

College Of Health and Human Development



PennState

Kinesiology Graduate Program

Doctor of Philosophy (Ph.D.) Handbook

2016 – 2017

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PREFACE

Welcome to The Pennsylvania State University! You have been selected by a graduate faculty member to pursue the degree of Doctor of Philosophy (Ph.D.). You have competed successfully against other candidates in the process of admission. Your selection was based on your previous academic performance, mentor letters of support, GRE scores, and aptitude for research. Your continued academic excellence is expected.

A Ph.D. is a research degree. It is not awarded on the basis of grade point average or credits earned. Graduate level courses and seminars focus on research and research findings. You will be intellectually stretched and hopefully stimulated to explore the frontiers of knowledge of your academic interest.

The Ph.D. process is not an easy one. You must attend to the Graduate School as well as Departmental policies and requirements. You may expect these to change during your academic experiences at Penn State. Universities grant graduate degrees through their Graduate Schools. Therefore, you, the student, as well as the faculty in the Department of Kinesiology are accountable to two administrative units: (1) The Graduate School, and (2) The College of Health and Human Development.

This handbook has been prepared to assist you in your Ph.D. studies. Applicable information has been obtained from the Graduate Degree Programs Bulletin, Penn State Policy Manual and Departmental graduate studies material.

You, and you alone, are responsible for meeting the Ph.D. requirements. Your graduate program adviser cannot be held responsible for interpreting policies, rules, or regulations, either those of the Department or Graduate School. A word of caution: Petitions have been submitted on behalf of students to waive or modify a Graduate School requirement. These petitions are seldom honored and on no occasion has approval been granted because of a student's oversight. The *Graduate Degree Programs Bulletin* provides the essential information necessary for your degree sequencing and progression. Be systematic in meeting the requirements. There are no shortcuts. Become familiar with the *Bulletin* and its contents, and use it frequently as a reference.

When you have questions regarding your program, avoid the consultation of peers. Go to the source, the Graduate Program Director or the graduate program's staff assistant. Ph.D. programs are tailored to meet individual needs. What may have been acceptable to one student may not be applicable to you. Therefore, put requests in writing; these written requests will be answered in writing.

Good luck in your research and scholarly endeavors. The faculty and graduate program administrative units are committed to facilitate your efforts to obtain the highest academic degree conferred by any University – the Ph.D.

Typical Ph.D. Student Progression

A typical time-line for a fulltime students studying for a Ph.D. is as follows. Part-time students must adjust their personal schedule appropriately, although it should be noted that at least two consecutive semesters in residence at Penn State is required from all doctoral students.

Year One

- Coursework
- Complete Scholarship and Research Integrity (SARI) Training [1st semester]
- Candidacy Examination (scheduled by the Department of Kinesiology)[2nd semester]
- Language Proficiency
- Residency Requirement Fulfilled

Year Two

- Complete Coursework
- Form Doctoral Committee
- Comprehensive Examination (schedule with Kinesiology Graduate Program Office at least 3 weeks in advance)
- Identify Dissertation Topic

Year Three and Beyond

- Schedule KINES 600/601/610/611 credits post comprehensives
- Present Proposal
- Work on Dissertation Topic (e.g., review literature, collect data)
- Write Dissertation

Graduating Semester

- Register for KINES 600/601/610/611 (even if it is the Summer semester)
- Activate “Intent to Graduate” with the University Registrar
- Submit Draft Dissertation to the Graduate School for Format Review
- Pay Dissertation Binding Fee
- Schedule Final Defense (file paperwork with Kinesiology Department Graduate Program Office at least two weeks before defense)
- Submit Dissertation to Committee Members (at least two weeks before defense)
- Public Oral Defense of Dissertation
- Submit Final Dissertation to the Graduate School
- Attend Degree Congregation

Note

To ensure graduation in a specific semester you have to follow the “Thesis Office Calendar” deadlines, these are available from the Kinesiology Graduate Program Office or the Graduate School.

Department Of Kinesiology - Graduate Faculty

The Graduate Faculty

Lacy Alexander, Ph.D. (Penn State) Associate Professor of Kinesiology
April Armstrong, M.D. (Western Ontario) Associate Professor of Orthopaedics
Melissa Bopp, Ph.D. (South Carolina-Columbia) Associate Professor of Kinesiology
W. E. Buckley, Ph.D. (Penn State) Professor of Exercise and Sport Science, and Health Education
John H. Challis, Ph.D. (Loughborough University of Technology) Professor of Kinesiology
David E. Conroy, Ph.D. (Utah) Professor of Kinesiology
Mary Jane De Souza, Ph.D. (Connecticut) Professor of Kinesiology
Danielle Symons Downs, Ph.D. (Florida) Professor of Kinesiology
Mark Dyreson, Ph.D. (Arizona) Professor of Kinesiology
Robert B. Eckhardt, Ph.D. (Michigan) Prof. of Developmental Genetics and Evol. Morphology
Michael Blair Evans, Ph.D. (Wilfrid Laurier University) Assistant Professor of Kinesiology
Sara B. Ferguson, M.D. (University of Pennsylvania) Assistant Professor of Dermatology
Jinger S. Gottschall, Ph.D. (Colorado) Assistant Professor of Kinesiology
Douglas R. Hochstetler, Ph.D. (Penn State) Associate Professor of Kinesiology
Peter M. Hopsicker, Ph.D. (Penn State) Associate Professor of Kinesiology
Xuemei Huang, Ph.D., M.D. (Beijing Medical University) Assoc. Prof. of Neurol. and Pharmacology
W. Larry Kenney, Ph.D. (Penn State) Professor of Physiology and Kinesiology
Donna H. Korzick, Ph.D. (Penn State) Associate Professor of Kinesiology and Physiology
R. Scott Kretchmar, Ph.D. (Southern California) Professor of Exercise and Sport Science
Mark L. Latash, Ph.D. (Rush) Distinguished Professor of Kinesiology
Scherezade Mama, Dr.P.H. (University of Texas) Assistant Professor of Kinesiology
Timothy R. McConnell (Kent State) Adjunct Professor of Kinesiology
Sayers John Miller III, Ph.D. (Penn State) Assistant Professor of Kinesiology
Gustavo Nader, Ph.D. (Illinois at Chicago) Associate Professor of Kinesiology
Kristina A. Neely, Ph.D. (Western Ontario) Assistant Professor of Kinesiology
James A. Pawelczyk, Ph.D. (North Texas) Associate Professor of Physiology and Kinesiology
Stephen J. Piazza, Ph.D. (Northwestern) Professor of Kinesiology
David N. Proctor, Ph.D. (Kent State) Professor of Kinesiology
Liza Rovniak, Ph.D. (Virginia Polytechnic Institute) Assistant Professor of Medicine
Jonas Rubenson, Ph.D. (Western Australia) Associate Professor of Kinesiology
Robert L. Sainburg, Ph.D. (Rutgers) Professor of Kinesiology
Jessica Lynn Schultz, Ph.D. (Iowa) Associate Professor of Kinesiology and Women's Studies
Wayne J. Sebastianelli, M.D. (Rochester) Professor of Orthopaedic Surgery and Rehabilitation
Neil A. Sharkey, Ph.D. (California, Davis) Professor of Kinesiology
Semyon M. Slobounov, Ph.D. (Illinois) Professor of Kinesiology
Kenneth L. Swalgin, Ph.D. (Ohio) Assistant Professor of Kinesiology
Richard L. Tutwiler, Ph.D. (Penn State) Senior Research Assoc.; Affil. Assoc. Prof. of Kinesiology
Nancy I. Williams, Sc.D. (Boston U) Professor and Department Head of Kinesiology
David Yukelson, Ph.D. (North Texas State) Affiliate Assoc. Prof. of Exercise and Sport Science

The Emeritus Faculty

Karl M. Newell, Ph.D. (Illinois), *Professor Emeritus of Kinesiology and Biobehavioral Health*
Ronald A. Smith, Ph.D. (Wisconsin) *Professor Emeritus of Exercise and Sport Science*
Karl G. Stoedefalke, Ph.D. (Illinois) *Professor Emeritus of Exercise and Sport Science*
Vladimir M. Zatsiorsky, Ph.D. (Central Institute of Physical Culture, Moscow) *Professor Emeritus of Kinesiology*

Note

The Departmental also has a number of affiliate and adjunct graduate faculty, this list can be found on the following web page, <http://www.gradsch.psu.edu/facstaff/listfaculty.cfm?program=107>

GENERAL INFORMATION

Assignment of Academic Adviser

Academic advisers are made aware of graduate student applicants by the Kinesiology Graduate Program Office according to the initial interest expressed by the students in correspondence, on the application for admission, or in personal interviews prior to the first registration. Acceptance of a student by a specific faculty member is required for entry into the Program. It is anticipated that this faculty member would remain the student's adviser throughout their studies. In exceptional circumstances a student may change adviser, but this may only occur after consultation with their current adviser, their potential new adviser, and the Professor in Charge of the Graduate Program. Under such circumstances the student should not assume they can retain their current source of funding (be it departmental assistantship or grant funding). Background course work will be reevaluated in light of the new specialization; deficiencies, if any, will be identified.

Thesis Adviser

Normally, the same person is both academic and thesis adviser; however, on occasion, it may be desirable to have another faculty member serve as the thesis adviser or co-adviser. If such is the case, the Kinesiology Graduate Program Office should be notified, and the student's committee appointment form appropriately completed.

Graduate Assistantships

The Department offers a limited number of half-time assistantships that require 20 hours of service per week per semester. Each semester's appointment will last 18 weeks.

Assistantships are competitive and are awarded based on the following criteria: (1) scholarship, (2) experience, and (3) specific ability desired for tasks for which assistantships are allocated. Preference usually is given to Ph.D. candidates. Departmental assistantships are not differentiated as "teaching" or "research" assistantships and typically involve both activities with approximately ten hours of each per week. Representative teaching during a semester may consist of conducting or assisting with an undergraduate Kinesiology laboratory or teaching a lower level undergraduate course. Students with academic deficiencies that require a semester or more to complete will not be considered for an assistantship until such deficiencies are completed. The maximum amount of time a Ph.D. student can typically be funded on departmental funds is three (3) academic years (six semesters).

Graduate students with assistantships receive a stipend for the academic year (Fall and Spring Semesters, but not Summer Session) and an exemption from tuition charges (all semesters including Summer). Additional compensation during a semester may be received for additional hours of work only with special advanced approval of the Dean of the College where the student holds the assistantship, and provided the compensation is not for additional hours of work on the assigned assistantship duties. Extra compensation cannot interfere in the due process of the degree program. Half-time assistants must carry a minimum of nine (9) credits per semester during each semester of service and may apply for a tuition grant for the succeeding summer to cover a maximum of nine credits. A "Summer Tuition Assistance Program" application, available from the Departmental Graduate Program Staff Assistant, must be completed by the graduate student and submitted according to the published deadlines.

