

# **GRADUATE GROUP IN SOCIOLOGY**

## ***GRADUATE PROGRAM MANUAL***

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## **REQUIREMENTS FOR THE GRADUATE PROGRAM: A SUMMARY**

1. Credits: MA: 10 courses, 6 in sociology. PhD: 16 courses, 10 in sociology.
2. Transfer of credit: up to 8 graduate course units may be transferred from other institutions after 1 year at Penn, upon approval of the Graduate Chair and the Dean. Courses in statistical methodology require an additional layer of approval: they must also be approved by the current instructors of the equivalent graduate class at Penn. At least 12 courses must be completed at Penn, with 10 of these in sociology. Forms for transfer credit are available from the Graduate Coordinator.
3. Grading of courses: 16 courses must receive a grade of “B” or better. Up to 4 independent study courses may be taken on a Satisfactory basis.
4. Graduate students will not receive credit for completing undergraduate courses. During the enrollment period students should be mindful of classes that have the same title but different numbers. Graduate students must enroll in graduate classes to receive credit.
5. Students should make every effort to avoid incompletes (i.e., an “I”) and clear them as quickly as possible. If students fail to complete the work for a class in the term following the granting of the incomplete, the I will administratively become an F. Any time a student is on medical leave does not count toward the deadline. In extenuating circumstances, exceptions can be made by the Graduate Chair for an additional six months.
6. Departmental activity participation: Weekly attendance at the Sociology Colloquium and membership in at least one cluster workshop.
7. At the end of each year all students, including students intending to graduate, will submit a progress report. Students will be provided a form for this report. The reports will be circulated to the faculty in anticipation of the May faculty meeting wherein student progress is evaluated. Students will receive a letter following this meeting, containing information on their progress.
8. Teaching requirement: Graduate students will serve as a Teaching Assistant for two years (4 semesters), typically during the 2<sup>nd</sup> and 3<sup>rd</sup> years of the program.
9. Completion of a Second Year Paper (Equivalent to M.A. thesis or a publishable paper)
10. Students are strongly encouraged to submit their thesis, second-year paper, and other work to peer-reviewed journals, as per a faculty advisors’ recommendations.
11. Completion of two qualifying examinations.
12. Graduate students will defend their dissertation proposal at a meeting of their dissertation committee before advancing to candidacy.
13. Ideally, students should meet with their advisors every semester. Students at the dissertation stage must meet with each member of their committee at least once a year.
14. Complete a dissertation and publicly present the dissertation research at a defense, open to the university community. After the dissertation is approved by the dissertation committee, submit a final version to the graduate office.
15. Students are strongly encouraged to submit their pre-defense dissertation in the format required for deposit by the University, including margin requirements. This format requirement sometimes presents challenges for students whose dissertations include numerous large tables or graphics. See the section “Dissertation Format Requirements” in this manual for details.
16. The graduate program in sociology is also governed by all the University of Pennsylvania policies articulated in the PennBook, as well as the policies of the SAS Graduate Division.

## **A TYPICAL PROGRAM OF GRADUATE STUDY**

### **Year 1:**

Course requirements:

Soc 5550: Proseminar (non-credit; not required for incoming joint students)

Soc 5350/5351: Quantitative Methods

Soc 6020: Classical Sociological Theory

Soc 6040: Research Methods

At least 2 Other Sociology Classes

During the first year, students are assigned preliminary advisers. This procedure was created to help students to get to know the faculty as new students, as well as to provide assistance in making the most of their early years of study. Students are not required to maintain this faculty member as their primary advisor, though they can do so if they wish.

### **Year 2:**

Course requirements:

Soc 7070/7071: Second Year Research Seminar, plus at least 4 electives, of which at least 2 must be in sociology.

Additional requirements:

1. Serve as a Teaching Assistant for 2 courses.
2. Second Year Paper (Equivalent to M.A. thesis or a publishable paper), approved in time for the faculty evaluation of student progress in May. The MA Thesis/Second Year Paper must be advised by a committee of three faculty members, including two standing faculty in sociology. The committee chair must be a standing faculty member in sociology.

