr. Charlene Zietsma  
 N317 Seymour Schulich Building  
 416-736-2100 ext. 77919  
[czietsma@schulich.yorku.ca](mailto:czietsma@schulich.yorku.ca)

Prof. Steve Parkhill  
 Founder, ScaleAgility Inc.  
 647-515-0356  
[sparkhill@scale-agility.com](mailto:sparkhill@scale-agility.com)

#### Class times

June 2, 2017: Class 1  
 June 3, 2017: Class 2  
 June 4, 2017: Class 3  
 June 23, 2017: Class 4  
 June 24, 2017: Class 5

Office hours: by appointment

### Instructor Biographies

Charlene Zietsma is an Associate Professor and Ann Brown Chair of Organization Studies, and Director of Entrepreneurial Studies at Schulich. She is internationally renowned for her research on innovation and entrepreneurship, particularly in the areas of sustainable and social innovation. She is currently researching the leadership of entrepreneurial organizations through fast or exponential growth phases.

Steve Parkhill is a transformational leader with over 25 years' experience as a senior executive in the Canadian Food industry with companies such as Maple Leaf Foods, Schneider Foods, Sofina Foods, JS McMillan Fisheries and Rogers' Chocolates. In 2015, Steve founded ScaleAgility, a research and consultancy firm focused on leading high growth firms.

### Course Description

This course focuses on the challenges and strategies associated with "scaling up" entrepreneurial organizations or corporate ventures as they successfully move past the start-up phase and are preparing to rapidly grow into viable, sustainable businesses. Drawing on leading edge international scholarly and practitioner work, and utilizing a dynamic blend of guest speakers, case studies and class discussions, we will explore innovative scaling strategies, discuss implementation tactics for navigating through the relatively chaotic rapid growth phase, and provide insights on how to manage your own personal leadership journey to improve the probability of success for both you and your organization.

### Course Learning Objectives

To enable students to recognize, understand and act to mitigate the challenges involved in growing entrepreneurial firms, and to provide students with a set of tools that can be used to enable entrepreneurial growth. Specifically, students will learn to

- Analyze and evaluate growth opportunities and the options they expose

- Assess growth challenges facing entrepreneurial organizations and generate solutions to mitigate these growth challenges
- Evaluate leader behavior in growth situations and recommend leadership strategies
- Identify key performance indicators for growing firms, and break them down into actionable goals for middle managers and lower level employees

## Contents

Deliverables at a Glance.....	2
Course Material.....	2
Preparation for Class and Class Contribution: Expectations.....	2
Class-by-Class Syllabus.....	3
Course Deliverables: Descriptions and Evaluation.....	6
Calculation of Course Grades.....	7
Assignment General Rules .....	8

## Deliverables at a Glance

Your performance in the course will be evaluated through the following components. Each component will be awarded a letter grade and a final letter grade for the course will be calculated as follows:

Component	% of Total	Due Date
Case Analysis (individual)	30	Due at the beginning of the course
Participation: In class and online contribution (individual)	20	Throughout all classes
Team Case Presentation (team)	25	One of Class 2, 3, 4 or 5
New Venture Scaling Strategy (team)	25	Due on June 24 at 11:59 pm
<b>Total</b>	<b>100</b>	

## Course Material

**Required reading:** A coursekit and some additional readings are available online. Required reading for each class is listed below.

**Course website:** The course website will be posted on the KS Learning Space course site: <https://learningspace.schulich.yorku.ca/>. A discussion and posting site will be available on the KS Learning Space course site (limited to class participants).

## Preparation for Class and Class Contribution: Expectations

You are expected to come to class having completed your readings and assignments. You are expected to be a contributor to the class by sharing your knowledge, analysis and creative enthusiasm. Furthermore, you are expected to work with your team on a case presentation. Class contribution will be graded (see below).

## Class-by-Class Syllabus

Classes are designed to be highly interactive, comprising a mixture of case and concepts discussions, group work, presentations and guest speakers.

### Class 1 **The Challenges of Entrepreneurial Growth**

June 2,  
2017 This class will outline the key issues facing entrepreneurial firms undergoing rapid growth phases, including issues of strategy, business model change, people and organizational change, and execution challenges.

#### **Readings:**

Gulati, R. & DeSantola, A., (2016). Start-Ups that Last. Harvard Business Review, 94(3), 14. Reprint R1603C.

Bussgang, J. (2015). Scaling the chasm:  
<http://bostonvcblog.typepad.com/vc/2015/01/scaling-the-chasm.html>

**Case:** Micromax: Scaling the Largest Indian Mobile Handset Company (HBS 9-415-034)

#### **Optional Readings:**

Brigl, M., Hong, M. Roos, A., Schmiegl, F. & Wu, X. (2016). Corporate Venturing Shifts Gears. How the Largest Companies Apply a Broad Set of Tools to Speed Innovation. BCG Perspectives. <https://www.bcgperspectives.com/content/articles/innovation-growth-corporate-venturing-shifts-gears-how-largest-companies-apply-tools-innovation/>

The Swift Rise--and Fall--of America's One-Time Fastest-Growing Company  
<http://www.inc.com/magazine/201609/lindsay-blakely-burt-helm/2016-inc5000-unraveling-of-fuhu.html>.

Applegate, L. (2015). Leading High-Growth Ventures. Harvard Business School Press. Product #: 8082-HTM-ENG.

Harnish, V. (2014). Scaling Up: How a few companies make it and the rest don't. Ashburn, VA: Gazelles Inc. Free chapter (downloadable at [www.scalingup.com](http://www.scalingup.com)): THE BARRIERS: Leadership, Infrastructure, and Market Dynamics

### Class 2 **Growth Strategy and Business Model Change**

June 3,  
2017 In this class, we'll discuss different strategic approaches to growth and discuss contingencies that affect growth strategy choices including growth mode, targets and pacing. We'll discuss changes to the business model both to increase scalability and to extend to new markets and offerings.

#### **Readings:**

Eisenmann, T. (2014). Business Model Analysis for Entrepreneurs. Harvard Business Press, 812096.

Eisenmann, T. (2014). Scaling a startup: Pacing issues. Harvard Business Press, 812099.

**Case:** Joint Juice, HBS #9-803-146. Additional case vignettes (presented in class).

**Optional Readings:**

**Pivoting:** <https://steveblank.com/2010/04/12/why-startups-are-agile-and-opportunistic-%E2%80%93-pivoting-the-business-model/>

**Metrics:** <http://bostonvcblog.typepad.com/vc/2015/02/why-metrics-get-worse-with-scale.html>

**Partnerships:** <http://blog.openviewpartners.com/building-your-partner-ecosystem-who-are-your-potential-ecosystem-partners/>

**Opportunity Evaluation:** Skarzynski, P. & Gibson, R. (2008). Asking the Right Questions at the Right Time: Evaluating New Growth Opportunities. Harvard Business Press, 5111BC.

Class 3  
June 4,  
2017

**Execution: Operations and Management Systems**

In this session, we will discuss formalization of management systems as a means of creating the replicability required for efficient scaling. We will discuss some management systems, emphasize the importance of cash and process control, and discuss dashboarding. We will also discuss the tension between control and innovation, and examine ways to manage that tension.

**Readings:**

Davila, A., Foster, G., & Jia, N. (2010). Building sustainable high-growth startup companies: Management systems as an accelerator. California Management Review, 52(3), 79-105.

**Case: Open English**

**Optional Readings:**

**Innovation:** Hanson & Birkinshaw, (2007). The innovation value chain. Harvard Business Review, June. Reprint R0706.

**Dashboarding:** Mullins, J. & Komisar, R. (2009): Guiding your flight progress: The power of dashboards. Building a better business model through trial and error. HBR, 5361BC, ISBN-13:978-1-4221-5364-2

**Cash flow management:** Churchill, N. C., & Mullins, J. W. (2001). How fast can your company afford to grow. *Harvard Business Review*, 79(5), 135-142.

Class 4  
June 23,  
2017

**People and Organizational Issues I: Team Members, Organizational Structure Changes, Formalizing Hiring and Managing Performance, and Incentivizing**

In this session, we will address the idea of hiring and/or partnering with scalable people and knowing when to hire people with specific profiles. We will discuss equity participation for incentivizing and some common pitfalls associated with it. We will discuss tying individual metrics to core strategy.

**Readings:**

Cohn, J. M., Khurana, R., & Reeves, L. (2005). Growing talent as if your business depended on it. *Harvard Business Review*, 83(10), 62.

Eisenmann (2014). Scaling a Startup: People & Organizational issues. Harvard Business School, 812100-PDF-ENG.

**Case:** Cloudflare: Running Hot? (HBS 813145-PDF-ENG)

**Optional Readings:**

Alvarez, C. Hiring the RIGHT “Big Company” People for Startups. <http://www.cindyalvarez.com/best-practices/hiring-the-right-big-company-people-for-startups>

Class 5  
June 24,  
2017

**People and Organizational Issues II: Culture, On-boarding, Communication, Leadership, Self-Assessment, Succession Issues, Governance**

In this session, we will focus on organizational issues through growth by examining culture and on-boarding processes, leadership and self-assessment, succession issues and governance.

**Readings:**

Amabile, T. & Kramer, S. (2011). *The Catalyst Factor: How Helping Your Employees Do Their Work Builds a Culture of Engagement and High Performance*. HBR Press, Product #8605BC.

Harnish, V. (2014). *Scaling Up: How a few companies make it and the rest don't*. Ashburn, VA: Gazelles Inc.: Rockefeller Habits. Bonus chapter: Strategic Planning: Preparing and Leading the Planning Process, plus Rockefeller Habits Checklist (available for download on the website <https://scalingup.com/>).

**Case: Growing Pains at Stroz Friedberg (HBS 9-313-023)****Optional Readings:**

Hamm (2002). Why Entrepreneurs Don't Scale. Harvard Business Review (December).

Wasserman, N. (2008). The Founder's Dilemma. Harvard Business Review, February. Reprint R0802G.

Jeff Dyer, Hal Gregersen and Clayton M. Christensen, (2011). Putting The Innovator's DNA into Practice: How Innovative Leaders Institute processes that Encourage the Discovery Skills of Disruptive Innovation, HBR Press – 8385BC.

**Course Deliverables: Descriptions and Evaluation****1. Individual Case Analysis (30%): Due before the first class on June 2, 2017 at 9:00 am, to be posted on the KS Learning Space course site.**

You will be assigned one of the cases that we will cover in classes 2-5. Analyze the case, with the following questions in mind:

- 1) What growth-related symptoms or full-fledged problems is the company experiencing at the time of the case (consider issues of growth strategy, infrastructure, systems, cash flow, execution, people and organization)?
- 2) What could company leaders have done better to avoid these problems?
- 3) What opportunities could the company have pursued better if they had taken a more active approach to planning for scaling?

A rubric will be posted on the course site. The case analysis should be no more than 1000 words + exhibits, and please name the document using your last name and the case (e.g., Zietsma-Cloudflare.doc).

**2. Team Case Presentation (25%): Due during the class in which the case you completed your individual case analysis is assigned (e.g., if you were assigned Cloudflare for your individual case assignment, you and your team members will do Cloudflare for your team case presentation on June 23; if you were assigned Open English, your team will present on June 4).**

Your goal in the team case presentation is to synthesize the analysis you did individually on the case and together develop an action plan for the company you are assigned. Use your understanding of growth challenges and remedies to act as consultants to the key decision-maker in the case. Develop a presentation of no more than 12 minutes, and be prepared to present it in class during the day we discuss the case. Submit your slides by email prior to the class. A peer evaluation process will be used to adjust group grades (see below).

**3. Team New Venture Scaling Strategy Report (25%): Due on June 24 before 11:59 pm.**

Working with your new venture team for EMBA 6190 (or as many of them as are taking this course), develop a scaling strategy for your new venture. You should specifically consider some of the growth

challenges we have addressed in the course and some of the means of managing them, and develop a plan to build scalability into your products, strategies, people and processes. Report should be no more than 1000 words plus exhibits. Please use 12 pt. font for the main body text and name the document with your venture name. A peer evaluation process will be used to adjust group grades (see below).

#### 4. Class Contribution (20%): Assessment ongoing

An engaged, interactive classroom aids the learning experience for all of us. Examples of a valuable contribution to class include: bringing in examples and illustrations from outside the classroom (and/or posting these on the KS Learning Space course site); good analysis of readings and cases that moves the discussion forward; insightful questions, commentary, or answers; good quality presentations; facilitation and leadership of effective group work; etc. Remember though, quality will always trump quantity. In-class preparation is graded as shown below during each class. Up to 5 points will also be awarded for contribution to the KS Learning Space.

Grade	Contribution
0	Does not attend class
1	Attends class but contributes only marginally
2	Contribution is of average quality and quantity
3	Makes an active and valuable contribution to the class that enhances the class experience

#### Peer evaluation process:

Individual grades on team assignments are determined through a peer review of your team members. Each member will assign a weight that represents the contribution of each team member to the team such that the average weight assigned to team members is exactly 100. The team grade will then be adjusted by the weight, at the instructor's discretion. See an illustration below.

Percent given	To A	To B	To C	Average
By A	NA	120	80	100
By B	116	NA	84	100
By C	88	112	NA	100
Average	102	116	82	100
Peer Review Weight=Average/100	102/100	116/100	82/100	1
Individual grade if the team grade is 80%	82%	93%	66%	80%

#### Calculation of Course Grades

In this class, final course grades will be determined by the following process: Each deliverable will be assigned a letter grade from A+ through F. To calculate the final grade, these letter grades for each assignment will be translated into grade points using the conversion scheme detailed below. These are then added using the percentage weight of each assignment and rounded up or down to the nearest full grade point, which is finally translated back into the corresponding letter grade.

Letter Grade	A+	A	A-	B+	B	B-	C+	C	C-	F
--------------	----	---	----	----	---	----	----	---	----	---

Grade Points	9	8	7	6	5	4	3	2	1	0
--------------	---	---	---	---	---	---	---	---	---	---

## Assignment General Rules

Please note the following general rules on penalties:

- Please contact me prior to the submission deadline if, for any reason, you require an extension for any assignment. Assignments received late without a pre-approved extension will be deducted one grade point for each day late from the due date/time.
- Assignments over the word or time limit will not be graded past the posted word or time limit. For example, an assignment handed in with 1,200 words would have only the first 1,000 words graded. A presentation would not be allowed to go over the time limit.

**Academic Honesty** is fundamental to the integrity of university education and any degree program, and applies in every course offered at Schulich and within the Kellogg EMBA Global Network. This particular course is subject to the rules mandated by York University and the Kellogg Honor Code, which you signed at the outset of the program. For details please refer to your Student Guide and the following

website: [http://www.schulich.yorku.ca/client/schulich/schulich\\_lp4w\\_lnd\\_webstation.nsf/page/Academic+Honesty!OpenDocument](http://www.schulich.yorku.ca/client/schulich/schulich_lp4w_lnd_webstation.nsf/page/Academic+Honesty!OpenDocument)

MEMORANDUM  
*Peter F. Bronfman Business Library*

**SUBJECT:** Library Statement for EMBA 6550  
Leading Entrepreneurial Growth

**FROM:** Angie An  
Business Librarian

**DATE:** September 12, 2016

**EMBA 6550: Leading Entrepreneurial Growth**

York Universities Libraries (YUL) is well positioned to support the proposed course EMBA 6XXX: *Leading Entrepreneurial Growth* which aims to enable students to recognize, understand and act to mitigate the challenges involved in growing entrepreneurial firms, and to provide students with a set of tools that can be used to enable entrepreneurial growth. YUL's strong collection of relevant books, periodicals and online resources will meet students' research needs for this course.

The course proposal lists a course kit and online readings. Students may purchase the Harvard School of Business cases due to licensing requirement. All of the required readings as stated on the course proposal can be accessed from the free web or through YUL's catalogue. The Bronfman Business Library offers an e-reserve option for instructors who wish to provide access to required course readings through the reserves section of the library catalogue. This will make it easier for students to locate readings, as they can search the course reserves using the course code or instructor's name and find a list of electronic readings.

YUL has an excellent collection of online periodicals in relevant subjects. Titles such as *Entrepreneurship: Theory and Practice*, *Entrepreneurship at a Glance*, *Strategic Entrepreneurship Journal*, *Journal of International Entrepreneurship*, *Journal of Entrepreneurship Research*, *Journal of Entrepreneurship Education*, *Academy of Entrepreneurship Journal*, and *Entrepreneurship Research Journal* will provide students with useful supplementary resources around the clock.

YUL has a strong collection of electronic books that will support this course. Keyword searching of the library catalogue shows the collection contains materials with relevant subject headings, such as: Entrepreneurship, Small Business, New Business Enterprises and Social Entrepreneurship. For more practitioner-focused electronic books students may check *Books 24x7* and *Ebrary* which are available around the clock.

YUL subscribes to various databases that have strong coverage of Canadian and international academic, trade, and popular business periodical titles and will provide students with around the clock online access to articles. *Proquest Business* (includes five databases: *ABI/Inform Global*, *ABI/Inform Trade and Industry*, *CBCA Complete*, *ProQuest Asian Business and Reference*, and *ProQuest European Business*), *Business Source Premier* and *Scholars Portal* will be particularly useful for students enrolled in this course.

24/7 online access to current and historical major Canadian newspapers are available to the students through databases such as *Canadian Newsstand Major Dailies*, *CBCA Current Events*, and *Proquest Historical Newspapers*. International newspaper and media coverage is available through databases such as *Factiva*, *Lexis Nexis Academic*, and *Financial Times Historical Archive (1880-2010)*.

While relevant information resources in YUL's collection will be fundamental in supporting this course, library services available in support of students are key as well. Core services available to students include reference and instructional support. Assistance with information resources is available from

reference staff at the Bronfman Business Library in-person, by email, by telephone, by electronic reference via an IM service, and through appointments with a librarian.



**Schulich**  
School of Business  
York University

# Memorandum

**To:** Faculty Council  
**From:** Markus Biehl, Associate Dean Academic  
**Date:** October 6, 2016  
**Subject:** Motion re Revised Grounds for Appeal to Executive Committee

## OFFICE OF THE DEAN

**Associate Dean  
Academic**

4700 KEELE ST.  
TORONTO ON  
CANADA M3J 1P3

T 416 736 5097  
F 416 736 5762

ada@schulich.yorku.ca  
ada.schulich.yorku.ca

On July 1<sup>st</sup> 2016, the Senate Appeals Committee (SAC) implemented a revised set of procedures (detailed in Appendix 1). Among the changes was a clarification of the grounds upon which appeals to SAC will be considered.

