

# Getting PhiniseD in Demography

A Guide for Students

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Dear Students:

We are proud that you have chosen the Graduate Group of Demography at the University of Pennsylvania to pursue your graduate studies. Demography has a long and distinguished tradition at the University of Pennsylvania, and many leading scholars in the field have close connections to the Demography Program at Penn. By joining the Graduate Group of Demography, you are part of a network of scholars that has importantly influenced the study of population over several decades. We hope—and anticipate—that you will continue this proud tradition of academic excellence in demography during and after your studies at Penn.

The Graduate Group in Demography (GGD) at the University of Pennsylvania is one of three programs in the United States to grant a specialized graduate degree in demography, as opposed to degrees in sociology and economics with a special emphasis in population studies. The GGD is housed in the Population Studies Center (PSC), and has faculty members with backgrounds in sociology, economics, demography, nursing, and medicine. Penn is unique in having professors who teach and conduct research within virtually all substantive areas of population. During your studies you will thus find an unusually rich and stimulating environment that supports your training, intellectual development and dissertation research.

This guide to *Getting PhinisheD in Demography* introduces you to the requirements of our Ph.D. Program, and it states our expectations about your performance at various stages of your graduate studies. The basic organizing principle of our program is simple: The structure of the Ph.D. Program in Demography is based on a cohort model in which you and your fellow students pass through a set of common experiences—courses, exams, dissertation stages—at the same period in time. In the first year, you are mostly focused on required coursework in Demography, including a 1st-year empirical research paper and the A.M. Exam that tests your firm grasp of the substance and methods in the core fields of Demography will take place in May. The second year continues to be dominated by coursework, but you will have the opportunity to broaden your education through various elective courses. You will also demonstrate your ability to conduct independent research in your 2nd-year paper. The Ph.D. Exam in May of the second year will evaluate your ability for critical thinking and using demographic knowledge to solve novel problems. In the third year, you complete any remaining coursework, and you increasingly transition to independent research by developing and defending your dissertation proposal. In the fourth year, you complete your dissertation research, and successfully defend your dissertation: PhinisheD!

The Part A of this guide to *Getting PhinisheD in Demography* contains additional background about the Graduate Group in Demography and the Population Studies Center, states the requirements of the A.M.

and Ph.D. Degrees in Demography, and introduces the evaluation process through which we monitor your progress in the Program. Part B of this guide contains an annotated GGD Student Report Form. We, the GGD Chair and Coordinator, use this Student Report Form to track the specific requirements that you fulfill as part of your studies. In the annotated Report Form you will find additional details about these requirements as you encounter them during your studies: courses, the 1st-year paper and the A.M. Exam in Year 1; the 2nd-year paper and the Ph.D. Exam in Year 2; the dissertation proposal in Year 3, and ultimately, the dissertation research and dissertation defense in Year 4.

Our responsibility as Graduate Chair and Graduate Coordinator at the GGD is to facilitate your success in pursuing a Ph.D. in Demography. The goal of this guide on *Getting PhinisheD in Demography* is to help you understand the degree requirements and the expectations of the GGD faculty about your performance. This guide also provides information so that you can optimally benefit during your studies from the environment at the PSC and in the GGD. The Student Report Form helps us in tracking your progress and success, and it enables us to provide constructive feedback at all stages of your graduate career. Please let us know if you have questions about the Penn Demography Program, or if you would like to discuss your progress towards obtaining a Ph.D. and successfully graduating from our program.

This guide to *Getting PhinisheD in Demography* is also a request for your support and cooperation. The costs of studying one year as a graduate student at Penn are well above \$75,000, adding up to more than \$1 million for each typical cohort in our program. Your studies at Penn are possible because of a very strong commitment of the University of Pennsylvania to training and research in Demography, the generous support of our Program through training and research grants provided by the National Institutes of Health (NICHD), and the assistance provided to our students and faculty by many other organizations and foundations. We owe to the supporters of this Program that we carefully document our success in training the next generation of leading scholars. As part of the GGD Student Reports that are introduced in this guide, we therefore request that you provide us with information about your accomplishments: publications, fellowships/grants, awards, visiting appointments, and other honors. We also ask that you keep us informed about your career once you have graduated. You are a distinguished group of students. Your ongoing success, which is bound to follow the impressive footsteps of earlier GGD graduates, is our justification to invest in graduate training, and your success helps us ensure the continued support for the Demography Program at Penn. We will take pride in seeing your career develop!

The faculty in the Graduate Group of Demography looks very much forward to working with you during your graduate training at Penn. We hope that you find the study of Demography intellectually and professionally rewarding, and we look forward to seeing you as active and successful members of the demographic research community.

With best wishes for your studies,



Michel Guillot  
Chair, Graduate Group in Demography

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## Part A

# Getting Phinished in Demography: A Guide to Degree Requirements and Student Evaluation

The principal aim of the Ph.D. Program in Demography at the University of Pennsylvania is to train independent researchers who are prepared to play leading roles in formal demography, social demography, population analysis, and the study of the health of populations. This goal is achieved through intensive instruction in demographic methods, theoretical approaches, and empirical results of demography and allied disciplines; and progressive incorporation of students into faculty research activities that facilitate hands-on research experience and prepare students to undertake independent research careers. The Ph.D. Program is administered by the Graduate Group in Demography. Detailed information about the Graduate Group in Demography and the Population Studies Center at the University of Pennsylvania, including links to faculty and research projects, is available at <http://demog.pop.upenn.edu/>.

The Graduate Group in Demography takes pride in the high completion rate of its graduate students and its success in placing students in professional positions. Over several decades, the GGD has demonstrated that it can recruit talented, promising students, and prepare them for productive careers. Graduates of the Ph.D. Program in Demography have succeeded in academic and non-academic positions, and many leading scholars in the field have connections with the Penn Program in Demography. Information about the placement and careers of GGD graduates is available at <http://demog.pop.upenn.edu/program-statistics>.

### A.1. About the Guide

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This guide to Getting Phinished in Demography introduces you to the requirements of our Ph.D. Program, and it states our expectations about your performance at various stages of your graduate studies. This part (Part A) of Getting Phinished in Demography contains background about the GGD and the PSC, and it reprints the requirements of the A.M. and Ph.D. Degrees in Demography as they are outlined on our webpages at <http://demog.pop.upenn.edu/demography-phd-program>. Part A also introduces the evaluation process through which we monitor your progress in the Program. Part B of this guide is essentially an annotated GGD Student Report Form. We, the GGD Chair and Coordinator, use this Student Report Form to track the specific requirements that you fulfill as part of your studies. In the annotated Report Form you will find additional details about these requirements as you encounter them during your studies: courses, 1st-year paper and A.M. Exam in Year 1; 2nd-year paper and Ph.D. Exam in Year 2; the dissertation proposal in Year 3, and ultimately the dissertation research and dissertation defense in Year 4 (and possibly Year 5).

The degree and program requirements stated in this guide to Getting Phinished in Demography have been approved by the Graduate Group of Demography on May 17, 2022. A copy of this guide is available on the GGD webpages at <https://demog.pop.upenn.edu/sites/www.pop.upenn.edu/files/getting-Phinished-in-demography.pdf>.

## **A.2. Faculty in the Graduate Group in Demography**

The Graduate Group currently consists of the following faculty members:

- Aiken, Linda (Ph.D., Sociology, University of Texas at Austin, 1973)
- Atal, Juan Pablo (Ph.D., Economics, University of California, Berkeley, 2016)
- Behrman, Jere (Ph.D., Economics, MIT, 1966)
- Boen, Courtney (Ph.D., Sociology, UNC Chapel Hill, 2017)
- Coe, Norma (Ph.D., Economics, MIT, 2005)
- Elo, Irma (Ph.D., Public Policy and Demography, Princeton University, 1990)
- Flippen, Chenoa (Ph.D., Sociology, University of Chicago, 1999)
- Fomby, Paula (Ph.D., Sociology, University of Wisconsin-Madison, 2001)
- Freeman, Lance (Ph.D., City and Regional Planning, UNC Chapel Hill, 1997)
- Furstenberg, Frank F. (Ph.D., Sociology, Columbia University, 1967)
- Gonalons-Pons, Pilar (Ph.D., Sociology, University of Wisconsin-Madison, 2014)
- Guillot, Michel (Ph.D., Sociology, University of Pennsylvania, 2000)
- Hannum, Emily (Ph.D., Sociology, University of Michigan, 1998)
- Kohler, Hans-Peter (Ph.D., Economics, University of California, Berkeley, 1997)
- Kohler, Iliana (Ph.D., Political Science, University of Southern Denmark, Odense, 2001)
- MacDonald, John (Ph.D., Criminology, University of Maryland, 1999)
- Marteleto, Letícia (Ph.D., Sociology/Demography, University of Michigan, 2001)
- Mitchell, Olivia S. (Ph.D., Economics, University of Wisconsin-Madison, 1978)
- Park, Hyunjoon (Ph.D., Sociology, University of Wisconsin-Madison, 2005)
- Parrado, Emilio (Ph.D., Sociology, University of Chicago, 1997)
- Preston, Samuel H. (Ph.D., Economics, Princeton University, 1968)
- Ríos-Rull, José-Victor (Ph.D., Economics, University of Minnesota, 1990)
- Roth, Wendy (Ph.D., Sociology & Social Policy, Harvard University, 2006)
- Schnittker, Jason (Ph.D., Sociology, Indiana University, 2001)
- Smith, Herbert L. (Ph.D., Sociology, University of Michigan, 1982)
- Song, Xi (Ph.D., Sociology, University of California, Los Angeles, 2015)
- Thirumurthy, Harsha (Ph.D., Economics, Yale University, 2006)
- Todd, Petra (Ph.D., Economics, University of Chicago, 1996)
- Venkataramani, Atheendar (Ph.D., Health Policy, Yale University, 2009)
- Zuberi, Tukufu (Ph.D., Sociology, University of Chicago, 1989)

## **A.3. Requirements for A.M. and Ph.D. in Demography**

Students in the Demography Program at Penn have the option of pursuing a Ph.D. in Demography, or a joint Ph.D. with Sociology or some other Departments at Penn. This guide focuses on the requirements of the Ph.D. in Demography (see also <http://demog.pop.upenn.edu/demography-phd-program>); students pursuing the joint degree with Sociology also need to satisfy the requirements of the Ph.D. in Sociology ([http://sociology.sas.upenn.edu/graduate\\_resources](http://sociology.sas.upenn.edu/graduate_resources)). Because both programs partially overlap in their course requirements, the additional effort required for the joint degree is relatively modest and requires only a single dissertation. Particularly for students interested in academic careers within a broadly-construed field of population studies, a joint Ph.D. in Demography and Sociology is often an attractive option. Some students have obtained joint Ph.D.'s in Demography and History, although this is less common. Students seeking a joint Ph.D. combining Demography with some other field must be admitted in that field (as well as in Demography); this can occur after admission to the Demography program. Students interested in a joint degree should consult with the Chair of the Graduate Group in Demography.

### **A.3.a. A.M. Degree Requirements**

The Graduate Group in Demography does not admit students for the pursuit of the A.M. (Masters) degree. This degree is pursued and obtained in the course of doing work toward the Ph.D. degree.

In order to receive the A.M. in Demography, students must satisfy the following requirements and maintain the judgment of the faculty that their progress is sufficient and predictive of eventual completion of the Ph.D.:

- Satisfactory completion of eight (8) course units at the University of Pennsylvania
  - Four (4) required courses
  - Two (2) demography elective course
  - Two (2) elective courses
- Satisfactory completion of a research paper (see below), which must include some original empirical analysis, is typically written in conjunction with the Introduction to Demography [DEMG 6070] course or as an independent study. The paper is written under faculty supervision and a faculty advisor must approve the paper topic. Students need to identify a faculty advisor for this paper in consultation with the Chair of the graduate group in Demography no later than the end of January of the students' first year of study.
- Satisfactory completion of the Master's Examination (see below) administered in May in the end of the students' first year in the program.

Most students in Demography accomplish these tasks within the first three semesters of study.

The University of Pennsylvania requires that students maintain a "B average" to remain in good standing to qualify for a degree. Moreover, the Graduate Group in Demography expects students to earn a Grade B or better in required courses, although this requirement may be relaxed in extenuating circumstances or for foreign students in their first semester.

#### **1<sup>st</sup> Year Paper**

Satisfactory completion of a research paper is one of the requirements of the A.M. Degree in Demography. The paper, which must include some original empirical analysis, is typically written in conjunction with the Introduction to Demography [DEMG 6070] course, or as an independent study. The paper is written under supervision of a GGD faculty member (advisor), and the faculty advisor must approve the paper topic. If the paper is based on a collaborative project with a faculty member or other scholar, or if the paper builds on research conducted before a student entered the Demography program, the 1st year paper must include a clearly identifiable independent original component that is conducted by the student during his/her first year of study in the Penn Demography program. This independent original component, which must include new empirical analyses, is the basis for a student's grade on the 1st year paper.

Students need to identify a faculty advisor for this paper in consultation with the Chair of the Graduate Group in Demography no later than the end of January of the students' first year of study. The due date for the 1st year paper is typically in the 1<sup>st</sup> week of May. Besides giving one copy of the paper to their advisor, students are also expected to provide the graduate chair and coordinator with an electronic copy of their 1st year paper.

**ADVISOR:** Students must identify a faculty advisor for this paper in consultation with the Graduate Chair no later than the end of January of the students' first year in the program. Besides determining the grade of the 1st year paper (see below for grading guidelines), the faculty advisor is also expected to (i) provide critical feedback about the strengths and weaknesses of a student's 1st year paper, and (ii) advise the student with respect to further developing the paper and its underlying analyses.

**GRADING GUIDELINES:** The 1st year paper is expected to provide strong evidence that a student (i) can identify an important under-researched research question within the field of demography, (ii) is knowledgeable of the existing research literature related to this topic, (iii) can conduct independent empirical research using adequate data and methods, and (iv) can write-up and cohesively present the findings in way that highlights the specific new contributions to the research question and the relationship of the findings to the existing literature on this topic.

**IRB APPROVAL:** Students are expected to comply in their 1st year paper research with the Penn Human Subject Research Policy at <http://www.upenn.edu/almanac/volumes/v53/n06/or-hsresearch.html>. If the 1st-year paper involves human subject research, students must submit an IRB protocol and provide the graduate chair/coordinator with the date of IRB approval and the IRB protocol number. If the 1st-year paper research is not subject to the Penn Human Subject Research Policy, students need to submit a short statement of why this policy does not apply (e.g., research is based on aggregate demographic data and does not involve human subjects).

### **A.M. Exam**

All demography students are required to take the Master's Examination at the end of their second semester, whether or not they have completed a Master's degree in another institution. The examination covers material from the required courses taken in the first three semesters. The A.M. examination in Demography also serves as a field examination for students pursuing a Ph.D. in Sociology. The exam is constructed to take an average of 4–5 hours to complete, but students are given from 9:00am to 4:00pm with lunch brought in mid-day. Copies of A.M. exams from previous years are available from the PSC library and on the GGD Canvas site. The Graduate Chair sets the exact date of the examination during the fall semester, and informs the faculty and students of this date by the end of March. The A.M. exam is closed book, but students can bring one page (double-sided) with notes (e.g., key demographic formulas). The exam questions are designed by a committee of the GGD faculty, appointed by the Graduate Chair, and each question on the A.M. exam is anonymously graded by at least two GGD faculty members.

