



Graduate School of Education  
**Penn** GSE

**University of Pennsylvania  
Graduate School of Education**

**Graduate Student Handbook  
2018-19**

# Contents

OUR VALUES .....	3
DEGREE REQUIREMENTS .....	5
Master of Science in Education (M.S.Ed.).....	5
Master of Philosophy in Education (M.Phil.Ed.): Quantitative Methods.....	9
Master of Philosophy in Education (M.Phil.Ed.): Professional Counseling.....	11
Doctor of Education (Ed.D.).....	12
Doctor of Philosophy (Ph.D.) .....	23
POLICIES .....	39
Code of Academic Integrity.....	39
Equal Opportunity & Harassment Policies .....	42
Exceptions to Policies .....	45
Grading Policies.....	45
Leave of Absence, Withdrawal, and Readmission Policies.....	49
Policy on Secular and Religious Holidays.....	50
Registration Policies & Procedures.....	52

# OUR VALUES

At Penn GSE, your academic development will be framed by themes that permeate your graduate experience. The Office of Student Services offers guidance and support in navigating your educational journey.

## **An Inclusive Community**

As a community of scholars and practitioners, we unite through different [organizations](#) to enact our shared values and responsibilities. We value the uniqueness of people and perspectives, and we celebrate people's differences, talents, and abilities through [international gatherings and cultural celebrations](#). Ultimately, we are bound together by our [community-wide events](#).

- [GSE Student Organizations](#)
- [GSE Events Calendar](#)
- [Greenfield Intercultural Center](#)

## **Wellbeing**

We acknowledge that physical and emotional health are important and affect our ability to engage productively in our work. In addition to the [four fitness centers](#) on campus, Penn also provides [psychological services](#) and [campus health programs](#) such as [massage therapy](#), [weekly meditations](#), and the [Healthy Food Truck initiative](#) for a holistic approach to wellness.

- [Pottruck Health and Fitness Center](#)
- [Counseling & Psychological Services at Penn](#)
- [Sexual Trauma Treatment Outreach and Prevention](#)
- [Campus Health Programs](#)
- [Tips for a Better Night's Sleep](#)
- [Weekly Meditations](#)
- [Healthy Food Truck Initiative](#)
- [Massage Therapy](#)

## **Leadership**

At the [Graduate Student Center](#) and through [GSE Student Government](#), we invest in and contribute to the future of the university and the profession. We strive for professional excellence by establishing and using our best efforts to achieve high expectations.

- [Graduate Student Center - LET's Go Training for Student Organization Leaders](#)
- [GSE Student Government](#)

## **Integrity**

We define integrity as acting according to the values, beliefs and principles we hold; it is how we respond if we are faced with a moral dilemma when no one is watching. It is also being aware of actions that constitute violations of the [Student Codes of Conduct](#) and understanding the role of the [Office of Student Conduct](#) on campus. With the help of our [Academic Integrity Guide](#), we commit to maintaining strong morals by understanding how to collaborate on research and acknowledge our sources responsibly.

- [Academic Integrity Guide for Students](#)
- [Office of Student Conduct](#)
- [Student Codes of Conduct](#)

# DEGREE REQUIREMENTS

## Master of Science in Education (M.S.Ed.)

### COURSE REQUIREMENTS

Master of Science in Education degree programs require between 10-13 CU's. Check with your program manager or academic advisor for the requirements for your degree program. Your academic advisor will assist in planning an appropriate program of study to meet degree requirements. All students must maintain a cumulative grade point average (GPA) of at least 3.0.

To earn an M.S.Ed. degree, the student must complete 10-13 course units (Students should consult with the division for the appropriate number of courses required for their specialization.) and pass the master's comprehensive examination, thesis or portfolio.

- Courses must be at the 500 level or above
- Maintain a cumulative GPA of 3.0 or better
- One course must be a distribution (course within GSE, but outside of student's division, with a GPA of at least 3.0 in the course.)

### ADVISOR

Each student will be assigned an academic advisor upon admission. The advisor will help plan the student's program of study, assist in selecting courses, provide academic advising and monitor academic progress. Students should contact their advisors individually in the first semester of the student's first year before the drop/request period has concluded. The planned program of study should be developed between the advisor and the student in the first semester of the first year of study. The planned program of study can be revised over time; it will be submitted online by the program manager in the term in which the student graduate. After this initial meeting, students and advisors are mutually obligated to stay in regular contact, preferably twice a year, but always at the start of the academic year to review progress and consider alterations to the planned program of study. While the advisor will know much about GSE policies, rules do change. Students should always consult the Office of Student Affairs for the most current academic policies, procedures and deadlines for completing academic requirements. To request a change in advisor, the student should see the program manager for procedures.

## **DISTRIBUTION REQUIREMENT**

Candidates for the M.S.Ed. degree must demonstrate knowledge of the field of education beyond the area of specialization. This requirement is met by satisfying the distribution requirement. To meet the distribution requirement, students must complete one approved graduate level (500 and above) GSE course outside the student's area of specialization, earning a grade of "B" or better. Students should check with their program manager for a list of courses approved to fulfill the distribution requirement. Further requirements regarding these courses may be specified by each division.

## **COMPREHENSIVE EXAMINATION (OR PORTFOLIO OR THESIS)**

Master's degree candidates must demonstrate thorough knowledge of the field of specialization by passing a comprehensive examination in their area of study. The examination/portfolio/thesis serves an educational and evaluative purpose through which students are expected to review and integrate what they have learned in their coursework and fieldwork. All examinations are administered in accordance with the rules set forth in the Code of Academic Integrity. Comprehensive formats vary. The faculty in each specialization determines the appropriate examination format and is responsible for communicating the guidelines, expectations, rationale and evaluation criteria for examination to students. Students may be asked to do one or more of the following: take a timed, written examination administered at GSE, complete a take-home examination, write a master's thesis, undertake a field project or submit a portfolio. If a sit-down examination is given, it must be at least three hours duration. Students are permitted two opportunities to pass the comprehensive examination. Students who are unsuccessful after two tries will be withdrawn from the degree program. In order to qualify to take the examination, students must first fulfill the following requirements:

- Be formally admitted to a master's degree program in the Graduate School of Education.
- Be registered for the term in which they apply. If coursework has been completed, and no additional courses are needed, student must be registered for Master's Registration (EDUC 990) during the term in which the examination is taken. Enrollment in EDUC 990 is considered full-time status and may affect the student's enrollment in University mandatory health insurance.
- Have completed at least six course units, or be enrolled in at least the sixth course unit of graduate study toward the degree.
- Exam cannot be taken until all Incompletes are completed.
- Have a GPA of 3.0 or better.
- Have paid tuition for all previous semesters.

There may be additional criteria required to take the comprehensive exams. Check with the program manager or faculty advisor.

## TRANSFER OF CREDIT

GSE does not accept the transfer of courses from any other program (either from other universities or courses taken without the EDUC subject code at other Penn schools at other Penn schools prior to Penn GSE matriculation) to be counted as part of a 10 course unit master's program. EDUC subject code courses taken under "Penn General Admission" status do not need to be transferred. They can count towards the degree if the program sends approval to SRO prior to the graduation audit.

Some master's degree programs that require 11 or more CU's may accept 1-2 courses in transfer under the following conditions:

- If the desired course is to be taken after matriculation in a degree program at GSE, the course must be approved by the advisor.
- Courses taken at other Penn schools before matriculating at Penn GSE cannot be counted, except by permission of the program and the school in some M.Phil.Ed. programs.
- Student must matriculate at least one semester before submitting the transfer of credit form.
- Transfer credit will only be granted if the grade received is a "B" or higher.
- Non-letter grades are not transferrable.
- Fill out and submit the [Application to Transfer Credit](#)
- EDUC subject code courses taken under "Penn General Admission" status do not need to be transferred. They can count towards the degree if the program sends approval to SRO prior to graduation audit.

## TIME LIMITATION

A maximum of six consecutive years from the date of matriculation in a master's degree program will be allowed for completion of the work for the master's degree, including satisfactory completion of all examinations required. Official leaves of absence will not automatically change this time limit. Any extensions to time limits are considered in rare exceptions and must be submitted to the Committee on Degrees (COD).

## GRADUATION REQUIREMENTS

The [GSE academic calendar](#) lists the deadlines for completing degree requirements in order to graduate in any academic term. **All degree candidates must [apply to graduate online](#).** Failure to apply for graduation by the published deadline will make it impossible to receive the degree at the time desired.

- All coursework, including exam/thesis/portfolio must be complete
- Student must be registered in the term in which they intend to graduate
- Student's bill must be paid in full
- Successfully complete 10-13 CU's
- Take only courses at or above the 500 level
- Maintain a minimum cumulative GPA of 3.0
- Take one distribution requirement (a GSE course outside the area of specialization) and earn at least a "B"

GSE holds a commencement ceremony each year in May for students who will be receiving their degrees in that term, as well as for those who completed their degrees in the previous year. Additionally, students who will be receiving their degrees in the following August may participate in the May ceremony. NOTE: You will not receive a diploma at the ceremony, as they will be mailed to you after confirmation of degree completion. Participation in the ceremony does not guarantee a degree; only completion of all degree requirements will result in confirmation of degree completion.



## **Master of Philosophy in Education (M.Phil.Ed.): Quantitative Methods**

The Master of Philosophy in Education (M.Phil.Ed.), with a specialization in Quantitative Methods (QM), is designed for professionals who have already earned a relevant conventional masters degree<sup>2</sup>, and who wish to advance their mastery of scale development and validation, research design and controlled field trials, multivariate statistical analyses, and the production of high quality evidence for decision-making in public and organizational policy. Emphasis is placed on mentored research. This is a 6 CU (minimum) program with a required comprehensive examination.

The M.Phil.Ed. degree curriculum prepares graduates for mid-level research and evaluation positions in education, other professional fields, and the social sciences. Although it also prepares students to pursue further graduate study at the Ph.D. level, students who matriculate for the M.Phil.Ed. ordinarily will be most interested in earning the M.Phil.Ed. to enhance their career prospects at this level, and will not be inclined to seek more advanced study at the doctoral level.

Graduates are prepared to design, apply and interpret measures of attitude, behavior, and other social science, education and related phenomena; to validate, scale and equate such measures; to plan and conduct controlled field experiments; to apply and interpret advanced univariate and multivariate statistics; to evaluate programs and policies through quantitative studies; and to disseminate and interpret results for understanding and policy development. Relevant positions are found in city and state educational research institutions, public and private research organizations, medical and pharmaceutical organizations, and state and federal criminal justice systems.

The M.Phil.Ed. degree is ideal for students who wish to prepare for research careers in education and related fields. The 6-CU minimum requirement for this degree (after completion of a relevant conventional master's degree<sup>[1]</sup>) can be completed in one academic year of full-time study. Graduate study leading to the M.Phil.Ed. degree studies in QM includes coursework, a research apprenticeship, and a written comprehensive examination in the content of the degree.

---

<sup>[1]</sup>The M.Phil.Ed. degree is for students who wish to continue their graduate studies after having finished a relevant Master's degree at the University of Pennsylvania. The relevant master's degree for students who wish to pursue the M.Phil.Ed. with a specialization in QM is the M.S.Ed. degree in Statistics, Measurement, Assessment, and Research Technology (SMART) offered by the Graduate Group in Education. Therefore, students admitted for study leading to the M.Phil.Ed. in QM are expected to complete all course requirements for SMART. Students matriculating for the M.Phil.Ed. degree in QM from outside the University of Pennsylvania must complete all course requirements for SMART and all program requirements for the M.Phil.Ed. However, students who have earned Master's degrees at other institutions will be allowed to transfer up to 5 applicable courses toward the minimum of 16 courses required for the M.Phil.Ed. (i.e., a minimum of 10 courses for the M.S.Ed., plus a minimum of 6 additional courses for the M.Phil.Ed.).

## **COURSEWORK**

The core content of coursework includes advanced statistical methods, measurement, research design, and completion of an independent research project. A minimum of 6 courses (after completion of a relevant conventional master's degree<sup>2</sup>) is required for the M.Phil.Ed. degree, 5 of which constitute the QM core and 1 of which is an elective.

