# Table of Contents

Purpose ......................................................................................................................... 3

Introduction ................................................................................................................ 4

A University Degree .................................................................................................. 5

Code of Academic Integrity ..................................................................................... 6

Basic Requirements .................................................................................................. 7

Curriculum for Full-time Students .......................................................................... 8

Joint MSW/Ph.D ........................................................................................................ 9

Grades and Academic Standing ................................................................................ 11

Academic Advisor ..................................................................................................... 13

Evaluation and Examinations ................................................................................... 14

Dissertation ................................................................................................................ 15

Defending the Dissertation ....................................................................................... 17

Time Limitations ....................................................................................................... 19

Applying for Graduation .......................................................................................... 20

Tuition and Fees (Academic Year 2012-2013) ......................................................... 21

Professional Development Allocation ...................................................................... 22

Registration, Billing and Fee Payments .................................................................... 23

Status .......................................................................................................................... 24

Teaching Assistant and Instructor Assignment ...................................................... 26

Grievances and Appeals ............................................................................................ 27
Purpose

The purpose of the Ph.D. Student Handbook of the School of Social Policy & Practice is to present the policies and procedures that guide and govern the School's Ph.D. program. Although substantial effort has gone into the Handbook and it is updated regularly, we anticipate that there will be occasional circumstances that it does not address. If, after reviewing the Handbook, a student believes that he or she has one such circumstance, he or she is encouraged to seek guidance from the Director of the Ph.D. Program (Professor Susan B. Sorenson) and/or the Administrative Assistant of the Program.

Disclaimer

The policies and procedures described in this manual are continually revised and updated. The program reserves the right to revise the manual on an as-needed basis. For the most recent policies and procedures, consult the website for the School of Social Policy & Practice at www.sp2.upenn.edu. In addition to the contents of this manual, students must also comply with the rules stipulated in the Provost's Educational Policies found at http://www.upenn.edu/provost/educational_policies_publications/.
Introduction

The field of Social Welfare draws from all the basic social science disciplines and the experience of social work and other professions. The practice of social welfare is the vigilant application of this knowledge toward improving our collective life, with particular attention to those who are most vulnerable to a loss or lack of resources. The vitality of social welfare is maintained by the passion for social justice brought by those who enter the field. Our doctoral students receive the training necessary to augment their passion with disciplined scholarship.

Like all Ph.D. programs at Penn, the Social Welfare doctoral program is operated as an interdisciplinary enterprise through a Graduate Group that includes the faculty of the School of Social Policy & Practice along with faculty with interest in social welfare from other departments and Schools, including but not limited to Anthropology, City Planning, Communication, Education, Family and Community Health (Nursing), Family Medicine, General Internal Medicine, Political Science, Psychology, Psychiatry, and Sociology. After completing a core set of courses in research methods, theory, and policy, students have the opportunity to take full advantage of the broader University. Many students use this time to make a ‘home away from home’ in another department or program by supplementing their core coursework with substantive training in a compatible discipline.

The Ph.D. in Social Welfare prepares students for careers as outstanding researchers and scholars. This is accomplished through a curriculum that is rigorous yet flexible. Students are held to high standards in the examination and dissertation processes, and are encouraged to develop their own work and voice through relationships with mentors and colleagues.

With this vision in mind, the Penn program in Social Welfare focuses its doctoral training on the following components:

- Core courses that provide a common foundation in the three "legs" of social welfare - theory, research, and policy;
- Elective courses that allow students to explore and develop specific expertise;
- Research assistantships with active researchers so as to foster the development of new knowledge; and
- Examination and dissertation processes that focus on the careful development of a scholarly colleague.

This manual will provide you with a guide to each of these elements in the process of earning a Ph.D. in social welfare.
A University Degree

The PhD is a University degree—meaning that it is not granted by any specific department or School including the School of Social Policy & Practice.

The University, through the Graduate Student Center, sets the calendar of deadlines, creates forms, and processes degrees.

The website of the Graduate and Professional Student Assembly is a key source of information. In addition, Penn has prepared a Graduate and Professional Student Handbook, which highlights many aspects of social and cultural life at Penn as well as additional academic information.

Program Administration

The Social Welfare doctoral program is administered by the Graduate Group in Social Welfare, which includes the standing faculty of the School of Social Policy & Practice and selected standing faculty from other schools and departments within the University. A list of the members of the Graduate Group is available at www.sp2.upenn.edu/programs/phd/gradgroup.html.

The Director of the doctoral program chairs both the Graduate Group and the Steering Committee. The current Director is Dr. Susan Sorenson.

The program’s Steering Committee, which consists of four (4) faculty members, the Associate Dean for Academic Affairs, two (2) students, and the Graduate Group Chair, monitors the program, recommends changes in policies and procedures and serves as the Admissions Committee.

Student activities are organized by the Doctoral Student Steering Committee, a student-led group, which will be described in additional detail later.
**Code of Academic Integrity**

The University of Pennsylvania has a well-articulated set of policies and procedures pertaining to the academic and professional conduct of graduate students. The policies and procedures are published online in the Pennbook at [http://provost.upenn.edu/policies/pennbook](http://provost.upenn.edu/policies/pennbook). The two most important policies in the Pennbook are the Code of Student Conduct and the Code of Academic Integrity. These two policies outline the general responsibilities of being a student at Penn. Doctoral students are expected to read and understand these policies.