**GRADING GUIDELINES:** In the A.M. exam, students are expected to demonstrate a solid knowledge of the principle substantive topics of Demography, and a firm grasp of both the substance and methods of studies in the core fields of Demography (mortality, fertility, migration, population aging, and demographic-economic interrelations). Students receiving a pass+ on the A.M. exam may be awarded a pass with distinction. Together with the 1st year paper and the performance in the courses, the A.M. exam contributes importantly to the judgment of the faculty that a student's progress is sufficient and predictive of eventual completion of the Ph.D.

### **A.3.b. Ph.D. Degree Requirements**

In order to achieve Ph.D. candidacy in Demography, students must (1) satisfy the following requirements (see below); and (2) maintain the judgment of the faculty that their progress is sufficient and predictive of eventual completion of the Ph.D.:

- Satisfactory completion of 20 course units, which can include those required for the A.M. degree
- Eight (8) required courses
- Four (4) demography elective courses
- Eight (8) elective courses
- Satisfactory completion of a research paper (written in conjunction with the two-semester Seminar in Demographic Research [DEMG 7070/7071]) taken in the student's second year in the program, in addition to (or in distinction from) that required for the A.M. degree (see below). Students are encouraged to identify a faculty advisor for this paper by the beginning of their second year in the program and to inform the Chair of the Graduate Group in Demography of their advisor.
- Satisfactory completion of the Preliminary Examinations (see below) administered in May in the end of the student's second year in the program.

Most students in Demography satisfy these requirements by the end of their second year.

Candidates for the Ph.D. in Demography must meet the following requirements to obtain the Ph.D. degree:

- Demonstrate knowledge of the principle substantive topics of Demography and of the relation of these issues to their social and economic setting.
- Indicate a firm grasp of both the substance and methods of studies in the core fields of Demography (mortality, fertility, migration, population aging, and demographic-economic interrelations).
- Acquire specialized knowledge in the student's principal area of research within Demography such as mortality, fertility, migration, labor force, mathematical demography, urbanization, demographic history, population policies, or interrelations of population and development.
- Successfully complete a dissertation on an approved topic. To remain in good standing students should establish a dissertation committee and defend their dissertation proposal before the beginning of their fourth year in the program.

### **2<sup>ND</sup> Year Paper**

Prior to taking the Ph.D. preliminary examination, students must complete a second-year research paper written in conjunction with the Seminar in Demographic Research (DEMG7070– DEMG7071). In this paper, students are expected to demonstrate their ability to conduct independent demographic research and their ability to complete a Ph.D. dissertation. The paper must make an original contribution to demographic knowledge, and should follow the model of a journal article. If the 2<sup>nd</sup>-year paper is based on a collaborative project with a faculty member or other scholar, the 2<sup>nd</sup>-year paper must include a clearly identifiable independent original component that is conducted by the student during his/her training in the in the Penn Demography program.

At least two GGD faculty members review each paper; one is usually the faculty teaching DEMG7071, and the other advisor should be chosen by the student. One of the two faculty members should be designated as the primary advisor for the 2nd year paper.

Students should begin to develop the topic of their 2nd-year paper during the summer between their first and second year in the program. By the beginning of the fall semester of students' second year, students should have identified the topic and their main advisor for this paper. By the end of the fall semester, students should have completed a solid draft of the literature review, data and methods sections of the paper and produced at least descriptive statistics of the data used for the analysis. Students need to inform the graduate chair/coordinator about the advisors for their 2nd year paper within the first month of the spring semester in the 2nd year; if no advisor is chosen by the student, the graduate chair will assign one.

The due date for the 2nd-year paper is typically in the 1st week of May, i.e., about one week before the Ph.D. exam. Besides giving one copy of the paper to their advisor, students are also expected to provide the graduate chair and coordinator with an electronic copy of their 2nd year paper.

**ADVISOR:** Besides determining the grade of the 2nd-year paper (see below for grading guidelines), the faculty advisors are also expected to (i) provide critical feedback about the strengths and weaknesses of a student's 2nd year paper, (ii) provide suggestions that help the student to further develop the paper and its underlying analyses, and (ii) advise the student with respect to the promise of the 2<sup>nd</sup>-year paper for a possible journal submission, or the inclusion of the 2nd year paper in the dissertation proposal and dissertation research.

**GRADING GUIDELINES:** In their 2nd-year papers, students are expected to clearly demonstrate their ability to conduct independent demographic research and their ability to complete a Ph.D. dissertation. The 2nd-year paper must make an original contribution to demographic knowledge, and should follow the model of a journal article. It is expected that the 2nd-year paper is of "publishable quality". This means that the paper, in terms of its topic, structure, methodology and contribution to the literature, (i) is suitable—with potentially additional revisions and some polishing—for submission to a scholarly journal in demography or a related field, and (ii) has a reasonable probability of being accepted for publication.

**IRB APPROVAL:** Students are expected to comply in their 2nd-year paper research with the Penn Human Subject Research Policy at <http://www.upenn.edu/almanac/volumes/v53/n06/or-hsresearch.html>. If the 2<sup>nd</sup>-year paper involves human subject research, students must submit an IRB protocol and provide the graduate chair/coordinator with the date of IRB approval and the IRB protocol number. If the 2nd-year paper research is not subject to the Penn Human Subject Research Policy, students need to submit a short statement of why this policy does not apply (e.g., research is based on aggregate demographic data and does not involve human subjects).

### **Ph.D. Exam**

Students will take the Ph.D. preliminary examination in May of their second year. All students must complete their second-year research paper before taking the Ph.D. preliminary examination. About a month and a half before the date of this examination students are given a list of about 10–18 papers which will form the core substance of the examination. The exam is a 2 day take-home (open book) examination consisting of 5–6 questions related to the advanced readings. Copies of Ph.D. exams from previous years

are available from the PSC library and the GGD Canvas site. The Graduate Chair sets the exact date of the examination during the fall semester, and informs the faculty and students of this date by the end of March. The exam questions are designed by a committee of the GGD faculty, appointed by the Graduate Chair, and each question on the Ph.D. exam is anonymously graded by at least two GGD faculty members.

**GRADING GUIDELINES:** In addition to demonstrating a mastery over methods and substance in the field of demography, students in the Ph.D. exam are expected demonstrate their ability for critical thinking and for applying their knowledge of demographic methods and processes to solve novel problems, reason through complex issues, and provide a critical reading of the demographic literature. Together with the 2nd-year paper and the performance in the required and elective courses, the Ph.D. exam contributes importantly to the judgment of the faculty that a student's progress is sufficient and predictive of completion of the Ph.D. within approximately two years.

### **A.3.c. Courses**

The following courses are required for the A.M. in Demography and are typically taken in the first year of graduate study:

- DEMG 6070 Introduction to Demography
- DEMG 6090 Basic Methods of Demography
- DEMG 5350 Quantitative Methods in Sociology I
- DEMG 5351 Quantitative Methods in Sociology II

The following courses are required for the Ph.D. in Demography and are taken prior to achievement of candidacy:

- DEMG 6040 Methodology of Social Research
- DEMG 7070 Seminar in Demographic Research I
- DEMG 7071 Seminar in Demographic Research II
- DEMG 7960 Demographic, Economic, and Social Interrelations

In addition, students must take four elective courses in demography, which can be an independent study or an additional course in demography. The following course are options, but additional courses may be offered that are also appropriate:

- DEMG 7310 Advanced Demographic Methods
- DEMG 6210 Mortality, Health and Aging
- DEMG 6220 Fertility & Reproductive Health
- DEMG 6770 International Migration
- DEMG 6330 Population Processes I
- DEMG 6340 Population Processes II

In cases where a student has achieved comparable knowledge in a comparable course, it is possible that a required course can be waived. This involves obtaining the permission of both the faculty member teaching that course and the Graduate Chair. For example, some students with a strong background in social statistics may wish to be waived out of SOCI 5350 and SOCI 5351.

After completion of 8 CUs it is possible to transfer up to eight graduate course credits from other institutions with permission of the Graduate Chair. Such transfers, when approved, may be applied to the 20 course requirement for the Ph.D. degree.

After students have completed 20 CUs, the graduate coordinator can enroll the student in DEMG 9950, Dissertation, so they remain a full-time student. Please ask the graduate coordinator to enroll you if necessary.

An extensive—but not exclusive—list of elective courses potentially of interest to GGD students is available at <https://demog.pop.upenn.edu/phd/demography/curriculum/ElectiveCourses>. See <http://demog.pop.upenn.edu/demography-phd-program> for links to the Demography and Sociology Course Descriptions and Course Registers.

### **A.3.d. Dissertation**

In their dissertation research, GGD students are to conduct independent empirical demographic research, and make a significant original contribution to demographic knowledge. Typically, students in demography write their dissertations in a 3-chapter format, that is, the core of the dissertation consists of three interrelated but relatively self-contained chapters that follow the structure of a journal article. In addition, the dissertation typically includes (i) an introduction that motivates the analyses and reviews the literature more broadly than the individual chapters, (ii) a concluding chapter that summarizes the main findings and integrates the different chapters, and (iii) appendices and other supplemental materials (if applicable). Dissertations following other structures—such as a more classical “book format”—are also possible, and students should discuss the structure and outline of their dissertation at an early stage with their dissertation committee.

**DISSERTATION COMMITTEE:** By the end of the third year, students are expected to have chosen a Dissertation Advisor. Together, the Dissertation Advisor and the student select at least two additional faculty members to serve on the student’s dissertation committee, at least one of whom must be from the GGD. The third member of the committee may be any member of the standing faculty at Penn, a Ph.D.-level research associate of the PSC, a professor in another university, or some other professional-level demographer. The latter two appointments must be approved by the Graduate Chair. When a student has established his/her dissertation committee, he/she must inform the graduate coordinator of the composition of the dissertation committee. The Chair of the dissertation committee must be a member of the Graduate Group and have the rank of Professor, Associate Professor or Assistant Professor. Emeritus faculty cannot serve as a chair of a dissertation committee.

**IRB APPROVAL:** Students need to comply in their dissertation research with the Penn Human Subject Research Policy at <http://www.upenn.edu/almanac/volumes/v53/n06/or-hsresearch.html>. If the dissertation involves human subject research, students must submit an IRB protocol and provide the graduate chair/coordinator with the date of IRB approval and the IRB protocol number. If the dissertation research is not subject to the Penn Human Subject Research Policy, students need to submit a short statement of why this policy does not apply (e.g., research is based on aggregate demographic data and does not involve human subjects). The IRB approval should be provided to the GGD Coordinator within one month of your proposal defense.

**PROPOSAL DEFENSE:** To remain in good standing, students should defend their Dissertation Proposal before the beginning of their fourth year in the program. The Dissertation Proposal should state concisely the issues that the doctoral thesis will address, and the procedures it will use to address them. Issues should be developed by reference to existing literature on the subject. However, the literature need not be exhaustively reviewed; an intelligently conducted sampling of research and theory will suffice. If procedures include data analysis, then data sets and statistical methods must be described and justified. This description should include examples of variable construction, equation specification, statistical models, and assumptions. The proposal should also provide a tentative outline of chapters and a rough timetable. The proposal should be developed in collaboration with the Dissertation Advisor, and must be defended before the entire Dissertation Committee. The proposal must be accepted by all members of the Committee before a student can proceed to further work on the dissertation.

**ORAL DEFENSE:** When an entire draft of the dissertation has been completed, the student and Dissertation Advisor schedule an Oral Defense. If the student needs to schedule the defense with more lead time and before the entire draft of the dissertation has been completed, the draft is to be made available to the Dissertation Advisor four weeks prior to the scheduled Oral Defense date. Failure to do so may result in a cancellation of the scheduled date.

The Oral Defense is announced in advance and open to whomever wishes to attend. Specifically, the following stages take place during dissertation defenses:

1. Members of the dissertation committee privately discuss the merits of the dissertation.
2. The candidate presents the dissertation in front of an audience involving dissertation committee members as well as whomever wishes to attend, with possible questions from whomever is present. The chair of the committee moderates the event.
3. A closed defense follows the public presentation, during which the candidate answers questions from an audience consisting of the members of the dissertation committee and any interested GGD faculty.
4. Members of the dissertation committee privately deliberate the merits of the dissertation and decide on what further steps, if any, the candidate must take in order to fulfill the dissertation requirements.
5. Members of the dissertation committee meet with the candidate to discuss their assessment of the dissertation and what the remaining steps are for completion of the dissertation.

If the dissertation is accepted in principle, subject to minor revisions, the Dissertation Advisor notifies the Graduate Chair that the student has passed the defense. The final draft, however, must include all revisions required by the student's Dissertation Committee and comply with university requirements.

**PUBLIC DEFENSE:** In addition to the Oral Defense, students are required to give a public, oral presentation of their dissertation results. This presentation may take the form of a workshop based on a draft of the dissertation, or it may be based on the final version of the dissertation at the discretion of the graduate group. Demography students can fulfill this requirement by presenting a paper that is based on their dissertation in professional meetings (such as the annual meetings of the Population Association of America or the American Sociological Association), at the PSC colloquium series, or a public seminar scheduled specifically for this purpose. Unlike the Oral Defense, members of the dissertation committee may or may not be present at that separate, public event.

### **A.3.e. Attendance of PSC Colloquium**

The weekly Colloquium of the Population Studies Center (<http://www.pop.upenn.edu/colloquium>) is an important part of the intellectual environment in the GGD and at the PSC. GGD students are required to regularly attend the PSC colloquium.

The colloquium of the Population Studies Center of the University of Pennsylvania meets most Mondays from 12:00pm (noon) until 1:00pm in McNeil 403 - PSC Commons (3718 Locust Walk). In a typical semester, the PSC colloquium showcases the current research of scholars from other institutions mixed with several presentations by Penn students and faculty. Students are strongly encouraged to meet with speakers prior or after the colloquium.

### **A.3.f. Residence Requirement**

You are expected to be in residence each academic year (September through May) during the entire period of your fellowship unless your graduate chair agrees to your working elsewhere for a specified period. “In residence” means that you live close enough to Penn to participate readily and consistently in the intellectual life of the Graduate Group in Demography, and particularly in activities that we require, such as classes, meetings with advisors, workshops, and the Monday PSC colloquium. We have many students doing fieldwork away from Penn, and we certainly encourage fieldwork. Students doing fieldwork elsewhere should consult with their committees and inform the GGD chair of these plans. Otherwise, the policy is that students on fellowships should be in residence during the support period and engaging with GGD activities, unless some kind of special arrangement has been made.

