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*(Current as of July 2008)*

The Wharton School policies and procedures that are reported in this document define the minimum standards to which all of the School's Doctoral concentrations and programs must adhere. These policies and procedures also present guidelines for students regarding course work, examinations and dissertation research.

**IT IS ESSENTIAL THAT ALL DOCTORAL STUDENTS READ AND ADHERE TO THESE REQUIREMENTS.**

## **1. Organization and Governance**

### **1.1. Policy Latitude**

These policies and procedures are not intended to impose uniform regulations over all programs. A program is free to impose stricter policies than the ones laid out here; however, if it does so it is responsible for the administrative control of these policies. Any such policies and procedures must be approved by the Wharton Doctoral Executive Committee prior to implementation, as described below. Moreover, these stricter policies must be recorded in writing and distributed to all students affected when they enter the program. The Ph.D. degree is awarded by the Graduate Council of the Faculties of the University of Pennsylvania. Accordingly, students in the Wharton Doctoral Programs are also subject to the rules and regulations established by that body. These are published in the Graduate Academic Bulletin.

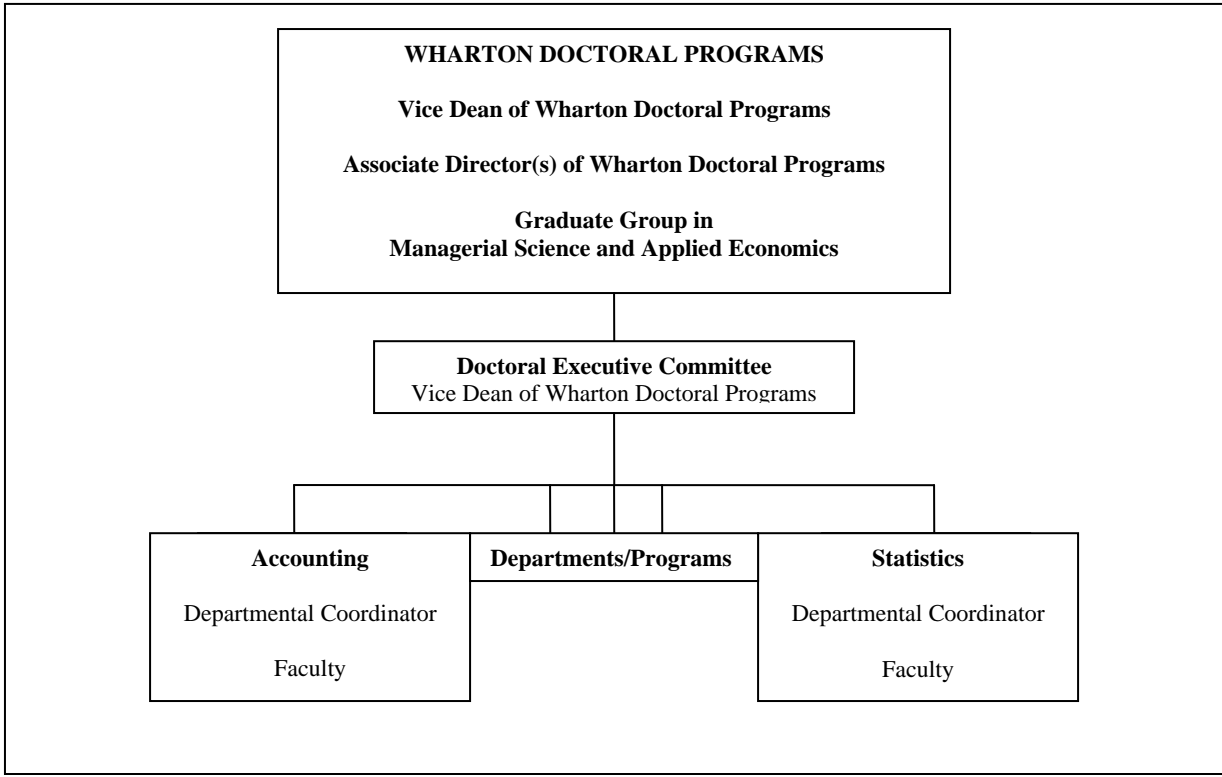
### **1.2. Overall Administrative Structure**

The Wharton Doctoral Programs report for academic matters to the Faculty of the Wharton School and for administration to the Dean of the Wharton School. Matters relating to standards and policies concerning degree requirements are normally decided by the Wharton Doctoral Executive Committee in consultation with the Wharton Faculty, subject to overall guidance and ultimate governance by the Associate Provost for Graduate Education advised by the Graduate Council of the Faculties of the University of Pennsylvania.