As Schulich's Faculty Council is a standing committee of Senate, it follows that Schulich's procedures for appeals should conform to those applied at the Senate level. It is therefore proposed that the grounds upon which appeals will be considered by Schulich's Executive Committee be revised to the following, to align with those of SAC:

1. The decision under appeal was made without jurisdiction;
2. A denial of natural justice, such as (but not limited to) a reasonable apprehension of bias on the part of the original decision maker(s) or a fundamental procedural error, such as the consideration of information that ought not to have been considered or the failure to consider information or special circumstances that ought properly to have been considered;
3. Inconsistent application of the relevant regulations; or
4. New evidence has arisen that could not reasonably have been presented, and that would likely have affected the original decision. Generally speaking, events or performance subsequent to the relevant time does not constitute new evidence for the purposes of this provision.

The proposed changes to the Executive Committee mandate are included in Appendix 2.

## University Secretariat

### Memorandum

To: Faculty Petitions and Appeals Committee Secretaries

From: Terry Carter, Secretary, Senate Appeals Committee

Date: June 17, 2016

Subject: **Revised Senate Appeals Committee Procedures**

On June 16, 2016, Senate received the revised Senate Appeals Committee (SAC) Procedures. These will be effective July 1, 2016.

The final version of the Procedures is attached. They have been minimally changed since you saw them in April, with all timing references now in days and it being clear that we are referring to “calendar” days.

The primary revisions are:

1. There are four grounds for appeal.
  - a) The decision under appeal was made without jurisdiction;
  - b) A denial of natural justice, such as (but not limited to) a reasonable apprehension of bias on the part of the original decision maker(s) or a fundamental procedural error, such as the consideration of information that ought not to have been considered or the failure to consider information or special circumstances that ought properly to have been considered;
  - c) Inconsistent application of the relevant regulations; or
  - d) New evidence has arisen that could not reasonably have been presented, and that would likely have affected the original decision. Generally speaking, events or performance subsequent to the relevant time does not constitute new evidence for the purposes of this provision.
2. Consideration of files is streamlined.
  - a) The Committee Chair may decide not to advance the proceeding if the file is incomplete, the appeal is filed late, or there is some other technical defect. Appellants will be given 15 days to fix the problem.
  - b) There is no separate leave to appeal consideration. The appeal will be heard at one meeting so, when you send us the Faculty-level documentation, **it is important that you indicate if the Faculty wishes to be represented.**
  - c) The Committee may meet *in camera* and decide to dismiss an appeal without a hearing.

- d) Where both parties attend a hearing, the hearing panel may choose to give an oral decision, with written reasons provided only on request. Where only one party is present, an oral decision may be given, with written reasons supplied.
3. Faculty members can no longer appeal to SAC and Faculty appeals committees will no longer be permitted to request reconsideration of a SAC decision.

I was asked for a paragraph for Faculty appeals committee to use to advise appellants of their right to appeal to SAC. The link in the paragraph below still leads to the old procedures; the new procedures will be available shortly at the same web address.

You may appeal this decision to the Senate Appeals Committee (SAC). A Notice of Appeal must be submitted to the University Secretariat **by 5:00 pm on the 30th day after receipt of this decision**. To appeal this decision you must have grounds (reasons) for SAC to consider the appeal. Full information on submitting an appeal, acceptable grounds for appeal and the appeals procedures can be found in the SAC Procedures at <http://secretariat.info.yorku.ca/files/SACProcedures.pdf>

Should you have any questions, you may contact the committee secretary at [appeals@yorku.ca](mailto:appeals@yorku.ca) or at 416-736-2100, ext 22220.

cc: C. Underhill, R. Everett, M. Roseman

# **SENATE APPEALS COMMITTEE PROCEDURES**

(Revised April 7, 2016; effective July 1, 2016)

## **INTERPRETATION**

These procedures shall be liberally construed to secure the just, most expeditious and cost-effective determination of every proceeding on its merits.

## **INITIATING AN APPEAL**

### **Jurisdiction**

Students may appeal to the Senate Appeals Committee (“the Committee”) against a Faculty Council decision relating to:

1. waiver of a Faculty's academic regulation or deadline,
2. findings of breach of academic integrity and/or the penalties levied in such cases, or
3. grade reappraisal.

An appeal may not be filed with the Committee until all procedures at the Faculty level have been exhausted. Students should consult the relevant student service office of their Faculty for regulations governing Faculty petition and appeals procedures.

### **Grounds for Appeal**

An appeal may be initiated on one or more of the following grounds:

1. The decision under appeal was made without jurisdiction;
2. A denial of natural justice, such as (but not limited to) a reasonable apprehension of bias on the part of the original decision maker(s) or a fundamental procedural error, such as the consideration of information that ought not to have been considered or the failure to consider information or special circumstances that ought properly to have been considered;
3. Inconsistent application of the relevant regulations; or
4. New evidence has arisen that could not reasonably have been presented, and that would likely have affected the original decision. Generally speaking, events or performance subsequent to the relevant time does not constitute new evidence for the purposes of this provision.

## **Time to File Appeal**

An appeal to the Committee shall, except in exceptional circumstances, be commenced by filing a Notice of Appeal form no later than 5:00 pm on the 30th<sup>1</sup> day after receipt of the decision being appealed. Where the deadline falls on a day when the University is closed, the deadline shall be deemed to fall on the next regular business day of the University at 5:00 pm. (The Chair of the Committee may waive this deadline in special circumstances which must be established by the appellant.)

An appeal is filed either by submitting it in person or by post to the Senate Appeals Committee, c/o University Secretariat, 1050 Kaneff Tower, York University, 4700 Keele Street, Toronto, ON M3J 1P3, or by emailing it to [appeals@yorku.ca](mailto:appeals@yorku.ca).

For the purposes of computing time, receipt of a decision is deemed to have taken place five days after the decision was released unless there is evidence to the contrary.

## **Contents of Appeal**

No application for appeal to the Committee shall be considered unless it includes a succinct statement of the following:

- a) the specific Faculty decision which is being appealed;
- b) the outcome being requested;
- c) the specific grounds on which the appeal is made;
- d) a summary of the evidence in support of these grounds;
- e) an indication as to whether the appellant and/or representative wishes to attend a hearing, and
- f) if the grounds for appeal includes new evidence, the original documents that constitute or corroborate the new evidence.

The Committee shall request from the Faculty all documents that were considered at the Faculty level including the text of the Faculty decision being appealed and any response to the appeal which the Faculty may wish to make. The Faculty shall also indicate if it wishes to be represented. Along with the appellant's submission, this will constitute the Committee file.

The appellant will be given 15 days to review the Committee file and to respond to the Faculty's submission. Any response will become part of the Committee file. The

---

<sup>1</sup> In this document, "days" refers to calendar days.

appellant is not required to respond and can accelerate the process by indicating before the 15 days have elapsed if no response is to be expected.

### **Decision Not to Advance the Proceeding**

The Committee Chair may decide not to advance the proceeding if:

- a) the Notice of Appeal is substantially incomplete, defective or inaccurate, or the documents provided are substantially incomplete;
- b) the documents are received after the deadline for commencing the proceeding has passed and a request to the Chair for an extension of time has not been filed;
- c) there is some other substantial technical defect in the proceeding as filed.

The Chair shall give the party who filed the documents relating to a proceeding notice of its decision not to advance the proceeding and shall set out in the notice the reasons for the decision and the requirements for re-advancing the proceeding. Only one such notice shall be given. A party who receives a notice from the Chair under subsection (b) must rectify the defect or deficiency within 15 days from the date of the notice or, with the consent of the Chair, within a reasonable time.

### **Dismissal of Appeal Without Hearing**

The Committee may, on its own motion, dismiss a case after a review of the documents filed and without hearing from the parties if:

- a) the Committee determines that it does not have jurisdiction; or
- b) the Committee meets in camera and determines that the appeal is clearly without merit or commenced in bad faith.

The Committee shall notify the parties in writing of its intention to dismiss the appeal without hearing from the parties, and it shall invite and consider written submissions of the parties on the Committee's jurisdiction to hear the matter, the merit of the appeal, or the completeness of the records, as the case may be.

If a decision is made to dismiss an appeal without hearing from the parties, the Chair shall inform the parties in writing of its decision.

## **PROCEDURES GOVERNING HEARINGS**

### **Appointment of a Hearing Panel**

Hearings are normally held before a panel of three members of which normally one member is a student. In the event of an absence, the panel may proceed with two members with the consent of the parties. In the case of a tie vote, the case will be

referred to another panel for consideration. Cases involving Academic Honesty must be considered by a panel of three.

A member of the panel shall disqualify himself or herself if he or she is involved in the case as a party or a witness or has other substantial reason to believe that he/she could not be impartial. A member may be challenged for cause by a party for the same reasons. A member shall be disqualified by a majority vote of the Committee. A member may not vote on his/her own disqualification, but may make a statement.

In cases where SAC has decided that there will be a new hearing of an academic honesty case, it shall be heard before a panel of five members of which two members are students.

### **Right to Attend Hearing**

Both the appellant and the respondent and/or his/her representative(s) have the right to appear before the Committee to present argument and evidence and to examine and cross-examine witnesses. The Committee, on its own initiative, may request the parties to appear at the hearing.

### **Hearings to be Private**

A hearing of the Committee deals with issues related to individual students and ordinarily is conducted in private. Exceptionally, a hearing may be held in public if the Chair is satisfied that confidentiality concerns can be adequately addressed, and if the parties consent.

Documentation provided in the course of an appeal is treated as confidential subject to the *Freedom of Information and Protection of Privacy Act*.

### **Notice of Hearing**

A hearing shall be commenced as soon as possible following the appellant's response to the Committee file.

An attempt shall be made to schedule the hearing at a time and place convenient for the parties and for the panel. However, any party whose reasons for absence are not considered valid by the Panel Chair, or whose absence may cause unreasonable delay, shall be notified that the panel will proceed in that party's absence.

The parties shall be given reasonable, written notice of the hearing. In the case of the student, the notice shall be sent via electronic mail to an address provided by him/her for that purpose.

### **Representation at the Hearing**

The parties are entitled to the assistance of an advisor or any other person, including a legal representative throughout the process. The cost of representation is born by the party and no costs will be awarded by the Committee against one party for representation of another party.

## **Order of the Hearing**

The following indicates the order of an appeal where the parties are present. The Committee may alter the order of the hearing in the interest of fairness to any or all of the parties.

- a) The Chair shall commence the proceeding by addressing one or more of the following:
  - i. Identifying the parties and members of the committee;
  - ii. identifying the nature of the appeal;
  - iii. noting for the record the documentary information submitted by the parties, and
  - iv. addressing any preliminary issues raised by the parties or questions to clarify issues from the panel.
- b) The Appellant or representative shall be the first to present their position and any documentary evidence or testimony in support of their case.

Questioning of the Appellant and his/her witnesses, if any, by the Respondent and/or by the panel occurs at the close of each person's testimony except that the panel may seek clarification during the course of testimony.

- c) The Respondent or representative shall then provide their reply including the factual support of the case through documentary evidence or testimony of the respondent or witnesses.

Questioning of the Respondent and his/her witnesses by the Appellant and/or by the panel occurs at the close of each person's testimony except that the panel may seek clarification during the course of testimony.

The Appellant and his/her witnesses shall be allowed to offer testimony or other evidence in reply to new issues raised in the Respondent's presentation.

After the testimony of each witness, the committee may, in addition to asking questions of the witness as permitted above, request copies of such documents mentioned in testimony as the committee in its discretion sees fit. After this, no new arguments or evidence regarding the appeal may be introduced.

The parties are entitled to make closing arguments and to summarize briefly the main points in the following order:

- a) the Respondent
- b) the Appellant

## **Other Parties**

If other persons, in addition to the Appellant and the Respondent, have been specified by the Panel as parties to the proceeding, the procedures described above shall be altered by the panel to provide an opportunity for such additional parties to be heard.

## **Recess or Adjournment**

The panel may consider and grant a recess or an adjournment at the request of either party or on its own initiative to allow review of written or documentary evidence submitted at the hearing.

The panel may grant an adjournment at any time during the hearing to ensure a fair hearing.

## **Deliberation and Panel Decision**

Panels will deliberate *in camera* and shall reach a decision. Normally, the decision shall be communicated to the parties in writing. However, where both parties appeared at the hearing, the Panel may choose to communicate the reasons for their decision orally. In such cases, written reasons will be provided only on request within 15 days of the hearing. If only one party is in attendance, an oral decision may be issued and written reasons will be supplied.

If the Panel chooses to provide an oral decision, it will be given to the parties, along with reasons, after the *in camera* deliberations, and confirmed in writing. In the case of an oral decision, written reasons will be provided only at the request of either party.

The Committee may decide to deny the appeal, to refer the matter back to the Faculty with instructions for reconsideration on the basis of new evidence or reconsideration using proper procedure, or to grant immediate relief. In cases involving allegations of breach of academic honesty or the penalty for such breach, the Committee may direct a hearing *de novo* either at the Faculty level or before the Senate Appeals Committee according to the procedures for hearing allegations of breach of academic honesty set out in Section 4 of the *Senate Policy on Academic Honesty*.

Where a new hearing is ordered in the case of breach of academic honesty, the matter proceeds as if the charge had just been laid, and can be heard either at the Faculty level or before a panel of the Committee.

Where a matter is referred back to a Faculty for reconsideration, any subsequent appeal to the Committee will only be allowed on the same grounds as those set out under Grounds for Appeal above.

Written decisions and confirmations of oral decisions shall be transmitted to the parties electronically except where a specific request has been made to communicate the decision in some other form.

## **RECONSIDERATION BY THE COMMITTEE**

The Committee is the final body of appeal in respect of academic matters at York University and its decisions are final. The appellant may ask the Committee to reconsider a final decision by making written application to the Committee within 20 days of receipt of the decision. The Committee may also reconsider a decision on its own initiative where it considers it appropriate.

A request for reconsideration will not be granted unless the Committee is satisfied that:

- a) there has been improper notification to parties;
- b) an individual with interest in the proceedings was not notified or otherwise afforded an opportunity to participate;
- c) relevant material evidence was withheld by a party;
- d) relevant material information was not disclosed to a party;
- e) there has been a significant defect in the proceedings or content of the decision which, if corrected, would probably change the result of the original decision, or
- f) where it appears there is new evidence that could potentially be determinative of the case and, for reasons beyond the party's control, the evidence was not obtainable at the time of the hearing.

Reconsideration is discretionary. It is not an appeal or an opportunity for a party to change the way it presented its case.

Requests for reconsideration of a Committee decision will be considered by a panel of three members who did not serve on the panel first hearing the matter. If the panel concludes that the matter should be reconsidered, it may decide on the reconsideration itself or recommend that it be reconsidered by a differently constituted panel. In any event, a reconsideration will be heard only by panel members who were not involved in the original decision.

### **File Disposition**

All documentation accompanying an appeal remains in the appellant's file within the University Secretariat and is not used for any purpose beyond the appeal. In accordance with the University's Common Records Schedule, the request to appeal and the committee's decision letter are kept permanently and all other records held by the University Secretariat will be destroyed 10 years after the decision.

### **Committee Membership**

Membership to the Committee occurs according to the rules of Senate. The committee consists of nine faculty members and three students.

The Committee will meet as a full committee from time to time to consider the general business of the Committee and to constitute panels.

**York University Schulich School of Business  
EXECUTIVE COMMITTEE OF FACULTY COUNCIL**

**Purpose & Responsibilities**

The Executive Committee facilitates the business of Faculty Council and coordinates the work of its committees. The principal task of the Committee is to compose the agenda for Council meetings and to ensure that all agenda items have been fully prepared for discussion and action.

The Committee serves as the Council's liaison to external bodies (e.g., York University Senate). It also hears the final level of student appeals within the Schulich School through the Appeals Panel, a sub-committee consisting of the Council chair and ~~the five~~ all academic program directors.

Summer Authority from Faculty Council is normally appointed to the Executive Committee for the months of June – September. Thus, the responsibilities of this committee span the entire academic year. All individuals become members of the committee effective the day immediately following the last date in which their predecessor holds the role they are taking on.

**Membership**

**Chair:**

- Elected (Vice) Chair of Faculty Council

**Voting Members (ex officio)**

- Dean and Associate Deans
- Vice-Chair of Faculty Council
- Executive Officer
- Chairs of Faculty Council's standing committees (Masters Admissions, Research and Library, Nominating, Student Affairs, Tenure and Promotion, BBA/iBBA, EMBA, PhD, MPC/PCC)
- Directors of Degree Programs
- Presidents of Student Councils (UBS, GBC, PhD Students Association).

**Quorum**

Six members of the committee. To determine a prima facie appeals case: three members, which may include any Degree Program Director and the (Vice) Chair.

**Meeting Schedule**

The Executive Committee regularly meets on the Friday two weeks prior to each Faculty Council meeting. Other meetings may be scheduled as needed.

## Hearing Appeals

### The appeals process

Appeals of petition decisions or grade appeals will be permitted only on the following grounds:

- ~~a. New evidence that, through no fault of the applicant, was not presented at that level. Generally speaking, events or academic performance subsequent to the initial decision are not to be construed as new evidence.~~
- ~~b. Evidence of procedural irregularity in the consideration of the case. Procedural irregularities consist of actions taken or not taken by the School, its officers, committees, or members with respect to the previous disposition of the case which violate or nullify one or all of the following:
  - ~~i. normal and written procedures at the University or the School.~~
  - ~~ii. unwritten but recognized custom in the School's or Areas' handling of the cases substantially similar to that being appealed.~~~~

- 1. The decision under appeal was made without jurisdiction;**
- 2. A denial of natural justice, such as (but not limited to) a reasonable apprehension of bias on the part of the original decision maker(s) or a fundamental procedural error, such as the consideration of information that ought not to have been considered or the failure to consider information or special circumstances that ought properly to have been considered;**
- 3. Inconsistent application of the relevant regulations; or**
- 4. New evidence has arisen that could not reasonably have been presented, and that would likely have affected the original decision. Generally speaking, events or performance subsequent to the relevant time does not constitute new evidence for the purposes of this provision.**

### Procedure for appeal

The application for leave to appeal should contain a succinct statement of the grounds on which the applicant intends to rely, a summary of the evidence to be relied upon, as well as all relevant documentation. Upon written request an applicant shall be given, without charge by the School, copies of all School documents which may support this summary of evidence.