## **A.4. Review of Student Progress**

The Student Report Form introduced in Part B of this guide is used by the GGD Chair and Coordinator to monitor the progress of students towards the completion of their Ph.D. studies. The GGD Student Report is also the basis for the annual review of all students during the spring meeting of the GGD Faculty.

### **A.4.a. Meeting with Graduate Chair at Beginning of Each Semester**

The Graduate Chair meets with all students—either individually or collectively by cohort—at the beginning of each semester to discuss the students’ progress in the program and the expectations for the semester. This meeting will review a student’s progress, and the completion of the degree requirements as outlined in this guide. The Graduate Chair provides feedback and guidance to each student about his/her standing in the program, and as well as consults with each student about the program requirements and the progress towards completion of the degree.

### **A.4.b. Progress Reports**

In preparation for the meeting with the Graduate Chair at the beginning of each semester, the annual faculty meeting, and to provide data for grant submission, students are expected to email a short progress report to the Graduate Chair and Graduate Coordinator. The Graduate Chair will send a template for this progress report at the end of the semester. The structure of the progress report is described in Section A.5. The primary goals of this progress report are threefold:

1. Students are expected to state the specific goals that they intend to achieve during the semester. These goals should be short and concise, such as: “take courses DEMG 6090, DEMG 6070 and SOCI5350”; “revise 2nd year paper and submit for publication”; “develop and defend dissertation

proposal on [title]”; “complete chapters 1 & 3 of dissertation”. The goals should be consistent with the degree requirements and the expectations that student complete their doctoral studies in demography within 4 years.

2. Students are also asked to review their achievements during the previous semester, and describe how these achievements agree with or differ from the previously stated goals for that semester.
3. Students are asked to state their expectations about when they will have defended their dissertation proposal and their final dissertation.

The Graduate Chair will review the goals for each semester with all students, and will provide guidance with respect to whether these goals are consistent with the degree requirements and the expectations of the Demography Ph.D. Program.

#### **A.4.c. Documenting Student Achievements Beyond the Program Requirements**

The GGD has a remarkable student body that is successful in many dimensions; while this perception is widely held, it is important to accurately document this impressive record of our students to ensure the ongoing support of our program through the University of Pennsylvania, the School of Arts & Sciences, and external funders and supporters (such as NICHD and NIA). Unfortunately, the official record focuses on the explicit requirements of the A.M. and Ph.D. Degrees, and thus captures only a fraction of the successes of our students as young scholars in the field.

As part of the GGD Student Reports that are introduced above, we therefore request that students provide the Graduate Chair and Coordinator with information about their broader accomplishments related to their graduate studies. For example, important achievements of our students include publications, fellowships/grants, awards, teaching experiences, visiting appointments, and other honors. In their progress reports at the end of each semester, students are therefore asked to update the Graduate Chair and Coordinator about these aspects (see Section A.5 for a template of the progress report).

In addition, in preparation for the annual review of graduate students during the spring GGD faculty meeting, we also request that students submit a current Curriculum Vita to the Graduate Chair and Coordinator with each progress report. No particular format is required for this CV, but it should include the following fairly standard elements: education; current position; work and research experience; fellowships, research grants, prizes and honors; publications and working papers (include here all papers that have been published, are accepted for publication, and papers that are part of formal working paper series such as at the PSC or PARC); conference presentations; teaching experience (independently or as TA); extra-curricular activities (like participation in summer workshops, participation in data-collection or fieldwork, visiting scholar at other institutions, etc.); and anything else that you think is an important part of your graduate education. Students subject to the NIH Public Access Policy (see Section A.3.j) must include the PMCID or NIHMSID numbers for any peer-reviewed journal manuscripts that arise from NIH funds. Please send the CV as a pdf file.

Selected information about students’ publications, fellowships/grants, awards, teaching experiences, visiting appointments, and other honors will be included in the GGD Student Reports, and it will be used as part of the GGD progress reports and renewal applications for the NICHD and NIA training grants.

This information will also be reported to the School of Arts & Sciences as part of the GGD annual progress reports.

#### **A.4.d. Annual Review of Graduate Student Progress**

The annual review of graduate student progress takes place during the GGD spring faculty meeting. During this meeting, the progress of all students towards satisfying the requirements of the Demography Ph.D. is reviewed. In addition, during this meeting, the GGD faculty reviews the results of the A.M. and Ph.D. examinations, and combining the results of these examinations and other information about a student's performance in the Demography Program, determines whether 1<sup>st</sup>-year students are admitted to the PhD program, and whether 2<sup>nd</sup>-year students are admitted to PhD candidacy.

## Part B

### GGD Student Report: Template

By the end of the semester, students are expected to email a progress report to the Graduate Chair and Graduate Coordinator. There are three parts. In the first part, the student will respond by email to the following questions.

- What goals did you accomplish during the summer/fall 20XX / spring 20XX period?
- What are your goals for the summer and fall 20XX / spring 20XX period?
- When do you expect to defend your dissertation proposal? (for students in the 2nd year of the program and beyond who have not yet defended their dissertation proposal)
- When do you expect to defend your dissertation? (for students in the 3rd year of the program and beyond)
- Did you regularly—i.e., at least 75% of the time—attend the weekly PSC colloquium in the previous semester?
- For students graduating this year: What are your immediate post-PhD plans?

For the second part, the Graduate Coordinator will send a summary of information the Graduate Chair and Coordinator have collected about each student. The student should review the information for accuracy and completeness and notify the Graduate Coordinator of any updates.

These updates include:

- Did you receive any fellowships, grants, prizes or other honors in the previous semester? If yes, please describe.
- Did you publish any papers during the previous semester, including any papers that appeared, were accepted for publication, or became part of a formal working paper series like the PSC or PARC working paper series? If yes, please provide details. If you are subject to the NIH Public Access Policy, please submit your manuscript to PubMed Central, and include in your progress report the PMCID or NIHMSID numbers for any peer-reviewed journal manuscripts that arise from NIH funds.
- Did you give any presentations or posters at a professional conference during the previous semester? If yes, please provide details.
- Did you teach (independently or as TA) a course in the last semester (or in the summer?)? If yes, please describe.
- Did you participate in any extra-curricular activities, such as summer workshops, visiting programs, language training, participation in data collection or fieldwork, etc.? If yes, please describe.
- Do you have any other updates related to your graduate studies? If yes, please describe.

The third part is sending the GGD Coordinator the most recent CV.

Note: For the fall semester progress report, the “previous semester” refers to both the spring semester and the summer.

## GGD Student Report: An Example

### Student Info

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Cohort:	Cohort (year student started Ph.D. studies in the Graduate Group of Demography (GGD) or Sociology Department)
Graduate Group:	Primary graduate group of student (GGD or Sociology)
Degree Program:	Which Ph.D. degree is pursued? Demography Ph.D., Sociology Ph.D., or Joint Ph.D. (Demog&Soc or Soc&Demog or Demog&Statistics)
Dual/Joint Major:	If applicable, indicate which program the student is doing a dual or joint degree in
Current status:	taking courses, proposal status, dissertation status/ABD
First Year Assigned Advisor:	Name of the advisor assigned to the student prior to the student starting their first year
Main Advisor:	Faculty member who the student sees as their main advisor
Other Significant Faculty the Student has worked with:	All faculty the student has significant contact with
IRB Certification Date:	Date of completion of the IRB Training

### Education

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B.A. (Major: Sociology), 2000, University of Pennsylvania

M.A. (Public Health), 2002, University of California Berkeley

### Research Interests

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Description of student's research interests; for instance: low fertility, HIV/AIDS, social & sexual networks, demographic methods

### Courses

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(See <http://demog.pop.upenn.edu/demography-phd-program> for curriculum requirements)

*Program Coordinator will obtain grade information from the PIT transcripts after spring semester grades are submitted and before the faculty meeting.*

### Funding

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Information about a student's funding source for each academic year; e.g.:

Year 1: AY 2008/09: TG (NICHD)

Year 2: AY 2007/08: University Funds (Penn)

### Awards, Honors, Prizes, Grants, Fellowships

*GGD Students regularly receive prestigious fellowships, prizes and other honors. This success of our students is remarkable, and it is an important indication of the quality of our training program.*

*The GGD Student Report includes the fellowships, prizes and honors received by our students as an effort to document the recognition of our students' research and achievements by outside scholars, programs and scholarly associations/foundations.*

List fellowships (Penn + extramural), research grants, prizes, and other honors; e.g.:

2009: Deans Scholar, University of Pennsylvania

2008: Dorothy Thomas Award for best graduate student paper, Population Association of America

2006-08: NSF Dissertation Fellowship

## **Teaching**

*GGD students are generally not required to teach as part of their funding package. Many students however teach, either as TA or independently, as part of their training to obtain teaching experience.*

*Please note, that a student's funding—especially in the case of support through NICHD or NIA training grants or DCF—may restrict a student's ability to teach during their graduate studies. Depending on a student's funding, the graduate chair may have to approve teaching by a student, and the student may have to attest that the teaching does not interfere with the fellowship obligations. If you intend to teach, please contact the Graduate Chair/Graduate Coordinator for details.*

*The GGD Student Report includes teaching activities by students as an effort to document students' contributions to training and teaching. For example:*

2010 Summer: SOCI XXX Course Name (T)

2009 Spring: SOCI XXX Course Name (TA)

## **Training and Research Activities**

For example:

2007: Summer Workshop in Formal Demography, Stanford University

2008: Visiting Scholar, Max Planck Institute for Demographic Research

## **1st Year Paper and A.M. Exam**

### **1st-Year Paper:**

Title:	Title of 1st-Year Paper
Advisor:	Name of 1st-Year Paper Advisor
Grade:	pass+, pass, pass-, fail+, fail, or fail-
IRB Approval:	IRB protocol and approval date for 1st-year paper research; or info about exception.

Abstract                                      Summary of paper approximately 200 words.

### **A.M. Exam:**

Date:    Date of A.M. exam

Grade:    pass+, pass, pass-, fail+, fail, or fail-

**M.A. Degree:**                              date of degree listed after it is awarded

## **2nd-Year Paper and Ph.D. Exam**

### **2nd Year Paper:**

Title:    Title of 2nd-Year Paper

Advisors:                                        Name of faculty advisors

DEMG 7071 Instructor:                      Name of DEMG 7071 instructor

Grade:    pass+, pass, pass-, fail+, fail, or fail-

IRB Approval:                                 IRB approval for 2nd year paper (Protocol number and approval date; or info about exception)

Abstract                                        Summary of paper approximately 200 words.

### **Ph.D. Exam:**

Date:    Date of completing (submitting) Ph.D. exam (“preliminary examination”)

Grade:    pass+, pass, pass-, fail+, fail, or fail-

## **Dissertation Proposal**

Diss. Title:                                      Title of Dissertation

Diss. Chair:                                      Dissertation Committee Chair

Diss. Committee:                              Dissertation committee members; indicate chair of dissertation committee

Proposal defense date:                      Date and outcome of Dissertation Proposal Defense

IRB Approval:                                 IRB approval for dissertation research (Protocol number and approval date; or info about exception)

## **Dissertation**

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Diss. Title:	Title of Dissertation
Diss. Committee Chair:	Dissertation Committee Chair
Diss. Committee:	Dissertation committee members
Proposal defense:	Date and outcome of Dissertation Proposal Defense
Public presentation:	Date and location of public presentation of dissertation research
Dissertation defense:	Date and outcome of dissertation defense (also indicate whether dissertation received a “distinction”)
Dissertation Deposit date:	Date when dissertation has been formally received by the Graduate Division
Dissertation Abstract:	Provide abstract/summary of dissertation (up to 500 words)

## **Publications**

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*List here all papers by a student—single-authored or co-authored—that have been published, are accepted for publication, and or are part of formal working paper series (such as at the PSC or PARC working paper series). List publications in reverse chronological order.*

*Publishing papers during one’s graduate studies is not a requirement of the Demography Ph.D. Program at Penn. At the same time, in a competitive job market, having one or several publications (single authored or co-authored) by the time of completing the Ph.D. program may provide a considerable advantage, and increasingly candidates applying for assistant professor positions at leading research universities have several publications. The research based on a student’s 1st or 2nd-year paper, or collaborative research with a faculty conducted as part of one’s training at the GGD, are often suitable candidates for submission to a journal. Given the somewhat slow process of getting published in the social sciences, primarily papers submitted prior or during the third year of graduate studies have a chance of being accepted by the time a student applies for positions in the fourth year. The Graduate Chair and the GGD Faculty can provide feedback and guidance with respect to publishing research conducted during the graduate studies at Penn.*

*The GGD Student Report includes publications, even if they are not part of the degree requirements, as an effort to document the success of our students to publish in scholarly journals, as well as to help the GGD to identify students that can be nominated for prizes, fellowships and other honors.*

*As illustration, to fill the space in this section, some of current Graduate Chair’s publications/working papers are listed below:*

Behrman, Jere R., Hans-Peter Kohler and Susan C. Watkins (2009). Lessons from empirical network analyses on matters of life and death in East Africa. In *Network-Based Strategies and Competencies*, edited by Paul R. Kleindorfer and Yorem Wind. Wharton School Publishing.

Delavande, Adeline and Hans-Peter Kohler (2008). HIV testing and subjective expectations in rural Malawi. Unpublished working paper, Population Studies Center, University of Pennsylvania, Philadelphia, PA.

Kohler, Hans-Peter, Jere R. Behrman and Susan C. Watkins (2007). Social networks and HIV/AIDS risk perceptions. *Demography*, 44(1): 1–33.

*Students who have received direct funding by the National Institutes of Health (NIH) are subject to the NIH Public Access Policy (see Section A.3.j). Students subject to this Policy must submit final peer-reviewed journal manuscripts that arise from NIH funds to PubMed Central, and they must report the PMID or NIHMSID numbers for these publications to the graduate chair/coordinator.*

## **Presentations**

*List of presentations at professional conferences (e.g., at the Annual Meeting of the Population Association of America or of the American Sociological Association) or research seminars*

## Part C

### Selected Policies Relevant to Demography Ph.D. Students

Graduate students in the Graduate Group of Demography are subject to the policies and regulations governing dissertations and graduate student research at the University of Pennsylvania. Selected policies of particular importance to graduate students in the GGD are reprinted below. The complete list of policies governing dissertations and graduate student research at the University of Pennsylvania are available from the Office of The Provost (<https://provost.upenn.edu/policies>), and the Office of Regulatory Affairs (<http://www.upenn.edu/regulatoryaffairs>).

- Pennbook: Academic Rules for PhD Programs:  
<https://catalog.upenn.edu/pennbook/academic-rules-phd/>
- University of Pennsylvania Doctoral Dissertation Manual:  
[https://guides.library.upenn.edu/dissertation\\_manual](https://guides.library.upenn.edu/dissertation_manual)
- School of Arts and Sciences Graduate Division:  
<http://www.sas.upenn.edu/graduate-division>
- Handbook for Students—Ethics and Original Research:  
[https://provost.upenn.edu/uploads/media\\_items/ethics-handbook.original.pdf](https://provost.upenn.edu/uploads/media_items/ethics-handbook.original.pdf)
- Procedures Regarding Misconduct in Research for Nonfaculty members of the Research Community: <http://www.upenn.edu/almanac/volumes/v51/n01/OR-research.html>

## **C.1. University-Wide Academic Rules for Ph.D. Programs**

Below follows an extract of important aspects of the Penn Academic Rules for Ph.D. Programs (Revised July 2022). The full regulations are available from the Office of Graduate Studies at

<https://catalog.upenn.edu/pennbook/academic-rules-phd/>.