### **1.3. Organization of the Wharton Doctoral Programs**

Figure 1 shows the organization structure of the Wharton Doctoral Programs. Each Department or Program is represented on the Doctoral Executive Committee, normally by the faculty member responsible for Doctoral Programs in the Department or Program in question (hereinafter we refer to this individual as the Departmental Coordinator). The Doctoral Executive Committee has the primary responsibility for program review, course approvals and other policy matters, subject in certain areas to approval by the Wharton Faculty as described in the Policies and Procedures herein.

**FIGURE 1: ORGANIZATION OF WHARTON DOCTORAL PROGRAMS**



Departmental Coordinators have the primary responsibility of conveying the concerns of their respective departments and programs to the Executive Committee for advice and consent. They also have primary responsibility for local record keeping and monitoring of students in their respective programs concerning progress, advisors and financial aid. Students should normally first consult their Department Coordinator on problems or policies they may have.

At the University of Pennsylvania, the organizations responsible for graduate instruction and the degrees are groups of faculty called Graduate Groups. In many cases, such as history and mathematics, the graduate group has a counterpart department. Other graduate groups do not have a traditional counterpart department or school. Instead, they are composed of appropriate faculty from a variety of existing departments and schools with the aim of enhancing the interdisciplinary nature of the field of study.

The Graduate Group of Managerial Science and Applied Economics covers all doctoral education in the Wharton School and offers programs in accounting, ethics and legal studies, finance, health care systems, insurance and risk management, marketing, operations and information management, business and public policy, real estate and statistics.

#### **1.4. Course Approvals and Program Structure Changes**

As established by the Wharton Faculty Meeting of January 13, 1987, all changes in courses offered and program structure must be approved by the Wharton Doctoral Executive Committee. Any proposed change that at least one member of the Executive Committee believes to be relevant and important to the whole program will also be referred to the Faculty for consideration. All other changes are approved routinely by the Executive Committee alone, without further consultation or referral to the Faculty.

## **2. Admissions and Financial Aid**

### **2.1. Program Admission Categories**

An applicant who is accepted for admission to the Wharton Doctoral Programs will be admitted as a regular student. The Wharton Doctoral Programs has no other category of admissions.

### **2.2. Visiting Doctoral Fellows and Visiting Scholars**

In addition to regular doctoral students, Wharton Doctoral Programs may accept a limited number of individuals as Visiting Doctoral Fellows. These appointments will normally be made in conjunction with a Department, and they are intended for visiting graduate students who have not yet received a Ph.D. Scholars who have received the doctorate and who have specific and limited research and education purposes are also accepted as Wharton Visiting Scholars from other institutions. Such students' stay in the program is usually limited to one year but can be extended to eighteen months. Visiting Doctoral Fellows and Visiting Scholars must have a faculty sponsor in the program before entering. Each application will be decided on an individual basis. Visiting Doctoral Fellows will not be considered for admission as regular doctoral students while they are in residence; that is, they must return to their home country or institution for at least 1 year before applying for admission to the Wharton Doctoral Programs.

### **2.3. Admissions Procedures**

Students enter the Doctoral Program of the Wharton School at the beginning of the Fall term. All applications, together with all supporting material (including letters of recommendation, grade transcripts, and either GMAT or GRE scores), must be received by the Doctoral Programs office no later than December 15 of the year before admission is desired. Exceptions may be made only in special circumstances.

All applicants are expected to take either the GMAT or the GRE depending on departmental requirements. Except under unusual circumstances, applicants whose native language is not English must take the Test of English as a Foreign Language (TOEFL) examination. The admissions process is a two-step procedure. Applications are first viewed by the faculty of the

concentration or program which the student designates and then by the Doctoral Admissions Committee. Approval of both is required.

#### **2.4. Registration Procedures**

All new students are expected to introduce themselves to the Doctoral Programs Office, 1150 Steinberg Hall-Dietrich Hall, when they arrive on campus. At that time they will be advised of registration procedures, dates and deadlines.

#### **2.5. Financial Aid**

Financial aid decisions are made at the same time that admissions decisions are made. Except where outside support is available, all admitted doctoral students are provided tuition and stipend support for the first four years of study. The form of the support is determined by the student's department. Support of continuing students with university fellowship funds will be decided jointly by the Doctoral Programs Office and the Department.