## **RESEARCH APPRENTICESHIP**

Inasmuch as M.Phil.Ed. degree students are preparing for careers in empirical research, participation in a research apprenticeship is highly recommended because M.Phil.Ed. degree students are preparing for careers in empirical research, primarily using quantitative methods. An individually-tailored research apprenticeship is an integral part of the learning experience arranged in consultation with the student's advisor. This arrangement will be by mutual agreement of the student, the student's advisor, and perhaps an alternate sponsor. Typically, the student will participate in significant aspects of faculty research in progress. The nature of the research apprenticeship will vary with the student's preparation, the characteristics of the research, and the stage of the research. This experience involves a commitment of 6 hours per week for an academic year for full-time students (appropriate arrangements will be made for part-time students). The purpose is to provide the student with practical research experience on an ongoing basis during the course of master's studies. The student may or may not be compensated for services rendered under the research apprenticeship, or might be compensated for part of the time.

## **WRITTEN COMPREHENSIVE EXAMINATION**

Toward the end of completion of course requirements, M.Phil.Ed. degree students are required to pass a written 3-hour comprehensive examination in the core content of the M.Phil.Ed. curriculum.

## **Master of Philosophy in Education (M.Phil.Ed.): Professional Counseling**

This program involves an additional year of advanced study in the mastery of professional counseling, clinical assessment, and consultation services immediately following completion of the one-year Counseling and Mental Health Services M.S.Ed. Program, which requires a minimum of 10 CU's. Consult the APHD Program manager for further details about the M.S.Ed. Counseling and Mental Health Services Program. Students may choose to complete the PC program either full-time or at a slower pace through a part-time course of study. PC is a 10-course-unit program with a required oral clinical comprehensive examination and a written report of that examination.

### **INTERNSHIP**

An integral part of the learning experience is the completion of a 600-hour internship in a counseling setting. The nature of the internship will vary based upon the student's interests. The purpose of the internship is to provide students with clinical experience on an ongoing basis during the course of their M.Phil.Ed. studies. The internship is arranged by mutual agreement of the student, the student's academic advisor, the PC internship course instructor, and the supervisor at the field site (who must be at least a licensed master's-level mental health professional). The student may or may not be compensated for services rendered under the internship experience. Performance in the internship must be rated as satisfactory via a first-semester evaluation process based upon the assessment of the student's progress by the field site supervisor, the student's academic advisor, and the PC program faculty. Satisfactory performance in the first half of the student's coursework is a prerequisite for admission to the Oral and Written Clinical Comprehensive Examination for the M.Phil.Ed. degree.

### **COMPREHENSIVE EXAM**

The Oral Clinical Comprehensive Examination process for the M.Phil.Ed. program is designed to assess the student's working knowledge of the three major themes of the program: (1) applied counseling/clinical services; (2) understanding of clients' cultures and contexts; and (3) lifespan human development. The examination assesses the student's competence in using and integrating applied skills in settings where counselors work. The clinical examination uses a case presentation format to evaluate the student's level of competency as a counselor.

## **Doctor of Education (Ed.D.)**

### **Purpose of Degree**

The Doctor of Education degree is intended for students who are interested in the application of scholarship and research to educational endeavors. Coursework, examinations and the dissertation emphasize the reflective use of research as the basis of informed educational practice. Students are required to attain comprehensive knowledge of education, intensive knowledge of an area of specialization, skills in critical evaluation of research pertinent to the specialization, and proficiency in the planning and execution of research on topics in the practice of education.

### **Course Requirements**

At least 12 course units of graduate work must be taken at the University of Pennsylvania. One course must be a research seminar in the area of specialization. The program of study may include work completed for the master's degree. Up to eight course units may be transferred from another institution upon approval of a student's advisor. All degree students must maintain a cumulative grade point average (GPA) of at least 3.0 for all courses applied toward the degree.

### **Transfer of Credit**

GSE will, under certain conditions, accept equivalent credit toward the degree. Up to eight graduate level CU's taken at GSE, Penn, or another institution, may count toward the Ed.D. degree. Transfer credit is not automatically accepted or applied toward the doctoral degree. Students must follow formal procedures to request the application of transfer credit toward GSE degree requirements. The acceptance of transfer credits does not override specialization requirements. In order to receive transfer credit students must have earned a grade of at least "B" for all courses. Grades of "Satisfactory" or "Pass" are not transferable. No academic work done while the student was an undergraduate will be counted toward a graduate degree with the exception of courses taken when the student was an official sub-matriculate in the Graduate School of Education. The following conditions apply to transfer of credit:

- A maximum of eight course units of graduate level coursework earned at GSE, Penn, or another institution within the preceding 10-year period may be accepted upon recommendation of the advisor.

For courses taken more than 10 years prior to admission to the Ed.D. program, within or outside the University, students must show that:

- a grade of "A" or "B" has been earned;
- the faculty advisor and the division chair agree that the courses are acceptable;
- the student has enrolled in relevant graduate-level courses or engaged in appropriate academic activity after completion of courses for which credit is requested;

- when there is not agreement between the student’s advisor and division chair, the student must pass an examination in the content areas for which credit is requested.
- EDUC subject code courses taken under “Penn General Admission” status do not count against the 8 course units which can be transferred. They can count towards the degree if the program sends approval to SRO prior to graduation audit.

## **PROCESS FOR APPROVAL OF TRANSFER OF CREDIT**

Students must be admitted to a degree program before a request for transfer of credit can be considered. To request transfer of credit, students must:

- Obtain the appropriate [transfer of credit request form](#).
- Complete the form in consultation with their advisor and obtain the necessary approvals from the advisor and division chair.
- Submit an official copy of the transcript
- Student must matriculate at least one semester before submitting the transfer of credit form.
- Student must provide a letter reflecting these requirements.

Transfer credits will reflect on your transcript but will not count toward your GPA.

## **RESIDENCY REQUIREMENT**

There is no residency requirement for Ed.D. students in the Graduate School of Education. Students need to be continuously registered as is consistent with all degree programs at Penn GSE.

## **ADVISOR**

Each student will be assigned an academic advisor upon admission. The advisor will help plan the student’s program of study, assist in selecting courses, provide academic advising and monitor academic progress. Students should contact their advisors individually in the first semester of the students first year before the drop/request period has concluded. The planned program of study should be developed between the advisor and the student in the first semester of the first year of study. The planned program of study can be revised over time. After this initial meeting, students and advisors are mutually obligated to stay in regular contact, preferably twice a year, but always at the start of the academic year to review progress and consider alterations to the planned program of study. While the advisor will know much about GSE policies, rules do change. Students should always consult the Student Handbook or the Student Records Office for the most current academic policies, procedures and deadlines for completing academic requirements. To request a change in advisor, the student should see the program manager for procedures.

Students on dissertation should also communicate with their advisors twice a year so that progress is closely monitored. Once a student has formed a dissertation committee, the committee chair automatically becomes the student's advisor.

## **TIME LIMITATION FOR COMPLETING ED.D. REQUIREMENTS**

Ed.D. students are expected to complete all degree requirements within 12 years of the completion of coursework; completing coursework within the first 6 years and doctoral candidacy within the next 2 years. Students will be reviewed annually, which includes meeting with their advisors to review progress and the writing of a report outlining the student's progress and plans for completion of the degree within 4 years. This report is to be placed in the student's folder. Official leaves of absence will not automatically change these time limits.

Graduate students after 12 years may petition the Committee on Degrees to return as a student for a maximum of one year in order to achieve recertification and defend the dissertation. The faculty has no obligation to continue working with a student who has been dropped, nor is there any presumption that a graduate group will respond favorably to a petition for re-admission. If the faculty wishes to recommend re-admission, it must present to the graduate dean a list of faculty members willing to serve as a dissertation committee and a detailed, realistic plan of how the student will, within one year of reenrollment, achieve recertification, pass the dissertation examination, and submit the final copy of the dissertation. If reenrollment is approved by the graduate dean, such a student must pay reduced rate tuition for two semesters, unless all requirements are completed within one semester.

## **Evaluations and Examinations**

### **QUALIFICATIONS EVALUATION (ALSO KNOWN AS PROGRAM CANDIDACY)**

The purpose of program candidacy is to provide rigorous review and feedback to Ed.D. students regarding their academic progress within the first two years of study. Program candidacy is a prerequisite to doctoral candidacy. Minimum school-wide criteria are described below. Additional requirements about the timing, process and materials for program candidacy review may be further specified by each specialization. Check with your academic advisor or program manager for details.

#### **Eligibility for Qualifications Evaluation (Program Candidacy)**

- Program candidacy review must be completed after completion of 6, but not more than 8 CUs and no later than the fourth semester of coursework.

Eligibility will be assessed according to the following criteria: satisfactory performance in courses as shown by the student's GSE transcript and faculty recommendations; a coherent course of study as illustrated by the planned program of study and prospectus; and a demonstration of the ability to do research as demonstrated by a research paper.

## **Procedure for Qualifications Evaluation**

- Specialization faculty reviews the student dossier.
- Specialization faculty votes to recommend student for program candidacy.
- Division faculty votes whether to admit student to program candidacy.
- The student is given feedback in conference or in writing about the decision, his/her performance and future course of study.

Students who are recommended for program candidacy are permitted to continue in the program. Students who do not pass program candidacy are withdrawn from the degree program.

## **Appeal of Qualifications Evaluation**

Students may appeal to the division chair if the program faculty does not admit them to program candidacy. Students may appeal to the Committee on Degrees if the division does not admit them to program candidacy.

## **PRELIMINARY EXAMINATION (Doctoral Candidacy)**

The preliminary examination is a test of knowledge in the candidate's area of specialization. The examination requires students to demonstrate knowledge and reasoning in the key content areas in their specialization as specified by the academic division. The format of the examination varies from program to program, but must include at least six hours of examination, at least three hours of which must be written. All examinations are administered in accordance with the rules set forth in the Code of Academic Integrity. Students should consult their advisor about the particular form of the examination they will take. Doctoral candidacy is conferred upon successful completion of the doctoral preliminary examination.

Students are permitted two opportunities to pass the preliminary examination. If they are unsuccessful after two tries, they will be withdrawn from the doctoral program.

To be eligible to take the preliminary examination students must:

- Have been admitted to program candidacy
- Have the recommendation of their advisor
- Submit evidence satisfactory to the advisor of ability to do research in their area of specialization
- Be registered for the term in which the exam is taken
- [Register to take the preliminary examination](#) using the form on the website

Doctoral candidacy is conferred upon successful completion of the doctoral preliminary examination.

## **FINAL ORAL DEFENSE HEARING**

A public, oral presentation of the dissertation is required. The presentation must either include, or be followed by, an oral examination.

## **SATISFACTORY PROGRESS**

Lack of significant progress in completing degree requirements for two consecutive years (exclusive of time when on official leave of absence) will automatically terminate candidacy or eligibility to apply for candidacy if not already attained. Therefore, students should take the initiative in providing their advisor with evidence of continuous progress; in the absence of such evidence, advisors may apprise themselves of their advisee's status each term and refer a student to the Committee on Degrees if satisfactory progress is not maintained.

## **THE DISSERTATION**

### **Forming a Dissertation Committee**

Students must consult with their advisor for assistance in selecting a group of at least three people with earned doctorates to serve as the dissertation committee. The dissertation committee is responsible for evaluating their proposal for dissertation research, for supervising the preparation of a dissertation on an approved problem, and for evaluating the dissertation. Committee members should be selected on the basis of their relationship to the dissertation content.

The chair of an Ed.D. dissertation committee must be a member of GSE standing faculty or be a member of the associated faculty approved to chair dissertation committees. Click [here](#) for a list of faculty authorized to chair EdD dissertation committees. Students should see their academic advisor for specific information.

### **Approval Process for a Dissertation Committee**

To formalize the committee, submit a completed [Request for Appointment of the Dissertation Committee and Scheduling of the Oral Proposal Form](#). The committee must be formally approved before students can hold their oral proposal hearing. Allow at least two weeks for the request to be reviewed by the Office of Student Services. To request a change in dissertation committee, students must complete a [Request for Change of Dissertation Committee form](#). Changes to the committee must be approved by the Assistant Dean for Academic and Student Affairs.

## **RESEARCH ON HUMAN SUBJECTS**

Students must obtain University approval from the Institutional Review Board (IRB) before they may conduct research on human subjects for their dissertation study. Since education research generally involves little or no risk to the participants, the University permits GSE students to apply for an expedited review by the IRB. Detailed information about these procedures is available from the [Office of Research Services](#).



## DISSERTATION RESEARCH ABROAD

A student who will conduct dissertation research abroad for the semester registers for Dissertation Research Abroad status. Submit the [Request for Dissertation Research Abroad](#) to the Student Records Office. Student who will be abroad for any part of the semester will be registered for Dissertation Research Abroad status.

