



# INTRODUCTION

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This graduate handbook has been developed to inform graduate students and faculty in the Department of Computer Science and Engineering at Penn State of the policies and guidelines applicable to the graduate programs in this department. The Penn State Graduate Degree Programs Bulletin contains additional information—this handbook is a supplement to the Bulletin.

***The Graduate Degree Programs Bulletin  
([CSE Graduate Bulletin](#))***

***is to be viewed as the authority that governs degree programs unless a more stringent requirement is imposed by the department.***

All suggestions by graduate students or faculty to enhance the value of this handbook should be made to the graduate program officer of the department. Updates to this handbook will be provided as necessary. The department is committed to providing a welcoming environment to all students and faculty. Please inform the department head immediately of any barriers—real or perceived—that limit the educational opportunities for students and faculty in this department.

## ADMISSION TO THE COMPUTER SCIENCE AND ENGINEERING GRADUATE PROGRAMS

The department of Computer Science and Engineering offers three graduate programs:

- Doctor of Philosophy in Computer Science and Engineering (**Ph.D.**);
- Master of Science in Computer Science and Engineering (**M.S.**);
- Master of Engineering in Computer Science and Engineering (**M.Eng**)

The admission requirements are identical for each program.

### Admission Requirements for Graduate Programs in Computer Science and Engineering

All applicants must provide a one-page statement of purpose, three letters of recommendation, and scores from the general aptitude test of the Graduate Record Examination (GRE) in addition to supplying other information requested in the on-line application. It is expected (but not required) that candidates seeking admission have undergraduate degrees in Computer Science, Computer Engineering, or a closely aligned field. In general, an undergraduate grade point average of 3.0 or higher (out of 4.0) in courses in the major is expected of candidates. Additionally, applicants are expected to have strong GRE scores.

- **Background Courses:** All M.S. & Ph.D. students are expected to have completed appropriate courses, at the undergraduate level, to provide breadth across computer architecture/organization, data structures and analysis of algorithms, and operating systems topics. Students who have not taken these background requirements may be required to take appropriate 400-level (undergraduate) courses to prepare them for 500-level (graduate) courses. Please see specific program requirements for how many of these

credits can apply to graduate degree requirements.

### Applications and Financial Assistance

Applications for admission for the M.S. and Ph.D. programs in Computer Science and Engineering will be accepted for fall and spring semesters only. Applications are not accepted for summer sessions. The application deadline for fall semesters is **December 15<sup>th</sup>**, and the application deadline for spring semesters is **August 31<sup>st</sup>**. **M.Eng. applications are accepted for fall admission ONLY.** The application deadline for the M.Eng. program is **March 1<sup>st</sup>**.

- There is no separate application for financial aid such as assistantships and fellowships.

Most students begin their studies in the fall semester. Applicants with a B.S. degree may indicate that they intend to seek a Ph.D. degree; it is not necessary to have a master's degree first. Applicants applying to the master's program may later switch to the Ph.D. program. Preference for financial support is given to those applying for the Ph.D. program. Students applying for and admitted into the Ph.D. program will not be permitted to switch to the master's program at a later date, except under extenuating circumstances.

### How to Apply?

**Electronic Application** – *This format is the ONLY way to apply.* Applying electronically (online) reduces the processing time and receipt of your application is assured. You can find the electronic application site at:

[Apply Now \(psu.edu\)](https://psu.edu)

**Note** – Make sure that your electronic application is correct and complete. Submit only the required documents for the application. **Do not** upload copies of passports, bank statements, financial guarantees from sponsors, high school transcripts, or other irrelevant materials. **Do not** mail any application materials or documents to the CSE department. Please note that you will not be able to change your application once it is submitted.

All [application fees](#) must be submitted to the following address by check or money order or by using a credit card through the Graduate School Admissions portal:

Graduate Enrollment Services  
The Pennsylvania State University  
114 Kern Graduate Building  
University Park, PA 16802-3391

**Please note that the application fee is non-refundable.**

The [PSU Graduate School FAQ](#) is designed to answer many of the questions that prospective students have about the application process, such as paying the application fee, application status, test score reporting, financial aid, transcripts, reference letters, and housing.

All application materials, including transcripts, must be uploaded to the electronic application. Your electronic application must be submitted by the deadline; however, recommendation letters may be sent one to two weeks after the deadline.

**You will be notified of your admission decision via email. DO NOT contact the department regarding your admission status.**

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**Support and Assistantships:** All M.S. and Ph.D. applicants are considered for available fellowships

and teaching assistantships, but preference is given to Ph.D. candidates. Support is **not** provided to M.Eng. students. Please note that additional restrictions may apply to receiving any specific type of support or to when during one's graduate career one is eligible for that specific mode of support, e.g. teaching assistantships dependent upon having passed the AEOCPT.

A graduate research or teaching assistantship provides a monthly stipend, tuition waiver, and 80% of health insurance costs. A half-time graduate assistant is expected to work approximately twenty hours per week and must enroll in 12 credits per semester. Summer support for graduate students is dependent on the availability of research funds. The department provides no guarantees regarding the availability of assistantships during summer sessions unless otherwise specified in your admission letter.

About seventy percent of the graduate students in the department receive financial assistance in the form of an assistantship or fellowship. The standard assistantship offered is ½ time, grade 14 for both fall and spring semesters (please see [the Stipend Table](#) for the current dollar value mappings for each grade). Assistantship grades can be increased based upon academic progress, experience, and duties. Please see pg. 45 for more information.

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**English Language Skills:** The language of instruction at Penn State is English. International applicants must take and submit scores for the TOEFL (Test of English as a Foreign Language) or the IELTS (International English Language Testing System), with the exceptions noted below. For admission into the graduate program in CSE, applicants are required to have a minimum overall iBT TOEFL score of 80 with 19 or higher on the speaking section. The minimum required composite score for the IELTS is 6.5. **For score**

**reporting for TOEFL and GRE scores, select “Penn State University”.**

International applicants are exempt from the TOEFL/IELTS requirement who have received a baccalaureate, or a master’s degree, from a college/university/institution in any of the following countries: Australia, Belize, British Caribbean and British West Indies, Canada (except Quebec), England, Guyana, Republic of Ireland, Liberia, New Zealand, Northern Ireland, Scotland, the United States, and Wales.

Information about the TOEFL can be found at their website: <https://www.ets.org/toefl/>.

Information about the IELTS can be found at their website: <https://www.ielts.org/>

**Additional language requirements related to teaching assistantships:** On April 7, 1981, the Penn State Faculty Senate passed legislation mandating that “all graduate teaching assistants whose first language is not English” must take and pass an oral language proficiency test. Accordingly, all international students whose first language is not English, and who will be employed as teaching assistants in Computer Science and Engineering, **ARE REQUIRED to take and pass the American English Oral Communicative Proficiency Test** (AEOCPT), which is offered by the PSU Department of Applied Linguistics. Depending on the AEOCPT score received, students may be required to take English as a Second Language (ESL) courses. Unless otherwise specified in the terms of offer, CSE graduate students seeking teaching assistantships must have already either passed their AEOCPT or completed the entailed ESL course requirements in order to be eligible to apply for a teaching assistantship. **All international Ph.D. students are required to take the AEOCPT upon arrival as part of the CSE Ph.D. requirements.** Students should contact the CSE graduate staff assistant to register for the

AEOCPT.

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**For further questions, please consult the FAQ links below for both general CSE and degree-specific questions:**

CSE Graduate Program General FAQ:

<https://www.eecs.psu.edu/students/graduate/EE-CS-Graduate-Frequently-Asked-Qs.aspx>

Graduate School FAQ

<https://gradschool.psu.edu/frequently-asked-questions/>

<https://bulletins.psu.edu/graduate/>

- Bursar’s Office - <https://www.bursar.psu.edu/>
- Registrar’s Office - <https://www.registrar.psu.edu/>

## *Doctor of Philosophy in Computer Science and Engineering*

PLEASE NOTE: Students applying for, and gaining admittance to, the Ph.D. program will not be permitted to switch to the master's program at a later date, except under extenuating circumstances. Students who do not already have an MS degree in CS/CSE may be eligible for an [MS-along-the-way](#) (for details on the Graduate School's MS-along-the-way please see the link above)

### **Ph.D. Course Requirements (Effective Fall 2017):**

1) Students who **do not** have an MS degree in Computer Science, or Computer Engineering, must take a minimum of **33 credits** including:

6 credits:

- CSE 565, CSE 511 or CSE 530;

15 credits of CSE courses

(excluding CSE 596 and 598)

9 credits of 400-, 500-, or 800-level courses in CSE/EE/MATH/STAT, or 500- or 800-level IST courses (which may include up to 3 credits of CSE 596)

2 credits of CSE 590 (Colloquium), and

1 credit of CSE 591.

2) Students **who have an MS degree** in Computer Science or Computer Engineering must take a minimum of **21 credits** including:

CSE 565, CSE 511 or CSE 530

- Choose 6 Credits

9 credits of CSE courses, excluding CSE 596 and 598;

3 credits of 400-, 500- or 800-level courses in CSE/EE/MATH/STAT, or 500- or 800-level IST courses (which may include up to 3 credits of CSE 596);

2 credits of CSE 590 Colloquium and

1 credit of CSE 591.

### **Scholarship and Research Integrity (SARI) Training:**

Effective Fall 2009, Scholarship and Research Integrity (SARI) training must be completed during the first year of enrollment. The SARI program has two parts:

- a) During the **first year of enrollment**, graduate students will be required to complete an online Responsible Conduct of (RCR) training program provided by the Collaborative Institutional Training Initiative (CITI). The Office for Research Protections (ORP) will provide the conduit to this training via the SARI Resource Portal on the ORP website: (<https://www.research.psu.edu/training/sari>). Students are required to complete the "Responsible Conduct of Research (RCR) Course." After completing the exam, print and submit to the department's graduate staff assistant.
- b) Graduate students will also be required to engage in an additional 5 hours of discussion-based RCR education prior to degree completion. These discussions will encompass both universal and discipline-specific material.

## Milestone Examinations

### Ph.D. Qualifying Examination

(see also: [GCAC 604](#))

- a) **CSE 591** – Research Experience in Computer Science and Engineering [1 credit] – must be completed within the first two regular semesters after entering the Ph.D. program (a grade of B or higher must be achieved); **can only be taken once.**
- b) **CSE Department English Proficiency Testing:** All students will have their writing and presentational speaking skills assessed via a departmental assessment. ***Students should complete their English Proficiency testing during their first semester at Penn State.*** The CSE English proficiency testing takes place in both fall and spring semesters. Information about the process and format of the testing is sent to the graduate student listserv early in each semester. Based on the results of these assessments, students with documented deficiencies will be required to pursue one or several opportunities that are identified for appropriate skill enhancement
- c) **Written examinations** – The written Qualifying exams will be offered at the beginning of each fall and spring semester. Doctoral students become eligible to take their Qualifying exams in their second semester. The exams must be taken for the first time no later than the third semester in the program and completed by the student's fourth semester in the program. The examination tests the student's background preparation and problem-solving ability. Because the CSE qualifying exam utilizes undergraduate level material in its assessment mechanisms, the department determines all CSE students to meet GCAC-604.Process.1.c.i requirements at the time of program admission. Eligibility is

therefore governed by the stipulations of GCAC-604.Process.1.c.ii-iv: PSU Graduate GPA  $\geq 3.0$ ; no incomplete/deferred grades; In good academic standing and appropriately registered for the term in which the examination takes place.

In the CSE qualifying examination, students are required to attempt and pass exams in two areas: Theory and Algorithms **and** Architecture and Systems. The exams will be held early in the semester and will last three hours each. The goal of these exams is to **test competency in areas deemed core computer science** by the CSE Graduate Committee. The syllabi for the exams will be based on the following courses: (i) Theory and Algorithms – CMPSC 360 and CMPSC 465 and (ii) Architecture and Systems – CMPEN 431 and CMPSC 473. A detailed list of topics and reading materials will be provided by the CSE graduate program office.

For both exams, a high and a low pass will be determined. To pass the qualifying exam, a student must obtain the following over the allowed period of three semesters:

- (i) a high pass in both exams or
- (ii) a high pass in one exam and a low pass in the other.

It is allowed that a student attempts/passes the two exams in different semesters. In accordance with GCAC 604, students are required to have attempted the qualifying exam no later than their third semester after admission to the CSE PhD program and must pass the qualifying exam within three semesters after they are exam-eligible. Attempts are considered consumed in every semester in which a student is exam-eligible, whether or not the student registers for the exam in that semester.