To maintain good standing, the Second Year Paper requirement must be completed to the satisfaction of the committee. Completion of this requirement is necessary for formal entry into the doctoral program.

### **Year 3:**

Course requirements:

Complete all coursework (for a total of 16 CUs)

Additional requirements:

1. Complete first comprehensive exam (by May 1).
2. Serve as a Teaching Assistant for 2 courses.
3. Form a dissertation committee consisting of at least three faculty members, including two standing faculty members in sociology (by May 1). The committee chair must be a member of the standing faculty in sociology.

**Year 4:**

Requirements:

1. Complete second comprehensive exam (by December 15).
2. Defend dissertation proposal (by December 15).

Students will typically begin working on their dissertation immediately after their defense, allowing as much time as possible for its completion during year 5.

Students who have not completed both comprehensive exams and successfully defended their dissertation proposal by the end of their first term of year 4 will be considered not in good standing.

**Years 5:**

Requirements:

1. Dissertation defense and submission of final version to the graduate office.
2. Complete a public presentation of the dissertation research, open to the university community. The public presentation and dissertation defense can occur during the same meeting, beginning with a public presentation, followed by a defense that may involve only the student and his/her committee.

An ideal course of study will take five years, but there will be cases in which it will take longer to complete all the requirements. Years beyond the fifth are expected to be devoted to the completion of the dissertation. Students are expected to continue to meet with their advisor.

Students who are not in good standing should be working full time on completing their program requirements. They are not eligible for teaching or Teaching Assistant positions, or for any other paid or unpaid positions. The department will not be able to recommend students for fellowships until they are once again in good standing.

For the graduate program in sociology, the dissertation proposal defense fulfills the university's requirement of a Candidacy Examination. According to the University's Academic Rules for PhD Programs (<https://catalog.upenn.edu/pennbook/academic-rules-phd/>), "Upon successful

completion of the Candidacy Examination, the student is advanced to candidacy. Normally, a student should advance to candidacy by the end of the third year. The maximum time limit for a student to be advanced to candidacy is five years, after which time the student will be dropped from the program.”

## COMPREHENSIVE EXAMS

Students are required to pass two comprehensive exams (also referred to as qualifying exams). A typical comprehensive exam has the scope of a cluster group in the department or a section of the American Sociological Association (e.g., stratification, medical sociology).

An overarching goal of the comprehensive examinations in sociology is to provide graduate students with expertise in a core area of sociology as part of their training. Students should come away from the comprehensive exam with an understanding of the area's key readings and debates that prepares them to teach a course on the subject and that motivates their dissertation work.

An examination committee consists of three members, two of whom must be members of the sociology graduate group. The student invites faculty to be on the committee and designates one person as Chair.

Students should develop lists of readings for the exams in consultation with their examination committee. Lists are subject to the approval of committee members, though are often generated by the student. Previous lists are available from the graduate coordinator. Students who choose to take the same exam topic with the same committee members have the option to create readings lists collectively. Students may prepare for exams together, but the answers they submit must be their own.

While the composition of the reading list will vary across subfields, a typical length for a comprehensive exam reading list could be 90 articles or chapters and 20 books. Books can be treated as the equivalent of 5 articles/chapters. The number of articles/chapters + (the number of books\*5) should generally not exceed 250.

Some examinations may have a more standardized format. For example, the Race, Ethnicity, and Immigration exam – because it is typically taken by multiple students every year – has a standardized reading list and is run by a committee of faculty in the department with specialization in these areas.

Although the length of the exam varies by topic, committee, and reading list, a typical exam format consists of three questions developed by the examination committee, usually involving some element of choice (e.g. answer 3 out of 4 or 3 out of 6 questions). The length of the answers varies, though a total of 30 pages double-spaced is not uncommon. While most of the reading list should focus on classical and contemporary readings considered by the committee to be central to the area, the student may propose a section of readings that focus on the student's particular research interests within an area of specialty. Students should discuss the structure of the exam with the committee to be clear on expectations.