### **3. Active Status, Leaves, and Program Transfers**

#### **3.1. Maintaining Active Status**

Matriculated students are expected to be registered every semester for either course work or dissertation. The exception to this rule is an approved leave of absence, which is only granted under exceptional circumstances to students not yet on dissertation status. Students who are not on an approved leave of absence and who have not registered for any one semester will be considered to have withdrawn from the program. To maintain a student visa, international students must be enrolled for at least three courses per semester, or be on dissertation status.

#### **3.2. Tuition Policies**

Tuition and fees are due in August for the Fall term and in January for the Spring term. Prior to candidacy, students must pay tuition for at least one course each semester. Candidates no longer paying course tuition must pay general dissertation tuition each semester, whether they are on or off campus. Students and candidates who fail to pay their tuition or dissertation fee for any semester will be considered to have withdrawn from the program. Students who have withdrawn must reapply for admission in order to regain active status in the program.

#### **3.3. Leaves of Absence**

Leaves of absence are only granted under extenuating circumstances to students who have not yet been admitted to candidacy and who are in good standing. Leaves are usually allowed for a period of one semester to one calendar year. Leaves of absence will not be granted for a total of

more than three years. To request such a leave, the student must send a letter to the Vice Dean of the Wharton School's Doctoral Programs. It should include the reason for requesting the leave, the time period sought, and the student's plans for returning to the University to complete the requirements for the degree. Before a leave is granted, it must be approved by the Department Coordinator in the student's concentration or program as well as by the Vice Dean. Time spent on an officially approved leave of absence is not counted in the eight-year time limit on degree completion.

[Family Friendly Policies](#)

### **3.4. Transfers between Wharton Doctoral Programs**

Any student currently enrolled in a graduate program within either the Wharton School, or elsewhere at the University of Pennsylvania, who wishes to transfer to a different doctoral program/concentration within the Wharton School must inform their current program and then apply for admission to that Wharton doctoral program. All transfers from outside the Wharton school must go through the normal Wharton admissions process.

### **3.5. Change of Address**

Regardless of whether a student in the doctoral program is on or off campus or on a leave of absence, it is the student's responsibility to stay in touch with his or her advisor and to notify the Doctoral Programs Office of any change of address that may occur. Change of address information should be sent to:

**Wharton School Doctoral Programs**  
**University of Pennsylvania**  
**The Wharton School**  
**1150 Steinberg Hall-Dietrich Hall**  
**Philadelphia, PA 19104-6302**

It is also the student's responsibility to see that he or she remains current on any changes in the program rules or regulations.

## **4. Transfer of Course Credit**

### **4.1. Credit for Graduate Work at Other Universities**

Of the total number of course units of graduate work required for the doctoral degree, at least twelve units must be taken at the University of Pennsylvania. Students may receive up to eight units of credit for graduate work at other universities. Specific departments may set lower limits. A student who desires credit for previous course work should submit a written request to his or her

Departmental Coordinator. **That request should be submitted during the first year in the program. The Coordinator will decide whether to grant credit based on the standards of the previous work and its relevance to the student's program.** The Coordinator's recommendations should be sent in writing to the Vice Dean and should be filed with the Wharton Doctoral Programs Office. The decision of the Coordinator is final, but it must be filed in the student's folder in the Doctoral Programs Office. The formal transfer of credit does not take place until the end of the first year of doctoral study.

#### **4.2. Credit for Courses Taken in the Wharton MBA Program**

**Precisely the same rules as above apply to transferring credits from the Wharton MBA Program.** Upon the Coordinator's approval of MBA course work based on standards, relevancy, and departmental rules, a maximum of eight MBA course credits may be transferred. No MBA courses will be transferred with a grade below a High Pass. As above, the request for such a transfer should be submitted during the student's first year in the Ph.D. Program.

### **5. Requirements and Monitoring**

#### **5.1. Phases of the Program**

The Wharton Doctoral Programs consist of two distinct phases: pre-candidacy and candidacy. During the pre-candidacy phase, the student completes the required course-work, preliminary examinations, and any requirements imposed by the student's specific Department or Program such as qualifying examinations and research papers.

Upon satisfying all of these requirements, the student may apply in writing to the Departmental Coordinator for admission to candidacy. The Coordinator will review the student's record and make a recommendation to the Vice Dean. Upon approval by the Vice Dean, the student is admitted to candidacy.

The candidacy phase comprises the preparation and defense of the dissertation proposal, the doctoral dissertation, and the final defense of the dissertation.

