Marketing Department

The Wharton School
University of Pennsylvania

Doctoral Student

Manual of Policies and Procedures

Updated 2-10-12

Academic Year 2011-12

About this PhD Manual

The purpose of this PhD Manual is to provide guidance to the department's PhD students and faculty regarding *Marketing Department specific* policies and procedures.

This manual is not intended to cover all the policies, procedures, and resources at the University and students should familiarize themselves with them by going directly to the documents and information posted by the University of Pennsylvania and the Wharton Doctoral Program Office on their websites. Since it can sometimes be a challenge to navigate to the appropriate website, we have included links to some of the more commonly used web pages, and to information that we feel is important for students. Since their information may be updated more frequently than this manual, the information on their websites may supersede what is contained here.

This manual is also posted on the Marketing Department website, so that you can conveniently reference it when needed. Please look for the link in the right hand panel under "For Current Students" on the PhD page of the department's website: http://marketing.wharton.upenn.edu/programs/phd_program.cfm

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IX. Appendices

I. GENERAL INFORMATION

A. List of Faculty and Staff

Standing Faculty

J. Scott Armstrong	Professor of Marketing
David Bell	Professor of Marketing, Xinmei Zhang and Yongge Dai Professor
Jonah Berger	James G. Campbell Assistant Professor of Marketing
Eric Bradlow	The K.P. Chao Professor, Professor of Marketing, Statistics, and Education, Editor-in-Chief Marketing Science, Co-Director - Wharton Consumer Analytics Initiative, Vice Dean and Director, Wharton Doctoral Program
Keisha Cutright	Assistant Professor of Marketing
George Day	Geoffrey T. Boisi Professor, Professor of Marketing; Co-Director of the Mack Center for Technological Innovation
Jehoshua Eliashberg	Sebastian S. Kresge Professor of Marketing and Professor of Operations and Information Management
Peter Fader	Frances and Pei-Yuan Chia Professor, Professor of Marketing, Co-Director - Wharton Consumer Analytics Initiative
Stephen Hoch	Patty and Jay H. Baker Professor, Professor of Marketing
J. Hutchinson	Stephen J. Heyman Professor, Professor of Marketing, Faculty Director, Wharton Behavioral Laboratory
Raghuram Iyengar	Assistant Professor of Marketing
Barbara E. Kahn	Patty and Jay H. Baker Professor, Professor of Marketing;, Director, Jay H. Baker Retailing Center
Leonard Lodish	Samuel R. Harrell Professor, Professor of Marketing, Vice Dean, Wharton West Leader and co-Founder, Global Consulting Practicum
Barbara Mellers	I George Heyman University Professor
Robert Meyer	Gayfryd Steinberg Professor, Professor of Marketing, Co-Director, Risk Management, Decision Processes Center
Cassie Mogilner	Assistant Professor of Marketing
Jagmohan Raju	Joseph J. Aresty Professor, Professor of Marketing, Executive Director Wharton Co-Sponsorship of Indian School of Business and Marketing Department Chairperson
Americus Reed II	Associate Professor of Marketing, Whitney M. Young Jr. Professor
David Reibstein	William Stewart Woodside Professor, Professor of Marketing
Thomas S. Robertson	Dean, The Wharton School; The Reliance Professor of Management & Private Enterprise, Professor of Marketing and Management
Rom Schrift	Assistant Professor of Marketing
Qiaowei Shen	Assistant Professor of Marketing
Deborah Small	Associate Professor of Marketing and Psychology
Christophe Van den Bulte	Associate Professor of Marketing
Maria Ana Vitorino	Assistant Professor of Marketing
Patti Williams	Ira A. Lipman Associate Professor of Marketing
Jerry (Yoram) Wind	Lauder Professor; Director, SEI Center for Advanced Studies in Management, Academic Director, The Wharton Fellows Program
Gal Zauberman	Associate Professor of Marketing
John Zhang	Professor of Marketing, Murrel J. Ades Professor

Visiting and Adjunct Faculty, Secondary and Other Appointments

Adams, Anthony	Lecturer in Marketing
Draganska, Michaela	Lecturer in Marketing
Madway, William M.	Lecturer in Marketing
Malcom, Rob	Lecturer in Marketing
Niedermeier, Keith	Lecturer in Marketing
Schoemaker, Paul	Adjunct Professor of Marketing, Research Director of the Mack Center for Technological Innovation
Smith, Michael	Adjunct Associate Professor of Marketing
Wertenbroch, Klaus	Visiting Professor of Marketing

Staff

Name (e-mail linked)	Position
Rebecca Stone Alig	WCAI Associate Director
Erin Armendinger	Managing Director Jay H. Baker Retailing Initiative
Nicole Berlucchi	Business Administrator WCAI
Robert Botto	Programmer/Analyst
Joshua Carrigan	Lab Coordinator, WBL
SaraRose Christodoulou	Coordinator, Global Consulting Practicum
Denise Dahlhoff	Research Director, Baker Retailing Center
Angela Di Santo	Business Manager
Elea McDonnell Feit	Research Director, WCAI
Megan Gillespie	Coordinator, SEI Center for Advanced Studies in Management
Keith Hardy-Meritt	Marketing Assistant, Baker Retailing Center
Abhishek Hendi	IT Staff
Matt Huntsinger	Senior IT Support Specialist
Kate Kelley	Assistant to the Editor in Chief
Tony Kutovoy	IT Director
Young Lee	IT Project Leader, Sr.
Dee Lingham-Johnson	Financial Administrative Coordinator
Stephanie Lutz	Administrative Coordinator (Supports Professors Reibstein and Day)
Beth McCarthy	Administrative Coordinator (Faculty, Personnel Matters, Recruiting, Colloquia, Events)
Susan McMullen	Associate Director Jay H. Baker Retailing Initiative
Kaity Moore	Senior Research Coordinator
Colleen O'Neill	Director, Global Consulting Practicum
Lizabeth Page	Financial Administrative Coordinator
Julia Perch	Administrative Assistant
Karen Ressler	Administrative Coordinator (PhD Coordinator, Website, Course Coordinator)
Rocco Spinelli	Administrative Assistant, WCAI

Wharton Behavioral Laboratory

Kaity Moore

Young Lee

Kate Kelley
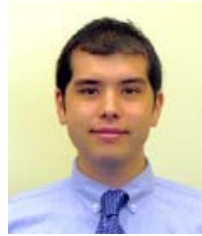
Joshua Carrigan

Marketing Administrative Staff

Angela Di Santo

Liz Page

Dee Lingham-Johnson

Julia Perch

Karen Ressler
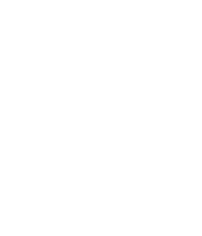
Beth McCarthy

Stephanie Lutz

Marketing IT Staff

Tony Kutovoy

Matt Huntsinger

Robert Botto

Abhishek Hendi

Global Consulting Practicum

Colleen O'Neill

SaraRose Christodoulou

SEI Center

Megan Gillespie

Jay H Baker Retailing Initiative

Erin Armendinger

Susan McMullen

Keith Hardy-Merritt

Denise Dahloff

Wharton Interactive Media Initiative (WCAI)

Elea Feit

Nicole Berlucci

Rebecca Stone Alig

Rocco Spinelli

Charles Pensig

PhD Students

Alix Barasch   Kathy Li   Melanie Thomas   Katie(Liangbin)Yang

SECOND YEARS

Jeffrey Cexun Cai   Arun Gopalakrishnan   Valeria Montero

THIRD YEARS

Jonathan Berman   Cindy Chan   Jae Lee   Zheng Li

FOURTH YEARS

Eric Schwartz

FIFTH YEARS

Stephanie Finnel   Amit Bhattacherjee

Floor Plan – Marketing Department

FACULTY

North Side		South Side	
768	Berger	747	Armstrong
761	Bradlow	755	Bell
771	Fader	751	Cutright
769	Hoch	745	Day
763	Kahn	744	Eliashberg
772	Lodish	746	Hutchinson
767	Malcolm	756	Iyengar
770	Meyer	753	Mellers
766	Mogilner	750	Niedermeier
764	Reed	742	Raju
760	Small	743	Reibstein
759	Van Den Bulte	748	Shen
767	Wertenbroch	752	Schrift
762	Williams	749	Vitorino
773	Wind	754	Zhang
765	Zauberman		

PhD STUDENTS

North Side		South Side	
727.1	Barasch, Alix	726.4	Berman
727.3	Bhattacharjee	726.9	Cai
727.2	Finnel	726.5	Chan
727.7	Li, Kathleen	726.3	Gopalakrishnan
727.6	Li, Zheng	726.2	Lee, Jae
727.9	Montero	726.7	Schwartz
727.5	Thomas, Melanie	726.6	Yang, Katie

STAFF

North Side		South Side	
731	Botto	711	Di Santo
730	Hendi	712.5	Gillespie
730	Huntsinger	712.6	McCarthy
734	Johnson	712.2	Kelley
731	Lee, Young	726.8	Kutovoy
735	Page	719	Lutz
		712.1	Perch
		718	Moore
		712.3	Ressler

Wharton
UNIVERSITY of PENNSYLVANIA

MARKETING DEPARTMENT
700 Jon M. Huntsman Hall
3730 Walnut Street
Philadelphia, PA 19104

September 19, 2011

CENTER LOCATIONS

- Baker Retailing Center – Vance Hall
- SEI Center for Advanced Studies in Management – Vance Hall
- Wharton Customer Analytics Initiative (WCAI) – 304 Lauder-Fisher Hall

TEACHING ASSISTANTS

707 MKTG 101 TA's
706 MKTG 621-622 TA's

LECTURERS

716 Adams
716 Sheridan
732 Draganska

VISITING SCHOLARS

727.8

B. Course Schedules for 2011-12

The University of Pennsylvania course schedule for this year is as follows:

Fall Semester 2011

First day of classes ....September 7

Course Selection period ends...September 24

Drop period ends...October 14

Fall Break ....October 8-11

Thanksgiving Break .... November 24-27

Classes End ....December 9

Reading Days.......... ....December 10-13

Final Exams... December 14-21

Winter Break... Begins December 22

Spring Semester 2012

First day of classes .... January 11

No Classes (Martin Luther King, Jr Day Observed)......................................January 16

Course Selection period ends... January 30

Drop period ends.. February 17

Spring Break...... .... March 3-11

Classes End.. April 24

Reading Days.. April 25 -27

Final Exams..April 30 – May 8

Summer Course Schedule 2012

Session I May 21 – June 29

Session II July 3 - August 10

*Mini Course Schedule 2011-2012

Fall 2011	Quarter 1 (001)	September 7 – October 26
	Quarter 2 (002)	October 27 – December 9
Spring 2012	Quarter 1 (003)	January 11 – March 2
	Quarter 2 (004)	March 12 – April 24

Link to three year Academic Calendar: http://www.upenn.edu/almanac/3yearcal.html

C. Helpful University Websites

PhD Graduation Calendar

There are specific policies and timelines which apply to the graduation process. Please consult
- http://www.sas.upenn.edu/GAS/home/grad&beyond/graduation.html#faqs for details and http://www.sas.upenn.edu/GAS/home/grad&beyond/degree_index.html for dates.

PhD Inside

http://www.wharton.upenn.edu/doctoral-inside/
- The Wharton Doctoral Programs office maintains a website for all current Wharton PhD students that is filled with a wealth of information. Save this to your favorites and consult it often! Their Bookmarks Tab, is a page full of alphabetized links

Wharton Inside

http://inside.wharton.upenn.edu/
- For links to various Wharton pages, tools, and directories use this page as a starting point. If you plan to teach a course while here, the Faculty Tools link will be very helpful.

Penn Portal

http://medley.isc-seo.upenn.edu/penn_portal/view.php
- A university gateway site which you can customize
- Provides links to many services available throughout the University
- Links to clubs
- View transcripts
- University announcements
- Links to Health Insurance and SHS (enrollment for health insurance not available until July 1st, an email will be sent out notifying incoming students at that time)

Penn in Touch

https://medley.isc-seo.upenn.edu/penn_portal/intouch/splash.html
- Billing information
- Financial aid application status and awards
- Student loan application status, disbursements and loan history
- Online course registration
- Course schedules and academic records
- Future academic planning
- Updating selected address information
- Student Health Information
- View/update your selections for release of academic and financial info to parents and others

Campus Express

http://campusexpress.upenn.edu/
- You can access various services available to students
- Confirm any on-campus housing you've selected
- Choose your meal plan, purchase your new computer
- Apply for a Penn pass or parking permit

Wharton –Spike

https://spike.wharton.upenn.edu/

- Primarily for undergrads and MBAs, but there is plenty of Wharton wide information available.
- You can log-in and modify the site to reflect your interests.
- See your course schedule
- Course syllabi information
- Get Wharton computing information
- Wharton Student Directory – contact information for Wharton students

Marketing Department Website

http://marketing.wharton.upenn.edu/index.cfm

The Departmental Website contains a wealth of information about the department's academic programs, as well as contact information for all faculty and staff. Please take some time to familiarize yourself with the various pages. This website is maintained by department staff members Karen Ressler and Robert Botto.

Of particular interest to PhD students are the PhD Program requirements, course schedules, links to individual PhD student web pages and this PhD Manual which can all be found on the PhD page: http://marketing.wharton.upenn.edu/programs/phd_program.cfm.

D. Miscellaneous Department Policies and Procedures

1. **Annual Summary of Activity Report and Annual Reviews**

   All Students: Each year, in January/February, every student will complete a **Summary of Activity Report** and also provide copies of a current CV and all working papers and presentations completed during the past year. A copy of the report form is contained in the Appendices of this manual. The PhD Coordinator will email all students with the due date for this material. A committee of two faculty members will be assigned to review each PhD student's progress over the past year and to write a brief report. The student will meet with these committee members and the PhD Coordinator to discuss progress and the report.

   Candidacy Level Students: Two additional steps are required for students who have reached Candidacy status:
   a. Each student will meet with their *Dissertation Committee* at least once annually to discuss their progress. Prior to meeting with the committee, the student should provide them with their completed **Summary of Activity Report** as well as a blank copy of the **Dissertation Committee Meeting Evaluation Form** that the Doctoral Program Office now requires to be filled out by a faculty member. (Copies these documents are in the Appendices of this manual.)
   b. The student then needs to have a faulty member present these reports and summarize his or her progress and prospects with the Marketing Department PhD Committee (or a funding subcommittee) so that they can determine whether or not the student is in "good standing". See Section 13, "Research Fellowships for PhD Students" for more information about good standing.

2. **Course Pack (study.net) / Textbook Orders**

   If you are teaching in a course other than MKTG 101, you will need to create your course pack through study.net and order textbooks through the bookstore. The department's Course Coordinator sends out a memo to all course instructors in advance of each semester providing instructions and deadlines. Please pay attention to these instructions so that there is ample time for preparation to ensure that students will have the materials they need at the appropriate time.

3. **Business Cards**

   As a Wharton doctoral student, you are able to purchase academic program business cards through reprographics. You can order them directly through the Wharton Reprographics center.

4. **Colloquia/Seminars**

   Marketing Department Colloquia: There is a Department colloquia series which runs throughout the year and includes job talks in the fall. You will receive schedules and notices for each series and are required to attend. Typically they are held on Thursdays with an occasional Tuesday. A link to the Colloquia schedule is on the Department's website: http://marketing.wharton.upenn.edu/news/colloquia/colloquia.cfm

   Decisions Process Colloquia:
   http://marketing.wharton.upenn.edu/news/dp_colloquia/dp_colloquia.cfm

   Marketing Advanced Topics Seminars:
   Advanced Topics Seminars (MKTG968 and MKTG969) are offered on Wednesdays from 12-1:30PM. Although you can only take these courses for credit once, **all students are**

required to attend, serve as leaders for and be active participants in these seminars (except those students on the job market.) Free lunch is provided for the participants. These seminars are sometimes referred to as the "Wednesday Seminars".

Links to other colloquia series:
Announcements about other departments' seminars or colloquia will be posted on the department bulletin board in the coffee room. Links to all the Wharton Faculty Seminars, Symposia and Conferences can be found on the following website: http://inside.wharton.upenn.edu/faculty/seminars.html. There is also a Research Seminars mailing list that you may subscribe to at wh-research-seminars@wharton.upenn.edu. (Read more about it on the previously referenced web page.)

5. **Conference Room Usage and Keys**

Students wishing to use the department conference rooms, JMHH757 and JMHH741, such as for the purpose of making presentations, can check the availability in the black planner books (kept at the front reception area desk with the administrative assistant), and pencil in their reservation times. All department keys are kept with the administrative assistant. If a conference room is locked, or you forget your cubicle key please see the administrative assistant to assist you.