Violations or infractions of these policies, including violations of the Code of Academic Integrity, will be processed in accordance with these policies and procedures by the Graduate Group Chair and the Committee on Academic Standing. Students who are found to violate the Code of Academic Integrity may be terminated from the program.
Basic Requirements

A minimum of 20 credit units (CUs) are required by the University for the Ph.D. degree. Of this number, a minimum of four (4) CUs of pre-program credits will be granted to applicants with an appropriate master’s degree in social work or a related profession or allied discipline.

Students not possessing the MSW degree, but with a comparable master's level professional degree or a master’s degree in a related social or behavioral science discipline, may choose to complete the MSW while completing the Ph.D.

Students must pass written preliminary examinations in research methods and statistics, social welfare history and policy, and social theory after completing the first six (6) required core courses (typically at the end of the first year). If the exam is not offered in a given year (e.g., when the cohort is small), it will be offered the following year with the subsequent incoming class. Failing these exams will automatically expel students from the program. There will be a chance for one make-up exam before such expulsions are final.

All required and elective coursework must be completed before a student defends his or her dissertation proposal. Successful defense of the dissertation proposal (also known as the candidacy exam) admits the student to candidacy for the doctoral degree.

All students in the program are responsible for the successful completion of the "core" and the "advanced" components (as listed below) of the curriculum in Social Welfare. In addition, students are expected to conduct research (e.g., participate in research collaborations with faculty) throughout their time in the program.

Core Component (8 CUs)
The core curriculum consists of:

- One course in the history and philosophy of social welfare (SWRK 803)
- Two courses in research methods (SWRK 852 and SWRK 855)
- Two courses in advanced statistics (for example, SOCI 535 and SOCI 536)
- One course in the economics of social welfare (SWRK 968)
- One course in advanced social theory (SWRK 811)
- One course in policy analysis (SWRK 861)

Advanced Component (8 CUs)
The advanced curriculum consists of:

- An advanced research methods elective course (in addition to SWRK 852 and SWRK 855). (Students are encouraged to take more than one such course.)
- One course in behavioral theory (of student’s choice with advisor’s permission)
- A half-credit proseminar (SWRK 901) which is taken every semester until the student successfully defends his/her dissertation proposal.
- A minimum of five (5) elective courses.

At least four (4) of the elective courses in the advanced curriculum must be taken in departments and units of the University other than the School of Social Policy & Practice. Students are encouraged to use electives to develop content and methodological expertise in their area of research. These courses must relate to the substantive content that students select for their individualized program of study, and must be listed by the University as at or above the 500 level. In some cases, students are allowed to take graduate-level courses at other universities. The student's advisor will guide the student in the selection of elective courses.
Curriculum for Full-time Students

FIRST YEAR

Fall Semester (3.5 units)
- SWRK 803 - Advanced History and Philosophy of Social Welfare
- SWRK 852 - Social Welfare Research Methods
- SOCI 535 - Social Statistics I
- SWRK 901 – Proseminar

Spring Semester (4.5 units)
- SWRK 811 - Social Theory
- SWRK 855 - Advanced Research Methods
- SOCI 536 - Social Statistics II
- Elective
- SWRK 901 - Proseminar

SECOND YEAR

Fall Semester (4.5 units)
- SWRK 968 - Social Welfare and Social Economics
- Theory Course or Elective
- Elective
- Elective
- SWRK 901 – Proseminar

Spring Semester (3.5 units)
- SWRK 861 - Policy Analysis
- Theory Course or Elective
- Elective
- SWRK 901 - Proseminar
Joint MSW/Ph.D.

Students already enrolled in Penn's MSW program may apply for admission to the MSW/PhD dual degree program (the application deadline is the same as the regular PhD program application deadline, December 15). Under special circumstances, students may apply to the joint MSW/Ph.D. program at the time of admission to the MSW program. After completing the first (foundation) year of the MSW curriculum, joint MSW/Ph.D. students begin to take Ph.D. level courses. Upon satisfactory completion of the MSW advanced-level curriculum, students receive the MSW degree and continue full-time in doctoral courses. Course and examination requirements for MSW/Ph.D. students are identical to those of full-time Ph.D. students.

Curriculum for MSW/Ph.D.

The proposed curricular plan for the MSW/Ph.D. is a recommendation, not a requirement. Students will advance into the doctoral program in consultation with the Director of the doctoral program and at different paces.

