



# Graduate Student Handbook

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Dear Samueli School of Engineering Graduate Student:

Welcome to a new academic year at UCI! With cutting-edge research centers, superb faculty who are experts in their fields, and a diverse, competitive student body, we pride ourselves on being able to offer you an outstanding educational experience.

This fall proves to be an exciting time for our school. Our growth in faculty size, enrollment, and recognition as a top-notch research institution has widened the impact and reputation of the School of Engineering both here and abroad.

We are pleased that you are part of our team and hope your graduate school experience is exciting, challenging and rewarding. It is our expectation that you leave us with all of the right tools and knowledge to be successful in your career in industry, research, or academia. We hope you will stay in contact with us to let us know how you are doing and to help us enhance the UCI graduate student experience.

This handbook has been adapted from Graduate Division's Policies and Procedures Handbook and explains important policies and procedures that are critical to understand and follow as you navigate through your degree program. In addition to this handbook, you should also refer to your Department or Program handbook for major-specific information. We encourage you to study all documents carefully in order to avoid problems that could hamper your progress or delay your graduation. Be sure to check with our Graduate and Professional Studies Team if you have any concerns or questions.

In closing, we wish you all the best for an outstanding academic year.

Sincerely,

A handwritten signature in black ink, appearing to read "Fadi Kurdahi".

Fadi Kurdahi  
Associate Dean for Graduate and Professional Studies

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# **SSoE Graduate and Professional Studies**

204 Rockwell Engineering Center

949-824-8090

gradengr@uci.edu

<http://engineering.uci.edu/current/graduate>

## **What we do**

From recruitment and admission to degree conferral and graduation, our office provides many services for new and continuing graduate students. As you navigate toward degree completion, **our main function is to provide personal and academic counseling and advice for you.** We also collaborate with the various departments on many student-related issues. Our office serves as the final school-wide approval for petitions, advancements to candidacy, degree conferrals, and other processes. **Overall, we are your first point of contact for any and all questions you may have.**

We have an open-door policy, so please feel free to stop by anytime Monday through Friday between 9:00am – 12:00pm and 1:00pm – 4:00pm. If you have an in-depth issue to discuss and would like to schedule an appointment, please feel free to do so by calling Graduate and Professional Studies at (949) 824-8090.

## **Our Staff:**

**Jean Bennett, Director**

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**Nadia Kast, Assistant Director**

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**Marina Juarez, Administrative Manager**

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Phone: (949) 824-8090

Again, Graduate and Professional Studies offers general counseling during your graduate school career. However, all departments have their own requirements and programs of study. Therefore, it is also important for you to consult with your Departmental Graduate Advisor and your Departmental Graduate Coordinator on a regular basis to ensure your completion of departmental degree requirements.

In our school, there is also an **Associate Dean for Graduate and Professional Studies**, Professor Fadi Kurdahi, who oversees many of the functions which affect graduate students. Dr. Kurdahi works in conjunction with the Dean of Graduate Division, Department Chairs, and Graduate and Professional Studies staff.

# Departmental and Program Contacts

## Departmental Graduate Coordinators

Each department has its own Graduate Coordinator. These staff members serve as your departmental contact for questions regarding funding and forms processing. They also provide exception memos and serve as a liaison between the Departmental Graduate Advisors and the Graduate and Professional Studies team.

### The SSoE Graduate Coordinators are:

BME:	Maggie Mulcare	<a href="mailto:mmulcare@uci.edu">mmulcare@uci.edu</a>	(949) 824-3494
CBE:	Desiree Rios	<a href="mailto:riosdn@uci.edu">riosdn@uci.edu</a>	(949) 824-3887
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MAE:	Tenley Dunn	<a href="mailto:tdunn@uci.edu">tdunn@uci.edu</a>	(949) 824-7984
MMT:	Nadia Kast	<a href="mailto:nadia.kast@uci.edu">nadia.kast@uci.edu</a>	(949) 824-3562
MSE:	Desiree Rios	<a href="mailto:riosdn@uci.edu">riosdn@uci.edu</a>	(949) 824-3887

## Departmental Graduate Advisors

The Departmental Graduate Advisor is a faculty member who serves as the official representative of the Graduate Dean in matters affecting graduate students in his or her department. A close working relationship is established between the Graduate Advisor, Graduate and Professional Studies and the Graduate Division. The Graduate Dean is dependent upon the experience and judgment of Graduate Advisors, and upon their recommendations in matters requiring the Graduate Dean's action.

The Departmental Graduate Advisors are responsible for supervising graduate study in their department and for helping graduate students make connections with individual faculty advisors and mentors. In some academic units, the advisor is instrumental in the appointment and supervision of graduate student Teaching Assistants, Associates, Readers, and Tutors.

### The current SSoE Graduate Advisors are:

BME:	Michelle Digman	<a href="mailto:mdigman@uci.edu">mdigman@uci.edu</a>
CBE:	Ali Mohraz	<a href="mailto:mohraz@uci.edu">mohraz@uci.edu</a>
CEE:	Russ Detwiler	<a href="mailto:detwiler@uci.edu">detwiler@uci.edu</a>
EECS (PhD):	Filippo Capolino	<a href="mailto:f.capolino@uci.edu">f.capolino@uci.edu</a>
EECS (MS):	Syed Jafar	<a href="mailto:syed@uci.edu">syed@uci.edu</a>
EM:	John LaRue	<a href="mailto:jclarue@uci.edu">jclarue@uci.edu</a>
MAE:	Marc Madou	<a href="mailto:mmadou@uci.edu">mmadou@uci.edu</a>
MMT:	Lorenzo Valdevit	<a href="mailto:valdevit@uci.edu">valdevit@uci.edu</a>
MSE:	Martha Mecartney	<a href="mailto:martham@uci.edu">martham@uci.edu</a>
NTWS:	Hamid Jafarkhani	<a href="mailto:hamidj@uci.edu">hamidj@uci.edu</a>

You may have been granted an "initial advisor" upon admission. That particular professor is the coordinator of the specific area of research you may be interested in. You will match with a research advisor once you are ready to start research toward your M.S. thesis or Ph.D. dissertation. Please consult with your department on their advisor matching process.

## Faculty Research Advisor

### Selecting a Research Advisor

Some of you will arrive at UC Irvine without a research advisor. This is quite common, especially for Ph.D. students who must first complete their M.S. degrees. It is also common for international students. Here are some tips on selecting a research advisor:

1. Visit our website: <http://engineering.uci.edu> and navigate through your department's listing of faculty.
2. Look for the faculty profiles and review them. Look for “buzzwords” and research activities that may be aligned with your research interests.
3. Once you identify some faculty that might be of interest to you, contact them via email. You might need to find them in their labs and personally ask if they would entertain the possibility of you working with them. You might 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 with determining if your experience would be beneficial to his or her lab.
4. Ask professors after class or during office hours if they could be your research advisor or if they know of anyone in the department who would be a good fit for you.
5. Ask your department's Graduate Advisor for advice on selecting a research advisor. Moreover, you should consult your department for information on their advisor matching process.

### Ph.D. Faculty Research Advisor Policy

Ph.D. students should have a research advisor at all times throughout their graduate study in order to be fulfilling the requirement of making satisfactory progress towards their degree. However, matching with a Ph.D. advisor can take some time and, as such, the guidelines below have been put in place. Please note that matching with a faculty research advisor is independent of locating funding for a student's studies.

- In order to remain in good academic standing, *newly admitted students* must be matched with a faculty research advisor no later than 12 months after the student's first quarter of Ph.D. study.
- In order to remain in good academic standing, *continuing students who are switching 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 Departmental Graduate Advisor.

### Securing Financial Support

Some of you may arrive as a self-supporting student without a funding source. Funding at the M.S. level is very limited, and you will need to contact the Graduate and Professional Studies Office, your department's Graduate Advisor, or Graduate Coordinator for more information. Funding at the Ph.D. level is more prevalent, but is competitive. The process may involve contacting various professors in your department and area of interest on your own. They will not be contacting you! When contacting professors, you are interested in working with, ask about available Graduate Student Researcher (GSR) positions. You can also apply to be a Teaching Assistant (TA); however, each department has its own process and if you are an international student, you will need to ensure that you meet the eligibility requirements. Please note that it is not guaranteed that funding will be available, especially if you entered the school as a self-funded student.

## Graduate Division

The Graduate Division encompasses 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 the Graduate Council.

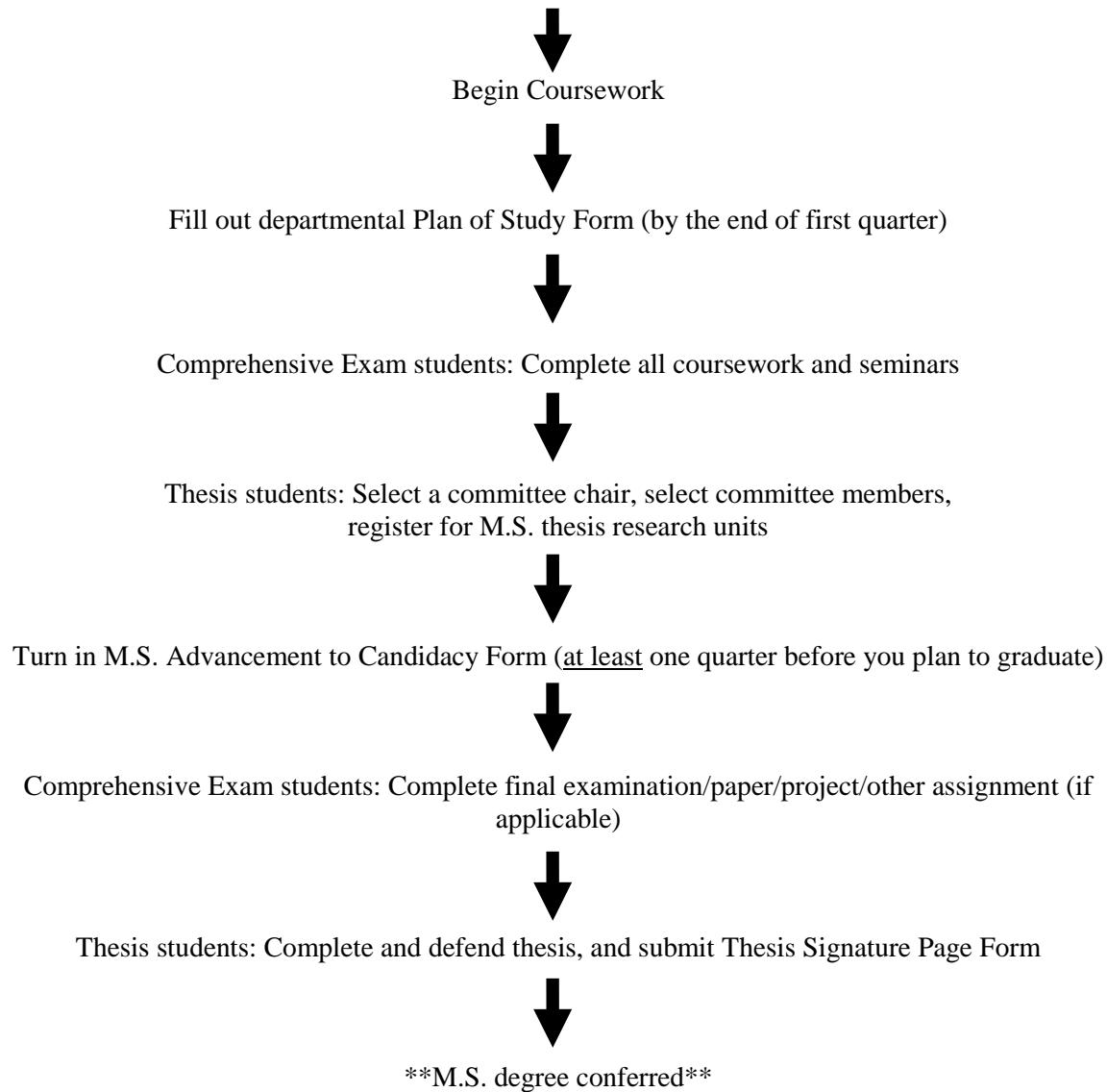
Graduate Division serves as the campus-wide advocate for the advancement of graduate education and strives for standards of excellence, fairness, and equity in all graduate programs at UCI. To fulfill this mission, Graduate Division:

- Facilitates programmatic activities which help develop and promote academic quality through strategic planning, policy development, and effective resource allocation.
- Articulates the views, needs, and priorities of graduate education within the context of general policy and budget development to ensure that academic goals properly inform campus-wide decision making.
- Facilitates communication among schools, departments, and administrative offices to ensure that the academic policies established by the Academic Senate's Graduate Council are implemented through efficient and rational administrative procedures.
- Protects the general welfare of graduate students and postdoctoral fellows in all areas of concern, including, but not limited to, financial support, apprentice personnel conditions, academic progress, intellectual property, equal opportunity, and sexual harassment.
- Administers appropriate regulatory activities designed to ensure campus-wide and UC system-wide accountability aimed at ensuring academic quality standards and other institutional policies and regulations related to graduate students and postdoctoral fellows.
- Encourages timely completion of graduate degrees by monitoring student degree progress, encouraging faculty advising and mentoring, and ensuring fair and equitable treatment of all students. Provides campus-wide student services that facilitate academic progress, as well as professional development.
- Enhances access, representation, and the educational experiences of underrepresented students in order to achieve the University's diversity objectives. Develops institutional initiatives to enhance the pool of qualified applicants and, by implementing Graduate Council policies, ensures the academic excellence of entering students.
- Works with the Graduate Council to develop local graduate education policies. Provides information, institutional data, and analysis of issues impacting graduate education to support the Council's policy functions, and recommends new policies. Implements Graduate Council policies and provides outcome assessment and analysis.
- Works with the council in evaluating new program initiatives and assessing continuing programs.
- Provides central administrative services that help sustain and improve the quality of graduate education.