6. **Consortia Eligibility and Selection**

AMA Doctoral Consortium Eligibility
Students who have successfully passed the Marketing Department qualifying exam, the first year and second year paper and who have completed all required coursework will be considered by the PhD Committee for attendance at the AMA Doctoral Consortium. There have been occasions in the past when we have chosen not to send any student to the AMA Doctoral Consortium; we may make a similar choice at any point in the future.

Other Doctoral Consortia
Occasionally we are invited to send students to other doctoral consortia. When we choose to send a student, we will follow the same general criteria as for AMA, making adjustments for any specific criteria specified by the consortium sponsor (i.e., for students doing work in a particular area or for students at a particular stage of study).

Marketing Department Criteria for Selecting Doctoral Consortia Representatives
The PhD committee considers a variety of criteria when selecting a PhD student to attend a doctoral consortium. Some of the most common are listed below. Individual faculty members place different weights on these various criteria and will reach different conclusions based upon the same materials. However, it is important for students to understand what these factors are and that the decision is a multi-dimensional one.

1) *Past and Potential Research Productivity*—Both the number and quality of publications, working paper manuscripts, and ongoing projects. Faculty will also assess the student's role as thought leader in each of these research projects. To what extent does the student have intellectual "ownership" of the research?

2) *Performance in Departmental Coursework and Contributions to Weekly Seminars/Colloquia:* Does the student contribute to discussions in a way that moves the topics forward and contributes to the intellectual depth of the seminar or classroom discussion? Do creative and deep insights emerge from their questions?

3) *Department Citizenship:* Does the student help to build the department's PhD community? Is the student an active participant in departmental activities? Has he or she taken on a leadership role in building the community and contributing to the doctoral community?

4) *Honors and Awards:* Has the student been recognized with honors and awards? What was the nature of the award and how competitive and prestigious was the award? Was the award based on research, teaching or citizenship?

5) *How will the Student Benefit from Attending the Consortium?* For example, is the student on the job market in the academic year after the Consortium?
- To assess these various criteria, we consider the following materials:
  - The student's vita
  - The student's Annual Summary of Activity
  - The student's graduate coursework and grades
  - A written statement from the student's advisor

7. Wharton Events Calendar

If you would like a meeting, workshop, or seminar involving Ph.D. students posted on the Wharton Calendar please use the "Submit New Wharton Event" link on this page.

8. Doctoral Program Office Contact Information

The Wharton Doctoral Program Office is located on the ground floor of Steinberg Dietrich Hall near the Reprographics department. The main telephone number is 215-898-4877 and their website is: http://www.wharton.upenn.edu/doctoral-inside/index.cfm.

Mallory Hiatt,
hiattm@wharton.upenn.edu 215-898-2619

Wharton Doctoral Programs Office
University of Pennsylvania
Suite 430
Steinberg Hall-Dietrich Hall
3620 Locust Walk
Philadelphia, PA 19104.6302

9. Faculty Mentors

Each first year student will be assigned two faculty mentors. These mentors are there to answer questions you may have and to help you foster connections with the faculty at large as you enter the program. Please schedule meetings with your mentors and meet with them regularly, especially during your first year. You may or may not decide ultimately to work on a research project with these mentors.

10. Flextime and Flexplace

You should be aware that, subject to the department chair and immediate manager/supervisor's approval, University staff members are allowed to vary the start and/or end times of the work day (Flextime) or to work from home during a portion of the work week (Flexplace). The Marketing Department finds that this increases productivity and allows employees the flexibility to manage their personal lives.

11. Job Application Packet Mailings

Students, who will be applying for University positions when they graduate, will get some clerical assistance from the administrative staff when sending out applications.

Typical job application packets consist of the following:
- Letter(s) of recommendations from PhD advisors and other faculty,

- the applicant's CV
- a job market paper
- other papers if desired.

Some positions may also require the submissions of other items such as:
- a cover letter
- diversity statement
- research statement

Because it is customary for letters of recommendation from faculty members to be confidential (meaning students cannot see or handle them), the department's administrative staff needs to provide some assistance with sending out the applications.

At present there are three different ways students are submitting packets:
1. Hard copies of letters of recommendation and supporting documents sent though the mail;
2. Electronic versions e-mailed by the student's advisor with supporting documents and letters attached; and
3. On-line Applications.

Many schools also *require* on-line applications through systems they set up, even if they also receive a packet through the mail or e-mail. Administrative staff will assist with the first two options, but students and their advisors typically handle the third option on their own, since these on-line sites make provisions for faculty to upload letters of recommendation directly without involving the student. To ensure that you materials look professional and arrive on time, please adhere to the following procedures and **deadlines**:

Procedure for Hard Copy Mailings:
The department will provide students with stationery supplies (i.e. envelopes, mailing labels) and assist doctoral students with the mailing of faculty recommendation letters for job application packets. Students provide addressed envelopes containing all materials except the recommendation letters; staff will print the letters of recommendation, insert them in the envelopes, and mail them out. In order to meet the July 1st application deadlines set by most institutions, students should be sensitive to the amount of time necessary to process the packets, especially those that need to be mailed overseas. Typically, overseas packages should be sent a week earlier than domestic ones.

A least three weeks prior to when the packet should be mailed
- Let the PhD administrative coordinator and administrative assistant know that you plan to do a hard copy mailing so that they can plan their time accordingly and provide you with labels and envelopes
- Provide the administrative staff with the names of the faculty members who will be writing your letters of recommendation so that ample letterhead is available. Note: If you are getting a letter of recommendation from a faculty member outside the Marketing Department, you should obtain a supply of their (or their department's) letterhead from them, for our staff to print their letters on.

A least one week prior to when the packet should be mailed, the administrative coordinators should be provided with:
- An e-mail from whoever is writing your letter(s) of recommendation with their letter attached (word document).
- Unsealed, ***addressed*** white Wharton envelopes containing photocopies of your CV and whatever papers and abstracts you are submitting as part of your application. Some schools also require a separate cover letter from the applicant, so include this in the envelope as well if needed.

- The list of names and addresses of the recipients of the recommendation letter in an excel spreadsheet using the headings shown in the table. Staff will use this to mail merge the information into the letters as shown in the example below:

Examples:

First	Last	Title	Address*	Salutation
Andrew A.	Mitchell	Patricia Ellison Professor of Marketing and Marketing Area Coordinator	Rotman School of Management University of Toronto 105 St. George Street Toronto, ON M5S 3E6 Canada	Andrew
Marketing Search Committee			Charles H. Lundquist College of Business University of Oregon 1208 University of Oregon Eugene, OR 97403	Colleagues

*include complete mailing address in one cell exactly how you want it to appear in the letter – remember to use ALT-ENTER to enter multiple lines in cells in Excel

June 19, 20011

Andrew A. Mitchell
Patricia Ellison Professor of Marketing and Marketing Area Coordinator
Rotman School of Management
University of Toronto
105 St. George Street
Toronto, ON M5S 3E6 Canada

Dear Andrew,

June 17, 2011

Marketing Search Committee

Charles H. Lundquist College of Business
University of Oregon
1208 University of Oregon
Eugene, OR 97403

Dear Colleagues,

Once all the information has been received, the administrative assistant will print and insert the recommendation letters into the stuffed envelopes you have assembled and mail the packets for you. Students should send lengthy papers to Wharton Reprographics (usually a one or two day turnaround) to avoid delays using the department copiers.

Procedure for E-mail Submissions:
The department has developed an e-mail merge program that will simultaneously merge address information into letters of recommendation, convert them to .pdf files and attach them to them to customized e-mails delivered from the PhD student's advisors e-mail address.
A least three weeks prior to when the packet should be mailed
- Let the PhD administrative coordinator know that you plan to do an e-mail mass mailing so that he/she can plan their time accordingly.
- Provide the administrative staff with the names of the faculty member(s) who will be writing your letters of recommendation so that electronic letterhead and signatures can be prepared for the faculty member if they do not already have it. Note, if you are getting letters from someone *from another department*, they may need to contact their own administrative staff for assistance with electronic letterhead.
A least three days prior to when the packet should be e-mailed, the administrative coordinators should have in their possession:
- An e-mail from each faculty member who is writing you a letter(s) of recommendation with their completed letter attached. It should be a word document on electronic letterhead with a digital signature.
- An e-mail from the doctoral student's PhD advisor containing the verbiage that will appear in the body of the e-mail from them. The e-mail should include:
  - A link to the doctoral student's website,
  - A list of what is attached to the e-mail

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- o The e-mail subject line that should be used (typically "AMA Materials for Candidate John Smith").
- o The advisor's contact information after the closing

The program automatically inserts "Dear <Salutation>, into the e-mail when it runs, so the email body does not need to include a salutation. A sample e-mail can be provided to the advisor to use as a template if requested.

- An e-mail from the student with their CV and papers (in pdf format) that they want attached. In lieu attaching a lengthy paper, some students opt to have their advisor include links to their paper on a website. CAUTION: Make sure the URL of the paper doesn't change if you revise and repost it, or it will result in an error message.
- The list of names and addresses of the recipients of the recommendation letter in an excel spreadsheet using the headings shown below, as well as the recipient's e-mail address. *The student's advisor should also be one of the entries on the spreadsheet as a way for him or her to see what the "mailed" product looks.*

NOTE: Materials will be processed and bulk e-mailed out within 3 Business days of submission by the student, so plan accordingly. Requests to "mail this out today" cannot always be met, due to administrative staff's other responsibilities in the department and especially when there are multiple students sending applications in the same year.

E-mail merge spreadsheet requirements: The e-mail merge program will not run properly unless your spreadsheet heading names are *exactly* as shown. The "address" field should have the name, title and address just as you would like for it to appear in the letter of recommendation. You can leave the school and number fields blank, but most students find that including these helps keep track of their spreadsheet entries. If your advisor knows the individual personally that the letter will be addressed to, he or she may prefer that you list a first name, as opposed to the more formal "Dear Professor X". Make sure to check with them about this before using a first name.

School	Number	First	Last	Address	Salutation	Email
Harvard	23	Tom	Jones	Professor David E. Bell Professor of Agriculture and Business Director of Faculty Planning and Recruiting Harvard Business School Harvard University Soldiers Field Road Boston, MA 02163	Professor Jones	tomj@hbs.edu
Harvard	24	Mary	Smith	Professor Mary Smith Professor of Business Administration, Unit Head Harvard Business School Harvard University Soldiers Field Road Boston, MA 02163	Mary	smithma@hbs.edu

When the bulk e-mail merge program runs, a log that shows whether or not the e-mails were successfully sent is created. (Those that fail are usually due to typos in the address.) If an e-mail does not go through successfully, the student will be sent a copy of the log, so that they can determine the correct e-mail address and give the corrected information to the administrative coordinator to resend. Also, the student's advisor should monitor their e-mail in-box for a few days after the bulk e-mail goes out, to be sure there are no error messages sent to them, or if they received an out of office message, or other instructions back from the recipient.

The intent of the bulk e-mail merge program is to minimize the amount of time that a faculty advisor would need to send dozens (or hundreds) of individual e-mails. However, if you need one or two "special" e-mails (that need a specific subject line or an additional

attachment) that could not be sent as part of the bulk e-mail, you can ask your advisor to help you with those. (They will have copies of all of your recommendation letters, so that they could send them if needed.) If you need for the administrative staff to send a special "bulk" e-mail to only one address, or to a separate group of schools that require unique attachments, please send a separate e-mail containing the excel spreadsheet with the one address, along with any special attachments or instructions. This is to avoid confusion and to ensure that the correct information is sent to the correct e-mail address. **Each bulk mail request requires a separate Excel spreadsheet and specific information as to what should be attached to the e-mail**.

On-Line Submissions:
If you are asking faculty members to submit letters of recommendation by uploading them to a University's On-line application website, they typically must convert the letter to a "pdf" format before uploading it. Rather than printing the letter on letterhead and then scanning it to convert it to a .pdf, most faculty find it easier to use electronic letterhead with their signatures and printing it with adobe to convert it to a .pdf. Please let the administrative staff know who you will be asking to write letters of recommendation so that they can ask them if they need assistance with the formatting of their recommendation letters.

12. Mail and UPS Shipping

Mail is distributed each day around 11:00 a.m. and 2:00 p.m. It is sent out twice a day. Special arrangements for packages should be made with the Department's Administrative Assistant at the front desk. The department uses UPS Express Shipping.

13. Payroll and Other Financial Matters

Doctoral students receive their checks on the last working day of the month. Direct Deposit is the preferred method of distribution. You may view your deposit/payroll information on http://medley.isc-seo.upenn.edu/penn_portal/u@penn.php. You will need your PennKey to access the site. (Check with the departments Business Administrator if you have Penn Key questions.) If you do not yet have direct deposit see a financial coordinator for forms.

If you perform extra work as a research assistant, grader, or proctor please make sure that you turn in your time sheet, signed by the faculty member, with the specific course information by the 15th of each month. The faculty member must also supply a letter (it can be in an e-mail) to you describing the type of work you are performing, and the dates involved. If the work you are doing is on-going over several months, only one letter, when you initially begin the work, is needed – you do not have to submit one each month. If the nature of the work changes (grading for a different course in a different semester) then a new letter will be needed.

Your financial support letter provides additional information/guidelines on these matters.

If you receive bills from the registrar which reflect a balance, please see a financial coordinator immediately.

14. Research Fellowships for PhD Students

Entering PhD students are awarded Research fellowships which include:
- An academic year stipend (fellowship). Subject to academic performance, this fellowship will be available for four years.
- Payment of University of Pennsylvania tuition &fees.
- Annual health coveragethrough the University of Pennsylvania group plan

This is a four or five year award with its continuation beyond the first year contingent upon the student's performance. The Department's PhD Committee (or a funding sub-committee) will meet each year to determine whether or not a student is "in good standing" and thus, whether or not the student's funding will be continued for the following year. Criteria essential to being considered in good standing include:

- Participation in the Department Colloquia and Advanced Marketing Seminars
- Maintaining a B+ average and making satisfactory progress in their studies. A typical course load is four courses per semester.
- Third Year Funding: Timely Completion of First Year and Second year papers
- Third and Fourth Year Funding continuation:
- Fifth year funding is available for students who have made strong progress.

At the minimum, the department wants to ensure that each student is in "good standing" in order to receive continued funding; at the same time, we want to raise the bar and assess whether the student has a realistic chance of getting a job at a top school.

This financial offer <u>does not</u> require any research assistant or teaching assistant responsibilities. We anticipate that you will begin research projects with the faculty here as soon as you arrive, based upon your shared interests with our standing faculty. Teaching opportunities will be made available to you toward the end of your program (for additional compensation), and compensation will be competitive with the market at the time. All paid teaching and research opportunities that become available to you must be approved prior to commitment by the department doctoral chairperson, your dissertation advisor, and the department business administrator.

Good Standing

At the end of the third and subsequent years each student needs to have a faculty member summarize the student's progress and prospects with the doctoral committee. It's up to the student whether to ask his/her advisor or someone else, and work with that faculty member to make a strong case on his/her behalf. To facilitate this, the student will meet will complete our annual summary of activity and new status reports required by the PhD Program Office. Based on these reports, the PhD Committee (or a funding sub-committee) will determine whether or not the student is "in good standing" and thus, whether or not the student's funding will be continued for the following year. At the minimum, we want to ensure that each student is in "good standing" in order to receive continued funding; at the same time, we want to raise the bar and assess whether the student has a realistic chance of getting a job at a top school.

Currently, in order to obtain fifth year funding, our students must be in good standing and have defended their dissertation proposal prior to May 15 of their fourth year. We will maintain the dissertation proposal requirement. In addition, the process described in #2 above will be required. Our intention will be to provide fifth year funding for all students who meet these criteria.

15. Social Activity Budget

The Marketing Department doctoral student group is allocated $500 per semester from the Paul Green Foundation to fund social activities intended to promote camaraderie among the students. Students select a social director from their group who will plan and coordinate fun gatherings or outings such as movies nights, bowling, luncheons, etc. The students can decide whether or not to include significant others in these activities. One stipulation is that the events are for students only – no faculty should be included.

16. Slides for Presentations for Job Interviews

If desired, the Department will provide support for printing color transparencies to use when you are on the market and visiting other schools for job interviews.

- 20-page limit
- 1 week lead time
- The presentation must be in PowerPoint, ready to print (no editing will be done for you). Send to an administrative coordinator via email.
- Only one printing is provided, so make sure the presentation is complete and accurate. You should print black and white copies for yourself or for handouts

17. Student Health Insurance

For information About The Penn Student Insurance Plan, please go to the Student Health Services website: http://www.vpul.upenn.edu/shs/shi.html.

