



**Department of  
Electrical Engineering  
and Computer Science**

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# Graduate Student Handbook

Fall 2022

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## *Preface*

This handbook is intended as a guide for beginning graduate students in Electrical Engineering and Computer Science (EECS). It provides information on questions that will be important for a new arrival, outlines department procedures and policies, and gives requirements for the M.S. and Ph.D. degrees. It is neither an exhaustive compilation nor an official statement of requirements. The [UCI General Catalogue](#) and the [Henry Samueli School of Engineering Graduate Student handbook](#) should also be consulted. This handbook is updated annually and is published on the EECS website.

### **Department Office**

The EECS Department Office is located in Engineering Hall 2200. The main function of the EECS Department Office is to support the department's academic mission. Faculty and staff are available to provide assistance and to help students achieve their educational goals. They work to ensure compliance with all university, Henry Samueli School of Engineering, and International Center rules and guidelines and collaborate with various departments on many student-related issues. The EECS Department is your first point of contact for any questions or concerns you may have. The Graduate Division serves as the final school-wide approval for petitions, advancements to candidacy, degree conferrals, and other processes.

### **Department Graduate Advisors and Department Staff**

The Department Graduate Advisor is a faculty member who serves as the official representative of the Graduate Dean in matters affecting graduate students. Graduate Advisors work closely with, the HSSoE Graduate Student Affairs Office (GSAO) and UCI Graduate Division. The Graduate Dean depends on the experience and judgment of Graduate Advisors, and on their recommendations in matters requiring the Graduate Dean's action. The Graduate Division staff, the Graduate Student Affairs staff, and the department coordinator(s) provide information to the Advisors on a continuing basis and respond to requests for special assistance.

The EECS Department Graduate Advisors are responsible for supervising graduate study in their department and for helping graduate students make connections with individual faculty advisors and mentors.

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## EECS Department Staff

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Jasmine Garcia, Business Office Analyst  
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### Henry Samueli School of Engineering (HSSoE) Graduate and Professional Studies (GPS)

From recruitment and admission to degree conferral and graduation, HSSoE Graduate Student Affairs Office (GSAO) provides many services for new and continuing graduate students. As you navigate towards degree completion, the main function of the GSAO is to provide academic counseling and advice for you. GSAO collaborates with various other departments on many student-related issues and works closely with the EECS Department to ensure your progress.

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**UCI Graduate Division** | <http://www.grad.uci.edu/> | 120 Aldrich Hall | (949) 824-4611

UCI Graduate Division oversees all post-baccalaureate advanced degree programs at UCI and all graduate students. The Dean of Graduate Division is responsible for the administration of graduate and post-doctoral study at UCI in accordance with academic policies established by the Academic Senate via Graduate Council. Graduate Division serves as the campus-wide advocate for the advancement of graduate education and strives for standards of excellence, fairness, and equity in all graduate programs at UCI.

**International Center** | <https://ic.uci.edu/students/currentStudents/index.php> | G302 UCI Student Center  
The International Center advances and facilitates international engagement at UCI to enhance the academic and personal experience of the international community. The International Center staff is committed to serving campus constituents through advising, immigration services, programming, advocacy, and outreach.

## *Getting Started*

### **Parking**

All vehicles must display a valid UCI parking permit when parked on campus or used metered spaces. The Parking and Transportation Services Office is located in the Public Services Building. The Sustainable Transportation Program provides those who do not drive regularly a limited amount for free permits each year. Information can be found at: <http://www.parking.uci.edu/AT/>

### **Housing**

UCI has guaranteed graduate housing for incoming students. For more information, or to apply, please see <http://www.housing.uci.edu/>

### **Desk Space**

EECS highly prioritizes providing individual work space for Ph.D. students. Students are assigned space based on availability and the Professor's request. Please contact the EECS Business Office Analyst for further details. Every effort is made to make graduate student desk spaces habitable and quiet.

### **Teaching Assistant Office Hour Space**

The tables and chairs in Engineering Hall 2202 may be used for TA office hours.

### **Keys**

EECS graduate students are supplied with the necessary keys to offices and a card key for after-hours entrance into the building once required safety training is completed. There is a \$25 refundable deposit for each key. Please contact the EECS Business Office Analyst for procedures to request keys.

### **Mail**

Student mail boxes are located in Engineering Hall 2202.

### **Copy Machines**

A copy machine is located in Engineering Hall 2200. Copy services are for business purposes only. Teaching Assistants will be given a code to access the copier. Please see an EECS Department staff member for your TA access code.

### **Library**

Julia Gelfand is the Research Librarian responsible for EECS holdings, and can help with a variety of library needs. Student ID cards may be activated at the library for check-out privileges. ANTPAC, a public access catalog, provides information on UCI library materials. Libraries at Scripps Institution of Oceanography (UCSD) and UCLA are also accessible.

### **Funding**

Not all students receive financial support. Funding at the M.S. level is very limited. Funding at the Ph.D. level is more common, but is not guaranteed and should not be expected if not offered at the time of admission. There are three mechanisms for funding: department fellowships, research assistantships, and teaching assistantships.