The standard examination period will be 3 days (72 hours). However, any student can request an extra day at any time before or during the exam period. This should be granted without a burden

on the student to provide documentation or rationale, and is intended to alleviate stress and allow for family or other obligations. The start date and time are set in consultation with the committee. Comprehensive exams run by the Graduate Group in Sociology will be “open book,” allowing students to access their notes.

Students may select to take an oral examination format rather than a written exam. The specifications of this examination format should be set in consultation with the examination committee.

If one answer is weak or a ‘fail’ but others are acceptable, the committee may ask the student to re-write their response to that question. If two or more answers are unacceptable, the exam will usually be considered to receive a grade of ‘fail’.

Grade options for comprehensive exams are fail, pass, or pass with distinction.

Joint Ph.D. students in Demography and Sociology are allowed to use one of their Demography qualifying exams as a Sociology qualifying exam, even if the specifications of that exam do not fit all the specifications listed here.



## **DISSERTATION COMMITTEES**

*From Faculty Handbook:*

<https://catalog.upenn.edu/faculty-handbook/i/i-f/>

At least half of the members of Ph.D. examination and dissertation committees must be members of the graduate group at the time of appointment to the committees. Faculty who are not members of the graduate group may serve only with the written approval of the graduate group. The authority to approve membership on committees may be delegated to the graduate chair. The chairs of dissertation committees and of all examination committees must be members of the Standing Faculty in the graduate group.

If the chair of a dissertation committee leaves the Standing Faculty before the dissertation is completed, then a new chair from the Standing Faculty must be appointed as chair. The dissertation committee chair is responsible for convening committee meetings, advising the student on graduate group and university expectations, and assuring the graduate group chair that the group's requirements have been met. The committee chair does not have to be the primary dissertation adviser.

## **DISSERTATION FORMATS IN SOCIOLOGY**

Dissertations may follow a traditional "book format" with multiple related chapters. They may also follow a 3-article format where the core of the dissertation consists of three interrelated but relatively self-contained chapters that follow the structure of a journal article. In addition, the dissertation typically includes (i) an introduction that motivates the analyses and reviews the literature more broadly than the individual chapters, (iii) a concluding chapter that summarizes the main findings and integrates the different chapters, and (ii) appendices and other supplemental materials (if applicable). Students should discuss the structure and outline of their dissertation at an early stage with their dissertation committee.

For dissertations following a 3-article format, only one chapter of the dissertation may be co-authored, and this chapter must be first-authored by the doctoral student. Faculty members (at any university) cannot be a first author on a paper that would count for a student's dissertation.

## **FELLOWSHIPS AND FUNDING**

For most students, financial support comes in the form of a Benjamin Franklin Fellowship. In sociology, these fellowships typically require service-based support (a teaching or research assistantship) in the second and third years. Support takes the form of a monthly stipend, tuition, and health insurance. Occasionally, students may be called upon to serve as teaching or research assistants in their fourth or fifth year if needed as a requirement for continued support.

A variety of university-wide competitive fellowships are available. In addition, external funding opportunities are available to graduate students in good standing. Students are encouraged to apply to both internal and external sources of funding. A list of funding opportunities is available from the Graduate Coordinator. Students should consult with the Graduate Chair on these opportunities and discuss their implications, if any, for service-year obligations. In general, no internal fellowship will result in the alleviation of service-year obligations, including, for instance, the Foreign Language & Area Studies Fellowship.

### **External Fellowships Information**

SAS encourages all PhD students in the School to apply for and accept desirable funding opportunities from external sources. (“External” means paid by entities outside the University *or* by sources inside the University other than the home school). Among the advantages that can result from such efforts are experience in seeking grants and fellowships that will be invaluable later in one’s career, prestige from winning against competition that gives one a boost on the job market, and the possibility of financial benefits beyond those already conferred by the SAS fellowship.

As an incentive to students to pursue external opportunities, it is the policy of the Graduate Division that no SAS-funded student should be made worse off by accepting an external award and, if possible, the student should be rewarded materially as well as prestigiously.

The external fellowship must cover the student’s stipend and general fee. The school will pay the health insurance and tuition. If the fellowship covers the stipend and general fee the student can extend their funding package for an additional year. Students receiving external awards in years one through five may defer their SAS multi-year award made at the time of admission for up to two years (seven years).