## ORAL PROPOSAL

### Procedure for Oral Proposal of Dissertation

All doctoral candidates must present their dissertation proposals orally and in person to the dissertation committee. To schedule the oral proposal, the student must:

Decide with the committee members on a day, date and time to hold the proposal.

Submit [the Request for Appointment of Dissertation Committee and Scheduling of Oral Proposal Form](#) at least two weeks in advance of the date the hearing is to take place. The Student Records Office will assign a room for the proposal hearing and notify the student, the committee members and the program manager. The notice will also be posted on the [GSE calendar](#), the second floor bulletin boards and the building monitors.

Having passed the oral proposal, the student will be issued a signed ballot verifying that fact. The original copy of the ballot must be submitted to the Student Records Office by the chair (or his/her designee) so that this information can be added to the student's transcript within a week.

The student, the chair, and majority of the committee are *required* to be physically present at the oral proposal.

Although all members of a student's dissertation committee are *expected* to be physically present at the oral proposal and final defense hearings, in extenuating circumstances one member *may participate remotely* in the oral proposal and final defense hearings. Additionally, electronic signatures will be accepted for the member attending remotely.

At the oral proposal hearing, the dissertation committee will review the proposal with the student and help refine the proposed dissertation project. The committee will vote on the proposal and indicate any revisions that might be required before the student may be allowed to proceed with the dissertation research. Oral proposal hearings are not normally held during the summer. Candidates who wish to have the oral proposal hearing during the summer must secure the approval of all committee members. If approval is granted, the student will be required to register for courses, or for dissertation supervision (EDUC 995) for the summer session in which the oral proposal hearing is held. Students must complete all remaining requirements for the degree within a period of four years. For an extension of time to complete the dissertation, students may petition the Committee on Degrees. Students must have the recommendation of the dissertation committee chair to be considered for an extension of this time limit.

## **GSE Standards for the Oral Proposal**

Your committee will determine whether you pass your oral proposal hearing. Your proposal must pass the following criteria:

- The topic is stated clearly and relevant background literature reviewed and evaluated.
- The research question(s) are stated clearly.
- The contribution and importance of the research question(s) with respect to relevant literature, theory, policy, and/or practice are articulated in a convincing manner.
- The research plan and methods are appropriate and adequate to study the research question(s) posed, and are explicitly described.

## **STANDARDS FOR THE DISSERTATION**

1. The topic is stated clearly and relevant background literature reviewed and evaluated.
2. The research question(s) are stated clearly.
3. The contribution and importance of the research question(s) with respect to relevant literature, theory, policy, and/or practice are articulated in a convincing manner.
4. The research plan and methods are appropriate and adequate to study the research question(s) posed, and are explicitly described.
5. The research plan and methods are implemented effectively.
6. The research produced trustworthy evidence that bears on the research question(s).
7. The conclusions follow convincingly from the evidence and its interpretation.
8. The dissertation manuscript is coherent, well structured, clearly written and is in accordance with the specifications of a standard style manual regarding grammar, punctuation, spelling, etc.
9. With appropriate revisions, the dissertation is of sufficient quality to be publishable in an academic or practice-oriented journal that is peer reviewed.

## **FORMATTING THE DISSERTATION**

- The Table of Contents is accurate in terms of headings and page numbers.
- Citations and the bibliographic/reference section are formatted in accordance with a standard style manual.
- The title page, pagination, abstract, notes, bibliography, tables, and figures are formatted in accordance with the [University of Pennsylvania Doctoral Dissertation Manual](#).

- See the Dissertation Formatting Templates below for more details:
  - [Dissertation Format](#)
  - [Abstract Template](#)
  - [Copyright Template](#)

## **FINAL DEFENSE OF THE DISSERTATION**

The final dissertation defense is approximately two hours in length and is based upon the candidate's dissertation. To schedule the final oral examination, doctoral candidates must submit the completed the [Final Defense Hearing Form](#) and abstract to at least two weeks in advance of the date of the final defense. The Student Records Office schedules the meeting room and formally notifies the dissertation committee that the meeting has been scheduled. The public is also welcome to attend these presentations. A private discussion for certain periods of the defense may also be granted as per the decision of the dissertation committee.

The student, the chair, and majority of the committee are required to be physically present at the final defense hearings.

Although all members of a student's dissertation committee are expected to be physically present at the oral proposal and final defense hearings, in extenuating circumstances, one member may be physically absent as long as the absent member(s) participate(s) in the final defense hearings.

At least one term must elapse between passing the preliminary examination and the final defense. The preliminary examination and the final defense cannot be completed within the same semester. At the discretion of the dissertation committee, the candidate will be recommended to the faculty of the Graduate Group in Education for the degree of Doctor of Education. After the final defense hearing, a ballot will be signed by the committee within one week. Additionally, electronic signatures will be accepted for a member attending remotely.

Final oral examinations are not normally held during the summer. Candidates who wish to have the final oral examination during the summer must secure the approval of all committee members and register for Dissertation Supervision (EDUC 995) for the summer session in which the final oral examination is held.

### **Procedure for Scheduling the Final Defense of the Dissertation**

To schedule the final defense, the student must:

- Mutually agree with the committee members on a day, date and time to hold the defense.
- Submit the [Final Defense Notification form](#) signed by the dissertation chair and the proposal abstract at least two weeks in advance of the date the hearing is to take place. The Student Records Office will assign a room for the defense hearing and notify the student, the committee members and the program manager. The notice will also be posted on the bulletin board in the second floor administrative suite, and the building monitors.

- Tuition is waived the semester after students successfully pass the final defense hearing. This waiver is only for one semester and cannot be extended.
- Having passed the final defense, the student will be issued a signed ballot verifying that fact. Ballot must be submitted to the Student Records Office so this information can be added to the student's transcript.

## **REQUIRED DOCUMENTS FOR ED.D. DISSERTATIONS / AFTER FINAL DEFENSE**

- Dissertation submitted to [ProQuest ETD Administrator](#)
- Upon approval of dissertation on ProQuest, one copy printed on 100% acid-free paper
- One Title Page printed on 100% acid-free paper with chairperson's signature
- Click [here](#) for submission steps

## **GRADUATION**

The [GSE academic calendar](#) lists the deadlines for completing degree requirements in order to graduate in any academic term. All degree candidates must [apply to graduate on-line](#) by the deadline listed on the [GSE academic calendar](#). Failure to apply for graduation by the published deadline will make it impossible to receive the degree at the time desired.

GSE holds one commencement ceremony each year in May for students who have completed degrees in the December of the prior fall term, May or August of the current academic year. August graduates who participate in the May commencement ceremony:

- must apply to graduate in August by the deadline listed in the GSE academic calendar.
- will have their diplomas mailed to them by the Office of the Secretary of the University approximately three months after they have completed their degree requirements.

### **If you intend to graduate in August, these are the important dates to keep in mind:**

If you intend to graduate in August but do **NOT** want to pay an additional tuition fee, you will need to have your final defense completed by the end of the Spring term as per the GSE academic calendar. If you defend your dissertation **AFTER** this deadline, you will have to pay 1 CU tuition, because you have to pay tuition the semester you defend your dissertation. Penn GSE will **NOT** pay this tuition fee during the summer, even if you are on a fellowship of any kind. Consult with external fellowships for guidelines on summer tuition payment. An August graduation means that you have deposited the dissertation per the deadlines on the GSE calendar for the Summer term.

## Certificate of Advanced Study

Students who complete all requirements for a Doctor of Education except the preliminary examination and the dissertation may apply to the Office of Student Services to receive a Certificate of Advanced Study (CAS). The CAS is a form of recognition for completing significant doctoral level study in an educational field. Students who elect to receive a CAS will not be eligible to re- enter a degree program and complete the doctorate at a later date. A CAS may be awarded to students matriculated in the Graduate School of Education who:

- are in good standing;
- have completed all requirements for an approved doctoral specialization of study except the preliminary examinations and the dissertation; and
- are recommended by the faculty of the appropriate program.

The certificate contains:

- The name of the School and the University;
- The name of the student;
- The title of the field of specialization in which the advanced study was completed;
- The signature of the Dean of the Graduate School of Education.

## Family Leave of Absence

A student in the Ed.D. program at Penn may take an unpaid Family Leave of Absence for the birth or adoption of a child, child care, or care of an immediate family member (spouse, domestic partner, child, or parent) with a serious health condition.

1. Students may take a Family Leave of Absence for one or two semesters.
2. The student is expected to notify the graduate group by filling out the [leave of absence form](#) and writing the advisor of his/her plans to take a Family Leave at an early date, so that appropriate arrangements can be made to cover any teaching/research responsibilities.
3. Family Leave “stops the clock” on the student’s academic requirements, including service requirements, for the duration of the leave.
4. During the period of Family Leave, the student may arrange to continue Student Health Insurance, but is responsible for the payment of his or her own premiums. Upon paying a fee, students on approved Family Leave will retain their PennCard, e-mail accounts, library privileges, and building access.

5. Funding commitments from the institution are deferred until the student returns from Family Leave. Students receiving funding from external sources, such as government grants, are subject to the conditions established by the funding source.
6. Service requirements (e.g., teaching, research) will be met by the student following return from Family Leave.
7. Requests for extension of Family Leave beyond one year, or for repeated Family Leaves, may be made. Approval of an extension, deferral of funding, and continued academic accommodation is at the discretion of the Graduate Dean.

**\*IMPORTANT:** If you anticipate adding a dependent (e.g., newborn) to your Penn Student Insurance Policy while on Family Leave, you must remain in **ACTIVE** student status at the start of the fall semester. Students should arrange with their school/division to maintain full-time student status for at least 31 days from the start of fall classes, after which time the Family Leave status can be recorded in the Student Records System. After the birth/adoption, contact the SHS Insurance Coordinator to enroll the dependent. The premium for dependent coverage is payable directly to Aetna Student Health.

## **Doctor of Philosophy (Ph.D.)**

### **Purpose of the Degree**

The Ph.D. is an intensive, theory-based study of education for scholars who want to pursue careers in research or teaching at colleges and universities. Doctoral students are expected to become competent in both qualitative (action research, case study, ethnographic methods) and quantitative (statistical data analysis, survey research and measurement) research methodologies. Students gain hands-on experience and practical competencies through service-based placements, mentorships, and research assistantships, and undertake independent research culminating in a dissertation that makes an original contribution to knowledge about educational practice or policies.

### **Course Requirements**

At least 12 course units of graduate work beyond the master's degree must be taken at the University of Pennsylvania. The program of study may include work completed for the master's degree. One course must be a research seminar in the area of specialization. Up to eight course units may be transferred from another institution upon approval of a student's advisor. All degree students must maintain a cumulative grade point average (GPA) of at least 3.0 for all courses applied toward the degree.

The faculty determines the curricular requirements for its program. The course of study can include a combination of specific required courses, electives, teaching, independent study or laboratory rotations, colloquia, and demonstration through examination of comprehensive knowledge in the major field.

A student who enters the Ph.D. program with a bachelor's degree will be expected to spend two to three years taking 3-4 course units per semester before satisfying the doctoral group's academic requirements, passing the required examinations and being Advanced to Candidacy. Faculty may require more extensive preparation through additional work, especially those programs with substantial language requirements. Students who enter with a master's degree or other transfer credit may satisfy the formal course requirements more quickly. Faculty has flexibility to establish the optimal timetable and requirements for their own students and to respond to the specific academic needs of individual students.

The customary maximum load for a Ph.D. student is four course units each semester. For any courseload over 4.0 course units, [fill out the form](#) online. A response can be expected within two weeks.

Faculty may establish examination requirements in addition to the University's standards.

### **Residency Requirement**

All doctoral students must satisfy a residency requirement as a condition for earning the degree. The residency requirement is defined as completion of at least four course units within two successive terms in University courses approved for graduate credit by the Graduate School of Education. A maximum of two of these four course units may be taken in summer sessions continuous with the academic year term in which the remaining course units are taken (e.g., spring/fall, fall/spring, summer/fall or spring/summer). This requirement may be fulfilled at any

time after the student has been admitted to GSE for post-baccalaureate coursework. Some programs require full-time study in every semester. Consult the division for more information.