Some students are initially funded by department fellowship. Taxes are not deducted from fellowships, although they are considered taxable for reporting purposes.

Research Assistants (GSR or Graduate Student Researchers) are paid by faculty member's research

grants and are considered regular UCI employees; this is the typical funding mechanism while you work on your dissertation research. Students are also required to gain teaching experience by serving as teaching assistants (TA). GSR and TA funding is considered payroll. Taxes are withheld from payroll according to how you fill out your employment paperwork. Please consult a tax professional if you have questions regarding tax withholding or liability.

University payroll is payable on the first of each month following the month worked. Fellowship payments are typically paid in advance. Unfortunately, we cannot completely control the dates payments are made, especially fellowship payments. We encourage you to ask any questions about funding that you may have.

Due to the two payment systems (university payroll and the fellowship system) you may need to sign up for direct deposit for both systems. Please see the links below.

Fellowship system: <https://zotaccount.uci.edu/>

University payroll: <https://accounting.uci.edu/payroll/direct-deposit.html>

### **Helpful Links**

Fellowship opportunities: <http://www.grad.uci.edu/funding/index.html>

TA/Reader opportunities: <http://engineering.uci.edu/dept/eecs/graduate/teaching-assistants-and-readers>

EECS career opportunities: <http://engineering.uci.edu/dept/eecs/career-opportunities>

Payroll information (including employment verification and paystubs): <https://eec.hr.uci.edu/>

ZotPortal : <https://portal.uci.edu/uPortal/f/main/normal/render.uP>

Tax information: <https://accounting.uci.edu/tax/index.html>

Glacier: <https://accounting.uci.edu/tax/non-resident/index.html>

Student Funding: (fellowships): <https://www.grad.uci.edu/funding/index.php>

Accounts and access(including email, internet, Duo Multifactor Authentication):  
<https://www.oit.uci.edu/grad/>

### **California Residency**

Graduate students who are U.S. citizens are expected to establish California residency so they will not be liable for non-resident tuition in succeeding years. Foreign students are generally not eligible to establish residency. Obtain a Petition for Resident Classification from the office of the Registrar and file it shortly after you arrive. The following items are useful in demonstrating residence: employment verification showing date employment started, California Driver's License, California automobile registration, California voter card, California income tax return, bank statements, utility bills, and rent receipts, especially for summer months. Please be sure to update your permanent address to your home address right away. For further information and the petition to file for residency, please see [https://www.reg.uci.edu/residency/downloads/reclass\\_grad.pdf](https://www.reg.uci.edu/residency/downloads/reclass_grad.pdf)

### **Student Health Insurance Plan**

The University of California requires all students to have major medical health insurance as a non-academic condition of enrollment. The department is charged quarterly for the Student Health Insurance Plan (SHIP). If you are covered under another policy please submit an online request to waive out of SHIP. The waiver can be found here: [http://www.shs.uci.edu/health\\_insurance\\_privacy/insurance.aspx](http://www.shs.uci.edu/health_insurance_privacy/insurance.aspx)

### **Room Reservations**

The Department Conference room and meeting rooms in Engineering Hall are for faculty and staff meetings, seminars, and for use as reading areas. No food, clutter, or use for extended periods is permitted. Conference rooms may be scheduled as needed. Please contact EECS staff for availability

and to submit a room reservation request. If you have any questions about your reservation please contact us at [eecsinfo@uci.edu](mailto:eecsinfo@uci.edu)

## *Academic Matters*

### **Deadlines and Requirements**

Each graduate student is responsible for meeting all necessary deadlines and requirements. The best sources of information are the UCI General Catalogue (<http://catalogue.uci.edu/>), Graduate Division, (<http://www.grad.uci.edu/>), the Registrar (<http://www.reg.uci.edu/>) and the School of Engineering and department (<http://engineering.uci.edu/current/graduate/deadlines>).

### **Ph.D. Research Advisor**

Each entering graduate student will be assigned a faculty advisor. The faculty advisor is assigned based on the student's interests and communications with faculty during the application processes. When the admission offer involves funding from a faculty member it is typically the case that the provisional advisor becomes the principal advisor, i.e., the Ph.D. research advisor. Until the principal advisor is identified we encourage you to explore new opportunities, colleagues, and areas of research. First-year graduate students must match with a Ph.D. research advisor no later than 12 months after the beginning of the student's first quarter in the Ph.D. program. Graduate students should consult with their principal advisor for any matters relating to their course of study or research goals

When looking for an advisor, visit the faculty page on the EECS website

<http://engineering.uci.edu/dept/eecs/faculty-staff/faculty> and navigate through the EECS department listing of faculty. Look for the faculty profiles and review them. Look for key words and research activities that may be aligned with your research interests. Continuing students who are switching advisors (for whatever reason) must match with a new Ph.D. research advisor no later than by the end of the subsequent quarter.