FIRST YEAR (MSW program)

Fall Semester (4 CUs)
- SWRK 601 - History & Philosophy of Social Work and Social Welfare
- SWRK 602 - Human Behavior in the Social Environment I
- SWRK 603 - American Racism and Social Work Practice
- SWRK 604 - Foundations of Social Work Practice + Field

Spring Semester (4 CUs)
- SWRK 611 - Contemporary Social Policy
- SWRK 612 - Groups, Organizations, and Communities in the Social Environment
- SWRK 613 - Promoting Social Change: Issues of Race and Gender
- SWRK 614 - Social Work Practice + Field

SECOND YEAR (MSW/Ph.D. program)

Fall Semester (4 CUs)
- SWRK 704 or 708 - Advanced Social Work Practice I (Direct or Macro) + Field
- SWRK 852 - Social Welfare Research Methods (Ph.D.)
- SWRK 803 - History & Philosophy of Social Welfare (Ph.D.)
- SWRK 7xx - Advanced Social Work Practice Elective

Spring Semester (4 CUs)
- SWRK 714 or 718 - Advanced Practice II (Direct or Macro) + Field
- SWRK 855 - Advanced Research Methods (Ph.D.)
- SWRK 811 - Social Theory (Ph.D.)
- SWRK 7xx - Advanced Social Work Practice Elective

THIRD YEAR (Ph.D. program)

Fall Semester (3.5 CUs)
- SOCI 535 – Quantitative Methods I
- Elective
- Elective
• SWRK 901 - Proseminar

**Spring Semester (4.5 CUs)**
• SOCI 536 – Quantitative Methods II
• SWRK 968 – Economics of Social Welfare
• SWRK 861 - Policy Analysis
• PUBH 504 – Behavioral Theory
• SWRK 901 – Proseminar

**End of the Third Year:** Preliminary Examinations

**FOURTH YEAR (Ph.D. program)**

**Fall Semester (3.5 CUs)**
• SWRK 901 – Proseminar
• Elective
• Elective
• Elective

**Spring Semester (0.5 CUs)**
• SWRK 901 – Proseminar

**Transfer Students**
In some cases, students may apply to the program while a doctoral student in another program. If admitted, these students may, after consideration by the Director of the doctoral program, receive credit for doctoral-level courses taken elsewhere. Such students then will join the program at the appropriate stage. Up to eight (8) courses can be transferred in from other doctoral programs.

**Part-time Students**
In some cases, students will be admitted to the program as part-time students. Such students are expected to complete 2-4 courses annually and are bound by all other rules pertaining to doctoral students unless otherwise specified.
Grades and Academic Standing

The letter grade evaluation system of the Graduate Group in Social Welfare is consistent with the system used by the M.A. and Ph.D. programs at the University (http://provost.upenn.edu/policies/pennbook/2013/02/13/academic-rules-for-phds-and-research-master-s-degrees). Specifically: 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 mark of S is used to indicate satisfactory progress. An “S” may be used as a permanent grade only for 999 courses. It is a temporary grade for all other courses.

The mark of I is used to indicate that the work for the course is incomplete. A student who fails to complete a course and does not withdraw or change his/her status to auditor within the prescribed period will receive, at the instructor’s discretion, a grade of I (incomplete) or F (failure). A student is expected to complete the work of a course during the term in which the course is taken. The instructor may permit an extension of up to one year for the completion of the course. In such cases, any course that is still incomplete after one calendar year from its official ending remains as “incomplete” on the student’s official record and cannot be credited toward a degree.

Overall GPA

Grade Point Averages (GPAs) are tabulated at the end of each semester and on a cumulative basis. The minimum standard for satisfactory work is a B average in each academic year. A student whose record falls below the B (3.0) average will be required to withdraw. Students will be given one opportunity to retake classes in which they received low grades before being required to withdraw.

The graduate group may set additional requirements that determine advancement, requirements that may require a student to withdraw despite a satisfactory grade point average if the quality of the student’s work is not at a level that predicts successful dissertation research.

Core Course Grades

A letter grade of less than B (including a B-) in a core course constitutes failure in that course. Students earning less than a B in any core course will be placed on probationary status and must repeat and earn a B or better in the course. Students may repeat a failed core course once.

Elective Course Grades

A letter grade of C or lower in an elective course will constitute a failure of that course. Students who fail an elective course will be permitted to retake that elective once or, with the prior approval of both the Director of the doctoral program and the student’s advisor, substitute another suitable elective for the failed course. Failure of two or more courses (core or elective) will subject the student to dismissal from the program.

In extreme and special cases, the Director of the doctoral program, in consultation with the Ph.D. Steering Committee, will make decisions regarding the academic standing of individual students in light of circumstances that may affect performance. Such circumstances may
include personal or family health matters, a leave of absence, changes in course requirements or the timing of such courses, transfer of external credits, etc.

**Independent Study**
Approval of independent studies is arranged through the student's academic advisor. Independent studies should further the student's educational plan and must complement, rather than substitute for, existing courses.

**Courses Taken Outside Penn**
Credit for courses taken outside of the University of Pennsylvania may be approved by the Director of the Doctoral Program provided that the following criteria are satisfied:

- No comparable course is available at the University of Pennsylvania.
- The content does not lend itself to a structured independent study.
- The proposed course is of sufficient quality and rigor to warrant doctoral credit.
- The proposed course is taken for elective credit.
- The student prepares a brief statement of justification outlining the special need to take the course outside of the University.
- The student's advisor approves the designated course as appropriate for inclusion in the student's educational plan.

Prior written permission to register for the course must be granted by the Director of the Doctoral Program. Under no circumstances will transfer credit be given to students for courses taken outside of the University of Pennsylvania without the prior approval of both the student's advisor and the Director of the Doctoral Program.