Graduate assistants are evaluated each semester by their assistantship supervisor, (PR 6, *Penn State Policy Manual*) and often by classroom evaluations. Supervisors will discuss performance with their graduate assistant upon the completion of the academic semester.

American English Oral Communicative Proficiency Test

Linguistics and Applied Language Studies (LALS) offers courses specifically for International Teaching Assistants, and administer a test on arrival to these students. Individuals who need to improve their speaking and presentation skills can enroll in the following courses according to the results of the American English Oral Communicative Proficiency Test (or an approved equivalent test). Students will not be permitted to register for these courses unless they have taken this test. (See the LALS course catalog for course descriptions and scheduled offerings.)

ESL 115G - American Oral English for International Teaching Assistants I (3 credits)
ESL 117G - American Oral English for International Teaching Assistants II (3 credits)
ESL 118G - American Oral English for International Teaching Assistants III (3 credits)

Graduate level writing:

ESL 116G - Composition for Academic Disciplines (3 credits)

Speaking and listening undergraduates and graduates:

ESL 114G - American English for Academic Purposes (3 credits)

If a student fails the American English Oral Communicative Proficiency Test they cannot perform any teaching duties. To assume these duties they take and pass ESL 118G. Students enrolled in ESL 118G must receive a grade of "B" and pass a post evaluation exam before being allowed to assume teaching responsibilities. The post evaluation exam is an oral language exit exam that evaluates the student's overall comprehensibility and communicative effectiveness

Medical Insurance Requirement

Penn State requires all graduate students on assistantships and all international students to demonstrate that they have health insurance coverage, either privately or through Penn State.

Graduate students who are U.S. Citizen and elect not to have Penn State Health Insurance must complete an Insurance Declination Form, available online at <http://www.sa.psu.edu/uhs/basics/insurance.cfm>

For details about cost and coverage, contact the Student Insurance Office, 302 Student Health Center, 865-7467.

Computer Accounts

In order to obtain your user ID and password, take your Penn State photo ID card to an automatic signature station and follow the instructions there. Stations are located at

- 103 Boucke Building
- 204 Wagner Building (ITS Help Desk and Accounts Services Office)
- 6 Findlay Commons
- 15 Sparks
- 201 Pollock Library
- 112 Shields Building Lobby area (2 kiosks)
- 107 Waring Commons
- 107 Warnock Commons
- W130 Pattee (ITS Service Desk at Knowledge Commons)
- 109 Willard Bldg
- 24 Redifer Bldg
- 5A Katz Bldg
- 170 Physical Plant Building (M-F 7am-3:30pm)
- 128 Outreach Bldg, 100 Innovation Park Boulevard
- 321 Building, Suite 306 OTS Lobby (M-F 7:30am-5pm)

Please make a note of your user ID and password when they are displayed on the screen. Your account should be active within 24 hours.

Ph.D. DEGREE PROGRAM OF STUDY

The Graduate Program in Kinesiology is organized around six interdisciplinary areas of study,

- Athletic Training & Sports Medicine
- Biomechanics
- Exercise Physiology
- History and Philosophy of Sport
- Motor Control
- Psychology of Physical Activity

Students select one area of emphasis for their graduate work and a faculty advisor who is a member of that study group.

Doctoral students should seek insight into fundamental questions about Kinesiology, and must attain broad understanding of the research methodologies that will help to answer these questions. In particular, they must develop the ability to analyze and interpret research results in their field. It is expected that the Ph.D. candidate will attain a significantly greater depth of knowledge in the chosen area of emphasis than in the preceding studies leading to the M.S. degree.

In the doctoral program the general requirements include, sequentially, the candidacy examination, core requirements, courses in the program of studies, comprehensive examination, proposal of dissertation topic, production of dissertation, and final oral examination. During the course of the doctoral program each student must have attended Penn State in residence for a minimum of two consecutive semesters.

Students who enroll in the doctoral program after completing the master's program within the Department of Kinesiology may apply extra credit hours accumulated during the master's program to satisfy the doctoral program requirements.

Dual title Ph.D. opportunities

Dual-title degrees broaden the scope of a doctorate in Kinesiology. These degrees afford doctoral students the opportunity to receive significant training in two different programs. Upon graduation, the degree will carry the designation of both Kinesiology and a secondary program.

Dual-title degrees encourage innovative scholarship that transcends traditional disciplinary boundaries. Students complete an integrated curriculum that goes beyond a Kinesiology degree with a minor (which is not noted on the student's diploma). Academic and scholarly activity in the second area of study is incorporated at all phases of the student's research and training, including the candidacy and comprehensive examinations, and the student's dissertation research. To meet these requirements, application should be made to the secondary (dual-title) area well in advance of the candidacy exam, preferably when applying to the Kinesiology graduate program.

The Department of Kinesiology is currently partnered with and offers a dual-title degree in Clinical and Translational Sciences (CTS). The CTS program encourages interdisciplinary scholarly work at the interface between basic sciences, clinical sciences and human health. The program of study is designed to extend students' knowledge beyond their primary area of study with practicums, course work and research that foster a greater understanding and practice of patient-oriented, epidemiological, behavioral, outcomes and health services research that transitions scientific findings from the laboratory to the clinical setting to best practices in the community.

To earn the dual-title Ph.D., students must enroll in the CTS program and meet all the requirements for Kinesiology and CTS. An additional 18 credits of CTS credits are required, but a portion of Kinesiology credits may be counted toward CTS requirements. Additional funding may be available to complete the course of study. For further information, contact either the Professor-in-Charge of the Graduate Program or the Director of CTS.

Candidacy Examination

The Ph.D. Candidacy Examination is designed to determine if the student has,

1. A sufficient academic background and/or potential to pursue a major area of specialization, selected from the areas of study in the Department;
2. An acceptable level of communication skills as demonstrated by written and oral answers to questions dealing with major area of specialization.

A student has no official status as a Ph.D. candidate and no assurance of acceptance as a Ph.D. candidate until the candidacy examination has been passed. This examination cannot be taken until the student has completed Scholarship and Research Integrity (SARI) training (see pp. 9-10).

When to Take the Examination

The Ph.D. Candidacy Examination must be taken before the end of their third semester following entry to the Doctoral program; this does not include summer sessions. A student must be either a part-time or fulltime student at the time of the examination. For students entering the program directly from their baccalaureate degree they must have completed at least 18 credits of graduate work. For fall admissions the examination is normally taken early in their second semester of study (spring) for doctoral students with a Masters degree, and the fall of their second year for students entering directly from their baccalaureate degree. For students enrolled in dual-title Ph.D., an additional semester of study is permissible.

Scope and Depth of the Candidacy Examination

Students will be tested in their major area of specialization. However, at the discretion of the mentor, and in consultation with the Graduate Professor-in-Charge, students may be tested in more than one area. This determination will be made on a case-by-case basis and will be closely aligned with the student's scholarly pursuits. Examinations of students enrolled in a dual-title Ph.D. program will incorporate both Kinesiology and the student's secondary area of study.

The understanding demonstrated in answers to the questions is expected to reflect what would be known by a graduate from a distinguished undergraduate program in Kinesiology.

Doctoral Candidacy Committee

Each graduate area will have a three person committee who will act as the examiners; it will be composed of graduate faculty active in the specific area of study. The Chairperson of this committee is appointed by the Professor-in-Charge of the Graduate Program. A student's advisor may serve on this committee.

When the candidacy exam includes a dual-title program or more than one area of study in Kinesiology, an *ad hoc* committee of three graduate faculty will act as examiners. In this instance, the Chairperson will be a graduate faculty member active in the student's Kinesiology Graduate Program primary area of study. The committee will include at least one graduate faculty member in the student's area(s) of study, or, in the case of a dual-title Ph.D. student, one graduate faculty member who is also a member of the secondary program.

The Chairperson of the committee will be responsible for selecting the other committee members, coordination the examination process, and developing and supplying a reading list of appropriate background material.

The Examination

The purpose of the candidacy examination should be to assess whether the student is capable of conducting doctoral research/scholarship based on evidence of critical thinking or other measures that the Graduate Faculty view as important to a successful doctoral student. Each student will be examined in their area(s) of graduate study; area(s) will serve as the focus of the student's doctoral dissertation research.

Written Examination

This is typically a three hour examination, scheduled for a single session. The essay questions will be prepared by the appropriate Doctoral Candidacy Committee in the students' area(s) of specialization. Students will use either their own or a borrowed computer for the examination.

Oral Examination

This will be conducted within 14 days of the written examination, with up to one hour allocated per student. In attendance at the oral examination will be the student, the Candidacy Committee, and any other faculty from the student's area of study the committee feel are appropriate (e.g., the student's adviser).

Evaluation of the Examination

The examination is evaluated on a pass or fail basis; this judgment is made by the students' Candidacy Committee based on performance in both the written and oral components. A student who passes the examination will be granted admission as a Ph.D. candidate. If the student fails the committee can recommend either retaking of the examination at some specified date, or withdrawal from the program. Students are only permitted to retake this examination once; a second failure will result in withdrawal from the program. The Committee may also specify methods for remediating gaps in the students' knowledge, for example further courses or other work to make up such deficiencies. A student will not be able to proceed to their Comprehensive Examination until evidence is provided that the student has met the committees' requirements.

Administrative Processes

To help prepare for the examination, reading lists will be provided to the student at least eight weeks prior to the exam. The written examination will be held in the first two weeks of the designated semester, and the oral exam will follow within two weeks. Any changes to this schedule should be made in writing to the Professor-in-Charge of the Graduate Program at least 10 weeks before the proposed change.

Students will be informed by their Candidacy Committee Chairperson of examination results as soon after evaluation as possible. A summary of performance on the examination and the Committee's decision shall be filed in the official folder of the student in the Kinesiology Graduate Program Office. The results of the examination shall be forwarded to the Graduate School by the Director of the Graduate Program.

English Competency Policy

A candidate for the Ph.D. degree is required to demonstrate a high level of competence in use of the English language. As established in the *Graduate Degree Programs Bulletin*, programs are expected to establish mechanisms for assessing and, where necessary, improving the English language competence of both domestic and international students.

Assessment of English Competency (Written and Spoken)

As noted above, all Ph.D. students are required to take a Candidacy Examination at the beginning their second semester or, in specific cases, their third semester of course work. Successful completion of this examination, judged principally but not exclusively on content, will determine the student's admission to doctoral candidacy. In addition, the written record of this examination also will be judged for logical organization, grammar, punctuation, spelling and other aspects of style. If a majority of the examining committee feels that there is any question about the adequacy of English competence demonstrated in the examination, it will be graded formally with respect to competence according to the standards set forth in Appendix A of this handbook. Similarly, if there is any question about the student's competence in spoken English, an oral examination may be scheduled. In such cases the oral performance will be judged according to the standards set forth in Appendix B.