The Doctor of Philosophy degree is conferred in recognition of marked ability and high attainment in a specific branch of learning. The Ph.D. degree is granted by the Trustees of the University of Pennsylvania upon the approval of the Graduate Council of the Faculties and upon satisfaction of all degree requirements, including acceptance of the dissertation by the student's dissertation committee. Students may enroll in more than one academic Ph.D. program with prior permission of both Schools/programs; only one Ph.D. is earned.

The University's standards, set forth below, are to be viewed as minimum requirements. The School or the Graduate Group has the right to establish additional requirements and to refuse to examine any student who is not qualified according to its standards. If there are additional program or School requirements, that information must be communicated and available to all students.

### **I. Academic Requirements**

#### **a. Curriculum**

Graduate Groups determine the curricular requirements for their programs. 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 bachelors degree will be expected to spend two to three years taking 3-4 course units a semester before satisfying the Graduate Group's academic requirements, passing the required examinations and being advanced to candidacy. Graduate Groups may require more extensive preparation through additional work, especially those programs with substantial language requirements.

Students in some programs, such as those in science fields, may begin dissertation-related research before advancing to candidacy. Students who enter with a master's degree or other transfer credit may satisfy the formal course requirements more quickly. Graduate Groups have 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; exceptions for a fifth course unit may be made in extraordinary cases upon approval of the graduate dean.

Graduate Groups may establish examination requirements in addition to the University's standards described below.

#### **i. Transfer Credit**

Credit may be transferred toward the Ph.D. from a master's degree or other work completed in a post-baccalaureate degree program, upon recommendation by the Graduate Group Chair and approval of the graduate dean, reducing full tuition registration by up to two years. No work done as an undergraduate, whether at this institution or at any other, will be counted toward a Ph.D., A.M., or M.S., with the following exception: graduate courses completed by undergraduates as submatriculants in a Graduate Group may be counted toward graduate degree requirements.

#### **ii. Auditors**

Students who desire to attend a course without performing the work of the course must first secure the consent of the instructor. They must register in order for the audited course to appear on the transcript; no credit will be received for the audited course. A teaching fellow registered for three course units may register as auditor for one additional course with permission of the Graduate Group Chair.

A student may request that the School graduate office change their status in a course to auditor, provided that the request is endorsed by the chairperson of their Graduate Group and the instructor

giving the course, and is submitted to the School graduate office no later than the end of the second week of the term.

#### b. Evaluations and Examinations

A Qualifications Evaluation of each student is required to be conducted in the first two years. The evaluation is designed by the Graduate Group 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 School's graduate office must be notified of the outcome of the evaluation.

A Candidacy Examination on the major subject area is required. This examination is normally held after the candidate has completed all required courses and may be satisfied by the successful defense of a dissertation proposal. It may be oral, written, or both, at the discretion of the Graduate Group.

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 program.

#### c. Graduate Grades and Academic Standing

The grading system is as follows:

- A, excellent
- B, good
- C, fair
- D, poor but passing; and
- F, failure

At the graduate level, the grade of C, while passing, does not constitute satisfactory performance. Letter grades may be modified by a plus (+) or minus (-) sign at the discretion of the School. The minimum standard for satisfactory work for the Graduate Faculties is a B average in each academic year, but the Graduate Group may set additional requirements that determine advancement; these requirements may require a student to withdraw despite a satisfactory grade average, if the quality of the student's work is not at a level that predicts successful dissertation research.

The mark of S is used to indicate "satisfactory progress." The mark of U is used to indicate "unsatisfactory progress." The mark of I is used to designate "incomplete." Students who fail to complete a course and do not withdraw or change their status to auditor within the prescribed period shall receive at the instructor's discretion either a grade of I (incomplete) or F (failure). It is expected, in general, that a student shall complete the work of a course during the term in which that course is taken. The instructor may permit an extension of time up to one year for the completion of the course. In such cases, any course which is still incomplete after one calendar year from its official ending must remain as "incomplete" on the student's record and shall not be credited toward a degree.

#### d. Dissertation

All PhD students are required to write and deposit a dissertation consisting of original research.

##### **i. Format and Content of the Dissertation**

The dissertation is, essentially, a manuscript. In some fields, the dissertation may consist of articles published by the student during the course of the Ph.D. program, accompanied by a narrative explaining the context and significance of the collected works. Essential supplementary mixed media files, such as photographs, audio recordings, musical compositions, and film may be submitted to augment the written text. 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 their contribution to the whole work. Authorship of an entire dissertation by more than one degree candidate is not allowed.

##### **ii. Dissertation Committee Composition & Meetings**

Upon advancement to candidacy, each student has a dissertation committee consisting of at least three faculty members (including at least two members of the Graduate Group). At least half of the members

of the dissertation committee must be members of the Graduate Group at the time of appointment to the committee. Faculty who are not members of the Graduate Group may serve as committee members only with the written approval of the Graduate Group. The authority to approve membership on committees may be delegated to the Graduate Group Chair. A Graduate Group may establish additional requirements, such as a requirement for outside reviewers on the dissertation committee.

The Chair of the Dissertation Committee must be a member of the Standing Faculty in the Graduate Group. If the Chair of a Dissertation Committee leaves the Standing Faculty before the dissertation is completed, then a new person from the Standing Faculty in the Graduate Group must be appointed as Chair. The Dissertation Committee Chair is responsible for convening committee meetings, advising the student on Graduate Group and University expectations, and assuring the Graduate Group Chair that the group's requirements have been met.

The Dissertation Supervisor is the person primarily responsible for overseeing the student's dissertation research. A student may have both a Dissertation Supervisor and a Dissertation Co-Supervisor, or two Dissertation Co-Supervisors, if that responsibility is shared equally. The student and Dissertation Supervisor meet regularly (at least twice a year and, in many cases, much more frequently) to establish expectations and review the progress of the student's research. The Dissertation Supervisor may serve as Chair of the Dissertation Committee, but is not required to do so.

Dissertation Supervisors, and Dissertation Co-Supervisors, must be members of the Standing Faculty at Penn, with special approved exceptions. A member of the Associated Faculty (such as Research Faculty or Adjunct Faculty) or a member of the Emeritus Faculty may be permitted to serve as a Dissertation Supervisor with prior approval of the Vice Provost for Education on a case by case basis. The Graduate Group Chair must petition the Vice Provost for Education, in advance, for an exception. In such cases, the Dissertation Supervisor is not permitted to serve as the Chair of the Dissertation Committee and a member of the Standing Faculty in the Graduate Group must be appointed as the Dissertation Committee Chair.

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 Dissertation Supervisor and Graduate Group Chair and is documented by the School in the student's academic record. The committee feedback contributes to the determination of a mark of S (satisfactory progress) or U (unsatisfactory progress) to the student's dissertation status course (see section I.d.iii.).

Students and Graduate Groups are encouraged to review [Guidelines for Advising & Mentoring PhD Students](#).

### **iii. Dissertation Status**

All students on dissertation status are registered for year-long dissertation status courses. These courses will receive a temporary mark of PR in the fall to indicate the course is in progress and a permanent mark of S (satisfactory progress) or U (unsatisfactory) at the end of the spring semester (or fall semester if that is the student's last enrolled term). The mark will be a reflection of the evaluation by the Graduate Group of the student's progress based, in part, on the student's Annual Progress Report.

### **iv. Public Presentation & Defense**

A public, oral presentation of the dissertation is required. The presentation may take the form of a workshop based on a complete draft of the dissertation, or it may be based on the final version of the dissertation, depending on the rules of the Graduate Group. In either case, the presentation must either include or be followed by an oral examination (defense). This examination may be private if specified by the rules of the Graduate Group.

At least three members of the dissertation committee must participate in the defense. Defenses may be conducted in-person, virtually via video conferencing (e.g., Zoom, Skype, Microsoft Teams), or in a hybrid format with some individuals participating remotely and some in-person.

### **v. Acceptance of the Dissertation**

By the prescribed deadline on the [Graduation Calendar](#), the Graduate Group shall report to the Office of the Provost the acceptance of the dissertation and its suitability for publication. The report shall include the date of the oral presentation or the date of the meeting of the dissertation committee, the names and roles of the dissertation committee members, and whether they individually approve the dissertation. The student and the Dissertation Supervisor will also have access to a copy of the report.

#### **vi. Publication & Submission**

Dissertations must follow the format prescribed in the Dissertation Formatting Guide. Candidates also should familiarize themselves with any special requirements imposed by the Graduate Groups under which they are working.

All Penn Ph.D. dissertations are submitted electronically as of Spring 2020; hardcopies are not required. Since Fall 2015, Penn requires open access publication of dissertations in the institutional repository, [ScholarlyCommons](#). All Ph.D. dissertations must be submitted in digital format through ProQuest's ETD Administrator module.

Students should discuss with their advisor whether a delay in publication (embargo) is necessary or advisable. Students may apply for delay in publication by ProQuest and in [ScholarlyCommons](#) separately; the maximum allowed embargo period in [ScholarlyCommons](#) is a total of nine years from the graduation date. An initial three-year embargo period in [ScholarlyCommons](#) is approved automatically. A request for a delay of an additional three years requires approval by the Graduate Group Chair. In the event that a further delay is needed, the approval of the Graduate Group Chair and the School's Graduate Dean is required.

#### **vii. Dissertation Copyright & Patent Policies**

A dissertation submitted as part of the requirements for a degree is the property of the University. Any copyrights or patent rights arising therefrom shall be governed by the policies of the University of Pennsylvania, including the Patent and Tangible Research Property Policies and Procedures and the Policy Relating to Copyrights and Commitment of Effort for Faculty. Information about securing copyright for a dissertation and using copyrighted or previously published materials in a dissertation is available [online](#).

## **II. Time Limits**

As of 2010-2011, the University's maximum time limit for completion of a PhD program is ten years after matriculation; some Graduate Groups and Schools have established more stringent criteria. 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. (See sections below on Petition for Readmission and Recertification.)

Combined degree students (e.g., M.D.-Ph.D.s) typically enroll full-time in the professional program during the first two years of study and do not begin full time Ph.D. course work until the third year; for these students, the ten- year time limit begins at the start of full-time Ph.D. study.

#### **a. Petition for Readmission After Reaching the Maximum Time To Degree**

A student who has been dropped after reaching the maximum time limit may petition the Graduate Group to return as a student for a maximum of one further year in order to achieve recertification and complete and defend the dissertation. Faculty members have 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 a Graduate Group 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 Candidacy Examination, and submit the final copy of the dissertation. If re-admission is approved by the Graduate Dean, the student must pay Reduced Tuition for two semesters, unless all requirements are completed within one semester. Students may petition for readmission at the time they are dropped from the program, or at a later date. The student should be fully ready and committed to completing within a one-year timeframe; enrollment will not be extended beyond that final year, and no further petition for readmission will be considered by the University.

**b. Re-certification**

If the Graduate Group and Graduate Dean approve the petition for readmission, the student must immediately be recertified. In order to ensure that a student's dissertation research remains at the frontier of current research in the field, the student must retake and pass the Candidacy Examination, or satisfy alternative recertification criteria designed by their Graduate Group and approved by the Graduate Council of the Faculties. The new deadline for completion of all requirements for the Ph.D., including recertification, shall be within one year.

**III. Tuition**

Beginning in fall 2008, Ph.D. students will be charged full tuition until they have completed five years of full-time study or the equivalent of approximately 30 course units. 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 fewer than five years.

If the student has not earned the Ph.D. degree by the end of five years, the student will be charged reduced tuition until the degree is awarded, or for a maximum of five additional years. Continuous enrollment is required through year ten (or until graduation), with an exception for approved leave. After a maximum of five years at reduced tuition, the student ceases to be enrolled. With permission and re-certification from the Graduate Group, a student may re-enroll 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.

A student engaged in research overseas may be registered for Dissertation Abroad. Full tuition is charged to students in years 1-5, reduced tuition to students in years 6-10; a reduced general fee is charged for students on Dissertation Research Abroad regardless of their year.

**IV. Continuous Registration/Leaves of Absence**

Continuous registration as a graduate student is required unless a [formal leave of absence](#) is granted by the Graduate Dean of the student's School; see the [PhD Student Leave of Absence Policy](#). A leave of absence will be granted for military duty, medical reasons, or family leave; this leave is typically for up to one year and "stops the clock" on time to completion. Personal leave for other reasons may be granted for up to one year with the approval of the Graduate Dean, but it does not automatically change the time limit. Leave should not be granted for the purpose of evading tuition charges. Additional requirements for return may be imposed by the Graduate Dean. No language or other degree examinations may be taken while a student is on leave of absence. A student without an approved leave of absence who fails to register each semester will be considered to have withdrawn from candidacy for the degree; approval by the Graduate Dean and recertification are required for reinstatement. Dissertation registration takes place in the fall and spring semesters. Dissertation students who are candidates for August degree remain full-time students through August 31st without summer registration.

**V. Change of a Graduate Group**

A student who wishes to change their Graduate Group must submit an application for admission to the new Graduate Group.

**VI. Research Abroad**

A student who will conduct dissertation research abroad for the semester registers for Dissertation Research Abroad status. Full tuition is charged to students in years 1-5, reduced tuition to students in years 6-10; a reduced general fee is charged for students on Dissertation Research Abroad regardless of their year.

**VII. 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 Group Chair. University policies regarding intellectual property apply in the case of research conducted in extramural settings.

### **VIII. Institutional Courtesy/Exchange Programs**

The Exchange Scholar Program allows University of Pennsylvania Ph.D. students to apply to study for a semester or academic year at one of ten other participating institutions:

- Brown University,
- Columbia University,
- Cornell University,
- Harvard University,
- Massachusetts Institute of Technology,
- Princeton University,
- Stanford University,
- University of California-Berkeley,
- University of Chicago, and
- Yale University.

Through cooperative arrangements with Bryn Mawr College, Haverford College, and Swarthmore College, University of Pennsylvania students may, upon presentation of the proper credentials and with the permission of the instructor concerned, enroll for courses in these institutions. The University of Pennsylvania will accept toward a master's or Ph.D. degree up to the equivalent of three course units for work completed under this arrangement.

Through a cooperative arrangement between The Annenberg School for Communication and Johns Hopkins University, students selected as exchange scholars from the Annenberg School for Communication may count up to one academic year of study at John Hopkins (taken while registered at Penn), subject to the approval of the Graduate Group, toward the Ph.D. degree at the University of Pennsylvania.

Ph.D. and research master's students enrolled in Anthropology or History of Art may, upon approval of their Graduate Group and the instructor, enroll for a maximum of two courses in the Department of Art Conservation at the University of Delaware. The University of Pennsylvania will accept credits completed under this agreement for a master's or Ph.D. degree.