**Exchange Scholar Program, other cooperative agreements and classes outside Penn**

UPenn also has a cooperative arrangement with Bryn Mawr College, where University of Pennsylvania students may, upon presentation of the proper credentials and with the permission of the instructor concerned, enroll for up to the equivalent of three course units at Bryn Mawr. Details regarding the institutional exchange agreements are available from the Office of the Vice Provost for Education.

Students wishing to take courses in universities not affiliated with the Exchange Scholar Program or other cooperative agreements must seek the permission of the Director of the Doctoral Program and pay for such courses at their own expense.
**Academic Advisor**

Upon entering the program, each student is assigned an Academic Advisor who assists the student in becoming oriented to the program. The advisor is selected on the basis of the student's area of interest as designated on his/her application. This faculty member remains the student's advisor for the first year of the program at which time students select a permanent advisor. This generally occurs at the end of the first year of the program and no later than September 15th of the second year.

The responsibilities of the first year Academic Advisor include discussing with the student the nature and scope of the student's interests and beginning to develop an academic plan that will guide the selection of electives. The advisor monitors the student's academic progress and will counsel the student in case of failure of a preliminary examination and advise the student on plans for reexamination. The advisor also assists the student about her or his dissertation proposal and advises the student on the selection of a dissertation committee.

**Academic Progress**

Evaluations of the student's work for courses and seminars should be provided to the student at appropriate intervals during each term. Such evaluations should be made in relation to course content and to general performance at the doctoral level, including the student's level of conceptualization and ability to relate substantive content and research methodologies to the field of social welfare. Students whose work does not meet program expectations should be notified in writing at mid-term by the instructor. Students whose performance is below what is acceptable for doctoral work should be so informed in writing as soon as possible. Faculty should indicate the areas of identified weakness and specify what is needed to satisfy course requirements. In such situations, a copy of the notification should be sent to the student's academic advisor and the Director of the doctoral program.
Evaluation and Examinations

Three academic milestones must be passed by all doctoral students:

**Preliminary Examination:** The preliminary examination consists of a two-day at-home exam on social welfare history, a two-day at-home exam on social theory, and a two-day at-home exam on research methods and statistics.

Additional time may be granted to students for whom English is not their first language. Such students may bring a paper dictionary into the exam.

The preliminary exam is taken after the student has completed six (6) or more course units at the University including all of the first-year required courses.

The preliminary exam is given in June. Results will be provided in July. Students who fail any portion of the preliminary examination will have one opportunity to retake that portion. The retake will occur no later than mid-August. Students who fail a retake will be terminated from the program.

**Candidacy Examination:** A successful dissertation proposal defense admits the student to candidacy for a doctoral degree. A student who fails the proposal defense twice will be required to withdraw from the program.

**Dissertation Examination:** An oral examination on the contents of the doctoral dissertation.
Dissertation

In many ways, the dissertation is the focal point of the student’s entire program. Ideally, the student will gain focus on a topic early in the program and begin working with a member of the graduate group as a potential dissertation chair. Through this collaboration, the student may be able to write scholarly papers and to develop skills that will help in the completion of the anticipated dissertation.

The dissertation is an original work of research scholarship to advance knowledge in the field of social welfare. At its best, the dissertation is the first of many significant contributions to a field of study. As such, the importance of the dissertation topic and its contribution to social welfare should be clear. It is the responsibility of the student, with guidance from the dissertation committee, to develop this clarity of purpose and direction.

Both the University and the Graduate Group in Social Welfare set requirements for the dissertation process. Some Social Welfare requirements augment the University policies, but in no case are they in conflict.

Dissertation Advisor and Committee Chair

As students select academic advisors (that is, as they decide to continue with the assigned advisor or to select a new advisor at the end of the first year), they generally are seeking a potential dissertation chair. Students are free to select any Standing Faculty member of the Graduate Group as a dissertation chair. This is the first step in the process of selecting a committee. Students are encouraged to select a chair first and then consult with that individual about other possible committee members.

A potentially useful guide for identifying and selecting a dissertation chair and committee members is “Graduate Supervision”, which is posted at http://www.upenn.edu/grad/GraduateSupervision.pdf

Committee Composition

The Chair must be a standing faculty member of the graduate group. The rules for committee composition are:

- A committee must have a minimum of three voting members.
- All voting committee members must be Social Welfare Graduate Group members or members of the Standing or Associated Faculty of the University.
- No more than two members may be from the faculty of the School of Social Policy & Practice. Please note that students are not required to have a member of the School of Social Policy & Practice faculty on their committee.
- Students may have a committee larger than three, as long as at least half the voting members are members of the Social Welfare Graduate Group.

With the consultation of the chair/advisor, students may include non-voting members on their committee. Such persons may include advocates, social work practitioners, or policy leaders who can contribute their expertise.

The phrase “Standing Faculty” includes all tenure line faculty and Clinician-Educator faculty.
“Associated Faculty” are those with Research, Adjunct, Clinical (not clinician-educator, which is Standing Faculty), Practice, and Visiting appointments. Associated Faculty cannot chair dissertation committees.