Verification of English Competency

The Chair of the Ph.D. Candidacy Committee will inform the Director of the Kinesiology Graduate Program whether each student has or has not satisfied the English competency requirement. Separate results may be given for the written and the spoken examinations; i.e., the candidate may pass one but fail the other. Failure to satisfy both English competency requirements will result in the student being denied formal acceptance into the doctoral program until either or both deficiencies are removed.

Procedure for Removing Deficiencies

A remedial measure toward removal of English competency deficiencies is a two-step process. First, the student must successfully complete (grade of A or B) an appropriate course selected by the Candidacy Committee in conjunction with the Adviser. Separate courses will be recommended for writing deficiencies and speaking deficiencies. Remedial courses may include the following,

A. Courses for Improving Writing Skills

Engl 004 Basic Writing Skills
Engl 005 Writing Tutorial
Engl 202C (GWS) Effective Writing: Technical Writing
Engl 202A (GWS) Effective Writing: Writing in the Social Sciences
Engl 202B (GWS) Effective Writing: Writing in the Humanities

B. Courses for Improving Speaking Skills

SPCOM 004 English as a Second Language: Basic Writing
SPCOM 015 English as a Second Language: Rhetoric and Composition
SPCOM 100 (GWS) Effective Speech

The second step toward removing any deficiencies involves the course KINES 590: Colloquium in Kinesiology. This course is offered fall and spring semesters, and is required of all Ph.D. students, each semester until the Comprehensive Examination is successfully passed. After verification that the student has attained at least a "B" grade in the course or courses recommended, the student must further demonstrate his/her competency. If the deficiency in question involves written skills, the student will be asked to summarize in writing the main points of one of the colloquia. This report will be graded (again using the assessment scale in Appendix A) by the Director of the Graduate Program and the course instructor. If the deficiency in question involves verbal skills, the student will be asked to present a 40-minute colloquium on the topic of his/her choice. This colloquium presentation will be graded (using the assessment scale in Appendix B) by the Director of the Graduate Program and the course instructor.

Student enrolled in a dual-title Ph.D. program will be required to meet the course requirements for Kinesiology and the secondary area of study. For further information, contact either the Professor in Charge of the Graduate Program or the Director of CTS.

Course Requirements

A program to meet the individual needs of each student is planned with the adviser in consultation with the Doctoral Committee members. Students should be aware that the requirements listed here can be broadened by the Committee within the spirit of maintaining a high quality individualized degree program. The number of formal courses specified is intentionally minimal. It is expected that the depth of knowledge in each area of study come from independent study and research experiences, in addition to the dissertation, which are under the direction of the faculty.

Regardless of the area of study, the following are required of all Kinesiology doctoral degree candidates,

- 15 credits selected from the six Department of Kinesiology areas of graduate study, for all of which the student must receive a quality letter grade
- 6 credits selected from classes offered outside of the Department of Kinesiology, for all of which the student must receive a quality letter grade.
- KINES 590 - Graduate Colloquium, all semesters until after the comprehensive exam has been passed
- Scholarship and Research Integrity (SARI) training (10 hours)

A maximum of six (6) credits only from Independent Studies may count toward the 15 departmental credits required for the degree. Credits need to be taken at the 400, 500 and 600 level in order to be counted toward the degree.

Once the student has passed their comprehensive examination, in the following semester they are not required to take Colloquium (KINES 590). The credits from Colloquium do not count towards the 15 departmental credits required for the degree. It is recommended that graduate students attend colloquia (KINES 590) regularly during all of the semesters that they are in residence (i.e. beyond the minimal requirements) because these talks are designed to be central elements in the Department's intellectual life.

Beyond this minimum of 21 credits, the student's adviser, and dissertation committee in consultation with the student set the structure and content of the doctoral program.

Statistics: There is no single, uniform statistics requirement for the Ph.D. degree. For students in biomechanics, exercise physiology and motor behavior, six or more course credits may be needed in some areas, depending on the student's research problem. It is recommended that students in history and philosophy of sport should enroll in Historical Method (History 501) as part of their program of doctoral studies. In all cases, the level of statistical knowledge - and, more broadly, of research design --appropriate to the research area and problem should be discussed and agreed upon by the doctoral student and committee members.

Foreign Language Requirement: The Department of Kinesiology has no uniform foreign language requirement. Any particular need for foreign language study is determined individually by each student's adviser and/or doctoral committee.

Scholarship and Research Integrity (SARI)

The Graduate School has mandated that all graduate students have SARI training. The training will consist of at least 10 hours of instruction. The relevant topics include, but are not limited to, the acquisition, management, sharing, and ownership of data; publication practices and responsible authorship; conflict of interest and commitment; research misconduct; collaborative science; and human subjects protections.

The training has two components,

1) Completion of five hours of online Responsible Conduct of Research (RCR) training (<http://www.research.psu.edu/orp/sari/>).

2) Participation in five hours of discussion (class time or workshops) of universal and discipline-specific aspects of SARI.

Ph.D. students must meet the entire ten-hour minimum requirement prior to taking their candidacy examination, while M.S. students must fulfill the requirement in order to graduate.

You will be notified of classes, seminars, and workshops which will satisfy the second requirement. Our College, Health and Human Development, will offer three 100 minute workshops per academic year, two during the fall semester and a third during the spring term. If you take the following classes they can also contribute to your SARI Training,

- KINES 530 – Experimental Design and Methodology in Kinesiology (3 credits) – contributes 2 hours.
- KINES 588 – Scientific Writing in Kinesiology (3 credits) – contributes 2 hours.
- BIOS 591 – Ethics in the Life Sciences (1 credit) – contributes 5 hours.

The Department must maintain a record of each student's SARI training; and you will be notified when you have completed the mandated requirement. It should be appreciated that emerging scholars should continue throughout their academic careers to keep apprised of issues related to scholarship and research integrity.

Minor Field

A student may have a minor field of study. This is elective rather than being a general Departmental requirement, but may be desired by the student and/or the student's adviser. A minor field consists of at least 15 credits, with a minimum of six 500 level credits of integrated or articulated work in one field related to, but different than that of the major. A minor normally may be taken only in one of the approved graduate degree programs offered at Penn State, or in a formal graduate minor program that has been approved by the Graduate Council. The choice of the minor field must be approved by the student's doctoral committee as constituted by the Kinesiology Department and by the Department or committee responsible for the minor field. At least one graduate faculty member from the minor field must be on the candidate's Ph.D. Committee (Refer to *Graduate Degree Programs Bulletin*).

Students should work with the Graduate Program Staff Office in 276 Rec Hall to be sure that the proper paperwork is submitted to the Graduate School.

KINES 602 – Supervised Experience in College Teaching

If a Penn State Ph.D. candidate anticipates pursuing a position that will include teaching at the college or university level, it is desirable to have an academic record that shows classroom experience that has been evaluated formally. This record can be built up by having the student's teaching evaluated periodically by a faculty member (such as the student's adviser or another professor), as well as by having the Department record and retain undergraduate student course evaluations. The graduate student whose instructional experience is being evaluated will receive a letter quality grade for Departmental evaluative purposes; however, this grade will not be used in calculation of the student's grade point average. The KINES 602 course will not be counted as part of the student's credit load, but will appear on the official transcript.

Grading

Quality Grades are assigned by a course professor or dissertation adviser in recognition of the student's scholarly attainment. The following grading system applies to graduate students: A, 4.00; A-, 3.67; B+, 3.33; B, 3.00; B-, 2.67; C+, 2.33; C, 2.00; D, 1.00; F, 0.00. A minimum grade point average of 3.0 for work done at the University is required to remain in good standing

for all graduate degrees. Therefore a minimum grade-point average of 3.00 for work done at the University is required for the doctoral candidacy, for admission to the comprehensive examination, the final oral examination, and for graduation.

R Grades indicate that the student has devoted adequate effort, but give no indication of the quality of such work. An R grade does not influence the GPA. If an R grade is to be changed (as for thesis work) to a quality grade, this change must take place within one semester of the original grade having been recorded.

Deferred Grades (DF) are assigned if work is incomplete at the end of a semester due to extenuating circumstances. Assignment of a deferred grade is not automatic, and any student who contemplates being unable to complete the work in any course by the end of a semester should discuss the matter with the instructor and secure approval; it should not be assumed that a deferred grade will be assigned if such arrangements have not been made by the normal end of the course. The DF must be removed (by completing the work and allowing sufficient time for it to be evaluated by the instructor) by the sixth week of the subsequent semester in which the student is enrolled. The course instructor will assign a quality grade at that time. If the work has not been completed, the DF will automatically change to a grade of F.

All DF grades must be removed from a student's record prior to evaluation for doctoral candidacy, oral comprehensive examination, and final oral examination.

Pass/Fail (P/F) Grading is used exclusively for certain graduate courses (e.g. KINES 590) approved by the Graduate Council. While a grade of P does not influence a student's GPA, a grade of F does.

For more information about the University's grading system refer to the *Graduate Degree Programs Bulletin*.

The Ph.D. Committee

The Ph.D. Committee should be appointed within the year following satisfactory completion of the Candidacy Examination, while the student is beginning to formulate a dissertation topic. General guidance of a doctoral candidate is the responsibility of a doctoral committee consisting of four or more active members of the Graduate Faculty, which includes at least two faculty members in the major field. The dissertation adviser must be a member of the doctoral committee. The dissertation adviser usually serves as chair, but this is not required. If the candidate is also pursuing a dual-title field of study, a co-chair representing the dual-title field must be appointed. In most cases, the same individual (e.g., dissertation adviser) is a member of the Graduate Faculty in both the major and dual-title fields, and in such cases may serve as sole chair.

At least one regular member of the doctoral committee must represent a field outside the candidate's major field of study in order to provide a broader range of disciplinary perspectives and expertise. This committee member is referred to as the "Outside Field Member." In cases where the candidate is also pursuing a dual-title field of study, the dual-title representative to the committee may serve as the Outside Field Member.

Additionally, in order to avoid potential conflicts of interest, the primary appointment of at least one regular member of the doctoral committee must be in an administrative unit that is outside the unit in which the dissertation adviser's primary appointment is held (i.e., the adviser's administrative home; in the case of tenure-line faculty, this is the individual's tenure home). This committee member is referred to as the "Outside Unit Member." In the case of co-advisers, the Outside Unit Member must be from outside the administrative home(s) of both co-advisers. In some cases, an individual may have a primary appointment outside the administrative home of the student's dissertation adviser and also represent a field outside the student's major field of study; in such

cases, the same individual may serve as both the Outside Field Member and the Outside Unit Member.