### **Inquiry Skills**

- All Ph.D. students in education must demonstrate competence in the use of at least one inquiry skill relevant to scholarship and/or professional practice in their field of specialization
- Inquiry skills may include empirical research skills, appropriate foreign languages, computer programming or other skills specified by the specialization
- Courses used to satisfy the inquiry skill requirement do not count toward the minimum number of course units required for the degree

### **Transfer of Credit**

GSE will, under certain conditions, accept equivalent credit toward the degree. Up to eight graduate level CU's taken at GSE, Penn, or another institution, may count toward the Ed.D. degree. Transfer credit is not automatically accepted or applied toward the doctoral degree. Students must follow formal procedures to request the application of transfer credit toward GSE degree requirements. The acceptance of transfer credits does not override specialization requirements. In order to receive transfer credit students must have earned a grade of at least "B" for all courses. Grades of "Satisfactory" or "Pass" are not transferable. No academic work done while the student was an undergraduate will be counted toward a graduate degree with the exception of courses taken when the student was an official sub-matriculate in the Graduate School of Education. The following conditions apply to transfer of credit:

- A maximum of eight course units of graduate level coursework earned at GSE, Penn, or another institution within the preceding 10-year period may be accepted upon recommendation of the advisor.

For courses taken more than 10 years prior to admission to the Ph.D. program, within or outside the University, students must show that:

- a grade of "A" or "B" has been earned;
- the faculty advisor and the division chair agree that the courses are acceptable;
- the student has enrolled in relevant graduate-level courses or engaged in appropriate academic activity after completion of courses for which credit is requested;
- when there is not agreement between the student's advisor and division chair, the student must pass an examination in the content areas for which credit is requested.
- EDUC subject code courses taken under "Penn General Admission" status do not count against the 8 course units which can be transferred. They can count towards the degree if the program sends approval to SRO prior to graduation audit.



## PROCESS FOR APPROVAL OF TRANSFER OF CREDIT

Students must be admitted to a degree program before a request for transfer of credit can be considered. To request transfer of credit, students must:

- Obtain the appropriate [transfer of credit request form](#).
- Complete the form in consultation with their advisor and obtain the necessary approvals from the advisor and division chair.
- Submit an official copy of the transcript
- Student must matriculate at least one semester before submitting the transfer of credit form.
- Student must provide a letter reflecting these requirements.

Transfer credits will reflect on your transcript but will not count toward your GPA.

### Advisor

- Each student is assigned a faculty advisor upon admission
- The advisor is responsible for helping to plan the program of study, guiding the student's work until completion of coursework and the preliminary examination, and monitoring the student's academic progress
- If the advisor judges the quality of an advisee's work to be inadequate, he or she may recommend to the division chair that the student not be allowed to continue in the program
- Students should contact their advisors individually in the first semester of the student's first year before the drop/request period has concluded
- After this initial meeting, students and advisors are mutually obligated to stay in regular contact, preferably twice a year, but always at the start of the academic year to review progress and consider alterations to the program of study
- The planned program of study should be developed between the advisor and advisee in the first semester of the first year of study, and can be revised over time
- Students on dissertation should also communicate with their advisors twice a year so that progress is closely monitored. They must submit a dissertation progress report once per year.
- Students should always consult the GSE website or the Student Records Office for the most current academic policies, procedures and deadlines for completing academic requirements
- To request a change in advisor, a student should see the program manager for procedures
- Once a student has formed a dissertation committee, the committee chair automatically becomes the student's advisor

## **Evaluations and Examinations**

### **Qualifications Evaluation (Program Candidacy)**

A Qualifications Evaluation of each student is conducted after the completion of 6 but not more than 8 CU's. The evaluation is designed by the specialization faculty and may be based on an examination or on a review of a student's overall academic progress. Satisfaction of this requirement is necessary in order to continue in the graduate program and is recorded in the student's academic record. The student and the Student Records Office must be notified of the outcome of the evaluation.

### **Eligibility for Qualifications Evaluation**

Program candidacy review must be completed after completion of 6, but not more than 8 CU's, and no later than the fourth semester of coursework. Eligibility will be assessed according to the following criteria: satisfactory performance in courses as shown by the student's GSE transcript and faculty recommendations; a coherent course of study as illustrated by the planned program of study and prospectus; and a demonstration of the ability to do research as demonstrated by a research paper.

### **Procedure for Qualifications Evaluation**

- Specialization faculty reviews the student dossier.
- Specialization faculty votes to recommend student for program candidacy.
- Division faculty votes whether to admit student to program candidacy.
- The student is given feedback in conference or in writing about the decision, his/her performance and future course of study.

Students who are recommended for program candidacy are permitted to continue in the program. Students who do not pass program candidacy are withdrawn from the degree program.

### **Appeal of Qualifications Evaluation**

Students may appeal to the division chair if the program faculty does not admit them to program candidacy. Students may appeal to the Committee on Degrees if the division does not admit them to program candidacy.

### **Candidacy Examination (Doctoral Candidacy)**

A Candidacy Examination on the major subject area is required. This examination is normally held after the candidate has completed all required courses. Feedback will be provided to the student within one month. Satisfactory completion of the Candidacy Examination requirement is recorded in the student's academic record. Upon successful completion of the Candidacy Examination, the student is advanced to Candidacy. Normally, a student should advance to candidacy by the end of the third year. The maximum time limit for a student to be advanced to candidacy is five years, after which time the student will be dropped from the rolls.

- Doctoral candidacy is conferred upon successful completion of the candidacy examination (formerly doctoral preliminary examination).
- The Ph.D. student must pass a candidacy examination in the field of his or her major subject.
- The candidacy examination is a test of knowledge in the student's area of specialization, requiring students to demonstrate knowledge and reasoning in the key content areas in their specialization as defined by their academic division, including:
  1. depth and breadth of familiarity with the literature in their field of study
  2. synthesis of material across core content courses taken in the doctoral program
  3. ability to critically analyze issues in the field
  4. knowledge and understanding of the intellectual domains and research paradigms relevant to their field of study
  5. the ability to present cogent arguments including the effective use of evidence
- Examination results should be communicated to students within four weeks of the date the examination was taken
- Members of the Ph.D. examination committees must be drawn from the standing or associated faculties
- Students are permitted two opportunities to pass the candidacy examination; if they are unsuccessful after two tries, they will be withdrawn from the doctoral program

To be eligible to take the candidacy examination, students must:

- Have passed the Qualifications Evaluation;
- Have the recommendation of their advisor
- Submit evidence satisfactory to the advisor of capacity to do research in their area of specialization
- Be registered for the term in which the exam is taken
- Register to take the candidacy examination by the deadline listed in the [academic calendar](#).

## **STUDENT PREFORMANCE**

- All doctoral students are reviewed by the faculty on a regular basis to evaluate their progress
- Evaluation is based on a review of coursework, fieldwork, progress and other relevant criteria
- All students are expected to make steady progress toward completion of degree requirements unless a leave of absence has been granted
- Lack of significant progress in completing degree requirements for two consecutive years (exclusive of time when on official leave of absence) will automatically terminate enrollment

## **TIME LIMITATION**

Beginning in 2010-11, the University's maximum time limit for completion is ten years after matriculation. Graduate students who have been dropped after ten years may petition the graduate group to return as a student for a maximum of one year in order to achieve recertification and defend the dissertation. The faculty has no obligation to continue working with a student who has been dropped, nor is there any presumption that a graduate group will respond favorably to a petition for re-admission. If the faculty wishes to recommend re-admission, it must present to the graduate dean a list of faculty members willing to serve as a dissertation committee and a detailed, realistic plan of how the student will, within one year of reenrollment, achieve recertification, pass the dissertation examination, and submit the final copy of the dissertation. If re-enrollment is approved by the graduate dean, such a student must pay reduced rate tuition for two semesters, unless all requirements are completed within one semester.

Any extensions to time limits are considered in rare exceptions and must be submitted to the Committee on Degrees (CoD).

## **RECERTIFICATION**

A student who is re-enrolled after expiration of the time limit must satisfy the recertification criteria designed by their graduate group and approved by the Graduate Council of the Faculties (or retake and pass the Candidacy Examination). The new deadline for completion of all requirements for the Ph.D., including recertification, shall be within one year.

Ph.D. students in the Graduate Group in Education who have not completed all their degree requirements within 10 years of matriculation may submit a petition to the Graduate School of Education's Committee on Degrees for a one-year extension. The petition must be submitted to the Committee on Degrees at least 2 months prior to the end of the 10th academic year. To qualify for an extension, the student must meet the following four conditions:

1. The student must have had his or her dissertation proposal accepted, the Ballot Form signed by the student's Dissertation Committee, and submitted to the Student Record Office.
2. The student must submit a progress report and plan to his or her dissertation committee. The purpose of this report/plan is: to document which degree requirements the student has completed; to provide a rationale for why he or she has been unable to complete all the requirements within the 10 year period; and to provide a timeline/schedule of steps for completion of the remaining requirements within a one-year extension. The student's chair and a majority of his or her dissertation committee must review and approve the progress report and plan.
3. The student must then submit the progress report and plan to the Committee on Degrees for their review and approval.
4. The student must re-take a Candidacy exam that documents familiarity with the current status of their field.

## The Dissertation

The final stage and culmination of doctoral study is preparation of a dissertation. The dissertation is an independently produced piece of original research on a problem in education prepared under the supervision of a dissertation committee. The student should meet with their dissertation committee at least once a year to insure sufficient progress. The dissertation should show high attainment and power of independent research, and represent a significant contribution to human knowledge. A GSE Ph.D. dissertation should include:

- A research problem that is clearly located in the relevant literature;
- A research question(s) or research hypothesis(es);
- A theoretical orientation or conceptual framework that is used to provide some of the background and rationale for:
  1. a description of the significance of the dissertation research, and
  2. the selection of the research methods approach(es) chosen to investigate the research question(s) or hypothesis(es);
- Description of approach(es)/method(s);
- Data presentation and analysis (i.e., findings, results); and
- Implications for theory, policy, practice, and/or further research

Multiple authorship of dissertations is allowed as long as no publication is used as dissertation material for more than one student and as long as the candidate includes for publication a concise account of his or her contribution to the whole work.

Dissertations based on joint work with other researchers are allowed provided that in such cases a unique and separate dissertation is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a dissertation by more than one degree candidate is not allowed.

## FORMING A DISSERTATION COMMITTEE

Students must consult with their advisor for assistance in selecting a group of at least three people with earned doctorates to serve as the dissertation committee. The dissertation committee is responsible for evaluating their proposal for dissertation research, for supervising the preparation of a dissertation on an approved problem, and for evaluating the dissertation. Committee members should be selected on the basis of their relationship to the dissertation content.

Students must complete the doctoral preliminary and minor examinations before seeking formal approval for a dissertation committee. Upon advancement to candidacy, each student has a Dissertation Committee consisting of at least three faculty members (including at least two members of the Ph.D. Education Graduate Group). A list of Education Graduate Group members is available [here](#). The third member may be a scholar external to the University of Pennsylvania with a doctoral degree, including a qualified individual who does not hold faculty rank at a

college or university. To include an external member on their dissertation committee, students must have approval from the committee chair and the Office of Student Services.

The Dissertation Committee meets at least once annually with the student to review the student's progress. The student prepares an Annual Dissertation Progress Report and the committee gives timely feedback (within one month) and confirms whether progress is satisfactory. A copy of the signed progress report is submitted to the Supervisor/Advisor and Graduate Group Chair and is documented by the school in the student's PhD Worksheet.

One person is designated the chair. **The chair of a Ph.D. dissertation committee must be both a member of the standing faculty and a member of the Graduate Group in Education.** The dissertation committee chair becomes the official faculty advisor.

## **APPROVAL PROCESS FOR A DISSERTATION COMMITTEE**

To formalize the committee, submit a completed [Request for Appointment of the Dissertation Committee and Scheduling of the Oral Proposal Form](#) to the Student Records Office. The committee must be formally approved before students can hold their oral proposal hearing. Allow at least three weeks for the request to be reviewed by the Assistant Dean's office. To request a change in dissertation committee, students must complete a [Request for Change of Dissertation Committee form](#). Changes to the committee must be approved by the Assistant Dean for Academic and Student Affairs.

## **DISSERTATION RESEARCH ABROAD**

A student who will conduct dissertation research abroad for the semester registers for Dissertation Research Abroad status. Full Tuition is charged for students in years 1-4, and Reduced Tuition for students in years 5-10. Submit the [form to request dissertation research abroad](#) to the Student Records Office.