If external funding only provides funds to cover one semester of funding the student will be funded on their SAS fellowship for one semester and the SAS funding extended for one semester.

If the amount of external funding awarded does not meet the level required for a one or two semester fellowship extension, the student will be allowed to hold both the Graduate Division fellowship and the external award.

Students receiving multi-year external funding will be reviewed individually. The integration of the funding with multi-year fellowship packages will be decided on a case by case basis.

## **POLICIES AND PROCEDURES REGARDING INDEPENDENT STUDIES**

Independent Studies can be used fruitfully by students over the course of a graduate career. Students are not required to enroll in any independent studies—and students are encouraged to enroll in our regularly-scheduled course offerings whenever possible—though some students will find the selective use of independent studies beneficial. The department has three categories of independent studies, each with rules regarding how they are to be used and limits on their usage. In all cases, independent studies are subject to the approval of the Graduate Chair and the faculty sponsor, and students must complete the Independent Study Approval Form before enrolling. Students are expected to meet at least every two weeks with the faculty sponsor when enrolled in an independent study. The three categories are as follows:

**Category 1: Substantive Courses (SOC1 9970).** These independent studies resemble regular course offerings. They cover a specific thematic topic, akin to the scope of an ASA section, which students are expected to learn over a semester. There are three general circumstances in which students might take such an independent study. They can be used in tandem with an undergraduate course offering, for which the graduate student is expected to do supplementary graduate-level work; they can be based on previous graduate offerings of the same course, including instances where students use the same syllabus; or they can be used for topics for which a regularly offered course is not available.

**Limits:** Students cannot enroll in more than 2 such classes per semester.

**Category 2: Faculty Supported Data Collection and Analysis (SOC1 9980).** These independent studies are intended to support the work of a student collecting or analyzing data, either qualitative or quantitative. Faculty are expected to provide routine feedback on data collection activities and feedback on preliminary analyses, as necessary. Students are expected to have a research plan in place at the time they enroll in a Category 2 independent study. They are also expected to make significant progress on their research project over the course of the semester.

**Limits:** Students may take no more than 2 Category 2 classes in total.

**Category 3: Faculty Supported Preparation for a Comprehensive Exam or Dissertation Proposal (SOC1 9990).** These independent studies are intended for students preparing for a comprehensive exam for which no regularly offered course provides sufficient preparation or for students whose dissertation proposals require familiarity with a literature that is not covered adequately in our regular course offerings.

**Limits:** Students may take no more than 2 Category 3 classes in total.

Students are reminded that P/F classes do not count for credit. Students are permitted to take up to 4 classes for a Satisfactory “S” grade, though students are encouraged to take regular classes, including independent studies, for a letter grade.

## **THE CLUSTER GROUPS**

Penn Sociology focuses its energy in six cluster areas. These clusters provide for intellectual synergy among faculty and students. Students and faculty typically participate in more than one cluster. The clusters meet regularly, providing graduate students with the opportunity to present their work and to get to know faculty in an informal setting.

The clusters evolve as faculty and student interests change, though at present there are seven clusters:

- Culture, Interaction, and Ethnography
- Education and Inequality
- Family and Gender
- Media Activism
- Medical Sociology
- Population Studies
- Race, Ethnicity, and Immigration

### **Culture, Interaction, and Ethnography**

Culture is largely instantiated and reproduced through face-to-face interaction. At the same time, culture can be created and transformed in such encounters, when new ideas are infused with significance and old ones are found to be inadequate to the interactional challenges at hand. This workshop brings together faculty and students from Penn and other colleges and universities for informal talks and discussion about culture and interaction, in addition to current research on a variety of issues relevant to contemporary urban life and the culture of cities.

### **Education & Inequality**

The Education and Inequality Cluster brings together those with a shared interest in stratification and educational inequality, broadly defined. Penn has an active, interdisciplinary group of faculty members and graduate students working on related topics, with particular strengths in the areas of race, class, ethnicity, gender, qualitative and quantitative methods, and comparative international research. The Education and Inequality Cluster sponsors weekly works-in-progress meetings to support the development of grant proposals, journal submissions, and conference and job talks, bi-monthly talks by internal or external speakers, and an annual mini-conference on a theme chosen by participants.