## **Milestones toward Degree Completion**

### **Major Steps toward the M.S. degree**

Meet with Graduate Advisor/Graduate and Professional Studies Counselor/Graduate Coordinator to discuss program and plan schedule



## Major Steps toward the **Ph.D.** degree

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

Complete coursework necessary for Preliminary Exam (some departments require post-M.S. coursework)



Match with a research advisor per School policy



Take Preliminary Exam (check departmental policy on deadline to complete)



Continue Ph.D. research and complete any necessary course requirements (if applicable)



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



Continue Ph.D. research



Present final dissertation defense, fill out Ph.D. Form II and submit necessary dissertation materials



\*\*Ph.D. Degree conferred\*\*

## **Rules, Regulations, and Policies of Graduate Study at The University of California, Irvine and The Henry Samueli School of Engineering**

There are many rules, regulations, and policies that surround graduate students time in their degree program. It is important to consult these policies before making decisions about a leave of absence, part-time study, committee selection, etc. It is also important to be aware of the standards surrounding grading and satisfactory progress to degree. While all rules, regulations, and policies of graduate study are outlined below, we have added boxes around those that come up most frequently. Please contact Graduate and Professional Studies with any questions.

## **ENROLLMENT AND REGISTRATION POLICIES: STUDENT STATUS**

### ***A. Academic Residence Requirements***

#### **1. Academic Year**

According to University of California academic policy, a graduate student is considered to be in residence during an academic quarter only if at least four units of academic credit are earned in regular upper-division undergraduate or graduate-level courses. Except in rare cases, no graduate student will be recommended for any degree that has not completed at least one year of residence.

#### **2. Summer Session**

For a doctoral candidate, and in accordance with UC regulations, residence during a summer session may be counted only under either of the following conditions: (1) enrollment in two consecutive six-week summer sessions, which counts as one term of residence provided you are enrolled in each session for the equivalent of at least two units of upper-division and/or graduate-level coursework as given in a regular term; or (2) enrollment in an 10-week summer session, which counts as one term of residence provided you are enrolled for the equivalent of at least four units of upper-division and/or graduate work as given in a regular quarter. For a candidate for a Master's degree, the same basic criteria apply except that the two six-week summer sessions need not be consecutive.

#### **3. California Residency and Nonresident Supplemental Tuition**

All new graduate students, and students returning from an academic leave of absence, are required to complete and submit a *Statement of Legal Residence* to UCI's Registrar's Office to determine their official residency status. Questions about California residence and nonresident supplemental tuition should be directed to the UCI Residence Deputy in the Registrar's Office at (949) 824-6129 or [regres@uci.edu](mailto:regres@uci.edu). More information about California Residency classification is available at <https://www.reg.uci.edu/residency/classification.html>.

## B. Enrollment Policies and Procedures

### 1. Full-Time Enrollment/Registration

Full-time academic registration is generally expected of all graduate students at the University of California. Full-time registration is defined as 1) payment of applicable University fees/tuition and 2) enrollment in at least 12 units of upper-division or graduate-level academic coursework in a given quarter, including credit for supervised research or teaching occurring during the academic year. During the summer, full-time registration is defined as payment of applicable University fees and enrollment in at least six units of upper-division or graduate-level academic credits. However, continuing UCI graduate students are generally considered to be enrolled students between successive spring and fall quarters. Graduate students may enroll in lower-division courses with the approval of their faculty academic advisor, but such courses are not considered to be part of any graduate program and will not count toward satisfying degree requirements. **Full-time academic registration during regular academic quarters is required of all graduate students holding University-administered fellowships.**

**Course Load Limitations:** Graduate students should enroll in at least 12 units per quarter in graduate-level coursework with minimal undergraduate courses. **If you are a student in good academic standing and would like to request to take more than 16 units during a given term, please contact your appropriate Graduate and Professional Studies staff member.**

**IMPORTANT NOTE:** Students are strongly encouraged to register no later than the end of the third week of classes. Failure to do so will result in reduced student funding for UCI as well as a lapse of student status.

### 2. Part-Time Enrollment/Registration

In most instances, completion of an advanced degree at UCI requires full-time study. However, UCI recognizes that a legitimate need may exist for part-time study, and it may be allowable under certain circumstances, if academically feasible. Part-time status generally applies to MS students only. However, on the recommendation of the academic unit, students admitted to a Ph.D. program may be approved by the Graduate Dean for part-time status on an *ad hoc* basis for up to three consecutive quarters. Requests for part-time status must be submitted in writing to the Graduate Dean and signed by the Departmental Graduate Advisor as well as the School Associate Dean for Graduate and Professional Studies.

UCI policy defines part-time enrollment at the graduate level during the academic year as enrollment in one to eight units, including enrollment in Physical Education classes. Within the guidelines and limitations listed below, you may petition for part-time status. If approved, you must pay UCI the full Student Services Fee, all student activities fees, health insurance (GSHIP) premium, one-half the Tuition, and one-half the Non-resident Supplemental Tuition (if applicable).

#### a. Guidelines to Establish Part-Time Eligibility

- 1) A completed petition for the *Reduced Fee Part-Time Study Program* (found at [www.grad.uci.edu/forms/index.html](http://www.grad.uci.edu/forms/index.html)) must be approved by the Departmental Graduate Advisor and Associate Dean.
- 2) For PhD students requesting part-time status, an exception memo from the Graduate Advisor in support of the request, along with Associate Dean for Graduate and Professional Studies support, must be submitted to the Graduate Dean. The memo should include:

- a) A brief explanation of the motivation for the part-time status request
  - b) A statement of how part-time status might impact the student's progress toward degree, and steps to be taken to minimize any negative impact
  - c) An indication of when part-time status would, if approved, begin and end
- 2) To be effective for that academic quarter, the petition must be received by Graduate Division for approval by the Graduate Dean no later than the Wednesday at Noon of the third week of classes. **There are no exceptions to this deadline.**

*b. Part-Time Limitations and Related Policies*

**Purpose:** Approval of part-time enrollment status may be granted only for reasons of occupation, family responsibilities, health, or professional development.

**Citizenship:** Ordinarily, graduate students who are not citizens or permanent residents of the United States are not eligible for part-time enrollment because of overriding federal regulations governing student visa status. Please contact the UCI International Center for further information. International students who are eligible to petition for part-time status are required to obtain signature approval by the UCI International Center (<http://www.ic.uci.edu>) prior to submitting a request to the Graduate Division.

**Fellowships:** All University fellowship recipients require full-time enrollment in graduate-level courses. For extramural fellowship recipients, you must refer to and adhere to the individual agency guidelines established by the sponsor; if the sponsor does not specify then campus policies apply.

**Academic Appointments:** Part-time status may affect academic appointments/employment. Please see your department for more information.

**Satisfactory Academic Standing:** Students must be within time-to-degree limits for their program and must be making satisfactory academic progress.

**Student Loans:** All students considering applying for part-time status should be cautioned that, in most instances, they will no longer be eligible for deferment of student loan repayment obligations. It is your responsibility to discuss the matter with your loan agency.

**Student Housing and Other Services:** Part-time status may affect eligibility for student services, including student housing. If you live on campus and are considering part-time status, please check with the Housing Office.

**Maximum Time:** Petitions for part-time status may be requested the current academic year only and will lapse automatically at the end of the spring quarter unless terminated earlier. You must reapply each year for approved part-time status by submitting a new petition prior to the fall quarter or subsequent quarter's deadline.

**Enrollment Limits:** If the student exceeds the approved part-time enrollment limit of eight units at any point in any quarter for which part-time status is requested and approved, the student will be billed by UCI for the balance of the respective quarter's full-time student fees (including non-resident supplemental tuition, if applicable) and will not be permitted to register for a subsequent quarter until those required fees are paid in full.

### **3. Lapse of Status: Did Not Enroll**

At UCI, graduate students are expected to remain continuously enrolled in their degree program while progressing toward their degree. Any student who fails to maintain their graduate student status will be

notified in writing by the Graduate Division. A Lapse of Status will occur under any of the following conditions:

- a) If you fail to register (i.e. pay fees and enroll in units) by the Friday of the third week of instruction of classes.
- b) If an academic leave of absence, or permission to pay the Filing Fee in lieu of registration, has not been submitted and approved by the student's department and Graduate Division.
- c) If you fail to comply with any provisions of admission to UCI.

Final notification of lapse of student status will be sent to the student and the academic unit at the beginning of the fourth week of classes. Students wishing to re-enroll retroactively **within the same quarter** must provide Graduate Division with a completed Readmission Petition (<http://www.grad.uci.edu/forms/>) which requires payment of a readmission fee, applicable signatures as well as a written exception request signed by their Graduate Advisor and Associate Dean for Graduate and Professional Studies requesting reinstatement and justifying the request for change in student status. Approval of such requests is rare and is given under *truly exceptional circumstances* only.

#### **4. Lapse of Status: Readmission**

Prior to resuming graduate study at the University, a student who has previously withdrawn from UCI, or whose student status has lapsed, must request readmission by submitting a new *Application for Graduate Study* with the full, non-refundable application fee applicable at the time. However, graduate students who were not enrolled within the previous two years should submit, in addition to the completed application form, an updated statement of purpose, and transcripts covering all academic work since their last enrollment at UCI.

Readmission of former UCI graduate students without academic standing may be granted only by the Graduate Dean and only upon recommendation by the academic unit, and is not guaranteed. If readmitted, a student's previous academic work may be applied toward the requirements for an advanced degree only with the approval of the faculty graduate advisor and the Graduate Dean. Previous academic work is less likely to be applied if a significant period of time has elapsed since the student was enrolled. A readmitted student must satisfy the academic requirements in effect at the time of readmission and must satisfy certain requirements a second time, including formal advancement to candidacy. A readmitted student will also be expected to complete at least one additional academic quarter in residence before receiving an advanced degree, which will be conferred no earlier than the second quarter following readmission.

#### **5. Enrollment in Division of Continuing Education through Concurrent Enrollment**

If you wish to enroll for credit in a Continuing Education course through Concurrent Enrollment while registered or while on an approved Leave of Absence, your proposed program of study must be approved in advance by the Graduate Dean with the written recommendation of the Graduate Advisor.

#### **6. Withdrawal**

##### *a. Withdrawal between Quarters*

If you plan to withdraw after completing all academic work for the latest quarter of enrollment, but prior to enrollment and fee payment for the subsequent quarter, you should submit a written notice of intent to your department and the Graduate Division as soon the decision to withdraw has been made. You have two options in such cases: (1) to file a Cancellation/Withdrawal form

with the Graduate Division (carbon copy form is found in the Engineering Graduate and Professional Studies Office); or (2) to apply for an Academic Leave of Absence (<http://www.grad.uci.edu/forms/>). A student in good academic standing who intends to re-enroll after missing no more than three consecutive quarters is encouraged to consider a leave of absence

*b. Withdrawal after Enrollment and Fee Payment for a Quarter*

A student who decides to leave the University after paying fees and enrolling for a regular academic term must file the Withdrawal form (carbon copy form is found in the Engineering Graduate and Professional Studies Office) with the Graduate Division. If you are unable to do so in person because of emergency or serious illness, you should notify Graduate Division by mail or e-mail ([grad@uci.edu](mailto:grad@uci.edu)) as soon as possible so that timely assistance may be provided. **Failure to do so will result in the assignment of failing grades in all courses in which the student is enrolled, and will jeopardize further academic standing.** Note that students who withdraw after paying fees for the quarter are subject to the Registrar's Schedule of Refunds, available at <http://www.reg.uci.edu/enrollment/withdrawals/#refunds>.

*c. Withdrawal without Approved Academic Leave of Absence*

A student who withdraws, but has not been granted an academic leave of absence by the Graduate Dean, must apply for readmission in order to resume graduate study at UCI (see above).

## **C. Registration Policy**

### **1. Continuous Registration Policy**

A graduate student is expected to register for each regular academic session (Fall, Winter, and Spring quarters) until all requirements for an advanced degree have been completed, including final examinations and the submission of an approved thesis or dissertation. Registration at UCI consists of two separate steps: 1) payment of applicable student fees/tuition; and 2) enrollment in applicable units. Both steps, payment of fees and enrollment in classes, must be completed for you to be officially registered. Registration may be accomplished through WebReg (<http://www.reg.uci.edu/registrar/soc/webreg.html>).

### **2. Registration Procedures and Prerequisite Waivers**

Detailed registration procedures are outlined at <https://www.reg.uci.edu/enrollment/registration.html>. You are personally responsible for ensuring that your course enrollment is correct and completed, and have your fees paid, no later than the end of the third week of each quarter. Unless granted an official Academic Leave of Absence or approval to pay the Filing Fee in lieu of registration, a graduate student who does not register for any quarter will be considered to have withdrawn from the University, and their respective fee assessment will be cancelled by the Registrar. In such cases, student status and candidacy for any degree will lapse, and any student wishing to continue with their graduate studies at UCI will be required to apply for readmission. You can find the readmission petition at <http://www.grad.uci.edu/forms/>.

Graduate students are permitted to register and petition for upper-division undergraduate courses to count toward their elective units for their degrees. **Please note that each department and program has different standards for how many of these units are acceptable and you should consult the Graduate Advisor before enrolling in undergraduate electives. Specific requirements are listed in the course catalogue.** Most likely, you will need to have the prerequisite for the undergraduate course(s) waived. To do so, 1) Contact the professor of that course, stating that you are a graduate student wishing to enroll in their undergrad course and asking whether or not they approve of this request. 2) If the professor approves, forward the email to Engineering Curriculum Office at engcasa@uci.edu. In the email, please also include your full name, your student ID number, the course number, and the course code for your request. 3) The Curriculum Office will then follow-up with you in regards to this request.