Following appointment of the Committee, a meeting of its members shall be convened to approve officially the program of studies proposed by the Ph.D. candidate. This approval is contingent upon removal of any deficiencies as stipulated by the Candidacy Committee, as well as satisfaction of the major field requirements and all coursework. Prior to the meeting, the candidate and the adviser shall prepare a tentative program of studies for submission to the Ph.D. Committee. The related field requirements shall be determined in consultation with the related field member. The officially approved program shall be filed with the Kinesiology Department Office.

Comprehensive Examination

When: After completing all of the recommended coursework, a candidate is required to take a comprehensive examination covering the major area of study, research, and statistics. Any identified deficiencies must be fulfilled prior to the time that the examination is taken.

Scheduling: At least three weeks prior to the comprehensive examination, the candidate must notify the Kinesiology Department Staff Assistant in order to allow sufficient time for the appropriate paperwork to be filed with the Graduate School. The Graduate School will confirm the student's eligibility to sit for the comprehensive examination and will notify the Kinesiology Department accordingly. The Graduate Program Office will forward the Graduate School's comprehensive examination authorization to each of the student's Ph.D. Committee members.

Written Component: Each of the student's Ph.D. Committee members must be solicited to write questions for the candidate. The candidate will write for an approximate total of eight to ten hours, over two consecutive days. Up to four hours are allotted for the Ph.D. Committee adviser's questions and two hours for each of the other Ph.D. Committee member's questions. Ph.D. Committee members have the option of not requiring a written examination, and instead may elect to conduct an oral examination of the candidate. The student's advisor is responsible for soliciting of questions from the committee for the written component of the exam. A typical format is for each committee member to produce a closed book examination consisting of two or three essay style question of which the student must answer two questions. Answers are typically word processed.

Oral Component: Ordinarily the oral examination will last approximately two hours and will take place within two weeks of the written component. The oral examination is not limited to questions arising from any previous written questions, but can include other matters pertaining to the student's knowledge. The latter portion of the oral examination permits the doctoral candidate an opportunity to outline plans for the dissertation.

Dissertation Proposal

After successfully passing the Comprehensive Examination, the doctoral candidate is required to propose his or her dissertation topic to the dissertation committee. The timing of the proposal meeting is left to the discretion of the chair of the dissertation committee.

At the meeting a presentation is made by the candidate that outlines the planned research project(s) that will constitute the dissertation, including specifics aims and hypotheses where appropriate.

The proposal meeting should be scheduled at least three weeks before the planned date through the Graduate Program Staff Assistant.

When possible, all written materials should be circulated to committee members at least two weeks prior to the proposal meeting.

All committee members should be present for the proposal meeting. Attendance by video or audio conferencing is acceptable.

There are three potential outcomes of the meeting,

Accept – the candidate can proceed with the work as proposed.

Accept with Noted Changes – the candidate can proceed with the work as proposed, but with changes as described by the committee. These will be noted on the approval form.

Second Proposal Meeting Required – the candidate is required, at a specified future date, to present an amended proposal, taking into account feedback from the committee.

An approval document, provided by the Graduate Program Staff Assistant prior to the meeting, must be signed by all committee members and returned to the staff assistant.

Any major changes to the scope of the research described in the dissertation should be discussed in a subsequent meeting of the entire dissertation committee.

KINES 600/601/610/611 Dissertation Credits

KINES 600 is a variable credit course for students in full time residence at University Park Campus devoting time toward the research and writing of their dissertation. KINES 610 is a variable credit course for students not in residence at University Park Campus and devoting time toward the research and writing of their dissertation. No more than 12 credits of dissertation research (600/610) may be assigned a quality letter grade. Any credits over this maximum must be changed to an "R" before a student will be permitted to graduate.

KINES 601 and 611 do not carry academic credit and may only be scheduled after the successful completion of the Comprehensive Examination and the two-semester residency requirement. KINES 601 is taken by students who are in full time residence and devoting their efforts entirely to the completion of research and writing of the dissertation. KINES 611 is taken by students who are not in residence at the University Park Campus and devoting part time to the completion of the research and writing of the dissertation.

A Ph.D. candidate must have continuous registration each semester (excluding summers) beginning with the semester following the passing of the comprehensive examination until the final oral examination is passed. Students must be registered the semester of both the comprehensive exam and final oral examination even if taken during the Summer Session.

Intent to Graduate

At the beginning of the semester when graduation will occur, each student is required to use the appropriate e-lion application to activate the graduation process (<https://elion.psu.edu>). If the student does not meet all graduation requirements in the semester as expected, the activation process must be repeated in the next semester when graduation is intended. The deadline for activation usually is three weeks after the beginning of the semester. The student is responsible for meeting the graduation/thesis deadlines. A semester calendar can be consulted at the Department of Kinesiology Graduate Program Office and on line at <http://www.gradsch.psu.edu/calendar/>.

Dissertation and Final Oral Examination

The complete Graduate School *Thesis Guide* is available from the Graduate School or online at: <http://www.gradsch.psu.edu/current/thesis.html>

A final public oral examination is given by the student's Ph.D. committee members and will cover the dissertation and knowledge of areas related to the student's specialization. This examination must occur at least three months after the date of the comprehensive examination. The oral examination must occur within six years of passing the comprehensive examination, if this is not the case the student will be required to re-take the comprehensive examination. The ability to do independent research and achieve competence in scholarly exposition must be demonstrated by the preparation of a dissertation on some topic related to the area of study. It should represent a significant contribution to knowledge, be presented in a scholarly manner, reveal an ability on the part of the doctoral candidate to do independent research of high quality, and indicate considerable knowledge of research methodology and techniques. The examination is scheduled for a two-hour period of time.

The Ph.D. candidate is responsible for contacting each Ph.D. committee member and scheduling a mutually convenient time for the Final Oral Examination. At least three weeks prior to the date of the examination, the candidate must notify the Kinesiology Graduate Program Staff Assistant so that the appropriate paperwork is filed with the Graduate School. The Graduate School confirms the student's eligibility to sit for the Final Oral Examination and notifies the Kinesiology Graduate Program Office accordingly. The Graduate Program Office forwards the Graduate School's Final Oral Examination authorization to each of the student's Ph.D. Committee members. In addition, the Graduate Program Office will supply each Ph.D. Committee member with an updated student Penn State Transcript.

The candidate is responsible for delivering the dissertation to the Ph.D. Committee members no less than two weeks prior to the scheduled dissertation defense (this is a University regulation).

Dissertation Submission

All Thesis Signatory Pages must be **typed** and submitted to the Kinesiology Department Graduate Program Staff Assistant prior to the Graduate School deadline for the signature of the Program Director or Department Head. On determination that corrections have been made as required by the Committee, the signatory page, already bearing signatures of other committee members, will be signed by the Program Director or Department Head.

Copies of Dissertation

In addition to a copy of your dissertation submitted to the Graduate School Thesis Office, it is customary to provide a complimentary copy to each member of your Committee in recognition of the assistance provided during the course of the research.

Exit Interview

Ph.D. candidates need to make an appointment with the Graduate Program Director for an exit interview after their defense. In addition, students are encouraged to provide the Kinesiology Graduate Program Staff Assistant with information regarding their immediate employment plans and forwarding address upon graduation.

Time Limitation for the Ph.D. Degree

All requirements, including the defense of the dissertation, must be met within eight years of admission to degree status (i.e. after passing the candidacy examination). Refer to the *Graduate Degree Programs Bulletin* for more information.

Research Policies

It is important that all research is conducted with highest possible standards; please see Appendix B for guidelines.

Prior to research using animals the Institutional Animal Care and Use Committee's (IACUC) web-based basic training program must be completed, this includes a web-based test that must be passed. This training course explains the care and use of animals involved in any university activity, whether these animals are dead or alive.

Prior to research using humans the Office of Research Protection web-based basic training program for the use of human participants involved in any University research project must be completed. This training includes a web-based test that must be passed. This training course has been mandated by Federal regulations; it provides information on topics such as laws and regulations, guidelines, responsibilities, resources, when conducting research on humans.

For certain studies, training associated with the Health Insurance Portability Accountability Act (HIPAA) must be completed. This training is required for research with human participants where data is obtained from a third party source such as a physician's office, hospital, or clinic that treated a subject.

The Office of Research Protection can provide guidance in planning studies to ensure all University and Federal regulations and guidelines are met. This office also provides the training courses. Their web address is <http://www.research.psu.edu/orp/>.

The initiation of any study involving animals of humans is contingent upon the approval of the appropriate committee of the Office of Research Protection, and all personnel having completed the appropriate training program from the Office of Research Protection.

LOGISTICS

The following are some general logistics. Please check with your respective laboratory or research group about any specific policies they might have regarding the topics discussed in succeeding paragraphs.

Address and Telephone Updates

You should immediately notify the Kinesiology Graduate Program Staff Assistant with a change of address and phone number. This is necessary in order to receive correspondence from the Department in a timely manner. Also, in case of an emergency, it will save time in trying to reach you. It will also be necessary to complete a new W4 form, which can be obtained from Department of Kinesiology Graduate Program Office.

Bicycle and Moped Registration

Please consult the following web site for information about registration:

<http://www.transportation.psu.edu/>

or *contact the Parking Office, 1 Eisenhower Parking Deck, 814-865-1436*. Any person bringing a bicycle or moped on any campus of the University shall register the bicycle/moped and obtain a permit. Bicycles/mopeds registered by the Borough of State College are valid on the University Park Campus. Also, the University Park issued permits are valid in the Borough of State College. This is by reciprocal agreement and identical permits are issued. Upon expiration of the permit, the bicycle/moped must be re-registered.

Motor Vehicle Registration/Parking Permit

Please consult the following web site for information about permits:

<http://www.transportation.psu.edu/>

or *contact the Parking Office, 1 Eisenhower Parking Deck, 814-865-1436*. All students wishing to use parking facilities at University Park campus must register the vehicle with the Parking Office and, while parked on campus, display an authorized parking permit on the vehicle. Vehicles must be registered by the first day of class each semester or by first business day following arrival on campus.

Copying

Any copying done for a class you are conducting or assisting with should be done on the Department of Kinesiology copiers located in 266 Recreation Building. You are strongly encouraged to make your own copies whenever possible. Please allow ample time for processing large jobs, especially during peak times such as the start and end of each semester. Material to be copied in connection with a student's personal coursework and/or thesis is the responsibility of the student and is not to be done on departmental equipment.

Desk and Office Space

Usually students who are on departmental assistantships have a desk area to facilitate their teaching needs. Please see the Kinesiology Graduate Program Staff Assistant for more details.