As noted in your offer letters and on the Wharton Doctoral Programs Website (http://www.wharton.upenn.edu/doctoral/admissions/expense-and-financial-aid.cfm) all admitted doctoral student's fellowships cover Health Insurance. Please confirm with the department's Business Manager if you have any questions about the terms of your fellowship. If you are interested in obtaining summer coverage before beginning your first year, check with the department's Business Manager for the current policy on payment for early coverage.

All University of Pennsylvania students are required to have Health Insurance. Full-time and dissertation status students must enroll in the Penn Student Insurance Plan (PSIP) or provide proof of acceptable alternative coverage. **If proof is not provided, students will be automatically enrolled in the PSIP.** Students may file their selection on-line through the Penn Portal beginning on July 1.

- SHS Insurance Office: http://www.vpul.upenn.edu/shs/insurance.php
- Online Waiver/Enrollment Site: https://medley.isc-seo.upenn.edu/penn_portal/story.php?channelname=CampusLife&storyid=152&tabid=1
- Insurance FAQ: http://www.vpul.upenn.edu/shs/infaq.php
- Insurance Contact Information: phone: 215 746 3535 option #3 Email shsinsur@pobox.upenn.edu.

YOU CANNOT SIGN UP BEFORE JULY 1, IF YOU TRY YOU WILL RECEIVE AN ERROR MESSAGE. YOU WILL NEED YOUR PENN KEY IN ORDER TO SIGN UP.

18. Student Immunization Record and Student Medical History Questionnaire

The University of Pennsylvania requires all incoming students to be immunized against certain diseases and to submit this information.

You also are required to fill out two personal health questionnaires and electronically sign a consent form. This is done through a secure website. The deadline for submission is July 15, 2011.

If you have any questions, please call the Immunization Office at 215 746 3535 or email: immun@pobox.upenn.edu.

Failure to meet the requirements will result in denial of student registration privileges.

Please the Student Health Services web site for further information:
- Immunization Compliance: http://www.vpul.upenn.edu/shs/immunization.php
- Required Immunizations: http://www.vpul.upenn.edu/shs/files/immreq_11_12.pdf
- Online Form: http://www.vpul.upenn.edu/shs/files/2_IMMHX_11_12_1_.pdf
- Contact: http://www.vpul.upenn.edu/shs/contactim.php

II. REQUIREMENTS OF DOCTORAL STUDENTS IN MARKETING

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A. Program Objectives

The program's specific objectives are:
- To provide an interdisciplinary environment for the generation of creative ideas in marketing;
- To provide sufficient analytic skills for evaluation (and implementation) of these ideas, i.e., critical insight;
- To provide training in the communication of these ideas to others; and
- To encourage a type of cumulative contribution to the marketing field by a process of learning how to learn, i.e., the strategy of scholarly inquiry.

We implement these objectives by means of a varied program of seminars, joint research projects, and colloquia.

The Wharton Doctoral Programs are part of the Graduate Faculties of the University of Pennsylvania and as such they operate within the general framework of degree requirements and financial regulations stated in detail in the University's graduate academic bulletins, available from the University of Pennsylvania Graduate Admissions Office, 16 College Hall, phone (215) 898-7444.

B. Student Involvement with the Department

1. Marketing Advanced Topics Seminars (MKTG-968/969)
All students, except those on the job market, are required to attend, serve as leaders for, and be active participants in the advanced Ph.D. seminars, held Wednesdays at lunchtime. This will expose the students to advanced topics in Marketing.

2. Department Colloquia
In addition to the regular seminars, all Ph.D. students are expected to participate actively in the Department's colloquium, which features presentations of research in progress by department faculty members, Ph.D. students and guests. Ph.D. students are also expected to meet and participate in Coffee Klatch meetings with speakers each week.

C. Admission to Candidacy – Doctoral Program

Before admission to candidacy, the student is required to:
- Complete the required 16 cu's of **graduate level courses** as described in the Program of Study
- Take and pass the Marketing qualifying **examination** offered at the end of the first year.
- Complete a faculty-supervised **First Year research paper** due approximately September 1, before the start of the second year. Present the first year paper in seminar series in January of the second year.
- Completed a faculty-supervised **Second Year research paper** due by approximately September 1, before the start of the third year. (Effective for students entering the program in Fall 2009).

- Complete all forms required by the University. Link to forms: http://www.wharton.upenn.edu/doctoral-inside/forms.cfm. Copies of some required forms are also contained in the Appendices of this manual

  - PLANNED PROGRAM OF STUDY FOR DEGREE CANDIDATES
  - PLAN OF STUDY for INDIVIDUALIZED JOINT or DUAL DEGREE (if applicable)
  - CERTIFICATION OF DOCTORAL PRELIMINARY EXAMINATION

1. First-Year Research Paper

Each student is required to complete a first-year paper. The purpose of the paper is for each student to get first-hand experience in the research process by:

- identifying an interesting and important problem
- reviewing and synthesizing previous research in the area
- conducting original primary research on the topic which could take the form of:
  - an experiment to test some hypotheses
  - derivation of an analytic model which generates testable propositions
  - development of a model and testing of it on an existing dataset
- writing a +/-30 page paper summarizing the research in a journal format.

Students should begin thinking about this project no later than the end of their second semester in the program and should begin working with a faculty member whose role is to provide guidance and counsel along the way. The paper can use as its starting point work previously completed for another class, but must demonstrate substantial incremental work and improvement. For additional information, students should talk to the Marketing doctoral program coordinator and/or other faculty members.

Additional Details:

Deadline: The paper is due approximately September 1st, at the beginning of the 2nd year. (The actual date is determined on a yearly basis). If the paper is not received by the deadline, all funding will be suspended until (a) the paper is turned in, (b) the paper has been evaluated by the designated reviewers, and (c) the doctoral committee meets and makes a determination as to whether the student's funding should be reinstated. The expectation is that all papers will be turned in on time; if, however, a student anticipates that meeting the deadline is impossible, he/she should inform the doctoral program advisor well in advance of the dealing.

Format: The final paper should double-spaced and formatted according to the guidelines of the journal to which you might plan to submit it (Journal of Consumer Research, Journal of Marketing Research, Marketing Science, etc.). You can find information about the style guidelines for each journal on its website and can obtain additional information about this from your advisors.

Review Process: The paper will be evaluated by two reviewers in a manner consistent with normal academic journals. The student is welcome to suggest appropriate reviewers. Each student will receive feedback on his/her paper. Once the feedback has been received, students are required to respond to that feedback. This response should include how the student will revise the paper in order to address the comments and criticism. Ideally, all students will ultimately publish their first year papers. Comments to the reviewers can serve as a useful roadmap for these revisions. Comments to the reviewers will be due 2 weeks after students have received the reviews.

Oral Presentation: During January of the second year, each student will make a 30-45 minute presentation of his/her paper to the marketing faculty and the other doctoral students. The presentations will take place during one of the regularly scheduled (usually on Thursday) Department colloquium time slots after students have received reviewer feedback. Students should endeavor to revise their research based upon comments from the reviewers before making this presentation.

2. Candidacy Examination

A Candidacy Examination on the major subject area is required before the student can be admitted for candidacy. In the Marketing Department's program, this qualifying exam is offered at the end of the first year (usually in early June). It may be oral, written, or both, at the discretion of the graduate group. Typically the exam in our department is a written exam, primarily completed on a computer, and covers the material from the Marketing Department seminar series students take during their first year. According to the University's academic rules, feedback must be provided to the student within one month, although the results of the examination are usually provided to students sooner. Satisfactory completion of the Candidacy Examination requirement is recorded in the student's academic record once the student completes the Certification of Doctoral Preliminary Examination Form and submits it to the Doctoral Office. (This form is on the Doctoral Programs Academic Forms webpage and contained in the appendices of this manual.)

3. Second Year Paper

Each student is also required to complete a second-year paper. This paper can be a revision of the first year paper, as long as it shows substantial improvement and change. However, in most cases this will most likely be a completely new piece of research, rather than a revision of the first year paper. Like the first year paper, the purpose of the paper is for each student to get first-hand experience in the research process by:

- identifying an interesting and important problem
- reviewing and synthesizing previous research in the area
- conducting original primary research on the topic which could take the form of:
  - an experiment to test some hypotheses

- derivation of an analytic model which generates testable propositions
- development of a model and testing of it on an existing dataset
- writing a +/-30 page paper summarizing the research in a journal format.

Students should begin thinking about this project no later than the end of their third semester in the program and should begin working with a faculty member whose role is to provide guidance and counsel along the way. The paper can use as its starting point work previously completed for another class, but must demonstrate substantial incremental work and improvement. For additional information, students should talk to the Marketing doctoral program coordinator and/or other faculty members.

Additional Details:

Deadline:	The paper is due approximately September 1, before the start of the 3rd year. If the paper is not received by the deadline, all funding will be suspended until (a) the paper is turned in, (b) the paper has been evaluated by the designated reviewers, and (c) the doctoral committee meets and makes a determination as to whether the student's funding should be reinstated. The expectation is that all papers will be turned in on time; if, however, a student anticipates that meeting the deadline is impossible, he/she should inform the doctoral program advisor well in advance of the dealing.
Format:	The final paper should double-spaced and formatted according to the guidelines of the journal to which you might plan to submit it (Journal of Consumer Research, Journal of Marketing Research, Marketing Science, etc.). You can find information about the style guidelines for each journal on its website and can obtain additional information about this from your advisors.
Review Process:	The paper will be evaluated by two reviewers in a manner consistent with normal academic journals. The student is welcome to suggest appropriate reviewers. Each student will receive feedback on his/her paper. Once the feedback has been received, students are required to respond to that feedback. This response should include how the student will revise the paper in order to address the comments and criticism. Ideally, all students will ultimately publish their first year papers. Comments to the reviewers can serve as a useful roadmap for these revisions. Comments to the reviewers will be due 2 weeks after students have received the reviews.
The Oral Presentation:	During January of the third year, each student will make a 30-45 minute presentation of his/her paper to the marketing faculty and the other doctoral students. The presentations will take place during one of the regularly scheduled (usually on Thursday) Department colloquium time slots after students have received reviewer feedback. Students should endeavor to revise their research based upon comments from the reviewers before making this presentation.

D.   Degree Requirements

1.   Program of Study

The Ph.D. program in marketing is based on the completion of the dissertation as well as a minimum of sixteen graduate level courses in the following categories:
- Major Field Courses - Marketing: seven marketing seminars
- Basic: A statistics and economics course sequence
- Related Field: two to three courses
- Electives: three to four courses

(Specific course numbers and requirements are listed below).

These courses assume that the student has a basic knowledge of various business areas, computer programming, calculus, and matrix algebra. For students entering the program in Fall 2006 and later, of the sixteen courses, a maximum of four* can consist of transfer courses for graduate work at other universities. In addition, only two of the sixteen courses can be independent study courses.

a. Major Field

The Marketing Department requires that students take the following seven Ph.D. seminars: MKTG 960, 961, 963, 964, 966, 967 and 970. These seminars cover those areas of marketing in which all Ph.D. marketing students should have basic competence, not only to understand the contemporary literature, but to contribute to the future of the discipline. (NOTE: All marketing students entering in the fall of 2008 or later must take all seven of these seminars. Students who entered prior to Fall 2008 are not required to have taken MKTG 960, MKTG961 or MKTG 970 for credit.)

The seminars involve in-depth consideration of various aspects of marketing. Ordinarily, a student taking these seminars will have already completed some work in quantitative methods and, perhaps, in behavioral sciences as well. The general objectives of these seminars are to: (1) discuss contemporary research problems and relevant literature, and (2) describe concepts and techniques for handling the research questions, current and future, in each field.

The following courses are currently offered by the Marketing Department, each equal to one c.u. Please see Course Descriptions on the department's website for more information about the course content, and follow the semester date links in the Quick Links Box for schedules. Students wishing to take any of these courses need permission from the department before they can register for them. After receiving approval from the course instructor, students need to contact the PhD Course Coordinator so a permit can be issued in the registrar's system.

Course	Title	Semester	Schedule
MKTG 960	Judgment and Decision Making Perspectives on Consumer Behavior	Fall	Every other year
MKTG 961	Economic/OR Models in Marketing	Spring	Every other year
MKTG 963	Information Processing Perspectives on Consumer Behavior	Fall	Every other year
MKTG 964	Empirical Models in Marketing	Spring	Every other year

MKTG 966	Measurement and Data Analysis in Marketing	Spring	Annual
MKTG 967	Research Methods in Marketing	Fall	Annual
MKTG 968	Advanced Topics in Consumer Behavior	Spring	Annual
MKTG 969	Advanced Topics in Marketing Research	Fall	Annual
MKTG 970	PhD Seminar in Marketing Strategy – for students in their 2nd year and above	Spring	Annual
MKTG 999	Independent Study	Fall & Spring	Annual

Students wishing to take an **Independent Study** course in the department (MKTG999) must complete an Independent Study Course Approval Form, obtain the course instructors signature, and submit a copy to the PhD Course Coordinator so that the course can be entered into the registrar's system. The original of the form must be submitted to the Wharton Doctoral Programs Office. A blank copy of the form can be found in the appendices of this manual.

b. Basic Courses

- **Economics Requirement**
  Students are required to take one of the following three Economics sequences: 701 and 703, OR ECON 681 and 682, OR BPUB 250 (which students register to take as BPUB 999)
- **Statistics Requirement**
  A one-year graduate level sequence in statistics or in probability and statistics is required. Any of the following sample sequences can be used. Students may substitute other graduate level courses **upon approval of the graduate director of the Statistics Department**.
  - STAT 520/521
  - STAT 520/512
  - STAT 510/520
  - STAT 550/551
  - STAT 500/501
  - ECON 705/706

c. Courses in a Related Field

Students also complete course units in related fields. A partial list of possible related fields includes:
- Communications Research
- Decision Processes
- Econometrics
- Economics
- Information Systems
- Operations Research
- Psychology
- Sociology
- Statistics

d. Transfer Credits

To transfer credits from another University, a student needs to submit a written request to the Department PhD Coordinator during his or her first year. The

recommendation from the Department PhD Coordinator will be sent in writing to the Vice Dean and filed with the doctoral program office. The transfer becomes effective at the end of the first year of doctoral study. A copy of the form can be obtained at this link Request for Approval of Transfer Credit form and in the appendices of this manual. Please note the Doctoral Programs form states that eight course units are transferrable. However the Marketing Department only allows four courses to be transferred.

e. **Course Load and Auditing Courses**

The **maximum course load per term is four course units** per term for doctoral students. A doctoral student may register for a fifth course unit as AUDIT ONLY with permission of the Vice Dean of the Doctoral Programs.

A student who desires to attend a course without performing the work of the course must first secure the consent of the instructor. He or she must register in order for the audited course to appear on the transcript; no credit will be received for the audited course. Penn in Touch will not allow you to change your grade status to "AU"; this change must be made by the Doctoral Office. A student may request that the Doctoral Office change his or her status in a course to auditor, provided that the request is endorsed by the PhD Coordinator in their department and the instructor giving the course and is submitted to the graduate office no later than the end of the second week of the term.

Wharton PhD Students are permitted to AUDIT one course only per term.

f. **Sample Program Sequence**

Year 1, Fall
MKTG 967, MKTG 960, STAT 510 or 551, ECON 681 or 701, or BPUB 250 (which students register to take as BPUB 999)

Year 1, Spring

MKTG 966, MKTG 961, STAT 511 or 551, ECON 682 or 703
Year 1, Summer
Marketing Preliminary Exam

Year 2, Fall
MKTG 963, MKTG 968, Electives, Research

Year 2, Spring
MKTG 964, MKTG 969, MKTG 970, Electives, Research

Year 3, Fall and Spring
Electives, Dissertation proposal defense

Year 4, Fall and Spring
Electives, Final dissertation defense

2. **Dissertation**

Forms and Documents: Please refer to the Doctoral Programs website to download academic forms related to the Dissertation stage that must be completed and submitted by doctoral students. http://www.wharton.upenn.edu/doctoral-inside/forms.cfm Several of these forms are contained in the Appendix of this document for reference purposes.

The Dissertation Manual http://www.upenn.edu/provost/dissertation_manual contains instructions for preparing and filing the dissertation document.

PhD students are now able to submit their dissertations electronically. Electronic submission of a pdf file ensures the highest quality reproduction of the manuscript, with color images preserved both online and in hardcopy publication. Supplementary digital files can be attached, if desired. Once accepted and posted in Scholarly Commons, the dissertation will almost immediately be available for full-text searching via the internet at no additional cost. The pdf will also be submitted by the University to ProQuest. ProQuest provides open access to the Abstract only, unless the author purchases "Open Access Publishing" for an additional $160.