The primary director of dissertation work and the dissertation chair need not be the same person. For example, if a student is working closely with a member of the Associated Faculty, that faculty member is not eligible to chair the dissertation committee. However, the student may appoint an eligible member of the Standing Faculty in the Graduate Group to be the committee chair with the mutual understanding that the roles of committee chair and principal director of the dissertation work are divided among different committee members.

The University and Graduate Group require the Student and the Dissertation Supervisor meet regularly to review the progress of the student’s research. In addition, the student is required to meet at least annually with his or her Dissertation Committee and provide an annual dissertation progress report which will be signed by the Dissertation Advisor and given to the Director of the doctoral program. This document must be filed annually with the Administrative Assistant for the Program.

**Proposal Defense**

Students are responsible for notifying the PhD Administrative Assistant of their intent to defend their proposal at least two weeks before the scheduled proposal defense date. They must send the date, time and location along with an abstract of the proposal. The Administrative Assistant will then send an email to the standing faculty and all-doc listservs notifying them of the defense.

The proposal defense is a discourse on scholarship between the candidate and his or her committee that may include other faculty and students from the university community. Other faculty and doctoral students may attend the presentation and participate in the discussion segment of the defense.

The proposal should demonstrate a high level of scholarship and research competence to substantiate the implementation of the planned proposal. The dissertation research proposal defense is commonly characterized by four components, (1) a brief meeting between the chair and other committee members prior to the student’s presentation, (2) the student’s presentation and discussion, (3) voting by the Chair and committee members on the acceptability of the proposal, and (4) feedback by the Chair and Committee members to the student. The voting and feedback occur in a closed meeting, that is, the committee’s formal vote and the presentation of that vote to the candidate is attended by the committee members and the candidate only.

A successful proposal defense admits the student to candidacy for the doctoral degree.

**Monitoring and Completion of the Dissertation**

The Ph.D. candidate is responsible for making adequate progress toward completing the dissertation. The Committee Chair or Chair of the doctoral program may require regular reports from the student to insure adequate progress is made toward completion of the dissertation.

The length and formatting of the final dissertation should be reviewed with, and approved by, each student’s Committee Chair.
Defending the Dissertation

The dissertation defense is a scholarly discourse between the candidate and his/her Dissertation Committee on the substantive work to be submitted to the Graduate Group evidencing independent research and the individual’s mastery of a chosen subject and research methods. The dissertation defense is open in that members of the Social Welfare Graduate Group, other faculty of the University, and doctoral students can attend. The Director of the doctoral program or a designee (usually the Chair of the Dissertation Committee) chairs the defense. The Chair and committee members are responsible for conducting the defense proceedings.

Like the proposal defense, students are responsible for notifying the PhD Administrative Assistant of their intent to defend at least two weeks before the scheduled defense. They must send the date, time and location along with an abstract of the dissertation itself. The Administrative Assistant will send an email to the standing faculty and all-doc listservs notifying them of the defense.

The dissertation defense, similar to the dissertation proposal defense, is typically characterized by four components: (1) a brief prefatory meeting of the Dissertation Chairperson and Committee members, (2) a presentation by the degree candidate that is followed by discussion, (3) voting by the chair and committee members, and (4) reporting the decision on acceptability by the Dissertation Chair to the degree candidate.

Voting is conducted in a closed meeting of the Dissertation Committee. Decisions about acceptability are based on majority vote of the committee. The Chair of the Dissertation Committee reports, within three days of the defense, the results of the vote to the Director of the doctoral program.

At the time of dissertation defense, the student will have forms signed by the Committee and the Director of the doctoral program: (1) Form 152, which documents the approval of the dissertation by the dissertation committee; and (2) Form 153, which certifies a copy of the dissertation as the approved copy. If significant revisions are to be made, the Chair of the Committee may decide to delay signing until revisions are made.

A copy of these forms must be given to the Administrative Assistant of the program. The originals will be submitted by the student when the dissertation is deposited.

Depositing the Dissertation

Candidates for the Ph.D. in Social Welfare are required to adhere to the guidelines of the Graduate Division of the School of Arts and Sciences. The Dissertation Manual for the University provides specific information about formatting and depositing the final copy of the dissertation. It can be found at http://provost.upenn.edu/education/graduate/dissertation-resources.

After candidates have successfully defended their dissertation, completed revisions requested in the defense, and obtained the approval of the dissertation committee members, they are responsible for providing the required documentation and for depositing the dissertation.
Time Limitations

Full-time students are admitted to candidacy upon successful defense of their dissertation proposal, commonly during the fourth academic year of study. Students accepted on a part-time basis typically are admitted to candidacy by the end of the fifth academic year (that is, five years after entering the program).

Five years is the maximum time allowed for a student to advance to candidacy. If a student has not advanced to candidacy within five years of matriculation, the student will be asked to withdraw from the program.

Beginning in the 2009-2010 academic year, the University allows up to 10 years for students to complete the Ph.D. In other words, the maximum allowable time for completing the Ph.D. is 10 years after matriculation. Students who have not completed all requirements (including the dissertation) for the Ph.D. within 10 years may not be current with knowledge and research in the field. Students who exceed 10 years of study may petition the graduate group to return as a student for a maximum of 1 year in order to achieve recertification and defend the dissertation. Recertification criteria will be designated by the Graduate Group in Social Welfare and must be approved by the University's Graduate Council of the Faculties.