Keys

Keys will be issued with approval from the appropriate faculty member. Most keys are issued by the KPAP Administrative Support Assistant in 276 Recreation Building, 814-863-0353.

Mailboxes

Mailboxes are provided for all Kinesiology graduate students in 266 Recreation Building. Biomechanics Laboratory and Noll Laboratory also have additional mailboxes for students.

Office Supplies

Office supplies are not provided by the Department of Kinesiology for student use. If you are a graduate assistant, basic supplies are available for use in your teaching responsibilities (e.g., paper, pens, grade book, etc.). If you have any questions, see the Kinesiology Graduate Staff Assistant.

Postage

The student is responsible for postage for any personal correspondence mailed from the department. In the case of material mailed for research purposes, arrangements must be made through the Kinesiology Department Administrative Assistant prior to the mailing. In most cases postage expense for research would be covered under a research contract or grant.

Student Identification Cards (id+)

New students have until the end of the first semester/session of registration to obtain an id+ card. Failure to do so within the first semester/session of registration could result in being assessed a replacement fee for the card. Students are required to carry the Penn State id+ card at all times for purposes of identification. The University Park ID office is located in 103 Hetzel Union Building (HUB). You must have valid identification with you (e.g., photo driver's license, passport, or military ID) in order to have your photo id+ issued.

Travel/Conference Registrations

Graduate students can apply for one departmental Travel Grant each academic year to assist in the costs of travel to professional meetings. Application forms are available in 275 Recreation Building or from the Kinesiology Graduate Staff Assistant.

Conference registration fees for which reimbursement will be requested must be paid using a Penn State purchasing card. Most faculty with grants have these cards. Otherwise, work with the Accounting Staff Assistant to have your registration paid on the department's purchasing card.

For any travel where any portion of the costs will be reimbursed by Penn State funds (grant or department funds), the travel arrangements must be made through a Penn State approved agency (Penn State Travel Services, Centre For Travel, or E-Travco). Please check with the Accounting Staff Assistant before making any travel arrangements on your own to be sure correct procedures are being followed, otherwise reimbursement may not be possible.

APPENDIX A

English Competency

WRITTEN EXPRESSION RATING SCALE

Definition of Written Expression of English - the ability to use words correctly and appropriately, to adequately organize ideas and information in a written format, to present ideas clearly and concisely, and to utilize grammar, spelling, and punctuation which does not interfere with effective written communication.

OUTSTANDING (5)

- The written report was well-organized and important ideas about the topic were included.
 - Information was presented clearly and concisely.
 - Sentences were complete, grammatical, and followed a logical order.
 - There were very few spelling or vocabulary errors, and punctuation was used appropriately.
 - The written report was very easy to understand.
-

EXCEEDS STANDARDS (4)

- The written report was well-organized and several important ideas about the topic were included.
 - Information was usually presented clearly and concisely, but sometimes the candidate did ramble or restate information unnecessarily.
 - Sentences were usually complete, grammatical, and followed a logical order, though there may have been occasional errors in grammar.
 - There were occasional errors in spelling, vocabulary, and punctuation; however, they did not interfere with communication.
 - The written report was easy to understand.
-

MEETS COMPETENCY STANDARDS (3)

- The written report was lengthier than necessary, but generally to the point.
 - There were some digressions in presentation of information. The candidate occasionally rambled or restated information before getting to the point.
 - Sentences were usually complete, although there were occasional errors in grammar. Sentences usually followed a logical order, though there were some inconsistencies.
 - There were errors in spelling, vocabulary and punctuation; however, they did not interfere with effective written communication.
 - It was possible to understand the written report on most points.
-

BELOW STANDARDS (2)

- Portions of the written report contained gaps making it difficult to understand. The writing was either too brief (not adequately covering the information) or too long (over-emphasizing trivial aspects).
 - There were many digressions, and the information was not well-organized.
 - Sentences were incomplete and contained many grammatical errors. Sentences did not follow a logical order, the main points were unclear.
 - There were errors in spelling, vocabulary, and punctuation which made the written report difficult to understand.
 - Effort was required to understand the content of the written report.
-

POOR (1)

- The written report contained many gaps, making it difficult to understand.
 - Sentences were disjointed, making it difficult to understand the information presented.
 - Sentences were ungrammatical and did not follow any logical order making the report very difficult to follow.
 - There were errors in spelling, vocabulary, and punctuation which made the written report difficult to understand.
 - It was extremely difficult to understand the contents of the written report.
-

APPENDIX B

English Competency

VERBAL EXPRESSION RATING SCALE

Definition of Verbal Expression of English - the ability to use words correctly and appropriately, to adequately organize ideas and information during verbal communication, to present ideas clearly and concisely, and to utilize grammar which does not interfere with effective communication.

OUTSTANDING (5)

- The report was well-organized and important ideas about the topic were included.
 - Information was presented clearly and concisely.
 - Sentences were complete, grammatical, and followed a logical order.
 - The report was very easy to understand.
-

EXCEEDS STANDARDS (4)

- The report was well-organized and several important ideas about the topic were conveyed.
 - Information was usually presented clearly and concisely, but sometimes the candidate did ramble or restate information unnecessarily.
 - Sentences were usually complete, grammatical, and followed a logical order, though there may have been occasional errors in grammar.
 - The report was easy to understand.
-

MEETS COMPETENCY STANDARDS (3)

- The report was generally to the point.
 - There were some digressions in presentation of information. The candidate occasionally rambled or restated information before getting to the point.
 - Sentences were usually complete, although there were occasional errors in grammar.
 - Sentences usually followed a logical order.
 - It was possible to understand the report on most points.
-

BELOW STANDARDS (2)

- The report contained gaps making it difficult to understand.
 - There were many digressions and the information was not well-organized.
 - Sentences were incomplete and contained many grammatical errors. Sentences did not follow a logical order; the main points were unclear.
 - Effort was required to understand the ideas and logic (hesitation, "um-m's", etc.).
-

POOR (1)

- The report contained many gaps (hesitation, "um-m's", etc.) making it difficult to understand.
 - Sentences were disjointed, making it difficult to understand the information presented.
 - Sentences were ungrammatical and did not follow any logical order making the report very difficult to follow.
 - It was extremely difficult to follow the ideas and logic being conveyed.
-

APPENDIX C

Co-authorship of Scholarly Reports, Papers and Publications (Intellectual Property IP02)

Purpose:

It is the policy of The Pennsylvania State University that proper credit be given to those individuals who make material contributions to activities which lead to scholarly reports, papers and publications

Guidelines:

Rigid prescriptive requirements in this area are considered unwise, because the situation with respect to co-authorship varies from one discipline to another and from one publication to another. Nevertheless, it is recommended that the authors of scholarly reports, papers and publications abide by the following principles regarding co-authorship.

1. Co-authorship should be offered to anyone who has clearly made a material contribution to the work.
Moreover, each coauthor should be furnished with a copy of the manuscript before it is submitted, and allowed an opportunity to review it prior to submission. An author submitting a paper, report or publication should never include the name of a coauthor without the person's consent. Exceptional circumstances, such as death or inability to locate a coauthor, should be handled on a case by case basis. In cases where the contribution may have been marginal, an acknowledgment of the contribution in the publication might be more appropriate than co-authorship.
2. In cases of theses for advanced degrees, if any publication derived from the thesis is not published with the degree recipient as sole author, then that person should be listed as coauthor. In no instance should publications derived from a thesis be published under the sole authorship of the thesis adviser.
3. Anyone accepting co-authorship of a paper must realize that this action implies a responsibility as well as a privilege. As a general rule, each coauthor should understand the content of the publication well enough to be able to take responsibility for all of it; otherwise, the publication should clearly indicate the parts of which each coauthor has responsibility. If a potential coauthor has doubts concerning the correctness of the content or conclusions of a publication, and if these doubts cannot be dispelled by consultation with the other coauthors, the individual should decline co-authorship.

Further information:

For questions, additional detail, or to request changes to this policy, please contact the Office of the Vice President for Research and Dean of the Graduate School.

Cross References:

Other policies may also be referenced, especially the following:

AD47 - General Standards of Professional Ethics.

Effective Date: January 7, 2013

Date Approved: September 14, 2012

Date Published: January 7, 2013 (Editorial changes- December 20, 2013)

Most Recent Changes:

- December 20, 2013 - Editorial change in CROSS REFERENCES section. RA10, *Addressing Allegations of Research Misconduct*, has been removed. Revisions to RA10 make it no longer applicable to this particular IP policy as a cross reference.

Revision History (and effective dates):

- October 25, 2013 - Editorial changes. Addition of policy steward information, in the event that there are questions or requests for changes to the policy.
- January 7, 2013- Policy moved from the Research Administration (RA13) section to the new Intellectual Property section (IP02). Same name and verbiage was retained.
- February 25, 2010 - Minor editorial changes made throughout the policy.
- May 23, 2007 - Revisions to Guideline #2, to clarify publishing particulars involving theses for advanced degrees.
- February 20, 1998 - Relocated and renumbered Policy RA13 from AD48, and updated RA10 location.

APPENDIX D

The Responsible Conduct of Research (University Guideline RA16)

Purpose:

The Pennsylvania State University is committed to fostering integrity in the conduct of research. All members of the research community, including faculty, research staff, students, fellows, adjunct faculty, and visiting researchers, are expected to adhere to the highest ethical and professional standards as they pursue research activities to further scientific understanding.

The goal of the Guidelines is to offer a set of values, principles, and standards to guide decision-making and conduct throughout the research process. It is not intended to provide a set of rules that prescribe how researchers should act in all situations. Rather, the Guidelines are intended to increase awareness of research integrity and outline the University's expectations for ethical behavior amongst all researchers.

The Guidelines discussed are not mutually exclusive. There are many circumstances when many of them apply to a single project or activity. The risks of non-adherence to the Guidelines can be both personally and institutionally great. Potential consequences of non-adherence are outlined in the University policies that form the foundation for these Guidelines.

Guiding Principles:

The Code of Conduct prescribes standards of work performance and ethical conduct expected of all persons engaged in research at The Pennsylvania State University based upon the following guiding principles:

- a. Research is the pursuit of truth in the advancement of knowledge
- b. Researchers should, in all aspects of research-
 - i. Demonstrate integrity and professionalism;
 - ii. Observe fairness and equity;
 - iii. Disclose and appropriately manage all conflicts of interest;
 - iv. Ensure the rights, safety, and dignity of those associated with research; and
 - v. Comply with all legal, regulatory, and ethical requirements established by the University, regulatory bodies, funding sources, and professional organizations.
- c. Research methods and results should be open to scrutiny and debate.

I. Data Management and Data Integrity

Data integrity depends on the proper and ethical collection, representation, and retention of data. Falsification or fabrication of one's own data and unacknowledged use of data generated by others are unacceptable behaviors and constitute misconduct. The University maintains ownership of all data collected from research conducted at the University, under the auspices of the University, or with University resources, subject to restrictions stipulated in University-approved agreements with sponsors and other third parties.