Students with non-CSE undergraduate majors will be allowed an extra semester for course work they may need to take. Students may petition to



retake the qualifying exam again if it has not been passed by the third attempt.

**Procedure:**

The student and student's advisor must submit such a petition to the CSE professor-in-charge and the graduate staff assistant. Students will need to sign up with the graduate staff assistant for the examination. The qualifying exam schedule and deadline for signing up for the exams will be sent by email to the CSE graduate listserv.

Examinations taken as an M.S. or as an M. Eng. student will count towards the maximum limit of three attempts. When a master's student starts taking qualifying exams, he/she must complete within three semesters (the same as for Ph.D. students)

**Comprehensive examination (see also: GCAC-606)**

Students must pass the Ph.D. comprehensive examination. Students must be registered in order to take the comprehensive exam. Students must be continuously registered each fall and spring semester after the comprehensive exam.

**Please see the graduate staff assistant for more information about this process.**

\*\*\*The AEOCPT (for international students) and departmental English proficiency must be successfully completed before scheduling the comprehensive examination.

**Dissertation (see also: GCAC-607 and 608)**

Students must complete and defend a Ph.D. dissertation. Students must be registered in order to defend a Ph.D. dissertation. **Please see the graduate staff assistant for more information about this process.**

**Report to Ph.D. Committee for Comprehensive and Final Oral Defense –** Ph.D. students must give enough time for their committee members to properly evaluate their

work before the comprehensive and final oral exams. For the comprehensive exam, it is recommended that the student submit a 15-page report to the committee at least two weeks before the oral comprehensive exam; note that the committee may, at their discretion, express different length/formatting preferences for the comprehensive examination report, but, in all cases, the student remains expected to produce a draft of this document at least two weeks before the oral examination. For the final oral exam, it is recommended that the student submit a draft of their dissertation to the committee at least two weeks before the final oral exam. Exceptions may be allowed at the discretion of the Ph.D. advisor and all other members of the committee.

**AEOCPT**

All incoming international Ph.D. students will have their oral English proficiency assessed by taking the AEOCPT (American English Oral Communicative Proficiency Testing) which is held in August, January, and May. The AEOCPT is also required for any international student who will be a teaching assistant in CSE. Information about the testing is sent by email to the CSE graduate listserv. Students cannot register themselves for the AEOCPT. Students wishing to take the AEOCPT should register for the test through the CSE graduate staff assistant.

The department will pay for the AEOCPT exam fee for exams taken during the normal schedule. You must notify the graduate staff assistant immediately if you are not able to attend any of the dates provided. Should you schedule your exam on a date that is not a normally scheduled date, **you may be responsible for the additional fees.**

**Note:** There is a Doctor of Philosophy in Computer Science and Engineering Degree Checklist in Appendix II.



Please refer to the Graduate Bulletin for further information about graduate policies and procedures:

<http://bulletins.psu.edu/bulletins/whitebook/index.cfm>

**“Grandfathering”**

(Rules applying only to students entering the program at an earlier date):

**Requirements for students entering the PhD program prior to Fall 2017:**

Students must accumulate a minimum of 48 credits of non-thesis graduate level courses, with at least 27 credits of courses with numbers CSE 500-589 or CSE 597\*, and 21 additional credits of 400 level and above courses. This must include 3 credits of CSE 590 [colloquium; only 3 credits of CSE 590 can be counted towards the 48 minimum credits]. A maximum of 3 credits of X96 also can be counted. \*Note – 597 courses fall 2013 and after count. 598 courses count prior to fall 2013. Students who are entering the Ph.D. program with a Master of Science degree may count up to 30 credits to satisfy part of the minimum 48 credit requirement.

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**Course Breadth Requirement (for students entering the program prior to Spring 2019).**

In addition to the qualifying exam requirement, all CSE Ph.D. students will need to satisfy the following course requirements **before graduation**.

1. Pass a graduate breadth course from at least three of the eleven qualifying exam subject areas **(copies of the exam areas and courses can be obtained from the CSE graduate office)**.
2. At least two of these three courses must not overlap with the areas of your qualifying exam subject areas.
3. At least one of the two subject areas listed below must be covered either by passing the qualifying examination in that area or by completing the graduate breadth course specified.
  - a. Data Structures and Algorithms
  - b. Programming Languages
4. At least one of the two subject areas listed below must be covered either by passing the qualifying examination in that area or by completing the graduate breadth course specified.
  - a. Operating System
  - b. Computer Architecture

# PROGRAM DESCRIPTIONS/DEGREE REQUIREMENTS

## *Master of Science in Computer Science and Engineering – 31 credits*

Students pursuing an MS in CSE may select from two different options offered by the program: the Thesis Option and the Non-Thesis Option. By default, all students are brought into the program as Thesis Option students. Students wishing to switch to the Non-Thesis option **must** file their selection form by the end of their second semester after admission. Students pursuing the Thesis option **must** formally select a thesis advisor by the end of their second semester after admission. Common and distinct requirements for each option are described below.

### **Common Course Requirements for both Thesis and Non-Thesis Options:**

- 31 total credits at the 400, 500, 600 or 800 level, specifically:

- CSE 590 Colloquium – (1 cr.).
- 6 credits of option-specific culminating experience credits.
- 24 additional credits at the 400+ level, fulfilling the following requirements:
  - a) At least 15 credits of CSE 500-level courses
  - b) At most 9 credits of 400-level courses
  - c) At most 9 credits of courses from other departments
  - d) Three courses (9 cr.) collectively covering three breadth areas:
    - i) (Alg.) CMPSC 465 **OR** CSE 565
    - ii) (OS) CMPSC 473 **OR** CSE 511
    - iii) (Arch.) CMPEN 431 **OR** CSE 530

### **Culminating Experience Requirements for Thesis Option:**

- Thesis – Students must complete 6 cr. of CSE 600 level and defend their thesis. Your thesis advisor or co-advisor must have CSE graduate faculty standing.

### **Culminating Experience Requirements for Non-Thesis Option:**

- 3 additional credits of CSE 500-level coursework
- CSE 594 (3 cr.) – **must be taken during the final semester**. **All** CSE 594 projects **must** be supervised or co-supervised by a member of the CSE graduate faculty.

### **Scholarship and Research Integrity (SARI) Training**

- **For ALL MS Students: Effective fall 2009, Scholarship and Research Integrity (SARI) training must be completed during first year of enrollment.**

The SARI program has two parts:

- a) During the **first year of enrollment**, graduate students will be required to complete an online Responsible Conduct of Research (RCR) training program provided by the Collaborative Institutional Training Initiative (CITI). The Office for Research Protections (ORP) will provide the conduit to this training via the SARI Resource Portal on the ORP website: (<https://www.research.psu.edu/training/sari>). Students are required to complete the “Responsible Conduct of Research (RCR) Course.” After completing the exam, print and submit the completion form to the department’s graduate staff assistant.
- b) Graduate students will also be required to engage in an additional 5 hours of discussion-based RCR education prior to degree completion. These discussions will encompass both universal and discipline-specific material.

**Report to M.S. Committee (Thesis Option) –**

For an M.S. student pursuing a thesis, it is recommended that the student submit a draft of the M.S. thesis to the M.S. committee at least two weeks in before the final M.S. defense. Exceptions may be allowed at the discretion of the M.S. advisors and all other members of the committee.

**Composition of M.S. Committee and Thesis**

See page 18 and GCAC 642 for more information.

NOTE: There is a Master of Science in Computer Science and Engineering Degree Checklist in Appendix II.

NOTE: Students admitted to the M.S. degree and wanting to change to the M. ENG. degree should contact CSE graduate program staff about the process. These requests are approved/denied on a case-by-case basis.

### ***Master of Engineering in Computer Science and Engineering – 30 credits***

Admission is in the Fall semester only.

#### **Requirements**

**Fall Semester:** Cmpsc 465 AND EITHER (CmpSc 443 or CSE 543 and CmpSc 431W) OR (CmpEn 431 and CmpEn 472) AND one CSE graduate level course numbered CSE 500-589 or 597

**Spring Semester:** 12 credits of CSE graduate level courses number CSE 500-589 or 597.

**Summer Semester:** CSE 820 (3) and CSE 594 (3) – both online. CSE 594 includes the completion of a paper as a final project.

**Scholarship and Research Integrity (SARI) training must be completed during the first year of enrollment.**

2. Graduate students will also be required to engage in an additional 5 hours of discussion-based RCR education prior to degree completion. These discussions will encompass both universal and discipline-specific material.

NOTE: Students admitted to the M.Eng. degree and wanting to change to the M.S. degree should contact CSE graduate program staff about the process. These requests are approved/denied on a case-by-case basis. Please note, however, that default departmental policy preference is for M.Eng. students wishing to pursue an MS degree to complete their M.Eng. degree and apply into the MS program if they wish to obtain a research-oriented master's degree.

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NOTE: There is a Master of Engineering in Computer Science and Engineering Degree Checklist in Appendix II.

#### **Scholarship and Research Integrity (SARI) Training**

The SARI program has two parts:

1. During the **first year of enrollment**, graduate students will be required to complete an online Responsible Conduct of Research (RCR) training program provided by the Collaborative Institutional Training Initiative (CITI). The Office for Research Protections (ORP) will provide the conduit to this training via the SARI Resource Portal on the ORP website:  
(<https://www.research.psu.edu/training/sari>)  
Students are required to complete the "Responsible Conduct of Research (RCR) Course." After completing the exam, print and submit to the department's graduate staff assistant.

## OTHER PROGRAMS/DEGREE CHANGES

### Operations Research Dual-Title Degree Program

Graduate students within Computer Science and Engineering can elect to participate in the Operations Research Dual-Title Degree Program. Operations Research is the use of scientific methodology in the formulation, analysis, and solution of problems of decision making. The term Operations Research originated in World War II to describe studies of military operations involving man-machine systems. Since its origin, operations researchers have addressed a wide variety of problems, including production and inventory control, transportation and distribution system design, capital investment marketing strategies, health maintenance, pollution control, personnel staffing, military deployment, resource management and other regional planning problems, just to name a few. The applications of operations research are numerous, and more importantly, new applications are continually arising. The strength and versatility of operations research lie in its ability to model the behavior of complex systems in quantitative mathematical terms, as well as its prescriptive power through analysis and synthesis.

Operations Research is interdisciplinary by nature and draws on techniques from many fields, including the mathematical sciences, engineering, economics, and the physical sciences. The unique structure of the OR program at Penn State enables students from diverse backgrounds to attain and be identified with the tools, techniques, and methodology of Operations Research and at the same time maintain a close association with their field of major interest. The opportunity to study and work with others from such diverse

backgrounds provides an enriching experience not usually available in graduate work. By a judicious selection of courses, a student can tailor a plan of graduate study to meet career objectives in both of the chosen fields.

### Requests to Change Degree Programs in CSE

Under certain circumstances, students may request a change from a degree program in CSE to another degree program in CSE (i.e. M.S./M. ENG. to Ph.D., Ph.D. to M.S./M. ENG., M. ENG. to M.S. and M.S. to M. ENG.) These requests are approved/denied by the CSE graduate program professor-in-charge on a case-by-case basis and need justification from the student's advisor or M. ENG. program director.

### Procedure

#### M.S. to Ph.D.:

*Students must have at least a 3.0 GPA*

After finding a research advisor, an MS student should draft a memo to the professor-in-charge (PiC) of graduate studies including information on why you would like to change degree programs, who your new doctoral advisor will be, and if your new advisor plans to provide support in the form of an assistantship. Please also copy your new advisor and the graduate staff on your email.

If your request is approved by the PiC, you will need to submit [Change of Major/Degree](#) application.

## REGISTRATION REQUIREMENTS

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Registration as a full-time student is required for each student receiving assistantship support. Full-time status is defined as:

	Fall/Spring	Summer
1/4-time assistantship	9-14 credits/ semester	5-7 credits
1/2-time assistantship	9-12	4-6
3/4-time assistantship	6-8	3-5

Students holding fellowships, traineeships, or other awards are required to carry 9 or more credits each semester, and 5 or more during the summer session. All international students must register for at least 9 credits during the fall and spring semesters.

The College of Engineering requires that every new engineering teaching assistant complete ENGR 888, the Graduate Teaching Seminar, during their first semester as a teaching assistant where they are responsible for teaching in the classroom (actual classes, recitations, or labs). The CSE department recommends that students take ENGR 888 the first semester they TA whether or not they are responsible for a class/recitation/lab and therefore required to take it.