Identify some faculty that may be of interest to you, contact them via email. You might need to actually find them in their labs and/or office and personally ask if they would entertain the possibility of you working with them. You may want to have your curriculum vitae (resume) available, detailing your research and work experience, presentations, publications, and poster sessions. This will help the faculty member determine if your experience would be beneficial to his or her lab. Ask professors in class if they could be your research advisor or if they know of anyone in the department who would be a good fit for you. Consult the EECS Graduate Advisor for advice on selecting a research advisor.

It is important that you talk freely to your Ph.D. advisor about your financial needs to support your PhD research activity. If you need continuous and stable financial support you should select an advisor that is able to provide the funding. The funding provided to you by an advisor in the form of a GSR appointment is to perform research activity and the adviser may need to collect your research results to show them to the sponsoring agency or company. Satisfactory research effort is required for continued GSR funding. Working as GSR is a win-win situation for the student who is progressing toward the PhD with financial support and for the advisor's research agenda. It is recommended that you meet with the Graduate Advisor if you have questions.

## **EECS Graduate Advisor**

The duties of the Graduate Advisor are to supervise the activities of student advisory committees, review graduate study plans, and monitor the progress of all graduate students. The Graduate Advisor is also responsible for coordinating student awards, assigning teaching assistantships, overseeing curriculum revisions, and organizing the comprehensive examination. Students should feel free to speak with the Graduate Advisor at any time about any issue, especially those relevant to their academic and research progress and financial support.

## **Addressing Concerns**

Students are welcome and encouraged to bring concerns or issues to the attention of the EECS Graduate Coordinator who can guide them on the proper course of action. Normally, a graduate student's principal advisor or thesis committee will attempt to solve problems. Problems involving department policies should be addressed to the Graduate Advisor or Department Chair. In the case of more serious problems, the GSAO and Associate Dean of the School of Engineering and other university officials may become involved, but only after attempts at solving the problem within the Department are exhausted.

## **Good Academic Standing**

Students are expected to maintain "Good Academic Standing" as defined Appendix I. Students not making good academic progress will be provided a letter that outlines the reasons for unsatisfactory progress. An opportunity to correct deficiencies and a specified deadline time will be given.

## **Academic Honesty**

The importance of academic integrity cannot be overstated. It is never acceptable to present someone else's work or research as your own. Students are expected to, at all times, adhere to The UCI Academic Senate Policies on Academic Honesty which are included in this packet as Appendix II. Students that violate UCI's academic honesty policy will be dealt with on a case-by-case basis. Consequences may include dismissal from UC Irvine.

## **Milestones toward M.S. Degree Completion**

- Meet and discuss program and plan schedule with Graduate Advisor/Graduate Student Affairs Counselor/Graduate Coordinator
- Begin Coursework
- Fill out departmental *Plan of Study Form* (by the end of first quarter)
- Comprehensive Exam students: Complete all coursework and seminars
- Thesis students: Select a committee chair, select committee members, register for M.S. thesis research units
- Turn in M.S. *Advancement to Candidacy Form* (at least one quarter before you plan to graduate)
- Comprehensive Exam students: Complete final examination/paper/project/other assignment (if applicable)
- Thesis students: Complete and defend thesis, and submit Thesis Signature Page Form
- M.S. degree conferred

## **Department Seminar**

M.S. students completing the comprehensive course of study must take 1 unit of EECS 294, Ph.D.



students must take 4 quarters of EECS 294 to meet degree requirements. Seminars are generally held on the first and third Friday of every month. In order to receive credit, students are required to sign the attendance sheet and be present for the duration of 4 of the 5 of the seminars, and take and pass 3 quizzes on the material presented.

## M.S. Degree Requirements

### **The PLAN OF STUDY Form**

This form identifies the courses that you are required to take to satisfy the requirements of your degree. You can obtain this form at: [http://engineering.uci.edu/dept/eecs/graduate/roadmap\\_ms](http://engineering.uci.edu/dept/eecs/graduate/roadmap_ms). Completion of this form is required for ALL M.S. students by the end of the first quarter. You should submit your completed form to the Graduate Coordinator for approval by the EECS Graduate Advisor. You can modify/re-file the form later if your course interests change.

### **Advancement to Candidacy for M.S. Form**

1. Students must file the Advancement to Candidacy/Final Degree Report - Master's Degree Comp Exam form **one quarter before** graduation quarter (form should be submitted to the EECS department). You can obtain the form at <http://www.grad.uci.edu/forms/>
2. Complete the course requirements (see below under Option 1 and Option 2).
3. Discuss with your Graduate Coordinator early on whether the comprehensive exam or the thesis option best suits your interests. Students in the M.S./Ph.D. track may select either approach.