## **EXTRAMURAL RESEARCH**

If graduate credit is sought for research work pursued at laboratories not officially a part of the University of Pennsylvania (for example, where the investigator is not a member of the graduate group), the student must obtain prior permission from the graduate chair. [University Policies Regarding Intellectual Property](#) apply in the case of research conducted in extramural settings.

## **PATENT POLICY RELATING TO RESEARCH**

A dissertation submitted as a part of the requirements for a degree is the property of the University, and any patent rights arising there from are governed by the Patent Policy of the University of Pennsylvania. An invention or discovery resulting from research carried out in University laboratories as a part of a post-doctoral or other non-degree program is the property of the University, and any patent rights arising there from are also governed by the Patent Policy of the University of Pennsylvania.

## RESEARCH ON HUMAN SUBJECTS

Students must obtain University approval from the Institutional Review Board (IRB) before they may conduct research on human subjects for their dissertation study. Since education research generally involves little or no risk to the participants, the University permits GSE students to apply for an expedited review by the IRB. Detailed information about these procedures is available from the [Office of Research Services](#).

## ORAL PROPOSAL

### Procedure for Oral Proposal of the Dissertation

All doctoral candidates must present their dissertation proposals orally and in person to the dissertation committee. To schedule the oral proposal, the student must:

- Decide with the committee members on a day, date and time to hold the proposal
- Submit the [Request for Appointment of Dissertation Committee and Scheduling of Oral Proposal Form](#) signed by the chair and each committee member with six copies of the proposal abstract, to the Student Records Office at least two weeks in advance of the date the hearing is to take place. The Student Records Office will assign a room for the proposal hearing and notify the student, the committee members and the program manager. The notice will also be posted on the bulletin board in the second floor administrative suite.
- Having passed the oral proposal, the student will be issued a signed ballot verifying that fact. A second copy of the ballot must be submitted to the Student Records Office by the chair of the dissertation committee so that this information can be added to the student's transcript.
- The student, the chair, and majority of the committee are *required to be* physically present at the oral proposal and final defense hearings.
- Although all members of a student's dissertation committee *are expected to be* physically present at the oral proposal and final defense hearings, in extenuating circumstances one member *may be physically absent as long as the absent member participates* remotely. Additionally, electronic signatures will be accepted for the member attending remotely.

At the oral proposal hearing, the dissertation committee will review the proposal with the student and help refine the proposed dissertation project. The committee will vote on the proposal and indicate any revisions that might be required before the student may be allowed to proceed with the dissertation research. Oral proposal hearings are not normally held during the summer. Candidates who wish to have the oral proposal hearing during the summer must secure the approval of all committee members. If approval is granted, the student will be required to register for courses, or for dissertation supervision (EDUC 995) for the summer session in which the oral proposal hearing is held. After the dissertation proposal is approved, two ballots will be signed by the committee. One ballot is for the student and one for the Student Records Office. Students must complete all remaining requirements for the degree within a period of four years. For an extension of time to complete the dissertation, students may petition the Committee on Degrees. Students must have the recommendation of the dissertation committee chair to be considered for an extension of this time limit.

## **GSE Standards for the Oral Proposal**

Your committee will determine whether you pass your oral proposal hearing. Your proposal must pass the following criteria:

1. The topic is stated clearly and relevant background literature reviewed and evaluated.
2. The research question(s) are stated clearly.
3. The contribution and importance of the research question(s) with respect to relevant literature, theory, policy, and/or practice are articulated in a convincing manner.
4. The research plan and methods are appropriate and adequate to study the research question(s) posed, and are explicitly described.

## **STANDARDS FOR THE DISSERTATION**

1. The topic is stated clearly and relevant background literature reviewed and evaluated.
2. The research question(s) are stated clearly.
3. The contribution and importance of the research question(s) with respect to relevant literature, theory, policy, and/or practice are articulated in a convincing manner.
4. The research plan and methods are appropriate and adequate to study the research question(s) posed, and are explicitly described.
5. The research plan and methods are implemented effectively.
6. The research produced trustworthy evidence that bears on the research question(s).
7. The conclusions follow convincingly from the evidence and its interpretation.
8. The dissertation manuscript is coherent, well structured, clearly written and is in accordance with the specifications of a standard style manual regarding grammar, punctuation, spelling, etc.
9. With appropriate revisions, the dissertation is of sufficient quality to be publishable in an academic or practice-oriented journal that is peer reviewed.

## **FORMATTING THE DISSERTATION**

- The Table of Contents is accurate in terms of headings and page numbers.
- Citations and the bibliographic/reference section are formatted in accordance with a standard style manual
- The title page, pagination, abstract, notes, bibliography, tables, and figures are formatted in accordance with the University of Pennsylvania Doctoral Dissertation Manual
- See the dissertation formatting templates below for more details
  - [Dissertation Format](#)
  - [Abstract Template](#)
  - [Copyright Template](#)



## **FINAL DEFENSE OF THE DISSERTATION**

The final dissertation defense is approximately two hours in length and is based upon the candidate's dissertation. To schedule the final oral examination, doctoral candidates must submit the completed the [Final Defense Hearing Form](#) and abstract to at least two weeks in advance of the date of the final defense. The Student Records Office schedules the meeting room and formally notifies the dissertation committee that the meeting has been scheduled. The public is also welcome to attend these presentations. A private discussion for certain periods of the defense may also be granted as per the decision of the dissertation committee.

The student, the chair, and majority of the committee are *required to be* physically present at the oral proposal and final defense hearings.

Although all members of a student's dissertation committee *are expected to be* physically present at the oral proposal and final defense hearings, in extenuating circumstances, one member may be physically absent as long as the absent member(s) participate(s) remotely.

At least one term must elapse between passing the preliminary examination and the final defense. At the discretion of the dissertation committee, the candidate will be recommended to the faculty of the Graduate Group in Education for the degree of Doctor of Philosophy. After the final defense hearing, two ballots will be signed by the committee. The ballot must be submitted to the Student Records Office by the chair of the dissertation committee within one business week. Additionally, electronic signatures will be accepted for the member attending remotely.

Final oral examinations are not normally held during the summer. Candidates who wish to have the final oral examination during the summer must secure the approval of all committee members and register for Dissertation Supervision (EDUC 995) for the summer session in which the final oral examination is held.

## **PROCEDURE FOR SCHEDULING THE FINAL DEFENSE OF THE DISSERTATION**

To schedule the final defense, the student must:

1. Mutually agree with the committee members on a day, date and time to hold the defense.
2. Submit the [Final Defense Notification form](#) on [the academic forms page](#) of the GSE website and the proposal abstract online at least two weeks in advance of the date the hearing is to take place. The Student Records Office will assign a
  - i. room for the defense hearing and notify the student, the committee members
  - ii. and the program manager. The notice will also be posted on the bulletin board in the second floor administrative suite, and the building monitors.
3. Having passed the final defense, the student will be issued a signed ballot verifying that fact. The ballot must be submitted to the Student Records Office to record the result on the student's transcript.
4. Tuition is waived the semester after students successfully pass the final defense hearing. This waiver is only for one semester and cannot be extended.

## REQUIRED DOCUMENTS FOR PH.D. DISSERTATIONS

### Acceptance of the Dissertation

The Graduate Group reports to the graduate office regarding acceptance of the Ph.D. dissertation and its suitability for immediate publication by the prescribed deadline. Here is how the process works. Once the dissertation is approved, Form 152 (Acceptance of Dissertation) is signed by the entire committee. The student brings the completed form to the Student Records Office. When the student is ready to file the dissertation with the Graduate Group Chair for signature, the student picks up Form 152 with Form 153, (Certification of Dissertation), at the Student Records Office. Dissertations must follow the format prescribed in the Dissertation Manual, which describes in detail the requirements for preparing and filing the dissertation. Please allow three weeks for Graduate Group Chair approval before dissertation is filed with the Graduate Group in Arts and Sciences.

- Dissertation submitted to [Faculty Affairs Office](#)
- Upon approval of dissertation on ProQuest, one copy printed on 100% acid-free paper
- One Title Page printed on 100% acid-free paper with chairperson's signature
- Click [here](#) for submission steps Form 152 (Acceptance of Dissertation) from the student's file in the Office of Faculty Affairs
- Form 153 (Certificate of Dissertation), from the student's file in the Office of Faculty Affairs
- Survey of Earned Doctorates, link sent by Grad Arts & Sciences
- Survey of Doctoral Students' Opinion, link sent by Grad Arts & Sciences
- Receipt showing zero balance if balance was recently paid
- Click [here](#) for PhD dissertation submission instructions

## PUBLICATION AND SUBMISSION OF THE DISSERTATION

Dissertations must follow the format prescribed in the [Dissertation Manual](#). All dissertations will be sent to the Penn Libraries.

## FILING THE DISSERTATION

After successfully completing the final oral examination and making any required revisions to the dissertation, the dissertation must be filed with Van Pelt Library.

Consult the GSE [academic calendar](#) for filing deadlines pertinent to graduation dates. Before graduation, the candidate must submit to the Graduate School of Arts and Sciences the original and one copy of the final typed version of the dissertation.

## Tuition

Ph.D. students will be charged Full Tuition until they have completed 4 years of full-time study. The time may be as brief as three years if a student enters with credits from a post-baccalaureate degree program or successfully completes the Ph.D. in less than 4 years.

If the student has not earned the Ph.D. degree by the end of the 4 years, the student will be charged Reduced Tuition until the degree is awarded, or for a maximum of 6 additional years. Continuous enrollment is required through year ten (or until graduation), with exception for approved leave.

After a maximum of 6 years at Reduced Tuition, the student ceases to be enrolled. (See above, Time Limit for Completion of the Ph.D. Degree.) Sitting for exams or defending dissertation during the summer will be subject to the Ed.D. tuition rate.

With permission and recertification from the graduate group (see section above, “Recertification”), a student may reenroll for a final year in order to defend and deposit the dissertation. Such a student must pay reduced rate tuition for a final two semesters, unless all requirements are completed within one semester.

### **Childbirth and Adoption**

A student in a Ph.D. program at Penn is eligible for time off of eight weeks for the birth or adoption of a child. The student must notify the graduate group chair and Advisor/Supervisor in writing, at an early date, of his/her plans to initiate a “Time Off” period, so that appropriate arrangements can be made to cover any teaching/research responsibilities.

- Normally the “Time Off” period commences within two weeks of the birth or adoption..
- During the “Time Off” period, the student remains enrolled full-time. In order to facilitate a rapid return, s/he may participate in the program as fully as s/he deems appropriate. By remaining on full-time status, student visa status and loan repayment schedules, if any, will remain unchanged.
- The student is entitled to academic accommodation including relief from academic requirements, such as postponement of exams and course requirements.
- A student receiving stipend support is entitled to continuation of support during the “Time Off” period as follows:
  1. Students receiving stipends from University/school funds are entitled to draw support for eight weeks during the academic year.
  2. Students funded by government grants or other external funding sources are entitled to benefits as determined by the funding agency.

## Family Leave of Absence

A student in the Ph.D. program at Penn may take an unpaid Family Leave of Absence for the birth or adoption of a child, child care, or care of an immediate family member (spouse, domestic partner, child, or parent) with a serious health condition. University policy on family leave is available in the Pennbook, [here](#).

1. Students may take a Family Leave of Absence for one or two semesters.
2. The student is expected to notify the graduate group chair and adviser in writing of his/her plans to take a Family Leave at an early date, so that appropriate arrangements can be made to cover any teaching/research responsibilities.
3. Family Leave “stops the clock” on the student’s academic requirements, including service requirements, for the duration of the leave.
4. During the period of Family Leave, the student may arrange to continue Student Health Insurance, but is responsible for the payment of his or her own premiums. Upon paying a fee, students on approved Family Leave will retain their PennCard, e-mail accounts, library privileges, and building access.
5. Funding commitments from the institution are deferred until the student returns from Family Leave. Students receiving funding from external sources, such as government grants, are subject to the conditions established by the funding source.
6. Service requirements (e.g., teaching, research) will be met by the student following return from Family Leave.
7. Requests for extension of Family Leave beyond one year, or for repeated Family Leaves, may be made. Approval of an extension, deferral of funding, and continued academic accommodation is at the discretion of the Graduate Dean.

**\*IMPORTANT:** If you anticipate adding a dependent (e.g., newborn) to your Penn Student Insurance Policy while on Family Leave, you must remain in ACTIVE student status at the start of the fall semester. Students should arrange with their school/division to maintain full-time student status for at least 31 days from the start of fall classes, after which time the Family Leave status can be recorded in the Student Records System. After the birth/adoption, contact the SHS Insurance Coordinator to enroll the dependent. The premium for dependent coverage is payable directly to Aetna Student Health.