### **3. In-Absentia Registration (<http://www.grad.uci.edu/forms/>)**

In accordance with UCI policy, masters and doctoral students who have advanced to candidacy and wish to engage in graduate study or research outside the State of California for an entire quarter or more is ordinarily eligible to register *In-absentia*. A student may request approval for *In-absentia* status for up to three consecutive quarters. To continue after a third consecutive quarter on *In-absentia* status, the student must reapply (by submitting a new *In-Absentia Registration* request form) before the beginning of the next quarter and obtain the Graduate Dean's approval.

While on *In-absentia* status, policy normally requires students to enroll in 12 units (typically for dissertation research or independent study courses), and pay the required quarterly fees/tuition. However, students on *In-absentia* status pay a reduced rate of 15% of the combined University Student Services and Tuition fees, as well as the AGS fee and GSHIP, if applicable.

The procedures for enrolling are the same as for regular students who are in-residence on campus. If *In-absentia* registration is approved by the academic department and the Graduate Dean, the Graduate Division will send notice of an In-Absentia Waiver to the UCI Student Billing System. The student will then be billed for the fees/tuition due, with the Waiver appearing on the student's Zotbill as a credit. It is the student's responsibility to ensure fee payment by the deadline established by the Registrar and to submit all applications and petitions in a timely manner to ensure that their fees are assessed appropriately and prior to all deadlines.

### **4. Academic Leave of Absence (LOA) (<http://www.grad.uci.edu/forms/>)**

A Leave of Absence (LOA) may be granted for up to one academic year (3 quarters) if, following review of the student's academic record, it is deemed consistent with the student's academic objectives and progress toward degree. Written approvals are required of the Graduate Advisor, the Engineering Associate Dean for Graduate and Professional Studies and the Graduate Dean. If you decide to take a leave of absence, it is important that your application be submitted to the Graduate Dean (120 Aldrich Hall) prior to the beginning of the quarter for which approval is sought. In case your LOA request is not approved, then you will still have time to enroll prior to the deadline. If an Academic Leave of Absence request is approved and you subsequently become ineligible for LOA status (e.g., GPA falls below 3.0 in the quarter prior to leave), approval for LOA status will be rescinded.

#### *a. Purpose*

An LOA is intended to cover the temporary interruption of the student's academic program. The reason(s) for requesting an LOA must be consistent with University policy and guidelines as outlined below, and with the student's academic program guidelines.

*b. Eligibility Guidelines*

A leave may be granted when a student plans to be away from the University of California for one of the following reasons:

- 1) Serious illness or other temporary disability.
- 2) Concentration on an occupation not directly related to the student's academic program.
- 3) Responsibilities related to family obligations.
- 5) Temporary interruption of the student's academic program for other appropriate reasons.

*c. Limitations to LOA*

LOA policy does not apply under the following circumstances:

- 1) If a student will be absent from the campus and outside California while continuing to pursue graduate research or scholarly activity. Students engaged in such activity outside California must register *In-absentia*.
- 2) If a student must leave the academic program for more than three quarters. Under such circumstances, students should withdraw and apply for readmission at the time he/she expects to resume graduate study at UCI.
- 3) If a student requests such action retroactively.
- 4) If a student has not completed at least one quarter of graduate study at UCI.
- 5) If a student has not demonstrated satisfactory academic progress.

*d. Procedures for Requesting an Academic Leave of Absence*

A request for a LOA requires submission of a Graduate Division Academic *Leave of Absence* form (<http://www.grad.uci.edu/forms/>). The form should be submitted to Graduate Division (120 Aldrich Hall) prior to the registration deadline for the quarter requested.

In cases in which the fees have been paid, a *Withdrawal* form, available from the Graduate and Professional Studies Office (204 Rockwell Engineering Center) or University Registrar (215 Aldrich Hall) must also accompany the *LOA* form.

**Terminating of Academic Leave of Absence:** An Academic Leave of Absence may be terminated at the written request of the student before the end of the approved leave period. However, approval by exception is required if the student will register after the second week of instruction, if the student who has not attained the academic objective for which he/she was admitted, and who either fails to enroll or secure a formal leave, loses all graduate student standing in the University.

*e. Other Policies Relevant to LOA*

- 1) **Academic Appointments and Employment:** If you are on an approved leave, you may not be employed by the University of California in any capacity.
- 2) **Degree Requirements:** A student on leave cannot take qualifying examinations for advancement to candidacy or final examinations for the degree, nor pursue their graduate studies on the UCI campus in any other manner. A student may not receive academic credit

for work done at another institution during the leave period unless an exception is approved in advance by the Graduate Dean.

- 3) **Fee Refunds:** If fees have been paid for the quarter the leave is requested, the LOA form, as noted above, must be submitted together with a Withdrawal. Students must indicate on the Withdrawal form, under Reason for Withdrawal, "LOA". The refund schedule is printed on the back of the Withdrawal form. The effective date for the refund is the date the form is submitted to the Graduate Division. Note that the GSHIP premium will be refunded only if the Withdrawal form is submitted before the first day of the quarter.
- 4) **Filing Fee Restriction:** Immediately following a LOA, students are required to register. They will not be eligible to be on Filing Fee status.
- 5) **Financial Support:** While on an academic LOA, you are not eligible for University fellowships, University research grants, or financial aid support. In addition, you will, in most cases, lose eligibility for deferment of student loan obligations. It is your responsibility to contact your loan agency to verify your loan status before applying for academic LOA.
- 6) **Health Insurance:** A student on leave will not be covered by the graduate student health insurance (GSHIP) program unless the student self-pays for continued coverage. Students should contact Student Health at (949) 824-5301 or refer to their website at <http://www.shs.uci.edu/>.
- 7) **Housing:** LOA status may affect eligibility for student housing. If you live on campus and are contemplating an academic leave of absence, you should check directly with your housing office for more information.
- 8) **International Students:** In accordance with visa restrictions, a student who is not a permanent resident or citizen of the U.S. may not be permitted to take an academic LOA. Any exception to this policy requires written approval by UCI's International Center as indicated on the LOA form. Following receipt of such approval the form must then be submitted to the Graduate Division.
- 9) **Library Privileges:** A student on leave will lose library privileges. Students should contact the library for more information. In some cases, special arrangements can be made with the library to maintain privileges.

## 5. Filing Fees

UCI's Academic Senate policy on Filing Fees applies to students who have completed all requirements for a terminal Master's or Doctoral degree and are ready for the formal submission of their thesis or dissertation, or the final examination. The Filing Fee may be paid in lieu of registration for only one academic quarter or summer during your entire graduate career. Students applying for Filing Fee status must be registered in the preceding academic session. A Filing Fee will not be accepted immediately following a LOA.

### a. Establishing Eligibility for Filing Fee Status

To establish eligibility to pay the Filing Fee, you must submit a Graduate Division *Filing Fee Petition* (<http://www.grad.uci.edu/forms/>). The Petition must be approved by the departmental

Graduate Advisor and the Chair of your thesis or doctoral committee (if applicable) and must certify that all other requirements for the degree have been met. You also need to obtain the signature of the Associate Dean from the Graduate and Professional Studies Office. International students, in addition, must secure approval from the International Center to go on Filing Fee status. It is important that applications for Filing Fee be submitted to the Graduate Dean prior to or at the very beginning of the quarter.

The completed *Filing Fee* form should be brought to the Cashier's Office with a check made out for one-half of the Student Services (see the Registrar's website <http://www.reg.uci.edu/fees/>). The form should then be submitted to the Graduate Division for final approval/processing.

*b. Limitations on Use of University Services While on Filing Fee Status*

While on Filing Fee status, you may seek faculty involvement for a final reading of your dissertation or thesis. A student may also take the final oral examination. However, you may not pay the Filing Fee if you are still doing research or if any other use of University facilities or faculty time is anticipated. Additional restrictions while on filing fee status include the following:

- 1) Loss of eligibility for University administered financial assistance.
- 2) Loss of student services such as health services, including health insurance (GSHIP). Students may, however, arrange to self-pay.
- 3) Possible loss of student housing or library privileges. Students are encouraged to contact the Housing Office and Library for more information.
- 4) Loss of eligibility status for UCI academic or student appointments.
- 5) Loss of eligibility, in most cases, for deferment of student loan repayment obligations. It is the responsibility of the student to contact their loan agency to verify their loan status before applying for filing fee status.

If, after paying the Filing Fee, you should find it necessary to use the educational facilities of the University in any way other than those described in this section, you must cancel the filing fee and register for full-time status. Further, if all requirements are not completed during the quarter for which the Filing Fee was paid, you must register for full-time status for any subsequent quarter (domestic students only). To do so the student must contact the Graduate Division in order to be reassessed fees for the next quarter. For international students, visa restrictions prevent you from continuing as a student after being on Filing Fee status.

Students wanting to earn a degree over the summer must be enrolled in units or on filing fee status. All summer filing fee requirements and policies are similar to those stated above with the exception of the items listed below. You can find the summer filing fee form on the Graduate Division website at [www.grad.uci.edu/forms/](http://www.grad.uci.edu/forms/).

- The student applying for Filing Fees status in summer must have been registered in the preceding spring academic quarter.
- For summer filing fee only, students may receive fellowship support or UCI employment while on summer filing fee.
- Students registered and covered with GSHIP for spring quarter and on Filing Fee status during summer: maintain GSHIP coverage, student housing and library privileges through the end of summer.

## 6. Terminal Master's Students

Students pursuing a terminal master's degree may not continue to register as a graduate student subsequent to a degree award unless formally admitted to a doctoral program. Engineering M.S. students who are interested in pursuing the Ph.D. program will need to submit the *Change of Degree Level* form (<http://www.grad.uci.edu/forms/>) prior to M.S. degree completion. Two letters from departmental professors, a new statement of purpose, and signatures indicating departmental support must accompany the form along with the PhD Faculty Research Advisor Verification form (<http://engineering.uci.edu/current/graduate/forms>).

### D. Doc2A Definition and Guidelines

By definition, a Doc2A student is enrolled more than 9 quarters past their advancement to candidacy for the Ph.D. The Doc2A quarter count begins with the quarter immediately following their advancement to candidacy date. Graduate students in Doc2A status may be appointed to GSR titles at the hiring department's discretion, provided they meet academic qualifications including enrollment and grade/GPA requirements, and are making satisfactory academic progress; and to the Academic Student Employee (ASE) titles at the hiring department's discretion if they are within the 18-quarter service limit for Teaching Assistants; meet academic qualifications including enrollment and grade/GPA requirements; and meet English language proficiency requirements for Teaching Assistants (for international and U.S. permanent resident students who are not citizens of countries where English is the primary or dominant language).

### E. Nonresident Supplemental Tuition Reduction for Nonresident Doctoral Students (International Students)

Nonresident doctoral students who have advanced to candidacy are eligible for a 100% reduction in the nonresident supplemental tuition (NRST) for a maximum of three consecutive calendar years including time on leave of absence. The reduction in NRST begins with the first academic term following advancement to candidacy, and is based on the prevailing NRST rate for the year it is applied. Any nonresident student who continues to be registered, or who re-registers following the three-year maximum allowance, will be charged the full NRST rate that is in effect at that time of enrollment. The student must be advanced to candidacy as of the first day of the quarter to qualify for the NRST reduction. A nonresident student is eligible for the reduced NRST for only **one** doctoral degree when he or she is enrolled at the University.

## F. Intercampus Exchange Program

### 1. What is Intercampus Exchange?

Through the Intercampus Exchange Program, you may take advantage of unique educational opportunities at another University of California campus. You may also take courses on more than one campus of the University in the same academic session. The program is reserved for those students whose graduate study may be enhanced by work with distinguished faculty or use of facilities and resources accessible only on another UC campus.

### 2. Eligibility for Intercampus Exchange

You must have completed at least one quarter of graduate study in the University and be in good standing (3.0 cumulative GPA) to be eligible to apply for Intercampus Exchange. Approvals by the departmental

graduate faculty advisor, the host department(s), and the Deans of the respective graduate offices are required.

### **3. Procedures**

Application forms for the Intercampus Exchange Program are available on the Graduate Division website <http://www.grad.uci.edu/forms/> and should be submitted to the Graduate Division at least four weeks before the beginning of the quarter for which Intercampus Exchange is desired. If approved, the exchange student pays fees and enrolls at UCI (see "a" below) by the published deadlines, and then enrolls at the host campus. Fees at the host campus are waived. Students earn credit toward academic residence requirements at UCI, while the host campus provides library privileges and other student services. The exchange student is responsible for complying with the policies, procedures, and deadlines of the host campus Registrar. Although eligible for all regular student services, the exchange student is a visitor, and not formally admitted to graduate study at the host campus.

#### *a. Financial Aid and Intercampus Exchange*

The Registrar reports student status to financial aid lending institutions on a quarterly basis. If a student's record does not show full-time enrollment, the lending institution may set in motion the process for repayment of the student loan. Students who enroll in courses on two campuses in a given quarter, and in fewer than 12 units on each of the two campuses during that quarter, will not be considered full-time students even if the total number of units is 12 or more unless they enroll in a "place-holder course" at UCI. The place-holder course numbers are listed by campus; please contact the Graduate Division to obtain the applicable place-holder course number. The student should identify the appropriate course number, pay fees and enroll online using WebReg before the second week of classes.

### **4. Joint (Intercampus) Degree Program Students**

Students in joint/intercampus degree programs should also enroll and register as Intercampus Exchange students when they are taking classes on a participating campus other than UCI. There may be some important exceptions to the regular policy on intercampus exchange, including additional services that may be available on the participating campus, and a more streamlined enrollment/registration procedure. Students should consult with their home department/program or the Graduate Division for more information.

### **5. Coursework Credit**

A report of academic work completed will be transferred to the student's academic record on the home campus. Direct arrangements between faculty members on the two campuses involved are encouraged, in order to ensure that courses, seminars, or facilities will be available to meet the student's needs. Whether or not the coursework at the host campus applies toward the student's program requirements is at the discretion of the Faculty Advisor/Associate Dean for Graduate and Professional Studies of the student's academic unit. Therefore, the student should consult with the appropriate individual(s) prior to enrolling in a given course.