#### **Option 1: M.S. Degree with Thesis (original research with an advisor and a written M.S. thesis)**

- Must complete a M.S. thesis approved by a committee of 3 faculty members.
- Must complete **7 core courses and/or concentration courses**, and five elective courses
- Elective courses can be:
  - No more than **4** courses EECS 296 (16 units)
  - No more than **1** course of EECS 299 (4 units)
  - No more **1** upper division undergraduate elective course (with approval of EECS graduate advisor)

**In summary: 12 courses required. CPE= 3 core/4 concentration/5 elective. EE= 7 concentration/5 elective. No seminar course required. A letter of a "B" or higher is required in each course and an original thesis is needed to complete a M.S. Thesis degree option.**

#### **Option 2: M.S. Degree with Comprehensive Exam**

- Must complete the **core courses, concentration course and elective courses** per major requirement. Courses are (4 units minimum/course) numbered 200-289. Electives course may be taken from other departments if approved by the EECS graduate advisor.
  - Must complete all courses with a "B" letter grade or higher
  - Must complete 1 course of EECS 294-Seminar
  - Only one (4-unit) course of EECS 299 *Individual Research* will **count** as an elective towards M.S. degree requirements.
- In some instances, up to two upper-division (numbered 100-199) undergraduate courses may count as an elective course toward degree requirements (with approval of EECS Graduate Advisor). **In summary: 12 courses and seminar are required. CPE= 3 core/5 concentration/4 elective, 1 EECS 294. EE= 4 core/5 concentration/3 elective/1 EECS 294. No comprehensive exam. A letter of a "B"**

**or higher is required in each course to count towards a M.S. Comprehensive Exam degree option**

### **Milestones toward Ph.D. Degree Completion**

(If earning M.S. along the way, follow path to M.S. degree above)

- Match with a research advisor within the timeframe mentioned on page 10
- Take Preliminary Exam (check departmental policy on deadline to complete)
- Continue Ph.D. research
- Prepare proposal to be reviewed for Qualifying Examination
- Select committee members and submit Nomination Form for Qualifying Committee
- Take Qualifying Examination, select your doctorate committee, and submit Ph.D. Form I
- Take and complete 4 quarters of EECS 294
- Continue Ph.D. research
- Present final dissertation defense, fill out Ph.D. Form II, and submit necessary dissertation materials
- Ph.D. Degree conferred

### **Ph.D. Degree Requirements**

- Coursework:
  - EECS 294 – Seminar (4 quarters)
  - EECS 299 – Individual Research (12-16 units per quarter, each fall, winter and spring)
  - EECS 297- Dissertation Research (12-16 units per quarter, each fall, winter and spring-after passing qualifying exam)
- Ph.D. Preliminary Exam (see below).
- “Match” with faculty advisor(s) to guide your doctoral research.
- The Ph.D. Qualifying Exam (Advancement to Candidacy exam)
  - This should be completed by the end of year 3 (see below).
- Written dissertation with oral defense (see below).

### **Preliminary Exam**

Ph.D. students are **required** to take the “prelim” exam each quarter that it is offered until they have either passed the exam or exhausted their two attempts. M.S./Ph.D. students must pass the Ph.D. preliminary exam within 4 quarters after entering the M.S./Ph.D. program. Students register to take the exam by completing a [preliminary exam form](#) with their advisors and select five courses relevant to their Ph.D. studies as soon as they arrive at UC Irvine. A student can select a course from other departments with the advisors' written approval and justification on how it relates to the prospective Ph.D. study. A Ph.D. student has to pass at least one core course and two electives (three in total) with A- or above grades within the allowed time period to pass the prelim exam. Students that do not pass the preliminary exam within the stated period, either due to no attempt or a failed attempt, will not be in “good academic standing” and will be subject to disqualification.

### **Matching with a Ph.D. Advisor**

In order for Ph.D. students to remain in good academic standing, they must match with a Ph.D. Advisor for research. Newly admitted students must be matched with a faculty research advisor no later than 12 months from the beginning of the student's first quarter of Ph.D. study.

Example:

- A student enters Ph.D. study at UCI in the fall 2020 quarter. They must match with a faculty research advisor by the end of the summer 2021 quarter.

### **Policy for Continuing Ph.D. Students**

Continuing students who change advisors (for whatever reason) must match with a new faculty research advisor no later than by the end of the subsequent quarter (excluding summer term). During the period that the student is searching for a new advisor, the advisor of record will be the Graduate Advisor in the student's home department/program.

### **Qualifying Exam**

The Qualifying Exam covers dissertation ideas and results of preliminary research. The committee must be comprised of 5 Members. The majority of the members must hold a primary or joint appointment in EECS. Your research advisor will be the chair of your exam committee. The Qualifying Exam is taken after passing the Preliminary Exam, no earlier than the end of the 1st year, and no later than the end of the 3rd year in the M.S./Ph.D. program. A written research proposal (dossier) of approximately 30-40 pages in length must be submitted to the committee members at least one week prior to the exam. The exam will take approximately 90 minutes – your research presentation should be 40-50 minutes and reviewed by your advisor before your exam. A [Nomination form](#) needs to be approved 2 weeks before the exam date and can be found on the [Roadmap to a Ph.D. Degree](#) page.

### **Oral Defense**

An oral presentation at the completion of your Ph.D. dissertation is required. The presentation should be ~45 minutes and should summarize your major research findings. The student's committee members for the Ph.D. dissertation (3 including advisor) need to be present. The entire department is invited and visitors are welcome. The student should be prepared to answer questions from the committee. The committee may request a closed session for their questions. It is best if the student's written dissertation has been approved by the committee in advance of oral defense.