Students admitted prior to July 1, 1993 must contact the School administration for clarification of the terms of their candidacy.

The time limits described above apply to full- and part-time students.

Time Extensions

Students may apply to the Director of the doctoral program, through their academic advisor or their dissertation committee chairperson, for an extension of time to complete the program or of any part of the program. In considering applications for an extension, the Director will give consideration only to written requests received from the student with an accompanying recommendation from the student's advisor or dissertation committee chair. Such requests should set forth: (1) the circumstances that have prevented completion of program requirements within the prescribed time limits; and (2) a realistic plan for the completion of all remaining requirements and any additional work that may be required.

Beginning in the 2008-2009 academic year, such an extension is limited to one (1) calendar year. In granting an extension, the Director of the doctoral program may prescribe additional required work to ensure that the student's educational program is consistent with the content and level required of candidates for the Ph.D. degree.
Applying for Graduation

The degree candidate must apply for graduation to the Graduate Division of the School of Arts and Sciences by the deadline designated for the particular semester (e.g., usually mid- to late-September for December graduation). Application for graduation does not obligate the student to finish at the designated date and can be made before the dissertation defense. Submission of the application registers the student for graduation. Upon registering for graduation, the candidate is provided information about relevant administrative processes including procedures and policies for depositing the completed approved dissertation.

Students are expected to consult the University calendar for the specific dates and to meet the deadline. The degree calendar can be found at https://provost.upenn.edu/uploads/media_items/graduation-calendar-2013-2015.original.pdf. Information about other requirements is provided at https://www.sas.upenn.edu/graduate-division/graduation/general-information.

Other Graduation Requirements

In order to graduate, degree candidates must have a zero balance with the University, complete an exit interview with Student Financial Services, document current health insurance coverage, and complete the Survey of Earned Doctorates. Degree candidates must contact the Graduate Division for up-to-date information on all associated fees and requirements.
**Tuition and Fees (Academic Year 2014-2015)**

Beginning Fall 2008, the tuition structure is as follows, full time tuition will be charged to all entering students who already hold a master's degree for the first 3 years of study. Full-time tuition will be $28,768 per year (2014-2015 rate). Following three years of full-time study, the student will be placed on dissertation status and charged $3,596 per year (2014-2015 rate).

Upon notification of acceptance for admission to the University, applicants are required to deposit $500. The deposit will be credited to the student's account upon matriculation. Instructions concerning the date the deposit is due will be furnished to the candidate with the offer of admission. If the candidate does not matriculate, the deposit is not refundable.

A general fee of $2,976 (2014-2015 rate) for the academic year will be charged to each full-time student (years 1-3, for those entering with a master's). Once on dissertation status, in addition to dissertation status tuition, a general fee of $624 (2012-2013 rate) will be charged. The general fee is a contribution toward the support of the Student Health Service, Placement Service, graduate student activities, recreational facilities, and other services not directly associated with specific courses.

Individual health insurance is available through the University for $3,140 annually (AY 14-15 rate). Additional information is available at [http://www.vpul.upenn.edu/shs/psipinsurance.php](http://www.vpul.upenn.edu/shs/psipinsurance.php). All students must be covered by the University’s health insurance or provide proof of alternate health coverage.

**Financial Support**

All students accepted into the doctoral program Fall 2007 and after and who meet all course and examination requirements will receive four years of full funding. Full funding includes tuition, a stipend, and individual health insurance coverage. The 2014-2015 academic year stipend is $22,760 for 9 months, specifically, September 1, 2014 through May 31, 2015. Full funding is contingent upon the student working as a research assistant with a faculty member or with one of the school’s research centers.

Students devote 15 hours a week to their research assistantship in the 1st year of the doctoral program. Students devote 20 hours a week to research assistantships in the 2nd, 3rd and 4th years of the doctoral program. Any teaching-related hours associated with the research assistantship count towards the 20-hour commitment. In the 3rd and 4th years of the doctoral program, distribution of the student’s time between teaching-related and research activities is approved by the faculty member overseeing the research assistantship and the Associate Dean for Academic Affairs.

Qualified candidates may be admitted without guaranteed funding. These students will be required to cover all tuition and living expenses on their own. Attempts will be made to find financial resources for these students in subsequent years. These students will not be required to serve as research assistants, but it is recommended for them to do so voluntarily.
Professional Development Allocation

All students in the PhD in Social Welfare program are granted an annual allocation of $500 to use for conference travel or other professional development. Students must use their allocation within the university’s fiscal year (July 1st to June 30th of each year). Funds cannot be carried over from one year to the next if the student does not use all of their allocation.

In order for a student to use their allocation, he/she should send a request in writing to the Administrative Assistant for the program. She will confirm whether the student’s request is approved. If the student is using their allocation for travel, he/she should notify the Administrative Assistant at least two weeks prior to the trip.