#### **5.2. Annual Performance Reviews**

**The Coordinator** will conduct an annual review of each student's performance. The review will be conducted at the end of the Spring term and, except under unusual circumstances, will be completed by June 30. The review will encompass the student's grades, including incompletes, preliminary and qualifying examinations, required papers, and other relevant benchmarks. Where necessary, the Coordinator will meet with each student to discuss the results of the review and recommend any appropriate remedial action. **The Coordinator** will inform the student in writing of the results of his or her performance review. Within ten days after the review, students who have

missed or failed preliminary examinations must execute agreements for taking the exams by specific dates to be approved by the Coordinator.

### **5.3. Grade Standards**

At the end of the Spring term of every year, each student's grade performance for the previous twelve months will be reviewed. A student who does not achieve at least a B average for all courses taken or reported during that twelve month period (including final grades for incompletes for previous work) will normally be asked to leave the Program. For purposes of computing an average, the grade suffixes "+" or "-" count as one third. A student achieving less than the B average described above must submit a written statement in support of his or her continuation in the program. Failure to initiate the written appeal results in an automatic withdrawal from the program by the start of the next academic year. The **Departmental Coordinator** is responsible for seeing that the faculty in the student's concentration or program review the student's performance and make a recommendation as to whether the student should be permitted to continue in the program. They will also determine what conditions, if any, must be met over and above the School's and the program's usual requirements. The faculty's recommendations should then be passed on to the Vice Dean of the Doctoral Programs, who will determine whether the student is to be terminated or not. Permission to continue will be granted only under the most extenuating circumstances and only when the actual average is quite close to B.

### **5.4. Statistics Requirement**

According to the requirement established by the Wharton Faculty in the November 4, 1986, meeting, as elaborated and approved by the Policy Committee on February 5, 1987, all Wharton doctoral students must demonstrate competency in statistics. Departments may establish special requirements for their students depending on their area of specialization. All students, however, are required to demonstrate proficiency in the material covered in one of the following course combinations:

1. Statistics 500 - 501
2. Statistics 510 - 520
3. Statistics 520 - 521
4. Economics 705 - 706

The student must obtain a grade of B- or better in each required course, or pass a waiver examination. Alternatively, departments may establish student competency in statistics by a preliminary examination, administered by the Economics or Statistics Department as appropriate, covering all the material of their required course sequence.

Current guidelines and procedures for retaking preliminary examinations will prevail. In particular, no student will be allowed to take the examination more than twice, except under unusual circumstances, as decided individually by the Vice Dean and the Departmental Coordinator.

### **5.5. Preliminary Examinations**

Preliminary examination requirements vary by Department. Students should consult the [Wharton Doctoral Catalogue](#) for the requirements of specific Departments. A preliminary examination is defined as an examination or series of examinations designed to test the student's mastery of the subject matter in a given field of study. Administratively, a preliminary examination is any examination, which must be completed after enrollment in the program in order to gain admission to candidacy. A doctoral program student who twice fails any preliminary examination required by the student's department or program will ordinarily be dropped from the program. However, a student who fails twice may, under extenuating circumstances, appeal for a third opportunity to take the examination. The appeal should be addressed in writing to the Departmental Coordinator in the student's concentration or program, with a copy to the Vice Dean of Doctoral Programs. There is a two-stage process for accepting or rejecting an appeal. First, the Coordinator must evaluate the request and submit a written recommendation to the Vice Dean of Doctoral Programs. Second, the appeal must be evaluated by the Vice Dean.

In order for the student to be granted a third opportunity to take a prelim, the student's appeal must be approved by both the Coordinator and the Vice Dean. Appeals will only be considered for possible approval in situations where there are extenuating circumstances. The student's written appeal should clearly state special conditions that the student feels justify the request.

### **5.6. Teacher Development Program**

[The Teacher Development Program \(TDP\) is a requirement for all PhD candidates in the Wharton Doctoral Program.](#) The Teacher Development Program includes workshops on lecturing, discussion techniques, and course development as well as an opportunity to confer with a departmental mentor on academic issues.

**Waivers of the TDP requirement will be granted under the following conditions:**

- Prior teaching experience
- Recognized teaching awards
- College-level education courses

These waivers will be granted by individual departments. The department waiver, if given, must be registered with the Wharton Doctoral Office in writing. Students are strongly encouraged to take the Teacher Development Program in the fall of their second year in the Doctoral Program.