### Determination of prima facie case

The Appeals Panel will consider the documents submitted in relation to an appeal to determine whether or not a prima facie case has been established on the grounds indicated. Parties are not present at this hearing.

If the Appeals Panel determines that a prima facie case has not been established, it may deny leave to appeal and promptly advise the applicant and other concerned parties by registered mail.

If the Appeals Panel is satisfied that a prima facie case has been established, it will allow the

appeal to be heard by the Executive Committee. The chair, in consultation with concerned parties, will set a date for the hearing.

### Principles and procedures of appeal

The Executive Committee follows the principles laid out in the Mandate of the Student Affairs Committee. The Committee will, however, invite appellants and other relevant parties to its hearings.

The following list indicates the order of an appeal where the parties are present. The Committee may alter the order of the hearing in the interests of fairness to any or all of the parties.

- a. The Chair shall:
  - i. identify the parties and members of the Committee.
  - ii. clarify any procedural requirements.
- b. The applicant or representative shall:
  - i. briefly describe the case to be presented.
  - ii. provide factual support for his/her case through documentary evidence and testimony of applicant and witness, if relevant.
  - iii. the applicant or representative may ask questions of each witness at the close of that person's testimony.
- c. The respondent or representative shall:
  - i. briefly reply and indicate main arguments.
  - ii. provide factual support for his/her case through documentary evidence and testimony of respondent or witness, if relevant.
  - iii. the applicant or representative may ask questions of each witness at the close of that person's testimony.
- d. The applicant and his/her witnesses shall be allowed to offer testimony or other evidence in reply to new issues raised in the respondent's presentation.
- e. At this point or sooner, the Committee may require other witnesses or the production of other written or documentary evidence and may adjourn the hearing after allowing both parties the opportunity to speak to the adjournment. After this, no new arguments or evidence regarding the appeal may be introduced.
- f. The respondent followed by the applicant is entitled to make closing arguments and to briefly summarize the main points of his/her case.
- g. The Committee will move in camera for deliberations and discussion.
- h. The written decision of the Committee shall include:
  - i. the names of the Committee members and all who appeared.
  - ii. a brief summary of the cases of the parties.
  - iii. the Committee's findings of fact, decision and reasons.
  - iv. the route of further appeal.

NOTE: Committee members normally ask questions at the end of each person's testimony or interrupt any time if clarity is required.

Petitions denied by the Executive Committee may be appealed to the Senate Appeals Committee (<http://www.yorku.ca/univsec/senate/committees/sac/SACAppealsPage.html>).

# SCHULICH SCHOOL OF BUSINESS

## MEMO

**To:** Faculty Council Members

**From:** Melissa Judd  
Assistant Dean, Students  
Student Services and International Relations

**Subject:** Fall 2016 Convocation Graduant List

**Date:** October 5, 2016

---

Attached is the list of potential graduands for the Fall 2016 Convocation for Faculty Council approval.

This list includes PhD, EMBA, MBA, IMBA, MBA/MA, MBAN, MF, iBBA, BBA, and Graduate Diploma students who have applied to graduate for the October 2016 ceremony.

Schulich Convocation exercise is scheduled for 3:30 p.m. on Wednesday October 19, 2016 at the Aviva Centre (formerly Rexall Centre) followed by a reception in the pavilion.

The EMBA Convocation is scheduled for 10:00 p.m. on Friday October 21, 2012 in the Robert R. McEwen Auditorium.

Thank you,

:SO

## Potential Graduands - October 2016

### PhD - Administration

Gregory	Saxton
Zhennan	Wang
Jisok	Kang

### Executive Master in Business Administration

Muhammad Hasnain	Abu Bakar
Shyam	Aditya
Jennifer	Bruin
Kristine	Byk
William	Cote
Parham	Davoudpour
Karim	Dawood
Aruna	Dorai
Ahmed	Etman
Peter	Fritz
Sachin	Garg
Lady	Gomez Maya
Mark	Hilton
Zahra	Hirji
Yashar	Kashanchi
Mabel	Kuri
Lindsay	Lackner
Phyllis	Lepore Babcock
Svetlana	Mikhitarova
Raymond	Morrish
Ehtesham	Morshed
Avishai	Moscovich
Numan	Mubashar
Vadrevu	Murti
Lee	Odlin
Dragan	Pavlovic
Fatema	Pirone
Satbir	Sandhu
Dhumil	Sheth
Varun	Shrivastava
Mark	Smithyes
Zhijian	Wang
Ekaterina	Yasovich
Minja	Zahirovic
Tara	Zecevic
Sophie	Zhao

### International Master in Business Administration

Stefano	Brancato
Santiago	Diaz
Yongli	Zhang

### Master in Business Administration

Natique	Ahmed
Ambika	Atwal
Brandon	Banner
Sara	Bartolomeo
Ray	Bawania
Patrick	Beckett
Daniel	Blackburn
Patrick	Bunker
Hui	Cao
Abhinav	Chauhan
Xi	Chen
Xingyou	Chen
John	Crowell
Jessica	Dodd
Rachel	D'Silva
Daryl	Dujon
Hoda	Farhatnia
Mohammad Feroz	
Joaquin	Ferrer
Jeff	Gao
Maggar	Ghali
Jacqueline	Gilchrist
Peter	Grouios
Minsheng	Gu
Ritwick	Guha
Hasheem	Haider
Justin	Hawkins
Mary	Henderson
Melissa	Hernandez-Chiang
Sayed Mukh	Homam
Gabriele	Iannucci
Yan Rong	Jin
Ravishankar	Kamalachandra
Aptin	Karimi
Matthew	Ketcheson
Denis	Kwok
Lilian	Lau

<b>Cont'd Master in Business Administration</b>	Annabelle	Leung Fook Cheong	<b>Cont'd Master in Business Analytics</b>	Yonjoon	Choo
	Yue	Li		Piyush	Gulati
	Xu	Liu		Yang	Guo
	Lingyan	Lu		Yijun	He
	Neha	Mathur		Yuzhou	Jiang
	Sarah	Mersereau		Alexey	Katsurbiy
	Adam	Mocian		Arun	Khosla
	Prashanth	Mohan		Diane	Kouame
	Prashanna	Nadpurajah		Christopher	Lam
	Timothy	Nazar		Qianhua	Li
	Sandra	Nazeer		Chiehchien	Lin
	Ashish	Pareek		Chang	Liu
	Gurivi Reddy	Polakala		Ilnaz	Majdzadeh Ameli
	Gurpreet	Popli		Mehak	Masoud
	James	Poriz		Brenda	Nguyen
	Abhinav	Prakash		Zehua	Pan
	Mohan Vijay	Raj		Apiraami	Pathmalingam
	Jason	Repovs		Zhen	Qin
	Faisal	Rezwana		Nellie	Rajarova
	Karan	Sachdeva		Gerald	Reid
	Ahlam	Saeed		Nahla	Salem
	Anant	Saxena		Leonard	Solihin
	Aprajita	Sharma		Radu	Stoian
	Hunain	Siddiqui		Paulo	Toscano De Britto
	Manjinder	Singh		Geng	Wang
	Sanchit	Singla		Haoyi	Wang
	Archit	Sood		Yu	Xue
	Hui	Tan		Peilin	Yuan
	Whitney	Taylor-Maisano		Gerong	Zhan
	Jacqueline	Tsekouras		Ying	Zhao
Stephanie	Vardzel	Wenjia	Zheng		
Keyi	Wang	Zhehui	Zhong		
Weizhe	Wang	Tongyang	Zhou		
Daniel	Weitzner	Feifei	Zuo		
Hyung-Gun	Yoo				
Anna	Zaczek				
		<b>Master of Finance</b>			
		Gurkirat Singh Bahl			
		Jesse	Barke Doka		
		Hamidreza	Daneshbodi		
		Jiale	Di		
		Xinrui	Ding		
		Toluwalope	Dipo		
		Yasser	El Ahmar		
		Ya	Gao		
		Richard	Hilton		
		Dingyue	Hu		
		Xinyu	Hu		
		Yue	Hu		
<b>Master in Business Admin./</b>	Raheem	Ladha			
<b>Master in Arts</b>					
<b>Master in Business Analytics</b>	Shreya	Arora			
	Usman	Bajwa			
	Lucas	Calestini Luiz			
	Manuel	Campos			
	Glaukus	Chaves			
	Lu	Chen			
	Xin Ran	Chen			

<b>Cont'd Master of Finance</b>	Laiwei	Huang	<b>Cont'd Bachelor in Bus. Administration</b>	Maria	Elias
	Puhan	Huang		Ryan	Hayward
	Stephan	Jayarathnam		Ariel	Hoffman
	Yuxuan	Jiang		Han	Kim
	Adam	Johannsson		Yong	Kim
	Soroush	Khalifeh		Simmi	Kishore
	Yuan	Lei		Glenn	Kogan
	Jiaxin	Li		Joo Won	Koh
	Jun	Li		Sara	Kong
	Wenyu	Li		Alexander	Korsakov
	Guannan	Liu		Clarence	Lau
	Suisui	Liu		Christopher	Lee
	Xiaonan	Liu		Jae	Lee
	Wanqi	Luo		Rinel	Levitin
	Usama	Mazhar		Kalvin	Low
	Trevor	Medeiros		Leon	Lui
	Shi	Ni		Jason	Mark
	Gladys Solange	Olivares Guevara		Ermis	Mici
	Akinfolarin	Olusuyi		Isabel	Ng-Lai
	Yang	Pan		Fabliha	Nowyar
	Siyu	Qu		Timothy	Oh
	Yanhui	Rao		Akshay	Pattni
	Pulkit	Sharma		Leran	Rapoport
	Shabeeth	Syed		Anjeza	Resulaj
	Xinwen	Tang		Harmandeep	Saini
	Danqi	Wang		Parminder	Saini
	Jiayuan	Wang		Piravin	Santhakumar
	Siyao	Wang		Rohan	Sawkar
	Tongtong	Wang		Ivan	Serrano
	Taylor	Wilson		Eshwarya	Seth
	Bo	Xu		Mitul	Shah
	Zhichao	Yang		Arjune	Shandal
	Jing	Zhang		Renjie	Shao
		Harish	Sivarajah		
		Kira	Skochelas		
		Hemanth	Soni		
		Divyanthan	Thasarathan		
		Mark	Tullio		
		Dalia	Vainer		
		Benjamin	Van Zuylen		
		Cora	Xiao		
		Xiao	Zhu		
<b>Bachelor in Business Administration</b>	Salman	Ahmad			
	Deena	Ali			
	Paul	Artuso			
	Quintin	Au			
	Anita	Ayrom			
	Kareem	Azees			
	Julian	Barreto			
	Dhruv	Bhalla			
	Japtej	Chandhoke			
	Saifullah	Chaudhry			
	Atian	Cziriak			
	Jenny	Djap			
	Mishel	Dobrov			

<b>International Bachelor in Business Administration</b>	Madlena	Bilalov	<b>Graduate Diploma in Business &amp; the Environment</b>	Anahita	Abasvisany	
	Ivana	Borisova		<b>Graduate Diploma in Health Industry Mgmt</b>	Natali	Ahmed
	Jeffery	Chan			Sarah Mersereau	
	Jimmy	Cheung			Nicholas	Piperno
	Dardan	Emini			<b>Graduate Diploma in Financial Engineering</b>	Hassan
	Francelina	Fernandes	Liqing			Jing
	Veresia	Frany	Ashwin	Shrivastava		
	Joseph	Garas	Hui	Tan		
	Jessica	Gill	Keyi	Wang		
	Giovanna	Guadagno	Tongtong	Wang		
	Hwan	Jeon	Yongli	Zhang		
	Qiaochu	Jiang	<b>Graduate Diploma in Real Property</b>	Dong Chul	Do	
	Boo	Kim		<b>Certificate in Managing Int'l Trade and Investment</b>	Qiaochu	Jiang
	Jin	Kim			Jessica	Luong
	Sohea	Kim			Varun	Madan
	Anastassia	Krainik			Vidricaire	Maxim
	Dan	Li	Chan-Young		Park	
	Jessica	Luong	Akosua	Sefa-Anumwah		
	Varun	Madan	Xu Han	Shang		
	Daria	Migounova	Palden	Singhe		
Chan-Young	Park	Maxim	Vidricaire			
Akosua	Sefa-Anumwah	Manlu	Wang			
Xu Han	Shang	Sarah	White			
Palden	Singhe	Wei Ting	Xu			
Maxim	Vidricaire	Ho	Yick			
Manlu	Wang	Melissa	Zhang			
Sarah	White	Wendi	Zhou			
Wei Ting	Xu	Shirley	Zhu			
Ho	Yick	<b>Graduate Diploma in Advanced Accounting</b>	Kochar			
Melissa	Zhang		Mitul	Shah		
Wendi	Zhou		Melisa	Okanovic		
Shirley	Zhu		Harish	Sivarajah		
			Aleska	Lekovic		
<b>Graduate Diploma in Arts and Media Admin.</b>	Fredrick	Glander	Pattni			
	Raheem	Ladha				
	Jacqueline	Tsekouras				

**Memo**

**From:** Detlev Zwick, BBA/iBBA Program Director  
**To:** Faculty Council  
**Re:** BBA/iBBA Program Committee Work-plan  
**Date:** September 23, 2016

---

The BBA/iBBA Committee includes the following for Fall 2016 - Winter 2017

*Regular Tasks:*

- Review proposals for new courses and course changes as they arise.
- Develop guidelines for Modifications of Existing BBA/iBBA Elective Courses and for Creating New BBA/iBBA Elective courses. Not a priority but something might be coming down related to ELOs integration.
- Assess the success of the course coordinators and core course policy.
- Identify and address major issues in the quality of course delivery (teaching) in the program.
- Keep abreast of market forces and developments at other leading BBA programs to ensure that Schulich's program stays competitive.
- Continue systematic research efforts for the undergraduate student population and other stakeholders to inform continuous program improvement initiatives as well as student experience more generally.
- Work with student groups to develop activities (e.g. case competitions) that enhance their academic experience.

*Additional Tasks:*

- Review sub-committee suggestions regarding content and purpose of MGMT 1040 and MGMT 1030 two of the BBA program's core courses, and to develop recommendations for changes to these courses, if deemed necessary.

- Re-develop MGMT 1000 to make it a unique business and capstone course of the undergraduate program.
- Continue the process of embedding the educational experience and student performance of undergraduate case competitions into the curriculum.
- Create a sub-committee to explore options that add experiential learning credit to the BBA & iBBA core curriculum with the goal to adopt and implement the sub-committees' recommendations by 2017.
- Review and create consolidated program level ELO document.
- Develop a strategy to build a “backbone” structure similar to the MBA program.
- Develop a strategy to increase experiential learning opportunities for students in existing courses (for example, through collaboration with companies such as Riipen)

Detlev Zwick  
BBA/iBBA Program Director

## Memo

**From:** Markus Biehl,  
Chair, Master Programs / Programs Coordinating Committee

**To:** Faculty Council

**Re:** Committee Work-Plan

**Date:** September 15, 2016

---

The Committee's work plan for 2016-2017 includes the following.

### Overall

*The Committee will embark on the following tasks:*

- Formulation of a position on and goals for eLearning for the Schulich School of Business (PPC)
- Consultation with regards to the implementation of a new Learning Management System (PCC)
- Review of program-level Expected Learning Outcomes. What have we learned in the last few years, and what are its implications? (MPC)
- Review and approval through Faculty Council of Tip Sheet for course development (PCC)
- Review and approval of a revised grading policy that aligns with university-wide changes (PCC)
- Review and approval of a policy on using courses to recruit students as research subjects (PCC)

*As time permits, the committee will also tackle the following tasks:*

- Discussion of critical elements of experiential education and identification of improvement potentials for Schulich (PPC)
- Review and approval of a policy on use of graded assignments from textbooks (PCC)

## **By Program**

### ***MAcc***

Over the course of this year this committee plans to:

- Complete the creation of a Research Stream of the MAcc for applicants interested in pursuing a research career (MPC)
- Assist with recruitment and enrollment efforts of the various cohorts of the Master of Accounting, the Diploma of Advanced Accounting and Diploma of Intermediate accounting (MAcc)

### ***MBA***

The Committee's work plan for 2016-2017 includes the following.

*Regular tasks* such as:

- Reviewing proposals for new courses and course changes as they arise (MBA/MPC)
- Identifying and addressing major issues in the quality of course delivery (teaching) in the program (MBA)
- Keeping abreast of market forces and developments at other leading MBA programs to ensure that Schulich's programs stay competitive (MBA)
- Working with student groups to develop activities (e.g., case competitions) that enhance their academic experience (MBA)

*Additional tasks* (this year) such as:

- Overseeing the operationalization of the "backbone" within the curriculum (MBA)
- Revising the content of MGMT5260 (Managing Value Creation) and SGMT6000 (Strategic Management) and strengthening their relationship (MBA)
  - adding content on government relations and public affairs (MBA)
- Following developments in e-learning and its potential impact on the MBA curriculum (MBA)
- Developing ways to increase the connectivity between the Toronto and Hyderabad campuses (MBA)
- Serving as a resource to the Schulich Center for Teaching Excellence (SCTE) on the Center's initiatives (MBA)
- Serving as a resource for the Associate Dean – Academic (ADA) on the ADA's initiatives (MBA)

## ***MFin***

During this academic year, Master of Finance will continue to:

- monitor the recently modified financial risk management specialization and watch out for any potential or materialized hiccups due to the change (MF)
- work with admissions to find ways to attract more domestic students and diversify geographic regions of visa students (MF)
- rank and select candidates for the CFA awareness awards for incoming students (MF)
- review and evaluate instructors teaching in the Master of Finance program, especially part-time instructors (MF)
- organize and coach student teams for case competitions such as the CFA Research Challenge, CFA Ethics Challenge and CQA Investment Challenge (MF)
- host networking sessions for Master of Finance students with alumni (e.g., the Alumni Panel Discussion and Reception in September) (MF)
- continue to host the GTA tri-school (Rotman, Queen's and Schulich) Master of Finance annual soccer tournament (MF)

## ***MREI***

As we are entering the first year of the MREI nothing that we will be doing can be considered “regular”...not yet anyway. Accordingly there is only one section to the plan...call it “program development”.