## **Family & Gender**

The family is an important institution through which a host of social processes get played out. Thus, understanding family formation and functioning is especially important, particularly given the dramatic demographic changes of the last five decades. This workshop gives faculty members from various departments across the university, as well as graduate students in the Sociology and Demography graduate groups, the opportunity to present ongoing research on families and gender. Occasionally, individuals from outside of the university are invited to present their research. The workshop presentations are generally informal, and presenters are encouraged to leave time for feedback.

## **Media Activism**

The Media Activism Research Collective (MARC) offers a collaborative space for graduate students, faculty, and activists working at the intersection of media studies and social movement theory. The MARC blog can be found here: <http://mediaactivism.org>.

## **Medical Sociology**

The Medical Sociology workshop gives students the opportunity to expand their understanding of the sociological study of medicine and health. The workshop critically engages students with the social and cultural framing of what is defined as “illness”; the structural factors that may contribute to those illnesses; and the interactive dynamics between healthcare providers and patients. The workshop connects the organization of social groups with the profession of medicine, the practice of medical care, and the social factors that contribute to sickness and well-being. Through both formal presentations and informal discussion, the workshop exposes students to theoretical developments and empirical work from both within and outside the academy around medical sociology. The Medical Sociology workshop continues Penn's long tradition of quantitative and qualitative scholarship on the topic.

## **Population Studies**

The Population Studies Center Colloquium provides a direct link between the Sociology Department and the Population Studies Center. In its original incarnation, population studies mainly concerned demography: the study of the growth and structure of human populations, primarily in terms of fertility, mortality, and migration. As the field of population studies has evolved, so too has the PSC at Penn, which is a major national resource for our understanding of the dynamics of human populations, including health and well-being, human resources, networks, and policy evaluation. For additional information, please visit the Population Studies Center For a full list of presenters please visit the PSC colloquium.

## **Race, Ethnicity & Immigration**

Scholars have come to appreciate the complex, dynamic, and fluid nature of the concepts of race and ethnicity and the process of immigration—leaving a field that can seem disjointed, confusing, and at odds with itself. The race, ethnicity, and immigration workshop brings together interested graduate students and faculty to discuss and consider the critical sociological questions with which research continues to grapple in these fields. Through both formal presentations and informal discussion, the workshop strives to challenge assumptions, highlight important work, and engage theory and empirical work from both within and outside the academy on these topics. The workshop hopes to both offer members of the group the chance to present early-stage research and to bring in outside speakers to offer fresh insight from outside the workshop's membership.

## **THE GRADUATE GROUP IN DEMOGRAPHY AND THE JOINT DEGREE**

The PhD granting unit at the University of Pennsylvania is the Graduate Group. The Department of Sociology effectively runs two such groups, Sociology and Demography. The two programs are closely integrated, including a popular joint-degree program. Sociology students wishing to apply for the Joint Degree in Sociology and Demography should consider doing so in their first year, to allow for the completion of the requirements for both degrees within five years. Sociology students should consult the PhD requirements of the Demography program for further information on the requirements, as well as the procedures for admission to the Demography graduate program. When pursuing a joint degree, student funding will be governed by the package established in the “home” or originating graduate group.

Demography students interested in the joint degree with Sociology should provide the following materials to the Graduate Chair in Sociology:

1. A completed form for Plan of Study for Individualized Joint or Dual Degree, signed by the Demography Graduate Group Chair. The form is available on the Sociology webpage for Applications to the Joint Degree Program or through the Graduate Coordinator.
2. A cover letter stating their research interests and how these will be advanced by the Sociology PhD.
3. A C.V.
4. An updated Penn transcript.
5. A letter from Graduate Group Chair of Demography attesting to good standing in the home program.
6. A letter of endorsement from a standing faculty member in Sociology.

A copy of the original application to Penn may be requested, at the discretion of the graduate committee.

### **Admission procedures:**

- Applications for the joint degree may be made by students no earlier than the second semester of their first year at Penn.
- Applications will be due each year on April 10 for consideration by the graduate committee.
- Decisions reached by the graduate committee will be recommended to the Department for approval at the May faculty meeting.