If a graduate student undertakes coursework through Intercampus Exchange in the quarter in which the degree award is expected, and if that coursework is to be applied toward degree requirements, the degree can be conferred only when the approved credit for the coursework is posted to the student's UCI academic record. In such circumstances, to avoid delays or problems in the degree award process, the student should contact the Registrar of the host campus and order a transcript of the work completed to be

sent directly to the Graduate Division. The student should also notify the Graduate Division in writing that the transcript has been requested.

## **ACADEMIC STANDARDS FOR STUDENTS**

### **A. Progress toward Degree**

#### **1. Satisfactory Progress**

A graduate student is expected to maintain satisfactory progress toward an approved academic objective as defined by the faculty of the program, and in accordance with policies of the Graduate Council and the University. It is important that your academic record be assessed each quarter to confirm satisfactory progress. Satisfactory progress is determined on the basis of both the student's recent academic record and overall performance. In order to remain in the PhD or MS program, all students must **maintain good academic standing** including the following:

- **GPA** – student must maintain at least a 3.0 cumulative grade point average.
- **Normative Time to Degree** – the student must advance to candidacy and complete the degree within the limitations established. A student exceeding the maximum time to degree shall be deemed not making satisfactory progress toward their degree; moreover, they shall not receive University resources (e.g., financial aid, TA-ships, housing). Normal Time to Degree for each graduate program is listed in the *General Catalogue* and on the Graduate Division website.
- **Grade Reports** - all Incomplete (I), Withdrawal (W), or No Report (NR) grades should be reviewed and appropriate action taken as needed.
- **P/NP Grade Option** – 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 fellowships and academic appointments/employment.
- **Enrollment of 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 PhD 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, Submission of the thesis) within the appropriate times outlined by his/her department within the Course Catalogue and/or the departmental website and 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 by his/her department within the Course Catalogue and/or the departmental website and handbook.

## 2. Unsatisfactory Progress

A graduate student who has not demonstrated satisfactory progress is not eligible for any academic appointment/employment, fellowship support or other awards.

### a. Criteria for Determining Unsatisfactory Progress

- 1) An overall grade point average below 3.0; or
- 2) A grade point average below 3.0 in two successive quarters; or
- 3) Fewer than 24 units completed and applicable toward the advanced degree requirements in the last three quarters; or
- 4) Failure to complete required courses or examinations satisfactorily within the period specified by the graduate program; or
- 5) Failure to pass a required examination in two attempts; or
- 6) Failure to progress academically within the Normal Time to Degree framework specified for the student's graduate program; or
- 7) The appropriate faculty committee's evaluation that there has not been satisfactory progress toward completion of the thesis or dissertation.

**NOTE:** Unsatisfactory academic progress may be determined on the basis of explicit requirements such as those outlined above. However, the professional judgment of the faculty upon review of all graduate work undertaken by the student, is paramount, and the faculty of a particular academic unit may establish more restrictive criteria for satisfactory academic progress

### b. Notice of Unsatisfactory Progress

It is very important to give students an early warning of potentially unsatisfactory progress. Faculty advisors must be direct and clearly communicate orally and in writing with students demonstrating academic difficulties at the earliest possible time, and must keep a written record of all such communications. Notices of potential unsatisfactory progress must be sent in writing to the student; a copy must also be retained in the academic unit files and another copy sent to the Graduate Dean (120 Aldrich Hall). **The written communication must include specific details on areas that require improvement, provide an outline and a timeline for future expectations of academic progress, and set meeting dates to maintain continuity in advisement.** The purpose of the notice of potential unsatisfactory progress is to provide the student with a period of time (usually at least one academic quarter) in which to make the necessary improvement in their academic status, and

successfully complete their graduate study. If requested by the academic unit to do so, the Graduate Dean will also send a notice of potential unsatisfactory progress to the student.

### **3. Academic Disqualification Policy**

#### *a. Disqualification vs. Dismissal*

Disqualification means that, for one or more of the academic reasons listed below, a student is no longer eligible to continue graduate study in his/her graduate program at the University of California, Irvine. The term “**dismissal**” should not be confused with “**disqualification**.”

Dismissal is an administrative action resulting in removal from graduate study based on behavior or conduct. Authority to terminate student status as a result of disciplinary proceedings rests with the Dean of Students.

#### *b. General Policy*

1) Recommendation for Disqualification: If a graduate student’s Graduate Advisor determines that a graduate student is making unsatisfactory academic progress as determined by any of the factors noted in this section, the Graduate Advisor shall consult with the appropriate faculty and administrators for that degree granting unit (e.g. Associate Dean, Chair, Thesis Advisor, etc.) before drafting a letter to notify the graduate student in writing that he or she has been recommended for academic disqualification. The letter will be vetted and approved at the School level by the Associate Dean and sent to the student. A copy of the letter will then be sent to the Graduate Dean.

2) Disqualification by Graduate Dean: After consultation with the graduate student’s academic unit faculty, the Graduate Dean may disqualify a graduate student because of unsatisfactory academic progress as determined by any of the factors noted in this section. Should the Graduate Dean determine that disqualification is warranted under this section, the Graduate Dean shall notify the graduate student in writing of the disqualification determination.

3) Withdrawal by Mutual Agreement: In those cases in which the graduate student and the academic unit mutually agree to the termination status, either to end graduate study with a Master’s Degree or to simply withdraw from graduate study, then the academic unit and/or graduate student may independently notify the other of this mutual agreement. In all such cases, the department shall provide the Graduate Division a copy of the mutual agreement to terminate. The department shall direct that notice to the Enrolled Student Affairs Officer at 120 Aldrich Hall.

4) Grounds for Placement on Academic Conditional Status:

#### **Engineering Academic Conditional Status (ACS)**

Academic probation status is assigned when one of the following occurs: a Cumulative GPA of less than 3.0 in one quarter; a Quarterly GPA of less than 3.0 in two subsequent quarters; or fewer than 24 units have been completed and applicable toward the degree requirements within the last 3 quarters. In order to remain eligible for continued study in Engineering, students must meet all of the requirements outlined in the academic probation letter. Failure to meet the terms of the academic probation contract may result in academic disqualification and the termination of a student’s graduate study.

### 5) Grounds for Disqualification

A graduate student is automatically disqualified from further registration if, at the end of any term, the graduate student's grade point average for that term is less than 2.0.

### 6) Procedures for Disqualification

If a graduate student's Graduate Advisor determines that a graduate student is making unsatisfactory academic progress as determined by any of the factors noted in Section II of this policy, a letter will be sent to the graduate student informing her/him of the lack of satisfactory progress. This letter will be drafted by the Graduate Advisor in consultation with the appropriate faculty and administrators for that degree granting unit (e.g. Chair, Thesis Advisor, etc.) and ultimately approved by the Associate Dean. The School will provide a copy to the Graduate Dean. To ensure due process, programs must also provide the Graduate Dean with all documents relevant to the disqualification case.

#### c. Due Process Requirements

To ensure that a decision to disqualify a student from an academic program is just, certain basic "due process" requirements must be met:

- 1) Departmental and program policies must be clearly stated in writing, and a copy provided to all students in the program upon acceptance into the graduate program or within the first few weeks of the student's first quarter of enrollment in classes.
- 2) Information on University and campus policies affecting graduate students must be provided to all students in the program. Most of these can be found on the UCI Website and the *UCI General Catalogue*.
- 3) Academic standards must be uniformly applied.
- 4) Modification of a program's policies undertaken to improve its offerings or to exercise its educational responsibilities must be submitted to the Graduate Council for approval in accordance with Academic Senate policy.
- 5) Students must be promptly informed of any such modifications as described above, and should be allowed, whenever appropriate and feasible, to complete work under standards operative at the time of their initial enrollment in the program. Academic units should contact Graduate Division Student Affairs Officer to determine the appropriateness of requiring enrolled students to meet new standards.
- 6) Grades must accurately reflect a student's performance in each course, including research units.
- 7) An attempt must be made to discover if a student lacks the academic qualifications to complete a degree program as early as possible in the student's academic career.
- 8) The student must be given early written notice of potentially unsatisfactory academic progress and a specific period of time in which to correct all deficiencies. The written notice must also state the outcome should the student fail to correct the deficiencies by the stated deadline(s).

#### d. Student Appeals

Once a graduate student receives the Notification of Decision from the Graduate Dean, the Graduate Dean shall give the graduate student 30 calendar days from the date of the Notification of Decision to appeal the decision or to withdraw from the graduate program. The graduate student must request an appeal in writing.

If the graduate student chooses to appeal within the 30 calendar day period, the graduate student may do so only on the basis of one or more of the following specific criteria: (1) procedural error; (2) verifiable evidence of personal bias; or (3) judgments based on non-academic criteria.

If the graduate student does not respond or withdraw from his or her respective graduate program within 30 calendar days of the Graduate Dean's notification of intent to disqualify, the Graduate Dean shall send a final written notice of academic disqualification to the graduate student. There will be a notation placed on the student's transcript stating that the student was academically disqualified. A graduate student who has been disqualified will not be allowed to register in any graduate program at the University of California, Irvine including the original graduate program or any other graduate program, without written approval of the admitting academic unit and the Graduate Dean.

### ***B. Graduate Standards for Grading***

For a graduate student, only the grades A+, A, A-, B+, B, and S represent satisfactory scholarship, and only course work in which these grades are received may be applied toward degree requirements. Students must receive a B or higher in a course in order for it to count toward their degree requirements. Graduate students may not apply courses graded Pass/Not Pass (P/NP) toward any degree or satisfactory progress requirements. A grade point average below the B level (3.0 on a 4.0 scale) is not satisfactory, and a student whose grade point average is below that level is subject to academic probation and potential academic disqualification. The minimum grade point average standards, as stated in this manual, are minimum requirements for the School of Engineering. Individual academic unit faculty members retain the prerogative to apply stricter standards for graduate students within their academic unit.

#### **1. Course Repetition**

Courses in which a grade below a B, or a grade of U, was received may be repeated only once. Only the most recently earned grades will be used in computing the student's grade point average for the first eight (8) units of repeated graduate course work. Thereafter, both the earlier and later grades are averaged.

#### **2. Pass/Not Pass (P/NP)**

The grade Pass (P) is applied to undergraduate coursework only. It is equivalent to C level work or better, and does not represent satisfactory scholarship for a graduate student. The grade P is not considered as meeting the academic criteria for satisfactory progress, for university-administered fellowships, or for academic appointments/employment. If a graduate student chooses the option of P/NP grading, it is assumed that the course is an elective that does not have any significant relationship to the student's progress in the graduate program. A graduate student may elect P/NP grading for one course only (a maximum of 4 units) per quarter. **Under no circumstances will courses taken P/NP count toward unit and degree requirements for any graduate degree program. However, ESL courses can be taken as P/NP and will not count toward degree requirements.**

#### **3. Satisfactory/Unsatisfactory (S/U)**

A grade of Satisfactory (S) is equivalent to a grade of B (3.0) or better. No credit is given for a course in which a grade of Unsatisfactory (U) was assigned. You cannot self-elect S/U grading. The S/U grading is assigned by the instructor and may be assigned to all participants in a graduate course. Similarly, with the consent of the academic unit involved, individual study and research or other individual graduate work may be evaluated by means of the grades Satisfactory or Unsatisfactory.

**NOTE:** When registering, your options listed include "grade" or "P/NP" only. Students taking graduate courses that offer an S/U option, and who wish to elect the S/U option, should select the "grade" option, and then make the necessary arrangements with the instructor. It is at the discretion of each individual faculty member to choose whether to utilize the letter scale (A, B, etc.) or the Satisfactory/Unsatisfactory (S, U) system when assigning grades for research classes.

It is very important that you discuss this option with your instructor. Do not assume the instructor will remember this option at the end of the quarter. Please make arrangements for S/U grading well before grades are to be assigned. Moreover, grading is at the discretion of the adviser, including whether or not to approve your request for S/U grading.

#### **4. In Progress (IP)**

"In Progress" is a transcript notation restricted to sequential courses extending over two or more quarters, and for which use of the IP notation has been approved by the Graduate Council and the academic unit. It indicates satisfactory progress, and should not be assigned if the level or the progress of the work to date is not satisfactory. Upon completion of the last quarter of the course sequence, the grade for the final quarter is assigned for all quarters of the sequence. No course credit is given until the student has completed the entire sequence. If a student who was assigned the provisional notation IP for one or several quarters of a course sequence fails to complete the sequence, the instructor may assign a final grade and request the Registrar to replace the IP with that final grade on the permanent record. In the event that no action is taken to replace the IP with a final grade, the IP will be changed to an Incomplete (I) at the end of the third quarter following the quarter in which it was originally assigned, or at the end of the quarter immediately preceding award of the degree, whichever comes first. Only quarters in which a student is enrolled will be counted in determining the time at which an IP is changed to an I.

#### **5. Incomplete (I)**

The grade Incomplete (I) should be given only when a student's work is of passing quality but is incomplete for good cause. You must make arrangements with the instructor to complete the coursework within a period of no more than 12 months following the term in which the grade Incomplete was originally awarded, or prior to the end of the quarter immediately preceding award of the degree, whichever comes first. The instructor is not obligated to allow the maximum time period. You should not re-enroll in the course to make up the Incomplete. **Incomplete (I) grades will convert to a failing grade (F), not pass (NP), or unsatisfactory (U), whichever is appropriate, after remaining on the student's record for 12 months. This is then used when computing GPA to determine whether the student meets the minimum GPA requirement for graduation (3.0).**

The number of Incomplete grades accumulated by a student should be monitored and limited carefully, and should be removed as soon as possible. Incomplete grades are an important factor in evaluating academic progress as well as in determining eligibility for employment. The maximum amount of time that an instructor may allow for making up incomplete work is three quarters of enrollment, but stricter limits may be applied. When work is completed within the time allowed, the student should ask the instructor to submit a change of grade notice to the Registrar. The general procedure is to process such requests with the approval of the Associate Dean for Graduate and Professional Studies of the school in which the course was offered.