A single hard copy of the manuscript is required for the Library collection. The manuscript must comply with all the specifications outlined in the Dissertation Manual. Deadlines and costs for online submission are exactly the same as for hard copy submission.

Course Registration: It is the student's responsibility to register for dissertation course number MKTG995 by the Course Selection deadline set by the registrar's office. As with all other PhD courses, students need permission from the department before they can register for this course. Students need to contact the PhD Course Coordinator with the name of their advisor(s) so that a permit can be issued in the registrar's system.

E. Native Language other than English

International students who are accepted into the program may be required to take the SPEAK test offered through the English Language Programs http://www.sas.upenn.edu/elp/ office. Wharton PhD Students may be exempt from the Wharton Doctoral Program testing requirement if:
- English is the student's native language
- Student has a degree from an English language university or
- Student has an iTOEFL Speaking score of 26 or higher. The iTOEFL is the internet-based version of the TOEFL test.

The SPEAK test is used to determine/confirm a student's fluency in English. See http://www.sas.upenn.edu/elp/ITA for testing information and dates. If test results indicate a student would benefit from additional language instruction, arrangements will be made for summer class work and tutoring. Students will be expected to complete this additional work to ensure their proficiency in written and spoken English in professional settings.

Every fall, English Language Programs offers GAS 600 which is a follow-up course for those who participate in the Summer ITA Training Program but do not achieve fluency certification. Students who do not pass the testing in August are automatically enrolled in the course. Space may also be available for those who were unable to participate in the

summer training but are still in need of support for fluency testing.

The course emphasizes the development of oral academic discourse skills and practices prominent features of spoken English that promote successful communication in academic settings, including intelligibility, active listening skills, and grammar.

F. Teacher Development Program (TDP)

All PhD candidates in the Wharton Doctoral Programs are required to participate in a Teacher Development Program (TDP). The TDP contains two parts. The first part, conducted in the first week of classes in the student's first year, is a half-day workshop on communications skills that is meant to both educate the doctoral student and make him/her aware of areas of needed improvement. This workshop is mandatory and is part of the introduction to Wharton's Doctoral Programs.

The second part, a four-module TDP workshop, has the focus to enable doctoral students to improve their presentation skills, with the intent of improving academic job placement. In particular, most students will use TDP to help improve their academic job talks when going on the job market.

Doctoral candidates are encouraged to participate in the four-module workshop in their third year or later, but in some cases second year students may take it. Occasionally, waivers for the four-module workshop may be granted by the department's doctoral coordinator under certain conditions. The department waiver, if given, must be registered with the Wharton Doctoral Office in writing.

- Significant prior teaching experience
- Recognized teaching awards
- College-level education courses

III.   REQUIREMENTS FOR MASTERS DEGREE IN MARKETING

A. **Continuation:** Students who want to apply for a Masters Degree and continue on for the Ph.D. should check the University-Wide Academic Rules for Graduate Degrees posted on http://www.upenn.edu/provost/academic_rules. Students must have approval from the Ph.D. Coordinator before applying for a Masters degree.

B. **Alternate:** Students who originally planned to pursue a Ph.D. and change to a Masters should submit a revised Planned Program of Study for Degree Candidates to the Doctoral Program Office.

C. **Requirements.** Students can only apply for a Masters degree if they have:
- Taken and passed the Marketing Department's Qualifying Examination and submitted the Certification of Doctoral Preliminary Examination form.
- Completed a minimum of 8 credit units of Coursework as follows:
    - MKTG 963   Information Processing Perspectives on Consumer Behavior
    - MKTG 964   Empirical Models in Marketing
    - MKTG 966   Measurement and Data Analysis in Marketing
    - MKTG 967   Research Methods in Marketing
    - 4 additional electives courses
- Completed the University's major research paper requirement by:
    - Completing a course of research character or engage in supervised research, as the graduate group shall direct, which, in either case, shall be of at least one

term in duration and shall include the preparation of at least one comprehensive scholarly or scientific paper.

A research paper based on joint work with other researchers is allowed, provided that, in such cases, a unique and separate document is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a master's thesis or research paper by more than one degree candidate is not allowed.

A Certification of Research Paper Acceptable for Masters Degree form must also be completed.

NOTE: Copies of all forms mentioned in this section of the manual are also contained in the appendices of this manual.

IV. GUIDELINES FOR TEACHING AND MANAGEMENT OF CLASSES

Although you will have the guidance of an experienced faculty member (the PhD faculty coordinator or your advisor) if you teach a course for the department, this section contains information that you will need to use, or be familiar with when you are teaching.

A. Course Preparations
The course coordinator for the department sends an e-mail each semester to everyone who is teaching for the department for that term with instructions and deadlines for the semester. Below are items typically addressed in this memo that you need to handle.

1. **Course Book Orders:** Your course book orders should go to the Bookstore as soon as possible, but at least six weeks before classes begin. You can order your books on-line by taking advantage of the Bookstore's **Submitting Textbook Requests Online** page located on their website at www.upenn.edu/bookstore by clicking the faculty tab and logging in. Alternately, you contact the Course Book Department at 215 898-4500 or by sending them an e-mail to coursebk@pobox.upenn.edu for assistance with ordering your books.

2. **Syllabus:** You need to upload your final course syllabus to the Syllabi at WHARTON website at least one month before the beginning of the semester.

To upload (or update) your syllabus, go to http://syllabi.wharton.upenn.edu/index.cfm and set the filter options to the correct semester (i.e. 2010C) and department - MKTG. Click on the blue login button at the top right side of the page and enter your username and password. Once you are connected, find your course section and click upload. Remember to convert your syllabus to a.pdf file first, since this website will only allow you to upload that file type. Please use this website (and **not CMS -** Department Content Manager System to upload your syllabus.

NOTE**: Posting your syllabus only on your webCafé is not enough**. The Dean's office would like all syllabi available on the Syllabi@WHARTON website.

3. **Class Handouts –** Requests for first day of class handouts, and any other class handouts throughout the semester should be e-mailed directly to mktg-repro@wharton.upenn.edu at least **2 working days** before they are needed to ensure they are ready in time for your class. Also, please make sure you indicate how many copies you will need and if you are e-mailing a PowerPoint, specify how many slides

per page you want. We will print everything double-sided, hole-punched and stapled unless otherwise instructed.

4.   **Course Packs** – **All course packs must be prepared through study.net.** To do so, you need to go directly to the study.net website and create your course pack on-line. Here are some things to keep in mind:

- As you create your course pack, you will be able to see the total cost for the pack to the student.
- If you cannot find a document in the study.net database, contact Reprographics for assistance. They can track it down for you.
- If you would like to include materials you created or acquired (such as an advertisement from a magazine) you should contact Reprographics for assistance. They are able to create clearer .pdf images than we can in the department and would prefer it if you gave them the items to be scanned.
- **Training/Assistance**. If you are unfamiliar with study.net, please let your course coordinator know so you can be provided with the training materials to get you started. Reprographics encourages you to contact them if you have questions or need for them to assist you with preparing your course pack. Their new e-mail address is: repro-service@wharton.upenn.edu. You can also contact any of the following staff at Wharton Reprographics
  - o Justin Agnew: 215-898-2945 jagnew@wharton.upenn.edu
  - o Beth Zimmerman at 215 746-7905 zimmermb@wharton.upenn.edu
- Even if Reprographics prepares your course pack for you, you should still log on to study.net before classes start to make sure everything is correct.
- **Log on Information.** Please go to https://www.study.net/default.asp to log-in to your study.net account**.** Use your Wharton e-mail address.
- **E-mail Reprographics when complete**. There is no mechanism in study.net to automatically notify Reprographics that you have just finished your course pack, and it is complete and ready for distribution/printing. (*Do not forget to click the Public Visibility button for "Yes" when you are done.*) Once you are finished e-mail reprographics and let them know your information is complete.

5.   **Classroom Assignments–** When the Room assignments are finalized, they are posted on the Registrar's website http://www.upenn.edu/registrar/ in the dark blue left side panel and labeled "Course and Room Roster".

NOTE: The Marketing Department's website also posts course schedules that show room numbers for Undergraduate, MBA and PhD courses. (Click the appropriate term in the Quick Links box.) Room numbers appear here while they are still working on room assignments, so don't rely on a room number you saw here from a month or two ago because it may have changed.

6.   **WebCafé** – If you are planning to use a webCafé (or the new Canvas application) for your course, Please email the webCafé team at webCafe@wharton.upenn.edu requesting a set up. A room will only be set up if you request it. Please provide the course and section numbers, as well as any optional features you would like included in the room. Keep an eye out for a separate memo from IT with more details and other reminders about this and other IT services for the upcoming semester If you have any questions about how webCafé works, or need help using some of its features, please contact the department's IT staff.

7. **Instruction Center** – **Online Roster** and **seating charts** are available on the Instruction Center site http://web.wharton.upenn.edu/instruction/index.cfm.   Here you can view seating charts on-line, project them in your classroom, download them, or print them out. Class lists can be downloaded into an excel spreadsheet directly from the Instruction Center.

One of the features of Instruction Center that can be confusing is **downloading student data to an Excel Spreadsheet**. Follow these steps:
- Click the Class List tab on the blue navigation bar
- Next to Output (at the top) Click the green button that says List
- Click the fields from the list that you want downloaded (you can also select filters and sorts if you want, but this is not necessary)
- Click on the "export to Excel" link next to the Excel icon in the white area just below the blue box. An excel file with the selected data will open. You may want to use "Save As" to save the file with a new name in your desired folder location.
- We have blank seating chart diagrams available, if you would like to pass one out to your class and have your students write their names in where they plan to sit.

8. **Name Table Tents** – MBA students should have their own name tents for class. If you need some blank tents for non-Wharton students, there are some in the "paper supplies" storage cabinet in the copy room (second shelf down).

9. **Course Evaluations** – All student course/instructor evaluations are done on-line. Students will not be able to receive their grade in a course until they log into the system and complete the evaluation, or specifically opt-out of completing it. If you want to view your course evaluations (including courses from previous years) navigate to the U@PENN site. Go to the "General" tabs and look under the heading "Student Advising & Admin Resources" on the upper right section of the webpage. There is a new section called Penn Course Evaluation and the link is titled "My Course Evaluations". The evaluations are usually posted a few weeks after the end of the semester. They will send out an e-mail to faculty when the evaluations are available for viewing.

10. **On-line Grading** – You can access online grading at Wharton Instruction Center https://web.wharton.upenn.edu/instruction/index.cfm. Once the courses have been input for the term, you will be able to view your course grade sheet. At the top of the page it will also show you when grades are due for your course. The University policy states that grades are due within 72 hours of the last day of exams. A delay can be a problem, particularly in the spring when the records of seniors must be cleared in the week after finals to allow them to receive a diploma on graduation day. Grades are due as shown:

Fall Term	Due the first working day in January after the winter break.
Spring Term	Due by 12:00 noon 3 days from the last day of final exams.
Summer Sessions	Due by 12:00 noon 3 days from the last day of the session class.

B. Marketing Department Policies regarding Instruction

These policies are specific to the Marketing department and may be handled differently in other departments in the University. Note: These rules and policies pertain to all faculty in the department.

1. **Class Coverage**: It is the responsibility of the faculty to meet all sections of their classes and to proctor their own examinations. Any exception to this policy must be approved by the department Chairperson. If an emergency arises, the faculty member is expected to arrange for a qualified substitute or to schedule a make-up session. An administrative coordinator can assist you if needed.

2. **Posting Grades:** The Marketing Department does not post grades.

3. **Course Registration:** The Marketing Department does not maintain waiting lists for students wishing to register for a fully enrolled course.

4. **Permits and Course Enrollment:** All undergraduate and Ph.D. students register through the Penn InTouch system. (All MBA students participate in an auction where they bid on courses, and then the MBA office transfers this into the registrar's system.) You will generally not be involved in either process, unless
- your course is filled to the capacity set by the department and a student approaches you about adding a seat so they can get in, OR
- a non-Wharton student will approach you for permission to take your class

If you choose to allow an additional student(s) into your course, first you must make sure there are enough chairs/seats in the assigned classroom by checking with the department's course coordinator. If there is room, send an e-mail to the department course coordinator with the student's full name and the section number, so that an on-line permit can be issued. (No permit will be issued without express written permission directly from the instructor.) A permit does not register the student; it only allows them to register through Penn In Touch. The department's course coordinator can register Wharton students, but non-Wharton students may need the assistance of their home school in order to register.

Note: This will raise the maximum number of students in your class. Although there are times when it is necessary to allow students to enroll in a course, in general we encourage you to let Penn In Touch and the MBA Auction work. Unfortunately, students sometimes try to circumvent the system which is unfair to the other students who have seniority, or who have "paid" high bid prices in order to get into a course.

5. **Graders:** In courses where there are more than 40 students enrolled, the department will pay for a grader to assist with the course. Generally for courses taught by PhD students, the enrollment is kept low so that there will not be a need for a grader. Since PhD students are often asked to be graders for courses taught by other faculty this information is included in the manual so that you are familiar with the process.

The grader's hours should not exceed two hours of grading per enrolled student per semester. Graders cannot be required to attend class; their sole role is to grade. Before hiring a grader, the faculty member should contact the course coordinator so that the student can be provided with the appropriate paperwork they for the University's payroll system. The course instructor needs to provide the student grader with an offer letter (or e-mail) indicating their position, start date, and number of hours. (see a sample letter in the appendices)

Hours worked by student graders may be turned in to your financial coordinator only twice during the semester, once after the mid-term examination and once after the final examination. The form requires the signature of both the student and faculty member. No paycheck will be issued without the required signatures.

The department will not pay for graders in courses with less than 40 students. A faculty member may still hire a grader with the understanding that the grader will be paid from faculty research budgets. Likewise, graders submitting hours in excess of the two per enrolled student limit need prior approval from faculty and it will also be paid from faculty member's research budget.

C. Important University Policies

There are numerous University of Pennsylvania policies affecting faculty and students regarding instruction. Links to many of them can be found at http://www.upenn.edu/provost/category/penn_policies.

Included in this manual are a few common or important policies that you need to pay close attention to if you are teaching for the department. Please keep in mind that there are some differences in the way Undergraduate/PhD courses operate from the way the Wharton MBA courses operate in terms of deadlines and the registration process.

1. **Provosts' Rules Governing Final Examinations –** Please visit http://www.upenn.edu/registrar/pdf_main/provost-rules.pdf to view this important list of rules regarding final **examinations.**

2. **Postponed Final Exams and Incompletes:** Students sometimes face three final examinations in one calendar day, or two exams at the same time. They have a right to take a scheduled makeup which the department must provide during the first week of the next term, or with your approval they can make alternative arrangements to take the exam at some other time during the final exam period. The other source of an "I" grade is an incomplete term paper or other course work which must be finished during the first four weeks of the next term. If the work is not done within the four weeks or if a change of grade form is not submitted, the grade automatically becomes an "F."

3. **Changing Grades and Retaking Courses:** The four-week rule also applies to reconsiderations of grades due to errors in grading or completion of missing assignments. Students will sometimes appear long after this deadline to plead for a change to a higher grade to boost the GPA for law school examinations or similar decisions. We urge you to turn down these requests by citing the four-week rule. You should also resist proposals to retake a course with you or a colleague and then to substitute the new grade for the old. This is not permitted.

4. **Religious Holidays -** The Provost's Guidelines state that assignments cannot be due or exams scheduled on religious holidays. Students are well aware of these rules and frequently bring violations by faculty members directly to the Provost's attention. Religious observances that often conflict with the academic schedule are Rosh Hashanah and Yom Kippur in September/October, but there are many other holidays that can result in conflicts. A good resource for a list of other religious holidays is: http://www.interfaithcalendar.org/

5. **Academic Integrity:** All instances of suspected cheating, plagiarism, unauthorized collusion, or other violations of the Code of Academic Integrity should be brought immediately to the attention of the appropriate Vice Dean. It is essential that the University's policy and procedures be followed from the very beginning of an incident.

6. **The Drop-Add Period:** The students must drop-add through the Penn In Touch system on a first-come, first-serve basis (check the Penn calendar for the exact dates of drop-add deadlines). Students can drop a course without penalty and without instructor involvement during the first five weeks of the semester. During weeks five through ten, students can withdraw (receiving a permanent "W" on their transcripts) only if they are not failing the course at the time of withdrawal. Determination of passing or failing status is based entirely on your judgment. After week ten, the student can request a withdrawal only for exceptional circumstances. The intention is to prevent students from withdrawing from courses late in the term simply because they are not doing as well academically as they had hoped. The Wharton Executive Committee will make the final decision on withdrawal petitions.