- Admissions decisions will be contingent on meeting end-of-year benchmarks in the home program.

**Continuation in Sociology:**

- Continuation in sociology will be contingent on meeting benchmarks for the Sociology program and providing annual documentation of good standing in the home department. If a student resigns or is not in good standing in the home department, continuation in the Sociology program is at the discretion of the Sociology faculty.
- The dissertation must be approved by faculty from both departments. At least two standing faculty members from Sociology must be on the dissertation committee, as per Sociology requirements.



## **UNIVERSITY DISSERTATION FORMATTING REQUIREMENTS**

The University has requirements for the format of the deposited dissertation. Updated information on the dissertation formatting and thesis deposit is available at <https://provost.upenn.edu/graduate-degrees> . Here you can find the PhD Dissertation Formatting Guide and Dissertation Formatting Templates. Students are encouraged to review these requirements well before they deposit their dissertation. Ideally the version of the dissertation students submit to their committee prior to the defense will be in the required format.

NOTE: Signatures on the Title Page of the dissertation are now optional. However, if you do decide to collect signatures, BOTH the Supervisor AND Graduate Group Chair must sign. Partial signatures will not be accepted.

## SAS PhD STUDENT LEAVE OF ABSENCE POLICY

*From Pennbook*

<https://catalog.upenn.edu/pennbook/>

Penn has a PhD student leave of absence policy. The policy is available in the Pennbook (<https://catalog.upenn.edu/pennbook/>), though its essential elements are as follows:

PhD students will be granted a leave of absence for military duty, medical reasons, or family leave; any of these may require documentation. Military, medical and family leave “stops the clock” on time to completion. Personal leave for other reasons may be granted with the approval of the Graduate Group Chair in consultation with the Graduate Dean of the student’s school, but does not, absent exceptional circumstances, “stop the clock” on time to completion. Note that students anticipating the birth or adoption of a child should complete the online New Parent Accommodation/Family Leave Request Form (<https://vpe.wufoo.com/forms/r72pat10x6xvtk/>) at least 60 days prior to an anticipated leave.

Following a leave, students are still expected to fulfill any unmet service obligations.

## STUDENT EMPLOYMENT

*SAS Policy on Employment*

<https://www.sas.upenn.edu/graduate-division/current-students/policies>

Because Arts & Sciences fellowships are intended to enable the recipient to work full-time toward the Ph.D., a student is not permitted to accept employment without the permission of their graduate group chair in any month in which he or she receives a fellowship stipend if that employment is not compatible with continued progress toward the degree at a full-time rate as determined by the Graduate Chair and the Associate Dean for Graduate Studies.

As a general rule, students on fellowship may accept employment that requires less than twenty hours of work per week (e.g., as a grader, tutor, or hourly research assistant). Employment requiring twenty hours or more per week is not permitted without written approval by both the Graduate Chair and the Associate Dean for Graduate Studies.

To help enforce these restrictions and to promote a more egalitarian distribution of funding opportunities, monthly payments from all University sources to students on fellowship may not exceed 130% of the student's stipend. Any exceptions must be approved by both the Graduate Chair and the Associate Dean for Graduate Studies.

SAS imposes no restrictions on employment hours or payments during months when a student does not receive a fellowship stipend. Thus, a student who is not receiving aid during the summer may work as much as he or she chooses, and a student who has an opportunity for lucrative summer employment may opt to decline or defer stipend payments in the summer.

### **Sociology Department Guidelines**

Students should speak with their advisor before accepting any employment. They should make sure they have met the program requirements and discuss their progress in the program.

Students who are receiving fellowship funding need to seek permission from the Graduate Chair before accepting employment when:

- a. Their paid work would involve being the primary instructor of a course
- b. Their paid work would be for more than 20 hours a week, or
- c. They are not in good standing

Students who are receiving fellowship funding and are in good standing do not need to seek permission from the Graduate Chair to work as a Research Assistant or a Teaching Assistant for less than 20 hours a month.