- Complete development and approval of 12 new courses and retention of sessional instructors (MREI/MPC)
- Collaborate with Admissions and Recruitment to develop and execute recruitment strategies (MREI)
  - Achieve no less than 17 students in the first year
  - Target a reasonable increase for 2018
- Develop boot camp curriculum (MREI)
- Transition substantial responsibility for co-curricular programming, career support and alumni/ industry relations to Jeanhy Shim (MREI)
- Manage co-curricular programming, including:
  - Expanding it to accommodate a doubling or tripling of full-time real estate and infrastructure students (MREI)
  - Integrating MREI students into SRPSA programming and leadership (MREI)
  - Developing an international study tour (MREI)
  - Guiding the SRPAA in the conception and execution of keystone events such as Perspectives Lecture and Developers' Den (MREI)
  - Sourcing increased funding for the Student Experience Fund (MREI)

- Continue to develop employer relationships to ensure active recruitment of graduates and creation of sufficient internship opportunities (MREI)
  - Increase our profile and connections within the infrastructure industry
- Continue to collaborate with the Development team in sourcing gifts to fund additional scholarships and other initiatives – this may be in conjunction with initiatives relating to the Brookfield Centre (MREI)
- Continue to be active with industry through speaking engagements, conference attendance and other means to raise awareness and support for the MREI within industry (MREI)
- Monitor and evaluate delivery of courses and student satisfaction and respond as appropriate to improve quality and continuity of content and quality of instruction (MREI)
- Integrate anticipated new faculty into the MREI curriculum (MREI)
- Investigate the advisability of shifting the 2018 start date to the Summer of 2018 (MREI)
- Investigate the feasibility of a joint MBA/ MREI program (MREI)
- Continue to work with the library to build up reference materials (MREI)

## Memo

**From:** Markus Biehl (Chair), Matthias Kipping (Academic Director)  
**To:** Faculty Council  
**Re:** Kellogg Schulich EMBA Committee Work Plan 2016-2017  
**Date:** September 20, 2016

---

### Academic

1. Monitoring the functioning of the program following recent revisions, namely (a) the introduction of more experientially-based courses such as the “New Venture Design” capstone, (b) alignment of courses and their sequencing with Kellogg and other partner schools, and (c) the transformation of various core courses into electives.
2. Review and revise the academic honesty policy for the program.
3. Review and revise our audit and alumni engagement policy to (a) maximize value for and from this important resource and (b) bring it in line with our partner schools.
4. Prepare the transition to the new learning management system, including developing processes for a more active involvement of instructors.
5. On-going approval of new courses at our partner programs that will be taken by our students and other routine administrative matters, such as student deferrals, petitions etc.

### Administrative

1. Revise the student guide to (a) bring it up-to-date, for instance regarding academic honesty and the use of social media; (b) account for the recent changes in our curriculum; and (c) align it with best practices at Schulich as well as our partner schools.

Memo

**From:** Eileen Fischer, Chair of Ph.D. Committee  
**To:** Faculty Council  
**Re:** Ph.D. Committee Work-plan  
**Date:** September 26, 2016

Over the course of this academic year, the committee plans to

- Update PhD curriculum
- Update the website to better reflect the PhD Program requirements
- Prepare an online handbook document of information for the PhD Program
- Identify ways in which the Ph.D. program and support to students can be further improved.
- Encourage students to apply for major awards
- Review and rank students' applications for various awards (OGS, SSHRC, etc.), as is required by FGS
- Engage in the admissions process in Spring 2016 for Fall 2017

## Memo

**From:** Giri Kanagaretnam  
**To:** Faculty Council  
**Re:** Master's Admissions Committee Work-plan  
**Date:** September 21 2016

---

The primary mandate of the Master's Admissions Committee is to review files of applicants to Masters Programs (except for EMBA applicants) who do not meet standard Schulich admission requirements and to decide whether to admit, admit on probation, or reject the applications.

The committee has already met in July and August to review candidates for the September 2016 admissions. It plans to meet again regularly in late Fall to review candidates for January 2017 admissions.

## Memo

**From:** James Darroch  
**To:** Faculty Council  
**Re:** Nominating Committee Work-plan 2016-2017  
**Date:** September 23, 2016

---

The Nominating Committee will bring forth for approval a slate of names to serve on the various committees of the Faculty Council and Senate. The slates will be presented in a timely manner to ensure a smooth succession. The Committee will also make adjustments as needed to comply with any changes with the Faculty's various committees during the year.

## Memo

**From:** Dirk Matten, Associate Dean, Research

**To:** Faculty Council

**Re:** Research Committee Work Plan

**Date:** September 26, 2016

---

### Work-plan

1. Process protocols for course-based research involving human participants
2. Oversee application of York Research Chair – Tier 1
3. Oversee applications of external research grants (e.g., SSHRC, NSERC, CIHR)
4. Oversee application of Canada Research Chair – Tier 1
5. Review award applications
6. Promote creation of new ‘Centre of Excellence’ to capitalize on Schulich’s research strengths
7. Collaboration with the service unit – ‘Development and Alumni Relations’ to take part in School’s *Leading Change* campaign
8. Celebration of Schulich Research Day (January 2017)
9. Review Schulich’s internal grant applications (e.g., Schulich Research Fellowship)
10. Research Website: Work on further updates to web
11. Review data needs for EQUIS accreditation

**To:** Faculty Council

**From:** Henry Kim, Chair, Student Affairs Committee

**Date:** September 26, 2016

### **Student Affairs Committee Work Plan for 2016-2017**

The mandate of the Student Affairs Committee is to hear withdrawal and debarment appeals, leave of absence request, deferred exam requests, and other types of petitions from Schulich undergraduate and graduate students (excluding EMBA and PhD students). These appeals are initiated by students and normally occur shortly after the end of each semester when grades are published and withdrawal or debarment notices have gone out. We currently anticipate no significant changes in the volume and type of cases heard this year.

The Student Affairs Committee also adjudicates cases where a breach of academic honesty occurred.

Finally, the Committee continues to monitor its structure and mandate to make sure student needs are met.

## Memo

**From:** Wade Cook  
**To:** Faculty Council  
**Re:** Tenure & Promotions Committee Work Plan  
**Date:** September 26, 2016

---

In the coming year the committee will adjudicate 1 Candidacy file and 6 Full Professor Promotion files.

To: Faculty Council  
From: Andre Kuzmicki, Director, Master of Real Estate and Infrastructure  
Date: September 15, 2016  
Subject: PROP 6001: Leadership in Real Estate and Infrastructure I - Course Change Proposal

---

**Rationale:**

The course description has been modified to make it more specific to its real estate and infrastructure context.

For further details on the MREI, please see the Proposal for a Master of Real Estate and Infrastructure.

Andre Kuzmicki

# Faculty of Graduate Studies

## Course Change Proposal

**1. Program**

*Master of Real Estate and Infrastructure*

**2. Course Number and Credit Value**

*PROP 6001 0.00*

**3. Course Title**

**a) Long Course Title**

*Leadership in Real Estate and Infrastructure I*

**b) Short Course Title (if a change in the course title is requested)**

NA

**4. Type of Course Change (indicate all that apply)**

	<b>in course number</b>
	<b>in credit value</b>
	<b>in course title</b> (provide course outline; short course titles may be a maximum of 40 characters, including punctuation and spaces)
X	<b>in course description</b> (provide course outline; short course descriptions may be a maximum of 60 words, written in present tense)
	<b>in integration</b> (provide statement of approval from other program)
	<b>in cross-listing</b> (provide statement of approval from other program)
	<b>in pre/co-requisite</b>
	<b>expire course</b>
	<b>other</b> (please specify)

**5. Effective Session of Proposed Change(s)**

*Winter 2017*

**6. Academic Rationale**

*Course description has been modified to make it more specific to its real estate and infrastructure context.*

**7. Proposed Course Information**

<b>Existing Course Information (change from)</b>	<b>Proposed Course Information (change to)</b>
<p>This is part one of a three-semester sequence of courses that develops the thinking and reflective skills required for leadership in a turbulent world. It explores contemporary leadership challenges and opportunities, and introduces students to thinking techniques relevant for complex contexts. This course is non-credit. Students receive credit on a pass-fail basis upon successful completion of the third course.</p>	<p>This course develops the thinking and reflective skills required for leadership in a turbulent world, with specific emphasis on real estate and infrastructure. It explores contemporary leadership challenges and opportunities, and introduces students to thinking techniques relevant for complex contexts. This course is non-credit and the first part of a three-course sequence.</p>

**8. Consultation**

NA

**9. Approvals**

**a) Originator**

Andre Kuzmicki and Ingo Holzinger  
Signature

September 7, 2016  
Date

Andre Kuzmicki and Ingo Holzinger  
Name

**b) Area or Specialization**

I have reviewed this change form and I support the proposed changes to the course.

James McKellar  
Signature

September 7, 2016  
Date

James McKellar  
Academic Director

Real Estate and Infrastructure  
Area or Specialization

**c) Degree Program**

This course change has received the approval of the Program Committee, and I support the proposed changes.

Andre Kuzmicki  
Signature

September 7, 2016  
Date

Andrew Kuzmicki  
Name of Program Director

Real Estate and Infrastructure  
Program

**d) Academic Committee**

This course has received the approval of the Master Programs Committee/Programs Coordinating Committee.

Markus Biehl  
Signature

September 15, 2016  
Date

Markus Biehl  
Chair, Master Programs Committee/  
Programs Coordinating Committee

## **Required Attachments**

- For changes in the number of credits, course title or course description, please attached the new Schulich course outline (must conform to program norms; see the Program Assistant for details)
- For cross-listed / integrated courses: signed statement of agreement from director of other graduate course / other degree program

## Course Outline

Winter 2017

DAY, TIME, beginning on XXX  
Room XXXX SSB

### Instructors

Ingo Holzinger  
N203F Seymour Schulich Building  
416-736-2100 ext. 77870  
iholzinger@schulich.yorku.ca  
Office hours: by appointment

Andre Kuzmicki  
W362L Seymour Schulich Building  
416-736-2100 ext. 20993  
akuzmicki@schulich.yorku.ca  
Office hours: by appointment

### Assistant

Bryna Abtan  
W362 BB Seymour Schulich Building  
416-736-5967  
babant@schulich.yorku.ca

Ingo is an Assistant Professor of Management at Schulich, where he started in 2003. His teaching and research interests include leadership, organizational change, creativity and innovation, complexity science, and alternative models of organizing.

Andre is an Adjunct Professor and Director of the Master of Real Estate and Infrastructure program. His 40-year career in real estate investment, development and management includes a variety of senior leadership and corporate governance roles. He has taught at Schulich since 1998.

### Brief Description

This course develops the thinking and reflective skills required for leadership in a turbulent world, with specific emphasis on real estate and infrastructure. It explores contemporary leadership challenges and opportunities, and introduces students to thinking techniques relevant for complex contexts. This course is non-credit and the first part of a three-course sequence.

Prerequisites/Corequisites/Course Exclusions: None

## Contents

Course Learning Outcomes.....	2
Deliverables at a Glance.....	3
Course Material.....	3
Student Preparation for Class and Course Contribution: Expectations.....	4
Class-by-Class Syllabus.....	5
Assignments/Projects: Descriptions & Evaluation.....	6
Calculation of Course Grade.....	7
General Academic Policies: Grading, Academic Honesty, Accommodations.....	7
Quick Reference: Summary of Classes, Activities and Deliverables.....	8

## Course Learning Outcomes

"The greatest danger in times of turbulence is not the turbulence; it is to act with yesterday's logic."

*Peter Drucker*

Real estate and infrastructure are industries in constant flux, reflecting changes in the economy, technology and other market forces. The nature of the industries is competitive and, at the same time, collaborative and creative. Projects require long-term planning and the flexibility to adapt to changing circumstances. Success necessitates the integration of multiple, often conflicting stakeholder perspectives, including public and private interests. In other words, real estate and infrastructure are sectors characterized by turbulence and complexity.

This course will introduce MREI students to some of the new mindsets needed for making a positive difference in today's turbulent and complex global environment. For example, today's leaders must have the capacity to accept and deal with unpredictability and be adept at recognizing and integrating multiple perspectives and priorities. They must be able to spot and anticipate emerging trends and patterns; ask and explore provocative questions about their organizations and the world at large; deal with challenging ethical issues; and generally think both "inside" and "outside the box" in a deep and probing way.

To begin meeting these needs, this course fosters the "seeing and thinking skills" that are required to meet the demands of a turbulent and complex world. In doing so, we will challenge taken-for-granted assumptions about business, organizing and leadership; develop a thinking process for dealing with complex challenges; emphasize the need for reflective personal awareness as core themes for leadership and personal career development.

This course is designed as a **personal challenge** – one that encourages you to improve your ability in seeing and understanding the world around you and the areas in which you need to enhance your personal leadership skills. Think about this challenge as twofold – involving "**context awareness**" (understanding the immediate and larger world around you) and "**personal awareness**" (understanding yourself and the way you interact with the world around you).

While many of the attitudes and skills addressed in this course are thought of as "soft skills" – in that they cannot be easily quantified or tied down through rigorous technique – they are very demanding and can be learned. The course is intended to take you into new territory and out of existing comfort zones. It will challenge some of your deeply held beliefs and assumptions, and introduce new ways of thinking and doing. The benefit you derive from the course is directly linked to **your ability to rise to the**

**challenge, your personal commitment and your effort.** Personal development requires that we embrace and learn from personal challenges. The experience of this course will be no exception.

You are invited to enter the course with **an open mind, and a spirit of inquiry and adventurousness**, recognizing that personal awareness of one's strengths and limitations is crucial for personal development and success. We invite you to be prepared to be **challenged**; to be **provoked**; and, at times, to be **frustrated**. Learning new skills requires challenging existing mindsets and skills. It also requires practice and an awareness of the deeper factors shaping the learning process, especially those forces that can get in the way. The class discussions, exercises and assignments are designed to help you get on this important learning journey – one that will hopefully continue throughout your future life and career.

### Deliverables at a Glance

The final grade for the course will be based on the following items weighted as indicated:

Assignment/Task	Quantity	Weight	Total	Author
Complexity Challenge Team Project	1	40%	40%	Team
Weekly Reflections	5	5%	25%	Individual
End of Semester Reflection	1	15%	15%	Individual
Course Contribution	1	20%	20%	Individual
Starting (Current) Career Resume (mandatory)	1	Pass/Fail	Pass/Fail	Individual
			<b>100%</b>	

All weighted assignments are graded. Students must pass each assignment for a passing grade in the course. For details, see “Assignments/Projects: Descriptions & Evaluation” (p. 8). More detailed descriptions of the main assignments (team project and reflection papers) will be posted on Moodle.

### Course Material

**Moodle:** Moodle is the course website, which provides the weekly list of readings. You will also find a course calendar, course updates, various course materials, and a companion Twitter feed (@Leaderskills). Moodle is accessible through your online student portal.

**Readings:** Information on the weekly readings can be found on the course's Moodle site. Some readings can be downloaded directly from Moodle. Others can be accessed through York University's library website. A link to the library website and instructions for how to access the readings are provided on Moodle. It is assumed that you will have read and thought about the issues explored in the readings before coming to class. Adequate preparation is absolutely necessary to benefit fully from class and be able to contribute to discussions.

There is no textbook for the course.

## Student Preparation for Class and Course Contribution: Expectations

**Preparation.** The value of the class sessions depends greatly on your involvement and input. Active participation by you is not only encouraged, but also required to create a positive and rich learning environment. To be able to contribute and create value in the discussions, you are expected to have read and thought about the required readings before coming to class.

**Course Contribution:** You are expected to be present, prepared, and willing to share your views in every class, both voluntarily and when called upon to do so. Try to consistently contribute with comments that pass the “so-what” test by providing insightful analysis that builds on the prior discussion and moves our thinking forward. One to two quality contributions per class session are considered standard.

Some of the considerations for evaluating your course contribution include:

- Are you a good listener? Do your comments relate to the questions and suggestions of others and to the themes that the class is exploring together?
- Are your contributions relevant to the discussion? Are you willing to challenge the ideas that are being expressed? Are you willing to take risks and test-drive some new ideas?
- Do you integrate material from past classes or discussions where appropriate?
- Do your comments reflect cumulative learning over this course or do you merely consider each issue in isolation?
- And most importantly, do you add value to the learning of the class?

## Class-by-Class Syllabus

The following list of lecture topics and readings indicates the material to be read, reviewed and/or prepared for the various class sessions. Readings may be added to this list; please check Moodle for updates.

Date	Class Session	Topic	Assigned Readings & Resources	Assigned Work Due
XXX	1	Leadership Challenges in a Turbulent World	Soundview Executive Book Summaries: Taleb, N.N. (2007). <i>"The Black Swan"</i> , Random House. Reviewed by Stephen Wolter.  Achi, Z. & Garvey Berger, J. (2015). "Delighting in the Possible", <i>McKinsey Quarterly</i> , 2015, Number 2 (March).	Starting Career Resume  Weekly Reflection
XXX	2	The Art of Reframing I: Are you Solving the Right Problem?	Spradlin, D. (2012). "Are You Solving The Right Problem?", <i>Harvard Business Review</i> , 60(9; September), 84-93.  Ancona, D., Malone, T.W., Orlikowski, W.J. & Senge P.M (2007). "In Praise of the Incomplete Leader", <i>Harvard Business Review</i> , 85 (2; February), 92-100.	Weekly Reflection
XXX	3	The Art of Reframing II: Creating New Ways of Thinking	Sawhney, M. & Khosla, S. (2014). "Managing Yourself: Where to Look for Insight", <i>Harvard Business Review</i> , 92(11), 126-129.	Weekly Reflection
<b>Reading Week: February XXX</b>				
XXX	4	Convergent Thinking: Probing the Possible	Argyris, C. (2002). "Teaching Smart People How to Learn", <i>Reflections</i> , 4(2), 4-15.  Liedtka, J.M. (2006). "Using Hypothesis-Driven Thinking in Strategy Consulting", <i>Darden Business Publishing Teaching Note BP-0486</i>	Weekly Reflection
XXX	5	Convergent Thinking: Getting to Maybe	Ashford, S.J. & Detert, J. (2015). "Get the Boss to Buy In". <i>Harvard Business Review</i> , 93(1/2), 72-79.  O'Hara, C. (2014). "How to tell a Great Story", <i>Harvard Business Review</i> , July 30, <a href="https://hbr.org/2014/07/how-to-tell-a-great-story/">https://hbr.org/2014/07/how-to-tell-a-great-story/</a>	Weekly Reflection
XXX	6	Complexity Challenge Team Projects		Team Presentations and Project Deck  End of Semester Reflection

## Assignments/Projects: Descriptions & Evaluation

### Starting Career Resume

#### **PASS/FAIL**

This is your current resume, the one you submitted in connection with your Schulich application. Submit it in the first week of class. It will be the starting point of your learning and development journey in this course and the program, and provide the base for your interactions with the Career Development Centre. It will also be the starting point for your Learning and Development Portfolio (see below).