    Please request that students who have decided not to continue in your course drop it so others can register for those seats. We cannot drop students – they have to do it themselves.

7. Policies on Consensual Sexual Relations Between Faculty and Students and Sexual Harassment

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

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For these reasons, any sexual relations between a teacher and a student during the period of the teacher/student relationship are prohibited. The prohibition extends to sexual relations between a graduate or professional student and an undergraduate when the graduate or professional student has some supervisory academic responsibility for the undergraduate, to sexual relations between department chairs and students in that department, and to sexual relations between graduate group chairs and students in that graduate group. In addition, it includes sexual relations between academic advisors, program directors, and all others who have supervisory academic responsibility for a student, and that student. Teachers and academic supervisors who are sexually involved with students must decline to participate in any evaluative or supervisory academic activity with respect to those students.

The Provost, Dean, Department Chairs, and other administrators should respond to reports of prohibited sexual relations that are brought to them by inquiring further and, if such reports

appear to be accurate, initiating appropriate disciplinary action or remedial measures against the teacher or supervisor involved.

For further information on this issue, refer to the University's Sexual Harassment Handbook: http://www.upenn.edu/affirm-action/introsh.html

8. Guidelines for Addressing Academic Issues of Students with Disabilities

(*Source: Provost's Memorandum, Almanac, September 10, 1991; revised, Office of the Provost, Almanac, October 4, 1994; revised, Almanac, December 7, 1999)*
http://www.upenn.edu/provost/PennBook/guidelines_for_addressing_academic_issues_for_students_with_disabilities

The University of Pennsylvania is committed to providing equal educational opportunities to all students, including students with disabilities. Penn does not discriminate against students with disabilities and provides reasonable accommodation to a student's known disability in order to afford that student an equal opportunity to participate in University-sponsored programs.

This Policy Guidance, known as the Provost's Memorandum, serves two purposes:

• To provide guidance to faculty and academic support staff so that they may reasonably accommodate students with disabilities without compromising academic standards and requirements.
• To assure students with disabilities that the University will provide access to all University-sponsored programs, benefits and activities through reasonable accommodation and program accessibility as required under the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA).

Protection from Discrimination

The Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 prohibit discrimination against people with disabilities by institutions like Penn that receive or benefit from Federal financial assistance. The ADA further protects from discrimination against persons who are associated with an individual disability.

Definitions

Disability: Under the law, a person with a disability is defined as an individual who (1) has a physical or mental impairment that substantially limits one or more major life activities (2) has a history or record of such an impairment, or (3) is regarded as having such an impairment. Examples of recognized disabilities under the law include, but are not limited to, blindness, deafness, paralysis, cystic fibrosis, lupus, mental illness, HIV/AIDS and specific learning disabilities including Attention Deficit Hyperactivity Disorder (ADHD).
Reasonable Accommodation: A modification or adjustment to an academic program that enables an otherwise qualified individual with a disability full access to participation in University-sponsored programs. These modifications should not alter the fundamental purpose of the course.
Reasonable accommodation is determined on an individual basis and should reflect the functional impairment so that accommodation(s) may vary from class to class depending upon course content and format. Accommodations are intended to be effective and reasonable; they may not be exactly what the student wishes or requests.
Appropriate Documentation: A written evaluation or report provided by a clinician in a specific profession or area of expertise who is considered qualified to make the diagnosis. The documentation must be current, comprehensive and may include clinical and social histories

from parents, counselors and specialists. A diagnosis must be included. Accommodations must relate to the student's specific functional limitations within the academic setting. The documentation must conform to well-established practices in specific areas/fields.

Responsible University Offices

Since January 2002, all students with disabilities are served by the Office of Student Disabilities Services, located in the Weingarten Learning Resources Center under the Office of the Vice Provost of University Life.

The Office of Student Disabilities Services is available to assist faculty, academic support staff, and students in reaching a joint determination of academic accommodations, where needed.

Weingarten Learning Resources Center
Office of Learning Resources
Office of Student Disabilities Services
3702 Spruce Street, Suite 300
(Stouffer Commons)
Philadelphia, PA 19104-6027

Accommodation Procedure

The Role of Students

All students with disabilities who seek an accommodation at Penn have the responsibility to identify themselves to the Office of Student Disabilities Service. Identification may take place at admissions or at any time during the student's course of study.

The request for accommodation and supporting documentation must be provided in a timely manner.

After documentation of disability has been approved and accommodations have been proposed, students must give permission for letters to be sent to all instructors in whose classes accommodations are being requested. Instructors should review the proposed accommodations (see below). After there is agreement on the appropriate accommodation, students are encouraged to introduce themselves to professors directly and to initiate a dialogue about their particular needs.

Role of Faculty and Academic Support Staff

Faculty members and academic support staff have a responsibility in ensuring equity in their programs and classrooms. However, the modifications offered should not fundamentally alter the academic requirements essential to a program of study or to licensing prerequisites.

Once faculty members have been notified officially, through presentation of a verification letter from the Office of Student Disabilities Services that a student has a disability and that accommodations are being requested, instructors should review the proposed accommodations. If an accommodation is found to alter fundamentally the academic structure or essential nature of a course, the instructor should contact the Office of Student Disabilities Services as quickly as possible to request modification of the proposed accommodation, as the presence or absence of an accommodation may affect the student's ability to take the course.

It is also important to recognize that students with disabilities must reach the same performance standards to fulfill degree requirements as their non-disabled peers. Accommodation provides the student with a disability with equity, not unfair advantage.

Faculty and academic support staff are required to consider accommodations only for students who are registered with the Office of Student Disabilities Services through

presentation of a verification letter from that office. If faculty have not received verification letters, they should instruct students to contact that office.

Confidentiality

All documentation provided by the student resides with the Office of Student Disabilities Services, which will assess the need for accommodations. This information will be kept as confidential as practical while the accommodations are being considered and thereafter.

Having presented appropriate documentation of disability to the Office of Student Disabilities Services, the student is not required to present it to individual professors, programs, or schools.

Faculty should refrain from discussing a student's issues regarding disabilities and accommodations for them in front of the class, in the presence of other students, or to faculty or staff not directly involved in the accommodation process.

Examples of Suggested Accommodations

The following suggestions represent some, but not all, of the ways faculty and academic support staff may be asked to accommodate students:

a. Providing students with course information such as reading lists, textbooks and syllabi in advance of the start of classes where alternate formats for print material are necessary so that the student can obtain audio recordings of reading material or make textbook enlargements before the start of classes. This gives students with reading disabilities the opportunity to begin their reading early, and the advanced time required for those who rely on recordings.
b. Submitting course information to the Registrar in a timely fashion. If a particular classroom is inaccessible to a student registered for the class, the classroom may have to be modified or the class moved to another location that is accessible. (Inaccessible laboratory areas will be modified, as needed.)
c. Allowing students to record lectures or use assistive listening devices.
d. Allowing Oral or American Sign Language interpreters to attend classes to translate lectures or permitting stenographers to transcribe lectures.
e. Reproducing reading materials, exams, charts and graphs in large print.
f. Allowing students additional time to complete exams.
g. Allowing alternate test formats (e.g. oral exams in lieu of written ones).
h. Permitting students to take exams in alternate locations.
i. Permitting students to use equipment to take examinations (e.g., closed circuit television that enlarges print or a word processor).

Concerns and Complaints

The Office of Affirmative Action and Equal Opportunity Programs is responsible for overseeing the University's implementation of its equal opportunity and nondiscrimination obligations arising under federal, state and Commonwealth laws. Any concerns or complaints relating to perceived violations of the Provost's Memorandum should be addressed to this office.

Contact this office to register a concern or file a complaint if there is uncertainty about whether a request is reasonable or if there is disagreement about an accommodation.

Educational Resources and Publications

There are several helpful educational and resource publications available through the Office of Affirmative Action and Equal Opportunity Programs:

1. Office of Affirmative Action Fact Sheet and other printed information describes the network of services, policies and procedures.
2. ADA Compliance Guide published by Thompson, a complete index.
3. Section 504 Compliance Handbook, a complete index.
4. Guidelines for Communicating About People with Disabilities

V. DOCTORAL STUDENT TRAVEL GRANTS & OTHER GRANT OPPORTUNITIES

A. Marketing Department Travel/Research Stipends

The Conference travel policy for doctoral students in Marketing is as follows:

There is a $2000 budget allocation for conference-related travel for each doctoral student upon joining the program. This budget may be used over the five years of the program, assuming that the student is in good standing and enrollment in the program is continued.

All conference travel must be pre-approved by the student's doctoral advisor, the doctoral program coordinator, and the department chairperson/business administrator. Reimbursement will not be made for travel incurred without prior approval.

All travel must be made in accordance with the University of Pennsylvania travel policy.

The Department will pay for coach air fare, conference registration, hotel, and other University-allowable expenses. ***The Department's standing policy is that conference travel must be associated either with presenting a paper or chairing a session.*** Please follow the guidelines in the section on Travel/Entertainment Expense Reimbursement when submitting your requests for payment.

Payment of membership fees or subscriptions will be made directly to the association or organization. There is a 10-15 day turnaround processing time, once it leaves our office.

B. Doctoral Office Travel Grants

Please visit: http://www.wharton.upenn.edu/doctoral-inside/dump/travel-grant-funding.cfm for any updates to the information shown below:

The Wharton Doctoral Programs is pleased to be able offer funding to assist Wharton Ph.D. students for travel and research. This funding applies to TRAVEL only and may not be used for purchase of related books or materials. Proposals for the presentation of own dissertation research at conferences will be given priority.

First Year students are not eligible for Doctoral Office Travel funding.

Students may not submit more than one Travel Grant request per year.

Grants will be awarded for amounts up to a MAXIMUM of $750 for International travel and a MAXIMUM of $500 for Domestic travel per trip.

Students should submit a brief proposal prior to the term in which they are planning to travel. The Proposal for Travel Funding should include:

1. A two-page description of the Purpose of the Trip

Cover Page Includes

- Name of Student
- Department
- Year in the Ph.D. program
- Dissertation Advisor
- Dates of Travel
- $ Amount being requested

2. A Budget of estimated expenses must also be included

- Budget should indicate any other proposed or expected financial support.

3. Letter of Support from the Student's Faculty Advisor or Department Ph.D. Coordinator.

Deadlines (Deadline time and dates are firm):

5:00 pm, Friday, February 3 , 2012 for Spring (Jan-April) Travel
5:00 pm, Friday, April 20, 2012 for Summer (May-Aug) Travel

Proposals submitted after the deadline time and date will not be reviewed.

Students will be notified within two weeks after a deadline.

*International travel must be approved in advance, and travel must be on U.S. carriers when available. Per Diem must adhere to published U. S. Department of State rates.

**Please send completed application for Travel Funding or any questions to Mallory Hiatt.

C. Center Grants

Wharton School research centers may offer grants from time to time. Doctoral students are encouraged to apply for these grants to apply towards their research and conference travel funding. These grants have specific terms and conditions which must be adhered to in order to be funded. See call for proposals for Wharton Risk Management and Decision Processes Center, for example.

D. Other PhD Funding Sources

The Wharton Doctoral Program Office maintains a webpage that lists a variety of PhD student funding sources. Please check the links that are provided on this website http://www.wharton.upenn.edu/doctoral-inside/funding.cfm for information.

VI. TRAVEL AND ENTERTAINMENT EXPENSE

It is an IRS requirement that the University retain, for a designated period of time, all documentation supporting requests for reimbursement relating to travel and entertainment. Individuals traveling and or entertaining on official University business are required to submit original receipts with the Travel and Entertainment Request for Reimbursement Form [sample attached] for all travel and/or entertainment related expenses of $25.00 or more.

For your information, the complete travel and entertainment policy is available at http://www.finance.upenn.edu/comptroller/travel/

A. Reimbursement Process

1. The doctoral student submits Account Payables and/or travel reimbursements to the department's Financial Coordinator. Travel reimbursement forms are available from your financial coordinator. Original receipts are required. If attaching receipts in foreign currency, indicate the foreign exchange rate and the USD equivalent amount on each receipt. Receipts will be returned to you if USD and conversion rate is not written on all receipts. International reimbursements take longer to process – approximately 3-4 weeks.

2. Receipts are reviewed and travel reimbursement forms are completed by the Financial Coordinator with proper information and required signatures. (See below for the list of acceptable receipts.)

   · For quicker turnaround, the doctoral student may fill out the entire form him/herself and turn in the form with original receipts to the Financial Coordinator's office for processing. If errors are found in processing, the form will be returned to the doctoral student.

   · Please specify where the reimbursement/travel will be charged. Example: Research budgets, outside funding, faculty research budgets, etc.). Travel arrangements made using American Express Travel (on campus): 215.898.9439 are directly billed to the department.

3. Once the form and attachments are correct, the form will be delivered to Account Payables and/or the Travel Office for processing.

4. Additional Information:
   a. **Reimbursement Status -**Email all inquiries regarding reimbursements, tuition, tech, and general fees to a financial coordinator. Response time is generally 24-48 hours.

   b. **Partial Reimbursements -**If the expense is partially covered by an organization other than the University, duplicate copies of the receipt may be submitted by attaching a copy of the request for reimbursement submitted to the other organization.

   c. **Attaching Receipts -**When attaching receipts to a travel expense reimbursement request,

you should tape them to blank sheets of 8½" × 11" paper so that each receipt is visible. The University asks that receipts be taped instead of stapled because receipts are microfilmed for storage purposes. You may tape as many receipts to one side of the page as possible as long as the necessary information is available.

d. **Lost Receipts** -An employee incurring travel and/or entertainment expenses who loses a required receipt should seek a duplicate and submit it stating that the original was lost. When an acceptable duplicate cannot be obtained, the employee must submit a signed statement that the expenses were incurred in connection with University business and are accurately stated on the Travel and Entertainment Expense Report and that reimbursement of the expenses has not and will not be paid from any other source

e. **Acceptable Receipts**

    Airline/Rail
    The original passenger coupon or passenger receipt from an airline or rail ticket must be attached to the Expense Report in order to be reimbursed. Boarding passes or itinerary/invoices are not acceptable documentation. If traveling on a ticket-less airline, it will be necessary to provide some proof of purchase, such as an electronic invoice or a receipt provided by the airline at time of travel.

    If you have incurred a change or cancellation penalty, the traveler should attach any supporting documentation along with an explanation of the circumstance causing the change or cancellation.

    Private Vehicles
    Individuals using their own vehicles should keep track of their mileage and submit that information on the Expense Report. No receipts are necessary, but an attached mileage log is recommended. The University car mileage rate is currently 48.5¢ per mile.

    Rental Car
    A receipt from the rental car company showing the breakdown of costs (i.e., daily rate, tax, city surcharge, etc.) must be attached to the Expense Report in order to be reimbursed. A credit card receipt is not acceptable. The University does not reimburse auto insurance paid to a rental car company.

    Guidelines: Travelers should use a rental car when other transportation is not available or when its use results in a cost savings. The least costly type of rental vehicle, such as "compact" or "economy," is expected to be used. Minivans should be used only if transporting large or bulky materials or if four or more individuals are traveling together.

    Domestic Car Rental Insurance: Renters (faculty or staff) traveling on University business should decline the loss damage waiver (LDW) option, supplemental liability coverage, personal accident insurance, and other additional insurance options when renting a car for business purposes. Such coverage is provided under the University's insurance policy and is not reimbursable. Any additional questions about car rental insurance should be directed to the Risk Management office at (215) 898-4227. Travelers must notify the Risk Management office immediately if an accident occurs.

International Car Rental Insurance: When traveling internationally on business, a University employee should accept both the loss damage waiver (LDW) and additional liability coverage. Any additional questions about international car rental insurances should be directed to the Risk Management office at (215) 898-4227. Travelers must notify the Risk Management office immediately if an accident occurs.

Lodging
The original hotel receipt showing the breakdown of expenses is required. If the original is lost, a copy should be obtained from the hotel and submitted with a brief explanation stating the original was lost.

Meals/Entertainment
A credit card charge form or the original bill indicated "paid" will be Entertainment   accepted as proper documentation for meal payments. Restaurant tear tabs alone are not acceptable. All receipts must include the name of the vendor, location, date, and dollar amount.

B. Reimbursement Forms

The following are blank forms showing the type of information that will be required. These forms can be downloaded as Excel documents directly from the Office of the Comptroller's webpage: **http://www.finance.upenn.edu/comptroller/forms/**. (These forms, C-1 and C1A, are in the travel table.)

