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**Candidacy/Dissertation Proposal Timeline**

1. Confirm with Coordinator that all pre-candidacy requirements have been completed:
   1. Required coursework
   2. Passing preliminary exams
   3. Any other requirements imposed by student’s department (research papers, etc.)
2. Register for Dissertation Status each semester
3. Submit annual dissertation progress reports to the WDP office for each year on dissertation status
4. Request an appointment for dissertation committee. Submit form to WDP office at ***least two weeks prior to proposal defense for approval of Vice Dean***
   1. Definition of Committee Role(s):
      1. Supervisor/Advisor/Co-Supervisors - primary responsibility for advising the student on the dissertation (required)
      2. Chair - must be standing faculty and within Wharton graduate group. 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 advisor. Your advisor can serve as chair.
      3. Committee - provide advice concerning the research, to participate in the proposal defense and dissertation defense, and to decide whether the proposal and the dissertation satisfy the standards of the Wharton Doctoral Programs
   2. Complete a separate Request for External Dissertation Committee Member form if you have an external member on your committee
5. Schedule proposal with department administrators
6. ***Submit announcement of proposal defense and notification form to WDP office at least two weeks prior to proposal date***
7. Bring Certification of Proposal Defense form with you to your defense and have your committee sign off on it
8. Submit Certification of Proposal Defense form to WDP office upon successfully passing proposal defense
9. Schedule final defense and submit announcement and notification form to WDP office at least two weeks prior to final defense date
10. Follow steps for degree/graduation checklist

All forms can be found here: <http://doctoral-inside.wharton.upenn.edu/forms/>

FAQ’s

1. Do all my committee members need to be present at my final defense?
   1. Only one committee member is allowed to remote into the final defense. All other members must be physically present
2. Can someone else deposit my dissertation for me?
   1. Yes, but it is your responsibility to schedule the deposit date with the Graduate Division (215-898-7444)
3. Can I scan and email all my dissertation forms?
   1. No, your forms must be live/original signatures signed by your Dissertation Supervisor and committee at the time of your defense. The Provost will not accept scanned copies of your Title Page or Form 152.
4. Where can I find information on formatting my dissertation?
   1. <http://guides.library.upenn.edu/dissertation_manual>

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**REQUEST FOR APPOINTMENT OF THE DISSERTATION COMMITTEE**

**(Please complete the form and return to the Wharton Doctoral Office at least two weeks in advance of proposal date)**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Penn ID#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Dept: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Specialization: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Recommended Committee Members\* (See rules on second page)

**Supervisor**:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Specialization:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Intramural Address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Chair:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   
(leave blank if no chair)  
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 PhD Coordinator Date

Vice Dean Decision: \_\_\_\_\_ Request approved \_\_\_\_\_Request denied

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Signature of Vice Dean Date  
  
\*USE REQUEST FOR EXTERNAL COMMITTEE MEMBER FORM FOR FACULTY NOT AT PENN

Committee Member Rules and Roles

Upon advancement to candidacy, each student has a Dissertation Committee consisting of at least three faculty members (including at least two members of the Wharton graduate group), which may include the Supervisor/Advisor. At least half of the members of the Dissertation Committee must be members of the graduate group at the time of appointment to the committee. Faculty who are not members of the graduate group may serve only with the written approval of the graduate group. The authority to approve membership on committees may be delegated to the graduate chair.

The Chair of the Dissertation Committee must be a member of the Standing Faculty in the graduate group. If the Chair of a Dissertation Committee leaves the Standing Faculty before the dissertation is completed, then a new chair from the Standing Faculty in the Graduate Group must be appointed as chair. The Dissertation Committee chair is responsible for convening committee meetings, advising the student on graduate group and university expectations, and assuring the graduate group chair that the group’s requirements have been met. The Dissertation Supervisor may serve as Chair of the Dissertation Committee, but is not required to do so.

The Dissertation Supervisor is the person primarily responsible for overseeing the student’s dissertation research. A student may have both a Dissertation Supervisor and a Dissertation Co-Supervisor, or two Dissertation Co-Supervisors, if that responsibility is shared equally.

Dissertation Supervisors, and Dissertation Co-Supervisors, must be members of the Standing Faculty at Penn, with special approved exceptions. A member of the Associated Faculty (such as Research Faculty or Adjunct Faculty) may be permitted to serve as a Dissertation Supervisor with prior approval of the Vice Provost for Education on a case by case basis. The Graduate Group Chair may petition the Vice Provost for Education, in advance, for an exception. In such cases, a member of the Standing Faculty in the graduate group must be appointed as the Dissertation Committee Chair.

The Dissertation Committee meets at least once annually with the student to review the student’s progress. The student prepares an annual Dissertation Progress Report and the committee gives timely feedback (within one month) and confirms whether progress is satisfactory. A copy of the signed progress report submitted to the Supervisor/Advisor and PhD Coordinator. Dissertations based on joint work with other researchers are allowed, if, in such cases, a unique and separate dissertation 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 dissertation by more than one-degree candidate is not allowed.

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**NOTIFICATION OF ORAL PROPOSAL DEFENSE**

Please return the completed form to the Wharton Doctoral Office at least two weeks before the proposal date. Notice of the defense will also be posted in the Wharton Doctoral Office.

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Penn ID: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Wharton Ph.D. Program Department: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Committee Members: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Chair)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title of Proposal: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Day, Date and Time of Defense:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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 oral proposal defense.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature, Committee Chair Date



**DISSERTATION PROPOSAL DEFENSE CERTIFICATION**

Please return this completed form to the WDP Office once your topic has been approved.

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ PENN ID#\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Department:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

TITLE OF PROPOSED TOPIC:

DATE OF DEFENSE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

RESULT OF EXAMINATION: (CHECK ONE)

1. Topic approved
2. Topic not approved   
     
   Other comments or conditions:  
     
   COMMITTEE:

1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Print Name, Committee Member (Chair) Signature, Committee Member (Chair)

2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Print Name, Committee Member (Supervisor) Signature, Committee Member (Supervisor)

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