This will enable them to prepare both for teaching and for presenting the results of their research. **Students whose native language is not English are especially encouraged to take the Teacher Development Program as well as other communication programs offered in the Wharton School and the University, including the oral workshop, the writing workshop, and the oral pronunciation workshop especially designed for nonnative speakers of English.**

## **6. Dissertation Stage**

Writing a dissertation is an intense process of interaction between the student, the dissertation advisor and other interested faculty. The formal process takes place in two phases. In the **first phase**, the student prepares a proposal indicating the nature of planned dissertation research and its intended contributions. In the **second phase**, *after the proposal has been approved*, the dissertation research unfolds under the careful guidance of the student's dissertation advisor.

### **6.1. Dissertation Proposal Phase**

The student is encouraged to consult faculty members with whom he or she shares research interests to seek their advice and assistance in formulating a dissertation proposal topic. After consultation with the student and interested faculty members, the Departmental Coordinator in the student's concentration or program will appoint a dissertation advisor. The advisor has primary responsibility for advising the student on the dissertation. **The preparation of a dissertation proposal should begin relatively early in the student's studies** in order for the student to have early feedback on the feasibility and desirability of planned dissertation research. The primary purpose of the dissertation proposal is to provide constructive feedback to the student. The proposal does not constitute an implicit or explicit contract on the ultimate content or acceptability of a dissertation. This can only be decided as part of the evolving dialogue between student and faculty members as the dissertation research proceeds. In consultation with the student, the advisor will recommend a dissertation committee. The function of the committee is to provide advice concerning the research, to participate in the proposal defense and dissertation defense, and to decide whether the proposal and the dissertation satisfy the standards of the Wharton Doctoral Programs.

**The dissertation committee shall consist of no fewer than three members, including the dissertation Advisor, and no more than five members.** At least three must come from the standing faculty of the University of Pennsylvania and no more than one committee member may come from outside the University of Pennsylvania. A clear majority of the committee, including the committee chair, must come from the standing faculty of the Wharton School. At least two of the standing faculty committee members must hold primary appointments within the department of the student's specialization.

The committee chair is responsible for convening meetings, advising the student on rules, and advising the Vice Dean of the Doctoral Programs that all graduate group requirements have been met. The student's primary advisor may serve as committee chair provided the primary advisor is a member of the standing faculty of the Wharton School. It is the advisor's responsibility to submit to the **Department Coordinator**, in writing, the names of the dissertation committee members for approval. The **Coordinator** will recommend any changes in the committee that he or she deems appropriate. After **approval of the committee by the Department Coordinator**, the **Coordinator** will submit the names of the committee members, in writing, to the Vice Dean for approval. The Vice Dean will normally approve the committee makeup, assuming only that it follows these guidelines concerning its membership. These rules for approval also apply to the replacement of committee members who are unable to continue to serve on the committee. When the student has developed a written dissertation proposal that the advisor judges is ready for oral defense, a formal proposal defense before the dissertation committee is held. The defense cannot occur until the student has been admitted to candidacy. All interested faculty and doctoral students are invited and encouraged to attend the proposal defense, but the decision to accept or reject the proposal rests with the dissertation committee, who will communicate their decision in writing to the Vice Dean of the Doctoral Programs. All members of the dissertation committee shall vote to approve or not approve the dissertation proposal. At least three committee members shall be present for the proposal defense. At least three committee members must approve the proposal. Following approval of the proposal, the candidate enters the dissertation phase.

## **6.2. Dissertation Phase**

When the dissertation is judged complete by the candidate's advisor, it must be defended orally in a final dissertation defense before the dissertation committee. Any changes in the composition of the dissertation committee since the approval of the proposal should be submitted to the Vice Dean, in writing, by the dissertation advisor. The same rules for composition of the committee, voting, and committee attendance at the final dissertation defense apply as for the proposal defense. Although other faculty members are encouraged to participate in the defense, the decision to accept or reject the dissertation is made by the dissertation committee, and is to be communicated in writing to the Vice Dean. A positive vote from at least three members of the dissertation committee is required for the dissertation to be approved.

## **6.3. Announcement of Defense**

In order to encourage maximum participation of interested faculty and students, as well as to encourage scholarly interaction and inquiry, proposal defenses and final dissertation defenses must be publicly announced at least two weeks in advance of their occurrence. Moreover, a copy of the proposal or the dissertation must be available for inspection with the Departmental

Coordinator and the Doctoral Programs Office during the two-week period prior to the proposal or dissertation defense.