#### **6. No Report (NR)**

The NR notation is made on a student's permanent record in those cases where the student's name appears on the official class roster but the instructor did not turn in a grade for the student. The NR notation is

applied under extenuating circumstances only; specifically, if the student and instructor have not reached agreement on the work, or if a student misses a final exam, and the instructor does not have a chance to talk with the student before grades are due. Under these circumstances, the instructor may not be able to give a grade based on the material the student has completed.

A student who receives an NR transcript notation should immediately contact the instructor to arrange for the removal or replacement of the notation. The NR may be removed from the student's record by the action of the instructor providing that the assignment of the NR was due to a clerical or procedural error. Depending on the circumstances, the instructor may request that the Registrar change the NR to a grade (including the grade Incomplete), or remove the entry for that course altogether from the permanent record. **If no action is taken to remove the NR from the permanent record after one quarter of subsequent enrollment, or at the end of the quarter immediately preceding award of the degree, whichever comes first, the NR notation will be changed to a failing grade (F) or not pass (NP).**

## **7. Withdrawal (W)**

The Registrar will record on a student's permanent academic record a W notation for each course the student drops at any time after the end of the sixth week of instruction in a quarter. Courses in which a W has been entered on a student's transcript will be disregarded in determining the grade point average. In general, W notations are not considered in determining a student's satisfactory progress. However, if a student accumulates a significant number of W notations, they may become a significant factor in this regard. **NOTE:** A request to drop a course after the sixth week of instruction is not guaranteed and will be reviewed on a case-by-case basis.

### ***C. Removal of Deficient Grades and Repeat of Courses***

Repetition of courses not authorized to be taken more than once for credit is limited. A graduate student may repeat a course in which a grade below B (3.0) or a grade of Unsatisfactory was received one time. Only the most recently earned grade is used in computing the student's grade point average for the first eight (8) units of repeated work. Thereafter, both the earlier and the later grades are averaged. All credit units attempted and grades received remain part of the permanent record of the student.

### ***D. Examinations***

#### **1. Scheduling of Examinations**

Ordinarily, examinations that are required for an advanced degree, including language and comprehensive examinations and qualifying or final examinations for the Ph.D. or professional doctorate degree, may be given only during an academic session for which the student has registered. However, with the approval of the graduate committee of the academic unit, such examinations may be given between the end of any academic session for which the student was registered and the beginning of the next regular academic session. **\*\*Doctoral preliminary examinations and M.S. comprehensive examinations are under the stipulation of each individual department. Please refer to the Graduate and Professional Studies Office, your department's Graduate Coordinator or Graduate Advisor for more information.\*\***

## 2. Repeat of Critical Examinations

You shall have the option of taking a second examination in the event of unsatisfactory performance on a critical examination. Included are: the comprehensive examination for Master's degrees, the Ph.D. preliminary examination, the Ph.D. qualifying examination for advancement to candidacy, and the final examination on the Ph.D. dissertation. The second examination may have a format different from the first, but the substance should remain the same. A student whose performance on the second attempt is also unsatisfactory, or who does not undertake a second examination within a reasonable period of time, is subject to academic disqualification. A third examination may be given only with the approval of the departmental graduate committee and the Graduate Dean.

## 3. Credit by Examination

If you believe that your knowledge of the content of a given course, or knowledge of the appropriate subject matter, is sufficient to be tested by formal examination without enrollment in a course, you may petition for a limited amount of credit by examination. The following conditions must be met before such a petition can be approved:

- The student must be registered for at least four units of upper-division and/or graduate-level work at the time the examination is taken.
- The student's overall scholarship must be satisfactory (3.0 or better cumulative grade point average).
- The course itself must be one that can be tested by examination. Graduate seminars and research courses cannot be taken for credit by examination.

In cases where the petition for credit by examination is approved, instructors retain the prerogative to: (1) decide whether they will serve as examiners; (2) determine the form such an examination may take; and (3) stipulate whether grades will be reported as Satisfactory/Unsatisfactory or as letter grades in accordance with grading policy for that course.

The *Credit by Examination Petition* may be obtained from the Registrar or from the Academic Dean of the school offering the course. Approval of any petition for credit by examination must be obtained from the Dean of that school prior to the examination. The petition must also be validated at the Cashier's Office by payment of a small fee.

### E. UCI Academic Senate Policy on Academic Honesty

The consequences of failing to uphold the academic honesty policy is published in the *UCI General Catalogue*, and is also available at <http://www.editor.uci.edu/catalogue/appx/appx.2.htm>. **Students are expected to become familiar with this policy. Students who fail to uphold their fundamental academic obligation are subject to consequences that might range from lowering a grade to campus-wide sanctions, up to and including dismissal.** Examples of conduct that fall under the aegis of the policy on academic honesty include, but are not limited to, plagiarism, cheating, stealing of exams, falsifying the record of their work, or collusion in such dishonest activities. When faculty suspect academic dishonesty, they need to follow due process guidelines and investigate their suspicions promptly and fairly. Minimally, due process requires that suspected students be given clear and prompt notice of the suspicion and the opportunity to confront or rebut the evidence that gave rise to the suspicion. Some procedures for implementing the policy can also be found in the UC-UCI document *Policies Applying to Campus Activities, Organizations, and Students* (<http://www.dos.uci.edu/conduct/code-of-student-conduct-handbook>).

## Engineering Academic Dishonesty

A student who is found to have committed an act of academic dishonesty will be given a warning for their first incident of academic dishonesty unless the act is egregious. If egregious, then a student is subject to immediate academic disqualification. If not egregious, then any future incidents will result in academic disqualification.

## *F. Graduate Mentoring and Advising Policy*

### **1. Introduction**

A mentor-mentee relationship is based on trust and discretion. Good mentoring involves treating students respectfully and fairly providing reliable guidance, and serving as a role model for upholding the highest ethical standards. The Graduate Council recognizes that faculty mentoring of graduate students, both academic and professional, is a necessary and integral part of the graduate experience. There is a distinction to make between being a mentor and being an advisor—a mentor is someone who is attentive to the professional future of the student, while an advisor is someone who directs the student on what steps are needed to graduate. Both, however, exhibit characteristics that span beyond formal classroom instruction and can be found in one individual together or distributed across multiple supporters. In this document, the term “Graduate Advisor” will be used to reference the faculty member charged by an academic unit with directing a graduate program. Each graduate program has at least one Graduate Advisor. The term “Faculty Advisor” will be used to reference an individual student’s thesis chair, dissertation chair, or capstone project advisor. It is common for the faculty advisor to also serve as a student’s mentor. In this case, the faculty advisor shares wisdom, technical knowledge, guidance, and support that helps students understand how to succeed in their graduate program, excel in their field of study, and to recognize and choose among career options. Some departments may enhance mentoring beyond the role of the faculty advisor through incorporating peer mentoring, professional development workshops, and other activities. While it is necessary to have one primary faculty advisor, contemporary views of mentoring suggest that multiple mentors may be beneficial to mentees’ study, reading, research, writing and career development.

Because disciplines and programs face their own unique challenges, we recommend that each graduate program define their own best practices in terms of mentoring and develop their own set of guidelines for both faculty and graduate students. Understanding that both the mentor and mentee play an active role in this relationship is a vital first step; both should be aware of the following guiding principles regarding this relationship:

- Mentors and students should discuss and come to a clear understanding of their expectations, clearly defining roles and responsibilities.
- Either party has the right to terminate the mentoring relationship if not seen as satisfactory, despite genuine attempts at conflict resolution. However, departments may require students to have a primary faculty advisor at all times to remain in the program.
- The relationship should enable shared decision-making regarding the mentee’s professional development, incorporating both individuals’ points of view.
- Meetings should be held in an appropriate environment where both parties feel they can speak freely.
- Commitments made should be honored. Both parties should be considerate of each other’s time and provide as much notice as possible when cancelling or rescheduling meetings.
- Information shared in mentoring meetings is subject to standard rules of professional confidence.

### **2. Role of Faculty**

Regardless of the program or department-specific model, it is expected that each student receives advising and mentoring. It is the responsibility of each graduate program's faculty to advise and monitor the academic progress while encouraging the professional development of each student. Faculty should be attentive to the future of their students and serve as advocates on their behalf when appropriate. Guidelines for advising and mentoring are provided below.

#### *a. Advising*

In coordination with program staff, faculty advisors guide students through degree requirements by providing a clear map from the very beginning. This includes defining a timeline for completing coursework requirements and qualifying examinations.

- Faculty advisors assist students through the thesis and/or dissertation process. This includes providing advice on timely initiation and completion, topic choice, acquiring sources of funding, committee formation, etc.
- Faculty advisors clearly evaluate the strengths and weaknesses of their student's research and ensure that the grades assigned for independent study are consistent with the student's performance.
- Faculty advisors provide regular and timely feedback on the progress of students, including constructive criticism on progress. Individual Development Plans (IDP) can be used as a tool to help facilitate these discussions.
- Faculty advisors must meet quarterly with students not making satisfactory progress to evaluate their progress.
- Faculty advisors foster the development of communication skills, written and oral, as it pertains to the students' particular area of study.

#### *b. Mentoring*

- Mentors provide constructive advice and guide the professional development of students.
- Mentors affirm students' pursuit of health and wellness, as well as professional skills beyond research which are necessary to career success.
- Mentors encourage students' participation in appropriate professional meetings of national and regional groups and societies.
- Mentors share their resources and networks, as appropriate, to facilitate interaction with other scholars, both on campus and in the wider professional community.
- Mentors assist with applications for research funding, fellowship applications, and other applications specific to the program or discipline.
- Mentors provide career guidance, assistance in the preparation of a CV and/or resume, coaching for job interviews, and writing letters of recommendation in a timely manner.
- Mentors direct graduate students to various career resources available at the Graduate Resource Center (GRC) and UCI Career Center (workshops, career fairs, etc.)
- Mentors recognize that there are a variety of career options available to their students and encourage students to explore multiple career paths.

### **3. Role of Graduate Students**

It is essential that graduate students see themselves as partners in the mentoring relationship. As mentees, graduate students should:

- Be aware of their own mentoring needs and how they can change through their graduate tenure. Changes should be discussed with their faculty advisor and/or mentor in a timely manner.
- Proactively seek out mentorship; be aware of advertised workshops and resources. Keep in mind that one faculty advisor may not be able to satisfy all needs.

- Recognize that their mentoring needs must respect their mentor's other responsibilities and time commitments.
- Be aware of, and meet, the deadlines associated with the degree program and develop a plan to accommodate to them.
- Maintain and seek regular communication with their mentor(s), especially their primary faculty advisor.
- Each graduate student must establish an advisee/advisor relationship and formally secure a faculty advisor by the time of their advancement to candidacy.

#### **4. Role of the University**

New faculty orientations should include a discussion of the importance of graduate student mentoring.

#### **5. Role of the Program/Academic Unit**

- Graduate programs must assign an initial graduate advisor to each graduate student at the time of first enrollment. For doctoral students, the graduate advisor must be a faculty member. For master's students, the graduate advisor may be a faculty member or staff member.
- Annual reviews must be conducted for every graduate student. Students should be provided with timely written feedback following this annual review.
- Share information concerning program-specific mentoring policies with all faculty.
- Academic units should be encouraged to provide training on implicit bias, mentoring, and conflict resolution as appropriate for their faculty, staff, and students.

#### **6. Best Practices to Consider for Programs/Academic Units**

- Develop a program mission statement that establishes mentoring as a core component of the graduate student experience.
- Read and become familiar with *Graduate Policies and Procedures* so that the criteria for monitoring satisfactory progress is clear.
- Hold an orientation for all new graduate students, where program requirements, including normative and maximum time-to-degree, are clearly outlined and provided in writing.
- Provide graduate students with a program handbook.
- Create multiple mechanisms for faculty mentoring such as faculty-graduate student lunches, rotating faculty mentors within a graduate program, and increasing opportunities for enhancing professional socialization.
- Effective peer-to-peer and near-peer mentoring can complement faculty mentoring. Faculty guidance for such programs enhances effectiveness.

#### **7. Principles for Programs/Academic Units**

- Remember that all faculty share responsibility for graduate student mentoring.
- Positively reinforce good mentoring practices with rewards and incentives.
- Keep an open mind and show respect for the individuality of students and their different needs and goals.
- Respect students' family responsibilities and be cognizant of students who may need extra support when having a child, raising a child alone, returning to school after child-rearing, carrying for an elderly parent, etc.

***G. Termination of Financial Support***

The guideline is meant to supplement the Notice of Unsatisfactory Progress and Graduate Mentoring, Advising, and Monitoring of Academic Progress policies (under VI. Academic Standards for Students) in the Graduate Division Faculty and Staff document (<http://www.grad.uci.edu/faculty-and-staff/index.html>). If the loss or reduction in support is due to the student's performance or interactions with the advisor, it is expected that the faculty member will have provided feedback to the student well in advance of the notice of termination to give the student an opportunity to make corrective changes. Graduate Studies Committee recommends that a faculty member who wishes to terminate or substantially reduce the financial support they have been providing to a student should provide at least two months' notice to the student. We suggest that such feedback be given on a regular basis (at least twice a year) via the Engineering PhD Student/Advisor Progress Review form. Exceptions must be approved by an ad hoc review board consisting of the Associate Dean for Graduate and Professional Studies and two GSC members outside the student's home department.

## **STANDARDS AND REQUIREMENTS FOR GRADUATE DEGREE PROGRAMS**

Students must satisfy the degree requirements outlined in the General Catalogue that are in effect at the time they first enroll in a graduate program. If the degree requirements are subsequently revised, the academic unit may, where appropriate, give students the option to meet the new requirements. A student who withdraws from a program, or loses student status for other reasons for more than three quarters, will be bound by the degree requirements in effect at the time of readmission unless otherwise stipulated and agreed to in writing by the academic unit and approved by the Graduate Dean; students are also required to re-advance to candidacy. A student who defers admission or who changes to another program must meet the requirements in effect at the time of first registration.