### Time Limits and Other Constraints

An M.S. degree must be completed within eight years of admission to degree status. An M. Eng. degree must be completed in one year. A doctoral student is required to complete the program, including acceptance of the doctoral thesis, within eight years from the date of acceptance as a candidate (passing Ph.D. qualifying exam). A doctoral student must schedule their comprehensive within 5 years of advancing to candidacy.

Prior scheduling of comprehensive and final oral exams for Ph.D. candidates is required. Both the comprehensive and final oral exam must be scheduled at least four weeks in advance. The exams may be canceled if documents (specifically, the thesis proposal and thesis, respectively) are not delivered to committee members at least two weeks prior to exams. Students must be registered in order to take the comprehensive exam. **Please see the graduate staff assistant for more information about this process.**

Final oral exams and dissertation submissions must meet published deadlines each semester or summer for graduation at the end of that semester or summer.

Students must be registered in order to defend a Ph.D. dissertation. **Please see the graduate staff assistant for more information about this process.**

NOTE: For students enrolled during COVID-19 mitigation measures, the graduate school has extended most time limits by one year. Please consult the relevant GCAC COVID exceptions for specific details on whether this applies to you.

### Residency Requirement

Over some twelve-month period during the interval between admission to Ph.D. program and completion of the program, the student must spend at least two semesters (which may include the semester in which the qualifying examination is taken) as a registered full-time student engaged in academic work at the University Park Campus.

After passing the comprehensive exam and meeting the two-semester full-time residency requirement, the Ph.D. student **must maintain** continuous registration for each fall and spring semester (beginning with the first semester after



both of the above requirements are met) until the Ph.D. thesis is accepted and approved by the doctoral committee. Note that if a student is in residence during summers, he/she must also register for summer sessions. Post comprehensive students can maintain registration by registering for credits in the usual way or by registering for noncredit 601 or 611, depending on whether they are devoting full-time or part-time to their thesis preparation. *Students who do not register are subject to retroactive tuition assessments.*

To be eligible for candidacies, comprehensives, and final orals, a minimum grade point average of 3.0 is mandatory. Also, a minimum grade point average of 3.0 is mandatory to receive a graduate degree from Penn State. Students whose GPA falls below 3.0 will be placed on academic probation during the following semester and requested to submit a GPA remediation plan, to be reviewed and approved by the graduate PiC and staff. Failure to return a student's GPA above 3.0 or meet alternative approved remediation measures during a term where a student is on academic probation will lead to termination from the graduate program, barring documented exceptional circumstances.

**Courses below the 400 level and courses in which a grade less than C is earned do not count towards graduation.**

Students who have been appointed on a graduate assistantship or fellowship for fall and spring semesters are eligible to apply for the Summer Tuition Assistance Program ([STAP](#)). Please see the graduate staff assistant for more information about this program.

**Please refer to the Graduate Bulletin for further information about graduate policies and procedures:**  
<http://bulletins.psu.edu/bulletins/whitebook/index.cfm>

## NORMAL ACADEMIC PROGRESS

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Students pursuing an **M.S. or Ph.D.** graduate degree in the Department of Computer Science and Engineering are expected to complete the minimum credit requirement each semester and to maintain a minimum GPA of 3.00/4.00.

Students who fall below these standards will be considered on academic probation. If a student remains below this standard for two consecutive semesters (i.e. an initial semester wherein a student has failed to achieve a 3.0 GPA and subsequent semester in which the GPA has not returned to compliance), he/she may be terminated.

For Ph.D. students, normal academic progress also entails the undertaking of the qualifying exam, with a strongly demonstrated effort in each exam *each time it is attempted*. See the section on Ph.D. qualifying examinations for the complete guidelines. Please note that the normal academic progress requirement plays a strong role in determining continuing financial support. Graduate studies will be terminated if a Ph.D. student fails the comprehensive examination or a master's or Ph.D. student fails their thesis/dissertation defense, unless the master/doctoral committee votes to allow for another examination. A Ph.D. student will also be terminated from their program if they fail to pass their qualifying examinations in the allotted time limits, although they may be allowed to complete a master's degree if both their research advisor and the Graduate Program Officer approve.

**M. Eng.:** The M. Eng. is a cohort-based program. The program starts in the fall semester and is completed in the following summer semester (one year). If a student fails to register for the appropriate courses in any semester or fails to earn at least a C in any course, they may be terminated from the program.

## DURATION OF ASSISTANTSHIP SUPPORT

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Those students who initially enter one of our departmental programs with support from a teaching assistantship are normally supported for two 15-week semesters, provided that they show continued acceptable (as defined above) academic progress, and fulfill the obligations of their teaching assistantship. In addition, international students are expected to pass the American English Oral Communicative Proficiency Test (AEOCPT) or complete all required courses remedial English courses. All Ph.D. students must also satisfy the Ph.D. English Proficiency testing.

**The CSE Department will not support M. Eng. students via an assistantship or other financial aid.**

## Faculty and Staff/Advising

### CSE Faculty Listing

### Administrative/IT Staff

Master's of Engineering students will be advised by the Professor-in-Charge of the M. Eng. program. M.S. and Ph.D. graduate students will be assigned a graduate advisor upon admission into the graduate program.

Note that for MS students, this initial advisor may be an academic, rather than a research advisor. If so, the MS student is expected to obtain a formal research advisor (Thesis option) or culminating experience supervisor (Non-thesis option) by the end of his/her second semester in the program. In either case (research/academic), this advisor will assist the student in planning a preliminary graduate degree program.

This key process is to both ensure that students have met background requirements and to help prepare a schedule of courses for the first semester of enrollment. This advisor will remain the graduate advisor until the student forms a committee to advise the student on an M.S./Ph.D. thesis or until the student formally requests a change of advisor.

It is the responsibility of the student to form a research committee (see RESEARCH COMMITTEES) appropriate for that student's degree program. The student should discuss research opportunities with faculty in the department. After obtaining the agreement of a faculty member to serve as research advisor, the student may choose to have this research

advisor serve as their academic advisor as well; the graduate staff assistant must be notified of this choice. The student will then form the appropriate research committee. The following is an abbreviated faculty research interest list.

**NOTE: All Electrical Engineering tenure-track faculty have graduate status in CSE and can act as advisors for CSE M.S. and Ph.D. students. One IST faculty (Professor Vasant Honavar) has graduate faculty status in CSE.**

# GRADUATE ADVISORS/RESEARCH COMMITTEES

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## Rules for Choosing Graduate Advisors

A Ph.D. or an M.S. graduate student will be assigned a graduate advisor upon admission into the graduate program or be admitted with a temporary advisor. Students who are admitted with a temporary advisor must choose an advisor within his/her first year of study and submit a "Change of Advisor" form to the graduate staff assistant. **Advisors must be a member of the CSE graduate faculty.** This advisor will assist the student in planning a preliminary graduate degree program. This is done to both ensure that students have met background requirements and to help prepare a schedule of courses for the first semester of enrollment. This advisor will remain the graduate advisor until the student forms a committee to advise the student on an M.S. thesis, or Ph.D. dissertation. Students may request to formally change to a different advisor, add a co-advisor, or disassociate from their current advisor by filing the relevant forms.

It is the responsibility of the student to form a research committee (see Ph.D. and M.S. committee formation below) or, in the case of a Non-thesis MS student, select a research supervisor for their culminating experience. The student should discuss research opportunities with faculty in the department. After obtaining the agreement of a faculty member to serve as research advisor, the student may choose to have this research advisor serve as their academic advisor as well; the graduate staff assistant must be notified of this choice. The student will then form the appropriate research committee. M. Eng. students will be advised by the Professor-in-Charge of the M. Eng. program.

## Ph.D. Committee

During the semester in which a student passes the qualifying examination, he/she is expected to form the doctoral committee. The committee chairperson or at least one co-chairperson must be either (a) a CSE faculty member whose name appears on the list of faculty starting on page 18 or (b) a tenure-track faculty in the EE department at Penn State's main campus. The committee must have at least four graduate faculty members (including the chairperson and any co-chairpersons). At least one member of the committee besides the chairperson or co-chairpersons must be a member of the graduate faculty of the CSE department. Finally, the committee must have at least one graduate faculty member from outside the School of EECS. All students must consult with the graduate staff assistant to ensure their committee meets all the requirements. A public dissertation defense is required.

The student requests the appointment of their committee by obtaining the signature of each graduate faculty member on the Committee Appointment Signature form (available from the graduate staff assistant) and returning it to the graduate staff assistant for submission to the Graduate Enrollment Services Offices, and submitting in letter form to the graduate program officer (via the graduate staff assistant), the following:

- i) Proposed title of dissertation
- ii) An appropriately worded summary of the investigation for the dissertation
- iii) The name of the proposed doctoral committee members and the role each member will play

## M.S. Committee

The committee chairperson or at least one co-chairperson must be either

- (a) a CSE graduate faculty member whose name appears on the list of faculty starting on page 18
- or
- (b) a tenure-track faculty in the EE department at Penn State's University Park campus.

A committee must consist of at least two members including the chairperson and co-chairpersons and at least one of them must be a member of the graduate faculty of the CSE department.

The work done as part of the M.S. thesis need not necessarily be an in-depth investigation to extend the state of the art in some specialty area. However, mere application of some existing theory or technology is generally not sufficient.

**All students must consult with the graduate staff assistant to ensure their committee meets all the requirements.** A public thesis defense is required.

The student requests the appointment of their committee by obtaining the signature of each graduate faculty member on the Application to Schedule an MS Thesis Defense form (available from the graduate staff assistant) and returning it to the graduate staff assistant for processing and submitting in letter form to the graduate program officer (via the graduate staff assistant), the following:

- i) Proposed title of dissertation
- ii) An appropriately worded summary of the investigation for the thesis
- iii) The name of the proposed M.S. committee members and the role each member will play

## M. Eng.

M. Eng. students are advised by the Professor-in-Charge of the M. Eng. program. Since the M. Eng. is a professional degree and not a research degree, no committee is formed nor is a thesis written. A paper will be completed as a final project in the course CSE 594.

Please refer to the Graduate Bulletin for further information about graduate policies and procedures:

<http://gradschool.psu.edu/graduate-education-policies/>

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## SUMMARY OF GRADUATE DEGREE REQUIREMENTS

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Requirement	Person Responsible	Suggested Completion Dates	Degree
Assign faculty member to serve as tentative faculty advisor.	Graduate Program Officer	Early in first semester.	MS & PhD
Select faculty member as research advisor/supervisor for culminating experience.	Student	End of second semester.	MS
Prepare a list of courses to comprise graduate plan of study; consult faculty advisor.	Student	End of first semester.	MS & PhD
Complete doctoral qualifying exam. CSE 591	Student	Within first two semesters.	Ph.D.
Written Examination	Chairman, Ph.D. Qualifying Examination Committee to conduct examination (student schedules examination).	Must be taken no later than the third regular semester, and completed no later than the third eligible semester. ( <b>SEE PH.D. QUALIFYING EXAMINATIONS</b> for detailed information).	Ph.D.
Submit plan of study and thesis project proposal to research committee for approval (copy to graduate staff assistant).	Student	Beginning of third semester.	M.S.
Recommend faculty members to serve on doctoral research committee.	Student	Beginning of first semester after completing qualifying examination.	Ph.D.
Prepare thesis research project proposal for faculty advisor.	Student	Middle of first semester after completing qualifying examination.	Ph.D.
Submit plan of study and thesis project proposal to research committee for approval (copy to graduate staff assistant).	Student	Middle of first semester after completing qualifying examination.	Ph.D.