Guidelines:

- a. Accept primary responsibility for data collection, proper attribution, recording, storage, retention, and disposal or transfer to University Archives, as appropriate.
- b. Scrupulously record data in a form that is easily accessible for analysis and review and, if the research is supported by external funding, readily identifiable with and traceable to the sponsored project.
- c. Maintain the privacy of data as required by confidentiality agreements and regulations.
- d. Make data immediately available to scientific supervisors and collaborators, as confidentiality agreements permit.

- e. Post-publication, share data with other interested researchers who seek to verify and/or complement existing research.
- f. Maintain research data intact, preferably in original form, in accordance with University or sponsor's retention requirements or for a sufficient amount of time to allow for analysis of published results by other researchers, optimally a minimum of five years after publication.

II. Responsible Authorship

Authorship is the process by which the results of original research are translated to published form to facilitate the communication of new knowledge to the professional community. Thus, the integrity of the scholarly record is of paramount concern to the research community. See University Policy [RA13](#).

Guidelines:

- a. Attest to the originality of work.
- b. Assign credit appropriately in publications by citing relevant work of others.
- c. Discuss and resolve issues of authorship before beginning a study or as they arise during a study.
- d. Assign appropriate credit in publications to all those who have contributed significantly to the research process, including research staff, students, and support staff. See PSU Policy [RA13](#) for further clarification on co-authorship.
- e. Confirm that all coauthors willingly agree to be listed as coauthors of publications and to assume responsibility for the accuracy and integrity of their contributions.
- f. Actively involve all coauthors in reviewing and verifying any and all parts of the manuscript.
- g. Identify a primary author to be responsible for the validity of the entire manuscript and for assuring that all contributions are appropriately recognized.
- h. Avoid honorary authorship, which is the practice of subscribing authorship to an individual who has not made a substantial contribution to a manuscript. Instead, utilize alternative forms of acknowledgment as allowed by the publication venue.
- i. Include information in the publication on the sources of financial support for the research. Be cautious of financial sponsorship that prohibits the naming of the sponsor in publication.

III. Dissemination of Research

The University strongly upholds principles of academic freedom, and as an institution serving the public, encourages every effort to ensure that research conducted under the auspices of the University can be freely pursued and disseminated. Researchers are urged to be aware of overtly commercialized research that attempts to place boundaries on academic freedom to pursue research for the good of society and to make research results available to the general public. However, the nature of some research, particularly industrial and defense-related research, does present some circumstances where it may be appropriate and necessary for restrictions to be placed on dissemination. Where such situations are warranted, researchers should practice caution and abide by the following guidelines.

Guidelines:

- a. Conduct classified research only in the Applied Research Laboratory.
- b. Maintain the secrecy of classified research.
- c. Maintain the confidentiality of proprietary information that has been provided to enable research.
- d. Refrain from publishing or otherwise disseminating research related to inventions until appropriate disclosure filings are made to protect your intellectual property.
- e. Abide by export control regulations that can place legal restrictions on the ability to publish or present.
- f. Refrain from disseminating research that may result in future harm to the public.

IV. Publication Practices

Timely communication of research results is the primary method for the public dissemination of new knowledge, which is necessary for fostering growth in a professional field. As such, researchers have the responsibility to communicate research results to the scholarly community. Both the reputation and the growth of a profession depend upon three key values: 1) openness in communication, 2) honesty in reporting results and methods, and 3) fairness in apportioning credit. All investigators are obligated to uphold these values.

Guidelines:

- a. Include sufficient information in publications to enable others to replicate the results or otherwise scientifically validate the research.
- b. Avoid simultaneous submission of the same abstract or manuscript to multiple journals.
- c. Avoid fragmentary publication or multiple publications of highly similar research findings based on the same data set.
- d. Acknowledge any sources of financial support for the research and disclose any conflicts of interest in publications.

V. Peer Review

Peer review is an essential part of the research process. Peer review helps ensure that research has been carried out in an effective manner and will make a significant, timely contribution to the field. Researchers of all fields may find themselves in the position to offer peer review, and the obligation should be thought of as an additional way to contribute to the profession. The review process must be conducted according to the highest professional standards to ensure continuing widespread confidence in the peer review system.

Guideline:

- a. Review only manuscripts and grant applications on a subject matter of personal expertise and return a thoughtful review.
- b. Disclose real or perceived conflicts of interest. Identification of a conflict of interest may require a decision to remove oneself from the review process.
- c. Base a review objectively within the context of published information. Offer positively constructive comments rather than confrontational remarks.
- d. Retain the confidentiality of all manuscript and grant application contents, as both contain privileged information.

VI. Collaborative Research

Collaborative research affords many opportunities to significantly expand research in response to more detailed questions by sharing expertise and resources. Researchers are encouraged to partake in collaborative research within the institution as well as across institutions, keeping in mind that all of the guidelines for research put forth are applicable to collaborative projects. Noncompliance by any single individual contributing to collaborative research may have negative repercussions for the entire research team.

Guidelines:

- a. Ensure all those involved confirm their compliance with applicable regulations and policies of all institutions and professional standards.
- b. Abide by export control regulations that can place legal restrictions on the ability to publish or present.
- c. Ensure collaborators adhere to all grant management regulations and contractual obligations.
- d. Discuss and agree to authorship guidelines for the project.
- e. Advise collaborators of institutional policies for intellectual property and requirements for protecting privileged work invented in the course of the collaboration.

- f. Disclose all real or perceived conflicts of interest with collaborators prior to embarking on collaboration.

VII. Financial Conflict of Interest

Conflict of interest occurs when a researcher uses his/her position, relationships, and reputation for personal gain or for the profit of a family member. Real or perceived conflict of interest can be detrimental to the research process in that it may lead some researchers to inappropriately influence a research study or results. The existence of a financial relationship does not necessarily lead to inappropriate actions. Consequently, it is important for researchers to disclose all relevant financial relationships. See University Policies: [RA05](#), [RA12](#), [HR91](#), and [RA20](#).

Guidelines:

- a. Disclose all potential significant conflicts of interest to:
 - a. the University Conflict of Interest Committee prior to the submission of proposals or initiation of sponsored projects or at least annually or as changes in status occur.
 - b. funding agencies when submitting funding applications.
 - c. journal editors when submitting manuscripts for publication or acting as a peer reviewer.
 - d. meeting organizers prior to delivering a scholarly presentation.
 - e. the Institutional Review Board, when applicable.
- b. Attempt to eliminate significant conflicts of interest and appropriately manage those that cannot be eliminated.

VIII. Conflict of Commitment

Conflict of commitment occurs when demands on time and/or effort made by non-institutional entities or persons interfere with primary professional responsibilities to the University. Avoiding irresponsible conflicts of commitment is essential for supporting credibility and accountability, providing sound stewardship of University resources, increasing trust among members of the University community, protecting researchers and the University from litigation, and for maintaining mission focus and academic freedom. The University allows and encourages extra-university research activities as long as such activities support the mission of the University and do not compete with the University. To avoid the appearance of unethical conflicts of commitment, researchers should disclose all potential conflicts to academic supervisors. See University Policy [RA12](#).

Guidelines:

- a. Attempt to effectively manage time and effort commitments that may detract from University obligations.
- b. Disclose all potential conflicts of commitment that arise from activities such as consulting, external teaching, privately-funded research, and start-up companies.

IX. Fiscal Responsibility

Accurately managing research funds contributes to the fiscally sound and ethically responsible conduct of research. Managing project budgets and effort responsibly contributes to the legitimacy of the overall research project. See University Policies [RA01](#), [RA03](#), [RA04](#), [RA06](#), and [RA08](#).

Guidelines:

- a. Understand that grants, contracts, and gifts are awarded to the University, rather than to individuals employed by the University.
- b. Effectively manage research-appropriated funds to ensure all costs incurred on a project are reasonable, allowable, and allocable.
- c. Comply with all terms and conditions imposed by the financial sponsor.

- d. Initiate all required approvals for budgetary and programmatic changes that may be necessary during a project.
- e. Comply with University purchasing and travel policies as well as all sponsor regulations.
- f. Submit effort certifications for all projects annually, but review effort assignments monthly to avoid unallowed expenses for federally funded projects in particular.

X. Responsibilities of Research Supervisors

Mentoring young researchers in the technical as well as ethical aspects of research is a significant responsibility. Research supervisors have the rewarding and unique opportunity to inform, instruct, and set an example for the responsible conduct of research. However, researchers should be cognizant of ethical issues related to the supervision of research trainees such as the potential abuse of power over those who are dependent for financial, academic, and emotional support; conflicts of commitment between the productivity of the supervisor's research and the trainee's academic progress; and financial conflicts of interest created by assigning research trainees to projects in which the supervisor stands to gain financially.

Guidelines:

- a. Ensure the scientific integrity of all work stemming from one's research group.
- b. Provide supervision, guidance, and example to trainees to further their academic, technical, and professional development.
- c. Provide oversight of experimental procedures including study design and data collection, validity, reporting, and retention.
- d. Instruct graduate students, post doctoral fellows, and other research assistants on all relevant regulations, university policies, and university procedures for research with humans, animals, and/or hazardous materials.
- e. Ensure the proper fiscal management and conduct of the project.
- f. Oversee the preparation and submission of technical reports and any other required deliverables.

XI. Research with Human Participants

The conduct of research with human participants is highly regulated and is guided by ethical considerations. First and foremost, researchers should be cognizant of the fact that research with human participants is a privilege, not a right stemming from Academic Freedom. Researchers are obligated to conduct research with human participants in such a way as to minimize any risks or harm to participants. The Institutional Review Board (IRB) review and approval process is in place to ensure that all research with human participants adheres to this mandate. See University Policies [RA14](#) and [RA22](#).

Guidelines:

- a. Minimize risk to participants and ensure that research is justified by maximizing potential benefits.
- b. Obtain informed consent of participants throughout the duration of the research as appropriate.
- c. Ensure the safety and privacy of all participants, as well as the confidentiality of all information.
- d. Employ additional safeguards when vulnerable populations are involved.
- e. Obtain written IRB approval for research prior to contact with human participants.
- f. Adhere to all relevant federal regulations.

XII. Research with Animal Subjects

Research involving animals must be humane and meet normative standards of conduct. Animal researchers are duty-bound to conduct their research ethically and humanely. Researchers should

be cognizant of the fact that the use of animals in research is a privilege, not a right stemming from Academic Freedom. See University Policy [RA15](#).