## GRADUATION

The GSE [academic calendar](#) lists the deadlines for completing degree requirements in order to graduate in any academic term. All degree candidates must [apply to graduate on-line](#) by the deadline published on the GSE academic calendar. **Ph.D. students must also apply on-line to graduate with Graduate School of Arts and Sciences.** Failure to apply for graduation by the published deadlines will make it impossible to receive the degree at the time desired.

GSE holds one commencement ceremony each year in May for students who have completed degrees in December of the prior fall term, May or August of the current academic year.

Please check GSE academic calendar for deadlines on the final defense and commencement RSVP. Check the GAS Ph.D. academic calendar for deadlines to deposit the dissertation and applying for the degree. The Student Records Office asks for two weeks notice to schedule your defense May graduates must:

1. You must submit the GSE graduation application by the deadline [here](#)
2. You must apply for the degree through GAS (in addition to GSE) by the deadline [here](#)
3. You must defend and submit your dissertation for GSE review by the deadline.
4. You must deposit your dissertation with Graduate Arts and Sciences by the deadline

August graduates who participate in the May commencement ceremony:

1. Must [apply to graduate](#) by the deadline listed in the [GSE academic calendar](#).
2. Will have their diplomas mailed to them by the Office of the Secretary of the University approximately three months after they have completed their degree requirements.

### **If you intend to graduate in August, these are the important dates to keep in mind:**

If you intend to graduate in August but do **NOT** want to pay an additional tuition fee, you will need to have your final defense completed by the end of the Spring term as per the GSE academic calendar. If you defend your dissertation **AFTER** this deadline, you will have to pay 1 CU tuition at the **Edd rate**, because you have to pay tuition the semester you defend your dissertation. Penn GSE will **NOT** pay this tuition fee during the summer, even if you are on a fellowship of any kind. Consult with external fellowships for guidelines on summer tuition payment. An August graduation means that you have deposited the dissertation per the GAS guidelines for the Summer term. Please note that GSE must review a Ph.D. dissertation before it is deposited with GAS. Both GSE and GAS deadlines must be met to graduate in August.

### **Certificate of Advanced Study**

Students who complete all requirements for a Doctor of Philosophy except the preliminary examination and the dissertation may apply to the Assistant Dean to receive a Certificate of Advanced Study (CAS). The CAS is a form of recognition for completing significant doctoral level study in an educational field. Students who elect to receive a CAS will not be eligible to re-enter a degree program and complete the doctorate at a later date. A CAS may be awarded to students matriculated in the Graduate School of Education who:

- are in good standing;
- have completed all requirements for an approved doctoral specialization of study except the preliminary examinations and the dissertation; and
- are recommended by the faculty of the appropriate program.

The certificate contains:

- The name of the School and the University;
- The name of the student;
- The title of the field of specialization in which the advanced study was completed;
- The signature of the Dean of the Graduate School of Education.

# POLICIES

## ACADEMIC INTEGRITY CODE

### ACADEMIC DISHONESTY DEFINITIONS

(From the [Academic Integrity Code of the University of Pennsylvania](#))

GSE prohibits conduct that is contrary to accepted principles of academic honesty. Membership in this community imposes both an obligation to comply with its rules and the responsibility to assist in their enforcement.

It shall constitute a violation of the GSE Code of Student Academic Integrity for any student knowingly and purposefully to engage in any activity that has the effect or intention of interfering with the education, pursuit of knowledge, or fair evaluation of a student's performance. Examples of such activities include, but are not limited to, the following:

- 1) Cheating:** using or attempting to use unauthorized assistance, material, or study aids in examinations or other academic work or preventing, or attempting to prevent, another from using authorized assistance, material, or study aids. Example: using a cheat sheet in a quiz or exam, using a cell phone or other technology to obtain or share information during an exam, altering a graded exam and resubmitting it for a better grade.
- 2) Plagiarism:** using the ideas, data, or language of another without specific or proper acknowledgment. Example: copying another person's paper, article, or text from a website and submitting it for an assignment, quoting someone else's ideas without attribution, failing to use quotation marks where appropriate.
- 3) Fabrication:** submitting contrived or altered information in any academic exercise. Example: making up data for an experiment, fudging data, citing nonexistent articles, contriving sources.
- 4) Multiple submissions:** submitting, without prior permission, any work submitted to fulfill another academic requirement.
- 5) Facilitating academic dishonesty:** knowingly helping or attempting to help another violate any provision of the Code. Example: working together on a take-home exam.
- 6) Unfair advantage:** attempting to gain unauthorized advantage over fellow students in an academic exercise. Example: gaining or providing unauthorized access to examination materials, obstructing or interfering with another student's efforts in an academic exercise, lying about a need for an extension for an exam or paper, continuing to write even when time is up during an exam, destroying or keeping library materials for one's own use.
- 7) Misrepresentation of academic records:** misrepresenting or tampering with or attempting to tamper with any portion of a student's transcripts or academic record, either before or after coming to the University of Pennsylvania. Example: forging a change of grade slip, tampering with computer records, falsifying academic information on one's resume.

Infractions can occur in any academic situation including, but not limited to, a course, research project, independent study, presentation, qualifying examination, preliminary examination, or dissertation.

## **PROCEDURES FOR HANDLING ACADEMIC INTEGRITY VIOLATIONS**

GSE embraces the principle that faculty members have wide authority to judge the academic work of their students. The University's policy titled "Faculty Authority to Assign Grades and Academic Integrity" notes the distinction between academic evaluation and disciplinary action: "Faculty members have the authority to make academic judgments in relation to their students and to make decisions in the interest of furthering their student's education. Only the institution, acting through its formal processes, may discipline a student. Grades are not sanctions, even if they arise from a judgment that a student has violated a norm of academic integrity. In such cases, the grade may reflect the faculty member's view that a piece of work was done inappropriately but it represents the quality of the work, not a record of discipline for the behavior." (from the [PennBook](#): Resources, Policies and Procedures Handbook)

## **FACULTY MEMBER'S OPTIONS**

A faculty member who concludes that a student has violated this Code has two options.

- 1) The faculty member may assign a grade that reflects the faculty member's view that the work was done inappropriately or
- 2) If the faculty member believes that the violation merits disciplinary sanctions or that further investigation is warranted, the faculty member may refer the matter to Penn's Office of Student Conduct through GSE's Office of Student Services

Faculty members are strongly encouraged to report all cases to the University's Office of Student Conduct for handling under the procedures described in the Charter of the University of Pennsylvania Student Disciplinary System.

If the faculty wishes to handle the matter with the grading option, it should be reported to GSE's Office of Student Services for recordkeeping.

## **APPEALS IN MATTERS INVOLVING ACADEMIC DISHONESTY**

For assistance and/or advocacy in navigating the entire process, please contact GSE's Office of Student Services

### **Grade Appeals and Academic Grievances**

If a student in a GSE class wishes to appeal a decision made by a faculty member, the appeal procedures described in the GSE Student Academic Grievance Policy will apply.

### **Appeal in Matters Referred to the Office of Student Conduct**

In matters referred to the Office of Student Conduct the appeal procedures described in the [Charter of the University of Pennsylvania Student Disciplinary System](#) will apply.



A faculty member involved in an academic integrity matter will be informed of the outcome of the disciplinary proceeding by the Office of Student Conduct or the GSE Office of Student Services. If the student has been found not to be responsible for an academic integrity violation, the instructor may reconsider or regrade the student based upon the outcome of the disciplinary proceedings. In the event that the student believes the final grade is unfair or fails to take account of the outcome of the disciplinary proceeding, the student may appeal the grade through GSE Student Academic Grievance process.

In addition to the channels outlined above, a student may take problems to the Office of Ombudsman. The [Ombudsman](#) does not have decision-making authority but serves as an impartial mediator in helping to resolve disputes. Further, any student who feels that he or she has been subject to discrimination may take his or her complaint to the Office of Affirmative Action and Equal Opportunity Programs. The role of the Office of Affirmative Action is to coordinate compliance with certain anti-discrimination laws.

## **POLICY ON ACCEPTABLE BEHAVIOR IN THE ELECTRONIC ENVIRONMENT**

Please refer to the university's [Policy on Acceptable Use of Electronic Resources](#)

## **Equal Opportunity & Harassment Policies**

People are GSE's most important resource and we are committed to creating and sustaining learning and working environments that take full advantage of our diversity and are respectful of differences. President Gutmann has stated that "[i]n a democracy and at great universities, diversity and excellence go together." Cross-cultural conversations and interactions help to ensure that GSE is educating leaders who will be successful in both local and global settings. The University has policies and resources to underscore its commitment to equal opportunity in a community that also values open expression and academic freedom, including those listed below.

The University is also committed to providing a working and learning environment free from sexual harassment. Management and supervisory personnel, at all levels, are responsible for taking reasonable and necessary action to prevent sexual harassment. The University and GSE will take seriously all sexual harassment complaints and respond in accordance with its Sexual Harassment Policy; take appropriate action to provide remedies when sexual harassment is discovered; impose appropriate sanctions upon individuals who have been found to be in violation of the University's policy; and, to the greatest extent possible, protect the privacy of those involved in sexual harassment complaints.

The University of Pennsylvania is also committed to the principles of free inquiry and free expression and to creating an environment that encourages the active exploration and exchange of ideas. The University's discrimination and harassment policies are not intended to impair this freedom, nor will they be permitted to do so. Prohibited discrimination and harassment, however, are neither legally protected expression nor the proper exercise of academic freedom.

### **NONDISCRIMINATION STATEMENT**

The University of Pennsylvania values diversity and seeks talented students, faculty and staff from diverse backgrounds. The University of Pennsylvania does not discriminate on the basis of race, color, sex, sexual orientation, gender identity, religion, creed, national or ethnic origin, citizenship status, age, disability, veteran status or any other legally protected class status in the administration of its admissions, financial aid, educational or athletic programs, or other University-administered programs or in its employment practices. Questions or complaints regarding this policy should be directed to the Executive Director of the Office of Affirmative Action and Equal Opportunity Programs, Franklin Building, 3451 Walnut Street, 4<sup>th</sup> floor, Room 421. You can also contact them via phone: (215) 898-6993 or email: [oaeeop@pobox.upenn.edu](mailto:oaeeop@pobox.upenn.edu).

### **POLICY ON EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION**

Penn is committed to ensuring that all of its programs and activities are available on an equitable and nondiscriminatory basis without regard to race, color, sex, sexual orientation, gender identity, religion, creed, national or ethnic origin, citizenship status, age, disability, veteran status, or any other legally protected class. The University's Equal Opportunity and Affirmative Action Policy can be found [here](#).

## **RESPECT FOR OTHERS IN THE WORKPLACE**

Penn recognizes that people are the most important resource for achieving eminence in accomplishing our mission in the areas of teaching, research, community service, and patient care. Penn is an institution that values academic freedom, diversity and respect for one another. Penn is committed to the principle of nondiscrimination and does not tolerate conduct that constitutes harassment on any basis, including sexual, racial, ethnic, religious, or gender harassment. For additional information, go [here](#).

## **SEXUAL HARASSMENT POLICY**

The University defines sexual harassment as: "unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature constitutes harassment when:

- ❖ Submission to, or rejection of, such conduct by an individual is made explicitly or implicitly a term or condition of an individual's employment or participation in academic activities;
- ❖ Submission to, or rejection of, such conduct by an individual is used as the basis for employment or academic decisions affecting such individual; or
- ❖ Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance, or of creating an intimidating, hostile, or offensive working or study environment.

More detailed information about the School's practices and policies can be found [here](#).

The full University policy, which includes resources available to respond to questions, provide support or investigate complaints, can be found [here](#).

## **CONSENSUAL SEXUAL RELATIONS BETWEEN FACULTY AND STUDENTS**

The relationship between faculty and student is central to the academic mission of the University. No non-academic or personal ties should be allowed to interfere with the integrity of the faculty-student relationship. Consensual sexual relations between faculty and student can adversely affect the academic enterprise, distorting judgments or appearing to do so in the minds of others, and providing incentives or disincentives for student-faculty contact that are equally inappropriate. More information is available [here](#).