Travel Reimbursements
Once the student has returned from their travel, he/she will be required to complete an expense report for reimbursement online through the Concur system: http://cms.business-services.upenn.edu/penntravel/expense-report.html. The student should keep the original receipts for all of their travel expenses and should submit them through Concur. Any meal receipts must have an itemized list of exactly what was ordered. Students will not be reimbursed for purchases of alcoholic beverages. The student should also provide documentation that provides a description or itinerary of the event they attended (i.e. a conference registration confirmation or conference brochure).

Software Purchases
The student should send the Administrative Assistant for the PhD program an email stating the item that he/she would like to purchase and that he/she approves using funds from their allocation for the purchase. The Administrative Assistant will send the student a reply email stating whether the request is approved. If approved, the Administrative Assistant will copy SP2’s local support provider on the email and let him know to put in the order. For any other expenses, the student should send an email to the Administrative Assistant for the PhD program and state what he/she would like to purchase. The Administrative Assistant will let the student know if his/her request is approved and how to purchase it.
Registration, Billing and Fee Payments

Students who owe tuition for a previous semester’s work will not be permitted to register for the next semester unless special arrangements for payment have been made with the Bursar’s Office or the School of Social Policy & Practice. Students who owe tuition or any other University-related fees (such as library fees) will be excluded from graduation lists. The only exception is for students who are granted a deferment through the Graduate Loan Office while waiting for loan approval.

Registration of “dissertation status” students is assumed by the Graduate Group and the University unless the student has taken action toward withdrawal from the program or the Director of the doctoral program has moved to terminate the student. In most circumstances, therefore, billing by the Bursar's Office will be automatic and continuous. Billing may include penalties for late payments. Students who wish to withdraw from the program must take immediate and formal responsibility for doing so if they wish to avoid debts to the University.

Student Debts to the University

Students are required to keep their tuition and other University accounts current. Students who fail to pay tuition, either in whole or part, must work out a satisfactory plan for payment of the delinquent amounts before the student will be allowed to begin a new semester of study. In addition, no student will be granted a certificate of withdrawal or be recommended for a degree who has not paid in full all his or her financial obligations.

Failure to pay outstanding University bills on a timely basis will result in the student's academic status being frozen such that no further course work may be taken or academic advising provided. In unusual situations, students may be expelled from the program and required to submit a new application for admission. No application for readmission for financial reasons will be considered until the student has settled in full her/his financial obligations to the University.

Policies on Refunds of Tuition and Fees due to Program Withdrawal or Absence

This section applies to students who are no longer receiving tuition and fee support from the School (i.e., those who are beyond their fourth year in the program).

Refund of Tuition

A student who withdraws (or who is requested to withdraw for failure to maintain a satisfactory scholastic standard) or who is granted a leave of absence during either term of the academic year will be eligible for a refund of tuition and the general fee as noted below. The effective date of separation from the University is the date on which the student files a request for withdrawal or leave of absence in the Office of the Dean of Social Policy & Practice. The allowable refund is:

Separation occurring within: the first two weeks of class........75%
third and fourth weeks of class....50%
weeks thereafter...................0%

A student who is required to withdraw because of violation of University regulation shall receive no refund by reason of such a withdrawal.

Late Registration and Absence

Neither late registration nor absence during the term entitles a student to a reduction in fees.
Status

Active Status
A student is on active status when her/his registration has been completed, tuition and fees paid, and her/his program represents approved course work acceptable in accordance with the requirements of the Ph.D. program. A student also may be active for dissertation work only.

Dissertation Status
A student who has completed all course requirements will, for registration purposes, be considered to have entered “dissertation status.” The term “dissertation status” also covers students who may have completed all course requirements but who have not yet passed the candidacy examination. See tuition section (above) for additional information on tuition costs.

Leave of Absence
Continuous registration as a graduate student is required unless a formal leave of absence is requested of and granted by the Doctoral Program Chair. A student who has reached dissertation status will not be granted a leave of absence, except for military duty, medical reasons, or when a student receives a grant for dissertation research abroad and the grant does not include funds to pay home institution fees. Obtaining a leave of absence does not automatically change the time limit.

Doctoral candidates who desire a leave of absence must submit a written request to the Graduate Group Chair. The request must be accompanied, as appropriate, by a written plan for the completion of doctoral study that has been approved by the student’s Academic Advisor and/or Dissertation Committee. No degree examinations may be taken while a student is on leave of absence.

An 8 week “time off” leave is available to all students (that is, to both male and female students) in the Ph.D. program for the birth or adoption of a child. The period must commence within 2 weeks of the birth or adoption. The student remains on full-time status, which ensures that visa and loan repayment schedules remain unchanged. Students are responsible for making arrangements to cover teaching/research responsibilities. The student is entitled to accommodations including postponement of exams and other deadlines.

Extended family leave is available for one or two semesters for the birth or adoption of a child, child care or the care of an immediate family member with a serious health condition. This leave is available to both male and female students. Family leave stops the clock on the 10 year limit. Requests for extension of this 1 year term should be made to the Director of the doctoral program, who will consider and respond to the request.

A student who wishes a leave of absence must submit a written request to the Director of the doctoral program. The request will be reviewed and responded to by the Director. Decisions of the Director regarding leaves of absence may be appealed to the Dean of the School of Social Policy & Practice.

