

THE HENRY SAMUELI SCHOOL OF ENGINEERING

# Graduate Student Handbook

2009 - 10



21 September 2009

Dear Henry Samueli School of Engineering Graduate Student:

Welcome to the 2009-10 academic year! With cutting-edge research centers, superb faculty who are experts in their fields, and a diverse, competitive student body, we pride ourselves on being leaders in Graduate Engineering Education.

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 enabled The Henry Samueli School of Engineering to affect industry in southern California, the United States, and abroad.

I hope your graduate school experience is exciting and challenging, and that you leave us with all of the right tools and knowledge to successfully compete in industry, research, and academia. The Henry Samueli School of Engineering is truly *Engineering the Future*. We are pleased that you are an integral part of our future. Please let us know how we can enhance your graduate school experience.

I wish you all the best for an outstanding academic year.

Sincerely,

Associate Dean of Student Affairs  
The Henry Samueli School of Engineering

## TABLE OF CONTENTS

HSSoE Graduate Student Affairs.....	6
Departmental Graduate Coordinators.....	7
Faculty Graduate Advisors.....	8
Selecting a Research Advisor.....	9
Securing Financial Support.....	9
Major Steps toward the M.S. degree.....	10
Major Steps toward the Ph.D. degree.....	11

### **ENROLLMENT AND REGISTRATION POLICIES: STUDENT STATUS...12**

#### *A. Academic Residence Requirements*

1. Academic Year
2. Summer Session
3. California Residency for Tuition Purposes

#### *B. Enrollment Policies and Procedures*

1. Late Enrollment
2. Full-Time Enrollment/Registration
3. Part-Time Enrollment/Registration
  - a. Guidelines to Establish Part-Time Eligibility
  - b. Part-Time Limitations and Related Policies
4. Lapse of Status: Did Not Enroll
5. Lapse of Status: Readmission
6. Enrollment in University Extension
7. Withdrawal
  - a. Withdrawal between Quarters
  - b. Withdrawal after Enrollment and Fee Payment for a Quarter
  - c. Withdrawal without Approved Academic Leave of Absence

#### *C. Registration Policy*

1. Continuous Registration Policy
2. Registration Procedures and Prerequisite Waivers
3. In-Absentia Registration
4. Academic Leave of Absence (LOA)
  - a. Purpose
  - b. Eligibility Guidelines
  - c. Limitations to LOA
  - d. Procedures for Requesting an Academic Leave of Absence
  - e. Other Policies Relevant to LOA
5. Filing Fees.
  - a. Procedures for Establishing Eligibility for Filing Fee Status
  - b. Limitations on use of University Services while on Filing Fee status
6. Terminal Master's Students

#### *D. Tuition Reduction for Non-Resident Doctoral Students (International Students)*

1. Eligibility Criteria
2. Related Policies

- E. Intercampus Exchange Program*
- 1. What is Intercampus Exchange?
- 2.. Eligibility for Intercampus Exchange

**ACADEMIC STANDARDS FOR STUDENTS.....26**

- A. Progress toward Degree*
- 1. Satisfactory Progress
- 2. Unsatisfactory Progress
- a. Criteria for Determining Unsatisfactory Progress
- 3. Academic Disqualification
- B. Graduate Standards for Grading*
- 1. Course Repetition
- 2. Pass/Not Pass (P/NP)
- 3. Satisfactory/Unsatisfactory (S/U)
- 4. In Progress (IP)
- 5. Incomplete (I)
- 6. No Report (NR)
- 7. Withdrawal (W)
- C. Removal of Deficient Grades and Repeat of Courses*
- D. Examinations.*
- 1. Scheduling of Examinations
- 2. Repeat of Critical Examinations
- 3. Credit by Examination

**STANDARDS AND REQUIREMENTS FOR GRADUATE DEGREE PROGRAMS .....32**

- A. The Master's Degree*
- 1. Residency Requirement
- 2. Curricular Requirements
- a. Coursework Requirements and Thesis and Examination Options
- b. Advancement to Candidacy
- c. Final Report for the Master's Degree
- B. Transfer of Credit*
- 1. Policy
- 2. Procedures
- 3. Accelerated Status M.S. or Ph.D. students
- C. The Doctoral Degree*
- 1. Residency Requirement
- 2. Teaching Requirement
- 3. Waiver of Course Work
- 4. Advancement to Candidacy
- 5. Lapse of Candidacy
- 6. The Doctoral Committee
- a. Dissertation
- b. Membership
- c. Appointment Procedures