### **Dissertation**

- Copies of past dissertations are available in the UCI library.
- Format guidelines are available at <http://etd.lib.uci.edu/format>
- UCI theses and Dissertations: <http://etd.lib.uci.edu/>
- Have your advisor approve the dissertation first, then the two other committee members.

## ***Appendix I: EECS “Good Academic Standing” criteria***

Satisfactory progress is determined on the basis of both the student's recent academic record and overall performance. Criteria for determining satisfactory progress toward degree is outlined below. Student records should be reviewed with special attention to the following criteria:

**GPA** - the student must maintain at least a 3.0 cumulative grade point average.

**Normal Time to Degree** – the student must advance to candidacy and complete the degree within the limitations established by UCI’s Graduate Council (March 2004). A student exceeding the maximal time to degree shall be deemed not to be making satisfactory progress toward their degree; moreover, they shall not be eligible to receive University resources (e.g., financial aid, TA-ships, housing, etc.). Normal Time to Degree for each graduate program is listed in the *General Catalogue* and on the Graduate Division website

**Grade Reports** - all I, W, or NR grades should be reviewed and appropriate action taken as needed.

**P/NP** - no courses graded "Pass" are to be included as part of the advanced degree program, nor are they to be considered as satisfying academic criteria for University-administered fellowships and academic appointments/employment.

**Enrollment Units** - students must be enrolled for at least 12 graduate or upper-division units of credit each quarter, including credit for supervised teaching and research, unless part-time status or an academic leave of absence has been approved in advance by the Graduate Dean. In cases of approved part-time status, enrollment in eight (8) or fewer units of credit toward the degree is expected each quarter.

**Distribution of units** - the number of upper-division and graduate-level units of credit completed toward degree requirements each quarter should be at least eight and no more than 16 units, unless an exception has been approved.

**Residency** - time in residence prior to advancement to candidacy for the Ph.D. or professional doctorate degree should be within acceptable limits (ordinarily, no more than four years).

**Research Advisor** - PhD students must have a research advisor willing to advise them after their first year of their PhD studies (including summer term). If a student switches advisors (for whatever reason), the student must find another research advisor by the following quarter (excluding summer term) in order to remain in good academic standing.

**Milestones towards the M.S. degree** – the M.S. student must complete all milestones towards the M.S. degree (i.e. Advancement, M.S. Comprehensive Exam, and Submission of the thesis) within the appropriate times outlined on page 7 of this handbook.

**Milestones towards the Ph.D. degree** – the Ph.D. student must complete all milestones towards the Ph.D. degree (i.e. the Ph.D. Preliminary Examination, Qualifying Examination, and Dissertation Defense) within the appropriate times outlined on page 9 of this handbook.

## *Appendix II: Academic Honesty*

### **ACADEMIC HONESTY**

#### **THE MANUAL OF THE IRVINE DIVISION OF THE ACADEMIC SENATE**

#### **PART III - APPENDICES OF THE IRVINE DIVISION**

#### **Appendix VIII UCI Academic Senate Policy on Academic Honesty**

(Revised: 12/12/96, 10/12/00, 11/21/02, 1/21/03, 1/26/06, 4/05/2007, 6/7/2007, 6/5/08)

#### **A. PREAMBLE**

The University is an institution of learning, research, and scholarship predicated on the existence of an environment of honesty and integrity. As members of the academic community, faculty, students, and administrative officials share responsibility for maintaining this environment. It is essential that all members of the academic community subscribe to the ideal of academic honesty and integrity and accept individual responsibility for their work. Academic dishonesty is unacceptable and will not be tolerated at the University of California, Irvine. Cheating, forgery, dishonest conduct, plagiarism, and collusion in dishonest activities erode the University's educational, research, and social roles. They devalue the learning experience and its legitimacy not only for the perpetrators but for the entire community.

#### **B. RESPONSIBILITIES**

All members of the academic community have a responsibility to ensure that scholastic honesty is maintained.

Faculty have primary responsibility for:

1. Upholding and enforcing university-wide principles of academic honesty and integrity and clearly explaining these principles including any qualifications which may be operative in the classes they are teaching.
2. Minimizing opportunities for academic misconduct in their courses.
3. Confronting students suspected of academic dishonesty in a way that respects student privacy.
4. Affording students accused of academic misconduct the right to appeal any resulting disputes to disinterested parties for hearing and resolution.
5. Assigning an appropriate grade to a student who engages in academic dishonesty.
6. Reporting all instances of academic dishonesty to appropriate Associate Deans.
7. Protecting the anonymity of any student reporting an incident of academic dishonesty to the extent permitted by due process required for the accused and other legal requirements.

Students have responsibility for:

1. Refraining from cheating and plagiarism.
2. Refusing to aid or abet any form of academic dishonesty.
3. Notifying professors and/or appropriate administrative officials about observed incidents of academic misconduct. The anonymity of a student reporting an incident of academic dishonesty will be protected.