## **POLICY AGAINST RETALIATION**

University policy prohibits retaliation for, among other things, making a good faith report regarding a possible violation of its policies, including those related to on equal opportunity or sexual harassment. The policy can be found [here](#).

## UNIVERSITY RESOURCES FOR RESOLVING INFORMAL COMPLAINTS

The University has resource offices that will provide information, support and advice to individuals who have questions or concerns regarding University policy. See confidential resources below.

### FORMAL COMPLAINTS AND REPORTING OFFICES

An individual who wishes to report an allegation of discrimination or harassment may contact [anyone](#) on the list below, his/her manager, or one of the designated University resource offices. If a report is made to any of these individuals/offices listed below, the staff of that office is responsible for ensuring that appropriate action is taken by the University.

#### *Complaint regarding Staff:*

- ❖ [Emma Grigore, Chief People Officer, GSE](#)
- ❖ [Office of Affirmative Action and Equal Opportunity Programs](#)
- ❖ [Office of Staff and Labor Relations, Division of Human Resources](#)

#### *Complaint regarding Faculty:*

- ❖ [Dr. Jessie Harper, Assistant Dean for Faculty Affairs and Diversity, GSE](#)
- ❖ [Office of Affirmative Action and Equal Opportunity Programs](#)

#### *Complaint regarding Students:*

- ❖ [Dr. Ann Tiao, Assistant Dean for Student Services, GSE](#)
- ❖ [Office of the Vice Provost for University Life](#)
- ❖ [Penn Housing Services](#) (\* for students)
- ❖ [Office of Student Conduct](#) (\* for students)

#### *[Confidential Resources for Information, Counseling, and Support:](#)*

- ❖ [African-American Resource Center](#) (resource for students, staff or faculty)
- ❖ [Counseling and Psychological Services](#) (resource for students)
- ❖ [Employee Assistance Program](#) (resource for staff or faculty)
- ❖ [Lesbian Gay Bisexual Transgender Center](#) (resource for students, staff or faculty)
- ❖ [Office of the Chaplain](#) (resource for students, staff, faculty or visitors)
- ❖ [Office of the Ombudsman](#) (resource for students, staff or faculty)
- ❖ [Office of Sexual Violence Prevention and Education](#) (resource for students)
- ❖ [Penn Women's Center](#) (resource for students, staff or faculty)
- ❖ [Special Services Department](#), Division of Public Safety (resource for students, staff, faculty or visitors)
- ❖ [Student Health Service](#) (resource for students)

## Exceptions to Policies

### GSE COMMITTEE ON DEGREES

The Graduate School of Education Committee on Degrees considers petitions from students seeking exception to the school's academic policies or procedures. The Committee is made up of GSE faculty and administrators and reviews individual requests during the fall and spring semesters. The Committee on Degrees meets once in the fall and once in the spring. Students who are seeking an exception to a policy should [fill out the form](#) online with the requested information.

For assistance and/or advocacy in navigating the entire process, please contact GSE's Office of Student Services.

## GRADING POLICIES

### COURSE GRADES

The following grades for Graduate School of Education courses will be entered on the student's record at the close of the term.

<b>GRADE</b>	<b>GRADE POINTS</b>
A+	4.0
A	4.0
A-	3.7
B+	3.3
B	3.0
B-	2.7
C+	2.3
C	2.0
C-	1.7
D+	1.3
D	1.0
F	Failure
I	Incomplete

All courses are graded according to the preceding chart, with the following exception: Instructors of practicum and fieldwork courses in Education may submit a "Pass/Fail" report as the final evaluation of the course performance of students enrolled in the Graduate School of Education. Note: Ph.D. students may not count coursework with a "Pass/Fail" grade toward any degree requirements.

"Satisfactory/Unsatisfactory" categories may be used as temporary placeholders but are not considered final grades for any degree.

Grade changes are not permitted for a student whose graduation audit has already been completed.

## **SATISFACTORY PERFORMANCE**

All students in the Graduate School of Education are expected to maintain a cumulative grade point average of at least 3.0 for all courses applied toward degree requirements. Students who fail to maintain this minimum standard of satisfactory performance will be placed on academic probation for the following semester. Failure to raise the cumulative GPA to a 3.0 at the end of the semester on probation will result in termination from the degree program.

In addition to the grade point average requirement, continuation in all degree programs of the Graduate School of Education is dependent upon maintenance of satisfactory performance through all phases of the program as judged by the student's advisor, dissertation committee, and/or program. A student who has been determined to not have satisfactory performance will be withdrawn from the program. If a student wishes to appeal a decision of unsatisfactory performance, the student may appeal and petition the Committee on Degrees for a final determination.

## **SATISFACTORY PROGRESS**

Lack of significant progress in completing degree requirements for two consecutive years (exclusive of time when on official leave of absence) will automatically terminate candidacy or eligibility to apply for candidacy if not already attained. Satisfactory progress is evaluated by the student's advisor, dissertation committee, and/or program. Students should take the initiative in providing advisors with evidence of continuous progress; in the absence of such evidence, advisors may apprise themselves of their advisee's status each term. A student who has been determined to not have made satisfactory progress towards degree will be withdrawn from the program. If a student wishes to appeal a decision of unsatisfactory progress, the student may appeal and petition the Committee on Degrees for a final determination.

## **STUDENT EVALUATION AND GRADE INFLATION**

Student evaluation is the prerogative and responsibility of the faculty and an important educative act. Each student is entitled to the careful and timely review of his or her academic work. Grades are the means by which such evaluations are efficiently communicated to external groups (e.g. doctoral admissions committees, fellowship committees, employers) and, most importantly, to the student. The compression of grades in the upper range (grade inflation) has occurred at many colleges and universities and the phenomenon is particularly prevalent at highly selective institutions. There are, of course, circumstances in which grades may be somewhat skewed toward the upward range such as independent studies or small advanced doctoral seminars. Further, some faculty members use the "mastery" approach to teaching, providing students with feedback and the opportunity to rework certain assignments for a higher grade. Nevertheless, without variation in grades, it is impossible to differentiate between "distinguished" work (the criterion for an A in graduate grading system at Penn) and "good" work (the criterion for a B). Grade inflation is problematic because it unfairly penalizes students whose exemplary work deserves to stand apart through the recognition of an A. Inflated grades also can mislead students and give them an unreasonably optimistic assessment of their performance. At Penn, the

expectation is that grade distributions in courses fall predominantly in the A to B range and that the notional mean of most courses (excluding small seminars and so forth and subject to the professional judgment of individual faculty members) is a B+.

## **SATISFACTORY ANNUAL PROGRESS**

Students who take out federal loans need to make “Satisfactory Annual Progress” (SAP) as per federal requirements. If a student does make adequate SAP, it may affect a student’s ability to qualify for future loans. It is incumbent on the student to know these guidelines. For a definition of our minimum considerations for SAP, [click here](#).

## **INCOMPLETES**

Students are expected to complete all coursework during the semester in which a course is taken. However, faculty members may give a grade of Incomplete to a student who is unable to finish course assignments by the end of the term. No GSE instructor is required to give grades of Incomplete. It is up to each faculty member to decide if and when Incompletes will be given. When an Incomplete is assigned, both the faculty member and the student must comply with school regulations governing the timely completion of coursework.

All incomplete coursework must be turned in by the deadline for registration to take either the master’s comprehensive or doctoral preliminary examination. If a student subsequently receives a grade of Incomplete in a course taken in the semester preceding the semester in which the master’s comprehensive or preliminary examination is taken, all outstanding work for the course must be submitted to the instructor within the first week of the semester in which the exam is to be taken. Any grade of Incomplete appearing on the transcript at the time either the master’s comprehensive or preliminary examination is taken will become a Permanent Incomplete. To change a grade after it becomes a Permanent Incomplete is at the discretion of the faculty member with approval from the school.

### **One-Year Time Limit**

Students have one year from the end of the term in which a grade of Incomplete is assigned to finish all coursework unless:

- the faculty member has informed the student in writing of a shorter time frame within which the outstanding work must be submitted; or
- the student has been granted an extension of the one-year time limit by the Assistant Dean for Student Services, upon recommendation of the faculty member.

### **Procedures for Completing Coursework during the One-Year Extension Period**

Students must give the faculty member at least three weeks to read late assignments and submit a grade. More time may be required by individual faculty members, particularly at the end of the semester. It is the student's responsibility to find out how much time the faculty member requires to review course work and submit a grade.

The student may not expect a faculty member to review his/her work during the summer unless a prior agreement has been reached between the student and the faculty member. Once the student submits all outstanding coursework to the faculty member for review, the faculty member evaluates the student's academic performance and submits an updated grade.

If the student follows the timeline for submitting work, but the faculty member is unable to meet the Registrar's deadline for having a grade recorded, the student will not be penalized with a Permanent Incomplete, and an extension will be granted.

If a student fails to follow the timeline for having coursework reviewed by the deadlines, the faculty member and the School have no obligation to submit a grade by the Registrar's deadline, or to grant a further extension. Refer to the policy on Incompletes listed above.

### **Permanent Incompletes**

Any Incompletes (I) that are on a student's transcript for one year or more become frozen by the Registrar's Office as Permanent Incompletes (I\*). The Registrar automatically changes I to I\* after the end of the semester that is one year from the term in which the course is taken. For example, a grade of I given in fall semester becomes I\* after the end of next fall term. There will be no refund of tuition for courses that are recorded as I\*. Any required course that shows a grade of I\* must be retaken at the regular tuition rate.

### **Exceptions**

Exceptions to the School's time limit on Incompletes are granted to students only with written recommendation of the faculty member and approval by the Assistant Dean for Student Services. Extensions are normally approved only when the student is experiencing a personal or family medical emergency or an ongoing debilitating condition, when the student is called for military duty, or when the faculty member does not submit the change of grade in a timely way. While other circumstances will be considered on a case-by-case basis, students should be aware that exceptions are not normally granted when the student reports that family or job responsibilities prevent him/her from meeting academic obligations. When extensions are granted, a new time limit is established by the Assistant Dean for Student Services in consultation with the faculty member.

### **GSE STUDENT ACADEMIC GRIEVANCE POLICY**

A GSE student who wishes to register a grievance regarding the evaluation of his/her academic work or a matter related to the program or a course should discuss the matter with the faculty member first. If not satisfied, then the student should follow the order below in elevating the issue:

- Division Chair
- Assistant Dean for Student Services
- Associate Dean

If the grievance is not addressed, then the student may appeal and petition the Committee on Degrees to receive a final determination.



## Leave of Absence, Withdrawal, and Admission Policies

### Leave of Absence Policy

The University requires degree students to be continuously registered every semester until all degree requirements have been met unless a leave of absence has been approved. Degree students who intend to become inactive must submit a request for a leave of absence online. The request for leave of absence requires written approval from the student's advisor. Leaves of absence are normally approved for up to one year.

Eligible degree students who wish to request a leave of absence [must submit the online form](#) prior to the term when the leave is desired (if possible), or at least during the drop/request period of the semester. Failure to register for coursework, master's thesis or dissertation status without permission from the University does not constitute a leave of absence. If students request a leave after the beginning of the semester, normal drop and withdrawal deadlines apply. Leaves of absence will not be granted retroactively for terms when students failed to register or request a leave. The granting of a leave of absence does not change the time limit for completing degree requirements. Time spent in military service or on Family & Medical Leave (FMLA) does not count under the time limit.

Students may not register for courses, submit assignments to faculty, request a change of grade, hold dissertation hearings, sit for exams or graduate during a leave of absence. Additionally, students on leave of absence do not have to access to Penn or PennGSE resources. Students on an approved leave of absence who wish to retain access to Penn's facilities (in particular, the library) must pay a fee per term of absence. This fee is added to the Student Financial Services bill by the PennGSE Registrar. Students who are interested in this option should contact the PennGSE Student Records Office ([gse-sro@gse.upenn.edu](mailto:gse-sro@gse.upenn.edu)). Students returning from leave of absence must notify the Student Records Office in order to register and return to active status. Once written permission has been granted by the Assistant Dean for Student Services for the semester(s) in question, the Student Records Office will register the student.

Note: Doctoral students may request leave up until their oral proposal hearing. PhD students must have departmental approval for a leave of absence. Students who have defended their oral proposal are not eligible for leave of absence except for family leave, military leave, or medical leave that is approved.

Note: Students can request a leave of absence only after they have matriculated to Penn GSE. New students who need leave before the end of their first add/drop period can defer enrollment but cannot officially take a leave of absence.

Click [here](#) for the Request for Leave of Absence form.