### Complexity Challenge Team Project

#### **40%**

For this team assignment, you are asked to apply the ideas, techniques, perspectives and concepts you are learning through the course to help solve a complex REI challenge for a “client company”. Your task is to identify relevant problems/opportunities for the company and develop high leverage actions that will have a positive impact for various stakeholders.

You will be given more detailed instructions and a specific focus for this project in the first class.

For this project, each team will be required to

- Make a tightly integrated **7 minute project presentation** in class 6 on the topic you have been assigned
- Submit an **accompanying slide deck** that demonstrates the substantial analytic and creative work that has been performed

### Weekly Reflection

#### **5 REFLECTIONS; 5% EACH**

Reflection is an essential process for transforming experiences into learning and personal development. This is your opportunity to reflect on the material covered in the course. Each week, you will be asked to complete a short reflection rubric provided by the instructors that allows you to think about and summarize your key insights for the week, and consider how you are going to apply those insights to make a positive leadership difference in the future.

### End of Semester Reflection

#### **15%**

At the end of the semester, you are asked to review your weekly reflection papers and contemplate on your learning in the course and the program as a whole. In 750 words or less, consider how your thinking about leadership may have changed; how course concepts may have puzzled, surprised, or intrigued you; how you might apply them to make a leadership difference. More detailed instructions will be provided in class.

### Course Contribution

#### **20% OF COURSE GRADE**

Twenty percent of the overall grade are allotted to your active contributions to in-class discussions. More detailed expectations are outlined on page 4.

### Calculation of Course Grade

The course grading scheme for Master's level courses at Schulich uses a 9-value grade-point system. The possible letter grades for a course (and the corresponding grade points awarded for each grade) are:

<i>Letter Grade</i>	<i>Grade Points</i>	<i>Interpretation</i>
A+	9	
A	8	Excellent
A-	7	
B+	6	
B	5	Good
B-	4	
C+	3	
C	2	Acceptable
C-	1	
F	0	Failing

Assignments are given a letter grade that, for purposes of calculation, will be translated into the corresponding grade points and then weighted. To pass this course, students will need to pass each assignment.

Students should expect that 'average' performance will lead to a grade of B or B+. Only outstanding performance on any of the assignments, which is rare by definition, will lead to a grade in the A-range (A-, A, or A+).

**Late assignments are penalized one grade point (e.g. B+ to B) per day late.**

### General Academic Policies: Grading, Academic Honesty, Accommodations

*Grades* at Schulich are based on a 9-value index system. The top grade is A+ (9) and the minimum passing grade is C- (1). To keep final grades comparable across courses, sections of required core courses are normally expected to have a mean grade between 4.7 and 6.1.

The Schulich School does not use a percentage scale or prescribe a standard conversion formula from percentages to letter grades. Conversions within a course are at the discretion of the instructor.

For more details on the index, grading policy, and grade point average (GPA) requirements, consult your Student Handbook.

Academic honesty is fundamental to the integrity of university education and degree programs, and applies in every course offered at Schulich. Students should familiarize themselves with York University's policy on academic honesty, which may be found in the Schulich website:

<http://schulich.yorku.ca/current-students/academic-honesty/>

*Accommodations.* For accommodations sought due to exam conflicts, religious reasons, unavoidable absences or disabilities, please refer to the Student Handbook or contact Student Services.

For counseling & disability services, contact Student Services or see <http://cds.info.yorku.ca/>.

### Quick Reference: Summary of Classes, Activities and Deliverables

Class No., Title and Date	Guest In-Class Case/Exercise	Reading Preparation (excluding cases, optional)	Written Preparation
1. XXX Leadership Challenges in a Turbulent World		Executive Book Summaries of "The Black Swan"  Delighting in the Possible	Starting Career Resume  Weekly Reflection
2. XXX The Art of Reframing I: Are you Solving the Right Problem?		Are You Solving The Right Problem?  In Praise of the Incomplete Leader	Weekly Reflection
3. XXX The Art of Reframing II: Creating New Ways of Thinking	Guest: TBA	Managing Yourself: Where to Look for Insight	Weekly Reflection
<i>February XXX</i>	<i>NO CLASS (Reading Week)</i>		
4. XXX Convergent Thinking: Probing the Possible		Teaching Smart People How to Learn  Using Hypothesis-Driven Thinking in Strategy Consulting	Weekly Reflection
5. XXX Convergent Thinking: Getting to Maybe	Guest: TBA	Get the Boss to Buy In  How to tell a Great Story	Weekly Reflection
6. XXX Presentations: Complexity Challenge Team Projects	Team Presentations		Project Deck  End of Semester Reflection

## New Course Proposal: EMBA 6280 Visualization for Persuasion

---

- 1. Program:** Kellogg-Schulich Executive MBA
- 2. Course Number:** EMBA 6280
- 3. Credit Value:** 2.0
- 4. Long Course Title:** Visualization for Persuasion
- 5. Short Course Title:** Visualization for Persuasion
- 6. Effective Session:** Winter 2017

**7. Calendar (Short) Course Description:**

This course provides expertise in the principles and cutting-edge methods for effective data visualization, as well as a practical toolkit for conveying your ideas in ways that are convincing, catchy, and contagious. Based on the latest insights cognitive science, computer science, and graphic design, it will use interactive exercises and hands-on experience helping participants to present data-based evidence with impact.

**8. Expanded Course Description:**

Be persuasive in presenting your ideas. Learn to convince your clients, customers, and colleagues of the merits of your views, using the latest breakthroughs in cognitive science, computer science, and graphic design. The course covers the neuroscience behind the path from understanding to memory, the power of engaging an audience's visual and motor systems, and the importance of leveraging existing brain networks through stories and metaphors. Through interactive exercises, the course will provide hands-on experience and tools for presenting data-based evidence with impact, across images, graphics, and visualizations of big data. Leave this course with expertise in the principles and cutting-edge methods for effective data visualization, as well as a practical toolkit for conveying your ideas in ways that are convincing, catchy, and contagious. Requires basic data manipulation knowledge in MS Excel. All assignments can be completed with a combination of Excel and PowerPoint but there will be an option of learning advanced visualization software (Tableau).

**9. Rationale:**

An important part of being an effective and successful executive consists of the ability to persuade others. This comprises not only the actual solution proposed or decision made, but also the data supporting it and the way it is communicated. The advent of 'big data' has significantly increased the available evidence, while making their effective communication more challenging. Students in the program can therefore benefit immensely from a course that draws on recent cognitive research and advances in the available visualization tools to help program participants to successfully use the latter in their everyday persuasion efforts.

**10. Evaluation:**

The evaluation for this this course consists of four components, all of them individually assessed, even if some of the work takes place within teams:

- A series of small assignments due before or after classes (for a total of 30%);
- Brief quizzes at the start of classes to test familiarity with the assigned readings and preparedness (15%);
- Class participation (15%);

- For a five-minute individual persuasive presentation including data and a proposed solution, recorded and revised within a group based on feedback from other students (40%, comprised of 15% for the quality of the first draft of the presentation; 15% for the quality of final final draft presentation; and 10% (5%+5%) for the quality of your critiques on the presentations in your group in the first and second rounds of critique.

#### **11. Integrated Courses:**

This course is not integrated.

#### **12. Crosslisted Courses:**

This course is not crosslisted.

#### **13. Faculty Resources:**

This course will be taught by Steven L. Franconeri, who is a Professor of Psychology in the Weinberg College of Arts & Sciences at Northwestern, Director of the Northwestern Cognitive Science Program, as well as a Kellogg Professor of Management & Organizations by Courtesy. Professor Franconeri is a leading scientist, teacher, and speaker on visual thinking, visual communication, and the psychology of data visualization. His undergraduate training was in computer science and cognitive science at Rutgers University, followed by a Ph.D. in Experimental Psychology from Harvard University, and postdoctoral research at the University of British Columbia. Among other recognitions, he has received a prestigious National Science Foundation CAREER award, given to researchers who combine excellent research with outstanding teaching.

#### **14. Physical Resources:**

This course will be offered annually during a global elective week at the Evanston campus of our partner, the Kellogg School of Management, which will provide all the necessary physical resources before, during and after the course. These resources can be supplemented with the resources of York University Library, should this prove necessary (see below).

#### **15. Bibliography and Library Statement:**

Participants will be supplied with the course specific textbook, i.e. Cole Nussbaumer Knaflic, *Storytelling with Data*, Wiley, 2015. All other required readings will be made available on Kellogg's Canvas learning management system, to which our students have full access. Further readings can be accessed at the library of the Kellogg School of Management. As per the attached library statement, many of these readings, including ebooks, as well as additional material can also, if necessary, be consulted electronically through the York University library.

MEMORANDUM  
*Peter F. Bronfman Business Library*

**SUBJECT:** Library Statement for EMBA 6280  
Visualization for Persuasion

**FROM:** Sophie Bury. Head, Peter F. Bronfman Business Library.

**DATE:** September 6<sup>th</sup>, 2016

This course teaches students to be persuasive in presenting their ideas and to use visualization techniques for persuasion. It draws on the latest breakthroughs in cognitive science, computer science and graphic design. Using interactive exercises the course will help students build data-based evidence with impact through images, graphics and visualizations of big data.

This course will be offered at the Schulich School of Business' partner school, the Kellogg School of Management at Northwestern University.

The York University Libraries will not be required to provide resources directly, but our electronic sources in this area are good and we can support this course. This includes e-book platforms available to students, such as *Books 24x7*, *Safari Books Online*, and *SpringerLink*, where keyword searching for data visualization and related topics identifies many titles. Streaming videos are also available on the topic of data visualization especially through the *Books 24x7* platform.

Students will be taught about specific tools for data manipulation and visualizations including MS Excel, Powerpoint and Tableau. Online handbooks and streaming videos to help with use of these tools are available through online platforms, which include software guides, e.g. the *Books 24x7* platform, and *Safari Books Online*. This includes the recommended text on Tableau mentioned in the course outline.

In addition, it is noted that specific articles are recommended to students in this course, including those published in the *New York Times*. York University Libraries provide KSEMBA students with access to a range of databases, containing media and journal articles, such as *Factiva*, *Proquest Business*, *PsycInfo*, *Business Source Premier* and *Lexis Nexis Academic*. These databases can be used by students to supplement readings, which are provided to them.

# KACI 925A: Visualization for Persuasion

Spring 2016: April 1, 8, 15, 22, & 29.  
Fridays, 1:30-4:30pm, Jacobs G03



Steven Franconeri, Professor of Psychology, Kellogg MORS by Courtesy  
franconeri@northwestern.edu [Make sure that your email subject line contains the number 925]  
Office Hours: Swift 317 (not Annie May Swift), by appointment and through <https://franconeri.youcanbook.me/>

## Teaching Assistants

(Admin): Christie Nothelfer (cnothelfer@u.northwestern.edu)  
Jacob Dink (JacobDink2011@u.northwestern.edu)  
Office Hours: By appointment, NICO, Chambers hall, room 236.

## Course Objective

Be persuasive in presenting your ideas. Learn to convince your clients, customers, and colleagues of the merits of your views, using the latest breakthroughs in cognitive science, computer science, and graphic design. The course covers the neuroscience behind the path from understanding to memory, the power of engaging an audience's visual and motor systems, and the importance of leveraging existing brain networks through stories and metaphors. Through interactive exercises, the course will provide hands-on experience and tools for presenting data-based evidence with impact, across images, graphics, and visualizations of big data. Leave this course with expertise in the principles and cutting-edge methods for effective data visualization, as well as a practical toolkit for conveying your ideas in ways that are convincing, catchy, and contagious. Developed for Kellogg with Professor Uzzi, the course complements his course on Leadership and Organizations.

*Required prerequisite knowledge:* Basic data manipulation in MS Excel. You will have the option of learning advanced visualization software (Tableau), but all assignments can be completed with a combination of Excel and PowerPoint.

## Required texts

Cole Nussbaumer Knaflic. *Storytelling with Data*, Wiley Press, 2015  
Additional readings will be posted to Canvas as web URLs or PDFs

## Course activities & Grading

### Assignments [30%]

There will be several small assignments, listed in the *Schedule & Assignments* section, which must be submitted by the indicated date. Brief descriptions are provided in the course schedule at the end of this syllabus, but see the 'Assignments' section of Canvas for full descriptions. Grading will be on a 1-10 scale. Keep in mind that a '9' is already an 'A' grade – '10' grades reflecting an A+ will be rare and require an outstanding effort. All assignments must be handed in on Canvas, no physical papers will be accepted. Please make sure that your name is on the bottom right corner of every assignment. A subset of completed assignments will be shown live in class, and you may be asked to discuss yours in-class. Late assignments will be subject to substantial grading penalties, and may not be accepted. See the canvas description of each assignment for important additional information.

### Presentation & Peer Critiques [40%]

One of the assignments will require substantially more time and effort, and will constitute a much larger percentage of your final grade. Your group will record a 5-minute PowerPoint presentation using the "Record SlideShow" menu option. The presentation must *persuade with data*: it must argue for a solution to a problem or question, and it must present data to support that conclusion. The content and data could come from a case in your own past work experience where you have requested funds or resources. Similarly, it could be a request for venture capital funding. Or you could construct a persuasive presentation from another source, such as an editorial (e.g., <http://www.nytimes.com/2015/03/10/opinion/end-the-ethanol-rip-off.html>). You can revamp an existing presentation from your past or from someone else, but if you choose to do this, there must be substantial changes, and you must send a copy of the original deck to the Admin TA (the class will not see this file). Your presentation will be graded on clarity and memorability of both your solution and the data that you use to support it. Your problem/solution should not be so simple or obvious that persuasion is trivial. Everything in the presentation should be fully understood by a lay viewer. See the canvas description of this assignment for important additional information

One of you will record your presentation with PowerPoint's 'record narration' feature, and post it on Canvas. It will be critiqued by the class. Each student will independently (not as a group) critique the presentations of three other students. Your group will revise your talk according to feedback, and then give one more round of critique on the revised versions of talks from the students in your group. Time permitting, a few talk files may be chosen to be played live in class, followed by live critique.

The 40% of your grade that stems from this process will break down as follows:

- 15% Quality of first draft of presentation.
- 15% Quality of final draft presentation.
- 10% (5%+5%) Quality of your critiques on the presentations in your group, for the first and second rounds of critique.

#### Quizzes [15%]

Students are expected to have read or viewed the assigned materials before the indicated class. At the start of each class (except the first) there will be a brief (~5 minutes) quiz. There are no make-ups for quizzes. Missing a quiz for an approved absence (see below) results in that grade being omitted from your quiz average – so if you miss one or more, your total quiz grade is based on performance on the remaining quizzes. Missing a quiz without an approved absence risks a zero grade for that quiz.

#### Class participation [15%]

Students are expected to attend every class, and to be on-time. It is important that you have read or viewed the assigned material before each class. I may call on students at random to encourage broad participation, and your participation grade will be hurt if you are not prepared. If you cannot prepare for class for any reason, please email Christie before-noon on the day of class, so I know not to call on you. Missing class is only acceptable for religious holidays, funeral attendance, student/dependent illness, or interviews. Attendance will be taken at the beginning of each class. If you must miss class, you should do the readings, prepare and turn in the assignments on time (late assignments may not be accepted), and arrange to get notes from a classmate about what you missed. Presentation slides (and anything else that handed out in class) will be posted to the Canvas website after each lecture.

#### **Other important issues**

- *Electronics*: Laptops are encouraged only during the classes when we work on data analysis and graphing. Otherwise, they are not allowed. Tablets that are flat on your desk are permitted only for note-taking and viewing course materials. Other electronic devices, including cell phones, are prohibited. Please put all devices in "airplane" mode during class.
- *Software*: Tableau is specialized software for data visualization, and it is free for students. There are versions for both PC and Mac. Install it early, as there is an activation process that may take a few days. <http://www.tableau.com/academic/students> There are a series of excellent video tutorials on their website. This book is also recommended: Murray, D. *Tableau Your Data!: Fast and Easy Visual Analysis with Tableau Software*. Wiley, 2013
- *Honor code*: Students are expected to respect Kellogg's Honor Code at all times.
- *Recordings, Postings, Social Media, etc*: No audio or visual recordings can be made of the class without permission of the instructor. In addition, exercises and their solutions are confidential per the Kellogg Honor Code or copyrighted and cannot be circulated or posted in any form. If you are unsure as to the application of these rules, please see the instructor.

## Schedule & Assignments

Across the assignments below, the percentage values refer to their contribution toward your final grade.

### April 1: Be understood

#### Objectives

The neuroscience of the path from understanding to memory. Essentials of graphic design. Why explanations fail.

#### Preparation

- (Due March 30th, 9pm; 2%): Song Knocking Assignment (will be announced by email).
- (Due March 30th, 9pm): Presentation topic and group preferences survey due.

#### Assignments given at end of class

- (Due April 6<sup>th</sup>, 5pm; 7%): Submit an abstract describing the argument that you'll be making in your presentation.
- (Due April 7<sup>th</sup>, 5pm; 7%): Redesign a PowerPoint slide, flyer, poster, or webpage, according to the C.A.R.P. rules.