Ph.D. students enrolled in Ancient History, Classical Studies, Religious Studies, Germanic Languages, and History may, upon approval of their Graduate Group and the instructor at the host institution, enroll for a maximum of four courses for graduate credit at the Lutheran Theological Seminary at Philadelphia.

Ph.D. students enrolled for at least one full academic year in the Graduate Groups in Ancient History, Classical Studies, Art and Archaeology of the Mediterranean World, History of Art, Religious Studies, Germanic Languages, Political Science, or History may, subject to the approval of their Graduate Group and the instructor, enroll for a maximum of four courses at the Jewish Theological Seminary. Each year, up to two English Ph.D. students (one in film and one in poetics) may, upon approval of the Graduate Group and the instructor at the host institution, take one course each offered by Temple University's Department of Film and Media Arts and in English.

Under the terms of the Ph.D. Student Exchange Program with Rutgers University, Ph.D. students in all fields may take up to four courses at Rutgers University upon approval of their Graduate Group chair. Details regarding the institutional exchange agreements are available from the Office of the Vice Provost for Education.

### **IX. Regarding Tutoring Students for Compensation**

Many PhD programs have an academic requirement that students teach for one or more semesters. Teaching assistantships and teaching fellowships are done under the supervision of the faculty

instructor. The Center for Teaching and Learning is a valuable resource for all graduate students interested in improving their professionalism as teachers – even those who do not have the opportunity to serve as a TA.

A Teaching Assistant (or Teaching Fellow) shall not be allowed to tutor for compensation any student that they are grading or have influence in assessing.

## C.2. Academic Integrity

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### University of Pennsylvania's Code of Academic Integrity

Students are expected to follow high standards with regard to attribution of research findings and ideas to their originators. A Handbook for Students about "Ethics and Original Research" is available at [https://provost.upenn.edu/uploads/media\\_items/ethics-handbook.original.pdf](https://provost.upenn.edu/uploads/media_items/ethics-handbook.original.pdf), and the Penn procedures regarding misconduct in research for non-faculty members are outlined at <http://www.upenn.edu/almanac/volumes/v51/n01/OR-research.html> (reprinted below). Academic dishonesty and scientific misconduct for example include:

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, altering a graded exam and resubmitting it for a better grade, etc.
2. *Plagiarism*: using the ideas, data, or language of another without specific or proper acknowledgment. Example: copying another person's paper, article, or computer work and submitting it for an assignment, cloning someone else's ideas without attribution, failing to use quotation marks where appropriate, etc.
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, etc.
4. *Falsification*: manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
5. *Multiple submissions*: submitting, without prior permission, any work submitted to fulfill another academic requirement.
6. *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, etc.
7. *Facilitating academic dishonesty*: knowingly helping or attempting to help another violate any provision of the Code. Example: working together on a take-home exam, etc.
8. *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., etc.

Since the University is an academic community, its fundamental purpose is the pursuit of knowledge. Essential to the success of this educational mission is a commitment to the principles of academic integrity. Every member of the University community is responsible for upholding the highest standards of honesty at all times. Students, as members of the community, are also responsible for adhering to the principles and spirit of the following Code of Academic Integrity.

## University of Pennsylvania's Code of Academic Integrity

Since the University is an academic community, its fundamental purpose is the pursuit of knowledge. Essential to the success of this educational mission is a commitment to the principles of academic integrity. Every member of the University community is responsible for upholding the highest standards of honesty at all times. Students, as members of the community, are also responsible for adhering to the principles and spirit of the following Code of Academic Integrity.\*

### Academic Dishonesty Definitions

Activities that have the effect or intention of interfering with education, pursuit of knowledge, or fair evaluation of a student's performance are prohibited. Examples of such activities include but are not limited to the following definitions:

- A. 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, altering a graded exam and resubmitting it for a better grade, etc.
- B. Plagiarism: using the ideas, data, or language of another without specific or proper acknowledgment. Example: copying another person's paper, article, or computer work and submitting it for an assignment, cloning someone else's ideas without attribution, failing to use quotation marks where appropriate, etc.
- C. Fabrication: submitting contrived or altered information in any academic exercise. Example: making up data for an experiment,

fudging data, citing nonexistent articles, contriving sources, etc.

- D. Multiple submissions: submitting, without prior permission, any work submitted to fulfill another academic requirement.
- E. 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, etc.
- F. Facilitating academic dishonesty: knowingly helping or attempting to help another violate any provision of the Code. Example: working together on a take-home exam, etc.
- G. 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, etc.

*\* If a student is unsure whether his action(s) constitute a violation of the Code of Academic Integrity, then it is that student's responsibility to consult with the instructor to clarify any ambiguities.*

## Violations of Academic Integrity: What are the Consequences?

Students caught plagiarizing face academic and disciplinary consequences. For example, an undergraduate student may receive a failing grade from an instructor, or the case may be referred to the Office of Student Conduct for a hearing and sanctions. Sanctions imposed by the Office of Student Conduct become a part of the student's permanent record and may have an adverse impact on future academic and career goals.

**At the graduate level, violations of academic integrity are treated very seriously and may result in expulsion from the University. In the case of graduates, discovery of plagiarism in a dissertation can, and has, resulted in the revocation of the Ph.D. degree.**

Several of Penn's schools have adopted their own policies for handling academic integrity matters; Law, Medicine, Dental Medicine, Veterinary Medicine, and Wharton Graduate Division each have their own policies. Where there is no separate school policy, the University's Charter of the Student Disciplinary System applies.

*The procedure for disciplinary action outlined in the University's Charter of the Student Disciplinary System may be found on the web at <http://www.upenn.edu/osc/outline.htm>*

## Doing Original Work at the University of Pennsylvania

During your academic life at Penn, you will be asked to do assignments that require research and experimentation. You will also be asked to solve science and math problems that require original thinking. In some classes, you will be required to write papers for which you will need to do research in books, journals, electronic media, and other sources.

One of the challenges of good scholarship is to take what has already been done, said, or argued, and incorporate it into your work in an original way. To some students, this task may seem unnecessarily redundant: a student writing a paper on the benefits of stem cell research may ask, "If the positive aspects of this research have already been argued, why do I need to do it again?" The answer is that

- Your way of presenting the information and arguing it will be different from that of others and is therefore valuable; and
- As more recent information on your subject becomes available, you have the opportunity to bring this information into your report or argument, adding new dimensions to the discussion.

Adapted from:  
Avoiding plagiarism.  
Purdue University OWL  
Online Writing Lab.  
Retrieved May 31, 2005  
from [http://owl.english.purdue.edu/handouts/research/r\\_plagiar.html](http://owl.english.purdue.edu/handouts/research/r_plagiar.html)

**Sometimes the goals of academic writing may seem contradictory.**

We ask you to	
Read what is written on a topic and report it, demonstrating you have done your research,	BUT write about the topic in an original way.
Bring in opinions of experts and authorities,	BUT do more than simply report them; comment on these opinions, add to them, agree or disagree with them.
Notice articulate phrasing and learn from it, especially if you are trying to enhance your capability in English,	BUT use your own words and/or quote directly or paraphrase accurately when you incorporate this into a paper.



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Academic writing is a challenge. It demands that you build on work done by others but create something original from it. The foundation of good academic work – in research and in writing – is honesty. By acknowledging where you have used the ideas, work, or words of others, you maintain your academic integrity and uphold the standards of the University and of the discipline in which you work.

paper without using quotation marks as long as the writer shows where they came from. This is not acceptable in North American culture.

In our academic culture, we consider our words and ideas intellectual property. We believe our words, like a car or any other possession, belong to us and cannot be used by others without acknowledgment. If you copy, borrow, or appropriate another's work and present it as your own in a paper or oral presentation - deliberately or by accident - this act is considered plagiarism.

## Avoiding Plagiarism: Citing Sources

During your academic career at Penn, you will write original papers and give oral presentations that require research. It is important to understand that notions concerning intellectual property vary from culture to culture. In some cultures, the concept of owning words and ideas may seem strange. Students from these cultures may have been encouraged to repeat the words of others and incorporate them into their own writing without quoting or otherwise indicating that they came from another source. Other cultures accept the practice of copying phrases or sentences into a

### What is plagiarism?

Plagiarism occurs when you use another's words, ideas, assertions, data, or figures and do not acknowledge that you have done so. In simple terms, plagiarism is a form of theft.

If you use the words, ideas, or phrasing of another person or from published material, you must

- Use quotation marks around the words and cite the source.
- Alternatively, you may paraphrase or summarize acceptably and cite the source.

If you use charts, graphs, data sets, or numerical information obtained from another person or from published material, you must also cite the source.

Whether you quote directly or paraphrase the information, you must acknowledge your sources by citing them. In this way, you have the right to use another's words by giving that person credit for the work he or she has done.

### What does it mean to "cite" a source?

In writing a paper, it means:

- Showing, in the body of your paper, where the words or information came from, using an appropriate format, and
- Providing complete information about the source (author, title, date, etc.) using an appropriate format, in a bibliography or footnote.

In giving a formal presentation, it means: Acknowledging, on your slide, where the graph, chart or other information came from.

### Why should I cite my sources?

- To show your readers that you have done your research.
- To give credit to others for work they have done.
- To point your readers to sources that may be useful to them.
- To allow your readers to check your sources, if there are questions.

Citing your sources points the way for other scholars. You may cite a source that is of particular interest to a reader who wants to read more on your subject. Your citation will help that reader locate the information quickly.

### What should I cite?

- **Print sources:** books, journal articles, magazine articles, newspapers - any material published on paper.
- **Electronic sources:** web pages, articles from online newspapers and journals, articles retrieved from databases like LexisNexis and ProQuest, government documents, newsgroup postings, graphics, e-mail messages, and web logs (i.e., any material published or made available on the Internet).
- **Recorded material:** television or radio programs, films, filmed discussions, panels, seminars, interviews, or public speeches.
- **Spoken material:** personal conversations, interviews, information obtained in lectures, poster sessions, or scholarly presentations of any kind.
- **Images:** charts, graphs, tables, data, illustrations, architectural plans, and photographs.

## Using the Internet: A Special Note

The Internet has made academic research much easier than it used to be. Databases have been created that compile much of the published material relevant to a certain field, saving you valuable time. You can download .pdf files or have articles sent to you by email.

Yet the Internet poses special problems. Because it is relatively new and because so much of what appears on the Internet does not indicate the author's name, people tend to think the information they find there is "free" and open for the taking. Everything on the Internet has been written by someone. The author may be an organization or an individual, but there is an author – or at least, a traceable source.

## **Procedures Regarding Misconduct in Research for Nonfaculty members of the Research Community**

The University of Pennsylvania Procedures Regarding Misconduct in Research for Nonfaculty Members of the Research Community, which are applicable to nonfaculty members of the University of Pennsylvania research community including students, postdoctoral fellows, and staff, are available at <http://www.upenn.edu/almanac/volumes/v51/n01/OR-research.html>.

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## OF RECORD

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*The Provost's Council on Research reviewed and approved the proposed new policy, Procedures Regarding Misconduct in Research for Non-faculty Members of the Research Community, on May 18, 2004. This policy is similar to the faculty policy, "Procedures Regarding Misconduct in Research", (Almanac, supplement, May 6, 2003) however it closes the gap in Penn policies by providing an institutional policy to deal with alleged cases of research misconduct where the respondent is a student, staff member, or postdoctoral fellow. It also attempts to integrate its investigation with existing established misconduct processes, and to respect the prerogatives of existing administrative entities to determine institutional sanctions. These procedures become effective immediately.*

*—Perry Molinoff, Vice Provost for Research*

### Procedures Regarding Misconduct in Research for Nonfaculty members of the Research Community

#### Introduction

The University relies on all members of its research community to establish and maintain the highest standards of ethical practice in academic work, including research. Misconduct in research is prohibited and represents a serious breach of both the rules of the University and the customs of scholarly communities.

The following procedures are applicable to nonfaculty members of the University of Pennsylvania research community including students, postdoctoral fellows, and staff.

#### Research Misconduct Defined

Research misconduct is defined as fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, performing, or reviewing research, or in reporting research results.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, or results, or works without giving appropriate credit.
- Serious deviation from accepted practices includes but is not limited to stealing, destroying, or damaging the research property of others with the intent to alter the research record, and directing or encouraging others to engage in fabrication, falsification or plagiarism. As defined here, it is limited to activity related to the proposing, performing, or reviewing of research, or in the reporting of research results and does not include misconduct that occurs in the research setting but that does not affect the integrity of the research record, such as misallocation of funds, sexual harassment, and discrimination, which are covered by other University policies.

The research record is the record of data or results that embody the facts resulting from scientific inquiry, and includes, but is not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, and journal articles.

Some forms of misconduct, such as failure to adhere to requirements for the protection of human subjects or to ensure the welfare of laboratory animals, are governed by specific federal regulations and are subject to the oversight of established University committees. However, violations involving failure to meet these requirements may also be covered under this policy or possibly by other University policies when so determined by the responsible committees or institutional officials.

Research misconduct does not include honest error or differences of opinion.

#### Findings of Research Misconduct

A finding of research misconduct requires that:

- There be a significant departure from accepted practices of the relevant research community; and
- The misconduct be committed intentionally, or knowingly, or recklessly; and
- The allegation be proven by a preponderance of evidence.

#### Jurisdiction and Applicable Process

There are a number of University policies and procedures for responding to allegations of misconduct by students, postdoctoral fellows, or staff. This policy is intended to be invoked only in instances where research misconduct (i.e. activity related to the proposing, performing, or reviewing of research, or in the reporting of research results and which therefore may have an impact on the integrity of the research record) is

involved. Questions of jurisdiction and the applicability of the appropriate University procedure will be decided by the responsible administrative entity (such as the Office for Student Conduct, Office for Postdoctoral Programs, or the Office of Human Resources), in consultation with the Vice Provost for Research. Allegations of misconduct not involving the research process or the integrity of the research record will be resolved by the disciplinary process ordinarily applicable.

#### 1. Inquiry

1.1 Allegations of research misconduct should be directed in the first instance to the Vice Provost for Research who, along with the responsible administrative entity, will determine jurisdiction and which process is applicable to resolve the allegation. If the Vice Provost determines that this process is properly invoked, the Vice Provost will forward the complaint—which must be in writing—to the Dean of the School where the research is being performed.

1.2 Upon receipt of a properly documented complaint, the Dean will inform the respondent of the nature of the charges, and will provide the respondent with a copy of these procedures. The Dean will also take steps to secure relevant documents, data and other materials.

The Dean will appoint one or more unbiased, impartial individuals with appropriate expertise who will conduct a preliminary inquiry to determine whether a full investigation is warranted.

1.3 The inquiry committee will gather information and determine whether there is sufficient, credible basis to warrant a formal investigation. The committee shall offer the respondent an opportunity to provide them with relevant information regarding the allegations. The committee will submit a written report of its assessment to the Dean and the respondent, and to the complainant where appropriate. The report should state what evidence was reviewed, summarize relevant interviews, and include the committee's recommendation. This report will ordinarily be submitted within 30 calendar days of receipt of the written complaint by the Dean.