UNIVERSITY OF PENNSYLVANIA
OFFICE OF THE COMPTROLLER

TRAVEL AND ENTERTAINMENT EXPENSE REPORT
ENTERTAINMENT AND BUSINESS MEAL WORKSHEET

THIS FORM IS TO BE USED ONLY IN CONJUNCTION WITH THE TRAVEL AND ENTERTAINMENT EXPENSE REPORT (C-1 FORM). PLEASE REFER TO THE FINANCIAL POLICY MANUAL FOR THE UNIVERSITY'S POLICY ON ENTERTAINMENT AND BUSINESS MEAL EXPENSE.

DATE	PLACE OF ENTERTAINMENT	PERSON(S) ENTERTAINED	AFFILIATION	BUSINESS PURPOSE	AMOUNT
TOTAL ENTERTAINMENT AND BUSINESS MEAL EXPENSES (TOTAL AMOUNT SHOULD BE LISTED ON C-1 FORM):					$ -

ATTACH THIS WORKSHEET TO THE TRAVEL AND ENTERTAINMENT EXPENSE REPORT WITH ALL RECEIPTS. OBJECT CODE 5209 SHOULD BE USED FOR BUSINESS MEALS, OBJECT CODE 5214 FOR ENTERTAINMENT.

C-1A 12/02 (www)

The form below can be found at: http://www.finance.upenn.edu/forms/travl.pdf

UNIVERSITY OF PENNSYLVANIA
OFFICE OF THE COMPTROLLER
TRAVEL AND ENTERTAINMENT REIMBURSEMENT FORM

Payee Designations and required supporting documentation

Non US Citizen	US Citizen	☐ Faculty/Staff
☐ Visiting Non Resident Alien	☐ Non-employee/Other (if new vendor, attach W-9 with soc sec #)	
	☐ Check here if non-employee is a government official	
☐ Penn Student ***	☐ Penn Student***	
Non US Citizens must attach Foreign National Information form, copy of passport, visa, I-94 card		

(*** All students must complete a Statement of Business Connection form)

PART I: PAYEE INFORMATION

PAYEE	LAST	FIRST	M	VENDOR #
MAILING ADDRESS (ONLY NECESSARY IF "STUDENT" OR "OTHER")				PENN ID#
PURPOSE OF TRIP OR EVENT				PHONE NUMBER
DESTINATION(S)	BEGINNING DATE (MM/DD/YY)		ENDING DATE (MM/DD/YY)	

I CERTIFY THAT THE EXPENDITURES LISTED BELOW WERE INCURRED BY ME IN CONJUNCTION WITH OFFICIAL UNIVERSITY BUSINESS, COMPLY WITH ALL APPLICABLE POLICIES, ARE ACCURATE AND THAT I AM NOT REQUESTING REIMBURSEMENT FROM ANY OTHER SOURCE.

SIGNATURE OF PAYEE X _____

PART II: RECORD OF EXPENSES

*People with Direct Deposit thru Payroll will have their travel reimbursements deposited directly as well

DATE (MM/DD/YY)										TOTALS ($)
T	AIRFARE, RAIL, BUS									$ -
R	CAR RENTAL & GAS									$ -
A	PRIVATE CAR m @ ¢									$ -
N	TAXIS/LOCAL TRANSPORT.									$ -
S	PARKING TOLLS									$ -
PER DIEM										$ -
M	BREAKFAST									$ -
E	LUNCH									$ -
A	DINNER									$ -
L	REFRESHMENTS									$ -
LODGINGS										$ -
O	TIPS (OTHER THAN MEAL/TAXIS)									$ -
T	TELEPHONE, POSTAGE									$ -
H	OTHER (E.G., REGISTRATION)									$ -
TOTAL EXPENSES PER DAY		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
ENTERTAINMENT AND BUSINESS MEALS		ATTACH ENTERTAINMENT AND BUSINESS MEAL WORKSHEET (C-1A) AND ENTER TOTAL HERE. FOR BUSINESS MEALS USE CODE 5238. FOR EXPENSES THAT ARE ENTERTAINMENT RELATED, USE OBJECT CODE 5214.								

PART III: EXPENSE RECONCILIATION (If using more than one form, show total on top form and number pages)

The Travel Policy recommends that Reimbursement forms be submitted for reimbursement within ten (10) days of the Ending Date of the trip or event. Forms submitted after 182 days (6 months) from the Ending date of the trip or event will not be reimbursed.

GRAND TOTAL - EXPENSES	$ -
LESS ADVANCES:	$ -
	$ -
BALANCE DUE PAYEE:	$ -
BALANCE DUE UNIVERSITY:	$ -
(ATTACH COPY OF VALIDATED SLIP)	

PART IV: ACCOUNTING INFORMATION   ☐ NON FEDERAL GRANT   ☐ FEDERAL GRANT

LAST NAME OF PAYEE	BALANCE DUE		CNAC	ORG	BC	FUND	OBJECT CODE	PROGRAM	CREF
AUDITOR APPROVAL									

PART V: APPROVALS   ☐ Check if expenses do not require a Justification form   ☐ Check if Reimbursement Justification form is attached

EMBOSSED BY TAC HOLDER	NAME OF TRANSACTION AUTHORIZATION CARD (TAC) HOLDER
	SIGNATURE OF TRANSACTION AUTHORIZATION CARD (TAC) HOLDER
	SIGNATURE OF THE HIGHER LEVEL APPROVER *

* Signature required on all expense reports that equal or exceed an aggregated amount of $500 per trip

DEPARTMENT NAME	DEPARTMENT ADDRESS	MAIL CODE	TELEPHONE	DATE

Form C-1 04/09 (xlsx)

VI. TECHNOLOGY AND COMPUTING

A. Acceptable Use Policy

It is the responsibility of Doctoral Students to make themselves aware of the University's Acceptable Use Policy regarding University owned hardware and software, which is located at the following link: http://www.upenn.edu/computing/policy/aup.html

B. Computer Support

- All computers are linked to a Microsoft Windows NT network which consists of a File and Print server (MKTGFILE), a Microsoft Exchange server for e-mail (MKTGMAIL), and a Web server (MKTGWEB). Computers are also networked to two HP UNIX workstations (fourps and Mktg37), the University Network, and the Internet.
- Computers up to 3 years old will receive full support. Computers 3-4 years old will receive limited support. We do not support computers that are more than 4 years old.
- We only support machines that were purchased through the Department. Only work-related hardware and software will be installed and receive support and maintenance. Home computers must be brought into the office for service – no home visits.
- Any requests for support from the Marketing Department IT staff needs to be submitted in an e-mail to: mktgit-staff@wharton.upenn.edu. All requests are entered into a tracking system from this address. Individual e-mails to IT staff members are discouraged for this initial request, since it won't get in the tracking system, and may not be answered promptly in the staff member is out of the office or on vacation.
- Office hours for the computing staff are generally the same as for the department at large, which are Monday Through Friday from 9:00am to 5:00 pm. Our goal is to provide time for support of larger teaching and research projects while maintaining a superior level of individual service to faculty and staff members. During office hours, staff will be available for any and all computing issues, but emergency service will receive top priority.
- Other helpful computer support information can be found on the Computing tab of Spike: http://spike.wharton.upenn.edu/support/index.cfm.

C. PhD Student Home Pages and Marketing Content Manager

PhD students are provided with their own homepages which are similar in appearance to the faculty homepages on the department's website. Information on these pages will be pulled from the Departmental Content Manager System (CMS). Students can enter information directly into CMS, such as awards, CVs and papers. Entered data will automatically appear on the student's webpage. You can login to the CMS at: **http://qbox.wharton.upenn.edu/dept/update/**. The department will upload a headshot for you. If you want to change the photograph, you can upload a new one in CMS. However, make sure that it is resized to 120 x 140 pixels before you upload it.

VIII. The Wharton Behavioral Lab

1.   About the Wharton Behavioral Lab

      a.   Please visit the WBL's Website: https://bhlab.wharton.upenn.edu/ to set up an account, and login once you have an account.

      b.   Mission Statement

The Wharton Behavioral Laboratory (WBL) provides a variety of services that support data collection for behavioral research on business-related topics. The primary goal is to enhance the research productivity of Wharton faculty by minimizing the operational costs, both time and money, of conducting research. The primary services provided are maintaining and updating facilities, participant pools, and staffing for a state-of-the-art experimental research laboratory that will be a shared asset for all faculty and students doing behavioral research. It should contribute to Wharton's reputation for excellence in academic research and enhance our ability to attract and retain the very best scholars.

2.   Lab Locations and Facilities

      a.   *Locations*
The WBL operates two lab locations:
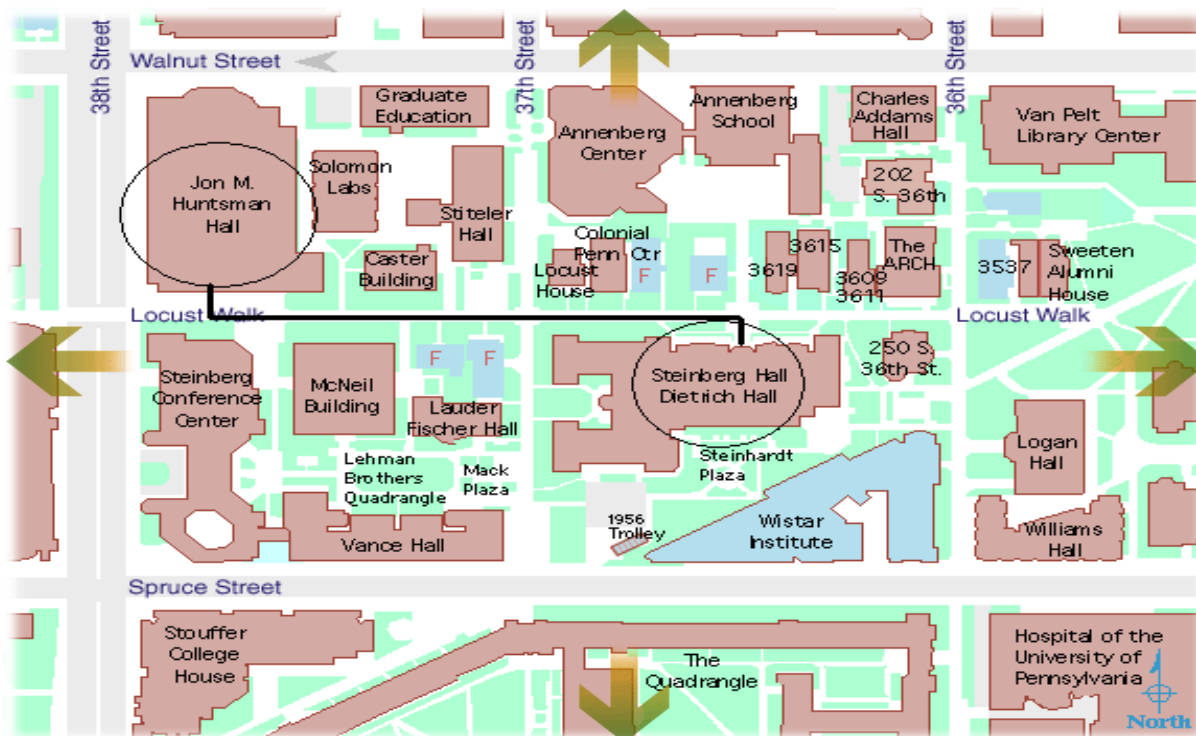
JMHH LAB	SHDH LAB
Jon M. Huntsman Hall – Room F82 3730 Walnut Street Philadelphia, PA 19104 Phone: (215) 573-0397	Steinberg-Dietrich, Dietrich Hall – Room 112 3620 Locust Walk Philadelphia, PA 19104 Phone: (215) 746-1810

b. *Facilities*
Computer Room
It is the main room with fourteen computer stations in each lab.
Focus Room
Each lab also has its own focus room adjacent to the main room which can be used for group studies when necessary.

3. Software and Equipment
a. *Hardware*
- Server
- Desktop Computers (14/15 units in each lab)
- Laptops (10 units)
- Webcams Headphones

b. *Software*
- Media Lab
- Qualtrics
- Survey Monkey
- Z-Tree
- DirectRT

4. Description of a regular session

During a session, panel members may complete questionnaires, participate in online experiments, and/or interact in group discussions run by different experimenters. Each lab begins a new session every week. Most sessions can use all panel members, but some sessions need specific groups (e.g., women only) or must exclude members who have participated in very similar studies in the past. Subjects can only participate once in each session

a. *Panel*
Members of the WBL panel are mainly Penn students, but also include staff and members of the community. For more detailed information go to:
https://bhlab.wharton.upenn.edu/demo2.aspx
b. *Session Length*
Each session lasts 50 minutes.
c. *Payment*
Payment for each session is usually $10, but may exceed that amount for studies in which payment depends on performance in some way.
d. *Lab Log- email*
At the end of the day the lab coordinator sends a lab log to all the experimenters that are running a study in a particular session. This email includes information regarding:
- Number of participants for the day
- Number of participants for the entire session

- Link to the lab website which shows participants' and RA's comments about the session, participants satisfaction, min., max. and average time that participants took to complete all the studies that have run in the session
- Session order. This is the order of studies that participants follow through the session.

e. Staff

The lab will provide a lab coordinator and RA for every session. For those studies which require more assistants, we may need the experimenters to provide us with their help or own RAs.

f. Data coding

RAs are usually available to help experimenters with the data coding process. Please contact the lab manager if you need help.

5. Instructions to request a lab slot

a. Contact Lab Manger

If you are a new user please contact the lab manager as soon as possible. Please ask to be included in the lab user email list (bhlab_list@wharton.upenn.edu) to receive updates of the lab.

b. Faculty Member Approval

PhD students need a faculty member's approval to run a study at the lab. This should be done by a direct email from the advisors to the lab manger.

c. IRB approval

All users must have IRB approval to run studies at the Behavioral Lab. (See point 7 for more information)

d. Study description

The WBL schedule is updated every two months. An email is sent to all the lab users to schedule time slots according to their particular needs. To schedule the lab, a **WBL Request Form** needs to be submitted. (A copy of this form can be found in the Appendix to this manual). This is some of the information that needs to be provided at the time of submitting the request:

- Date experimenters prefer to run the experiment
- Length of the study
- Sample size
- Subject pool
- Screening (screen out people who have participated in that study before)
- Need of electronic devices (website, headphones, etc)
- Payment
- Special instructions

Before requesting time at the WBL we recommend that you visit our two locations to have a better idea of the lab set ups and decide if any changes should be made prior to the implementation of your study.

6. Session Material

Before running a session at the lab make sure you have:

a. IRB approval
b. Consent form
   - Taste studies (describe calories and ingredients)
   - Regular studies
c. Survey
   i. Provide it with at least two days in advance to the WBL staff
   ii. Remember to add "Lab ID# _____" on the top right of the survey if it is paper based or add a cell asking for subjects' ID if it is computer based.
   iii. Add a Title to your study
   iv. Conditions: Make sure you have a way to keep track of the different conditions of your study
   v. Randomization: Let us know how you want us to randomize the different conditions.
   vi. Debrief: if possible write a short paragraph explaining what the study was about and how participants helped contribute to the research.
d. Cover Page
   The cover page is an outline of the studies that make up a session. It specifies which studies are computer-based, and which are paper-based and provides specific instructions to participants. This makes the participant's job easier/less confusing, and helps ensure that the participant's do the studies in order.
   If your study needs to run first or last in a session you should notify the lab manager about this when you request your lab time.
e. Extra Material
   - Taste studies (have all materials ready, provide bowls, napkins and water if necessary)
   - Regular studies (paper surveys - please print enough copies for the first day of the session and bring it to the lab, send the lab staff the electronic files so they can print copies for the rest of the days)

7. IRB application tips

a. *IRBHome page* https://medley.isc-seo.upenn.edu/hsProtocol/jsp/fast.do

An institutional review board is a group that has been formally designated to approve, monitor, and review biomedical and behavioralresearch involving humans with the aim to protect the rights and welfare of the subjects.
The University of Pennsylvania is committed to ensuring the protection of human subjects in all of its activities including research. Current University policies, based on agreements with the Federal government, require that all research involving human subjects be subject to review by our Institutional Review Board (IRB) system. Under the federal government's regulations, research is defined as "a systematic investigation including research, development, testing and evaluation, designed to develop or contribute to generalizable knowledge."

b. *Online Training*
All personnel—faculty, research fellows, students and staff—engaging in sociobehavioral research must complete the IRB training. Successful completion of the program will help researchers and their staffs become aware of important ethical issues that must be addressed in their protocols and will provide the required certification to conduct social and behavioral research at the University of Pennsylvania.

    c. *Material to present for IRB approval*
        Please check this link:
        http://www.upenn.edu/regulatoryaffairs//index.php?option=com_content&task=view&id=20&Itemid=8

    d. *IRB Contacts*:

SOCIAL AND BEHAVIORAL SCIENCES IRB 8			
Kyle Stephens	Senior Administrator	kstep@upenn.edu	215.746.6268

    e. *Waiting period for approval*
        This can take 10-15 work days.