Guidelines:

- a. Ensure all research associates working with animals are adequately evaluated according to the Animal Care and Use Occupational Health and Safety program, trained and supervised.
- b. Identify how the research will benefit animals or human kind.
- c. Minimize the number of animals involved in a research study to include only the number necessary to ensure the integrity of the research.
- d. Design protocols to avoid or minimize discomfort, distress, and pain, using appropriate pain medication where appropriate.
- e. Obtain written approval of research from the Institutional Animal Care and Use Committee (IACUC) prior to the commencement of any research or teaching with animals.
- f. Adhere to the IACUC-approved protocol throughout the study.
- g. Conduct all research activities in accordance with University policy, the Animal Welfare Act, the Public Health Service Policy on Humane Care and Use of Laboratory Animals, the Guide for Care and Use of Laboratory Animals, and U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Teaching, Research, and Training.

XIII. Research Involving Hazardous Materials and Potential Safety Hazards

Research involving biohazardous, radioactive and other hazardous materials, such as chemicals, if, improperly handled, has the potential to pose a threat to researchers, the Penn State community, and society at large. Additionally, other potential safety hazards may exist in the research environment and measures need to be in-place to prevent injury or negative impacts. It is essential that an organizational structure for safety be established and followed so that safe processes are integral with daily activities. See University Policy [SY01](#).

Supervisor Responsibilities:

All supervisors (department chairs, faculty, and other employees with direct oversight of University activities) have specific responsibilities to provide for the health and safety of those supervised.

- a. Be thoroughly informed of appropriate University and Departmental safety policies, rules and procedures and how they specifically apply to your responsibilities and authority.
- b. Ensure all employees and students understand and abide by relevant safety and health policies, rules, regulations, and procedures.
- c. Provide and maintain required safety equipment, devices and personal protective equipment and apparel. Ensure proper usage.
- d. Provide instruction and assistance in the proper operation of equipment or materials that may be potentially hazardous.
- e. Encourage reporting of health and safety concerns. Take prompt, corrective action when unsafe conditions, practices or equipment are reported or observed.
- f. Conduct a thorough investigation in all work-related injuries, illnesses and accidents, submit appropriate recommendations on all accident reports, and follow through to ensure corrective measures have been implemented.
- g. Coordinate or conduct inspections to maintain safe and healthful conditions, and address any deficiencies that are identified.
- h. Provide for health and safety training.

Guidelines for Use Involving Biohazardous Materials:

The Institutional Biosafety Committee (IBC) and Environmental Health and Safety (EHS) exist to ensure compliance with regulations pertaining to the use of these materials. See University Policy [SY24](#).

- a. Submit any research or teaching involving the use of genetically modified materials (recombinant DNA); infectious agents; human blood, tissues, or unpreserved body fluids;

Select Agents, or USDA regulated agents to the Institutional Biosafety Committee for review and written approval prior to conducting the activities.

- b. Ensure all laboratory work areas have current and protocol appropriate inspections by Environmental Health and Safety.
- c. Ensure all research personnel are properly trained and supervised for handling biologic and chemical materials to which they may be exposed.
- d. Dispose of all biological hazards and chemical materials according to established regulations.
- e. Conduct all research activities in accordance with relevant University polices, federal regulations, and state laws.

Guidelines for Use of Radioactive Materials:

The University Isotope Committee (UIC) and Environmental Health and Safety (EHS) exist to ensure compliance with radiation rules and procedures. See University Policy [SY14](#).

- a. Obtain written authorization from the University Isotope Committee prior to beginning research utilizing radioactive materials.
- b. Acquire all radioactive research materials through Environmental Health and Safety.
- c. Ensure the proper containment of radioactive materials being utilized in work areas.
- d. Ensure all research associates and technicians working with radioactive materials are properly trained by EHS.
- e. Immediately report radioactive material spills or exposure to the environment.
- f. Dispose of all radioactive materials according to established regulations.
- g. Conduct all research activities in accordance with all relevant University policies, federal regulations, and state laws.

Guidelines for Use of Radiation-Producing Equipment:

The use of radiation-producing equipment such as x-rays poses a potential serious hazard to those individuals exposed. It is also regulated by federal and state agencies. See University Policy [SY15](#).

- a. Consult with EHS as early as possible prior to ordering or installing any radiation-producing equipment.
- b. Arrange to have newly installed systems inspected by EHS for required labeling, safety devices, radiation levels, and evaluation of the system location to assure user and non-user safety.
- c. Prepare written operating procedures for the use of all radiation-producing instruments and review them with the user(s).
- d. Inform EHS prior to the transfer of the equipment or when a system is permanently removed from service and is to be either disposed of or used for parts.
- e. Contact EHS for guidance on proper disposal.

Concluding Statement:

The responsible conduct of research is essential for promoting public trust in research and in the University. The University expects that all research and other scholarly activities be conducted according to the highest ethical standards and guidelines. The personal and institutional consequences associated with unethical conduct can be significant. The risks of non-adherence to the guidelines stated here can include fines, loss of privileges to conduct particular types of research, loss of funding or the inability to apply for certain types of funding in the future, damaged reputation, disbarment from a federal agency, and dismissal from the University. As is stated in Policy [RA10](#), the University will take all necessary actions to ensure the integrity of research and scholarly work.

Effective Date: December 3, 2003

Date Approved: December 1, 2003

Date Published: December 2, 2003

APPENDIX E

Diversity in the Department of Kinesiology

The Department of Kinesiology at Penn State University focuses on the basic and applied science of human movement and application of this science to health and education. The department is committed to providing outstanding instruction and educational opportunities for our students; discovering and disseminating new knowledge about physical activity, exercise, and human movement and its relationship to human health and disease; and providing outstanding service and outreach to the field of kinesiology and our community.

The Department of Kinesiology values diversity in all of its forms. Learning about kinesiology involves developing an appreciation for people from different backgrounds, understanding movement from a wide-range of perspectives, and fostering diverse types of thinking. Department faculty expertise reflects considerable breadth and diversity.

Within the Department faculty teaching and research interests touch on biomechanical, historical, neuromotor, pedagogical, philosophical, physiological, psychological, and sociocultural perspectives of human movement, physical activity, and exercise. The Department is one of nine academic units in the College of Health and Human Development, an innovative college focusing on human health and well being throughout the lifespan. The college features a blend of disciplines that address life quality issues in a comprehensive way.

The following is a list of resources at Penn State which endeavor to foster diversity in its many aspects.

Affirmative Action Office/Diversity Support and Education Center:

- The Affirmative Action Office offers assistance with managing diverse classrooms and workplaces and educational programs on all aspects of diversity through the Diversity Support and Education Center. Concerns regarding possible discrimination based on age, ancestry, color, disability or handicap, national origin, race, religious creed, sex, including sexual harassment, sexual orientation or veteran status may be discussed with staff in the office. For more information contact 814-863-0471 or visit this website, <http://www.psu.edu/dept/aaoffice/>

Center for Adult Learner Services:

- The center helps prospective and enrolled adult learners in three ways. Adults interested in beginning or resuming college student can obtain admission and financial aid materials and education information. Enrolled adults are helped to make the transition to student status by using the center's lounge, study area, and kitchenette; attending orientation, computer, stress management, and other programs; and meeting with staff. Lastly, staff advocate for and with adult learners to improve the University climate for adults. For more information contact 814-863-7378 or visit this website, www.sa.psu.edu/adultlearners

Center for Women Students (CWS):

- The center provides educational programming, counseling services, information materials, and referrals on numerous women's issues, including "chilly" classroom/campus climate, institutionalized sexism, sex-based discrimination, gender harassment, and violence against women. The CWS is also involved in women's advocacy and related efforts to make the academic community aware of and responsive to, women students' concerns. As part of its services, the center maintains an extensive library of reading materials pertaining to women's topics and numerous audio-visual holdings, which may be reserved for classroom use. For more information contact 814-863-2027 or visit this website, <http://www.sa.psu.edu/cws/mission.shtml>

Commission for Women:

- The Commission for Women has identified areas of concern for the women employees and students of Penn State. It is a forum for exchanging ideas that can translate into improved practices to support women. The Commission for Women examines and makes recommendations about issues that affect women employees and students, including workplace and classroom climate; recruitment, advancement, and retention; professional development and recognition; mentoring; maternity and child/elderly-care policies; salary equity; intercollegiate athletics; collaborates with departments/organizations in support of gender-equity initiatives; recognizes and celebrates the contributions and achievements of women at Penn State. For more information contact 814-863-8493 or visit this website, <http://www.equity.psu.edu/cfw/>

Office of the Vice Provost for Educational Equity (OVPEE):

- The office of the Vice Provost for Education Equity offers resources for faculty on a variety of subjects dealing with diversity in the classroom, including videotapes that depict several scenarios dealing with diversity issues. Each video comes with a discussion guide or may be facilitated by staff from OVPEE. The following units within OVPEE provide additional support for faculty and students. For more information contact 814-865-5906 or visit this website, <http://www.equity.psu.edu/>

Commission of Lesbian, Gay & Bisexual Equity (CLGBE):

- The CLGBE offers several resources, including monthly discussions on lesbian, gay, bisexual, and transgendered topics; research forums for the presentation and discussion of lesbian, gay, and bisexual research by Penn State faculty; peer education classes for Penn State community; and a lecture series featuring speakers actively involved in LGBT issues. For more information contact 814-863-7696 or visit this website, <http://www.equity.psu.edu/clgbte/>

Lesbian, Gay, Bisexual, Transgender & Ally (LGBTQA) Student Resource Center:

- The LGBTQA Student Resource Center provides a comprehensive range of education, information and advocacy services. We work to create and maintain an open, safe and inclusive environment for lesbian, gay, bisexual and transgender students, staff, and faculty at the Pennsylvania State University. For more information contact 814-863-1248 or visit this website, <http://www.sa.psu.edu/lgbt/>

Commission on Racial/Ethnic Diversity (CORED):

- The Commission on Racial/Ethnic Diversity commits to lead and actively support university-wide diversity initiatives that foster teamwork, collaboration and communication among various racial and ethnic constituencies in order to ensure inclusion, equal opportunity, and success for underrepresented/underserved communities and community members of Penn State and the surrounding areas. For more information contact 814-863-7696 for visit this website, <http://www.equity.psu.edu/cored/>

Multicultural Resource Center (MRC):

- The Multicultural Resource Center (MRC) in 122 Grange provides professional counseling and educational services for African/Black American, Latino/Hispanic American, Asian and Pacific American, and American Indian/Alaskan Native undergraduate students. Its staff is dedicated to helping students succeed and graduate from Penn State. For more information contact 814-865-1773 or visit this website, <http://equity.psu.edu/mrc/>

Office for Disability Services (ODS):