*IMPLEMENTATION: The new dissertation committee rules shall apply to all students admitted to the doctoral program beginning in the academic year, 2006-2007. Students enrolled as of fall, 2006 and who have not yet defended their dissertation proposal shall have a choice of pursuing their dissertation research under the old or new rules for the proposal and dissertation defenses. Students currently in the dissertation stage may, with the approval of the dissertation advisor, complete their dissertation under the new rules.*

## 7. Time Limitations (see [University Graduate Rules](#))

Students must complete all course work, preliminary examinations, and the dissertation requirement within an **eight-year period from matriculation**, excluding leaves of absence. Except in unusual circumstances, students will be expected to gain admission to candidacy status prior to the end of their fourth year in the program (excluding leaves of absence). Requirements for admission to candidacy are filed in **section 5** of this manual.

If a student has not completed all requirements for the Ph.D. (including deposit of the dissertation) at the end of the fifth year on dissertation registration, he or she must submit to the full dissertation committee, within two months of completing that fifth year, a copy of all written work completed to date on the dissertation. If the student is unable to construct such a committee, he or she will be dropped from the doctoral program. The committee members will evaluate this material, and report to the department Doctoral Coordinator and to the Vice Dean for the Wharton Doctoral Programs, recommending that one of the following actions be taken:

[a.] The student's research and training are judged to have continued currency, and the student is retained in the doctoral program, subject to the other University and Wharton doctoral policies and procedures that may apply (e.g. regarding total time in the program).

[b.] The student is required to modify the dissertation research in order to bring it up to date and to current standards in the discipline, and defend a new dissertation proposal describing the revised research.

[c.] The student is required to fulfill action [b.] and in addition to retake and pass such qualifying or preliminary exams as the committee shall specify. Or

[d.] the student is disqualified from continued doctoral candidacy.

Students who have not completed their dissertation requirement within the eight-year time limit will be dropped from the Wharton Doctoral Programs. Students who are at the dissertation phase and are dropped due to the eight-year time limit may, however, at some later date graduate from Wharton's Doctoral Programs if they meet the following conditions:

1. They have been admitted previously into candidacy;

2. They have successfully completed the dissertation proposal phase prior to the expiration of the eight-year limit;
3. The currency of their research and training has been certified by the dissertation committee, as described in the preceding paragraph;
4. Their dissertation is approved by an appropriately constituted faculty dissertation committee; and
5. They pay all arrears on dissertation tuition fees, including late charges from the time they were dropped until the point of time when their dissertation is accepted, together with any other outstanding fees. The faculty is under no obligation to provide advice to former students who have not completed their dissertation requirement within the eight-year time limit.

**The faculty is under no obligation to provide advice to former students who have not completed their dissertation requirement within the eight-year time limit.**

## **8. Appeals, Academic Responsibility and Grievances**

### **8.1. Appeals**

Students or Faculty who wish to appeal a specific decision made under the rules stated in this document should file an appeal in writing with their Departmental Coordinator, with a copy to the Vice Dean of the Wharton Doctoral Programs. Appeals will be handled by the coordinator in consultation with the Vice Dean. The final decision on an appeal rests with the Vice Dean, who may consult the Doctoral Policy Committee on specific matters. Of course, a student also has the right to appeal the Vice Dean's decision to the Dean of the Wharton School and to other University grievance committees appropriate to the particular substantive issues of the student's appeal.

### **8.2 Academic Responsibility, General Conduct and Disciplinary Procedures**

The mission of the Wharton School Doctoral Code of Ethics ("Code") is to promote the growth of ethically responsible scholars through adherence to the highest standards of academic integrity and overall ethical conduct, to develop a sense of individual responsibility on the part of each member of the Wharton doctoral community, to participate actively in maintaining such standards, to foster an environment of honor and trust within the Wharton community, and to engender respect for the ethical standards

of the Wharton graduate. Fulfilling this mission is a collective responsibility of the members of the Wharton doctoral community.

The Wharton doctoral student will maintain the highest standards of honesty and integrity. The student will strive for these standards in his or her representations, academic pursuits, and respect for the property and individual rights of others; will uphold the specific principles described in the Code; and will actively support the Code. Standing in the Wharton doctoral community will be subject to adherence to these basic principles of ethics.

The Code will be administered and maintained by a Wharton Doctoral Division, under the direction of the Vice Dean for Doctoral Studies upon recommendations of the Ethics Committee of faculty and student representatives.