1.4 If the report of the inquiry committee determines that a formal investigation is not warranted, the Dean may (i) drop the matter, or (ii) not initiate a formal investigation, but take such other action as the circumstances warrant, or (iii), in extraordinary circumstances, nonetheless initiate a formal investigation. The Dean will inform the concerned parties of the decision.

1.5 If the inquiry committee determines that a formal investigation is warranted, the Dean will initiate a formal investigation as provided in Section 2. The Provost (Vice Provost/designee) will inform the appropriate government agency or source funding the research, in writing, that a formal investigation has been initiated and will identify the respondent to the agency or source (1).

#### 2. Formal Investigation

2.1 To initiate a formal investigation, the Dean will appoint a formal investigation committee of not less than two disinterested individuals with sufficient expertise, one or more of whom may have served on the preliminary inquiry committee.

2.2 Investigation. The formal investigation committee will be provided with copies of the complaint, the report of the initial inquiry and any other materials acquired during the preliminary inquiry. The formal investigation committee will undertake a thorough examination of the allegations, including, without limitation, a review of relevant research data and proposals, publications, correspondence, and records of communication in any form. Experts within or outside the University may be consulted. The Committee shall have authority to investigate, pursue and document any related research misconduct by the respondent, even

if such misconduct was not covered by the initial complaint. Whenever possible, interviews will be conducted with the complainant, as well as with others having information regarding the allegations. The Committee must allow the respondent an opportunity to be interviewed at this formal investigation stage. When being interviewed by the committee the respondent and the complainant may each be accompanied by an adviser, who may be a lawyer but who may not participate directly in the proceedings except when and as requested to do so by the committee.

**2.3 Reporting the findings.** Following its investigation, the formal investigation committee will prepare and provide a written report of its findings to the respondent, to the Dean, to the Provost, and, if appropriate, to the complainant. The report will describe the allegations investigated, how and from whom information was obtained, the findings and basis of the findings, and will include texts or summaries of the interviews conducted by the committee. The report will conclude with a clear statement regarding which charges have been considered and what its findings are with respect to each charge the committee considered. If the committee finds that a violation of University policy in addition to or other than research misconduct might have been committed, a description of the possible violation will be included.

The committee will indicate whether each charge considered during the course of its proceedings is unsubstantiated or substantiated by a preponderance of evidence. If the matter involves a respondent who would be subject to University sanctions for misconduct only if the evidence met a clear and convincing standard, the Committee will make an additional determination as to whether that standard has also been met (2).

The final report will ordinarily be submitted within 90 days of the appointment of the formal investigation committee. The respondent will be permitted to make a written reply to the Dean with a copy to the Provost, and Vice Provost for Research, within 15 calendar days of submission of the report. The Dean may ask the committee to respond in writing to any replies from the respondent. The Dean may also ask the complainant to respond to the report if deemed appropriate. All such responses and replies will be incorporated as appendices to the report of the formal investigation committee.

### 3. Disposition of Final Report and Findings

**3.1** The Dean will consider the final report and replies. Upon acceptance of the report by the Dean, the Provost (Vice Provost/designee) will submit a copy of the report containing the outcome of the investigation to the appropriate government agency or source funding the research, if such action is required by regulation or otherwise appropriate. The entire formal investigation process should be completed within 120 calendar days of its initiation, unless documented circumstances warrant a delay.

**3.2** If the final report of the formal investigation committee finds the charges of research misconduct against a respondent not to be substantiated, the research misconduct proceeding is terminated and the concerned parties will be informed. A finding that a charge of research misconduct has not been substantiated shall not preclude the University from taking other appropriate action against the respondent if the respondent's behavior or actions violate another University policy or rule.

**3.3** If the report of the formal investigation committee finds the charges of research misconduct against a respondent to be substantiated, the matter will then be referred to the responsible administrative entity within the University to determine the appropriate University sanctions, if any, to be imposed for the misconduct (3).

### 4. Other Actions and Procedures

**4.1** The Dean in consultation with the Provost will, during the course of the inquiry or formal investigation, take administrative action, as appropriate to protect the welfare of animal or human subjects.

**4.2** At any time during the inquiry or formal investigation, the Dean and Provost will immediately notify the relevant funding agency(ies) if public health or safety is at risk; if agency resources or interests are threatened; if research activities should be suspended; if there is reasonable indication of possible violations of civil or criminal law; if Federal action

is required to protect the interests of those involved in the investigation; if the University believes the inquiry or formal investigation may be made public prematurely so that appropriate steps can be taken to safeguard evidence and protect the rights of those involved; or if the research community or public should be informed.

**4.3** If the final report of the formal investigation committee finds charges have been substantiated, the Provost or Dean will take appropriate steps to correct any misrepresentations resulting from the misconduct. If, at any time during the inquiry or investigatory stages, the respondent admits to the alleged misconduct, the Dean will take the necessary steps to complete the inquiry in order to correct the scientific record. If misrepresented results have been submitted for publication, already published, or otherwise disseminated into the public domain, appropriate journals and other sponsors will be notified. In addition, collaborators, and other affected individuals, organizations, institutions, and sponsors will be informed.

**4.4** Complete records of all relevant documentation on cases treated under the provisions of this policy will be preserved by the offices of the Dean and the Provost in a manner consistent with the Protocols for the University Archives and Record Center. In cases adjudicated under Section 3, records will be preserved for a minimum of ten years following completion of all proceedings. Records of cases which are dropped will be preserved for at least three years following the initial inquiry. When students are involved in these procedures, the confidentiality provisions applicable to educational records will govern the disclosure of the records.

**4.5** The University may act under these procedures irrespective of possible civil or criminal claims arising out of the same or other events. The Dean, in consultation with the Provost and the general counsel, will determine whether the University will proceed against a respondent who also faces related charges in a civil or criminal tribunal. If the University defers proceedings, it may subsequently proceed irrespective of the time provisions set forth in these procedures.

### Endnotes

1. The decision to initiate a formal investigation must be reported to the Office of Research Integrity, Department of Health and Human Services, if the research has been supported by a grant from DHHS, according to DHHS regulations.

2. There is a discrepancy between University regulations, which use the standard of "clear and convincing" evidence, and regulations of the Office of Research Integrity, which use the lower standard of "preponderance of evidence". Therefore, if there is a finding of fault, the inquiry must explicitly state whether the higher University standard is met, to inform the University administrative entity which is responsible for determining possible sanctions.

3. The intent of this policy is that the appropriate administrative entity will take responsibility for determining and implementing sanctions.

For instance, if the respondent is an undergraduate student any disciplinary sanctions will be determined by the Office of Student Conduct in accordance with its amended Charter procedures dealing with research misconduct findings. In order to determine sanctions, the findings and accompanying documents should be forwarded to the Office of Student Conduct. Upon review of all findings, including all submissions by the respondent etc., the Office of Student Conduct will propose appropriate sanctions to the respondent. The respondent would then have an opportunity to accept, reject or propose alternative sanctions. If either the original sanction or an alternative sanction is accepted and agreed upon, the OSC then has primary responsibility for implementing and monitoring sanctions. If the respondent rejects the sanction, the respondent may appeal the nature and severity of the sanction only to the Disciplinary Appellate Officer within the Student Disciplinary System. If the decision of the appellate officer is to uphold the proposed sanction, the sanction will be imposed, with no further levels of review.

Likewise, if the respondent is a graduate student, postdoctoral fellow, or staff member, the responsible administrative entity would consider the information and determine sanctions.

### **C.3. Policy of the Graduate Group in Demography Regarding Authorship Credit in Collaborative Faculty-Student Publications**

The Graduate Group in Demography takes seriously its mission of training new scholars and research workers. Graduate education, especially at the doctoral level, is designed to facilitate the evolution of individuals from student to colleague. One of the proudest achievements in the professional life of any faculty member should be the success of his or her students.

The success of this enterprise requires an atmosphere of mutual respect and trust among students and faculty. All must feel free to exchange ideas, discuss academic issues, and work together in the advancement of knowledge in the field. It has been our experience that such a climate of mutual respect and trust has and does exist within our community. Nevertheless, because of the many opportunities for collaborative research in Demography involving faculty research projects of various scale, we take the opportunity provided by the Graduate Council of the Faculties' 8 October 1998 policy on authorship credit in collaborative faculty-student publications (<https://catalog.upenn.edu/pennbook/fairness-authorship-credit-collaborative-faculty-student-publications-phd-am-ms-students/>) to set forth guidelines for multiple authorship issues involving faculty and students.

The Graduate Group in Demography recognizes that the production of intellectual knowledge often benefits from a variety of contributions from many people. These may be contributions of ideas, data, financial support, and encouragement, among others. It is a long standing and time-honored academic norm to acknowledge such contributions in footnotes and Acknowledgment sections of published works and elsewhere. We subscribe to this tradition and urge all of our graduate students to make it part of their own professional character. The following guidelines, therefore, are intended to supplement, not replace, these professional norms.

## FAIRNESS OF AUTHORSHIP CREDIT IN COLLABORATIVE FACULTY-STUDENT PUBLICATIONS FOR PHD, AM, AND MS STUDENTS

The Graduate Council of the Faculties has unanimously approved a policy on authorship credit in collaborative faculty-student publications. The intent of the policy is to avoid situations in which graduate students or faculty feel that their contribution to published work has not been fairly recognized. Our intent in the distribution of this policy statement to faculty and graduate students is to make authorship discussions a routine part of conversations about intellectual collaboration.

### Why is a policy needed?

1. For students who intend to pursue academic and/or research careers, scholarly publications that reflect the product of their research work are essential to being considered for a job and establishing a career.
2. Faculty members are almost always directly involved in the student's scholarly work as mentors, employers, collaborators, or consultants.
3. When publications emerge from collaborative faculty-student effort, it is not always clear who should be given authorship credit, and in what order the authors' names should appear on the published work.
4. The Vice Provost, the Council of Graduate Deans and the Graduate Council of the Faculties have been made aware over the years that there is widespread uncertainty among graduate students about what constitutes fair practices for the determination of authorship. Practices vary widely between and within departments at Penn.
5. Graduate students are understandably reluctant to raise issues of authorship at the beginning of projects, and skeptical about the efficacy of raising issues once the work has been completed. Students feel that authorship credit is a difficult issue to raise, because their questioning of the arrangements can be interpreted as a challenge to the mentor on whom the student depends for intellectual and/or financial support as well as future letters of recommendation.
6. The lack of clarity concerning fairness in authorship is evident not only among graduate students. Faculty members, too, are often uncertain about fair practices. Some feel that their intellectual and written contribution to a student's published work has not been sufficiently acknowledged.
7. As part of their appropriate professional education, young scholars need to learn about how questions of joint-authorship are decided. Guidelines can facilitate discussions between students and their faculty mentors which further such learning.

### Diversity of Practices in Different Disciplines and Departments

In considering the task of formulating a university-wide policy on Fairness in Authorship Credit, the Graduate Council of the Faculties is aware that different traditions of joint authorship exist in different disciplines and departments.

- In some fields, the Principal Investigator of the lab is first author of all publications.
- In some fields, faculty members rarely or never receive authorship credit on student publications, no matter what their contribution to the project or the product.
- In some fields, authorship depends on intellectual leadership and actual contribution to the ideas for the project and the written product.
- In some fields, authorship rules are clear; in others they are subject to negotiation.
- In some fields, research assistants and research fellows are automatically included as authors when the outcome results from paid work. In other fields, these students are automatically excluded as authors when the outcome results from paid work.

### A University-wide Process for Establishing Authorship Credit

In light of the variability, ambiguity, and uncertainty regarding faculty-student authorship of published work, there are no specific rules that can be enunciated by the Graduate Council of the Faculties that will address the situation in all departments and academic disciplines. Instead, the Graduate Council of the Faculties is mandating a set of processes within each graduate group that will clarify expectations concerning authorship for each student and faculty member.

### A. Graduate Group, School, and University-wide Policies

Graduate groups must publish and publicize general guidelines concerning authorship and make them available to all graduate students. School-wide policies have been established for the programs in Biomedical Graduate Studies ([https://webdev.med.upenn.edu/contribute/bgs/documents/BGSauthorshippolicy\\_May18\\_2012.pdf](https://webdev.med.upenn.edu/contribute/bgs/documents/BGSauthorshippolicy_May18_2012.pdf)) and Wharton Doctoral Programs ([https://provost.upenn.edu/uploads/media\\_items/2014-2015-final-wharton-doctoral-policies-procedures-original.original.pdf](https://provost.upenn.edu/uploads/media_items/2014-2015-final-wharton-doctoral-policies-procedures-original.original.pdf)). For individual Graduate Group policies see the alphabetical listing. In the absence of School or individual policies, the University-wide policy applies:

#### University-wide Policy

##### Humanities

1. The graduate group expects students and faculty to produce individual scholarship and to cite all contributions to their work accordingly.
2. All student work for the fulfillment of degree requirements is student work and the property of the student, with due citation and acknowledgment of contributions from others.
3. Students have the right to publish their work.
4. Any joint project will be publicly presented as such from the outset and the collaborators will agree from the beginning that their joint efforts will be presented publicly under both names.
5. If there is any dispute as to propriety in joint work, the matter should be brought to the attention of the graduate chair and then handled within the graduate group with appropriate consultation with other members of the graduate faculty.

##### Science

1. Qualifications for Authorship. Authorship should be based on any of the following:

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- Initiating the scientific ideas addressed in the paper. qualify that person for authorship.
- Significant contribution to building the experimental apparatus.
- Significant contribution to the data taking.
- Major contribution to the data analysis.
- Important role in writing the paper and reviewing its scientific content.

Authorship should not be based on the following:

- Participation in obtaining funding or general supervision of the group but not participating in the general intellectual activity of the group does not qualify that person for authorship.
  - Simply being a member of a group does not qualify that person for authorship.
2. **Authorship Order.** The person making the greatest scientific contribution is the first author. It is usually clear who has done this. Subsequent authors are listed in order of decreasing scientific contribution.
  3. **When Conflicts Arise.** Sometimes, even when the rules have been followed, a student may feel unfairly treated. The best possible solution is for the faculty advisor and the student to discuss and hopefully resolve the conflict. If that does not work, a student and faculty advisor may ask the graduate chair to arbitrate. The graduate chair may ask the department chair for assistance.