Most requirements for graduate degree programs are determined by the academic unit that offers the degree. However, the Graduate Council, on behalf of the Academic Senate, has approval authority over all graduate programs (with the exception of the M.D. and J.D. degrees) on the Irvine campus. In addition, the Office of Academic Affairs at UCI, the UC-wide Coordinating Committee of Graduate Affairs, the Office of the President, and the Committee on Post-Secondary Education are also involved in setting standards, reviewing, and approving new graduate programs on the UC campuses.

### ***A. Second Advanced Degrees***

The University of California discourages the duplication of advanced degrees. At the same time, it recognizes that a professional degree does not duplicate an academic one, and that the holders of either an academic or professional degree may have the pressing need to earn another degree in an area different from that of their first endeavors.

If admitted for a second graduate degree, students will be held to all the usual degree requirements and University regulations pertaining to fees, examinations, advancement to candidacy, residency, etc. Courses already applied to any previously earned graduate degree cannot be applied toward the requirements of the second degree.

#### **1. Second Master's Degree**

In accordance with the policy approved by the Graduate Council, the Graduate Dean has delegated the authority to admit students for a second Master's degree in an unrelated discipline to the academic units. All requests for those in an unrelated discipline must be made in writing to the Associate Dean for Graduate and Professional Studies. For those requests in the same discipline or a related field must request an exception in writing to the Graduate Dean. The request should include strong justification for admitting the applicant for a second Master's degree as well as a statement assuring the Graduate Dean that there will be no duplication, transfer, or waiving of coursework.

## **2. Second Ph.D.**

Admission for a second Ph.D. is rarely granted, and must be handled as an exception to policy and approved by the Graduate Dean. All requests must be made in writing to the Graduate Dean and should include strong justification for admitting the applicant for a second Ph.D., as well as a statement assuring the Dean that the applicant's first Ph.D. is in an unrelated area and that there will be no duplication or waiving of coursework.

### ***B. Academic Advisement and Evaluation***

Graduate programs must establish well-defined criteria for completion of degree requirements and must keep students updated on all changes to rules, policies, and procedures. Departments must prepare a written document of the requirements and distribute it to all graduate students. For first year graduate students, formal evaluation should occur at the end of their first and third quarters of attendance. Continuing evaluation is required at least annually thereafter. This provides encouragement and support to those students making acceptable progress and, most importantly, may avert potential problems with students who are not maintaining satisfactory progress toward their degree.

While each academic unit is encouraged to develop its own process of student evaluation and advisement, it is generally accepted that certain elements are essential:

- Within the context of each course in which the student enrolls, an evaluation of the student's performance by the instructor.
- For those students engaged in research activities, frequent evaluation and advising on an informal basis by the supervising member of the faculty.
- Continuing supervision of dissertation work by the primary faculty advisor with progress evaluated and discussed with the student on at least a quarterly basis.
- An overall evaluation of each student's academic progress that is conveyed to and discussed with the student, preferably each quarter, but at least once each academic year. An annual evaluation ordinarily is the joint responsibility of the Departmental Faculty Advisor and the assigned Faculty Advisor or the Chair of the student's graduate committee, where applicable. An evaluation must:
  - (1) include a brief review of the student's work to date, with particular attention to the period since the last report;
  - (2) describe the student's progress toward the degree;
  - (3) identify any areas in which improvement is recommended or required; and
  - (4) establish academic objectives for the following period.
- Identification of a departmental representative whom the student may consult as a disinterested party.

Each student should also have an advisory committee established by the graduate program that will be responsible for the guidance of that student in the course of his or her period of study. The committee may choose to inform the student in writing of his or her academic progress more than once per year, and the student may also request additional written evaluations. A copy of this correspondence must be kept in

the academic unit files, and another copy forwarded to the Graduate Dean via the Enrolled Student Affairs Office.

### ***C. Written Expectations for Research Units and Individual Development Plans***

Programs are required to provide a form of written research expectations or a syllabus for master's and doctoral students enrolled in graduate research units. The written research expectations should state how student research performance is assessed and graded. Expectations should be devised by participation by students and faculty in individual programs. Each individual department will manage the process for their courses.

Additionally, doctoral students are required to complete annual Engineering-Individual Development Plans (E-IDPs) in consultation with their faculty advisor. The E-IDP is a tool that aids in communication between the student and faculty advisor, goal-setting and assessing progress towards those goals on a regular basis. It is intended as a mentoring document and not an evaluative tool. Each department will manage the process for their courses.

### ***D. Conflict of Interest***

#### **1. Definition**

For the purposes of this document the term "conflict of interest" refers to instances where faculty may have a financial conflict of interest as defined in Section 028 of the Academic Personnel Manual (APM), adopted April 26, 1984, and in [APM 025/50](#). Information on this and other types of conflicts of interest or on student grievance procedures are described on the [UCI Office of Research website](#) and in the University of California publication entitled [\*Policies Applying to Campus Activities, Organizations, and Students\*](#). The complete [Academic Senate Policy on Conflict of Interest and Graduate Education](#) is published in the UCI Academic Senate Manual.

#### **2. Objective**

The policy on financial conflict of interest establishes mechanisms to protect the academic interests of a graduate student in the event that a faculty mentor, thesis or dissertation advisor or member of a student's committee may have a conflict of interest relating to a project on which the student may be working. Such a conflict of interest may result from the faculty member having a financial interest in a project on which the student is working, whether sponsored or unsponsored. The intent is to apply the policy only to those situations in which a financial conflict of interest is perceived to be potentially harmful to the academic interests of the student. The graduate student, the faculty mentor/advisor, a departmental representative (either the graduate advisor or chair), or the campus Conflict of Interest Oversight Committee can initiate the procedures to deal with the perceived conflict of interest. The procedures must also be with the Academic Senate-Irvine Division regulations governing the [doctoral committee](#) and the [candidacy committee](#).

#### **3. Summary of Mechanism**

When a graduate student, the faculty mentor/advisor, graduate advisor, departmental chair, or the campus Conflict of Interest Oversight Committee (COIOC) identifies a conflict of interest, a departmental representative should be notified in writing. The departmental representative, who may be the Departmental Faculty Graduate Advisor or department chair, will then examine the potential impact upon the student. If there is a potential for harm to the student, then an additional faculty member, termed the "Oversight

Member," will be appointed, by the Graduate Dean, to the student's advisory and/or master's/doctoral committee to insure the faculty conflict does not impact upon the academic interests of the student.

#### **4. The Graduate Division**

The Graduate Division provides written information on conflict of interest policies and procedures to all academic units and students on the PhD Form I Advancement to Candidacy document and on the Advancement to Candidacy and Final Report form for master's students. The information on the document includes: the definition of conflict of interest as pertains to graduate education; a description of the nature of potential conflicts of interest and brief examples; describes the possible harmful effects on the academic interests of the graduate students; provides a list of University resources that can be consulted, and includes a statement to be signed by the department chair, departmental graduate faculty advisor, and the graduate student to acknowledge their awareness of the conflict of interest issue. At any time, the student can also seek the advice of one of the identified campus-wide resource persons, who include the Graduate Dean, the Associate Graduate Dean, the Conflict of Interest Administrator in the Office of Research at (949) 824-0012, or the UCI Ombudsman (Multipurpose Science Technology Building 205 MSTB).

*a. Oversight Member:* If the Chair, Research/Thesis Advisor or other member of the committee has a financial interest in an outside entity that carries the possibility of a conflict of interest that is potentially harmful to the graduate student, an Oversight Member must be appointed in addition to the general members of the respective committee.

*b. Role of Oversight Member:* The Oversight Member shall participate on all student research advisory and/or thesis committees. An additional role of the Oversight Member is to be fully cognizant of the issues related to the possible conflict of interest and its potential impact on the student, and to be fully cognizant of the UCI resources available should a conflict of interest problem arise.

*c. Appointment of an Oversight Member:* The Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research/thesis advisor, and the departmental representative. The departmental representative shall submit a written request to appoint an Oversight Member to the Graduate Dean no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Graduate Dean will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.

#### **5. Conflict of Interest Wherein a Student is Conflicted**

It is possible there may be instances where a student may be the conflicted party. These would include instances involving a student who holds a financial interest in an outside entity that may have an interest in a project on which the student is or may be working toward a graduate degree. In such cases it is important to consult with the campus Conflict of Interest Oversight Committee or the Graduate Dean.

#### **E. Committee Membership Appointment Procedures**

The qualifications of all committee members must be evaluated and approved by the academic unit Chair or designee. When the membership of the proposed committee conforms to Senate policy as defined in this regulation, the Graduate Dean, on behalf of the Graduate Council, may delegate to the academic unit the authority to appoint, evaluate, and approve the committee. When the proposed membership deviates from this policy, as in the case of non-voting Senate members, faculty holding professorial titles at other Universities or non-Senate faculty with equivalent scholarly standing, or when appointment of an Oversight

Member is perceived to be necessary, a request for an exception or nomination must be submitted in writing to the Graduate Dean.

**Non-voting Senate members, faculty holding professorial titles at other Universities or non-Senate faculty with equivalent scholarly standing will be considered on an exception-only basis. The Dean of Graduate Division retains sole authority to grant these exceptions,** which must be submitted in writing by the Chair of the academic unit at least two weeks prior to the scheduled exam, and must be accompanied by a curriculum vita of the individual for whom the exception is being requested. A list of the faculty holding primary or joint appointments with the student's department or academic unit1 may be required by the Dean of Graduate Division.

## 1. Duties and Responsibilities

It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor, Mentor or Associate Dean for Graduate and Professional Studies as appropriate, and the Chair of the Thesis, Candidacy or Doctoral Committee to:

- 1) Inform the student regarding the policy on Thesis, Candidacy or Doctoral Committees -- including full disclosure of issues pertaining to possible conflict of interest that is potentially harmful to the student;
- 2) To provide graduate students with a policy statement on such possible conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first; and
- 3) Ensure that the Academic Senate policies are followed. In the case of a doctoral student advancing to candidacy, should these Senate policies not be followed the student will be required to retake the Qualifying Exam.

## 2. Membership

### a. Master's Thesis Committee Plan I

The thesis committee is comprised of three voting members of the University of California Irvine Academic Senate – not necessarily the Irvine Division – or by equivalent scholarly standing, by exception. A majority of the committee, but not necessarily all, shall be affiliated with the program.

*Chair:* The Chair of the committee shall always hold a primary or joint academic appointment in the academic unit/program supervising the master's program and must be a voting member of the UC Academic Senate; no exceptions will be granted for this position.

*General Members:* Non-voting Senate members (e.g., UCI adjunct professors), faculty members from other universities, or non-Senate faculty with equivalent scholarly standing will be considered for general membership on the committee on an exception basis only. Academic Senate members from UC's other than the Irvine Division do not require an exception; however, a CV is required for verification.

### b. Doctoral Candidacy Committee (a.k.a. Qualifying Exam Committee)

The Candidacy Committee is comprised of five faculty who are voting members of the University of California Academic Senate or by equivalent scholarly standing, by exception. Candidacy committee members need not necessarily be from the Irvine Division, but a majority must hold primary or joint appointments in the student's department. If the student is not affiliated with an individual department, a majority of the committee must hold either primary or

joint appointments with the academic unit granting the doctoral degree.

**The Chair:** The Chair of the Candidacy Committee must hold either a primary or joint appointment in the student's department (or academic unit) and must be a voting member of the UC Irvine Academic Senate. No exceptions to these requirements will be considered.

**General Membership:** At least two members in addition to the Chair must hold either a primary or joint appointment at the student's department or academic unit. No exceptions to the requirement that a majority of voting members hold appointments in the student's department or academic unit will be considered. Non-voting Senate members; faculty members from other universities; or non-Senate faculty with equivalent scholarly standing will be considered for general membership on an exception-only basis. Academic Senate members from UC's other than the Irvine Division do not require an exception, however, a curriculum vita is required for verification.

**The Outside Member:** One member of the Candidacy Committee, designated the "outside member", must be from the Irvine Division and **may not** hold either a primary or joint appointment in the student's department or academic unit. It can be a professor from another department in Engineering, as long as he or she does not have an appointment in your department. The outside member represents the faculty at large. The role of the "outside member" is to serve as an unbiased and independent judge of both the quality and fairness of the exam. It is therefore desirable that this individual be familiar with the student's research field. No exceptions will be considered.

#### *c. Doctoral Committee*

**Dissertation:** The Doctoral Committee shall supervise the preparation and completion of dissertation and the final examination.

**Membership:** The doctoral committee is comprised of three voting members of the University of California Academic Senate -- not necessarily the Irvine Division -- or the by equivalent scholarly standing, by exception. A majority of the committee, but not necessarily all, shall be affiliated with the program. At least one member of the student's committee must hold a primary appointment in the student's department.

The Doctoral Committee is nominated by the Candidacy Committee with the concurrence of the candidate, the doctoral committee Chair, and the Academic Unit Chair or designee, on the PhD Form I.

**The Chair:** The Chair of Committee shall always hold a primary or joint academic appointment in the student's department (or academic unit); no exceptions to these requirements will be considered. The Chair is the member of the graduate faculty responsible for providing primary guidance of the student's dissertation.

**General Members:** Non-voting Senate members; faculty members from other universities; or non-Senate faculty with equivalent scholarly standing will be considered for general membership on an exception-only basis. Academic Senate members from UC's other than the Irvine Division do not require an exception, however, a curriculum vita is required for verification.

#### **F. The Master's Degree**

##### **1. Residency Requirement**

A minimum of three quarters in academic residence is required prior to the award of most master's degrees. A minimum period of study of one quarter in-residence must intervene between formal advancement to candidacy and the conferring of the master's degree.