### **C. WHAT IS ACADEMIC DISHONESTY?**

Academic dishonesty applies equally to electronic media and print, and involves text, images, and ideas. It includes but is not limited to the following examples:

#### **Cheating**

1. Copying from others during an examination.
2. Communicating exam answers with other students during an examination.
3. Offering another person's work as one's own.
4. Taking an examination for another student or having someone take an examination for oneself.
5. Sharing answers for a take-home examination or assignment unless specifically authorized by the instructor.
6. Tampering with an examination after it has been corrected, then returning it for more credit.
7. Using unauthorized materials, prepared answers, written notes or information concealed in a blue book or elsewhere during an examination.
8. Allowing others to do the research and writing of an assigned paper (including use of the services of a commercial term-paper company).

#### **Dishonest Conduct**

1. Stealing or attempting to steal an examination or answer key from the instructor.
2. Changing or attempting to change academic records without proper sanction.
3. Submitting substantial portions of the same work for credit in more than one course without consulting all instructors involved.
4. Forging add/drop/change cards and other enrollment documents, or altering such documents after signatures have been obtained.
5. Intentionally disrupting the educational process in any manner.
6. Allowing another student to copy off of one's own work during a test.

#### **Plagiarism**

Plagiarism is intellectual theft. It means use of the intellectual creations of another without proper attribution. Plagiarism may take two main forms, which are clearly related:

1. To steal or pass off as one's own the ideas or words, images, or other creative works of another.
2. To use a creative production without crediting the source, even if only minimal information is available to identify it for citation.

Credit must be given for every direct quotation, for paraphrasing or summarizing a work (in whole, or in part, in one's own words), and for information which is not common knowledge. In research publications proper credit must be given to all collaborators.

#### **Collusion**

Any student who knowingly or intentionally helps another student perform any of the above acts of cheating or plagiarism is subject to discipline for academic dishonesty.

## **D. PROCEDURES FOR DEALING WITH INCIDENTS OF ACADEMIC DISHONESTY**

Many, perhaps most, incidents of academic dishonesty involve accusations which are based on clear evidence and which are not contested by the accused student. In such cases, if the infraction is relatively minor and there is no indication that the accused student has previously been involved in such incidents, it is most appropriate that the matter be resolved between the student and the faculty member. When this occurs, it is nevertheless important that a written report of the incident be filed to ensure that penalties assessed are commensurate with the offense and that repeated infractions be detected and dealt with appropriately.

More serious incidents and repeat offenses which call for stronger disciplinary action, may result in campus-wide sanctions, in addition to the actions imposed by a faculty member. In such cases, these sanctions, as described in Section 105.00 of the Policies Applying to Campus Activities, Organizations, and Students, will be administered by the Academic Associate Deans or the Office of the Dean of Undergraduate Education or the Graduate Division.

Finally, whenever an accusation of academic dishonesty or a grade given by a faculty member is contested by an accused student, the student has recourse for mediation of the dispute. Processes for mediation, assistance with conflict resolution, and/or an informal inquiry may be requested by the student or the Associate (Undergraduate or Graduate) Dean of the faculty member's school through the Office of the Ombudsman. In incidents where campus-wide sanction has been imposed, the student can request a hearing with the appropriate Committee on Academic Honesty which will be convened by the Office of either the Dean of the Division of Undergraduate Education or the Dean of the Graduate Division, depending on the status of the accused student.

The procedures outlined here are designed to institute a system that recognizes that many cases of academic misconduct are best resolved between the student and faculty member involved, while it provides for appropriate record keeping and handling of serious and repeated offenses and guarantees a fair hearing to a student who has received a campus-wide sanction.

### **Authority of Faculty Members**

When a faculty member has evidence of student academic dishonesty, the faculty member must present the evidence to the student in a private meeting or communicate with the student by some other means. The faculty member must initiate this communication with the student within 15 calendar days of discovering evidence of academic dishonesty and evaluating the relevant work. The faculty member then may follow up with one or more of only the following actions:

1. To issue a reprimand to the student with a letter of explanation to the student's file.
2. To require repetition of the questionable work or examination with a letter of explanation to the student's file.
3. To reduce the grade to an 'F' or zero, if appropriate, on the questionable work or examination with written notification to the student and a letter of explanation to the student's file.
4. To assign the student a failing grade in the course or otherwise lower the grade in the course with a letter of explanation to the student's file.

It is essential that any such action be reported in writing to the student in a letter from the faculty member. Copies of this letter must also be sent to (a) the Associate Dean of the faculty member's school, (b) the Associate Dean of the student's school, who will maintain a file of cases of academic misconduct involving students enrolled in that school, and (c) the Office of the Dean of Undergraduate Education or Dean of the Graduate Division, as appropriate. The faculty member is strongly encouraged to consult with the Associate (Undergraduate or Graduate) Dean of his or her school before the letter is drafted. Reference to (or a copy of) the UCI Academic Senate Policies on Academic Honesty should be included in the letter. If action (4) is taken, the faculty member is responsible for making certain that the failure is recorded by the Registrar on the student's permanent academic record. Careful documentation of the incident must be maintained by the faculty member in the event that his or her actions in the case should later be subject to review.