### April 8: Be engaging and sticky

#### Objectives

The power of pictures, visualizations, and concrete explanations, across presentations and data visualizations.

Class will begin with a 10-minute quiz on the preparation materials.

#### Preparation

- Articles: Kosara et al., 2008; NYT article on Myq Kaplan; Story on Elevator pitches
- Nussbaumer, p1-35 (Through the end of Chapter 1)

#### Assignments given at end of class

- (Due April 13<sup>th</sup>, 5pm; 15%) Post the first draft of your group's presentation to Canvas.

### April 15: Be repeatable and viral / Data visualization tools

#### Objectives

Leverage the knowledge that already exists in the heads of your audience with metaphors and stories.

Choice of either a short Tableau tutorial, or a brush-up on advanced Excel.

Class will begin with a 10-minute quiz on the preparation materials.

Bring a laptop with MS Excel installed. Be sure that Tableau is installed as well if you choose to do the Tableau tutorial.

#### Preparation

- Nussbaumer, p35-163 (Chap 2-6)

#### Assignments given at end of class

- (Due April 18, 5pm, 5%): Critique the presentations in your group on Canvas.
- (Due April 24, 5pm, 8%): Plot a set of public datasets (see Canvas).

### April 22: Tell stories with data

#### Objectives

How different graph types tell different stories about your data. How to guide a viewer's attention through your visualization.

Class will begin with a 10-minute quiz on the preparation materials.

#### Preparation

- Nussbaumer, Chapter 7-10
- [http://www.ted.com/talks/nancy\\_duarte\\_the\\_secret\\_structure\\_of\\_great\\_talks](http://www.ted.com/talks/nancy_duarte_the_secret_structure_of_great_talks)
- Selected data stories from the NYT Upshot, 538, etc, posted to Canvas (will be announced)

#### Assignments given at end of class

- (Due April 27, 5pm, 15%) Revise your group's presentation based on critiques from your group, and re-post on Canvas.
- (Due April 28, 5pm, 6%) Tell 4 stories with one dataset.

**April 29: Create cutting-edge data visualizations**

*Objectives*

The common DNA that ties together all visualizations. Learn how to code data as visual variables that your eyes can efficiently decode, and new visualization techniques developed in the past decades. The basics of information dashboards.

*Class will begin with a 10-minute quiz on the preparation materials.*

*Preparation*

- Heer *Visualization Zoo* Article
- [https://www.ted.com/talks/hans\\_rosling\\_shows\\_the\\_best\\_stats\\_you\\_ve\\_ever\\_seen](https://www.ted.com/talks/hans_rosling_shows_the_best_stats_you_ve_ever_seen)
- Selected data stories from the NYT Upshot, 538, etc, posted to Canvas (will be announced)

*Assignments given at end of class*

- (Due May 3, 5pm, 5%): Critique the revised presentations in your group on your Canvas discussion page.

## New Course Proposal: EMBA 6320 Value Investing

---

*The following information is required for all new course proposals. To facilitate the review/approval process, please use the headings below (and omit the italicized explanations below each heading).*

**1. Program:** Kellogg-Schulich Executive MBA

**2. Course Number:** EMBA 6320

**3. Credit Value:** 2.0

**4. Long Course Title:** Value Investing

**5. Short Course Title:** Value Investing

**6. Effective Session:** Fall 2016

**7. Calendar (Short) Course Description:**

This course will systematically present the fundamental tenets of value investing: search, valuation, and the construction of a portfolio, focusing on the equity market and applying concepts from accounting, microeconomics and corporate finance. Addressed at those dealing with investors or investing themselves, it will introduce the styles of famous value investors and discuss the basic similarities and differences between them.

**8. Expanded Course Description:**

This course will systematically present the fundamental tenets of value investing: search, valuation, and the construction of a portfolio. It will also introduce the styles of famous value investors and discuss the basic similarities and differences between them. The course is intended for those dealing with or wanting to become 'active' investors, with the latter requiring a willingness and ability to devote a significant amount of time to continually research, select and monitor stocks. This course will focus on the equity market, and begin with the classic Graham and Dodd investing criteria and then introduce innovations to these criteria as well as the use of derivatives in the portfolio. It has three main learning outcomes: (i) to identify the fundamental philosophy, style and tools of value investing; (ii) to apply concepts in accounting, microeconomics and corporate finance to analyse companies and their stocks; and (iii) to demonstrate research report writing and presentation skills.

**9. Rationale:**

Our Executive MBA program curriculum is designed to enable participants to master a broad range of functional and managerial skills. The course aligns well with the program's overall learning objective in that it enables participants to take decisions, design, plan and create recommendations that integrate multiple perspectives (in this case from various academic disciplines and different economic agents). Since participants hold key positions in their companies, the fundamental yet cutting-edge knowledge about value investing should help them assess investments made on behalf of their companies and also understand the behaviour of outside investors. Those willing to continually research, select and monitor stocks could also become 'active' investors themselves.

**10. Evaluation:**

The evaluation for the course is based on three main elements, two of which are individually assessed and one is team-based: (1) three problems set (10% each, 30% total); (2) a final exam (30%); and a group project (40%). All assignments must be handed in on time; attendance is

mandatory, with a penalty of one grade reduction be applied for each unexcused absence. Bonus points can be obtained for identifying and presenting an original 'buy' in class.

**11. Integrated Courses:**

This course is not integrated.

**12. Crosslisted Courses:**

This course is not crosslisted.

**13. Faculty Resources:**

The course will be taught by Milind Rao, who holds a PhD from Columbia University and is Professor of Business Practice in the Department of Economics at the Hong Kong University of Science and Technology (HKUST) Business School. Professor Rao has received various teaching awards including "Professor of the Year" in the Kellogg-HKUST Executive MBA in 2006, 2008, 2010 and 2012. He has extensive research experience on course-related topics, with results published in leading international journals in the fields of economic theory, macroeconomics, international trade and international finance as well as practitioner publications such as *The Wall Street Journal*. He has also been invited to offer consulting services to premier US investment banks.

**14. Physical Resources:**

This course will be offered annually as part of the Kellogg-HKUST global electives week at the campus of the HKUST Business School, which is our partner within the Kellogg Executive MBA network. HKUST will provide all the necessary physical resources before, during and after the course. These resources can be supplemented with the resources of York University Library, should this prove necessary.

**15. Bibliography and Library Statement:**

Participants will be supplied by our partner school with a text book (Benjamin *Graham, The Intelligent Investor*, HarperBusiness, 2006) and a course pack containing all required readings and cases in advance of the course. Additional recommended readings can be accessed at the library of the HKUST Business School. As per the attached library statement, if necessary, participants from our program can also remotely consult additional material available at the York University library.

**MEMORANDUM**  
***Peter F. Bronfman Business Library***

**SUBJECT:** Library Statement for EMBA 6320  
Value Investing

**FROM:** Xuemei Li, Business Librarian

**DATE:** September 2<sup>nd</sup>, 2016

This course will systematically present the fundamental tenets of value investing: search, valuation, and the construction of a portfolio. It will also introduce the styles of famous value investors and discuss the basic similarities and differences between them. The course is intended for 'active' investors who are willing and able to devote significant amount of time to continually research, select and monitor stocks.

This course will be offered at the Hong Kong University of Science and Technology (HKUST), a partner of the Schulich School of Business within the Kellogg School of Management global EMBA network.

Library resources are not required for this course but should students wish to expand their research related to topics taught in this course, York University Libraries provide access to a range of e-resources of relevance. This includes periodical databases covering the business literature such as *Proquest Business*, *Scholars Portal Journals* and *Business Source Premier*. In addition, students have access to a number of e-book platforms including *Books 24x7*, which has good coverage of the topic. In addition, the library offers a number of databases that are very useful such as Mergent Online, Factiva and Investext Plux (Thomson One) etc.

The York University Libraries will not be required to provide resources directly but our electronic sources in this area are strong and we can support this course.

Milind Rao  
Office: 6072  
Phone: 2358 7599  
Email: [MRao@ust.hk](mailto:MRao@ust.hk)

FALL 2016

## **VALUE INVESTING** **SYLLABUS**

This course covers the basic theory and philosophy of value investing as it has developed since Graham. We will introduce and discuss the styles of important value investors including Graham and Buffett. We will present the basic techniques of investing: search; valuation and the construction of a portfolio. We will use the framework developed to study specific companies.

While this course is designed for those with no finance background, please be advised that this is a very intense course with extensive readings and assignments.

### **Required Work:**

- (30%)      Assignment
- (30%)      Exam
- (40%)      Group Project

Bonus Points: For identifying and presenting in class an original 'buy'.

### **READINGS**

Benjamin Graham, The Intelligent Investor. HarperCollins, 2003.

Additional notes and readings will be handed out in class.

### **Pre-Course Assignments:**

#### **1. Readings:**

The Intelligent Investor: chapters 1,2, 4, 5, 6, 7,8, 11, 12, 14, 15, 18, 19, 20

#### ***2. Group Project Preparation:***

Groups and companies have been pre-assigned (please see Group Project list)  
Please collect the relevant data for the initial meeting with me on day 1.

DAY 1

I. LAZY MAN PORTFOLIO

1. THE EQUITY MARKET

2. MUTUAL FUNDS AND OTHER INVESTMENT COMPANIES

DAY 2

II . VALUE INVESTING: INTRODUCTION

III. SEARCH

DAY 3

IV. FRANCHISE: ECONOMICS

V. FRANCHISE: CHECK LIST

ASSIGNMENT DUE

DAY 4

VI. VALUATION

VII. PORTFOLIO

DAY 5

VIII. PRESENTATIONS



To: PG Secretariat, Office of Postgraduate Studies

Submitted by: DBM (School)

Offering Unit: Kellogg-HKUST EMBA Program (Division/Department/Program Office)

**(I) Proposed title and code of the new course**

(a) Course code: <sup>(1)</sup> EMBA 5720 Previous course code: <sup>(2)</sup> N.A.

(b) Course title: <sup>(3)</sup> Value Investing

Abbreviated title: <sup>(4)</sup> \_\_\_\_\_ (required only if the title exceeds 30 characters)

**(II) General information of the proposed course (please tick as appropriate)**

(a) The course will be offered from Fall (Term), 2016/17 (Academic year)

(b) Vector: <sup>(5)</sup> [1-0-0:1] Course commencement date: December 2, 2016

(c) Course description in the PG Course Catalog (in about 3-4 lines)

This course will systematically present the fundamental tenets of value investing: search; valuation; and the construction of a portfolio. It will also introduce the styles of famous value investors and discuss the basic similarities and differences between them. The course is intended for 'active' investors who are willing and able to devote significant amount of time to continually research, select and monitor stocks.

(d) Grading type <sup>(6)</sup>:  Letter grades  Pass / Fail  Permitted to proceed  
 High Pass / Pass / Low Pass / Unsatisfactory / Incomplete (for EMBA programs only)

(e)  Exclusion(s) <sup>(7)</sup>

Course Code	Course Title

Prerequisite(s) <sup>(8)</sup>

Course Code	Course Title

Co-requisite(s) <sup>(9)</sup>

Course Code	Course Title

Background <sup>(10)</sup>

(f) Medium of instruction<sup>(11)</sup>:  English  Putonghua  Cantonese  
Reading materials:  English  Chinese

(g) Mode of delivery

Direct class contact

Electronic medium (*Please provide details*) \_\_\_\_\_

Both of the above (*Please provide details*) \_\_\_\_\_

(h) Development of course materials

The course materials have been exclusively developed by the Division/Department/Program Office.

The course materials have been jointly developed by the Division/Department/Program Office and \_\_\_\_\_

\_\_\_\_\_  
[Name of other div(s)/dept(s)/institution(s)/organization(s)]

(i) Student groups targeted

Which are the main student groups the course is targeted for? In FT/ PT program? The course is target for

Kellogg-HKUST Executive MBA students.

What is the anticipated class size? About 55 participants

How often will the course be offered? Once a year

(j) Essential references to be used for the proposed course

\* *Author, title, edition, publisher and year*

*Author:* Benjamin Graham  
*Title:* The Intelligent Investor  
*Edition:* Rev Sub edition  
*Publisher:* HarperBusiness  
*Year:* 2006

(k) Resource implications

i. *Human resources*

Who will be the course instructor(s)? (*Please provide details*)

Current HKUST faculty: Prof. Milind RAO

New faculty to be recruited: \_\_\_\_\_

Are there other faculty in the division/department with expertise in teaching the same course?  Yes  No

If 'Yes', who are they? \_\_\_\_\_

ii. *Other resources*

Will this course involve laboratory or field work?  Yes  No

If "Yes", will new equipment, extra resources or funding be required for launching the course?  Yes  No

If "Yes", has the resources been secured from the division(s)/department(s) concerned?  Yes  No

### (III) Background and rationale for introducing the proposed course

The participants, who hold key positions in their companies, need the fundamental yet cutting-edge knowledge to be a sound and informed investors to excel the development of their companies.

### (IV) Course objective

\* *What does this course aim to achieve?*

This course aims to introduce the precepts of value investing. It will focus on the equity market, and begin with the classic Graham and Dodd investing criteria. This includes stock search; valuation; and design of optimal portfolio. Innovations to the classic criteria as well as use of derivatives in the portfolio will be introduced.

### (V) Learning outcomes and alignment

(a) Course learning outcomes<sup>(12)</sup>, elements of delivery<sup>(13)</sup>, and course assessment<sup>(14)</sup>

Course learning outcomes (Normally 5-8)	Elements of delivery	Course assessment
1. To identify the fundamental philosophy, style and tools of value investing.	Lectures by the instructor, In class student presentations on course project on valuing companies.	Problem Sets/Exam Course Project Presentations
2. To apply concepts in Accounting, Microeconomics and Corporate Finance to analyze companies and their stocks.	Lectures by the instructor, In class student presentations on course project on valuing companies.	Problem Sets/Exam Course Project Presentations
3. To demonstrate research report writing and presentation skills.	Lectures by the instructor, In class student presentations on course project on valuing companies.	Problem Sets/Exam Course Project Presentations
4.		
5.		
6.		
7.		

Please mention all elements that count toward course assessment together with their contributing percentages.

Final Exam (30%), Problem Sets (3) (30%), Group Project (40%)

Attendance is mandatory. A penalty of one grade reduction will be applied for each unexcused absence. Assignments must be handed in on time. Bonus Points: For identifying and presenting in class an original 'buy'.

(b) Course outline

\* Please briefly describe what topics will be covered in each teaching week/class.

1. The fundamental tenets of value investing: search; valuation; and the construction of a portfolio
2. The styles of famous value investors, basic similarities and differences between them.

(c) Alignment with program learning outcomes

The course is (Please tick as appropriate)

- A core/required course of \_\_\_\_\_ [Program(s)]
- A specified elective course of Kellogg-HKUST Executive MBA Program [Program(s)]
- None of the above

Please explain how the proposed course will contribute to the program(s) and align with the program learning outcomes.

Our Executive MBA program curriculum is designed to enable participants to master a broad range of functional and managerial skills. The program enables participants to practically apply newfound skills and ideas into their workplace. By introducing this course, participants will be equipped with the relevant knowledge to excel the value of their companies to attract further investments. The course aligns well with the program learning outcome that participants are able to take decisions, design plan and create recommendations that integrate multiple perspectives (cross-functional, cross-cultural, cross-industries, different context).

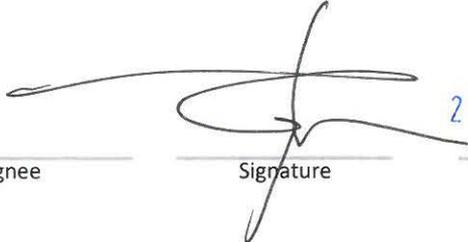
**(VI) Concurrence**

- \* This form should be sent to the program/course offering units named in Section V (c) for consideration.
- \* In Section II (e), if courses are listed as an exclusion to the proposed course, the divisions/departments teaching the exclusion courses should be consulted on whether the courses should be mutually excluded.
- \* By signing in the space below, the unit concerned supports the introduction of the above course.

<u>School/Div/Dept/ Program Office</u>	<u>Name of Head/ PG Coordinator/ Program Director</u>	<u>Signature</u>	<u>Date</u>	<u>Comments, if any</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

**(VI) Endorsement by Division/Department/Program Office and School**

This is to confirm that the introduction of the proposed course, as presented in this document, has been endorsed by the Division/Department/Program Office and the School Board concerned.

<b>Division/Department/Program Office</b>	Prof. Chris Doran, Academic Director Kellogg-HKUST Executive MBA Program Name of Head/Program Director or designee	 Signature	18 AUG 2016 Date
<b>School Board</b>	Prof. Tam Kar Yan Dean, SBM Name of Dean or designee	 Signature	22 AUG 2016 Date

**For use by PG Secretariat**

Proposal is received by PG Secretariat on: \_\_\_\_\_  
Proposal is submitted to CPS for consideration at its \_\_\_\_\_ meeting held on \_\_\_\_\_  
Remarks: \_\_\_\_\_

## **Notes for completing this form:**

### **1. Course code**

5xxx - Regular PG courses  
6xxx - Special topic courses, seminars, independent studies and reading courses, etc.  
7xxx - Doctoral seminars and research  
x980 - Research projects  
6770 - Professional Development Courses  
6990 - MPhil thesis research  
7990 - Doctoral thesis research

### **2. Previous course code**

Applicable only if the course had been offered in the past as a special topic course.

### **3. Course title**

Maximum length = 100 characters (space included).

### **4. Abbreviated title**

Maximum length = 30 characters (space included). Should be a direct abbreviation of the title.

### **5. Vector**

In the form of [L-T-Lab:C]:

L = lecture hrs/week; T = tutorial seminar or recitation hrs/week; Lab = laboratory or field study hrs/week; C = no. of course credits.  
Normally, 1 credit is designated for 1L, 1T or 3Lab.

### **6. Grading type**

The default grading type for courses is letter grades. Grading types other than letter grades will be specified in the course catalog if approved.

### **7. Exclusion(s)**

Students are not allowed to register for the course if they have already taken and passed any of the stated exclusions. In addition, students are not allowed to enroll in a course together with any of its stated exclusions in the same term.

### **8. Prerequisite(s)**

A prerequisite may be an attainment in an existing/previous course. The prerequisite must be taken and passed before a student may register for this (proposed) course unless exemption is granted by the division/department/program office offering the course.