## SUMMARY OF DEGREE REQUIREMENTS

Requirement	Person Responsible	Suggested Completion Dates	Degree
Schedule oral comprehensive examination with graduate staff assistant.	Student	At least four weeks prior to examination date, approved by all committee members.	Ph.D.
Complete oral comprehensive examination.	Student to schedule examinations.	Upon substantial completion of coursework, including communications requirements. See advisor on lead time for draft to committee members. <b><u>Students must be registered in order to take comprehensive exam.</u></b>	Ph.D.
Inform Graduate Recorder (at the Registrar's Office, 112 Shields) of the intention to graduate.	Student	Beginning of (or semester just prior to) semester or summer session in which degree is expected.	All
Pay thesis fee at Registrar's Office.	Student	Beginning of semester or summer session in which degree is expected.	M.S., Ph.D.
Appropriate completed course requirement sheet checked by PIC, to graduate staff assistant.	Student	At least one semester prior to semester in which degree is expected.	All
Submit draft copy of thesis to faculty advisor.	Student	Early in last semester.	M.S., Ph.D.
Distribute copies of thesis to each committee member and graduate coordinator.	Student	AFTER thesis has been approved by faculty advisor.	M.S., Ph.D.
Schedule final oral examination for M.S. Thesis with graduate staff assistant.	Student	At least one week prior to scheduled examination date, on approval by all committee members.	M.S.
Schedule final oral examination for Ph.D. Thesis with graduate staff assistant.	Student	At least four weeks prior to scheduled examination date, on approval by all committee members. Check with advisor for lead time on submitting draft to committee members. <b><u>Students must be registered in order to defend a Ph.D. dissertation.</u></b>	Ph.D.
Complete final oral examination.	Student	As soon as faculty advisor approves thesis for oral examination. Early enough for final draft of thesis to be submitted before deadline date.	M.S., Ph.D.
Return departmental keys and any books, software, supplies, etc., as required, to Administrative Assistant or as appropriate.	Student	Prior to departure	All

## COURSE OFFERINGS

The Course Offerings list will be constantly monitored and updated as needed; the following is a list of graduate level departmental courses as they currently exist. It should also be noted that the department offers individual study courses that can include creative projects, including nonthesis research, that are supervised on an individual basis and that fall outside the scope of a formal course; and special topics courses that are formal courses meant to explore, in depth, a subject that may be topical or of special interest. There are several 600 level (research/thesis) courses offered.

Disclaimer: Please note that, except for certain pre-major entry courses available to the exploratory students in DUS and ENGR, many CMPSC, CMPEN, and CSE courses are controlled for students in the Computer Science or Computer Engineering major. Certain majors have negotiated with the department of computer science and engineering to allow their students to register for CMPSC, CMPEN, and CSE courses as part of a computational option. Students outside those majors, however, will find it difficult and probably impossible to schedule CMPSC, CMPEN, and CSE courses. Therefore, students should not pursue another major with the thought that they will be able to compliment it with CMPSC, CMPEN, and CSE electives.

### University Bulletin Listing of Courses

#### Undergraduate Courses

[Computer Science Courses](#) (CMPSC)

[Computer Engineering Courses](#) (CMPEN)

#### Graduate Courses

[Computer Science and Engineering Courses](#) (CSE)

**CSE 590. COLLOQUIUM** (1-3) Continuing seminars that consist of a series of individual lectures by faculty, students, or outside speakers.

**CSE 591. RESEARCH EXPERIENCE IN COMPUTER SCIENCE AND ENGINEERING** (1) Research experience for new doctoral students in Computer Science and Engineering. Research is performed in conjunction with another 500-level CSE course. Concurrent: enrollment in another 500-level CSE course.

**CSE 594. RESEARCH TOPICS** (1-15) Supervised student activities on research projects identified on an individual or small-group basis.

- *MS (Non-thesis) and MEng students must register for this course in their final semester.*

**CSE 600. Thesis Research** (1-15) Allows students to work on dissertation research under the guidance of the student's research advisor.

**CSE 601. Ph.D. Dissertation Full-Time** (0) Continued work on Doctoral dissertation for Ph.D. students who have completed their comprehensive exam.

**CSE 610. Off-Campus Thesis Research** (1-15)

## POLICIES AND PROCEDURES – GENERAL INFORMATION

### Computer Facilities and Their Use

The department of computer science and engineering maintains 7 specialized computing labs for graduate/undergraduate instruction and 11 experimental labs for research purposes. The labs host diverse infrastructures that are configured specifically to meet curricular and research goals. All computational resources, including HPC, storage, visualization, and virtualized systems, are interconnected with GigE service to Penn State's campus backbone. The campus backbone provides access to Internet, I2, Lambda Rail, and other high-speed networks.

Penn State's Information Technology Services (ITS) provides centralized computing facilities for many aspects of university life. The student computing labs at University Park are available to faculty, staff, and students. There are over fifty computer labs and classrooms with nearly 3,000 computers in 322 rooms on the University Park campus, as well as over 1,000 mobile computing ports that provide users with workstations and peripherals for Windows, Macintosh, and Unix platforms.

The labs have any combination of Windows, Macintosh, or Linux systems. They are equipped with printers and scanners, as well as more specialized hardware such as digital cameras and CD burners. To learn more about ITS services, please visit their website: <http://its.psu.edu/>.

### Exceptions

In very rare situations, petitions will be considered for acceptance of certain CSE 597/5XX course offerings (or a related course from another department) as meeting the requirements for master's and doctoral degrees. These petitions can only be submitted with **prior approval of and strong support from your advisor**. Petitions should be submitted to the

graduate staff assistant and the Professor-in-Charge of the CSE graduate program.

**The Computer Science and Engineering Department does not offer a minor in Computer Science and Engineering.**

### Employment

A student holding a fellowship or scholarship may not accept employment of any kind for service beyond that specifically permitted by the appointment. Graduate assistants may accept concurrent employment outside the University only after obtaining permission from the head of the department providing the assistantship and from the person in charge of the assistant's graduate program. A graduate assistant may not hold a concurrent appointment with the University other than a Fellowship Supplement. A foreign student may not work more than twenty hours a week, regardless of whether it is on- or off-campus employment.

### Health Insurance

Health insurance is required for all graduate assistants. ALL international students are required to have health insurance; coverage must be purchased for their spouses and children, as well. For domestic graduate assistants, health insurance is optional. The University will pay a percentage of the annual premium for the Penn State Student Health Insurance Plan for graduate assistants. The remaining percentage will be automatically deducted from the student's assistantship stipend. The University will not supplement, nor will a payroll deduction be made, for insurance policies other than the Penn State Student Insurance Plan. A waiver may be obtained by providing the Student Insurance Office proof of adequate alternate insurance. Failure to comply may result in University sanctions. There is a

\$100 late fee for students who fail to comply with the mandatory health insurance requirement on time. **For more information about University Health Services and student health insurance, please go to:**

[Student Health Insurance Plan for Penn State | Penn State Student Affairs \(psu.edu\)](#)

## Keys

Keys will be issued to an assigned office or research lab. **No key is to be transferred from one person to another; they *must be* returned to the key custodian.** All keys must be returned upon termination. Keys are processed in W209 Westgate Building.

## Mail

All CSE graduate student mail will be delivered to W209H Westgate Building. Students will receive an email from a graduate staff member notifying them that they have received mail. You will be expected to pick up your mail within two weeks of the notification.

## Office Assignments

Office assignments are made only to students holding a fellowship, or a research assistantship. Offices are reassigned each fall semester and are not held over the summer session for students not registered for the summer. TA's will have access to space to hold office hours.

## Parking

Specific regulations govern student vehicle registration and parking privileges. All students, regardless of classification, must register their automobiles, bicycles, and mopeds. Students must also comply with Pennsylvania provisions, as well as University provisions, when operating a vehicle on campus. Parking lots are reserved. Students may obtain instructions about vehicle registration, use, and parking directly from the Parking Office in 1 Eisenhower Parking Deck

(814-865-1436) at University Park and from the Office of Student Affairs at all other campuses.

## Recycling

It is the policy of the University that all faculty, staff, students and visitors comply with applicable federal, state, and local laws regarding the general reduction of specified materials for later collection and reuse for the purpose of protecting the environment and reducing the amount of solid waste deposited to landfills by the University.

## Registration Responsibilities

It is the responsibility of the student, in consultation with their advisor, to be properly registered. A student is expected to complete registration during the officially designated period.

and to attend the first meeting of all classes. A student who fails to complete the process of registration within the officially designated registration period will be liable for a late charge.

## Smoking Policy

Smoking of any material is prohibited in all University facilities, at all locations, including University-owned vehicles.

## Stipends

All graduate appointees are paid monthly. Direct salary deposits are mandatory and a condition of hire.

## Background Checks

All employees of the University, including Graduate Assistants and wage payroll graders and learning assistants must have a background check completed by the University. This is a requirement for employment. There is no cost to the student for this check. The student may not

begin work until the background check is completed.

## Travel

Travel to professional meetings for graduate students in the final year of their Ph.D. program may be partially supported by the department. The student should make the travel request to the department head. The maximum level of support will be \$500 during the last academic year of residency of the student. Please see Amy Hasan in W311 Westgate Building for more information about department travel funds for graduate students.

All student travel on University business and paid from University funds is subject to strict mandatory policies. BEFORE travel, students must discuss travel policies with members of our Finance Office (Annie Royer or Crystal Rearick).

## Standards of Conduct

Graduate students are expected to have learned the meaning and value of personal honesty and professional integrity before entering the Graduate School. Every student is expected to exhibit and promote the highest ethical and moral standards. A violation of such standards is regarded as a serious offense, raising grave doubt that the student is worthy of continued membership in the Graduate School community. Violation of the University Code of Conduct may result in suspension or dismissal from the academic program and/or from the Graduate School. The Code of Conduct behaviors include, but are not limited to:

1. **ABUSE/ENDANGERMENT/HAZING OF A PERSON:** Physically harming or threatening to harm any person, intentionally or recklessly causing harm to any person or reasonable apprehension of such harm or

creating a condition that endangers the health and safety of self or others, including through the facilitation of or participation in any mental or physical hazing activity.

**SEXUAL MISCONDUCT OR ABUSE:** The University does not tolerate sexual misconduct or abuse, such as sexual assault, rape or any other forms of nonconsensual sexual activity. Sexual misconduct and abuse can occur between acquaintances or parties unknown to each other. Sexual abuse is attempted or actual unwanted sexual activity, such as sexual touching and fondling. This includes the touching of an unwilling person's intimate parts (defined as genitalia, groin, breast or buttock, or clothing covering them), or forcing an unwilling person to touch another's intimate parts. Sexual misconduct includes, but is not limited to, sexual assault, rape, forcible sodomy or sexual penetration with an inanimate object, intercourse without consent, under conditions of force, threat of force, fear or when a person is unable to give consent because of substance abuse, captivity, sleep or disability (also see [Policy AD-85](#)).

2. **HARASSMENT:** Harassment is behavior that is sufficiently severe or pervasive so as to threaten an individual or substantially interfere with the individual's employment, education or access to University programs, activities or opportunities, and that would detrimentally affect a reasonable person under the same circumstances. Behaviors that meet the above definition may include, but are not limited to, the following:

- directing physical or verbal conduct at an individual because of the individual's age, ancestry, color, disability or handicap, national origin, race, religious creed, sex, sexual orientation, gender identity or veteran status (see AD-91);
- subjecting a person or group of persons to unwanted physical contact or threat of such;
- engaging in a course of conduct, including following the person without proper authority, under circumstances

- which demonstrate intent to place the other person in reasonable fear of bodily injury or to cause the other person substantial emotional distress (see [AD-85](#));
- or harassment of a sexual nature as described (see [AD-91](#)).
3. **WEAPONS, FIREARMS, AND PAINTBALL DEVICES:** The possession, storing, carrying, or use of any weapon, ammunition, or explosive by any person is prohibited on all University property except by authorized law enforcement officers and other persons specifically authorized by the University. No person shall possess, carry, or use any fireworks on University property, except for those persons authorized by University and local governments to discharge such fireworks as part of a public display. Paintball guns and paintball markers may only be used on the property of the University in connection with authorized University activities and only at approved locations (also see [SY-12](#)).
  4. **FIRE SAFETY VIOLATIONS:** Tampering with fire or other safety equipment or setting unauthorized fires.
  5. **ALCOHOL AND/OR DRUGS:** Illegally possessing, using, distributing, manufacturing, selling or being under the influence of alcohol or other drugs. Use, possession or distribution of beverages containing alcohol on University property shall comply with the laws of the Commonwealth of Pennsylvania and University Policies and Rules. Note: Anyone, including those under 21, serving alcohol to persons under 21 is in violation of both University regulations and state law. Excessive consumption occurs when a person is intoxicated to the degree that the person may endanger self, other persons, or property, or annoy persons in the vicinity. (also see Policies [AD-18](#), [AD-33](#)). It is also a violation a violation of the residence hall contract for a student to be in the presence of the presence of the use of illegal drugs or if under 21 years of age, alcohol, in any residential area.
  6. **FALSE INFORMATION:** Intentionally providing false or inaccurate information or records to University or local authorities. Providing a false report of an emergency, University rule and/or Code violation. Knowingly providing false statements or testimony during a University investigation or proceeding.
  7. **THEFT AND OTHER PROPERTY OFFENSES:** Stealing, vandalizing, damaging, destroying, or defacing University property or the property of others.
  8. **DISRUPTION OF OPERATIONS:** Obstruction or disruption of classes, research projects, or other activities or programs of the University; or obstructing access to University facilities, property, or programs. Disruption is defined as an action or combination of actions by one or more individuals that unreasonably interferes with, hinders, obstructs, or prevents the operation of the University or infringes on the rights of others to freely participate in its programs and services.
  9. **VIOLATIONS OF ACADEMIC INTEGRITY:** Academic integrity is the pursuit of scholarly activity in an open, honest and responsible manner. Academic integrity is a basic guiding principle for all academic activity at The Pennsylvania State University, and all members of the University community are expected to act in accordance with this principle. Consistent with this expectation, students should act with personal integrity, respect other students' dignity, rights and property, and help create and maintain an environment in which all can succeed through the fruits of their efforts. Academic integrity includes a commitment not to engage in or tolerate acts of falsification, misrepresentation or deception. Such acts of dishonesty violate the fundamental ethical principles of the University community and

compromise the worth of work completed by others (see Faculty Senate Policy 49-20 and G-9 Procedures).