### **8.2.a SPECIFIC STANDARDS**

(i) Representations: The Wharton doctoral student is expected to represent himself or herself honestly in all oral or written statements. The student will not misrepresent any material fact to other students, faculty, staff, prospective employer, or anyone else while representing himself or herself as a member of the Wharton community, especially through, but not limited to:

- Lying to prospective employers, either directly through oral or written statements or indirectly through misrepresentation of background in resume;
- Misrepresenting any material fact on a Wharton application, financial aid form, or other official document;
- Lying to a fellow student, a faculty member, or an administrator in order to gain preferential treatment; or
- Misrepresenting the originality of one's work, including failure to cite the contributions of another (plagiarism).

(ii) Academic Pursuits: The Wharton doctoral student is expected to represent his or her academic product honestly and fairly. The student will not use any method to gain an unfair advantage over other students in academic pursuits, especially through, but not limited to:

- Giving or receiving any unauthorized aid on an assignment or exam, including working in groups on any assignment that has been designated as individual by the professor;
- Failing to comply with the academic guidelines established by the instructor for assignments;
- Continuing to write after time has been called on an exam; or
- Submitting for credit substantially the same work done for another assignment either academic or professional, except with prior approval of the instructor. In the absence of clear guidelines regarding an assignment, presentation, examination, or other academic

submission, the Wharton doctoral student is expected to seek any and all necessary clarification from the instructor.

(iii) Property: The Wharton doctoral student is expected to respect the materials, data, and property of other members of the Wharton community and visitors to the Wharton School. The student will not misuse or misappropriate the materials, data, or other property of another, especially through, but not limited to:

- Accessing, removing, or destroying any information, materials, or other property from another student's or student organization's premises, locker, computer files or mail folder without prior permission;
- Accessing or removing without prior permission, or hiding or destroying any corporate records, files, job postings, or academic materials from the library, or any other administrative office;
- Divulging or distributing proprietary or confidentially provided information obtained for class assignments; or
- Utilizing for commercial gain any material provided to Wharton specifically and restrictively for educational purpose without prior permission of the provider.

(iv) Individual Rights: The Wharton community is committed to an environment free from discrimination and harassment of any kind. The Wharton doctoral student is expected to respect the individual rights of others. Specifically, Wharton students will observe the University of Pennsylvania policies against physical intimidation, verbal harassment, and discrimination. Any complaint of a violation of these policies should be brought to the attention of the Vice Dean and Director of the Wharton Doctoral Programs.

### **8.2.b STANDING IN THE COMMUNITY**

A doctoral student who accepts and adheres to the standards discussed above will remain in good ethical standing within the Wharton community. If a student fails to adhere to the Code, the student may be sanctioned. Any sanction will be enacted upon the recommendation of an Ethics Committee at the discretion and action of the Vice Dean of the Wharton Doctoral Division ("Vice Dean").

In deciding what sanctions to recommend, the Committee will consider all relevant circumstances, including the severity of the violation involved. Appropriate sanctions include, but are not limited to the following: Letter of Reprimand, Probation, Suspension, and Expulsion.

All students matriculating in the Doctoral Division must comply with the standards set forth in the Doctoral Code of Ethics and the Policies on Conduct of the University of Pennsylvania.

## **8.2.c ADMINISTRATION OF THE CODE**

### **(i) Composition of the Ethics Committee:**

The Committee will comprise three faculty members and one doctoral student selected by the Vice Dean of the Wharton Doctoral Division from the current membership of the Wharton Doctoral Executive Committee. One member of the Ethics Committee will be the graduate group coordinator from the student's graduate group, unless in the judgment of the Vice Dean that faculty member has a potential conflict of interest with respect to the outcome of the case. The Committee will be constituted for the duration of the student's case, but will be dissolved upon the completion of the case. The Committee shall select one of the faculty members to serve as Chair of the Committee.

### **(ii) Responsibilities of the Ethics Committee: The Committee shall be responsible for hearing and resolving the assigned complaint(s) of misconduct.**