### **Responsibilities of the Academic Associate Deans**

1. The Associate (Graduate or Undergraduate) Dean of either the accused student's school or of the faculty member's school may impose campus-wide sanctions. Sanctions imposed by Associate Deans are final unless the student requests a hearing within 15 calendar days of notification. The 15-day period starts from the time the Associate Dean has notified the student of the discipline or has notified the student of the hearing and appeal process by providing a copy of this policy, whichever comes later. It is recommended that each case be brought to a final resolution within 90 days of instruction.
2. The Associate Dean (or equivalent official) of each school is responsible for maintaining confidential records concerning academic dishonesty of students enrolled in that school. All letters reporting faculty-imposed academic penalties for academic misconduct will be included in these files.
3. The Associate Dean of the accused student's school will be responsible for identifying all incidents which represent repeated offenses by a student and may impose a campus-wide sanction because of repeat offenses.
4. Associate Deans are required to notify the student of the hearing and appeal process and provide the student a copy of this policy or explicitly refer the student to it. If an Associate Dean suspects grounds for a grievance involving discrimination, the student should be referred to Appendix II of The Manual of the Irvine Division of the Academic Senate, "Student Academic Grievance Procedures Relating to Nondiscrimination" (which is limited to allegations of discrimination).
5. In those classes, where academic dishonesty continues to be a problem and the faculty membered another university official has already been approached by the student(s) from the class, the Associate Dean will consult with the appropriate faculty member to address the problem.
6. Students who have on file recorded acts of academic dishonesty, as defined by the Policies Applying to Campus Activities, Organizations, and Students, may be excluded by the Associate Deans from consideration for academic honors at graduation. Another consequence could be that in admission to a major, for students who wish to change majors, individual majors may take into account the commission of an act of dishonesty. Exclusion from consideration for honors and



exclusion from major change is not for the purposes of this policy to be considered a campus-wide sanction. Students excluded from such consideration under this policy therefore are not eligible to request a formal hearing.

7. In those situations where a campus-wide sanction is imposed and the student requests a hearing, the Associate Dean will forward to the Hearing Panel on Academic Honesty the materials, which led him or her to impose the sanction. In addition, the Associate Dean will appear before the Hearing Panel to discuss the case upon request of the Hearing Panel.

### **Student Hearings**

It should be understood that all grades are ultimately the responsibility of faculty. However, if a student accused of academic dishonesty wishes to contest an action by a faculty member, the student may, within a 15-day period, request assistance by writing to the Associate Dean of the faculty member. The period is 15 calendar days and starts from the time the Associate Dean has notified the student of the discipline or has notified the student of the hearing and appeal process by providing a copy of this policy, whichever comes later.

When a campus-wide sanction is imposed, the affected student may, within 15 days of notification, request a hearing before a Hearing Panel on Academic Honesty. Students considering a hearing in response to campus-wide sanctions for alleged academic misconduct are urged to contact the Associate Dean of their academic school and/or the University Ombudsman concerning possible sources of advice and assistance. Students should be advised regarding the grounds for appeal as specified in section 103.11 of the Policies Applying to Campus Activities, Organizations, and Students.

### **Role of the Ombudsman**

The services of the Ombudsman may be requested at any time by the student, the faculty member, or the Associate Dean. The role of the Ombudsman is to assist in conflict resolution, mediate the dispute, perform an informal inquiry of the case, and clarify policies and procedures for anyone involved.

In those incidents where imposition of a campus-wide sanction is a consideration and the student has requested a hearing, before the Panel on Academic Honesty, the case may be referred to the Office of the Ombudsman by the Dean of Undergraduate Education or the Dean of the Graduate Division. An informal inquiry may be conducted by the Ombudsman who will then confer with the Associate Dean and the accused student. However, the findings of the Ombudsman will not be forwarded to the Hearing Panel on Academic Honesty. The case may be referred by the student to either the Dean of Undergraduate Education or the Dean of the Graduate Division, as appropriate, who will be responsible for convening the Hearing Panel on Academic Honesty.

Students should always be informed by the Associate Dean of their school of their right to secure the assistance of the Ombudsman in understanding and addressing the problem or issue.

## **Role of the Deans of Undergraduate Education and Graduate Studies**

Whenever an incident of academic misconduct is referred to the Office of the Dean of Undergraduate Education or the Dean of the Graduate Division by the student, a representative of the appropriate offices will meet with the student and, if requested, explain the process and arrange the time and place of a hearing before the appropriate (Undergraduate or Graduate) Hearing Panel on Academic Honesty. The appropriate Dean will maintain a record of all cases of academic dishonesty reported by the respective Associate Deans.

Formal resolution by the appropriate Hearing Panel on Academic Honesty may result in the imposition by the Dean of Undergraduate Education or the Dean of the Graduate Division of one or more of the sanctions described in section 105.00 of the Policies Applying to Campus Activities, Organizations, and Students, including suspension or dismissal from the University.