## 2. Curricular Requirements

The requirements listed herein are the minimum required by the University of California. Most master's degree programs require additional work. Detailed information on specific degree requirements can be found in the *UCI General Catalogue*, (<http://www.editor.uci.edu/catalogue/>), on the Graduate and Professional Studies website, and/or on individual department websites. **You are responsible for fulfilling requirements in effect the year in which you are admitted. If an academic program changes their degree requirements, under certain circumstances, you, with the approval of the faculty advisor and school's Associate Dean for Graduate and Professional Studies, may opt to accept the new requirements.**

### a. Coursework Requirements and Thesis and Examination Options

#### 1) Master's Degree Options

The master's degree is attained by: Plan I, the Thesis option, or Plan II, the Comprehensive Examination option. Each of these plans has minimal coursework requirements, but programs may impose additional requirements.

#### 2) Course Requirements

The minimum course requirement for the master's degree is given below. This requirement may be waived or reduced only on the recommendation of the academic unit in which the degree is earned and with the approval of the Graduate Dean. Please note that lower-division undergraduate courses (numbered 1-99) may not count toward degree requirements.

##### Plan I (Thesis)

In addition to the thesis, a minimum of 28 quarter units in approved courses is also required, at least 20 of which must be earned in 200 series graduate-level courses exclusive of credit given for thesis research and preparation. Each department has its own requirements and the number of units in core and elective courses, so it is best that you are certain of your department's regulations regarding M.S. programs.

##### Plan II (Comprehensive Examination)

In addition to the comprehensive examination, a minimum of 36 quarter units (nine courses) in approved courses, at least 24 of which must be from graduate-level courses in the 200 series. Each department has its own requirements and the number of units in core and elective courses, so it is best that you are certain of your department's regulations regarding M.S. programs.

## 3. Submission of Thesis

Under Plan I, a thesis is required. A committee of three faculty members recommended by the academic unit and appointed by the Graduate Dean shall approve the subject, pass on the content of the thesis, and administer the general examination. Usually the Chair of the committee directs the work. The submission of the thesis is the last step in the program leading to the award of an advanced degree. All theses submitted in fulfillment of requirements for advanced degrees at UCI must conform to the University regulations with regard to format and method of preparation.

The *UCI Thesis and Dissertation Manual* for writing and submitting theses/dissertations is available on the web at [http://special.lib.uci.edu/dissertations/uci\\_td.html](http://special.lib.uci.edu/dissertations/uci_td.html). Students are encouraged to attend the quarterly information sessions that discuss manuscript preparation and filing procedures.

An original Master's Thesis Signature Page/Report on Final Examination for the Master's Degree (available on the Graduate Division website (<http://www.grad.uci.edu/forms/>) with committee signatures and other signatures (as appropriate) must be submitted to the Graduate Division with all other final degree paperwork. The manuscript submitted electronically via ETD should not include a signature page.

#### **4. Deadline for Filing**

The advanced degree manuscript is expected to be submitted by the deadline in the quarter in which the degree is to be conferred. Friday of the tenth week of classes is the deadline for submitting theses during each quarter. Those students who complete requirements and submit theses after the end of the tenth week of classes and prior to the start of the subsequent quarter will earn a degree for the following quarter, but will not be required to pay fees for that quarter. In such cases, to avoid payment of fees, the manuscript, all forms and degree paperwork must be submitted prior to the first day of the quarter in which the degree is to be earned. These deadlines are published on Graduate and Professional Studies website at <http://www.eng.uci.edu/current/graduate/deadlines>. The Master's Thesis required forms (due by the deadline) are: Master's Thesis Submission Checklist, Master's Thesis/Signature Page or Report on Final Examination for the Master's Degree.

#### **5. Public Access**

In accordance with UC and UCI policy, all approved thesis/dissertation manuscripts automatically become available for public access and circulation as part of the UCI Libraries collections. The exception is if a student has requested an embargo of public access to their thesis for a period of up to six years. Students may request an exception to extend the length of this embargo by contacting the Graduate Dean.

#### **6. Comprehensive Examination (Plan II)**

A final comprehensive examination, the nature of which is to be determined by the academic unit and approved by the Graduate Council, is required of candidates following Plan II. The content of the exam represents a capstone requirement that integrates the intellectual substance of the program. In some departments, a written paper requirement is integrated into their graduate seminar courses. Some departments expect coursework and/or seminar completion in substitution of an exam. Please check the catalogue for the comprehensive requirements for your particular department or program.

##### *a. Advancement to Candidacy*

In accordance with University of California policy, you must be advanced to candidacy for your degree prior to the beginning of the final quarter of enrollment. An *Application for Advancement to Candidacy* (<http://www.grad.uci.edu/forms/>) initiated by the student and approved by the academic unit should be submitted to the Graduate Dean before (preferably 30 days before) the opening of the quarter degree is expected. The *Application* must be accompanied by petitions for any course credits that have not already been approved by the Graduate Dean.

Deadlines for submission and approval of the *Application for Advancement to Candidacy* are published at <http://www.eng.uci.edu/current/graduate/deadlines>. If you have not advanced to

candidacy before the beginning of the quarter in which all requirements are completed, your degree will not be conferred until the end of the following quarter. When you are formally advanced to candidacy, you and the academic unit are notified in writing.

*b. Final Report for the Master's Degree*

It is the graduate program's responsibility, in cooperation with the student, to ensure that the course requirements of the graduate program have been met prior to submitting the *Final Report for the Master's Degree* to the Graduate Division. Substitutions within the graduate student's program of study do not need to be approved through the Graduate Dean unless they affect minimum University and program requirements for the Master's degree.

If you have satisfied all requirements except for satisfactory completion of the final quarter's course work, the department should complete the certification and return it to the Graduate Division prior to receipt of final grade reports. If you are deficient on coursework or have received a grade lower than a "B", the conferral of degree will not occur. The Graduate Division will verify final grades with the Registrar. The department is consulted if there is any doubt about conferral of the degree, and then you will need to make arrangements to take care of the deficiency.

Students earning a master's by Plan I, the thesis option only use the *Application for Advancement to Candidacy* to advance for the masters. When the student submits the thesis either by paper submission to the Library Archives or to the Graduate Division for the electronic submission, part of the required paperwork at time of submission is the Master's Thesis/Signature Page Report on the Final Examination for the Master's Degree. This form requires signatures from the department as well as the thesis committee certifying completion of all requirements.

## **G. Transfer of Credit**

The *General Petition* (<http://www.grad.uci.edu/forms/>) may be used for purposes of requesting transfer of credit by currently enrolled students only.

### **1. Policy**

Transfers of credit toward master's degree requirements are governed by University regulation and policy summarized in the *UCI General Catalogue* (<http://www.editor.uci.edu/catalogue/>).

- a. Petitions for transfer credit will be considered only when the work is necessary to fulfill degree requirements.
- b. If official transcripts of academic work are not already in the student's file, they must be submitted as part of any petition for transfer credit or course substitution of degree requirements.
- c. No petition for transfer credit is needed for work completed as a regular graduate student in UCI regular academic sessions, at other campuses through Intercampus Exchange, or in UCI Summer Sessions, including Summer Sessions prior to your first registered quarter following formal admission to a UCI graduate program.

### **2. Procedures**

- a. Petitions for transfer of credit should be submitted as soon as possible after first enrollment as a UCI graduate student or completion of the academic work for which transfer credit is requested. All petitions for transfer credit must be supported by official transcripts of the work completed by the issuing institution.
- b. Up to one-half the total units required earned during regular academic quarters at another graduate division of the University of California may be transferred.
- c. Up to one-fifth the total units required may be transferred from any one or a combination of the following: University of California Extension or Continuing Education, another institution, or Summer Sessions at another UC campus.
- d. Semester units will be transferred at 1.5 times the quarter unit value.
- e. In all cases, transfer credit may be allowed only for graduate-level work taken after awarding of the Bachelor's degree or when taken as an undergraduate in excess of both the unit and major requirements for the Bachelor's degree. If the units were earned during undergraduate study, a letter from the institutions is required stating course work was not used toward the bachelor's degree. No transfer of credit will be accepted for work applied toward the requirements of another graduate degree.
- f. No transfer credit will be allowed for any course in which a grade below B or the equivalent is assigned.
- g. No transfer credit may be given for work completed while currently enrolled, or on an academic leave of absence, without prior written approval of the departmental faculty Graduate Advisor, Associate Dean and the Graduate Dean.
- h. Under no circumstances will grade credits be transferred.
- i. Courses that are transferred do not count toward the required number of units in 200-series courses.

### **3. Accelerated Status students**

If you entered the M.S. program as an Accelerated Status student, you may petition to have eighteen (18) units of graduate coursework taken while an undergrad to be transferred into your M.S. program. The graduate coursework cannot have counted toward your B.S. and must be above and beyond those courses required for your undergraduate degree. If you enter the Ph.D. program, you may petition to waive up to 18 units of your M.S. degree requirements. In order to have these courses transferred or waived, you will need to fill out the ***General Petition Form*** found on the Graduate Division Website at <http://www.grad.uci.edu/forms/>.

## ***H. The Doctoral Degree***

### **1. Residency Requirement**

In accordance with University of California policy, a minimum of six quarters in academic residence is required prior to awarding the Ph.D. Typically, a longer period of study, four to six years, is required for completion of all degree requirements. It is the responsibility of the academic unit to inform the student upon admission to the program of the expected degree time. If a student does not meet the departmental expected degree time, not including the first three Academic Leave of Absence quarters, a letter is sent to the student and to the department requiring the student to contact her/his Faculty Advisor and set a completion date.

### **2. Teaching Requirement**

All graduate programs encourage graduate students pursuing the Ph.D. to acquire teaching experience at the post-secondary level under faculty supervision. This requirement is usually satisfied by appointment

as a Teaching Assistant or Teaching Associate in undergraduate courses. Please see your department for guidelines and policies regarding eligibility and consideration for being a Teaching Assistant.

International and permanent resident graduate students who are not citizens of countries where English is either the primary or dominant language as approved by the UCI Graduate Council, who wish to be considered for an appointment as a Teaching Assistant or Teaching Associate, must pass an approved oral English proficiency examination.

### **3. Waiver of Course Work**

Courses taken toward a graduate degree at another institution cannot be transferred for credit toward a Ph.D. at UCI. However, a course requirement may be waived if a similar course was taken at another institution. The *General Petition* (<http://www.grad.uci.edu/forms/>) should be used for all requests for waivers of course work. To obtain a waiver, the academic unit should submit a full description of the course including a syllabus and a copy of the student's transcripts along with the *Petition to Graduate Division* for review and approval.

### **4. Obtaining an Advisor**

Ph.D. students should have a research advisor at all times throughout their graduate study in order to be fulfilling the requirement of making satisfactory progress towards their degree. However, matching with a Ph.D. advisor can take some time and, as such, the guidelines below have been put in place. Please note that matching with a faculty research advisor is independent of locating funding for a student's studies.

#### *a. Policy for New, Incoming Ph.D. Students*

In order to remain in good academic standing, newly admitted students must be matched with a faculty research advisor no later than 12 months after the student's first quarter of Ph.D. study.

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

In order to remain in good academic standing, continuing students who are switching 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.

Once you have matched with a faculty research advisor (within the timing guidelines outlined in the policies above), please fill out the *Ph.D. Faculty Research Advisor Verification Form* (<http://www.eng.uci.edu/current/graduate/forms>) and obtain your matched faculty Advisor's signature. Please submit the form to your Department/Program's Graduate Coordinator for further processing (the form will then go to the Graduate and Professional Studies Office for approval and tracking purposes).

A new Ph.D. Faculty Advisor Verification Form is needed anytime a student makes a change to his/her advisor for any reason. Please note that students are required to inform both their department/program Graduate Coordinator and the Graduate and Professional Studies Office at the point of leaving the original lab, so that guidance on matching with a new advisor can be given.

### **5. Advancement to Candidacy/Qualifying Examination**

As a doctoral student, you will advance to candidacy for the Ph.D. upon successfully demonstrating a high level of scholarship in full-time study at the Ph.D. level, and upon completing all preparatory work, departmental preliminary examinations, and demonstrating readiness to proceed to the dissertation phase. A complete description of the policy on advancement to candidacy and advancement committees is provided below.

*a. Advancement to Candidacy*

Ph.D. students are nominated for advancement to candidacy in a particular field by the academic unit responsible for advanced degrees in that field. Students are advanced to candidacy if they pass by unanimous vote an oral examination administered by a Candidacy Committee.

*b. Duties and Responsibilities*

The Candidacy Committee is charged with determining the fitness of the student to proceed with the doctoral dissertation through a formal Qualifying Examination. The examination should evaluate both general preparedness in the discipline, and specific competence to pursue the proposed dissertation topic. In its deliberation, the Committee ordinarily will review the student's academic record, preliminary examinations and evaluations by other faculty. The Committee may conduct any other examination it deems appropriate.

The Committee ordinarily will review an outline of the proposed dissertation project, and will determine by oral examination the student's competence in that area. When, by unanimous vote, the Committee decides the student is qualified for the dissertation phase, it shall recommend advancement to candidacy.

Following its formal appointment, the Committee is free to adopt whatever procedures it deems appropriate to conduct the Qualifying Examination for candidacy, subject to the rules of the program and those specified below:

- Administration of the Qualifying Examination must conform to the policies established by the Graduate Council.
- The student must be given adequate notice of the content, form and time of the examination.
- The Committee must meet to decide upon the procedures to be followed, and the student given an opportunity to comment upon the selected procedures.

*c. Voting Procedures*

Before voting upon its recommendation for or against candidacy, the Committee, as a whole, shall meet with the student, and any member of the Committee will have the right to pose appropriate questions to the student. If it decides to do so, the Committee may conduct part of the examination on an individual basis; e.g., the student may meet with each member in turn. However, the Committee must conclude its examination when convened with the student present.