- The Committee will hold a closed hearing to hear the complaint and to allow the student an opportunity to reply to the complaint. Hearings are not intended to be judicial in nature. The complainant(s) is not required to attend this hearing. The student may have an advisor present at the hearing. The advisor is to be a member of the University of Pennsylvania community and may be a student, faculty member, or administrator of the student's choosing. If criminal charges are pending or reasonably in prospect, the student is entitled to be advised by an attorney.
- The role of the advisor, including legal counsel when appropriate, is to advise the student. The advisor is not to speak for the respondent nor have an active role in the hearing.
- Within two weeks of the completion of the hearing, the Ethics Committee will draft a written recommendation for consideration by the Vice Dean of the Doctoral Program. The recommendation should summarize the complaint, the student's response to the complaint, and the Committee's findings of fact and reasons for the Committee's recommendation. The recommendation may, or may not, propose a specific sanction. It is understood that any recommended sanction will not be binding on the Vice Dean.
- Upon receiving the recommendation from the Ethics Committee, the Vice Dean will render a ruling in the case in a timely fashion, and in the event a violation of the Code of Conduct, impose an appropriate sanction upon the student. The Vice Dean will inform the student of the decision in writing. The Vice Dean's decision and the recommendation of the Ethics Committee will be forwarded to the Deputy Dean of the Wharton School.
- In the event of a finding of an Ethics Code violation, the student shall receive a copy of the Ethics Committee's written recommendation and the basis for that recommendation.

(iii) Complaints: Any member of the University community wishing to complain of a breach of Code may submit their complaint in writing to the Office of the Vice Dean of Doctoral Programs. Complainants will be known to the Ethics Committee. All contacts between the complainant(s) and the Ethics Committee will be held in confidence according to the procedures of the Ethics Committee.

(iv) Appeals: Any student sanctioned under the Code by the Vice Dean may appeal the decision and/or the sanction to the full membership of the Wharton Doctoral Executive Committee.

- The appeal should be submitted in writing to the Vice Dean within seven days of the receipt of the Vice Dean's letter informing the student of the decision and the sanction. The Vice Dean may meet with the student to clarify the Ethics Committee decision and/or sanctions.
- If deemed appropriate by the Vice Dean, the Vice Dean may convene the full membership of the Wharton Doctoral Executive Committee, excluding those members who had served on the original Ethics Committee, to hear the student's appeal. One faculty member of the full Doctoral Executive Committee will be chosen chair by the Committee for the purpose of the appeal. The student will be given the opportunity to present their appeal in person, and an advisor for the student may be present. Upon hearing the appeal, the constituted Doctoral Executive Committee will render a decision as to the violation and the sanction. The Committee's decision is final.

(v) Jurisdiction: The Ethics Committee or the Wharton Doctoral Executive Committee may refer the matter to the University Office of Student Conduct at any time.

#### **8.2.d DISMISSAL FOR INADEQUATE ACADEMIC PERFORMANCE**

It is understood that the procedures outlined here apply only to conduct violations. Dismissal for inadequate academic performance or progress remains the responsibility of each student's graduate group.

#### **8.3. Grievances**

A student or faculty member at any time has the prerogative of consulting the Ombudsman of the University to seek advice on grievances or appeals of a general nature. The student may also file a statement of grievance with the Wharton Doctoral Programs, as described below.

Students with grievances not covered by sections 8.1 and 8.2 of this manual can present grievances in writing to the Vice Dean, with copies to the student's Department Chair and Coordinator. Statements of grievances should indicate the matter under dispute as well as any remedies the student considers appropriate.

Upon receipt of a statement of grievance, the Vice Dean will appoint an ad hoc advisory committee. The committee will consist of two members of the standing faculty that do not have primary or secondary appointments in the student's Department, one member of the standing faculty from the student's Department who is not involved in the dispute, and one doctoral student representative. The function of the committee is to investigate the grievance and make a recommendation to the Vice Dean. The committee's investigation will include an interview or interviews with the student and any faculty, administrators, or other students involved in the dispute.

Upon receipt of the recommendation of the ad hoc committee, the Vice Dean will render a decision regarding the disposition of the grievance. The Vice Dean will carefully consider the committee's recommendation, but the final decision on the matter will rest with the Vice Dean.

#### **8.4. Authorship Policy for Doctoral-Student Faculty Collaboration**

Doctoral study at the Wharton School requires students to work with faculty on research. Before initiating joint research activities, the faculty member or mentor and the student should have a clear understanding of how authorship credit on any papers that arise from the work will be determined. The disciplinary standards, styles, and procedures for credit, for the order of authors' names, and for acknowledgment footnotes vary importantly across Wharton's doctoral programs, and across the research centers and schools in which its faculty and students participate, so there cannot be a single set of rules or procedures. The key element of the policy is therefore one of statement of expectations by the faculty member or mentor and agreement by the student at the start of the research; the actual expectations and policies must be mutually agreeable and, if they are not, student or faculty should decline collaboration. When roles and expectations change over the course of collaboration, the understanding concerning authorship should be discussed again and changed if necessary. If disputes arise, the process for resolution outlined in the Graduate School rules and procedures should be followed.

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