- d. Exceptions.
- e. Duties and Responsibilities

7. Final Examination

8. Dissertation

a. How to File

b. Deadline for Filing

c. Public Access

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

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

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

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

4. Change of Degree Title and Academic Unit.

*E. Degree Conferral*

1. Registration Requirements

2. Certification of Degree Award

*F. Graduation and Diploma Information*

1. Advancement to Candidacy Requirement

2. Commencement

Registration: Enrollment and Fee Payment

Current Graduate Student Forms

## **HSSoE Graduate Student Affairs Office**

101 Engineering and Computing Trailer

949-824-4334

[soegradinfo@soemail.eng.uci.edu](mailto:soegradinfo@soemail.eng.uci.edu)

### **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 8:30am – 12:00noon and 1:00pm – 4:30pm. If you have an in-depth issue to discuss and would like to schedule an appointment, please feel free to do so by calling the main Student Affairs Office at (949) 824-4334.**

### **Our Staff:**

#### **Sonja Dietrich, Director**

101 Engineering and Computing Trailer

Email: [sonja.dietrich@uci.edu](mailto:sonja.dietrich@uci.edu)

Phone: (949) 824-3562

Fax: (949-824-3440)

Again, the Graduate Student Affairs Office 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 meet with your Faculty Graduate Advisor on a regular basis to ensure your completion of departmental degree requirements.

# 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 with the Departmental Faculty Graduate Advisors and with our office.

### The HSSoE Graduate Coordinators are:

BME:	Karen Stephens	kstephen@uci.edu	(949) 824-3494
CEE:	April Heath	a.heath@uci.edu	(949) 824-0584
CHEMS:	Grace Chau	chaug@uci.edu	(949) 824-3887
EECS/NTWS:	Ronnie Gran	ragran@uci.edu	(949) 824-5489
ENE:	Sonja Dietrich	sonja.dietrich@uci.edu	(949) 824-3562
MAE:	Louise Yeager	lyeager@uci.edu	(949) 824-7984
MMT:	Sonja Dietrich	sonja.dietrich@uci.edu	(949) 824-3562

## Faculty Graduate Advisors

The Graduate Advisor is a faculty member in a particular department 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 Advisor, the Graduate Student Affairs Office 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 Graduate Division staff and the Graduate Student Affairs staff provide information to the Advisors on a continuing basis and respond to requests for special assistance.

The Faculty 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 many academic units, the advisor is instrumental in the appointment and supervision of graduate student Teaching Assistants, Associates, Readers, and Tutors.

In our school, there is also an **Associate Dean for Student Affairs**, John LaRue, who oversees many of the functions which affect graduate students. Dr. LaRue works in conjunction with the Dean of Graduate Division, department chairs, and the Graduate Student Affairs Office.

### The current HSSoE Graduate Advisors are:

BME:	Frithjof Kruggel	fkruggel@uci.edu
CBE:	Vasan Venugopalan	vvenugop@uci.edu
CEE:	Jann Yang	jnyang@uci.edu
EECS:	Peter Burke	pburke@uci.edu
ENE:	Bill Cooper	wcooper@uci.edu
MAE:	James Bobrow (admissions)	jebobrow@uci.edu
	Athanasios Sideris (continuing students)	asideris @uci.edu
MMT:	Chin Lee	clee@uci.edu
MSE:	Martha Mecartney	martham@uci.edu

You may have been granted an "initial technical advisor" upon admission. That particular professor is the coordinator of the specific area of research you may be interested in. You can select a new advisor once you are further along in your program of study. You should discuss this with your department's graduate 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://www.eng.uci.edu>.
- 2) Navigate through your department's listing of faculty.
- 3) Look for the faculty profiles and review them.
- 4) Look for buzzwords and research activities that may be aligned with your research interests.
- 5) Once you see some that might be of interest to you, contact them via email. You might need to actually find them in their labs and personally ask if they would entertain the possibility of you working with them. You might want to have a curriculum vitae (resume) available, detailing your research and work experience, presentations, publications, and poster sessions. This will help the professor determine if your experience would be beneficial to his or her lab.
- 6) Ask professors in class if they could be your research advisor or if they know of anyone in the department who would be a good fit for you.
- 7) Ask your department's Graduate Advisor for advice on selecting a research advisor. Your Graduate Advisor might know of possibilities.