10. **FAILURE TO COMPLY:** Failing to comply with reasonable directives from University or other officials when directed to do so. Failure to provide identification or to report to an administrative office or, when reasonable cause exists, failing to leave University-controlled premises or dangerous situations when directed to do so by properly authorized persons, including police and/or other University staff. This charge may be added to other charges, e.g., when a student fails to leave a residence hall during a fire drill and refuses to leave when directed to do so by a University official.
11. **FORGERY/ALTERATION:** Making, using or possessing any falsified University document or official record; altering or forging any University document or record, including identification, meal or access cards. This includes but is not limited to; forging (signing another's name and/or ID number) key request forms, manufacturing IDs or tickets, altering permits, misuse of forms (letterhead stationery, University forms), and keys to mislead.
12. **UNAUTHORIZED ENTRY OR USE:**  
Unauthorized entry into or use of property or University facilities including residence halls, classrooms, offices, and other restricted facilities. Unauthorized entry or use of facilities is referred to in the University policy regarding the rights of individuals and the rights of the institution. Specifically, policy refers to an "obligation not to infringe upon the rights of all members of the campus to privacy in offices, laboratories and residence hall rooms, and in the keeping of personal papers, confidential records and effects, subject only to the general law and University regulations."  
The University also has the right to control use and entry into facilities for reasons of security, safety or protection of property. This

includes closing facilities at specified times. It should also be recognized that an open or unlocked door is not an invitation to enter and use facilities. The same concept applies to computer entry or misuse, including violation of any University computer policy (also see Policy AD-20).

13. **DISORDERLY CONDUCT:** Engaging in disorderly, disruptive, lewd or indecent conduct. The item includes but is not limited to: inciting or participating in a riot or group disruption; failing to leave the scene of a riot or group disruption when instructed by officials; disruption of programs, classroom activities or functions and processes of the University; creating unreasonable noise; or creating a physically hazardous or physically offensive condition.
14. **VIOLATIONS OF UNIVERSITY REGULATIONS:** Violating written University policy or regulations contained in any official publications, administrative announcements, contracts and/or postings.
15. **VIOLATION OF LAW:** When it is established that a student has violated federal, state, or local law and the violation of law affects a Substantial University Interest, the student may be charged within the Code of Conduct for Violation of Law.



# APPENDIX I

## GENERAL STANDARDS OF PROFESSIONAL ETHICS

### PURPOSE:

To set forth statements of general standards of professional ethics to serve as a reminder of the variety of obligations assumed by all members of the academic community

### STATEMENTS:

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their respective subjects is to seek and to state the truth as they see it. To this end, they devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before their students the best scholarly standards of their respective disciplines. They demonstrate respect for the student as an individual, and adhere to their proper role as intellectual guides and counselors. They make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect the students' true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation of students for private advantage and acknowledge significant assistance from them. They protect their students' academic freedom.
- III. As researchers/scholars, professors recognize that their goal is to discover, develop, and communicate new understanding. This goal is rarely achieved without making use of knowledge gained from others. Researchers must always exercise gracious and appropriate recognition of published work in the literature, conversations with colleagues, and the efforts of students who work under the researchers' guidance. They must be scrupulous in presentation of their own data; it must be verifiable as a result of the highest standards in data gathering techniques. They must be extremely careful in the use of data reported by others, especially if used in the formation of broad comparative or contradictory hypotheses, since they may not know of any compromising circumstances in such data gathering. They must be comprehensive in consideration of work with human subjects; they must have thoroughly researched all procedures, must have informed individuals involved of all aspects of their cooperation, and must report all responses accurately, both positive and negative results. As open-minded researchers, when evaluating the work of others, they must recognize the responsibility to allow publication of theories or experiments that may contradict their own findings, as only by free inquiry and dissemination of all facts will the fruits of the labor of the whole community be allowed to mature.
- IV. As colleagues, professors have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of their institution.
- V. As members of their institution, professors seek above all to be effective teachers and scholars. Although they observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their rights to criticize and seek revision. They determine the amount and character of the work they do outside their institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their service, they recognize the effect of this decision upon the programs of the institution and give due notice of their intentions.
- VI. As members of the community, professors have the rights and obligations of all citizens. They measure the urgency of these obligations in the light of their responsibilities to their respective subjects, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression that they speak or act for their respective colleges or the University. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have an articular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

All tangible assets (including equipment, software, audio-visual material, theatrical costumes, etc.) owned, leased or operated by the University are to be used in the conduct of University programs and activities at University owned or leased locations.

University departments may offer services only to other University departments and only for University-related work. Permitted work includes, instructional work for credit and non-credit courses, conferences, workshops, institutes, training programs, etc.; support for faculty research, publications, presentations, and outreach activities; services for recognized student organizations; and services for other organized student extramural activities.

University tangible assets and services may not be used for personal gain, by employees for purposes outside the scope of their employment (see also Policy HR35), or by students beyond their instructional requirements.

CROSS REFERENCES—Additional Policies to refer to would include:

RA10 - Handling Inquiries/Investigations into Questions of Ethics in Research and in Other Scholarly Activities,

IP02 - Coauthorship of Scholarly Reports, Papers and Publications (Formerly RA13),

HR35 - Public Service by Members of the Faculty and Staff,

HR91 - Conflict of Interest, and

RP03 - Use of Human Subjects in Research.

## **ADDRESSING ALLEGATIONS OF RESEARCH MISCONDUCT (FORMERLY HANDLING INQUIRIES/INVESTIGATIONS INTO QUESTIONS OF ETHICS IN RESEARCH AND IN OTHER SCHOLARLY ACTIVITIES)**

### **PURPOSE:**

To establish policy and procedures to address allegations of research misconduct.

### **PREAMBLE:**

Public trust in the integrity and ethical behavior of scholars is essential if research and other scholarly activities are to play their proper role in the University and in society. The maintenance of high ethical standards is a central and critical responsibility of faculty and administrators of academic institutions. Policy AD47 sets forth statements of general standards of professional ethics within the academic community.

### **POLICY:**

Research misconduct is prohibited. Allegations of research misconduct shall be addressed in accordance with this policy and applicable regulations.

Faculty and staff members and students are required to comply with this policy and applicable regulations. Violation of this policy by a member of the faculty or staff, or a student, may subject the faculty or staff member or student to imposition of disciplinary sanctions, including, but not limited to, dismissal from employment or enrollment.

### **DEFINITIONS:**

*Research Misconduct* is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest error or differences of opinion.

*Fabrication* is defined as making up data or results and recording or reporting them.

*Falsification* is defined as manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

*Plagiarism* is defined as the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

*Allegation* is defined as any oral or written disclosure of possible research misconduct made to an institutional official.

*Inquiry* is defined as information-gathering and preliminary fact-finding to determine whether an allegation or apparent instance of research misconduct warrants an investigation.

*Investigation* is defined as a formal examination and evaluation of relevant facts to determine whether research misconduct has taken place or, if research misconduct has already been confirmed, to assess its extent and consequences and determine appropriate action.

*Budget Executive* - Those individuals who are responsible to the President, Executive Vice President and Provost, or a Vice President for a section of the budget. These individuals are normally the President's administrative staff, academic Deans, and Chancellors. The budget executive approves transactions at the upper dollar levels and specified categories, affirming the programmatic need for the action and that the action is appropriate within University Policies and Guidelines.

*Budget Administrator* - Those individuals designated by the Budget Executive as being responsible for operating and controlling specific budget areas within the Budget Executive's administrative area. These individuals approve documents in their own name within the limits of the authorization policy stated below. This group normally includes associate deans, division heads, and department heads. The budget administrator approves transactions at the specified dollar levels and categories, affirming the programmatic need for the action and that the action is appropriate within University Policies and Guidelines.

*Research Integrity Officer* means the person appointed by the Vice President for Research to assume the responsibilities assigned to the Research Integrity Officer under this policy and applicable regulations.

## GENERAL POLICY AND PRINCIPLES:

### I. Responsibility to Report Possible Research Misconduct

Anyone having reason to believe that a member of the faculty, staff or student body has engaged in research misconduct has a responsibility to report pertinent facts in accordance with this policy. The person may discuss the situation with a Budget Administrator or Budget Executive or the Research Integrity Officer or may report the facts through other established reporting procedures, such as the University's ethics hotline. A Budget Administrator or Budget Executive who receives information about possible research misconduct shall inform the Research Integrity Officer. If the circumstances described do not meet the definition of research misconduct, the Research Integrity Officer may refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

### II. Confidentiality

The Research Integrity Officer shall endeavor to protect the confidentiality of respondents and complainants, and of research subjects identifiable from research records or evidence, by limiting disclosure to those who need to know in order to carry out a thorough, competent, objective, and fair research misconduct proceeding or as required by law.

### III. Interim Administrative Actions and Notifying Federal Agencies of Special Circumstances

Throughout the research misconduct proceeding, the Research Integrity Officer will ensure that warranted interim actions are taken to protect public health, sponsor funds and equipment, and the integrity of the research process, and to ensure that the purposes of the research activity and the financial assistance are carried out. Such actions may include, for example, additional

monitoring of the research process and the handling of federal funds and equipment, reassignment of personnel or of responsibility for handling federal funds and equipment, additional review of research data and results, and delay in publication.

To the extent required by regulation or by the sponsor, the Research Integrity Officer shall, at any time during a research misconduct proceeding, notify appropriate federal or other officials of facts that may be relevant to protect public health, federal or other sponsor funds and equipment, and the integrity of the sponsor-supported research process and shall make other interim reports required by research sponsors.<sup>1</sup>

<sup>1</sup> Regulations applicable to research misconduct allegations under U.S. Public Health Service ("PHS") jurisdiction require immediate notification of the PHS Office of Research Integrity ("ORI") if the University has reason to believe that any of the following conditions exist: (1) health or safety of the public is at risk, including an immediate need to protect human or animal subjects; (2) U.S. Department of Health and Human Services ("HHS") resources or interests are threatened; (3) research activities should be suspended; (4) there is a reasonable indication of possible violations of civil or criminal law; (5) federal action is required to protect the interests of those involved in the research misconduct proceeding; (6) the University believes the research misconduct proceeding may be made public prematurely (so that HHS may take appropriate steps to safeguard evidence and protect the rights of those involved); or (7) the research community or public should be informed. 42 C.F.R. 93.318. Regulations applicable to research misconduct allegations under National Science Foundation ("NSF") jurisdiction require prompt notification of the NSF Office of Inspector General ("NSF OIG") should the University become aware during an Inquiry or Investigation that: (1) Public health or safety is at risk; (2) NSF's resources, reputation, or other interests need protecting; (3) There is reasonable indication of possible violations of civil or criminal law; (4) Research activities should be suspended; (5) Federal action may be needed to protect the interests of a subject of the Investigation or of others potentially affected; or (6) The scientific community or the public should be informed. 45 C.F.R. 689.4(c).

## PROCEDURE:

### I. Conducting the Inquiry

#### A. Assessment of Allegations

As soon as practicable after receiving an allegation of research misconduct, the Research Integrity Officer will assess the allegation to determine whether it (1) falls within the definition of research misconduct in this Policy and any applicable federal regulations, and (2) is sufficiently credible and specific so that potential evidence of research misconduct may be identified. If both of these criteria are met, an Inquiry will be conducted unless the Research Integrity Officer determines that unusual circumstances exist that make an inquiry infeasible or otherwise not warranted (such as that the conduct at issue is too old; see 42 CFR 93.105).

#### B. Notice to Respondent

At the time of or before beginning an Inquiry, the Research Integrity Officer shall make a good faith effort to notify the respondent in writing of the decision to conduct an Inquiry. If the Inquiry subsequently identifies additional respondents, they shall also be notified in writing.