Inactive Status
A student is on inactive status when he or she is not registered for courses or for dissertation status and has not been granted a leave of absence. Reinstatement to active status must be requested in writing to the Director of the doctoral program. Time on inactive status is counted toward the maximum time within which all requirements must be met. If the student’s "inactive" status extends beyond three years, the student must reapply for admission to the program.
Withdrawals
A student is considered to have withdrawn from the program when, in accordance with a written request prepared by her/him and accepted by the Director of the doctoral program, a request to terminate active status is granted. At the time of withdrawal, the student's Academic Advisor or Dissertation Committee Chairperson will prepare a written statement on the status of the student's work and the reasons for withdrawal. A student who has withdrawn may reapply for active status by written request to the Director of the doctoral program. If the application is accepted, previously completed work will be evaluated, and the student will be expected to fulfill all requirements in effect for active students at the time of readmission.

If a student withdraws from the Ph.D. program after reaching dissertation status and subsequently reapplies for admission, the student must pay the dissertation fees that would have been due during the withdrawal period. In addition, time away will be counted toward time limits.

Terminations
A student will be terminated from the doctoral program if any of the following occur:

- he or she does not meet the required course GPA
- he or she fails the preliminary examination and the one time make-up opportunity
- he or she does not complete the dissertation requirements in a timely fashion
- he or she is dropped from the program for other reasons (e.g., plagiarism, unethical behavior or criminal behavior). In the latter case, a student may be terminated by action of the Director of the doctoral program only if, after due process, and in accordance with policies and procedures established by the Graduate Group, continued presence in the program is judged inimical to its interests and purposes. In such circumstances, the student's Chairperson will prepare a written summary of the student's work completed and the reasons for termination and the summary will be filed in the student's record.

In addition, the student may terminate her/his connection with the program by requesting such action on her/his own initiative, in writing, and her/his request is granted.

A student who has been terminated may reapply for admission. All application requirements – new letters of recommendation, current GRE scores, etc. – must be met. If readmitted, previous completed work will be considered for credit in light of course requirements at the time of the student's readmission and time since completion. Those applying five years after termination must retake all courses.
Teaching Assistant and Instructor Assignment

It is beneficial for doctoral students to have teaching experience. Therefore, attempts will be made to arrange for doctoral students to become teaching assistants and, if possible, class instructors.

All doctoral student teaching assistantships must be arranged through consultation with the Associate Dean for Academic Affairs. Students may not arrange paid or unpaid teaching assistantships independently with faculty members at the University of Pennsylvania or elsewhere. The Associate Dean for Academic Affairs will solicit letters of interest and CVs from eligible students and assignments will be made in consultation with faculty and the Director of the doctoral program.

The assignment procedure will follow these guidelines:

- Students in the 1st year of the doctoral program are not eligible for teaching assistantships.
- Students in the 2nd year of the doctoral program are generally not considered for teaching assistant positions. However, they may petition the Associate Dean for Academic Affairs to request a teaching assistant assignment. Compensation for these positions will be considered part of the student’s doctoral program stipend.
- Students in the 3rd year of the doctoral program are eligible for teaching assistant or instructor positions. Applications are submitted to the Associate Dean for Academic Affairs for approval in consultation with faculty and the Director of the doctoral program. Extra compensation will not be given for teaching during the academic year; compensation for these positions will be considered part of the student’s doctoral program stipend. However, compensation at the regular part-time faculty rate will be given for summer teaching.
- Students in or beyond the 4th year of the doctoral program are eligible for teaching assistant and instructor positions. Applications are submitted to the Associate Dean for Academic Affairs for approval in consultation with faculty and the Director of the doctoral program. Students in or beyond their 4th year of the doctoral program receive priority in teaching assignments and will be compensated at the regular part-time faculty rate.
Grievances and Appeals

Students and faculty are expected to use their normal contact in class and individual conferences to resolve any differences that may arise in their work together.

When faculty or students find that normal channels of communication fail to resolve differences that may affect the status of the student, either or both may ask for consideration of such differences by the Director of the doctoral program. The decision of the Director will stand, unless either or both parties wish to appeal the decision further. If there is such an appeal, the following policies and procedures will prevail:

- A written appeal of the Director of the doctoral program’s decision may be made through the Dissertation Chair to the Dean of the School of Social Policy & Practice, who will determine if a review by the Committee on Academic Standing is warranted. If dissatisfied with the decision of the Dean or the Academic Standing Committee, the student may then appeal to the Provost of the University.

- When differences between a student and Advisor, Chairperson, or Committee are such as to require consideration by the Committee on Academic Standing, the student may select a student representative to present his or her case to the committee and to speak or intervene on her/his behalf during the appeals process. The representative will be free to intervene on the student's behalf at any point in the appeals process. The representative will attend meetings of the committee only if explicitly requested to do so by the appealing student. It is the appealing student's responsibility to request the services of the representative. The representative will serve only in an advisory and advocacy role and will not have a vote on the final committee decision.

- The Director of the doctoral program may not vote on a committee decision if he/she is a member of the appealing student's Dissertation Committee.