## DEPARTMENT OF SOCIOLOGY PROTOCOL FOR REPORTING CONCERNS

Everyone affiliated with the Department of Sociology who feels that they have been harassed, discriminated against, treated unfairly or unethically by someone else in the Department has the right to register a complaint and seek redress. Although we as a department hope that such instances are rare, it is important to have a procedure in place that is transparent to all students, faculty and staff. Below we outline the recommended steps that individuals should follow.

### **Reporting/Disclosing Mistreatment:**

We recommend that **students** first discuss any such incident with their main adviser (this is typically a committee chair for students beyond their first year, but can be any member of the faculty with whom the student is comfortable), unless the adviser is the source of mistreatment. In this case, it is recommended that the student inform the graduate chair, undergraduate chair, and/or the chair of the department.

We recommend that **staff** first discuss any such incident with the department chair, unless this individual is the source of mistreatment. In this case, it is recommended that the staff member approach the associate chair, undergraduate or graduate chair, or another senior faculty member whom they trust and feel comfortable with.

We recommend that **faculty** members first discuss any such incident with the department chair, unless this individual is the source of mistreatment. In this case, it is recommended that junior faculty members approach their assigned faculty mentor, or another senior member of the faculty whom they trust and feel comfortable with, and that tenured faculty contact the associate chair or members of the Executive Committee.

In each case, the person reporting the incident will jointly determine the next steps in consultation with the other members of the department who have been informed. These next steps could involve, for example, the establishment of a committee, members of which would be jointly selected by the individual reporting the incident and the faculty initially consulted, to help arbitrate the matter in question.

This protocol is intended to assist everyone who believe that the issues could be resolved within the Department. All are of course free to pursue these issues via the SAS- and university-wide procedures established to deal with such concerns.

For further detail, see:

The Graduate Division

<https://www.sas.upenn.edu/graduate-division/current-students/reporting-concerns>

The office of the Ombuds

<https://ombuds.upenn.edu/>

## **UNIVERSITY POLICIES AND PROCEDURES REGARDING FAIR TREATMENT**

The Pennbook contains grievance procedures and policies, crafted to provide guidance for fair and consistent treatment of all students in the Penn community. Students who believe they have been treated inappropriately may wish to use the University's confidential resources, including: African-American Resource Center; Office of the Chaplain; Counseling and Psychological Services; Employee Assistance Program; Lesbian Gay Bisexual Transgender Center; Office of the Ombuds; Penn Women's Center; Office of Sexual Violence Prevention and Education; Special Services Department, Division of Public Safety; and Student Health Service.

Other resources for reporting concerns include the following offices: the Office of Affirmative Action and Equal Opportunity Programs, the Office of Student Conduct, the Office of Staff and Labor Relations, in the Division of Human Resources, and the Office of the Vice Provost for Faculty.

Students who believe they have been treated in a biased or discriminatory manner can also complete a Bias Incident Reporting form. The form permits anonymity. The form is available at: <https://diversity.upenn.edu/diversity-at-penn/forms>

The University of Pennsylvania values diversity and seeks talented students, faculty and staff from diverse backgrounds. The University of Pennsylvania does not discriminate on the basis of race, sex, sexual orientation, religion, color, national or ethnic origin, age, disability, or status as a Vietnam Era Veteran or disabled veteran in the administration or educational policies, programs or activities; admissions policies; scholarship and loan awards; athletic, or other University administered programs or employment.

## **ADDITIONAL INFORMATION ON UNIVERSITY POLICIES**

Students should consult university policies as well as this Graduate Program Manual. Most of these can be found at the following sites:

<https://www.sas.upenn.edu/graduate-division/current-students/policies>

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

<https://catalog.upenn.edu/graduate/academic-resources/advising-mentoring/conflict-resolution/>

## **ADDITIONAL RESOURCES**

### **Guidance on Faculty-Student Co-Authored Publications**

<https://catalog.upenn.edu/pennbook/fairness-authorship-credit-collaborative-faculty-student-publications-phd-am-ms-students/>

### **Vice Provost for Education's Mentorship Guidelines**

<https://catalog.upenn.edu/graduate/academic-resources/advising-mentoring/>