#### C. Sequestration of the Research Records

On or before the date on which the respondent is notified, or the Inquiry begins, whichever is earlier, the Research Integrity Officer shall take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner. Where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies have evidentiary value substantially equivalent to that of the instruments.

#### D. Appointment of the Inquiry Committee

The Research Integrity Officer is responsible for conducting, or designating others to conduct, the Inquiry.<sup>2</sup> In cases where the allegations and apparent evidence are straightforward, the Research Integrity Officer may choose to conduct the Inquiry directly or designate another qualified individual, referred to as the inquiry official, to do so. The inquiry official shall not have unresolved personal, professional, or financial conflicts of interest in relation to the Inquiry and should have appropriate scientific expertise to evaluate the evidence and issues related to the allegation and conduct the Inquiry.

<sup>2</sup>Inquiry or Investigation that: (1) Public health or safety is at risk; (2) NSF's resources, reputation, or other interests need protecting; (3) There is reasonable indication of possible violations of civil or criminal law; (4) Research activities should be suspended; (5) Federal action may be needed to protect the interests of a subject of the Investigation or of others potentially affected; or (6) The scientific community or the public should be informed. 45 C.F.R. 689.4(c).

In complex cases, the Research Integrity Officer, in consultation with other University officials, as appropriate, will normally appoint a committee of three or more persons, including a committee chair, to conduct the Inquiry. Where warranted, the Research Integrity Officer may determine that a smaller or larger committee is appropriate. The members of the inquiry committee shall consist of individuals who do not have unresolved personal, professional, or financial conflicts of interest in relation to the Inquiry and should include individuals with the appropriate scientific expertise to evaluate the evidence and issues related to the allegation and conduct the Inquiry. When necessary to secure expertise or to avoid conflicts of interest, the Research Integrity Officer may select committee members from outside the University.

The Research Integrity Officer, in consultation with the inquiry committee, will determine whether additional experts are needed to provide special expertise to the inquiry committee regarding the analysis of specific evidence. If experts are utilized, their role will be advisory to the inquiry committee.

The respondent shall have an opportunity to object to the inquiry official or a proposed member of the inquiry committee based upon a personal, professional, or financial conflict of interest, by submitting written objections to the Research Integrity Officer no more than 10 days following notification of the proposed inquiry official or committee membership. The Research Integrity Officer makes the final determination as to whether a conflict exists.

#### E. Charge to the Inquiry Committee

The Research Integrity Officer will prepare a charge to the inquiry official or inquiry committee that: (1) sets forth the time for completion of the Inquiry; (2) describes the allegations and any related issues identified during the allegation assessment; (3) states that the purpose of the Inquiry is to conduct an initial review of the evidence to determine whether an Investigation is warranted, not to determine whether research misconduct definitely occurred or who was responsible; (4) states the criteria for determining that an Investigation is warranted; and (5) states that the inquiry official or inquiry committee is responsible for preparing or directing the preparation of a written report of the Inquiry that meets the requirements of Section V of this Policy.

The Research Integrity Officer may choose to meet with the inquiry official or inquiry committee to review the charge, discuss the allegations, discuss the appropriate procedures for conducting the Inquiry, assist the inquiry official or committee with organizing plans for the Inquiry, and answer any questions raised by the inquiry official or committee. The Research Integrity Officer or his or her designee will be available throughout the Inquiry to advise the inquiry official or inquiry committee as needed.

## F. Inquiry Process

The purpose of the Inquiry is to conduct an initial review of the available evidence to determine whether to conduct an Investigation. The purpose of the Inquiry is not to decide whether research misconduct definitely occurred, determine who committed the research misconduct or conduct exhaustive interviews and analysis. If interviews are conducted as part of the Inquiry, each interview shall be recorded or transcribed, and the recording or transcript shall be provided to the interviewee for correction and shall be included, with any written corrections, in the record of the Inquiry.

After evaluation of the evidence, the inquiry official or inquiry committee will consult with the Research Integrity Officer and decide whether to recommend that an Investigation is warranted. An Investigation is warranted if: (1) there is a reasonable basis for concluding that the allegation falls within the definition of research misconduct in this Policy and (2) preliminary information-gathering and preliminary fact-finding from the Inquiry indicate that the allegation may have substance.

If the respondent admits research misconduct, a determination of misconduct may be made at or before the Inquiry stage if all relevant issues are resolved. In that case, the Research Integrity Officer, in consultation with the Vice President for Research and other appropriate University officials, shall promptly consult with any appropriate federal agencies to determine the next steps that should be taken.

## G. Time for Completion

The Inquiry, including preparation of the final inquiry report and the decision of the Vice President for Research on whether an Investigation is warranted, must be completed within 60 days of its initiation unless the Research Integrity Officer determines that circumstances warrant a longer period. If the Inquiry takes longer than 60 days, and the Research Integrity Officer approves an extension, the Inquiry record shall include documentation of the reasons for exceeding the 60-day period.

# II. The Inquiry Report

## A. Elements of the Inquiry Report

A written inquiry report shall be prepared that includes the following information: (1) the name and position of the respondent; (2) a description of the allegations of research misconduct; (3) pertinent federal agency support, including, for example, grant numbers, grant applications, contracts, and publications listing such support; (4) the basis for recommending or not recommending that the allegations warrant an Investigation; and (5) any written comments on the draft report by the respondent or the complainant.

The inquiry report should also include: the names and titles of the inquiry official or committee members and experts who conducted the Inquiry; a summary of the inquiry process used; a list of the research records reviewed; and whether any other actions should be taken if an Investigation is not recommended. The inquiry report shall either be signed by the inquiry official or by each member of the inquiry committee or shall include other written evidence of each person's concurrence or non-concurrence with the findings and conclusions of the Inquiry.

## B. Opportunity to Comment on the Inquiry Report

The Research Integrity Officer shall provide the respondent with a copy of the draft inquiry report and, concurrently, with a copy of any applicable federal research misconduct policy. The respondent shall be provided with an opportunity to review and comment on the inquiry report. Any comments from the respondent must be in writing and received within 10 days of his/her receipt of the inquiry report and will be attached to the report. Based on the



comments, the inquiry committee may revise the draft report as appropriate and prepare it in final form. The Research Integrity Officer will deliver the final report to the Vice President for Research.

The Research Integrity Officer may provide the complainant with relevant portions of the inquiry report for comment. Any comments from the complainant must be in writing and received within 10 days of his/her receipt of the inquiry report.

C. Decision and Notification

1. Decision by the Vice President for Research

The Research Integrity Officer will transmit the final inquiry report and any written comments to the Vice President for Research, who will determine in writing whether an Investigation is warranted. The Inquiry is complete when the Vice President for Research makes this determination.

2. Notice to Respondent and Complainant

The Research Integrity Officer shall notify the respondent whether the Inquiry found that an Investigation is warranted. The notice shall include a copy of the inquiry report and include a copy of or refer to this Policy and any applicable federal research misconduct policy.

3. Notice to Applicable Sponsor or Federal Agency

The Research Integrity Officer shall provide to applicable sponsors or federal agencies any required reports regarding the Inquiry and decision to initiate an Investigation. For cases involving ORI jurisdiction, within 30 days of the Vice President for Research's decision that an Investigation is warranted, but not later than the date the Investigation begins, the Research Integrity Officer shall provide ORI with the Vice President for Research's written decision and a copy of the inquiry report. The Research Integrity Officer will also notify University officials who need to know of the Vice President for Research's decision.

4. Documentation of Decision Not to Investigate

If the Vice President for Research decides that an Investigation is not warranted, the Research Integrity Officer shall secure and maintain, for seven years after the termination of the Inquiry, sufficiently detailed documentation of the Inquiry to permit a later assessment by supporting federal agencies of the reasons why an Investigation was not conducted. These documents shall be provided to authorized federal personnel upon request.

### III. Conducting the Investigation

#### A. Initiation and Purpose

The Investigation shall begin within 30 days after the Vice President for Research's determination that an Investigation is warranted. The purpose of the Investigation is to develop a factual record by exploring the allegations in detail and examining the evidence in depth, leading to findings on whether research misconduct has been committed, by whom, and to what extent. The Investigation will also determine whether there are additional instances of possible research misconduct that would justify broadening the scope beyond the initial allegations. The findings of the Investigation shall be set forth in an investigation report.

#### B. Notice to Respondent

Within a reasonable time after determining that an Investigation is warranted, but before the Investigation begins, the Research Integrity Officer shall notify the respondent in writing of the allegations to be investigated. If allegations not addressed during the Inquiry or in the initial notice of the Investigation are pursued, the Research Integrity Officer shall give the respondent written notice of any such new allegations.

#### C. Sequestration of the Research Records

Before or at the time the University notifies the respondent of the Investigation, the Research Integrity Officer shall take all reasonable and practical steps to obtain custody of and sequester in a secure manner all research records and evidence needed to conduct the research misconduct proceeding that were not previously sequestered during the Inquiry. Where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent, in evidentiary value, to the instruments. If additional items become known or relevant during the Investigation, the Research Integrity Officer shall take reasonable and practical steps to obtain custody of those records.

#### D. Appointment of the Investigation Committee

As soon as practicable after the Vice President for Research determines that an investigation is warranted, the Research Integrity Officer, in consultation with other University officials, as appropriate, will appoint an investigation committee and committee chair, which will conduct the Investigation.

The investigation committee shall consist of individuals who did not serve on the inquiry committee and who do not have unresolved personal, professional, or financial conflicts of interest in relation to the Investigation. Investigation committee members should have appropriate scientific expertise to evaluate the evidence and issues related to the allegation, interview the respondent and complainant, and conduct the Investigation. When necessary to secure expertise or to avoid conflicts of interest, the Research Integrity Officer may select committee members from outside the University. The Research Integrity Officer may not serve as a member of the investigation committee.

The respondent shall have an opportunity to object to proposed members of the investigation committee based upon personal, professional or financial conflict of interest, by submitting written

objections to the Research Integrity Officer no more than 10 days following notification regarding the committee membership. The Research Integrity Officer makes the final determination as to whether a conflict exists.

E. Charge to the Investigation Committee

The Research Integrity Officer will define the subject matter of the Investigation in a written charge to the investigation committee that: (1) describes the allegations and related issues identified during the Inquiry; (2) identifies the respondent; (3) informs the investigation committee that it must conduct the Investigation as prescribed in this Policy; (4) defines research misconduct; (5) informs the investigation committee that it must evaluate the evidence and testimony to determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, the type and extent and who was responsible; and (6) informs the investigation committee that it must prepare or direct the preparation of a written investigation report that meets the requirements of Section VII.A.

The Research Integrity Officer may choose to meet with the investigation committee to review the charge, the inquiry report, and prescribed procedures and standards for the conduct of the Investigation, including the necessity for confidentiality and for developing a specific Investigation plan.

The investigation committee shall be provided with a copy of this Policy and any applicable federal research misconduct policy. The Research Integrity Officer or designee will ordinarily be available throughout the Investigation to advise the investigation committee as needed.

F. Investigation Process

The investigation committee and the Research Integrity Officer shall:

1. Use diligent efforts to ensure that the Investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of each allegation;
2. Take reasonable steps to ensure an impartial and unbiased Investigation to the maximum extent practical, including participation of persons with appropriate scientific expertise who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the Inquiry or Investigation;
3. Interview each respondent, complainant, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation, including witnesses identified by the respondent, and record and transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript, and any written corrections, in the record of the Investigation; and
4. Pursue diligently all significant issues and leads discovered that are determined relevant to the Investigation, including any evidence of additional instances of possible research misconduct, and continue the Investigation to completion.

G. Standard for Making a Finding of Research Misconduct

In order to make a finding of research misconduct, the investigation committee must find by a preponderance of the evidence that: (1) research misconduct occurred, as defined in this Policy or

applicable federal agency policy; (2) the research misconduct is a significant departure from accepted practices of the relevant research community; and (3) the respondent committed the research misconduct intentionally, knowingly, or recklessly.

The Research Integrity Officer will advise the investigation committee of any additional applicable regulatory standards for making a finding of research misconduct. (*See, for example*, 42 CFR 93.106.)

#### H. Time for Completion

The Investigation shall ordinarily be completed within 120 days of its initiation, including conducting the Investigation, preparing the report of findings, providing the draft report for comment, and sending the final report to any applicable federal agency. However, if the Research Integrity Officer determines that the Investigation will not be completed within the 120-day period, or as requested by the applicable agency, he/she shall submit to the applicable agency, or if no agency is involved, to the Vice President for Research, a written request for an extension setting forth the reasons for the delay.