### **9. Co-requisite(s)**

A co-requisite specification refers to a course which students are required to take concurrently or prior to the proposed course.

### **10. Background**

A background indicates the general level of desirable prior knowledge.

### **11. Medium of instruction / materials**

Exceptions to the general University policy that English is the medium of instruction will only be permitted when the courses are related to the area of Chinese studies and are approved by the School of Humanities and Social Science. Courses approved to be taught in Chinese will carry a [PU] or [CA] notation in the course catalog: [PU] stands for Putonghua; and [CA] for Cantonese. Courses marked with a [C] in the catalog may be not taught in Chinese but may require students to read materials in Chinese. Courses of the HKUST Executive Master of Business Administration Program are also permitted to use Chinese as the medium of instruction and in reading materials.

### **12. Course learning outcomes**

A course learning outcome is a statement describing what students are expected to be able to do at the end of the course. A course normally has 5-8 learning outcomes. Good learning outcomes should start with an action verb. Please refer to the website of the Center for Education Innovation at <http://cei.ust.hk/learner-centered-course-design/learning-outcomes> for more details.

### **13. Elements of delivery**

This may include lecture, tutorial, seminar/small-class, laboratory work, and project study.

### **14. Course assessment**

This may include in-class test, mid-term test, final exam, written assignment, project report, presentation, course participation and peer evaluation.

## Course Change Proposal Form

The following information is required for all course change proposals. To facilitate the review/approval process, please use the headings below (and omit the italicized explanations below each heading).

1. **Program:** Kellogg-Schulich Executive MBA Program
2. **Course Number and Credit Value:** EMBA 6350 2.00
3. **Course Title:** Strategic Alliances
4. **Type of Course Change(s) (indicate all that apply):**

	in course number
	in credit value
<b>X</b>	in course title ( <b>short course titles may be a maximum of 40 characters, including punctuation and spaces</b> )
<b>X</b>	in course description ( <b>short course descriptions may be a maximum of 60 words, written in present tense</b> )
	in learning objectives/outcomes
	in integration ( <b>please provide statement of approval from relevant undergraduate coordinator or Chair</b> )
	in crosslisting ( <b>please provide statement of approval from other program</b> )
	in pre/co-requisite
	expire course
	other ( <b>please specify</b> )

5. **Effective Session of Proposed Change(s):**  
Winter 2017

6. **Academic Rationale:**  
The new title and description is a better reflection of the content of the course.

7. **Proposed Course Information:**

Existing Course Information (change from)	Proposed Course Information (change to)
Long and short title: Strategic Alliances	Long Title: <b>Creating and Managing</b> Strategic Alliances  Short title: Strategic Alliances (no change)
Description: The focus of this course is on the emergence and increasing importance of an organization's external networks of relationships. Inter-firm alliances are	Description: <b>This course examines the theory and practice of creating and managing different types of strategic alliances, such as joint ventures, licensing agreements, buyer-supplier</b>

cooperative arrangements between firms that are expressly created to fulfill a shared strategic goal by pooling organizational capabilities. These cooperative arrangements take a variety of forms and vary significantly in terms of commitment, degree of control and scale. The processes by which a firm can leverage and manage its network of relationships will be examined.

partnerships, and consortia. It enables students to better understand the costs and benefits of strategic alliances compared to other strategies such as internal development or M&A, design alliances, and avoid potential problems and complications in managing them.

## 8. Consultation:

N/A

## Approvals

### a) Originator

*Edward J. Zajac*

Signature (signed electronically)

August 30, 2016

Date

*Edward J. Zajac*

Instructor

*Kellogg School of Management*

### b) Area or Specialization

I have reviewed this change form and I support the proposed changes to the course.

*Matthias Kipping*

Signature (signed electronically)

August 30, 2016

Date

*Matthias Kipping*

Academic Director, KS EMBA

*Kellogg-Schulich Executive MBA*

Area or Specialization

### c) Degree Program

This course change has received the approval of the Program Committee, and I support the proposed changes.

*Markus Biehl*

Signature (signed electronically)

September 20, 2016

Date

*Markus Biehl*

Name of Program Committee Chair

*Kellogg-Schulich Executive MBA*

Program

### Required Attachments

- For changes in the number of credits, course title or course description, please attached the new Schulich course outline

Attached:

Old and new course outlines

## CREATING AND MANAGING STRATEGIC ALLIANCES

June 2016  
EMP104

Prof. Edward J. Zajac  
3102 Leverone Hall  
Phone and Fax: 847-491-8272  
Email: e-zajac@kellogg.northwestern.edu

---

### COURSE DESCRIPTION

In a world characterized by global competition, increased technological change, and intensified resource constraints, firms are increasingly using cooperative relationships with other organizations as an essential tool for achieving their overall strategic objectives. However, both large and small corporations are finding that successful "strategic alliances" are often difficult to achieve. Creating and Managing Strategic Alliances (CMSA) examines the theory and practice of creating and managing different types of strategic alliances, such as joint ventures, licensing agreements, buyer-supplier partnerships, and consortia.

This course will enable the student to better understand the costs and benefits of strategic alliances (and why such alliances may be preferred over other strategies such as internal development or mergers and acquisitions). In addition, the course covers how to design alliances, and how to avoid the many potential problems and complications in managing these relationships. The course also provides a framework for managing the complex but increasingly common situation in which organizations are involved in multiple alliances.

CMSA should prove useful for students interested in understanding the role of strategic alliances in contemporary strategic management.

## COURSE REQUIREMENTS

Student contributions to class discussion will represent 20% of the course grade. Class attendance is a given, of course, and absences from class not related to medical emergencies will affect adversely this portion of the student's grade. Students should plan on contributing actively and constructively each week and may be called upon during classroom discussions to ensure that all class members have the opportunity to be heard.

*Showing up late for class, checking email, surfing the web, or eating food in class are examples of non-constructive participation. **Please also note that no open laptops are allowed during class hours (without prior permission from the faculty member).***

The written requirement involves an in-depth (approx. 15 page) final paper (65% of the course grade). The in-depth paper should examine either (1) a single strategic relationship involving two (or more) organizations, (2) the use of multiple strategic alliances in a single industry, or (3) the use of a single type of alliance (e.g., joint ventures or consortia) across industries. The paper can also be written as a case to be possibly used in future classes, highlighting some of the key issues relevant for CMSA. The paper will be due several days before the final grades need to be submitted.

Students may also have the opportunity (depending on the flow of the class discussions) to make a brief oral presentation relating to their in-depth paper (15% of the grade). The presentations should not summarize the papers. Rather, the presenters should (1) highlight a few major issues that emerged during the course of researching the paper, and (2) encourage class discussion. Students should work with their class groups on both the in-depth paper and the oral presentation.

## REQUIRED TEXTS AND READINGS

Packet of readings. Note: most of the conceptual frameworks used in the class are original and will be presented during class time. The packet is smaller as a result, and contains all the cases used in the class, along with a set of examples of alliance issues taken from the business press, and also a few classic articles).

## COURSE OUTLINE

### **Session 1 (6/25): Why Ally; Alliance Logics Over Time; Alliance Forms**

Axelrod, Robert M. 1985. The Evolution of Cooperation, New York: Basic Books, Chapter 4.

Nielsen, Richard P. "Cooperative Strategies," Planning Review, 14:2 (March), 16-20, 1986. [SKIM]

Wall Street Journal. "Five Airlines Unveil Expanded Alliance That Links Various Customer Services," (May 15), 1997.

<http://blogs.wsj.com/middleseat/2009/02/05/should-airline-alliances-be-immune-to-antitrust-laws/>

Wall Street Journal. "McDonald's, U.S.-Franchisee Ventures are on the Rise," (June 26), 1995.

### **Session 2 (6/26): Why Alliances Fail; Consortia**

CASE: U.S. Memories ("Lessons Linger ..."). Case study questions: (1) Why did USM fail? (2) Was the alliance doomed from the start? (3) Design a better USM.

Wall Street Journal. "Foreign Chip Firms to Boost Funding of Sematech Group," (February 4), 1998.

Wall Street Journal. "Iridium Creates New Plan for Global Cellular Service," (August 18), 1997.

Wall Street Journal. "ACER, Texas Instruments Set Chip Venture." (May 15), 1989.

Optional reading: Intel/Micron Alliance, 2005 (a case study that is a compare-and-contrast vis-a-vis U.S. Memories). Soft copy on blackboard.

Wall Street Journal. "U.S. Firms Join Forces to Build Car Batteries." (Dec.16), 2008.

### **Session 3 (6/27): Designing Contractual Alliance Agreements; Licensing**

CASE: Edison Brothers Stores and Virtual Reality. Case Study Questions: 1. What does each side hope to gain from this alliance? 2. Based on the “gets,” are the two parties equally motivated to make the alliance successful? Why or why not? 3. Does the timing of the “gives” and “gets” affect the motivation of the parties? 4. You are Martin Snyder, faced with a go/no-go/go-but decision? What is your decision and why?

Battersby, G.J. and Grimes, C.W. "Merchandising License Agreement, Annotated." In An Executive's Complete Guide to Licensing, by R.A. McCaffrey and T.A. Meyer. Homewood, IL: Dow-Jones Irwin, 1989. **[SKIM]**

Wall Street Journal. "Colonel's Secret Recipe in New, Safer Vault at KFC," (February 10), 2009.

Wall Street Journal. "Companies Crush Out Ties to Cigarettes," (April 3), 1995.

### **Session 4 (6/28): Negotiating and Structuring Joint Ventures**

CASE: Webber Controls, Inc./ Tantal Production Amalgamation. Case Study Questions: 1. What was the overall outcome of the negotiation? 2. What were the sticking points? 3. What were the perceptions of the process (each side should answer this independently). 4. What do you see as the prospects for the future of the alliance?

CASE: Parker-Spencer: The Legal Form of Joint Venture (No Case Study Questions – Read for background information only.)

Levinson, C. and Lawlor, J.S. "Legal Considerations of Joint Ventures." In The Handbook of Joint Venturing, Carter, Cushman, and Hartz (eds.). Homewood, IL: Dow-Jones Irwin, 1988.

Wall Street Journal. "Carrefour to Open Stores in India by 2009," (Nov. 20), 2007.

Wall Street Journal. "French Retailer Carrefour May Finally Enter India," (Jan 28), 2009.

### **Session 5 (6/29): Catch-up and Student Presentations**

## STRATEGIC ALLIANCES

### Supplemental Readings

#### **Books:**

Lorange, Peter and Johan Roos. 1993. Strategic Alliances. Oxford, England: Blackwell.

Doz, Yves L. and Gary Hamel. 1998. Alliance Advantage. Boston: Harvard Business School Press.

Lendrum, Tony. 2003. The Strategic Partnering Handbook: The Practitioners' Guide to Partnerships and Alliances. New York: McGraw Hill

#### **Websites:**

Association of Strategic Alliance Professionals (ASAP):  
<http://www.strategic-alliances.org/>

**Edward J. Zajac**  
***James F. Beré Professor of Management and Organizations***  
***Kellogg School of Management, Northwestern University***

Ed Zajac joined the faculty of the Kellogg School of Management after completing his Ph.D. in organization and strategy at the Wharton School, University of Pennsylvania. At Kellogg, he received the James F. Beré Chair and the Sidney J. Levy Teaching Award. He was a Fulbright Scholar at the University of Cologne and a visiting scholar at Erasmus University in Rotterdam, the Free University of Berlin, Hong Kong University of Science and Technology, the National University of Singapore, and the University of Zurich. He is an elected Fellow of both the Academy of Management and the Strategic Management Society.

Professor Zajac's research, teaching, and consulting focuses on strategy, alliances, and corporate governance. His award-winning research has been published widely in major academic journals, such as the *Strategic Management Journal*, *Administrative Science Quarterly*, *Organization Science*, *Academy of Management Journal*, *American Sociological Review*, and the *Proceedings of the National Academy of Arts and Sciences*. He has repeatedly been recognized in the Institute of Scientific Information's yearly list of "most highly cited researchers" worldwide (representing less than one-half of one percent of all published researchers), and his published work has garnered over 18000 citations over his Kellogg career. He received the Distinguished Scholar Award from the Organization and Management Theory Division of the Academy of Management, the Outstanding Scholar Award from the Western Academy of Management, and was also awarded an honorary doctorate from the Free University of Berlin. He also served for many years as Co-Editor of the *Strategic Management Journal*.

Professor Zajac has developed several popular courses at Kellogg in his areas of expertise. *Creating and Managing Strategic Alliances* addresses the design and management of strategic alliances such as joint ventures, licensing agreements, consortia, and other structures for cooperation. *Advanced Strategic Management* examines how organizations can more effectively adapt to changing environments (with an emphasis on integrating strategy formulation and implementation challenges). *Corporate Governance* analyzes the interdependent roles of the CEO, board of directors, shareholders and other stakeholders in the modern public corporation, both in the U.S. and abroad.

Professor Zajac is also active in executive education and consulting in North America, Europe, Asia, and Latin America in the areas of strategy formulation and implementation, strategic alliances, and corporate governance. He has worked with organizations such as Abbott, AstraZeneca, Baxter, Blue Cross/Blue Shield (the Association, HCSC, and the Michigan, Minnesota, Illinois, North Carolina, and North Dakota plans), Brady, Bristol-Meyers Squibb, Brunswick, Cargill, Caterpillar, Cigna, Commonwealth Edison, ConocoPhillips, Cooper Tire & Rubber, Copersucar, R.R. Donnelly, Edwards Lifesciences, the FBI, FTI Ringtail, General Mills, W.W. Grainger, Harnischfeger, Hearst, Healthways, Hollister, Hu-Friedy, IBM, Idealease, the Institute for Corporate Directors (Canada), Johnson & Johnson, Land O'Lakes, Libbey, Eli Lilly, MARKEM, Merck, Monsanto, Novo Nordisk, Pfizer, Premier, Procter & Gamble, Public Service Company of New Mexico, O'Melveny & Myers, Rockwell Automation, Rockwell Collins, Sanofi-Aventis, Savoy Brands Internacional, Schering-Plough, Siemens, Topco, Toyota, Zurich Insurance, several governmental agencies, and numerous professional associations (particularly in health care). He is currently a board member at Scot Forge (an ESOP company), and he formerly served as board chair at Pioneer Surgical Technology, and as a board member at PeopleFlo Manufacturing, Roberts Industries and The Wetlands Initiative.

Evanston, Illinois 60208-2001 Phone and Fax: 847-491-8272 Email: e-zajac@kellogg.northwestern.edu

**SCHULICH SCHOOL OF BUSINESS  
NOMINATING COMMITTEE SLATE FOR 2016-2017**

**Chair of Council:** James McKellar  
**Vice Chair:** Richard Irving

**Ph.D. Program**

<b>Chair:</b>	Program Director	Eileen Fisher
ACTG		Dean Neu
FINE		Lilian Ng
MKTG		Theo Noseworthy
OMIS		Murat Kristal
ORGS		Mike Valente
PLCY		<b>Stan Li</b>

Elected Student Members:		
Ph.D. Rep.		<b>Kam Phung</b>
Ex Officio Voting Members:		
Associate Dean, Academic		Markus Biehl
Associate Dean, Students		Marcia Annisette
Non-Voting Members:		
Assistant Dean, Students		Melissa Judd or Olga Carew

**Master Programs/Programs Coordinating Committee**

<b>Chair:</b>	Markus Biehl. AD Academic
ACTG	Shanker Trivedi
<b>ECON</b>	<b>Irene Henriques</b>
<b>ECON</b>	<b>Farrokh Zandi</b>
FINE	Yelena Larkin
MKTG	Marshall Rice
OMIS	TBD
ORGS	Andre de Carufel
PLCY	Anoop Madhok

Elected Student Members:	
1 <sup>st</sup> yr MBA rep.	TBD
2 <sup>nd</sup> yr MBA rep.	<b>Alisa Bialis</b>
1st yr IMBA rep.	TBD
2nd yr IMBA	TBD
Student Rep BBA/iBBA	TBD
Student Rep MACC	TBD
Student Rep MBAN	TBD
Student Rep MFIN	TBD
Student Rep FNEN	TBD
Student Rep MMTG	TBD
Student Rep MREI	TBD
Ex Officio Voting Members:	
AD Students	Marcia Annisette
Director BBA/iBBA	Detlev Zwick
Director IMBA	Alexandra Campbell
Director MAcc	Marcia Annisette
Director MBA	Ashwin Joshi
Director MBAN	Murat Kristal
Director MFIN	Yisong Tian
Director MMTG	Kevin Tasa

Director MREI Director SCTE / EE Lead eLearning Lead	Andre Kuzmicki Mary Waller Ingo Holzinger
Ex Officio Non-Voting Members: Rep. Student Services Rep IST Rep CDC Rep Alumni	Melissa Judd Mark Orlan Rob Hines David Bell

### Master's Admissions:

#### Chair:

ACTG  
FINE  
ACTG  
ENTR  
OMIS  
ORGS  
ACTG

Kiradaran Kanagaretnam  
Jeff Everett  
Ambrus Kecskes  
Sylvia Hsu  
Geoff Kistruck  
Zhepeng Li  
Hazel Rosin  
Albert Tsang

#### Student Member:

MBA rep.

**Francis Paul**

#### Ex Officio Voting Members:

AD Students

Marcia Annisette

#### Non-Voting Members:

Assistant Director of Recruitment  
and Admissions

Graham Sue, Boris Remes or  
Imran Kanga

### BBA/iBBA Programs:

#### Chair:

Program Director

ACTG  
OMIS  
FINE  
ORGS  
PLCY

Detlev Zwick  
Linda Thorne  
Adam Diamant  
Hongping Tan  
Christine Oliver  
David Weitzner

#### Elected Student Members:

1st yr BBA rep.  
2nd yr BBA rep.  
3rd yr BBA rep.  
4th yr BBA rep.  
iBBA rep.

**TBD**  
**Shanu Sablok**  
**Graziella Perricone**  
**Alex Peav**  
**Albina Mamonkina**

#### Ex Officio Voting Members:

AD Academic  
AD Students  
Assoc. Director, BBA/iBBA

Markus Biehl  
Marcia Annisette  
Farrokh Zandi

#### Non-Voting Members:

Assistant Director SCTE  
Student Services Rep.  
Career Centre Rep.