### University Family Leave of Absence Policy

A student in the Ph.D. program at Penn may take an unpaid Family Leave of Absence for the

birth or adoption of a child, child care, or care of an immediate family member (spouse, domestic partner, child, or parent) with a serious health condition. Click [here](#) for this University policy. Click [here](#) for the Request for Leave of Absence form.

Eligible degree students who want a leave of absence must submit a request to the Assistant Dean for Student Services prior to the term when the leave is desired (if possible). Leaves of absence will not be granted retroactively for terms when students failed to register or request a leave. The granting of a leave of absence does not change the time limit for completing degree requirements. Time spent in military service or on Family & Medical Leave (FMLA) does not count under the time limit.

Students may not register for courses, hold dissertation hearings, sit for exams or graduate during a leave of absence. Students returning from leave of absence must notify the Student Records Office in order to be reactivated as current students. Students with grants to undertake dissertation research abroad that do not provide home institution fees, and who wish to maintain the University Health Insurance Plan may obtain a special registration status entitled “Dissertation Research Abroad.” This special status allows the student to remain registered, but does not incur tuition charges. Once written permission has been granted by the Assistant Dean for the semester(s) in question, the Student Records Office will register the student.

## **WITHDRAWAL**

A student who intends to terminate candidacy for a degree at the Graduate School of Education should formally withdraw from the School by [filling out the form](#) located in the [Forms Library](#). The effective date of separation from the University is the date on which the student files a request for withdrawal unless a future date is specified on the form. Students are responsible for tuition charges and other financial obligations to the University incurred before the effective date of withdrawal.

## **ADMISSIONS POLICY FOR FORMER STUDENTS**

Former students who wish to resume their studies must apply for admission to the desired degree program with the Admissions Office. Applications from former students will be considered with the rest of the applicant pool during the next admissions cycle. If the former student desires to have previous coursework count toward the desired degree program, the student needs to state those wishes in their application and the program will make a recommendation upon admission decision. If the program recommends that the student should be able to count previous coursework, a petition needs to be submitted to the Committee on Degrees.

## **POLICY ON SECULAR AND RELIGIOUS HOLIDAYS**

No secular or religious holidays are formally recognized by the University’s [academic calendar](#). However, in setting the academic calendar for each year, the University does try to avoid obvious conflicts with any holidays that involve most University students, faculty and staff, such as July 4th, Thanksgiving, Labor Day, Christmas New Year’s Day and Martin Luther King Day. [University policy on secular and religious holidays](#) is available in the Pennbook.

## **EMAIL POLICY**

As a Penn GSE student, you are required to have a [gse.upenn.edu](mailto:gse.upenn.edu) email account, which we recommend you check at least once a week. You agree to be responsible for any email sent to your [gse.upenn.edu](mailto:gse.upenn.edu) email account. If you would prefer to receive email at another address, please change your preferred email in the Penn Directory to ensure that you receive all Penn email at that address. It is the responsibility of the student to know the content of the email they receive from the university, the school, and the program at their [gse.upenn.edu](mailto:gse.upenn.edu) email address. You are required to have an email address on file in the Penn Directory. In addition, it is recommended to have **all** of your information in the directory updated, otherwise you may miss important communication from the university.

## **POSTER POLICY**

Penn GSE values open expression. There are bulletin boards located at the 3700 Walnut Street building on the west side of each floor. Posters or messaging relevant to the GSE community should be posted there. To enable out of date items to be easily removed, please attach posters using push pins. Items that are out of date will be removed from bulletin boards. If you have need to post in a place other than the bulletin board, please seek permission from the Office of Student Students. In order to maintain an orderly appearance and to prevent damage, no materials should be taped to the doors or walls.

# Registration Policies & Procedures

## Course Registration

Students must register for courses listed on their Planned Program of Study. If a student would like to deviate from the Planned Program of Study, he/she must obtain approval from program management and the Planned Program of Study must be updated to reflect the new course(s).

Most students register for courses using Penn in Touch. New students should contact their program management to confirm how to register for courses before their first term. Current students register in advance during the advance registration period noted on the [academic calendar](#) for each semester.

Advance Registration is a two week period in which students enter requests for the courses you would like to enroll. Students enter their course preferences in priority order anytime during the advanced registration period. This is not a first come first served process, so there is no advantage to registering early and no guarantee that students will be enrolled in all their requested courses. At the end of advance registration period, the system will then schedule all students requests based on availability. Depending on course demand, the system may not be able to enroll you in all the courses you requested. Approximately two weeks after the advanced registration period closes schedules are posted in Penn InTouch. If a student does not receive a full schedule, or if they wish to change their course selections, they may begin revising their schedule when the Registration - Drop/Request begins.

### Advance Registration Tips:

1. Since advance registration is a priority registration system, not first come first served, give courses that you know you are competing for a seat in (i.e. elective courses) your highest priority.
2. Courses that require a permit - give low priority (if you have secured a permit!). If you get a permit you are guaranteed a seat. There is no need to waste a higher priority spot for a class you are guaranteed to get into. Remember: You still need to submit a registration request for courses you have secured a permit in.

### To register:

1. Review the [GSE course roster](#), the [university course roster](#), and the registration instructions.
2. Meet with your advisor, or consult your planned program of study to determine which courses to take.
3. Obtain a permit for courses designated with a "P" on the course roster from the appropriate division .
4. Go to [Penn in Touch](#)
  - Enter your PennKey and Password
  - Click "Registration and Planning"
  - Click "Register for Courses"
  - Enter the course and section numbers

## Drop/Request

There is a designated Drop/Request period each term during which time students may make changes to their course schedule without penalty. The Drop/Request period is published on the [GSE academic calendar](#). Within the dates posted on the GSE academic calendar, students may drop or register for courses through Penn-In-Touch. Course registration changes made after the published deadline will be subject to the refund schedule published in the [GSE academic calendar](#). If there is a problem with a registration/drop, students should contact the Student Records Office immediately. If students need to drop or register for a course after the drop period has ended

1. they provide written permission of the instructor to the Student Records Office, where they will be manually registered or dropped and their bill will be adjusted per the partial refund schedule (75% during the third week, 50% during the 4<sup>th</sup> week, no refund after the 4<sup>th</sup> week).
2. Once an instructor's written permission to drop/add a course has been obtained, withdrawal from a course after the Drop/Request period will be permitted
3. Students may not add or drop a course retroactively, that is, after the last week of the semester in which the course has been taught.

## Master's Registration (EDUC 990)

Master's degree candidates who have completed all coursework must be registered for Master's Registration (EDUC990). This registration designates the student as an active full-time master's degree student and allows the student to meet with his/her advisor, sit for the master's comprehensive exam, use University facilities, complete outstanding coursework and/or graduate. EDUC 990 carries no course units. All master's degree candidates must be registered each term for coursework or Master's Registration until they graduate unless a leave of absence has been submitted and approved in writing. The student must be registered for coursework or Master's Registration in the term when he/she takes the comprehensive exam/final project/thesis and in the term when he/she graduates. Any master's student who fails to register each semester for coursework or Master's Registration will be withdrawn from candidacy for the degree. Master's Registration is considered full-time status which requires mandatory enrollment in student health insurance unless the student has proof of their own health insurance. To be registered for EDUC990, the student or program manager must email the Student Records Office at [gse-sro@gse.upenn.edu](mailto:gse-sro@gse.upenn.edu). EDUC990 is intended as a stand alone course designating full-time status for the specific circumstances noted above and cannot be paired with another course. Exceptions to this policy must go through the Committee on Degrees.

## Student Registration after coursework completion

After a student finishes coursework, a student is registered for EDUC995. Registering for this course does not imply that a student has entered [dissertation status](#), which is not granted until after coursework, the preliminary examination, and oral proposal hearing completed. The student or program manager must request first-time registration for EDUC995 by emailing the Student Records Office at [gse-sro@gse.upenn.edu](mailto:gse-sro@gse.upenn.edu).

Those students who have an approved dissertation chair will be registered for EDUC 995 with a section number identifying the dissertation committee chair. Students who have not a designated chair will be registered for EDUC995 section 001.

Once students have registered for EDUC 995, GSE automatically re-registers them each fall and spring semester in the same section. If students change committee chairs or switch from section, they must submit the Change of Dissertation Committee form. Upon receipt of form, Student Records will change the section number on the registration.

### **Dissertation Status (EDUC 995)**

Dissertation status signifies that doctoral students have completed all coursework for the doctoral degree, taken the preliminary exam, and successfully defended the proposal at a hearing.

Dissertation status designates a person as an active doctoral student and allows them to meet with their advisors, use University facilities and work on the dissertation. When students register for EDUC 995, they are considered full-time students for financial aid purposes.

Dissertation status students are ineligible to take a leave of absence except for the reasons described in the [Leave of Absence Policy](#). In keeping with the school's continuous registration requirements, dissertation students who fail to register each semester will be charged tuition for past semesters, if they seek to re-register, to a maximum of six terms.

Tuition is waived for one and only one semester after the student successfully passes the dissertation defense and will still be enrolled in EDUC995.

### **Continuous Registration**

All degree students in the Graduate School of Education must be registered during each fall and spring term until all degree requirements have been met unless a leave of absence has been granted. To satisfy the continuous registration requirement students must be registered for coursework, master's registration, or dissertation status. Students are not required to register for the summer unless they will sit for an examination, hold an oral proposal or defense, or graduate during the summer. Please refer to the GSE's tuition and fees page for current tuition for master's registration and dissertation status. **A degree student who has not maintained active status by registering each term, and who has not been granted an official leave of absence, will be considered withdrawn. Inactive students must apply for readmission to the Graduate School of Education.** Master's degree students must register for master's registration (EDUC 990) if they have completed all coursework and will be taking the master's comprehensive examination/final project/thesis that semester (including summer term) or graduating. Doctoral students, when finished with coursework, must register for dissertation status while working on the dissertation and completing exams. Registration is not required during the summer; however students, who plan to use University facilities, take comprehensive or preliminary examinations, hold dissertation hearings, or graduate must register and pay the tuition. PhD students are charged the EdD rate in the summer (Please refer to the GSE's tuition and fees schedule). Students on dissertation status who withdraw or fail to maintain continuous registration will be charged tuition for past semesters if they seek to re-register, to a maximum of six semesters.

## Auditing

All GSE courses are for grade only. Students who wish to attend a course without completing the assignments or taking examinations may request to audit the course. The students register in the usual way, but auditing a course requires the student to get permission from the instructor. This permission is then given to the Student Records Office for changing the grade type to audit. Auditors are subject to the full course tuition and fees. They will not receive credit for the course, but it will appear on their transcript with “AUD” in the grade column.

## Interschool Courtesy

Students of the Graduate School of Education are encouraged to take courses in other schools of the University, and students registered as candidates for degrees in other schools of the University are encouraged to take courses in the Graduate School of Education. To qualify for interschool courtesy, students must have the consent of their academic advisor and the instructor of the course in which they wish to enroll. Only courses 500 level or above are considered graduate level. Courses below the 500 level will not count toward degree requirements and will be charged at the GSE tuition rate. Any exception to this policy needs to go through the Committee on Degrees.

## Application for Graduation

All degree candidates must apply to graduate. To apply to graduate, complete the [online application for graduation](#), before the deadline listed for the appropriate semester on the [GSE academic calendar](#). Failure to apply for graduation by the published deadline may result in a financial penalty or inability to graduate in the desired term. Ph.D. degree candidates must apply to graduate with the [Graduate School of Arts & Sciences](#) after completing the GSE application for graduation.

## Course Load Per Term

The maximum course load per term is five course units for master’s degree students and four course units per term for doctoral students. There is a maximum course load of four course units in the summer term, with a maximum of three course units permitted in either six-week session.

## Enrolled Status

- **Full-time status:** Registration for 3 or more course units in a term is considered full-time status [Note that Master’s Thesis Registration (EDUC990) and Dissertation Status (EDUC995) are considered FT].
- **Part-time status:** Registration for .5 to 2.5 course units is considered part-time status (an exception to this policy is made in the case of full-time, program-required internships. For an internship to be considered “program-required” and “full-time,” it must be approved by the division and must involve work of at least 15 weeks per semester at 40 hours per week. Registration must be approved by the division).
- **Half-time status:** For the purpose of federal loan eligibility and in-school deferment eligibility, students must be registered in a degree granting program at least half-time. Half time status is defined as registration for 2 or more course units in any term, including summer.