### IV. The Investigation Report

#### A. Elements of the Investigation Report

The investigation committee and the Research Integrity Officer are responsible for preparing a written investigation report which shall: (1) describe the nature of the allegation of research misconduct; (2) describe and document any federal or private funding, including, for example, any grant numbers, grant applications, contracts, and publications listing any such support; (3) describe the specific allegations of research misconduct considered in the Investigation; (4) include a copy of this Policy; and (5) identify and summarize the research records and evidence reviewed and identify any evidence taken into custody but not reviewed.

The report shall also include a statement of findings for each separate allegation of research misconduct identified during the Investigation. Each statement of findings shall provide a decision as to whether misconduct did or did not occur, and if so --

(1) Identify whether the research misconduct was:

- a. falsification, fabrication, or plagiarism,
- b. a significant departure from accepted practices of the relevant research community, and
- c. committed intentionally, knowingly, or recklessly;

(2) Summarize the facts and the analysis that support the conclusion and consider the merits of any reasonable explanation by the respondent;

(3) Identify specifically any pertinent federal support or proposals (reports to ORI shall include current support from, and known applications or proposals for support to, PHS as well as other federal agencies);

(4) Identify whether publications need correction or retraction; and

(5) Identify the person(s) responsible for the misconduct.

The investigation report shall either be signed by each member of the investigation committee or shall include other written evidence of each member's concurrence or non-concurrence with the findings and conclusions of the Investigation.

**B. Comments on the Draft Investigation Report and Access to Evidence**

**1. Respondent**

The Research Integrity Officer shall provide the respondent with a copy of the draft investigation report for comment, and shall provide the respondent, concurrently, with a copy of, or supervised access to, the evidence on which the report is based. The respondent shall be allowed 30 days to review the draft report and submit written comments to the Research Integrity Officer. The respondent's comments shall be taken into consideration when preparing the final investigation report and shall be attached to the final report.

**2. Complainant**

The Research Integrity Officer may provide the complainant with a copy of the draft investigation report, or relevant portions of it, for comment. If provided with a copy of the report, the complainant's comments must be in writing and submitted within 30 days of the date on which he/she received the draft report. Comments received from the complainant shall be taken into consideration in preparing the final investigation report and shall be attached to the final report.

**3. Confidentiality**

In distributing the draft report, or portions thereof, to the respondent or complainant, the Research Integrity Officer will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the Research Integrity Officer may require that the recipient sign a confidentiality agreement.

**C. Decision by the Vice President for Research**

The Research Integrity Officer will assist the investigation committee in finalizing the draft investigation report, including ensuring that the respondent's and, in appropriate cases, the complainant's written comments are included and considered. The Research Integrity Officer will transmit the final investigation report to the Vice President for Research, who will determine in writing: (1) whether the University accepts the Investigation's findings; and (2) the appropriate internal actions to be taken or recommended in response to the accepted findings of research misconduct. If the Vice President for Research's determination varies from the findings of the investigation committee, the Vice President for Research will, as part of his/her written determination, explain in detail the basis for rendering a decision different from the findings of the investigation committee. Alternatively, the Vice President for Research may return the report to the investigation committee with a request for further fact-finding or analysis.

When a final decision on the case has been reached, the Research Integrity Officer will normally notify both the respondent and the complainant in writing. The Research Integrity Officer is also responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies. The Vice President for Research in consultation as appropriate with the Research Integrity Officer and other University officials will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case.

#### D. Notice to Applicable Federal Agencies of University Findings and Actions

Unless an extension has been granted, within 120 days of beginning the Investigation, the Research Integrity Officer shall submit to any applicable federal agency a copy of the final investigation report with attachments; a statement of whether the University accepts the findings of the investigation report; a statement of whether the University found research misconduct and, if so, who committed the misconduct; and, if required by the agency, a description of any pending or completed administrative actions against the respondent.

#### E. Maintaining Records for Review by Federal Agencies

The Research Integrity Officer shall maintain, and upon request, provide to authorized federal officials, records of the research misconduct proceedings, including: (1) records secured by the University for the Inquiry and Investigation; (2) documentation of the determination of irrelevant or duplicate records; (3) the inquiry report and final documents produced in the course of preparing that report, including the documentation of any decision not to investigate; and (4) the investigation report and the records in support of that report, including the recording or transcript of each interview conducted pursuant to this Policy.

Unless custody has been transferred to the applicable federal agency or the agency has advised the University, in writing, that the records no longer need to be retained, these records shall be maintained in a secure manner for seven years after the later of completion of the proceeding or the completion of any federal agency proceeding involving the research misconduct allegation.

The Research Integrity Officer is also responsible for providing any information, documentation, research records, evidence, or clarification requested by authorized federal officials to carry out their review of an allegation of research misconduct or of the University's handling of such an allegation.

#### V. Completion of Cases and Reporting Premature Closures to Applicable Federal Agencies

Generally, all Inquiries and Investigations will be carried through to completion and all significant issues will be pursued diligently. The Research Integrity Officer shall, if required by such agency, notify any applicable federal agency in advance if there are plans to close a case at the Inquiry or Investigation stage on the basis that the respondent has admitted guilt, a settlement with the respondent has been reached, or for any other reason except that: (1) no notification to federal agencies need be provided when a case is closed after an Inquiry that finds pursuant to Section IV.F that an Investigation is not warranted; and (2) if an Investigation is completed, the University's findings must be reported as specified under Section VII.D of this Policy.

#### VI. Internal Administrative Actions

If the Vice President for Research determines that a finding of research misconduct is substantiated, the University, through the Vice President for Research, the Budget Executive, the Budget Administrator or other appropriate official, may adopt sanctions, which may include, for example:

- a. Re-training;
- b. Unannounced or announced audits;
- c. A letter of reprimand or admonishment to be included in respondent's file;
- d. Supervision or monitoring of future work, including a requirement for certification by senior personnel that a person's work met specified conditions;

- e. Removal from the research project in question;
- f. Formal notification of sponsoring agencies, funding sources, co-authors, co-investigators, collaborators or journal editors;
- g. Withdrawal or correction of pending abstracts and papers emanating from the research where research misconduct was found;
- h. Formal withdrawal of pending applications for research support;
- i. Public announcements; and/or
- j. Restitution of funds.

If the Vice President for Research determines that a finding of research misconduct is substantiated, the Vice President for Research may also recommend to the Budget Executive or other appropriate University official, disciplinary sanctions, which may include, for example:

- a. Probation or suspension;
- b. Initiation of steps leading to possible impact on salary; and/or
- c. Initiation of steps leading to possible termination of employment.

None of these sanctions limits the authority of the funding sponsor to impose its own sanctions.

## VII. Other Considerations

### A. Protecting the Respondent

Respondents may consult with legal counsel or a non-lawyer personal advisor (who is not a principal or witness in the case) to seek advice. During research misconduct proceedings, the respondent may be accompanied by counsel or a personal advisor at interviews and meetings, but the lawyer or personal advisor's role will be limited to counseling the respondent, and the respondent will be responsible for answering all questions.

As requested and appropriate, the Research Integrity Officer and other University officials shall make all reasonable and practical efforts to protect or restore the reputation of persons alleged to have engaged in research misconduct but against whom no finding of research misconduct is made. Depending on the particular circumstances and the views of the respondent, the Research Integrity Officer should consider whether to notify those individuals aware of or involved in the research misconduct proceeding of the final outcome, publicize the final outcome in any forum in which the allegation of research misconduct was previously publicized, and/or expunge references to the research misconduct allegation from the respondent's personnel file.

### B. Protecting the Complainant, Witnesses and Committee Members

University faculty, staff, and students may not retaliate in any way against complainants, witnesses, or committee members. Faculty, staff, and students should immediately report any alleged or apparent retaliation against complainants, witnesses, or committee members to the Research Integrity Officer.

During the research misconduct proceeding and upon its completion, regardless of whether or not the University or a federal agency determines that research misconduct occurred, the Research Integrity Officer shall undertake all

reasonable and practical efforts to protect the position and reputation of, or to counter potential or actual retaliation against, any complainant who made allegations of research misconduct in good faith and of any witnesses and committee members who cooperate in good faith with the research misconduct proceeding.

### C. Allegations Not Made in Good Faith

If relevant, the Vice President for Research will determine whether the complainant's allegations of research misconduct were made in good faith, or whether a witness or committee member acted in good faith. If the Vice President for Research determines that the complainant knowingly made a false allegation of research misconduct, the Vice President for Research shall determine whether any administrative action will be taken against the complainant or whether any disciplinary action against the complainant will be recommended to the Budget Executive or other appropriate University official.

CROSS-REFERENCES—Other Policies in this Manual should also be referenced, especially the following:

IP01 Ownership and Management of Intellectual Property  
IP06 Technology Transfer and Entrepreneurial Activity (Faculty Research)  
RP03 The Use of Human Subjects in Research

## **CO-AUTHORSHIP OF SCHOLARLY REPORTS, PAPERS AND PUBLICATIONS (Formerly Policy RA13)**

### 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 public action 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 advisor.
- (2) 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.



## GRADUATE ASSISTANTS

### PURPOSE:

To state the Graduate Assistant Policy of the University.

### TYPES AND SALARY RANGES:

Graduate assistantships are of three types: quarter-time, half-time, and three-quarter-time. The expected duration of assigned tasks is the same for all graduate assistants within the same type. Thus, for all quarter-time graduate assistants, irrespective of stipend, 10 hours of regular work per week are expected; for all half-time assistants, 20 hours; and for all three-quarter-time assistants, 30 hours. A semester normally consists of 18 full weeks, and extended summer session 14 weeks. Appointments are to be made at one of several grades in consideration of experience and qualifications of the individual. Refer to the Table of Stipends for Graduate Assistants and the Penn State Graduate Degree Programs Bulletin for further information.

Within any department or other administrative unit of the University, there shall be the same pay for the same work for graduate assistants regardless of the field of study in which the student is enrolled. This policy shall not preclude a scale of stipends based on merit, seniority or degree candidacy.

### ELIGIBILITY:

Graduate assistants must be enrolled at Penn State as graduate students. More specifically, since assistantships are provided as aids to completion of advanced degrees, assistants are expected to enroll for credit loads each semester that fall within the limits indicated in the table below. Maximum limits on permissible credit loads are indicated in order to assure that the student can give appropriate attention both to academic progress and assistantship responsibilities. These considerations give rise to the table of permissible credit loads below.

### OFFER OF APPOINTMENT:

Every Graduate Assistant shall be offered his or her appointment each year in writing, using a standard form, the *Terms of Offer of a Graduate Assistantship*, together with an individual letter of transmittal. The letter will indicate any extensive duties other than professional and preprofessional they will be called upon to perform.

### RESPONSIBILITIES:

A graduate assistant may assist in classroom or laboratory instruction, in research or in other work. The tasks assigned to a graduate assistant often are identical in nature to those required for the advanced degree sought. If the duties are identical in nature to those required for the advanced degree sought, it must be noted in the Terms of Offer of a Graduate Assistantship, the individual letter of transmittal and on the appropriate IBIS appointment, reappointment or change form. Additional compensation is paid to a graduate assistant by the University for additional hours of work only with special, advance approval of the administrative head of the academic unit in which the assistantship is held, and of the chair of the student's graduate academic program, and provided that such compensation is not for additional hours of work on the assigned assistantship duties.

### LENGTH OF APPOINTMENTS:

The appointment may be for the summer session or one or two semesters and must terminate on or before the end of the spring semester in any fiscal year. When an appointment will terminate before the end of the spring semester, the appointee should be informed of this when offered the assistantship.

## HEALTH INSURANCE BENEFIT:

International Graduate Assistants are required to have health insurance coverage for themselves and their dependents in the United States. For domestic Graduate Assistants, health insurance is optional. The University provides a health insurance benefit as part of the assistantship contract. The University will pay a percentage of the annual premium for the Penn State Student Health Insurance Plan. The remaining percentage will be automatically deducted from the student's assistantship stipend. The University will not supplement, nor will a payroll deduction be made, for insurance policies other than the Penn State Student Insurance Plan.

International Graduate Assistants who have adequate alternate medical coverage and who do not wish to be enrolled in the Penn State Student Health Insurance Plan must submit a waiver application. In order to be granted a waiver, alternate plans must meet certain standards as established by the University Student Insurance Committee. This Committee will approve or disapprove the waiver application.