Hollis Sinker  
Lyla Korhani

**Management:**

<b>Chair:</b>	Dean Dezső J. Horvath
Ex Officio Members:	
Associate Dean, Academic	Markus Biehl
Associate Dean Research	Dirk Matten
Exec. Director External Relations	James McKellar
AD Students	Marcia Annisette
Executive Officer	Magda Szaki
Non-Voting Members:	
Faculty Rep. – Chair of FC	James McKellar

**Nominating:**

<b>Chair:</b>	James Darroch
ENTR	Geoff Kistruck
OMIS	Moren Levesque
Elected Student Members:	
GBC President	<b>Francis Paul</b>
UBC President	<b>Houman Tahavori</b>
Ex Officio Members:	
AD Academic	Markus Biehl

**Research & Library:**

<b>Chair:</b>	Assoc. Dean, Research	Dirk Matten
ENTR		Geoffrey Kistruck
FINE		Douglas Cumming
MKTG		Russell Belk
Elected Student Members:		
MBA rep.		<b>Alisa Bialis</b>
BBA/iBBA rep.		<b>Balmit Kaur</b>
Ex Officio Voting Members:		
Bronfman Business Librarian		Sophie Bury
Ex Officio Non-Voting Members:		
Research Officer		<b>Farhana Islam</b>
Exec. Director IST		Mark Orlan

**Student Affairs:****Chair:**

Henry Kim

**Vice Chair:**

Peter Darke

ACTG

Janne Chung

ACTG

Sandy Qu

ECON

Perry Sadorsky

ECON

Fred Lazar

MKTG

Ajay Sirsi

MKTG

Ela Veresiu

## Elected Student Members:

Grad Rep.

**Frank Paul**

Grad Rep.

**Alisa Bialis**

Undergrad Rep.

**Saman Ali**

Undergrad Rep.

**Tina Boutis**

## Ex Officio Voting Members:

AD Academic

Markus Biehl

## Ex Officio Non-Voting Members:

AD Students

Marcia Annisette

**Tenure & Promotions****Chair:**

Wade Cook

**Core Members Continuing**

Russell Belk

MKTG

Peter Darke

ENTR

Moren Levesque

PhD Rep

**Claire Deng****Noncore Members:**

ACTG

Melanie Cao, Pauline Shum

FINE

Eileen Fischer, Christine Oliver

ENTR

MKTG

Henry Kim, Richard Irving

OMIS

ORGS

Christine Oliver, Preet Aulakh

PLCY

Dirk Matten, James Darroch

PLCY

**Tenure & Promotions Appeals**

ECON

Fred Lazar

ACTG

Dean Neu

FINE

Gordon Roberts

### **Kellogg-Schulich Executive MBA Program Committee:**

<b>Chair:</b>	Markus Biehl
Academic Program Director	Matthias Kipping
ORGS	Gareth Morgan
PLCY	Theodore Peridis
Associate Dean, Global Programs	Greg Heniffee
Assistant Dean, Exec MBA Programs	Su-Lan Tenn

Ex Officio Member:	
AD Academic	Markus Biehl
Student Members:	
1 <sup>st</sup> year EMBA rep.	<b>Yvette Elliot</b>
2 <sup>nd</sup> year EMBA rep.	

### **Senators:**

<b>6 Faculty plus the Dean</b>	Marcia Anisette (July 1, 2017)
	Markus Biehl (July 1, 2017)
	Richard Irving (July 1, 2019)
	Steve Weiss (July 1, 2019)
	Lorna Wright (July 1, 2018)
	Scott Yeomans (July 1, 2019)
Ex Officio	Dean Dezsö J. Horváth

Student Senators:	
Graduate Student rep.	<b>Puneet Singh</b>
Undergraduate Student rep.	<b>Daniel Paniccia</b>

### **Senate Committees:**

(\* = designated Schulich slots)

Academic Policy, Planning & Research (APPRC)*	Preet Aulakh
Tenure & Promotions Executive*	<b>Anoop Madhok</b>
Sub-Committee on Honorary Degrees*	Lorna Wright
	Matthias Kipping
Academic Standards, Curriculum and Pedagogy (ASCP)	Tom Wesson
HPRC - Sub Committee of APPRC	

## FOR INFORMATION

### Faculty of Grad Studies:

Ex Officio	Dean Dezső J. Horváth
<b>Program Directors &amp; Representatives:</b>	
Associate Dean Academic	Markus Biehl
Ph.D.	Eileen Fischer
EMBA	Matthias Kipping
IMBA	Alexandra Campbell
MBA	Ashwin Joshi
MBAN	Murat Kristal
MAcc	Marcia Annisette
MFIN	Yisong Tian
MMGT	Kevin Tasa
MREI	Andre Kuzmicki
Diploma Coordinators:	
Business Sustainability	Dirk Matten
Financial Engineering	Ming Dong
<b>Student Representatives:</b>	
Ph.D.	<b>Jaehyun Choi</b>
EMBA	<b>Yvette Elliot</b>
IMBA	TBD
MBA	<b>Francis Paul</b>
MBAN	TBD
MAcc	TBD
MFIN	TBD
MMGT	TBD
MREI	TBD

### Area Coordinators / Specialization Directors

ACTG	Cameron Graham
ARTM	Joyce Zemans
BSUS	Dirk Matten
ECON	Fred Lazar
ENTR	Charlene Zietsma
FINE	Moshe Milevsky
FNSV	James Darroch
HIMP	Joseph Mapa (Director)
	Amin Mawani (Program Director)
IBUS	Farrokh Zandi
MINE	Richard Ross
MKTG	Markus Giesler
ORGS	Chris Bell
OMIS	Wade Cook
PLCY	James Darroch
PROP	James McKellar
PUBL	Burkard Eberlein
SOCM	Brenda Gainer

### Other Academic Administrators

Associate Dean, Academic	Markus Biehl
--------------------------	--------------

Associate Dean, Research	Dirk Matten
Exec. Director, External Relations	James McKellar
Director, Schulich Centre for Teaching Excellence	Mary Waller
Affirmative Action Coordinator	Burkard Eberlein

**Area Affirmative Action Representatives**

ACTG	Shanker Trivedi
ECON	
FINE	Ambrus Kecskes
MKTG	Yigang Pan
ORGS	Hazel Rosin
OMIS	Scott Yeomans
PLCY	Willow Sheremata

**YUFA Stewards**

<b>Jeff Everett</b>
<b>TBD</b>

**Schulich School of Business**  
**Faculty Council Minutes**

A meeting of Faculty Council for the 2015-2016 academic year was held on  
Friday May 27<sup>th</sup> 2016 at 11:30am in room SSB E111.

**In Attendance:**

J. McKellar, Chair  
E. Rush, Secretary

**Voting Members of Faculty Council Present:**

Senior Administration	D. Horváth, M. Biehl, M. Annisette, M. Judd, T. Beechy, J. Zemans		
Student Council Reps	F. Paul		
ACTG	C. Graham, K. Kanagaretnam		
ARTM/NMLP			
BSUS			
ECON	B. Wolf		
FINE	K.H. Bae, M. Kamstra		
MKTG	A. Campbell, P. Darke, B. Gainer, T. Noseworthy, E. Veresiu, D. Zwick		
ORGS	R. Karambayya, K. Tasa, L. Wright		
OMIS	R. Irving, D. Johnston		
PLCY	J. Darroch, B. Eberlein, T. Peridis, W. Sheremata		
PROP		OTHER:	

**Voting Members of Faculty Council Absent:**

P. Aulakh	A. Diamant	G. Kistruck	G. Morgan	A. Sirsi
A. Bialas ( GBC VP)	D. Dimick	R. Kozinets	D. Neu	J. Smithin
R. Belk	M. Dong	M. Kristal	L. Ng	H. Tan
M. Bilal (UBS)	M. Farjoun	Y. Larkin	N. Obaid (Ph.D.)	J. Tan
S. Bury (Library)	E. Fischer	F. Lazar	C. Oliver	L. Thorne
M. Cao	B. Graham (Alumni)	M. Levesque	Y. Pan	V. Trivedi
J. Chung	I. Henriques	S. Li	E. Prisman	A. Tsang
W. Cook	I. Holzinger	Z. Li	S. Qu	M. Valente
W. Cragg	A. Joshi	D. Matten	M. Rice	E. Waitzer
A. Crane	M. Kakkar (GBC comm)	A. Mawani	G. Roberts	E. Westney
D. Cumming	A. Kecskes	R. McClean	H. Rosin	S. Yeomans
A. DeCarufel	H. Kim	C. McMillan	P. Sadorsky	

**Regrets, Leaves, Sabbaticals (\*):**

S. Ali (UBS VP Acad.)	M. Giesler	A. Peav (UBS VP Fine)	M. Waller
E. Auster*	S. Hsu*	P. Shum*	S. Weiss*
C. Bell	M. Kipping	M. Szaki	T. Wesson*
A. Bhanich-Supapol	I. Macdonald	H. Tahavori (UBS Pres)	C. Zietsma*
T. Boutis (UBS VP Acad.)	A. Madhok*	D. Thomassin-Sing (LOA)	F. Zandi
Y. Deutsch*	E. Maynes (LOA)	Y. Tian	
J. Everett	M. Milevsky*		

**Non-Voting Members of Faculty Council Present:**

K. Gray	M. Orlan	N. Sutherland	K. Welsby	
J. MacKay	H. Sinker	C. Ward		

**Non-Voting Members of Faculty Council Absent:**

J. Adams	A. Choi	R. Hines	A. Makooie	S. Nahm	S. Tenn
T. Anderson	T. D'Agostino	S. Hussain	J. Mapa	C. Niederwanger	A. Tung
D. Bell	P. Deonandan	J. Jeyakumaran	R. Mayer	C. Partland	D. Weitzner
M. Bhutani	P. Dillon	L. Korhani	T. Mcqueen	P. Pivato	D. Woticky
T. Bowes	E. Farrell	A. Kuzmicki	A. Middleton	V. Raghunathan	J. Wu
M. Cernea	A. Gravel	M. LeFranc	R. Moy	S. Siddik	
G. Chen	L. Hillcoat	R. Lynn	A. Mustapha	G. Sue	

**1. Welcome & Chair's Remarks**

The Chair called the meeting to order, welcomed council members and guests, and reviewed the agenda.

**2. Presentation by Teaching Commons Representative Dr. Barbara Kerr**

Dr. Barbara Kerr, the Teaching Common's (TC) designated representative to Schulich, spoke to the council about ways in which the TC can support faculty members with their teaching. She highlighted three opportunities for faculty try out new techniques and expand their teaching repertoire: the instructional skills workshops, teaching wheels/squares (in which instructors observe and reflect on classroom practice) and the one-year EduCATE program (in which faculty meet once a month with a group to engage in a teaching-related research project). She also encouraged faculty to visit the list of current workshop offerings on the revamped website and indicated that speciality workshops can be run for a minimum of 5-6 people. M. Biehl noted that both new and experienced faculty members have found the 3-day workshops to be valuable. R. Irving indicated that the OMIS area will soon require their PhD students to take an instructional skills workshop prior to teaching. B. Kerr affirmed that seminars will also be offered in the evening or on weekends to ensure more faculty members are available to attend. The Chair thanked B. Kerr for speaking to the council and it was agreed that ADA Biehl and SCTE Director M. Waller would distribute this information further amongst faculty members.

**3. PHD/GBC/UBC Initiatives**

F. Paul introduced himself and explained that the GBC is in full planning mode. He thanked those that attended the GBC formal.

**4. Remarks by President & Vice-Chancellor Dr. Mamdouh Shoukri**

President & Vice-Chancellor Dr. Mamdouh Shoukri indicated that it was with great pleasure he had the opportunity to visit Schulich's Faculty Council during the 50<sup>th</sup> anniversary celebrations. He highlighted the importance of the occasion and indicated that it was through council members' dedication and commitment that Schulich has developed such a reputation for excellence that benefits the entire university. He praised Schulich's ongoing efforts to develop exciting new programs and indicated that the new building will raise the profile of both the school and York as a whole.

Dr. Shoukri provided updates on three initiatives taking place across the campus, including York's fundraising campaign, the progress on the new subway stops, and the opening of the eco-campus in Costa Rica.

## 5. Dean's Remarks

Dean Horvath provided a series of updates regarding past and future events in the Schulich community:

- The target completion date for Schulich's new environmentally friendly building is Fall 2017.
- The Dean attended Experience Schulich in India on May 1<sup>st</sup>, which had close to 200 attendees.
- The MBA formal in Toronto took place on April 29<sup>th</sup> and as the Dean was away, ADA M. Biehl delivered remarks to the graduates.
- Five new members have been added to the India Advisory Council, including the first woman member.
- At a recent Advisory Board meeting, the Dean encouraged discussion on how to train future students for a changing business environment. He spoke about the 'new normal' of constant disruption and challenged board members to think about how curricula should be adjusted to best prepare students for this reality.
- The UBS reception went very well, with around 260 students attending.
- The 50th Anniversary Gala Dinner will take place on May 27<sup>th</sup>. In attendance will be a large group from the first and second graduating classes, along with faculty and staff representation and alumni groups. Total attendance is expected at around 350 people. The Connect event will follow the next day, with around 360 people also expected.
- The AACSB Accreditation Mentor's visit will take place June 6<sup>th</sup> – 8<sup>th</sup> for the second phase of the accreditation process.
- We have received the 5-year accreditation from AMBA and will soon be starting the next cycle of the EQUIS accreditation process.
- The MREI program launch will take place on June 15<sup>th</sup>. It will be an important part of our fundraising efforts for the new building.
- A barbeque for incoming graduate students will take place on June 16<sup>th</sup>.
- Spring convocation will take place on June 24<sup>th</sup>. John Manley will receive an honorary degree.
- Fall will be fast approaching, and we are already receiving many applications for the new Master of Management (MMgt) and Master of Real Estate and Infrastructure (MREI) programs.

## 6. MBA Program Committee

A. Joshi put forward the following motions:

- a) To retire the Real Estate and Infrastructure Diploma, effective Summer 2017, due to the creation of the new Master in Real Estate and Infrastructure program. Seconded by J. Zemans. All in favour. Motion carried.
- b) To delete the recommended electives from the Finance Investment Management specialization. Seconded by M. Biehl. All in favour. Motion carried.
- c) To rename the PUBL specialization as 'Public Sector: Business & Government'. Seconded by A. Campbell. All in favour. Motion carried.
- d) To make course substitutions to the PUBL specialization. Seconded by A. Campbell. All in favour. Motion carried.

## 7. Programs Coordinating Committee

M. Biehl put forward the following motions:

- a) To create the Master Programs Committee; retire the MBA, IMBA and MF Program Committees; and to restructure the Programs Coordinating Committee. Questions were raised regarding how much time would be spent in committee meetings and how the role of the program director and the completion of committee work plans would change. A. Joshi suggested that the faculty adopt these changes as an experiment with the opportunity to revisit them a few years down the road. All in favour. Motions carried.
- b) To restructure Executive Committee to include all program directors. Seconded by J. Darroch. All in favour. Motion carried.
- c) To amend the introduction to the existing academic honesty policy to improve the faculty's ability to deal with issues related to group work. Seconded by M. Annisette. All in favour. Motion carried.
- d) To recalibrate the masters program admissions standards (omnibus motion). Seconded by M. Annisette. All in favour. Motion carried.
- e) To approve the new course proposal for PROP 6001 0.00 – Leadership in Real Estate and Infrastructure I. Seconded by A. Joshi. All in favour. Motion carried.
- f) To approve a continuous registration policy for specialized masters students. Seconded by M. Annisette. All in favour. Motion carried.

Agenda item 6f (Discussion of the Whole – Guidelines and Policy on Using Courses to Recruit Students as Research Subjects) was put off until the new academic year due to time constraints.

## **8. Nominating Committee**

J. Darroch put forward a motion to approve the nominating slate for the upcoming 2016-17 academic year. Seconded by L. Wright. All in favour. Motion carried.

## **9. Other Business**

A. Joshi moved to grant summer authority to Executive Committee. Seconded by C. Graham. All in favour. Motion carried.

B. Wolf moved to approve the Spring 2016 Convocation Graduand List. Seconded by R. Irving. All in favour. Motion carried.

M. Biehl reviewed the ADA report on Academic Honesty and Grade Appeals. He indicated that the cases this year present many of the same patterns as last year, and he highlighted upcoming initiatives designed to address some of the causes, including the creation of guidelines on using assignments from textbooks and changes to Schulich's grading policies (as a result of changes coming down from Senate).

M. Biehl brought forward the last-minute consent agenda item 3.a.2 onto the agenda to ensure that council members had the opportunity to review the changes. He moved to approve the credit value change for EMBA 6370 1.00 - Strategic Brand Management, which was seconded by A. Joshi. All in favour. Motion carried.

## **10. Adjournment**

A. Joshi moved to adjourn. Seconded by M. Biehl. All in favour. Meeting adjourned.

### **Consent Agenda**

The following items were approved by consent:

1. **BBA/iBBA Program Committee**
  - a) **Curriculum Change:**
    1. FINE 4400 3.00 - International Financial Management (prerequisite)
  
2. **MBA Program Committee**
  - a) **Memo:** ARTM Handbook Copy Clarification (Option 2 - Internship Timing)
  - b) **Curriculum Changes:**
    1. MINE 6100 3.00 - Strategy and Value Creation in Mining (description)
    2. MINE 6200 3.00 - Financial Fundamentals in Mining (title & description)
    3. MINE 6300 3.00 - Towards Sustainable Mining (title & description)
    4. MINE 6400 3.00 - Managing Mining Companies (title & description)
  
3. **EMBA Program Committee**
  - a) **Curriculum Changes:**
    1. EMBA 6190 2.00 - Doing Entrepreneurship: Start-Ups and In-House Ventures (title & credit value)
    2. EMBA 6370 1.00 - Strategic Brand Management (credit value) (***Moved onto regular agenda by M. Biehl and approved through a motion***)
  
4. **Programs Coordinating Committee**
  - a) **Curriculum Change**
    1. PROP 6580 3.00 - Structuring Real Estate Transactions and Managing Project Delivery (title & description)
  
5. **Minutes of the Previous Meeting** (2016.04.29)