8.   **Data Quality** – After your studies have run at the WBL

You may find that some subjects are:

    1. Not following instructions
    2. Rushing through the study
    3. Skipping open-ended questions
    4. Providing meaningless responses
    5. Not taking studies seriously

Please email us the ID# of subjects who need to be excluded from your final analysis and the reason why you have to do so. These participants will be added to a list of problematic subjects which can be accessed by lab staff and lab users.

9.   **Lab Cost allocation**

The standard cost ($10 per subject) is charged:
    70% to the Wharton School
    15% to the Department of experimenter
    15% to the Experimenter (divided by #of experimenters)

    *All these percentages are prorated by the time requested
    ** The cost of studies run by PhD students who don't have a grant will be charged to their advisors' accounts

10.   **Contacts**
        a. Lab Faculty Director: Wes Hutchinson
        b. Lab IT: Young Lee
        c. Sr. Research Coordinator (Penn Campus Panel): Kaity Moore
        d. Sr. Research Coordinator (Specialized Panels): Kate Kelley
        Lab Coordinator: Joshua Carrigan
        e. Staff RAs: (These contacts will be provided at the beginning of the fall semester)
        f. Student RAs: (These contacts will be provided at the beginning of the fall semester)

IX. APPENDICES

Copies of the various forms mentioned in this manual are contained here for reference. To obtain clear copies of these forms, and to ensure you have the latest version available, you should download them directly from the internet from one of these pages:

For these Department specific forms, you can download them directly from the department's PhD manual page: **http://marketing.wharton.upenn.edu/programs/phdmanual/phd_manual.cfm** (scroll down to appendices on the webpage).

For these forms required by the Doctoral office, you can download them directly from the PhD Program Office website's Academic Forms page: **http://phd.wharton.upenn.edu/Forms.htm**
Please note that some of the doctoral office forms do not reflect Marketing Department policy. For example, their form says 8 cu's may be transferred, but Marketing only allows 4 cu's.

- Department Forms
  - Annual Summary of Activity Report
  - Marketing Department Doctoral Student/Procter Time Sheet
  - Sample "Offer Letter" for Graders
  - Independent Study Course Approval Form
  - Dissertation Announcement Sign
- Doctoral Coursework/Exam Forms
  - Planned Program of Study for Degree Candidates
  - Plan of Study for Individualized Joint or Dual Degrees
  - Certification of Doctoral Preliminary Examination
  - English Fluency Certification
  - Leave of Absence Request
  - Request for Dissertation Abroad Registration
  - Request for Approval of Transfer of Credit Form
- Doctoral Program Forms
  - COMMITTEE
    - Request for Appointment of the Dissertation Committee
    - Request for External Member to Serve on Dissertation Committee
    - Request for Change of Dissertation Committee
  - ORAL PROPOSAL
    - Notification of Oral Proposal Defense
    - Oral Proposal Defense Certification
  - ANNUAL REPORTING
    - Annual Dissertation Progress Report
    - Dissertation Committee Meeting Evaluation Form
  - FINAL DEFENSE
    - Notification and Scheduling of Final Defense of Dissertation
    - Certification of Doctoral Final Oral Defense of Ph.D. Dissertation
  - MISCELLANEOUS
    - Dissertation Title Page
    - Degree Checklist
- Masters Degree Form
    - Certification of Research Paper Acceptable for Masters Degree

PhD STUDENT NAME: _____

ANNUAL SUMMARY OF ACTIVITY - 2011
January 1, 2011 - December 31, 2011

1.   PUBLICATIONS AND RESEARCH REPORTS

    a)   Scholarly Refereed Journal Articles published in calendar year 2011

    b)   Other Articles and Proceedings published in calendar year 2011

    c)   Manuscripts Under Review as of December 2011

d) New Working Papers during calendar year 2011 (not listed above)

e) Research Projects in progress as of December 2011 (not listed above)

2. ACADEMIC ACTIVITIES

    a.   Reviewing 2011

    b.   Academic Presentations made in calendar year 2011

c. Service to the Department, School, and Academic Community (including participating in brown bag seminars, PhD Admit Day activities, etc.) in 2011.

3. RESEARCH CONTENT AND FINDINGS
    Please select one research project of yours that is either ongoing or that you completed in the last year. For that project, please describe the purpose of the research, the research method, and the findings/conclusion (or intended analyses).

4. GOAL SETTING FOR 2012
    Briefly describe your academic and research goals for the upcoming year. What coursework do you hope to have completed by this time next year (if any)? Looking at the list of projects you are currently working on, what do you hope you will be able to say about them next year (published, under review, etc.)? What major milestones do you hope you will have completed (proposal defended, etc.)? Be realistic about this. We will give this back to you next year and ask you to reflect back on your success in meeting these goals.

5. BRIEF RESEARCH STATEMENT

Briefly (1-2 paragraphs at the maximum) provide a personal statement that describes your "research identity." What are the research questions you are interested in? How are you contributing to the relevant literature? How would you like to be known within the field of marketing? <u>Very briefly</u>, describe how each of your papers/projects fits into this statement about that "who you are" as a researcher.

The last page only needs to be completed by students who have reached candidacy.

6. ANNUAL DISSERTATION PROGRESS REPORT

What progress have you made toward the completion of your dissertation since you last report? (Do not include progress recorded in your last report.) Explain any devistion from your previous goals.

Outline the remaining work that needs to be accomplished to complete the dissertation and propose a time table for completing that work.

Student Name: _____

Student Signature: _____ Date: _____

Name of Dissertation Committee Chair _____

Marketing Department
Doctoral Student / Procter or Grader
Time Sheet

Name: _____

Penn ID: _____

Name of Professor/Supervisor: _____

Course # MKTG -_____

Department Policy on Course Graders:

Graders are permitted for course sections which have over 40 students. Your time should not exceed two hours of grading per enrolled student per semester. Hours worked by student graders may be turned in only twice during the semester, once after the mid-term examination and once after the final examination. If you are grading projects, then you will be required to submit your hours after all projects are completed. The form requires the faculty member for whom you are working to document the number of students enrolled in each class; the Department will not pay you without the signature of the faculty member.

Payment Requested for: ☐ **Grading** ☐ **Proctoring**   *(please check one)*

NUMBER ENROLLED* in section _____ x _____ HOURS PER STUDENT
(not to exceed two hours/semester per student)

TOTAL HOURS: _____ x $15.00/hour = TOTAL PAYMENT

Grader's Signature: _____

Signature of Professor/Supervisor: _____

Date: _____

*If you are acting only as an exam proctor, there is no need to indicate the number of students. Just enter the number of hours you spent proctoring on the Total Hours line.

Student graders may submit time sheets only twice per semester, after mid-term and final exams are completed

MARKETING DEPARTMENT

Sample Body of Offer Letter for Graders

(Print the following on your letterhead addressed to the student, or include it in an e-mail to him/her.)

Dear _____ (student name):

This is to confirm that you have been hired as a grader in the Marketing Department at the Wharton School. Your effective start date is _____ and your rate is $15/hour up to 2 hours per enrolled student in Professor _____'s MKTG _____-_____ class. Graders are ineligible to receive any Penn benefits.

Per the Immigration Reform and Control Act of 1986, we need to obtain documentation that establishes your identity and right to work in the United States. To meet this requirement, employers must complete an I-9 form for every employee. TALX, the largest provider of employment and income verifications in the U.S., provides us the ability to complete your I-9 form electronically. TALX uses the strictest of security measures, including encryption, to protect employees. Within 90 days prior to your start date, please access web address: www.newI9.com, enter our employer code: 10476, and bring in documentation on your first day of work. For your information, I have enclosed a list of acceptable documents for this purpose, as well as other instructions and forms you will need to complete the payroll process.

If you have any questions about your work assignment, please do not hesitate to contact me.

Sincerely,

INDEPENDENT STUDY COURSE APPROVAL FORM

Wharton School Doctoral Programs Office
University of Pennsylvania
3620 Locust Walk/6302

Current Term and Year:_____

Student's Name:_____Student's Department: **Marketing**

Social Security #:<u>XXX-XX-</u>_____(last four digits) E-Mail:_____

Instructor:_____E-mail:_____

Telephone:_____Dept/Div.:_____

Course Number: **MKTG 999** _____
                DEPT   **Sec Number**

All Wharton Ph.D. students are eligible to enroll in independent study courses if

1. the course does not duplicate a Wharton course offered in the same semester,
2. the student has completed an introductory course in the same field as the independent study, and
3. the department approves.

The signatures below certify that these conditions have been met.

_____
Student's signature   Date

_____
Instructor's signature   Date

Once completed and signed, the student needs to:
- Submit a copy of this form to their Department Course Coordinator for registration processing.
- Return the original to the Doctoral Program Office: Wharton Doctoral Programs Office, Steinberg Hall-Dietrich Hall, 3620 Locust Walk/6302

The Marketing Department of the Wharton School of the University of Pennsylvania

Announces the
Dissertation Proposal

Of

NAME HERE

Date
Time
Location

"TOPIC HERE"

Advisors:
Names

Committee members:
Names

WHARTON DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA
3620 Locust Walk, Philadelphia, PA 19104-6302

PLANNED PROGRAM OF STUDY FOR DEGREE CANDIDATES

INSTRUCTIONS: This form is to be completed in consultation with the Department Faculty Ph.D. Coordinator. When complete, please make a copy for yourself and for your advisor. Return the original to the Wharton Doctoral Office.

Any changes to your program must be documented by completing a new form and re-submitting it to the Wharton Doctoral Office. Form must be on file with the Doctoral Office prior to applying for the degree.

Name: _____ SS#: <u>XXX-XX-</u>_____(last four digits)

Department_____ Degree: AM_____MS_____Ph.D._____

Advisor: _____ Student's email: _____

PLEASE LIST COURSES TO BE APPLIED TO THE DEGREE: For courses taken at another institution, you must also complete the request for approval of transfer of credit.

Minimum number of course units for degrees: A.M/M.S. – (Minimum 8 or 10)
        Ph.D. – 20 (of which 8* may be transferred) *MKTG only 4 can be transferred

School at Penn where you registered to take course:	Course Dept. & Number	Course Title	# CUs	Term Taken or when will be taken
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____
6. _____	_____	_____	_____	_____
7. _____	_____	_____	_____	_____
8. _____	_____	_____	_____	_____
9. _____	_____	_____	_____	_____
10. _____	_____	_____	_____	_____
11. _____	_____	_____	_____	_____
12. _____	_____	_____	_____	_____
13. _____	_____	_____	_____	_____
14. _____	_____	_____	_____	_____
15. _____	_____	_____	_____	_____
16. _____	_____	_____	_____	_____
17. _____	_____	_____	_____	_____
18. _____	_____	_____	_____	_____
19. _____	_____	_____	_____	_____
20. _____	_____	_____	_____	_____

The courses listed above satisfy degree requirements for this student.

_____   _____
Department Faculty Ph.D. Coordinator's Signature   Date

Plan of Study
for Individualized Joint or Dual Degree

University of Pennsylvania Ph.D. students must use this form to propose individualized study for:
- *a joint degree (e.g., where the student completes the degree requirements of two graduate programs and earns a Ph.D. degree)*
- *a dual degree (e.g., where the student enrolls in two different degree programs and earns degrees in each, such as Ph.D.-M.S.Ed).*

The purpose of this form is to document approval of the proposed plan of study, and to clarify the academic and financial expectations of all parties. ***Ordinarily this form will be completed and signed prior to the doctoral qualifying examination.***

Student's Name _____

Penn ID _____

Local Address_____

Telephone (___)_____ Email _____

Home School _____ **Second School** _____

Primary Degree Program   **Anticipated Second Degree**

_____   _____

List any courses that will be approved for credit toward both programs (i.e., any courses that will be double-counted):

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

Generally, students remain registered in their Home School; the home school or primary graduate program generally pays tuition only for courses that count toward satisfaction if its degree requirements. ***Specify the source of tuition & fees for any double-counted courses:***

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Simultaneous enrollment in a second degree program requires the permission of the Home School. By signing below, the respective Graduate Group Chairs and Graduate Deans confirm that successful completion of these courses by the student will count toward satisfaction of the degree requirements in their programs.

Signature, Graduate Group Chair

_____
name   signature   date

Signature, Graduate Group Chair

_____
name   signature   date

Signature, Graduate Dean

_____
name   signature   date

Signature, Graduate Dean

_____
name   signature   date

The student may amend this plan of study by submitting a revised form with the appropriate approvals.

Form 2/18/02

CERTIFICATION OF DOCTORAL PRELIMINARY EXAMINATION

(*Please complete the form and return it to the Wharton Doctoral office*)

Term and Year:_____

Name: _____SS#: <u>XXX-XX-</u>_____(last four digits)

Telephone#: _____ e-mail address: _____

Doctoral Program Department_____ Ph.D._____

(check one)

Please check exam format: **written** _____ **computer** _____

_____ **Date Preliminary Examination was PASSED. ***

*To become a candidate for the doctor's degree, a student must pass a preliminary examination in the field of his or her major subject.

_____ _____
Signature of student   Date

_____ _____
Signature of Department Ph.D. Faculty Coordinator   Date

****

English Fluency Certification

Instructions: This form must be completed for all personnel who teach undergraduates. A full description of University policy pertaining to certification is located in Section VI.I of the Faculty Handbook, which is available on-line at www.upenn.edu/assoc-provost/handbook.

Faculty: This form is to be included with the dossier for all appointments to the Standing or Associated Faculties and all submissions to the Provost's Staff Conference or Mini-Conference for all appointments in SAS, Wharton, SEAS, Nursing, ASC, GSE, and GSFA as well as for all faculty in other schools who will ever teach undergraduates.

Other Undergraduate Instructional Personnel: In all other cases, including graduate teaching assistants and academic support staff, this form must be submitted to and approved by the Provost before final approval of the appointment and prior to the start of the term for which the individual is first appointed (Sept. 1 for Fall term, Jan. 1 for Spring term, and May 1 for Summer term.)

Graduate Teaching Assistants: All graduate teaching assistants (including laboratory instructors) who have instructional duties in English (including office hours) and whose native language is other than English must be referred to the English Language Programs unless they have received a score above 55 on the Test of Spoken English (TSE) or a rating of Superior on the ACTFL Oral Proficiency Interview (OPI). Referrals are made by completing Part I, Section 3.

_____whose native language is _____will be appointed
       family name   given name   native language

as _____in the Department of _____ in _____as of _____
      position   department   school   date

Part I: Evaluation and Certification by School Officials

Complete *one* of the following three sections. If completing Sections 1 or 2, forward this form to the Dean's office (where it then will be forwarded to the Provost's office). If completing Section 3, forward this form to the English Language Programs.

Section 1: Certification of Standing Faculty, Associated Faculty, and Academic Support Staff

We affirm that this individual meets or exceeds the University's standard of English fluency. Evaluation took place on _____ by the following means. (Check one or more.)   date

- ☐ Academic presentations and discussion (such as a colloquium, lecture, seminar, or scholarly conference presentation) evaluated by two or more members of the standing faculty, the Wharton Communications Program staff, and/or ELP staff.
- ☐ Extended, in-person discussion with two or more members of the standing faculty, the Wharton Communications Program staff, and/or ELP staff, of the candidate's past and future research interests and teaching plans or experiences.
- ☐ Observation and evaluation of teaching performance in the classroom by two or more members of the standing faculty, the Wharton Communications Program staff, and/or ELP staff.
- ☐ Videotape of classroom teaching or academic presentation evaluated by two or more members of the standing faculty and/or ELP staff.
- ☐ A score above 55 on the Test of Spoken English (TSE) or a rating of Superior on the ACTFL Oral Proficiency Interview. (Attach a photocopy of the test results.)
- ☐ Other. Describe means and results _____

Department Chair (or Director, Wharton Communications Program) _____ Date _____

Dean _____ Date _____

Section 2: Exemption from Certification
This appointment is exempt from the University's requirement of certification of English fluency for undergraduate instructional personnel for the following reason. (Check *one* only.)

☐ This individual's only undergraduate teaching responsibilities will be in courses where the sole language of instruction (including during office hours) is other than English. Identify language of instruction and course numbers and titles:

_____

☐ This individual is a Visiting Faculty member for the period from _____ to _____

☐ This individual is a graduate student whose duties will not involve direct instructional contact (including office hours) with undergraduates (e.g., some graders or research assistants.)