International Graduate Assistants who do not apply for a waiver will be automatically enrolled in the Penn State Student Insurance Plan.

*(NOTE: Applications for a waiver demonstrating adequate alternate insurance must be submitted on a yearly basis each fall.)*

Domestic Graduate Assistants will automatically be enrolled in the Penn State Student Insurance Plan. Domestic Graduate Assistants who do not wish to be enrolled in the Penn State Student Insurance Plan must decline the insurance. Dependent health insurance coverage for domestic Graduate Assistants must be submitted on a yearly basis each fall.

For further information, contact the Student Insurance Office, 814-865-7467, or see "Graduate Assistant and Graduate Fellow Health Insurance Plan" on the University Health Services website.

## FORMS TO BE COMPLETED BY AND FOR GRADUATE ASSISTANTS:

A graduate assistant is appointed by completing an "NAPP/GFSA" in IBIS. Each appointment is approved, based upon the budget administrator's recommendation and certification of eligibility by the Dean of the Graduate School.

According to Policy HR30, the budget executive is responsible for providing proof that there are no subversive persons employed in his/her area of responsibility.

In accepting an appointment as a graduate assistant, the recipient is required to complete the following forms:

1. Employee's Withholding Allowance Certificate - Form W-4. Also, see Policy [PR13](#).
2. Employment Eligibility Verification (INS Form I-9).
3. University Intellectual Property Agreements.
4. Salary Deposit Request.

## SUBMISSION OF FORMS FOR THE APPOINTMENT OF GRADUATE ASSISTANTS:

The *Employee's Withholding Allowance Certificate (W-4)* and *Salary Deposit Requests* are attached and submitted together to the Financial Officer. The forms are required in the Payroll Office **one month before** the first pay date each semester/session. The "GFSA" is approved and processed electronically.

Appointments are to be submitted in accordance with stipends authorized in the Table of Stipends for Graduate Assistants.

## SUBMISSION OF FORMS FOR THE REAPPOINTMENT OF GRADUATE ASSISTANTS:

The "GRAD" is submitted with the block "Reappointment" marked. It is not required that a new *Employee's Withholding Allowance Certificate (W-4)* be completed if the graduate assistant's status (i.e., number of withholding exemptions, local earned income tax, address and/or name) is unchanged, providing that the graduate assistant's original appointment has not been terminated for more than a year.

#### CREDITS THAT MAY BE SCHEDULED:

The privileges of graduate study are the same for all graduate assistants within the same type. The table that follows shows the number of credits that normally may be scheduled for **each** semester or session.

	Fall/Spring	Summer
Graduate Assistant - Quarter-Time	9-14	5-7
Graduate Assistant - Half-Time	9-12	4-6
Graduate Assistant - Three-Quarter-Time	6-8	3-4

The credits specified are the number which the appointee is ordinarily expected to carry. To provide some flexibility, moderate exceptions to the specified limits may be made in particular cases. The credit limits specified above may only be increased or decreased in exceptional cases for a specific semester or summer session by permission of the assistantship supervisor, the student's academic advisor, and the dean of the Graduate School (requests should be submitted for the dean's approval via the Office of Graduate Enrollment Services). It is expected that:

- The credit load and the service load are properly balanced in each semester and the total credit load over a period of time conforms with the specified limits.
- The total number of credits scheduled during the interval of appointment is consistent with the type of appointment.
- The student is assigned no more than the normal work load during the first semester/session as a graduate student at the University, thus permitting him or her to be primarily a student during this period.

#### EVALUATION AND PERFORMANCE:

Each graduate assistant shall be supervised and assisted in assigned tasks until they gain experience and skill enabling them to take responsibility. Each graduate assistant shall have his or her work evaluated at least once each year, and the supervisor shall discuss with the individual how well he/she performed during the appointment period.

#### PAYMENT OF STIPENDS:

All graduate assistant appointees are paid monthly. Direct salary deposits shall be mandatory and a condition of hire.

#### RATES CHARGED TO FUNDING SOURCES:

Graduate Assistant tuition will be charged to sponsored agreements at an average in-state rate.

Flat rate dissertation fees will be charged to a sponsored agreements for assistantships.

Tuition coverage through the Tuition Assistance Program is not available during any period for which the student is appointed on an assistantship.

#### CHANGES:

All changes to the appointment are accomplished by submitting an IBIS "*GRAD.*"

#### TERMINATION:

All graduate assistant appointments are terminated automatically upon expiration without submitting termination forms; however, early terminations must be made by submitting an IBIS "*TRMN/GFST.*"

The amount of final pay for an early termination is to be determined by subtracting the amount of stipend paid to the graduate assistant from the number of weeks of service rendered to the date of termination. If additional days are involved, the daily rate of 1/7th of the weekly rate applies.

# APPENDIX II

**MASTER OF SCIENCE IN COMPUTER SCIENCE & ENGINEERING  
DEGREE CHECKSHEET  
(Thesis Option)**

Student's Name: \_\_\_\_\_

PSU ID: \_\_\_\_\_

**9 credits of breadth courses**

CMPSC 465 **OR** CSE 565 \_\_\_\_\_

CMPSC 473 **OR** CSE 511 \_\_\_\_\_

CMPEN 431 **OR** CSE 530 \_\_\_\_\_

**15 credits – 400 level and above** (No more than 9 credits of 400 level courses total)  
400 level breadth courses count toward 9 credits of 400 level courses.

Courses:

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

CSE 590 \_\_\_\_\_ semester \_\_\_\_\_

CSE 600 \_\_\_\_\_ cr. (6 credits required)

A grade of C or higher must be earned for each course. Student must maintain cumulative GPA of 3.00 or higher for graduation.

**SARI Requirements**

\_\_\_\_\_ SARI seminars (5 hours)

\_\_\_\_\_ CITI online course

\_\_\_\_\_ Student has completed ALL requirements for graduation.

\_\_\_\_\_ Student will meet all of the requirements for graduation upon successful completion of the following:

Additional Comments:

Date: \_\_\_\_\_

**MASTER OF SCIENCE IN COMPUTER SCIENCE & ENGINEERING  
DEGREE CHECKSHEET  
(Non-Thesis Option)**

Student's Name: \_\_\_\_\_

PSU ID: \_\_\_\_\_

**9 credits of breadth courses**

CMPSC 465 **OR** CSE 565 \_\_\_\_\_

CMPSC 473 **OR** CSE 511 \_\_\_\_\_

CMPEN 431 **OR** CSE 530 \_\_\_\_\_

**18 credits – 400 level and above** (No more than 9 credits of 400 level courses total)  
400 level breadth courses count toward 9 credits of 400 level courses.

Courses:

_____	_____
_____	_____
_____	_____

CSE 590 \_\_\_\_\_ semester \_\_\_\_\_

CSE 594 \_\_\_\_\_ (to be taken in the last semester)

A grade of C or higher must be earned for each course. Student must maintain cumulative GPA of 3.00 or higher for graduation.

**SARI Requirements**

\_\_\_\_\_ SARI seminars (5 hours)

\_\_\_\_\_ CITI online course

\_\_\_\_\_ Student has completed ALL requirements for graduation.

\_\_\_\_\_ Student will meet all of the requirements for graduation upon successful completion of the following:

Additional Comments:

Date: \_\_\_\_\_

## MASTER OF ENGINEERING IN COMPUTER SCIENCE & ENGINEERING DEGREE CHECKSHEET (1 YR M ENG)

Student's Name: \_\_\_\_\_

PSU ID: \_\_\_\_\_

12 credits – Fall Semester

\_\_\_\_\_ CmpSc 465 (3) Options 1 and 2

\_\_\_\_\_ CSE 5xx elective (3)

\_\_\_\_\_ CmpSc 443 (3) or CSE 543 (3) **AND** \_\_\_\_\_ CmpSc 431 (3) Option 1

**OR**

\_\_\_\_\_ CmpEn 431 (3) **AND** \_\_\_\_\_ CmpEn 472 (3) Option 2

12 credits – Spring Semester (Options 1 and 2)

\_\_\_\_\_ CSE 5xx elective (3)

\_\_\_\_\_ CSE 5xx elective (3)

\_\_\_\_\_ CSE 5xx elective (3)

\_\_\_\_\_ CSE 5xx elective (3)

6 credits – Summer Semester

\_\_\_\_\_ CSE 820 (3)

\_\_\_\_\_ CSE 594 (3)

A grade of C or higher must be earned for each course. Student must maintain cumulative GPA of 3.00 or higher for graduation.

\_\_\_\_\_ SARI Requirement (5 hours of seminar attendance and on-line CITI training)

\_\_\_\_\_ Student has completed ALL requirements for graduation.

\_\_\_\_\_ Student will meet all of the requirements for graduation upon successful completion of the following:

Date: \_\_\_\_\_



## DOCTOR OF PHILOSOPHY IN COMPUTER SCIENCE & ENGINEERING DEGREE CHECKSHEET (old requirements – Prior to Fall 2017)

Student's Name: \_\_\_\_\_

PSU ID: \_\_\_\_\_

48 credits of non-thesis credit:

27 credits – 500-589 or CSE 598 prior to FA2013 or CSE 597 beginning FA2013

_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

21 credits – 400 level and above

_____	_____	_____
_____	_____	_____
_____	_____	_____

Breadth Requirement Met

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

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

Req. 3 \_\_\_\_\_

Req. 4 \_\_\_\_\_

590 (Colloquium) – 3 credits

_____	_____	_____
-------	-------	-------

CSE 591 – CSE Research Experience

Qualifying Exam Areas Passed

\_\_\_\_\_

\_\_\_\_\_

Dept. Engl Proficiency Exam

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

AEOCPT (International Students only)

\_\_\_\_\_

\_\_\_\_\_

Comprehensive Exam

\_\_\_\_\_

Dissertation Exam

\_\_\_\_\_

SARI Requirement

\_\_\_\_\_

Additional Comments:

Notes:

- A maximum of 3 credits of X96 may also be counted.
- At most, 3 credits of background course work can be used to satisfy the degree requirement.

Graduate Officer's

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**DOCTOR OF PHILOSOPHY IN COMPUTER SCIENCE & ENGINEERING DEGREE CHECKSHEET (new requirements effective  
Fall 2017)**

Student's Name: \_\_\_\_\_

PSU ID: \_\_\_\_\_

**Students who do not have an MS in Computer Science or Computer Engineering must take a minimum of 33 credits**

**6 credits**

CSE 565                      CSE 511                      CSE 530  
\_\_\_\_\_  
\_\_\_\_\_

**15 credits** – CSE courses (excluding 598, 596)  
597 courses can be counted towards the 15 credits)

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

**9 credits** – 400/500/800 level courses in CSE/EE/Math/  
STAT or 500/800 level courses in IST (a maximum of 3 credits  
of CSE 596 can be counted towards the 9 credits)

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

590 (Colloquium) – **2 credits**  
\_\_\_\_\_

CSE 591 – CSE Research Experience- **1 credit**  
\_\_\_\_\_

Dept. Engl Proficiency Exam  
\_\_\_\_\_

AEOCPT (International Students only)  
\_\_\_\_\_

Comprehensive Exam  
\_\_\_\_\_

Dissertation Exam  
\_\_\_\_\_

SARI/CITI Requirements  
\_\_\_\_\_

Additional Comments:

Graduate Officer's  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**DOCTOR OF PHILOSOPHY IN COMPUTER SCIENCE & ENGINEERING DEGREE CHECKSHEET (new requirements effective  
Fall 2017)**

Student's Name: \_\_\_\_\_

PSU ID: \_\_\_\_\_

**Students who have an MS in Computer Science or Computer Engineering must take a minimum of 21 credits**

**6 credits**

CSE 565                      CSE 511                      CSE 530  
\_\_\_\_\_  
\_\_\_\_\_

**9 credits** – CSE courses (excluding 598, 596)  
597 courses can be counted towards the 9 credits)

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

**3 credits** – 400/500/800 level courses in CSE/EE/Math/  
STAT or 500/800 level courses in IST (a maximum of 3 credits  
of CSE 596 can be counted towards the 9 credits)

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

590 (Colloquium) – **2 credits**

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

CSE 591 – CSE Research Experience - **1 credit**

\_\_\_\_\_

Dept. Engl Proficiency Exam

\_\_\_\_\_

AEOCPT (International Students only)

\_\_\_\_\_

Comprehensive Exam

\_\_\_\_\_

Dissertation Exam

\_\_\_\_\_

SARI/CITI Requirements

\_\_\_\_\_

Additional Comments:

Graduate Officer's

Signature: \_\_\_\_\_ Date: \_\_\_\_\_