- Faculty can contact ODS for assistance in teaching or testing students with disabilities. ODS will provide sign language interpreters or note-takers for deaf students. Lab assistants can be provided for students who physically have difficulty manipulating laboratory equipment. Test accommodations can be arranged, such as test proctors or readers for extended time exams. For more information contact 814-863-1807 or visit this website, <http://www.equity.psu.edu/ods/>

Office of Veterans Programs:

- The Office of Veterans Programs is organized as a comprehensive, direct service unit for veterans and VA benefit recipients. Four full-time professionals, a staff assistant, and approximately 20 student veterans who work part-time under the provisions of VA work-study provide programming and services in three major areas: outreach, certification and enrollment monitoring, and general counseling. For more information contact 814-863-0465 or visit this website, <http://www.equity.psu.edu/veterans/>

Women in the Sciences and Engineering (WISE) Institute:

- The Women in the Sciences and Engineering Institute represents an innovative approach to cross-disciplinary interaction among engineers, humanists, scientist, and social scientists to address the underrepresentation of women in the sciences and engineering at Penn State, national, and internationally. The Institute runs a variety of programs designed to improve the recruitment and retention of women in science and engineering fields. For more information contact 814-865-3342 or visit this website, <http://www.equity.psu.edu/wise/>

College Office of Diversity Enhancement Programs:

- The College of Health and Human Development Office of Diversity Enhancement Programs was established to facilitate the development of an infrastructure and climate that promotes and values diversity. The office works collaboratively with all administrative and academic units to achieve the ongoing strategic diversity mission of the College. A primary function of Diversity Enhancement Programs is to provide a broad range of direct student services for diverse undergraduate and graduate students which creates a supportive climate and leads to graduation. For more information contact 814-863-1291 or visit this website, <http://www.hhdev.psu.edu/student-services/diversity.html>

APPENDIX F

Guidelines for Graduate Assistant Paid Leaves

Introduction

Circumstances occasionally occur that prevent graduate assistants (GAs, including graduate teaching assistants, TAs, and graduate research assistants, RAs) from performing the duties of their appointment. Consistent with Penn State's continuous effort to support the personal and professional development of all members of our community, these guidelines seek to reduce the professional and personal stresses that can develop when graduate assistants encounter extenuating circumstances that warrant a temporary absence from their assistantship duties, while continuing their stipend and benefits. The purpose of this document is to outline how instances of personal and/or family illness, injury, childbirth or adoption for graduate assistants should be addressed by the unit funding the assistantship. These guidelines are intended to ensure that the student's stipend and benefits be maintained to the extent possible during an approved absence. In the cases of foreseeable events, the student should inform his/her assistantship supervisor as soon as the circumstances and dates of needed leave are known. For unforeseeable events, notification should be made as soon as possible once the need arises. These guidelines pertain only to issues related to the individual as a graduate assistant. Issues pertaining to the individual's status as a student and academic progress are addressed in the Graduate Degree Programs Bulletin

(http://bulletins.psu.edu/bulletins/whitebook/academic_procedures.cfm?section=procedures3)

Short-Term Absences

Short-term absences, typically less than one week duration, may be requested for a variety of reasons, including, but not limited to, recovery from a minor illness, illness of an immediate family member requiring care by the graduate assistant, or bereavement for the death of an immediate family member.¹ In these instances, the graduate assistant should make the request to his/her assistantship supervisor as promptly as possible, so that coverage of duties during the requested short-term absence can be addressed, if necessary. Reasonable requests for short-term absences should typically be approved with the stipend and health benefits maintained without requiring make-up time. All graduate assistants, regardless of appointment type or funding source, are eligible to request a short-term, paid leave. Approval for a short-term leave should be granted by the assistantship supervisor.

Extended Paid Leaves

For needed absences from his/her assistantship duties of longer than one week, a graduate assistant must request a formal, extended paid leave. To be eligible for an extended paid leave, a graduate assistant must:

- a. Be currently appointed on a quarter, half, or three quarter time assistantship.
- b. Be currently enrolled at the appropriate level. Credit load requirements are defined in http://bulletins.psu.edu/bulletins/whitebook/academic_procedures.cfm?section=procedures5
- c. Be in good academic standing as required by their program and the Graduate School. In cases where the assistantship is held outside the student's academic program, a written release must be provided by the student to allow this information to be released by the program.

¹ For the purpose of these guidelines, immediate family member is taken to be spouse or partner, parent, or child. A parent is the biological parent of the graduate assistant or an individual who stood in loco parentis to the graduate assistant when the graduate assistant was a child. Child shall include a biological, adopted, or foster child, a stepchild, a legal ward, or a child for which the graduate assistant is standing in loco parentis, who is under 18, or over 18 and incapable of self-care because of a mental or physical disability.

Procedures for requesting an extended paid leave are implemented at the college or campus level, but in general, the request for leave must be made to the head of the unit providing the assistantship, in consultation with the assistantship supervisor, the student's academic program, and the student's Associate Dean for Graduate Education. In most cases, graduate assistants who have been funded on restricted funds will receive their regular stipend from the respective grant or contract supporting the assistantship, during the period of extended leave, provided it is allowable by the sponsor. If the sponsor has terms and conditions that do not permit funding pursuant to this guideline, the unit in which the assistantship is held should fund the leave period from other sources whenever possible. Graduate assistants whose appointments are funded with General Funds by departments or other administrative units of the University should continue to receive their stipend from unit resources. If the appointing unit supports the request for extended paid leave but lacks the financial resources to fund the leave, as well as a replacement, the unit should first seek the additional funds from the College or larger administrative unit in which the graduate assistant is appointed. In the unlikely event such funds are not available, the appointing unit should consult with the College of the graduate assistant's academic program to identify a source of funding.

Graduate assistants who meet the requirements and are approved for an extended paid leave will be excused from their regular activities for a designated period of time and unless mutually agreed upon, graduate assistants will not be required to perform any duties for the duration of their absence. During this time, graduate assistants will continue to receive the same stipend and benefits as provided by their appointment immediately prior to their leave. Health care benefits, including health insurance, as previously applied to graduate assistants and their spouse/partner/dependents, will remain unchanged. In the event that the leave period includes an academic break included in the regular period of appointment, such as the winter break that occurs between fall and spring semesters for an academic year appointment, the leave period includes the academic break and cannot be extended by the length of the break.

A request for an extended paid leave may be denied for a number of reasons, including but not limited to inadequate documentation, repeated requests for short term paid absences or extended paid leaves, documented unsatisfactory performance, or incompatibility with funding source guidelines. In the event that the extended paid leave is denied and the assistantship is to be discontinued during an extended period of absence by the individual, he/she should be referred to the Student Insurance Office (320 Grange Building; (814 865-7467) for consultation regarding the implications of such discontinuation for his/her health insurance coverage, and of the mechanisms available for continuing coverage when the insurance provided by their stipend benefit is no longer in effect.

Illness/Injury (e.g. Personal illness or injury, Care of an immediate family member)

If a graduate assistant is unable to fulfill the duties of his/her assistantship appointment because of illness, injury, or needing to care for an immediate family member, so as to require an extended paid leave, the graduate assistant must submit a written request to his/her immediate supervisor, who will immediately forward it to the responsible individual within the appointing unit. The request must be made by the student as soon as it is known that an extended leave will be required, and should be accompanied by a written certification of illness from a health care provider and written permission by the graduate assistant for the Director of University Health Services to contact the certifying health care provider, if needed.

The decision to approve/deny the leave of absence is made by the appointing unit after appropriate consultation with the assistantship supervisor and the graduate assistant's academic program and Associate Dean for Graduate Education. The appointing unit will notify the graduate assistant, the graduate assistant's academic program, Associate Dean for Graduate Education, and the Graduate School regarding the outcome of the request. If the leave is approved, the graduate assistant's stipend should be maintained for up to six weeks or until the end of the appointment

(whichever occurs first) in the case of personal illness or injury and up to three weeks or until the end of the appointment (whichever occurs first) to care for an immediate family member.

New Parent

Penn State will reasonably accommodate the needs of its graduate assistants when they become parents. "Parent" is defined as a man who fathers a child, a woman who gives birth to a child, any person who adopts a child, or the documented, same-sex partner of a birth parent. A graduate assistant who becomes a parent as defined above is eligible for paid leave under this guideline upon the birth of a biological child or when an adoptive child is placed within the individual's custody and adoption proceedings are officially underway. Graduate assistants desiring a new parent paid leave must submit a written request to their immediate supervisor who will forward the request to the responsible individual within the appointing unit. The request should be made as soon as possible after the date of the anticipated birth or adoption is known. The decision to approve/deny the paid leave is made by the appointing unit after appropriate consultation with the assistantship supervisor and the graduate assistant's academic program and Associate Dean for Graduate Education. The appointing unit will notify the graduate assistant, the academic program, the student's Associate Dean for Graduate Education and the Graduate School regarding the outcome of the request. If the leave is approved, the graduate assistant will be excused from his/her regular assistantship duties for a period of up to six weeks, or until the end of the appointment (whichever occurs first), immediately following the birth or adoption of a child. Note that this guideline does not address occasions for which medical care is required prior to the birth of a child, or situations that necessitate extended medical treatment because of complications that may arise during or following the birth of a child. Such occasions, which require extended paid leave due to illness or disability, are to be handled in the manner outlined in the section above on illness/injury.

Appeals

If a request for an extended paid leave of any type is denied, the graduate assistant has the right to appeal such a decision by submitting a request for an appeal in writing to the Dean of the College or Campus Chancellor where the student is appointed, or his/her designee, or to the Vice President/designee for appointments to non-academic units, within 10 days of receiving the notification that the original request has been denied. At that time, the student should include any additional documentation available to support his/her request for the extended paid leave. The request will be reviewed by the Dean/designee, Chancellor/designee, or Vice President/designee, in consultation with the Graduate School, and a decision will be made within 10 days. The student will be notified in writing by the Dean, Chancellor, or Vice President's Office of the final disposition of their request, as soon as a decision has been reached. There will be no further appeal once the Dean/designee, Chancellor/designee or Vice President/designee has rendered a decision, and that decision will stand.

Return from Leave

A graduate assistant returning from leave during the appointment period shall resume the duties of the original appointment. If the original position is no longer available, the student shall be provided an equivalent appointment. If the student is unable to return until after the original appointment ends, there is no guarantee of the availability of funding upon the individual's return, however, he/she should be considered for future appointments in a manner consistent with all other graduate students from the student's academic program. Taking leave should in no way prejudice future appointments.

APPENDIX G

Sample Forms

1. Resume Study/Change of Graduate Degree or Major Form
2. Kinesiology 596 - Independent Study Proposal Form
3. Doctoral Committee Appointment Signature Form
4. Doctoral Approval Page
5. Graduate Student Exit Interview Form

*Copies of these forms can be obtained from Shari Grassi (276 Recreation Building).