Department Chair (or Director, Wharton Communications Program) _____ Date _____

Dean _____ Date _____

Section 3: Referral to English Language Programs (ELP)
This individual is being referred to the ELP for evaluation for the following reason:

☐ This individual is a prospective graduate teaching assistant whose native language is other than English, and she/he:

___ has not taken or has not reported scores for either the ETS Test of Spoken English (TSE) or the ACTFL Oral Proficiency Interview, or

___ received 55 or below on the Test of Spoken English (TSE) or below Superior on the ACTFL Oral Proficiency Interview Identify Test/Score: _____

☐ Other. Describe means and results: _____

Department Chair (or Director, Wharton Communications Program) _____ Date _____

Send this form to the attention of the Director, English Language Programs at 21 Bennett Hall/6274. Attach a copy of pages 1 and 2 of the student's application for admission to graduate study.

Part II: Certification by The Director of English Language Programs (ELP)
Following evaluation by the means indicated below, this individual was determined by the ELP Director or designee to meet or exceed the University's standard of English fluency and is therefore certified.

Test: _____

Score: _____   Test Date: _____

ELP Director or Designee _____ Date _____

Part III: Certification by the Provost
The above certification of English fluency in the classroom is:

approved   disapproved

Provost _____ Date _____

WHARTON SCHOOL DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA
3620 Locust Walk, Philadelphia, PA 19104-6302

REQUEST FOR LEAVE OF ABSENCE

(Return completed form to the Wharton Doctoral Office <u>within 30 days</u> after receipt of Vice Dean's signed approval)

You must be registered every fall and spring semester or obtain an approved leave of absence in order to maintain your status as a graduate degree candidate. <u>Doctoral students who have attained dissertation status (e.g., MGMT 995) are only eligible for a leave of absence in the event of medical emergency, maternity, military duty or certain dissertation research abroad.</u> A leave of absence does not automatically extend the time limit for completion of degree requirements.

*Students on leave are still subject to the one-year limit on Incompletes.

Name: _____ Date: _____

Address: _____ SS#: <u>XXX-XX-</u>_____(last four digits)

Phone #: _____

E-mail address: _____

DEPARTMENT: _____ Degree: _____ Ph.D.

Advisor: _____

Term(s) for which leave is requested: From: _____   Return: _____

                               term   year   term   year

Reason for request: _____

_____

_____

_____

_____

(Use back of form if necessary)

Advisor's Recommendation:

_____ Approve

_____ Deny

_____

Signature, Department Faculty Ph.D. Coordinator   Date

Action of the Wharton Doctoral Programs Vice Dean:

_____ Approve

_____ Deny

Condition or other action _____

_____

Signature, Wharton Doctoral Programs Vice Dean   Date

REQUEST FOR DISSERTATION ABROAD REGISTRATION

Course Number 996

Instructions: Please fill in the appropriate information. The term and current registration status information is required to process the request. Send the completed form to the Wharton Doctoral Programs Office, Suite 400 of Steinberg Hall-Dietrich Hall, 3620 Locust Walk/6302 with a copy of the award or appointment letter from the Academic Institution Abroad where you will be working.

Please Note: This form is to be used to request Dissertation Abroad Registration for a maximum of one academic year.

Student's Name: _____ Penn ID#_____

Department: _____Date: _____

Present Registration Status:

                          Courses   Dissertation

Terms 996 Registration:

                     Fall_____   Spring_____
                              Year   Year

Reason for Dissertation Research Abroad Registration:

        Dissertation Research

        Coursework outside of PENN (e.g. INSEAD)

        Other_____

Location and Description of research:

_____

_____

_____

APPROVAL:

Dissertation Advisor: _____   Date: _____

Department Chair: _____   Date: _____

Wharton Doctoral
Vice Dean: _____   Date: _____

WHARTON DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA

REQUEST FOR APPROVAL OF TRANSFER OF CREDIT
Return completed form to Wharton Doctoral Office with required attachments.
3620 Locust Walk , Philadelphia PA 19104-6302

Name: _____ SS#: <u>XXX-XX</u>_____ (last four digits) Date: _____

Courses Taken: _____ less than 10 years before admission to a degree program at the Wharton School

_____ ten or more years before admission to a degree program at the Wharton School

PhD candidates are permitted to transfer up to eight** course units of graduate study. Masters students are normally NOT permitted to transfer courses into their programs. One course unit equals 3 semester hours. Note that **only grades of "B" or better are acceptable** - **no grades of Pass or Satisfactory** may be transferred.

You must attach a copy of the relevant transcript(s). If you are requesting permission to transfer courses taken ten or more years prior to admission to the Ph.D. program, you must also append a letter directed to the faculty Ph.D. Coordinator indicating what relevant academic activity you have engaged in since taking these courses

Course Department and Number	Course Subject (Title) (in 11 characters or less)	Institution	Term and Year Completed
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
6. _____	_____	_____	_____
7. _____	_____	_____	_____
8. _____	_____	_____	_____

_____   _____

Signature of Student   *Date*

<u>Ph.D. Coordinator's Action:</u>   Approve _____ Disapprove _____

_____   _____

Signature of Department Ph.D. Coordinator   *Date*

<u>Vice Dean's Action:</u> Approve _____ Disapprove_____

_____   _____

Signature of Vice Dean   *Date*

<mark>** MARKETING DEPARTMENT ONLY ALLOWS FOUR TRANSFER COURSES</mark>

WHARTON SCHOOL DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA
3620 Locust Walk, Philadelphia, PA 19104-6302

REQUEST FOR APPOINTMENT OF THE DISSERTATION COMMITTEE
(Please complete the form and return to the Wharton Doctoral Office)

Name: _____ SS#: <u>XXX-XX-</u>____(last four digits)

Address: _____ Telephone#: _____

e-mail: _____

Degree: _____ Ph.D. Dept: _____ Specialization: _____

Dissertation Title: (**Attach copy of proposal abstract**)

_____

Recommended Committee Members*

(At least three members must be members of the standing/associated faculty at Penn)

Chair:_____ Signature:_____

Specialization:_____ Intramural Address:_____

Member:_____ Signature:_____

Specialization:_____ Intramural Address:_____

Member:_____ Signature:_____

Specialization:_____ Intramural Address::_____

Member:_____ Signature:_____

Specialization:_____ Intramural Address:_____

Member:_____ Signature:_____

Specialization:_____ Intramural Address:_____

Dept. Ph.D. Coordinator's Recommendation

_____Approve _____Deny

_____
Signature of Dept. Ph.D. Coordinator   Date

_____Request approved _____Request denied

Comments: _____

_____
Signature of Vice Dean   Date

*USE REQUEST FOR EXTERNAL COMMITTEE MEMBER FORM FOR FACULTY NOT AT PENN

WHARTON SCHOOL DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA
3620 Locust Walk, Philadelphia, PA 19104/6302

REQUEST FOR EXTERNAL MEMBER
TO SERVE ON DISSERTATION COMMITTEE

A copy of the external scholar's curriculum vitae must accompany this form

(*Please complete the form and return to the Wharton Doctoral Office*)

Student's Name: _____ Date: _____

Division: _____ Specialization: _____

Name of External Scholar: _____

Mailing Address: _____

_____

_____

Affiliation: _____

Nature of Relationship to scholar:_____

_____

Advisor's Recommendation:

Request approved _____

Request denied _____

_____
Advisor's signature   Date

_____
External Member's signature   Date

Action of Wharton Doctoral Programs Vice Dean:

Request approved _____

Request denied _____

Other action: _____

_____
Signature of Vice Dean   Date

WHARTON SCHOOL DOCTORAL PROGRAMS
REQUEST FOR CHANGE OF DISSERTATION COMMITTEE

Name: _____ SS#: <u>XXX-XX-</u>_____(last four digits)

Address: _____ Telephone #: _____

_____e-mail: _____

Degree: Ph.D. _____

Doctoral Program: _____

Dissertation Title: _____

_____

Reason for request:

_____

_____

_____

Present Committee   Recommended Change to Committee

Chair: _____   Chair: _____

Member: _____   Member: _____

Member: _____   Member: _____

Member: _____   Member: _____

Committee Chair's Recommendation

_____ Approve

_____ Deny

_____
Signature   Date

_____
New Member's Signature   Date

_____ Request Approved

_____ Request Denied

_____
Signature of Doctoral Programs Vice Dean   Date

Comments: _____

_____

Cc: Wharton Doctoral Office

WHARTON SCHOOL DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA
3620 Locust Walk, Philadelphia, PA 19104-6302

NOTIFICATION AND SCHEDULING OF FINAL DEFENSE OF DISSERTATION

*Please complete and return to Wharton Doctoral Office at least two weeks before Final Defense

Name: _____ SS#: XXX-XX- _____ (last four digits)

Address: _____ Telephone: _____

e-mail: _____

Department:_____

Committee Members: _____ (Chair)

_____

_____

_____

_____

Title of Dissertation _____

_____

Day, Date and Time: _____

Room Location: _____

TO BE COMPLETED BY THE DISSERTATION COMMITTEE CHAIR

The dissertation committee of the above named student certifies that the candidate is ready to hold his/her final defense hearing.

_____   _____

Signature, Committee Chair   Date

TO THE STUDENT:
Please return the completed form to the Wharton Doctoral Office at least two weeks before the defense date.

Announcements and copies of the dissertation may be e-mailed as word document attachments or .pdf file format documents directly to Mallory Hiatt hiattm@wharton.upenn.edu.

WHARTON DOCTORAL PROGRAMS
DISSERTATION PROPOSAL DEFENSE CERTIFICATION

NAME OF CANDIDATE:_____PENN ID#_____

MAJOR FIELD: (e.g. Finance)_____

TITLE OF PROPOSED TOPIC: _____

_____

_____

_____

DATE OF DEFENSE: _____

RESULT OF EXAMINATION: (CHECK ONE)

      a) _____ Topic approved

      b) _____ Topic not approved

      Other comments or conditions:

EXAMINATION COMMITTEE:

1._____   _____
Print Name, Committee Member   Signature, Committee Member

2._____   2._____
Print Name, Committee Member   Signature, Committee Member

3._____   3._____
Print Name, Committee Member   Signature, Committee Member

4._____   4._____
Print Name, Committee Member   Signature, Committee Member

5._____   5._____
Print Name, Committee Member   Signature, Committee Member

University of Pennsylvania
Wharton Doctoral Programs

Annual Dissertation Progress Report

Instructions for Students: Please give this form to your Dissertation Committee Chair prior to the meeting. The Dissertation Committee Chair should return the completed form to Mallory Hiatt as soon as possible after the meeting (FAX: 215-898-9581)

Name of Student: _____

Date of Meeting: _____ **Semester/year stated Dissertation Work**: _____

 Advisor: _____

Committee Members: 1. _____

2. _____

3. _____

4. _____

Progress: (check one)

_____ **Satisfactory**   _____ **Some Concerns**   _____ **Unsatisfactory**

Recommendations: _____

_____

_____

_____

_____

_____

_____

_____

Date of next meeting: _____

Wharton
UNIVERSITY of PENNSYLVANIA

University of Pennsylvania
Wharton Doctoral Programs

Dissertation Committee Meeting Evaluation

This form is to be completed after each dissertation committee meeting and returned to the Wharton Doctoral Programs Office signed by the Dissertation Committee Chair.

STUDENTS NAME: _____

 ADVISOR: _____**STUDENT'S MATRICULATION DATE**:_____

STUDENT'S PROGRAM: _____

DISSERTATION COMMITTEE CHAIR: _____

COMMITTEE MEMBERS: _____

_____

_____

MEETING DATE: _____

What are the strengths of this student's research and abilities?

Has sufficient progress been made since the last dissertation committee meeting?

If progress has been insufficient what steps need to be taken to rectify the problem? Is an academic probationary period necessary?

When should the next recommended committee meeting take place?

(For 4th year and later students) Were postdoctoral job plans discussed?

Attach a Report of the dissertation meeting and the committee's deliberations. **Please enumerate any specific suggestions made by the committee.** Include the student's handout to the committee members.

Signature of Dissertation Committee Chair: _____

WHARTON SCHOOL DOCTORAL PROGRAMS
UNIVERSITY OF PENNSYLVANIA
3620 Locust Walk, Philadelphia, PA 19104-6302

NOTIFICATION AND SCHEDULING OF FINAL DEFENSE OF DISSERTATION

*Please complete and return to Wharton Doctoral Office at least two weeks before Final Defense

Name: _____ SS#: XXX-XX-_____(last four digits)

Address: _____ Telephone#: _____

e-mail: _____

Department:_____

Ph.D._____

Committee Members: _____ (Chair)

                                    _____

                                    _____

                                    _____

                                    _____

Title of Dissertation _____

_____

Day, Date and Time:

_____

Room Location:

_____

TO BE COMPLETED BY THE DISSERTATION COMMITTEE CHAIR

The dissertation committee of the above named student certifies that the candidate is ready to hold his/her final defense hearing.

_____
Signature, Committee Chair   Date

TO THE STUDENT:

Please return the completed form to the Wharton Doctoral Office **at least two weeks before the defense date. Announcements and copies of the dissertation may be e-mailed as Word document attachments or Pdf file format directly to Mallory Hiatt hiattm@wharton.upenn.edu**

430 Steinberg Hall-Dietrich Hall
3620 Locust Walk, Philadelphia, PA 19104-6302
CERTIFICATION OF DOCTORAL FINAL ORAL DEFENSE OF Ph.D. DISSERTATION
(***Please complete the form and return it to the Wharton Doctoral office***)
A Final Oral Dissertation Defense is a University Requirement for the Ph.D. Degree

Name: _____**SS#:** XXX-XX-_____(last four digits)

Telephone#: _____ **e-mail address**: _____

Doctoral Program Department_____

Date of Defense:_____

Title of Dissertation:_____

_____

_____

Result of Examination: Check ONE

a)_____ Pass, no substantive changes

b) _____ Pass, minor substantive changes to be overseen by:

_____

c)_____ Fail, major changes and another final defense required (at a minimum)

Other comments or conditions:

Examination Committee: **Signatures:**

1._____   _____
(**Print or Type Name**)

2._____   _____
(**Print or Type Name**)

3._____   _____
(**Print or Type Name**)

4._____   _____
(**Print or Type Name**)

5._____   _____
(**Print or Type Name**)

If (b) is checked, faculty member(s) overseeing changes should sign below when changes are satisfactorily made.

Date:_____ **Signature**:_____

STUDENT MUST SUPPLY INFORMATION REQUESTED BELOW:

Name of institution/organization you will be joining upon completion of Ph.D.: _____

Address: _____

Country: _____

Wharton Doctoral Programs Degree Checklist

Doctoral Programs Degree Checklist

Ph.D. Requirements

University Requirements

- ☐ Qualifications Evaluation
- ☐ Candidacy Exam
- ☐ Dissertation Defense

Teaching Requirement

- ☐ TA requirement
- ☐ Teacher Development Program
- ☐ Requirement Waived
- ☐ Requirement Exception

Dissertation Progress Report
For each year after Candidacy Exam
- ☐ Year 1
- ☐ Year 2
- ☐ Year 3
- ☐ Year 4
- ☐ Year 5
- ☐ Year 6
- ☐ Year 7
- ☐ Year 8

Certification – Ph.D. Requirements

- ☐ Form 152 - Committee Approval of Dissertation

- ☐ Doctoral Program Requirements Completed

- ☐ University Requirements Completed

Certification - Research Master's Requirements

- ☐ Research Requirement – Paper/Project
- ☐ Coursework Completed – 8 CU minimum
- ☐ Masters Final Exam
  (Qualification or Preliminary exam may fulfill Masters Final Exam Requirement)

Doctoral Program Requirements -Department Requirements

- ☐ Coursework Completed
- ☐ Departmental Program Core Courses
- ☐ *Statistics Requirement
  (see Section 5.4 in Policies and Procedures Manual)
- ☐ Exams - Qualification and/or Preliminary
- ☐ Defense of Dissertation Proposal
- ☐ Required Research Paper
  (e.g. Summer Paper, 2nd Year Paper)

Certification

- ☐ Wharton Doctoral Program Requirements Completed

CERTIFICATION OF RESEARCH PAPER ACCEPTABLE FOR MASTERS DEGREE

This is to certify that_____

has completed a major research paper for

course_____, term taken_____ or

Research Project_____

I consider this paper to be acceptable for receipt of the Masters degree.

Title of paper:

_____

_____

_____

_____
Signature Graduate Group Chair   Date

_____
Signature Statistics Graduate Group Chair *   Date

_____
Signature of Statistics Ph.D. Coordinator*   Date

*This form must be signed by the Chair of the Statistics Department and the Statistics Ph.D. Coordinator if applying for a Masters Degree in Statistics.