## **Securing Financial Support**

Some of you may arrive at HSSoE without a funding source. Funding at the M.S. level is very limited, and you will need to contact your department's Graduate Advisor 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! A suggestion is to peruse the school's website for faculty profiles and then email or meet with faculty if the research they are doing matches your own research background and interest. When contacting them ask about available Graduate Student Researcher (GSR) positions. This might take some time. You can also apply to be a Teaching Assistant (TA); however each department has its own process. You will need to contact your department's Graduate Coordinator for this information or the Coordinators in other departments throughout the campus.

# Milestones toward Degree Completion

## Major Steps toward the M.S. degree

Meet with Graduate Advisor/Graduate Student Affairs Counselor/Graduate Coordinator to discuss program and plan schedule



Begin Coursework



Fill out departmental Program of Study Form



Comprehensive Exam students: complete all coursework and seminars



Thesis students: select a committee chair, select committee members, register for M.S. thesis research



Turn in Advancement to Candidacy Form for the M.S. degree form at least one quarter before you plan to graduate



Comprehensive Exam students: complete coursework and final examination, paper, project, or other assignment as determined by your department or program



Thesis students: complete and defend thesis, submit to University Archives

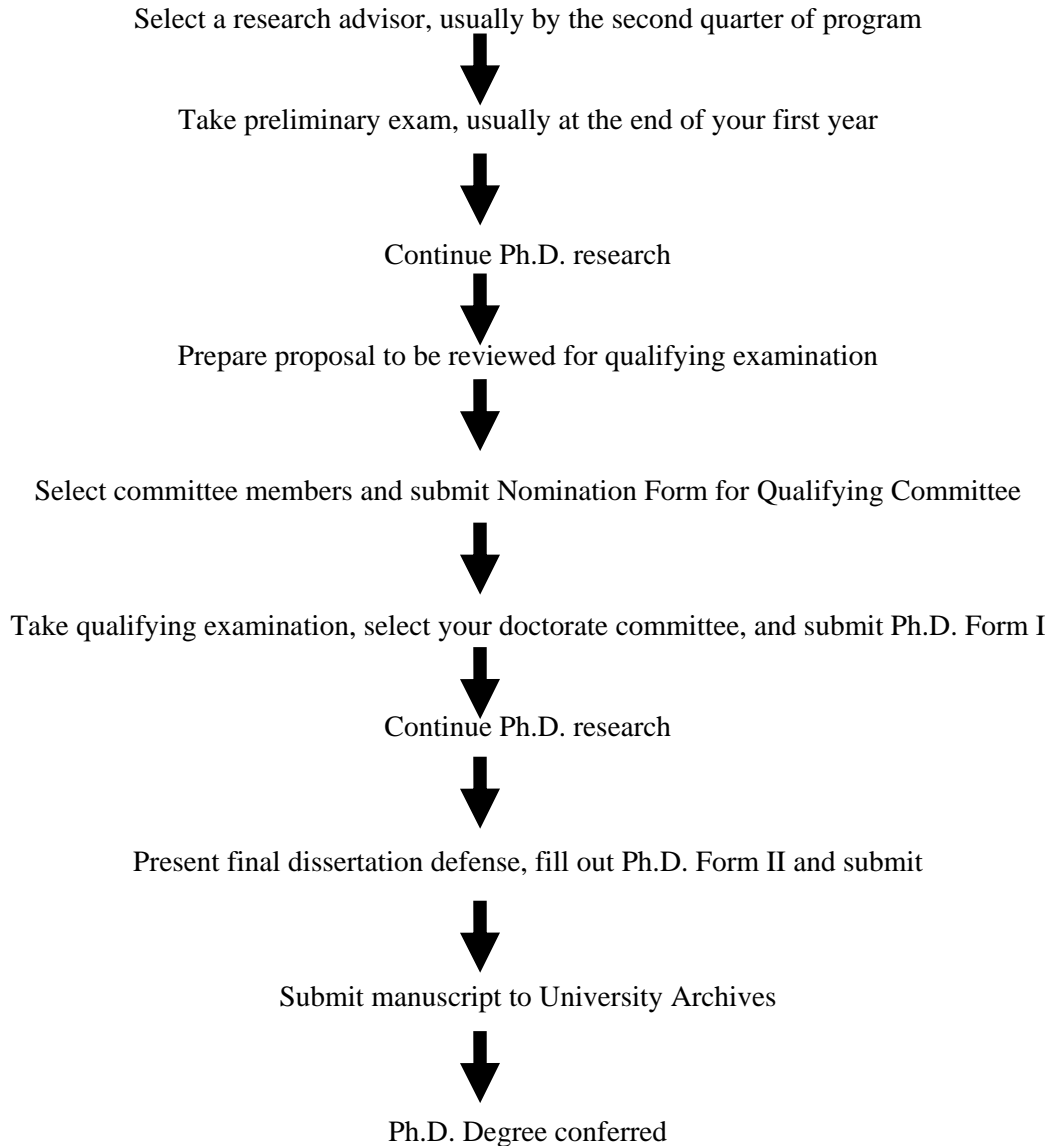


M.S. degree conferred

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

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

If you already have an M.S. degree when entering, complete departmental coursework necessary to be proficient for preliminary exams (some departments require post-M.S. coursework), if applicable, begin Ph.D. research.



# **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, committees, 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 the Graduate Student Affairs Office with any questions or for guidance.

## **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 candidate for a doctorate degree, 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 eight-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 for Tuition Purposes

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 out-of-state tuition fees should be directed to the UCI Residence Deputy in the Registrar's Office at (949) 824-6129 or [res-dep@uci.edu](mailto:res-dep@uci.edu). More information about California Residency for Tuition Purposes is available at <http://www.reg.uci.edu/registrar/residence>.

## B. Enrollment Policies and Procedures

### 1. Late Enrollment

If you enroll after the second week of classes, you will be assessed a late registration fee. You must complete the Late Registration Authorization form and get it signed by your department's Graduate Advisor, and then by the HSSoE Graduate Student Affairs Office. The signed form must be brought to the Graduate Division for approval by the Graduate Dean. Without the approval of the Graduate Dean, you will not be permitted to enroll in classes. (<http://www.grad.uci.edu/forms/>)