*d. Conduct of the Exam*

Although the formal Qualifying Examination for candidacy ordinarily is conducted in a single day, the Committee may meet intermittently over a longer period, and may decide to reexamine the student on one or more topics after a specified interval. When the Committee meets to conduct the oral Qualifying Examination, it must report to the Graduate Council via the Graduate

Dean within 30 days. If the Committee decides to reexamine the student at a later date or does not pass the student for any reason, this must be reported to the Graduate Dean. The final vote and recommendation of the Committee must be unanimous and unequivocal. A recommendation that a student not be advanced is subject to conditions described herein.

### **Qualifying Examination/Advancement Committee Presence Policy**

It is the expectation and requirement of the School of Engineering that a doctoral student's Qualifying Examination take place on one day at one time with all members the Candidacy Committee (same members listed on the Qualifying Exam Nomination Form) in attendance. If it is not possible for all members to physically be in attendance, one member (maximum) can be present via video conference with the use of Skype or another similar application. However, students should note that the Ph.D. I form must have original signatures from all members and must be submitted prior to the submission deadline and, as such, plan accordingly.

### **Dissertation Defense/Doctoral Committee Presence Policy**

It is the expectation and requirement of the School of Engineering that a doctoral candidate's Dissertation Defense take place on one day at one time with all members of the Doctoral Committee in attendance. The defense must be open to the public.

#### *e. Procedure for Validating and Recording Results*

Upon completion of the Qualifying Examination, the results should be submitted to the Graduate Division on the *Ph.D. Form I* (<http://www.grad.uci.edu/forms/>). The *Ph.D. Form I* must be signed by all committee members at the time the candidacy examination is concluded. Prior to convening a student committee for the advancement to candidacy exam, the Departmental Graduate Faculty Advisor, the department chair, and the graduate student must sign the Statement on Conflict of Interest form which is included in the *Ph.D. Form I*. If the unanimous recommendation of the Committee is favorable, the student must pay the Advancement to Candidacy Fee to the campus Cashier's Office that will validate the *Ph.D. Form I*. You must then submit the *Ph.D. Form I* to the Graduate Division. The date you submit the signed and validated *Ph.D. Form I* will be the official date of advancement.

**On the Ph.D. Form I, you must place an asterisk next to the three names of the members who will comprise your final doctoral committee. This must be done before you can successfully advance to candidacy.** You and your graduate program will be notified in writing of formal advancement and the appointment of a Doctoral Committee.

### **6. Lapse of Candidacy**

Candidacy for the Ph.D. will lapse automatically if the student loses graduate standing by academic disqualification or failure to comply with the University policy on continuous registration. A readmitted student who was a candidate for the Ph.D. must again advance to candidacy and thereafter enroll as a candidate for at least one academic quarter before the Ph.D. will be conferred.

Oftentimes, a student's committee changes after the time of advancement to candidacy and before the dissertation and final examination are completed. If your committee composition changes, please notify

your department Graduate Coordinator of the change and reason. Then the change will be made with Graduate Division.

## 7. Final Examination

If a final examination is required by the graduate program, the Doctoral Committee supervises that examination, the focus of which is the content of the doctoral dissertation. Ordinarily, the final examination will be given just prior to the completion of the dissertation and while the student is in residence during a regular academic session, and will be open to all members of the academic community. Administration of the final examination is subject to the policies of the Graduate Council governing critical examinations.

Upon completion of the final examination (if required) and approval of the dissertation, the Doctoral Committee recommends, by submission of *Ph.D. Form II* (<http://www.grad.uci.edu/forms/>), the conferral of the Ph.D. subject to final submission of the approved dissertation for deposit in to the Graduate Division for electronically submitted dissertations. The Committee recommendations must be unanimous.

## 8. Dissertation

The submission of the dissertation is the last step in the program leading to the award of an advanced degree. All dissertations submitted in fulfillment of requirements for advanced degrees at UCI must conform to certain University regulations and specifications with regard to format and method of preparation.

The *UCI Thesis and Dissertation Manual* for writing and submitting theses/dissertations is available at [http://special.lib.uci.edu/dissertations/uci\\_td.html](http://special.lib.uci.edu/dissertations/uci_td.html). You are encouraged to attend the quarterly information sessions that discuss manuscript preparation and filing procedures. Students may also refer to <http://www.eng.uci.edu/node/3544> for style manual options specific to engineering.

The Doctoral Committee certifies that the completed dissertation is satisfactory through the signatures of all Committee members on the *Ph.D. II Form*. The doctoral committee chair is responsible for the content and final presentation of the manuscript.

### a. How to File

After the dissertation has been approved by the committee, students submit the final PDF version of dissertation via UMI ETD system at [www.umi.com/etdadmin/com/uci](http://www.umi.com/etdadmin/com/uci). The Library Archives will send a verification e-mail stating your submission has been received and is under review. This e-mail confirms the initial submission has been received; it is not the final approval. All required and optional paper forms need to be submitted to the Graduate Division. For more information on how to electronically submit your dissertation, please refer to the appropriate form at <http://www.grad.uci.edu/academics/degree-completion/electronic-submission.html>.

### b. Deadline for Filing

The advanced degree manuscript is expected to be submitted by the deadline in the quarter in which the degree is to be conferred. Friday of the tenth week of classes is the deadline for submitting theses and dissertations during each quarter. If you complete requirements and submit dissertations after the end of the tenth week of classes and prior to the start of the subsequent quarter, you will earn a degree for the following quarter via “degree, no fees” option, but will not

be required to pay fees for that quarter. "Degree, no fees" is only available for fall, winter, and spring quarter conferral. In such cases, to avoid payment of fees, the manuscript, all forms and degree paperwork must be submitted prior to the first day of the quarter in which the degree is to be earned.

These deadlines are published at the Graduate and Professional Studies website at: <http://www.eng.uci.edu/current/graduate/deadlines>. The Ph.D. Dissertation required forms (due by the deadline) are: Ph.D. Submission Checklist, Ph.D. Form II (all signatures must be original and in permanent ink), the verification email from the Proquest/UMI website, survey of Earned Doctorates, and UCI Exit Survey.

c. *Public Access*

In accordance with UC and UCI policy, all approved thesis/dissertation manuscripts automatically become available for public access and circulation as part of the UCI Libraries collections. The exception is if a student has requested an embargo of public access to their dissertation for a period of up to six years.

## **I. Change of Degree Title/Program/ Level/or Academic Unit**

### **1. Change of Degree Level within an Academic Unit (Master's to Ph.D.)**

A student who was admitted to the master's degree program may be considered by the unit's admissions committee for subsequent admission to Ph.D. status. If the committee decides not to accept the student for study leading to the Ph.D., the academic unit offering the degree must notify the student in writing. If the committee accepts the student for doctoral studies, the recommendation must be transmitted in writing to the Graduate Dean, who has the authority to approve and formally recognize the change to doctoral status. Notification must be sent via the *Change of Degree Level form* (<http://www.grad.uci.edu/forms/>), along with two letters, one from the faculty advisor, PhD Advisor Verification Form and a revised Statement of Purpose. Only at that time will you be eligible to register as a doctoral student.

### **2. Change of Degree Level within an Academic Unit (Ph.D. to Master's)**

A student admitted for the Ph.D. degree, who, in the judgment of the academic unit's committee should not continue past the master's degree, must be notified in writing by the academic unit offering the degree. A copy of the letter must be sent to the Graduate Dean. In some cases, a doctoral student may choose to leave the program with a master's degree only. It is the responsibility of the student and academic unit to notify the Graduate Division via the *Change of Degree Level form* so that the student's record may be updated to reflect the student's degree status.

**International Students:** Because of visa sponsorship requirements, an international student ordinarily must provide verification of financial resources prior to formal recognition of doctoral student status.

### **3. Change of Degree Program (Major) Within an Academic Unit**

Within the same academic unit (i.e. within the EECS department only), the unit's committee that oversees admissions for a change of degree program may consider a student's request to be admitted to a different program. If the committee approves such a change, the *Change of Major* petition

(<http://www.grad.uci.edu/forms/>) should be transmitted to the Graduate Division. Upon recommendation of the committee, the Graduate Dean will ordinarily approve and formally recognize the change.

#### **4. Change of Degree Title and Academic Unit**

A current student who wishes to transfer to a graduate program offered by a different academic unit should first consult with the Graduate Advisor of the desired program or unit. On the online application, the student must indicate therein the most recent quarter of enrollment at UCI and indicate "change of program" on the application in the statement of purpose section.

The receiving unit may require the student to submit additional information, such as current letters of recommendation and a current transcript, as necessary and appropriate. If the student is not admitted by the academic unit that the student seeks to enter, formal notice should be sent to the student with a copy to the Graduate Dean and the student's current academic unit.

If the unit's admissions committee recommends acceptance of the student, a copy of the formal admission letter must be sent to the Graduate Dean and the student's current academic unit. **However, if the student seeks an advanced degree from the initial program, all requirements for that degree must be completed before the change of program or unit becomes effective.**

Students transferring from one program to another must also complete a Withdrawal form available through the Engineering Graduate and Professional Studies Office. For "reason for withdrawal," the student should write "transfer from \_\_\_\_\_ to \_\_\_\_\_. The student must sign and date the form and submit it to the Graduate Division to complete the transfer process.

#### ***J. Degree Conferral***

##### **1. Registration Requirements**

Master's and doctoral degrees are conferred at the end of the academic quarter in which all requirements have been satisfied, subject to the final approval of the Graduate Council. Ordinarily, a graduate student will be registered for the quarter in which all degree requirements are completed and the degree is to be conferred. If all degree requirements (including acceptance of the dissertation or thesis by the librarian and completion of all required examinations) are completed before the first day of the regular academic quarters in which the degree is to be conferred, and the student was registered for the previous regular quarter, registration fees and enrollment are not required due to the "degree, no fees" option. Students who do not meet this second submission deadline, may be eligible to pay a Filing fee in lieu of registration under certain circumstances. Unless payment of a Filing Fee or an academic leave of absence is approved, a graduate student must register each quarter until all degree requirements are completed. If a student does not complete the necessary courses by the end of the quarter in which degree conferral is expected, or does not attain the required level of scholarship, registration for the next regular academic session is mandatory; otherwise, student status and candidacy for the degree will lapse. Once status lapses, the degree can be conferred only after readmission of the student, followed by at least one quarter of registration and reinstatement to candidacy.

Students wanting to earn a degree over the summer must be enrolled in units during any of the summer sessions or on filing fee status.

##### Summer Enrollment Policy:

Any student who wishes to graduate at the end of summer term must be an enrolled student. This means that in order to graduate during summer, you must either request to be on Filing Fee status OR must enroll in at least 1 unit during one of the summer sessions. *Summer Session Enrollment* - You can find information on Summer Session at <https://summer.uci.edu>. The units chosen are typically individual research units, which requires the Independent Study form (found at <http://www.summer.uci.edu/services/academic/forms.aspx>).

**Filing Fee:**

If eligible, you can submit the Filing Fee form (found at <http://www.grad.uci.edu/forms/>). You should turn in this request to your department as soon as possible, in order to ensure that you are enrolled correctly. The deadline to submit the Filing Fee form is the Friday of 3<sup>rd</sup> week of classes. The deadline to submit Filing Fee petition is the same as the final degree deadline for a summer degree. Please note that this is the date that the form must reach the Graduate Division so please turn in the form to your department at least one week prior to this date. There are important considerations for choosing this option, especially for international students or PhD students completing their MS degree. As such, we encourage you to speak to the Engineering Graduate and Professional Studies Office when debating your options.

***Limitations for Filing Fee:***

- ~ Students may only pay the Filing Fee in lieu of registration once during their academic career
- ~ Students must be registered in the academic term immediately preceding the quarter in which they pay the Filing Fee if degree requirements are not completed during the quarter in which Filing Fee was approved.

## **2. Certification of Degree Award**

The Graduate Division notifies students by mail of formal degree conferral at the end of the quarter in which the degree is conferred. As soon as all degree requirements are completed, you may submit a *Degree Certification Request* form (<http://www.grad.uci.edu/forms/>). The *Letter of Degree Certification* bears the Graduate Dean's signature stamp and University Seal and is the equivalent of the diploma or the official academic transcript posting for employment and career advancement purposes. The student may request one copy for personal use, or for direct transmission to another educational institution or employer. While there is no charge for this service, only one official *Letter of Degree Certification* is provided for each degree.

# **GRADUATE STUDENT SERVICES**

## ***A. Program Overview***

While recognizing that quality faculty and excellent curricula are key factors that shape institutional progress and reputation, we must also promote a positive campus climate that enhances the graduate educational experience at UC Irvine. In addition to monitoring the quality and academic progress of graduate students, the Graduate Division plays a critical role in providing support services necessary to ensure that academic success is possible. This includes counseling students about a range of personal, financial, and academic matters, providing up-to-date information about graduate studies at UCI, and disseminating clear information on degree requirements and graduate school policies and procedures.

## ***B. Graduate Resource Center (GRC)***

The Graduate Resource Center provides coordinated services, events, programs, information and support to the UC Irvine graduate and postdoctoral scholar community. The GRC also serves as a meeting place in which to study, relax and network with fellow students. The GRC facilitates student development and enrichment activities such as the Campuswide New Graduate Student Orientation, International Graduate Welcome and is host to a number of workshops on funding, work-life balance, academic and professional development, and writing throughout the year.

## ***C. UC Irvine Graduate Council Diversity Statement***

Diversity is critical to the success of graduate education and is a key priority for our campus. Diversity enhances excellence by opening programs to talented and accomplished individuals who represent and reflect a rich tapestry of perspectives and identities. Having diverse graduate populations also ensures that a broad range of approaches, questions and solutions are incorporated into scientific inquiry, scholarly study, and artistic creativity. Our commitment to an equitable education environment for all is crucial to our continuing capacity to be a national model for inclusive excellence. Graduate Council, therefore, strongly encourages all programs on campus to develop and implement initiatives, such as supportive mentoring, to enhance diversity and to create an inclusive and equitable climate for graduate study.