**Social Science**

1. It is to everyone's benefit if there is a clear understanding about potential joint authorship roles whenever there is research collaboration among faculty and students, whether the latter are assigned as apprentices, students in a class, hired assistants, or any other role. Initial arrangements can always be discussed again should circumstances change, for example if the student contributes more to the project than originally anticipated.
2. Authorship is not presumed to be a right obtained by association with a research project. Hence the need for prior understandings, as stated above.
3. In general authorship implies that the person made a major substantive contribution to the research being reported.
4. Data gathered for a research project or program of research under a Principal Investigator [under a grant or otherwise] are the property of that Investigator. It is an academic tradition that such data are not used without the PI's permission, unless they have been made part of a public archive. In either case, proper acknowledgements are expected.
5. It is the presumption that the person who conceptualized the project, secured the funding, developed the research instruments, etc., should review any publications or other public presentations from the project and give his or her permission if something from the project is to be published without his or her name on it.
6. A student is presumed to have authorship of his or her masters thesis and/or doctoral dissertation and is encouraged to publish any parts or all of the approved thesis or dissertation unless there have been some prior restrictions to which the student has agreed, e.g. that authorship must be shared with others contributing to the project or to wait for a jointly authored or edited book combining several theses.
7. **Authorship Order.** The order of names should be mutually agreed, preferably at the outset. The person making the greatest scientific contribution is the first author. Subsequent authors are listed in order

of decreasing scientific contribution. If contributions are spread equally, the order of authors is usually alphabetical.

8. It is impossible to anticipate all potential problems. We believe that mutual respect, trust and clear communication will forestall difficulties. However, if disagreements about authorship do arise and cannot be resolved by the people involved, it is recommended that the matter be referred to the Chair of the Graduate Group for prompt consideration and suggested resolution.

**B. Faculty-Student Level**

Individual mentors should conform to the graduate group policy on authorship credit. Mentors are responsible for anticipating possible disagreements concerning authorship credit regarding specific collaborative projects and should initiate clarifying discussions before students have invested substantial time on such projects. These discussions should be reopened if relative contributions change.

**C. Appeals Process**

No policy can prevent the occurrence of all instances of actual or perceived unfair treatment. Although inequities can occur to either faculty or graduate students, we believe that graduate students are usually more vulnerable to faculty practices and less able to act when they feel that fairness has been violated.

In cases of disagreements about authorship, the following steps should be taken:

1. Students who feel that they have been mistreated should raise the issue with their mentor and their graduate chair.
2. If the disagreement is not resolved to all participants' satisfaction, an appeal can be made to the Dean of the School, who should convene a committee of faculty and graduate students to hear the disagreement and attempt to resolve it. Cases will be decided in the context of the published norms and guidelines of the graduate group.

## **C.4. University of Pennsylvania Policy Regarding Human Subject Research in the Sociobehavioral Sciences**

The University of Pennsylvania is committed to maintaining a comprehensive program to protect human subjects engaged in research conducted or supported by the University. Graduate students in the Penn Demography Program therefore must comply with the Penn Policy Regarding Human Subject Research in the Sociobehavioral Sciences (<http://www.upenn.edu/almanac/volumes/v53/n06/or-hsresearch.html>) (reprinted in Section C.4 of this guide).

### **Training Requirement:**

By the beginning of the spring semester of the first year, students are expected to have completed the Penn-required education regarding human subject protection for all researchers engaging in human research. The training module is available at <http://knowledgelink.upenn.edu/>. In the Search Catalog, search for CITI Protection of Human Subjects Research Training – ORA. List the Program Coordinator as your supervisor in your PennProfile/Knowledge Link. This will allow the Coordinator to monitor your progress and download your Training Certificate after you complete your training.

Research ethics and training in human subjects research are also an important part of the curriculum at the GGD, and discussions of these issues are incorporated in the required courses. The second-year research seminar (DEMG 7070/7071) also incorporates a comprehensive discussion of research ethics and training in human subjects in the context of students' 2nd year papers. Students are also advised to consult the relevant webpages of the Population Studies Center at <https://www.pop.upenn.edu/resources/human-subjects-bioethics-irb>.

See the Penn Human Subject Research Policy at <http://www.upenn.edu/almanac/volumes/v53/n06/or-hsresearch.html> and the webpages of the Office of Regulatory Affairs at <http://www.upenn.edu/regulatoryaffairs>.

### **Human Subjects Research: Compliance with IRB Regulations**

Two aspects of the Penn Policy Regarding Human Subject Research in the Sociobehavioral Sciences are particularly important for Demography Ph.D. students:

1. Secondary data analyses of a public use data file, which contains only non-identifiable data or data for which a breach of confidentiality is not an issue (e.g., public business statements), are not considered human subject research for the purpose of IRB review and as such are not under the purview of the IRB.
2. Secondary data analyses of a non-public-use data file—that is, non-identifiable data in a non-publicly available or proprietary file—are generally exempt from review (except, for example, if vulnerable populations are involved).

To ensure compliance with the Policy Regarding Human Subject Research in the Sociobehavioral Sciences, students must obtain IRB approval for their first- and second-year research papers and for their dissertation research, or determine that their research falls outside the purview of the IRB. In the latter case, students must notify the Graduate Chair and Graduate Coordinator with a written statement and justification that the research does not require IRB approval (e.g., the research is based on aggregate

demographic data only and does not involve human subjects, or the research is based on a public-use data file that contains only non-identifiable data). Please navigate to this website, <https://irb.upenn.edu/initial>, and click “Is IRB Review Required?” to see whether a research project requires IRB review.

If a student’s research involves human subjects and falls within the purview of the IRB, an appropriate IRB protocol needs to be filed with the Office of Regulatory Affairs ([https://irb.upenn.edu/forms?tid\\_1%5B%5D=4](https://irb.upenn.edu/forms?tid_1%5B%5D=4)). Research activities can only commence once IRB approval has been obtained.

It is possible that a student’s research is “exempt from IRB review”. Exempt research, for example, includes studies that involve face-to-face or telephone interviewing, are based on non-interventionist observations of behavior occurring in public, or use secondary analyses of anonymized existing individual level data. Guidelines to determine whether a study is exempt from IRB review are available at <https://www.hhs.gov/ohrp/regulations-and-policy/decision-charts/index.html>. The IRB makes the final determination of exemption.

Students must electronically file an initial IRB application using the Penn Human Subjects Electronic Research Application (HSERA) Application here: <https://hsera.apps.upenn.edu/hsProtocol/jsp/fast2.do> (PennKey authentication is required). You may request for exemption through the application. If the study qualifies for exemption, the research protocol will be approved by the IRB for a period of three years. You will use the same application if a research project involves human subjects, but does not qualify for being exempt from IRB review.

Please see this PDF for a step by step guide on how to submit an initial IRB application: <https://irb.upenn.edu/sites/default/files/How%20to%20Submit-%20Initial-11.13.17.pdf>.

Students must provide the Graduate Chair/Coordinator with an electronic copy of the IRB Training Certificate, and, if applicable, the IRB protocol number, IRB approval date and expiration date for their 1st-year paper, 2nd year paper and dissertation research.

The following is the original policy reprinted from *Almanac*, Volume 53, No. 6 (October 3, 2006), <http://www.upenn.edu/almanac/volumes/v53/n06/or-hsresearch.html>

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**OF RECORD**


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*The University of Pennsylvania is committed to ensuring the protection of human subjects in all of its activities including research. Research in the sociobehavioral sciences, like research in the biomedical sciences, must provide adequate and appropriate protection of any and all human subjects who participate in this activity. This policy aims to facilitate this, both from the perspective of sociobehavioral investigators and from the perspective of University oversight. The policy is consistent with the Provost's statement on the University's Human Research Protection Program published in Almanac (July 11, 2006) asserting that all personnel engaging in human research must have documented education regarding human subject protection. Additionally, it reaffirms the recommendations of the report by the Working Group on Human Subject Research in the Sociobehavioral Sciences previously published in Almanac (September 3, 2002).*

*The following policy is effective immediately and investigators will have up to six months to complete the education and certification requirement. Training modules can be found at Knowledge Link ([www.uphs.upenn.edu/knowledge/link/](http://www.uphs.upenn.edu/knowledge/link/)).*

—Ron J. Daniels, Provost

—Steven J. Fluharty, Interim Vice Provost for Research

## Policy Regarding Human Subject Research In the Sociobehavioral Sciences

### Scope

This policy is applicable to all employees, students, trainees, faculty, and other persons working for or in facilities owned and operated by the University of Pennsylvania and conducting sociobehavioral research. This policy is meant to apply University-wide to all research involving human subject data, and inclusive of biomedical research protocols applying sociobehavioral techniques (e.g., survey research). Depending on the type of research, other policies (e.g., those pertaining to biomedical research) may apply as well. Relevance is determined by the involvement of living human subjects in observational or experimental research, or in the use of records or specimens that may conceivably place the subjects of these records at risk, as per the Common Rule.<sup>1</sup>

The term "sociobehavioral sciences" (or the term "social and behavioral sciences") must be understood as a shorthand term for the set of inquiries involving human subjects not otherwise subsumed under the biomedical sciences. It includes fields of research specifically defined as behavioral and social sciences in federal manpower reports;<sup>2</sup> that is, "anthropology, demography, the non-clinical fields of psychology, sociology, and the speech and hearing sciences." It also includes human subject research in economics, business, education, and history, among others (see the Common Rule<sup>1</sup>). Thus, the proposed policy applies to all sociobehavioral research irrespective of its institutional setting within the University or its source of funding. Note that disciplinary predilections—for example, rejection of the rubric "science"—are insufficient warrant for self-abstention from the policy promulgated here.

### Regulatory Background

In the context of Institutional Review Board (IRB) oversight of human subject research, the Common Rule specifies three levels of review of proposed research,<sup>1</sup> which can be summarized as follows:

- 1) *full board review*—a convened IRB committee must approve the proposed research, applying criteria set forth in the Common Rule, before the research can be conducted;
- 2) *expedited review*—certain kinds of research involving no more than minimal risk, as well as minor changes in approved research, can be approved by an administrative mechanism not requiring a convened IRB committee;
- 3) *exempt from review*—minimal risk research activities in a number of specified categories,<sup>3</sup> involving human subjects not from vulnerable populations,<sup>4</sup> are exempt from full review as per the Common Rule.

These three levels of review require submission of a research protocol to the IRB. Specific submission requirements for each category can be found at the IRB website.<sup>5</sup>

At the University of Pennsylvania, "expedited review" is typically performed by Office of Regulatory Affairs personnel. The University is also required to have a mechanism in place for determining whether a proposed research protocol is "exempt from review." As per the federal-wide assurance (FWA) that the University has in place, this determination is made by an administrative mechanism<sup>6</sup> similar to that for "expedited review." In addition, there are certain kinds of research not covered by the

Common Rule. Such research does not require any involvement of the IRB, even at the level of "exempt from review."

This policy clarifies that specific activities in the social behavioral sciences do not require IRB involvement. As a category distinct from "exempt from review," it is referred to as "not under the purview of the IRB."

### Implementation

Implementation of the policy outlined below will be the responsibility of the Office of the Vice Provost for Research. In consultation with the Schools and their faculty, the Vice Provost will create a training program, and a certification process documenting successful completion of the training program. Any sociobehavioral research activities involving human subjects or human subject data will require prior official certification once this policy becomes effective.

### Policy

#### Education and Certification

This policy extends to the sociobehavioral sciences a requirement currently in place in the School of Medicine that has been enforced outside of the School of Medicine only for key personnel submitting grants to federal agencies. The requirement now becomes University-wide, covers sociobehavioral research, and is not restricted to federal grant activity.

1. All personnel—faculty, research fellows, students and staff—engaging in sociobehavioral research must have documented discipline-appropriate education regarding human subject protection, in accordance with certification standards defined by the Vice Provost for Research.

The training program and certification process are to be kept current under the auspices of the Vice Provost for Research and in consultation with the Schools and their faculty.

#### Survey Research

Survey research, which includes face-to-face or telephone interviewing, or self-administered questionnaires (as through the mail or via the Internet), generally has a low cost of participation, since it usually requires only a small amount of subjects' time. According to the Common Rule,<sup>6</sup> such research is "exempt from review" and does not require written consent, as clarified below.

2a. Survey research is *exempt from review* if the survey is anonymous or protection of the confidentiality of research subjects is adequately demonstrated,<sup>7</sup> and if all other applicable criteria for *exempt from review* are fulfilled (e.g., research must not involve vulnerable populations<sup>4</sup> or put subjects at more than minimal risk).

2b. For research that is exempt from IRB review, human subjects responding to a survey are automatically considered to have given informed consent.

In order to qualify for a default waiver of written consent as per policy item 2b, an exemption form<sup>8</sup> must be presented to the IRB showing that:

- i) human subjects will be informed of all applicable elements of consent prior to responding to the survey; and
- ii) all criteria for "exempt from review" are fulfilled.

4 [www.upenn.edu/almanac](http://www.upenn.edu/almanac)

#### Secondary Data Analysis

Secondary data analysis is the (usually statistical) investigation of individual-level data records collected in another study, with the following characteristics: (1) no direct contact with or experimental manipulation of human subjects; (2) no new data collection; and (3) no identification of individual research subjects. In agreement with recommendations 1 and 6 of the Draft Recommendations Regarding Public Use Data Files<sup>9</sup> issued by the National Human Research Protections Advisory Committee (NHRPAC), this policy states that such research may either be "exempt from review" or "not under the purview of the IRB," as clarified below.

3a. Research on a public-use data file, which contains only non-identifiable data or data for which a breach of confidentiality is not an issue (e.g., public business statements), is not considered human subject research for the purpose of IRB review and as such is *not under the purview of the IRB*.

3b. Research on a non-public-use data file—that is, non-identifiable data in a non-publicly available or proprietary file—is *exempt from review*, unless vulnerable populations are involved. Non public use data files may be submitted by a School to the IRB for approval. If approved, with the appropriate maintenance of safeguards, studies using these data sets are no longer human subject research and as such are not under the purview of the IRB.

Investigators must agree not to attempt to re-identify the human subjects.

Investigators planning to study non-public-use data files must demonstrate to the IRB that confidentiality of research subjects is protected, by providing direct evidence of protection procedures or by showing that the data supplier already received IRB approval in which non-identifiability was considered and confirmed. The latter does not necessarily require submitting to the IRB the survey instrument or consent form used in the research that yielded the data.

Researchers operating in one of the categories of the Health Insurance Portability and Accountability Act (HIPAA) should refer to the HIPAA regulations that contain a definition of identifiability.<sup>10</sup>

#### Evolving Research

Evolving research is a class of research in the sociobehavioral sciences in which the questions that are posed evolve in the course of investigation. An example is ethnography, where research questions may only be clarified after a period of observation and where current findings drive the next steps in the study. This class of research typically involves studying human behavior in non experimental settings, with or without active participation by the investigator; but it can also occur in more structured observational settings (e.g., oral histories, focus groups). In specific cases, such research does not pose more than minimal risk to human subjects and is considered to be "exempt from review," as stated below. An approved mechanism is necessary for presenting to the IRB a research protocol that will evolve in the course of investigation. This policy institutes such a mechanism via certification.

4a. Research involving only non-interventionist observation of behavior occurring in public (including domains of the Internet clearly intended to be publicly accessible), for which no identifying information is recorded, is *exempt from review*.

4b. Investigators are allowed to use their certification, as per policy item 1, as a reference for describing evolving research activities to the IRB in lieu of a fixed research protocol.