## **E. HEARING PANELS ON ACADEMIC HONESTY**

### **1. Jurisdiction of the Hearing Panels on Academic Honesty**

There will be two types of Hearing Panels on Academic Honesty. One type of Hearing Panel will hear cases of campus-wide sanctions on undergraduate students while the other will hear graduate, student cases. The Hearing Panels can reduce, affirm, or increase sanctions.

### **2. Composition of the Hearing Panels on Academic Honesty**

An Undergraduate Hearing Panel on Academic Honesty will be convened for each case submitted throughout the year. The pool from which each Undergraduate Hearing Panel on Academic Honesty shall be drawn consists of all appointed faculty and ex officio faculty on the Council on Student Experience, selected student Peer Academic Advisors nominated by the academic units (one per unit), and three representatives from the Office of the Dean of the Division on Undergraduate Education, appointed by the Dean of the Division of Undergraduate Education. These groups will be trained in the Academic Honesty policy and procedures by a representative of the Dean of the Division of Undergraduate Education so that there will be a ready pool of qualified participants available on short notice when a hearing is called. For each hearing involving an Undergraduate Hearing Panel on Academic Honesty, two faculty, appointed by the Council on Student Experience Chair, two student Peer Academic Advisors, and one representative from the Office of the Dean of the Division of Undergraduate Education appointed by the Dean of the Division of Undergraduate Education, shall form an Undergraduate Hearing Panel on Academic Honesty to hear the student appeal. The hearing will be scheduled by the Office of the Dean of the Division of Undergraduate Education.

The Graduate Hearing Panel on Academic Honesty will be a standing administrative committee composed of two faculty, two students, and a representative of the Dean of the Graduate Division. Terms of faculty members will be two years. One faculty member will be appointed annually by the Dean of the Graduate Division. To ensure continuity, terms will be staggered; during the first year of operation only, one faculty member will be appointed for a one-year term. One additional faculty

member will be appointed by the Dean of the Graduate Division to serve as an alternate to the Graduate Hearing Panel. The two students shall serve for one year and be appointed by AGS. One additional student member will be appointed by AGS to serve as an alternate.

### 3. Role of the Associate Dean

The Associate Dean will forward to each Hearing Panel the evidence which led to his or her decision to impose the campus-wide sanction. In addition, the Associate Dean will appear before the Hearing Panel to comment on the case if the Hearing Panel wishes.

### 4. Hearings

a. If the student requests a hearing, the Office of the Dean of the Division of Undergraduate Education or the Dean of the Graduate Division shall schedule a hearing of the case before the appropriate Hearing Panel. Written notice must be given to the parties involved regarding the date, time, and place of the hearing.

b. The chair will be elected by the membership of the Hearing Panel. The chair will rule on all questions of procedure, the admission or exclusion of evidence, and the need to call witnesses for additional testimony. Hearings shall be held in accordance with generally accepted standards of procedural due process.

c. Hearings will be closed unless the parties involved agree to an open hearing. Every effort must be made by all parties to maintain confidentiality during the process.

d. Hearings shall be held following the provisions in sections 103.11. (5, 6, and 8) of the Policy on Student Conduct and Discipline in the Policies Applying to Campus Activities, Organizations, and Students, except that the role of the Dean of Students shall be filled by the Dean of Undergraduate Education or the Graduate Division, depending on the status of the student.

### 5. Report of the Hearing Panel on Academic Honesty

After the hearing, a Hearing Panel shall arrive at a decision. When a decision is reached, the student and the appropriate Academic Associate Dean will be informed of the judgment.

### 6. Final Appeal

If the campus-wide sanction is upheld by a Hearing Panel, the report of the Hearing Panel and all supporting evidence may be sent for a final level of review at the request of the student. If the accused student is an undergraduate, the case will be reviewed by the Dean of the Graduate Division. If the accused student is a graduate student, the case will be reviewed by the Dean of the Division of Undergraduate Education. This final review process can only result in decreasing the sanctions imposed on the student or leaving them unchanged. There are no further appeals or processes.

### 7. Implementation

Once the judgment has been rendered the Dean of the Division of Undergraduate Education or the Graduate Division will implement the judgment in the form of a letter to the student as well as initiate any other necessary administrative actions.

## **F.MAINTENANCE OF DISCIPLINARY RECORDS**

Records relating to academic dishonesty will be maintained by the Associate Deans and the Offices of the Deans of Undergraduate Education and the Graduate Division to promote consistency of penalties for a given offense and to ensure appropriate action against repeat offenders. Records will normally be destroyed after five years, unless the Associate Dean determines in any particular case that there is good reason to extend the period of retention. In order to ensure that minor and nonrecurring infractions do not negatively impact a student's career beyond UCI, any student may petition to the Associate Dean of his or her academic school to have relevant academic disciplinary records expunged after the record is two years old or upon graduation, whichever comes first. The Associate Dean has sole authority to consider and to grant or deny such petitions. The University will release a student's disciplinary records to potential employers, governmental agencies, other educational institutions, or other organizations or individuals only if authorized to do so by the student in question or if compelled by law. Any record expunged by the Associate Dean will also be erased in the Dean of Undergraduate Education or the Graduate Division Offices.