This policy eliminates the need for investigators doing evolving research to spell out the details of a dynamic research protocol. The IRB can be assured that the research will be conducted in an ethically appropriate fashion, with full protection of human subjects, when certified investigators attest that their pre-registered research plan will be conducted within the ethical framework laid out in the training program for which they are certified.

Note that different studies by the same investigator(s) must be submitted to the IRB as separate research protocols. These must not be viewed as a single study evolving from one investigation into another.

#### Feasibility Assessment

Feasibility assessment (or exploratory research) is understood to involve the conceptualization or refinement of a research question through

harmless observation, casual conversation, and browsing of extant data. The Common Rule applies only to generalizable research.<sup>1</sup> Therefore, feasibility assessment is "not under the purview of the IRB" if a number of strict conditions are met, as specified below.

5. Feasibility assessment is *not under the purview of the IRB*, if and only if the following conditions are met:

- (a) the assessment involves no more than minimal risk;
- (b) the assessment does not involve any vulnerable populations, including prisoners, minors, pregnant women and fetuses, mentally impaired or disabled persons, terminally ill patients, the very elderly, and anyone incapable of self-determination;
- (c) the human subjects are not identifiable from any of the information acquired;
- (d) the assessment does not involve any deceptions;
- (e) the assessment data and results are not disclosed or published;
- (f) there is no systematic collection of data, or any systematic data collection serves only to calibrate a research instrument that involves no more than minimal risk.

If at any time any of these conditions cannot be satisfied, the project must be submitted to the IRB for review.

#### Adverse Effects

This policy prescribes the documentation of possible negative effects on human research subjects and how they can be reversed.

6. For research involving manipulations or deceptions of human subjects that may cause harmful or undesirable effects, research protocols submitted to the IRB must specifically describe the recovery or debriefing procedures of the study, and address how the effectiveness of these procedures will be assessed.

When a research study may have foreseeable untoward effects on human subjects, the investigator must explain in the research protocol how these effects will be mitigated.

The IRB must be informed of the occurrence of any adverse events that take place during the research study or as a result of the research study. For research protocols that are reviewed by the IRB in one of the three review categories (full board review, expedited review, or exempt from review), adverse events must be reported for the annual continuing review. Research protocols "not under the purview of the IRB" require reporting of any adverse events within a month of occurrence, as such events may change the review status of the study. Unanticipated events or effects on human subjects that may change the interpretation of the risk of the protocol must be reported to the IRB as soon as they are identified.

<sup>1</sup> <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>

<sup>2</sup> <http://books.nap.edu/books/0309069815/html/31.html>

<sup>3</sup> Briefly, these include research conducted in established or commonly accepted educational settings involving normal educational practices; certain research involving the use of educational tests; certain research on elected or appointed public officials or candidates for public office; research involving the collection or study of publicly available or non-identifiable existing data; certain research on public benefit or service programs; and certain taste and food quality evaluation and consumer acceptance studies.

<sup>4</sup> According to the Common Rule, vulnerable populations include minors, prisoners, pregnant women, mentally disabled persons, and economically or educationally disadvantaged persons. Other categories of human subjects may be considered vulnerable depending on the research activities.

<sup>5</sup> <http://www.upenn.edu/regulatoryaffairs/human/forms.html>

<sup>6</sup> <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm#46.116>

<sup>7</sup> Demonstrating adequate protection of the confidentiality of research subjects does not necessarily imply a requirement to submit the survey instrument to the IRB.

<sup>8</sup> For survey research, pregnant women are not considered a vulnerable population.

<sup>9</sup> <http://www2.asanet.org/footnotes/feb02/indexone.html>

<sup>10</sup> <http://www.hipaadvisory.com/reg/finalprivacy/>

## **C.5. NIH Public Access Policy**

Students who have received direct funding by the National Institutes of Health (NIH) are subject to the NIH Public Access Policy (<https://www.pop.upenn.edu/nih-public-access-policy>). Direct funding by the NIH includes, for example, NIH research grants (R01, R21, R03, R01 supplements, etc.) and NIH training grants (e.g. T32 HD007242) that support a student's tuition and/or stipend, and the PSC/PARC pilot grant program (TRIO grants) that is funded generally by either the R24 HD044964 or the P30 AG012836.

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research. The policy requires students who receive (or have received) direct NIH support to submit final peer-reviewed journal manuscripts that arise from NIH funds—e.g., journal publications based on a student's dissertation, or publications resulting from a student's 1st/2nd year paper, or other peer-reviewed articles that are based on research conducted or started while a student received direct NIH support—to the PubMed Central digital archive upon acceptance for publication. Students remain subject to this policy even after graduation as long as publications are based on research that received direct NIH funding while you were here at Penn. To help advance science and improve human health, the Policy also requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication. The process of ensuring that your peer-reviewed journal articles are compliant with the NIH Public Access Policy involves: (1) being aware of the policy before submitting a manuscript for publication; and (2) ensuring that in your communications with the publisher/journal you make it known that the manuscript is subject to the policy by acknowledging the NIH grants that funded you or your research (and by providing accurate grant funding information); and (3) ensuring that you are aware of the publisher/journal policy regarding their requirements and copyright agreements before signing your rights over specifically in regard to the NIH Public Access Policy and filling out any additional forms as required; and (4) following up upon acceptance that the article gets deposited as specified by the publisher/journal soon after acceptance; and (5) finally, if required by the submission method ([http://publicaccess.nih.gov/submit\\_process.htm](http://publicaccess.nih.gov/submit_process.htm)) logging into the NIHMS system (<http://nihms.nih.gov/>) and approving manuscripts. Information Services staff are available to assist you at any point in the publication process and are also available to answer your questions ([psc\\_library@mailman.ssc.upenn.edu](mailto:psc_library@mailman.ssc.upenn.edu)).

Additional details about the NIH Public Access Policy, including how to obtain or retain copyright for a submission to PubMed Central, is available at <http://publicaccess.nih.gov/>. Here is just an example of how to acknowledge grant funding in a way that a publisher will understand and that is thorough and accurate with the most important elements in bold: “This publication/research was made possible by National Institutes of Health (NIH) Grant Number T32 HD007242 (PI: Michel Guillot) awarded to the University of Pennsylvania. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the [name of awarding office or NIH].”

Students are required to submit the PMCID or NIHMSID numbers, which are assigned as part of the submission process to PubMed Central, to the graduate chair during their progress reports (see below) so that the publications can be appropriately reported as part of the GGD progress reports to the National Institutes of Health. Please note that other staff at the PSC/PARC may also follow up with you regarding the policy. Please respond in a timely matter as these requests can impact the receipt of NIH funding by PIs.

## **C.6. Funding Opportunities Outside GGD**

### **C.6.a. Funding for Research**

The GGD Resources page on <http://demog.pop.upenn.edu/resources-0> has a longer list of agencies and programs that provide funding. Below are the most common that students apply to.

*Note: GGD students should always check with the GGD Chair prior to applying for external fellowships, in order to discuss the impact of receiving an external fellowship on their existing GGD funding guarantee, among other issues.*

NSF

<http://www.nsf.gov/funding/>

NIH F31 Predoctoral Individual National Research Service Award

[http://grants.nih.gov/training/F\\_files\\_nrsa.htm](http://grants.nih.gov/training/F_files_nrsa.htm)

Ford Foundation Fellowship

- Requirements
  - All citizens, nationals and permanent residents (holders of a Permanent Resident Card) of the United States, and individuals granted deferred action status under the Deferred Action for Childhood Arrivals Program, regardless of race, national origin, religion, gender, age, disability, or sexual orientation,
  - Individuals with evidence of superior academic achievement (such as grade point average, class rank, honors or other designations),
  - Individuals committed to a career in teaching and research at the college or university level.

<http://sites.nationalacademies.org/pga/fordfellowships/>

Fulbright (US students to study/do research outside the US / non-US students to study in the US)

<https://us.fulbrightonline.org/>

Social Science Research Council (SSRC) Fellowships

- Abe Fellowship (see part about social & cultural issues)
- <https://www.ssrc.org/programs/abe-fellowship-program/abe-fellowship/>
- International Dissertation Research Fellowship (IDRF)
- <https://www.ssrc.org/programs/idrf/international-dissertation-research-fellowship/And more...>  
<https://www.ssrc.org/fellowships-and-opportunities/>

Foreign Language and Area Studies (FLAS)

- Provides allocations of academic year and summer fellowships to institutions of higher education or consortia of institutions of higher education to assist meritorious undergraduate students and graduate students undergoing training in modern foreign languages and related area or international studies. Eligible students apply for fellowships directly to an institution that has received an allocation of fellowships from the U.S. Department of Education.

<http://www2.ed.gov/programs/iegpsflas/index.html>

SAS Dissertation completion fellowship

- Open to students in their 5th year and final year.
- Email invitation for nominations sent from GAS Dean

#### Mellon/ACLS Dissertation Completion Fellowship

- Eligibility
  - The program is open to Ph.D. candidates in a humanities or social science department in the United States.
  - Applicants must have completed all requirements for the Ph.D. except the dissertation (obtained ABD status) by the application deadline.
  - The program is restricted to graduate students who have progressed no further than the sixth year of the degree program. (This includes time for a master's degree obtained en route to the Ph.D.)

<http://www.acls.org/programs/DCF/>

### **C.6.b. Funds for Travel**

Students can apply for funding for travel to conferences from the following Penn sources:

GAPSA

<http://www.gapsa.upenn.edu/individual-grants/>

SASgov

<https://www.sasgov.sas.upenn.edu/individual-funding>SAS Travel

Subvention

<http://www.sas.upenn.edu/fas/finance/travel-entertainment>

## **C.7. Important Travel Information**

### **C.7.a. UPenn Travel & Expense Management System (TEM - Concur)**

<http://cms.business-services.upenn.edu/penntavel/>

Concur is a fully integrated online travel booking, expense reporting and reimbursement application for faculty, staff and students conducting University business. If you have funding through the University to pay for your conference or a research trip, you should use the Reservation system. Concur/World Travel is the official Penn travel agent that provides this travel service. All travel related expenses should be processed through this system instead of the excel forms. All expense reports must be initiated by the person seeking the reimbursement. Before using the system, you will need to set up a profile (<http://cms.business-services.upenn.edu/penntavel/images/stories/tem-training-docs/cncrtr%20-%20set%20up%20profile.pdf>). You should list the GGD Program Coordinator as your delegate for funds coming from the GGD or PSC; see instructions for setting up a delegate (<http://cms.business-services.upenn.edu/penntavel/images/stories/tem-training-docs/cncrtr%20-%20assign%20a%20delegate.pdf>). You should submit documents in accordance with policies for each Business Office (in other words, GAPSA, SASgov and McNeil Business Office do not necessarily require the same supporting document).

#### ***FAQ about the Concur system.***

When booking flights, who is the budget approver?

A: 02 SAS Philip Thomas

When submitting reimbursements that are paid from GGD, NICHD/NIA for PAA, or Sociology funds, who is the budget approver?

A: You should list the GGD Coordinator as a delegate so she can review the reimbursement prior to submission. After submitting the reimbursement, it will go to Phil Thomas who will initially review it and then send it to the appropriate approver.

Do you use the Concur system to book Amtrak tickets?

A: No, Amtrak tickets are purchased directly through Amtrak. Send the desired train number, time and destination to the GGD Coordinator for purchase and confirm the funding source.

For PSC & GGD funded expenses, what supporting documents need to be uploaded to the system?

A: 1) Receipts – make sure you upload these with the correct dates in the proper location. Do not upload all of them to one location. Make sure to use the correct codes for the explanation of charges. 2) If you paid online and your confirmation does not clearly state that you paid, include your credit card bill proving payment. 3) If you are funded by a grant or professor's research fund, include the email from the PI or professor acknowledging approve.

There is an exception area, indicated by a yellow icon, where the *"The student/trainee will include in the Business Justification field full detail of scope of assignment including location, dates, activity and provide the name of the specific school/faculty member/University organization supporting this assignment. The student/trainee will promote the business objectives of the University and/or consult with and advise the University on matters and/or perform representation relating to the provided information."* How do I deal with this?

A: Enter a detailed description of your trip, activity or expense in the Business Justification field in the Report Header. This description should include the information requested in the exception note explaining

how the expense is justified and who granted you permission to use the funds. You have a 500-character limit. Your reimbursement will be returned if this is not adequately filled in.

If the cost of the expense exceeds the amount of the reward, how should I reconcile this?

A: Enter the information for the expense entering the full amount of the airfare or hotel. Click the **Itemize** button at the bottom of the expense detail. The screen will refresh and a single box will appear asking for the expense type. Select the appropriate type (airfare, hotel). The screen will refresh and you should enter the amount that the funding will cover and click Save. The box asking for the expense type will appear again. This time select non-reimbursable. When the screen refreshes, enter the amount that is above the funding award and click Save.

### C.7.b. Global Activities Registry (GAR)

<http://global.upenn.edu/gar>

GAR is Penn's central resource for collecting information about the international travel plans and activities of faculty, staff, and students preparing to travel abroad for academic, educational, extracurricular, clinical, research, or University business purposes. The purpose of the Global Activities Registry is to facilitate assistance to faculty, students and staff in the case of an emergency abroad. Information is available to a select group of individuals. Global Activities Registry is linked to Penn-International SOS.

### C.7.c. Penn-International SOS

<http://www.internationalsos.com/en/>

International SOS is a company that provides Penn faculty, students and staff with medical and travel assistance in the case of an emergency outside the United States. Among the more common uses are shipping medicine to someone in need, assistance in recovering lost passports, and evacuation for medical issues and political unrest. All faculty, students and staff are automatically covered by Penn-International SOS, even if s/he does not register (however, if the traveler or the group leader registers with Global Activities Registry, it is easier for Penn and International SOS to assist you). If you are in another country for personal reasons and find yourself in assistance, you may contact International SOS for assistance. However, if Penn incurs charges, Penn will expect to be reimbursed. **Penn Member ID: 11BSGC000012**

Penn-affiliated travel must be registered in the Global Activities Registry (GAR):

<https://global.upenn.edu/travel-guidance/register-your-trip>, so Penn can respond more effectively in the case of an emergency.

## Part D

## Resources for GGD Students

See the GGD Resources webpage (<http://demog.pop.upenn.edu/resources-0>) for a list of useful links regarding policies, procedures, campus resources and select professional organizations.

## Part E Revision History

May 19, 2009: First version, approved by GGD faculty on May 19, 2009

September 2014: Second version with non-curricular changes

August 2015: Third version, with curricular changes approved by the GGD faculty on May 19, 2015

August 2017: Fourth version, with curricular changes approved by the GGD faculty on October 27, 2015 and October 25, 2016.

November 2018: Fifth version, minor updates (no curricular changes)

September 2019: Sixth version, with curricular changes approved by the GGD faculty on May 21, 2019

August 2020: Seventh version, minor updates (no curricular changes)

August 2022: Eighth version, with curricular changes approved by the GGD faculty on May 17, 2022

April 2024: Ninth version, minor updates (no curricular changes)