**IMPORTANT NOTE:** The campus' budgetary allocation in support of graduate education is calculated on the basis of Full-Time Equivalent (FTE) enrollment at the end of the third week of the quarter and for three years following advancement to candidacy. Therefore, 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.

### 2. 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; 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 not enroll for more than 12 units per quarter in graduate-level coursework, or 16 units in upper-division courses, or a proportionate number in combination. Course loads in excess of 16 units of graduate-

level and/or upper-division credit must be approved in advance by the student's Graduate Advisor, and written notification must be sent by the Faculty Graduate Advisor to the Graduate Dean, via the Graduate Student Affairs Office. **If you plan to take more than twelve units during a given term, please contact the Graduate Student Affairs Office. We must clear this registration restriction in your account on the computer.**

### 3. 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, therefore, is committed to increasing these opportunities whenever academically feasible. Principally, part-time status applies to enrollment in part-time master's degree programs. In some cases the Graduate Dean will approve part-time status for terminal (i.e. not continuing on for Ph.D. studies) master's degree candidates and students in credential programs, where part-time study has been judged academically feasible by the faculty.

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 Faculty Graduate Advisor and the Associate Dean for Student Affairs. See [Guidelines to Establish Part-Time Eligibility](#) below for details on how to request part-time status.

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 Registration Fee, all student activities fees, health insurance (i.e., GSHIP) fees, one-half the prevailing Educational Fee, and one-half the Non-resident Tuition Fee (if applicable). Non-residents who have advanced to candidacy, and are already receiving a reduced tuition rate, will not receive any additional reductions in their tuition costs.

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

- 1) The student must meet the standards for part-time study as described in this document.
- 2) A completed *Petition for Reduced Fee Program for Part-Time Study*, approved by the Departmental Faculty Graduate Advisor and Associate Dean in the HSSoE Graduate Student Affairs Office, and, if a doctoral student, a memo from the Graduate Advisor in support of the request must be submitted to the Graduate Division. The memo of support should be a self-explanatory document, in that it should include sufficient detail to allow the Graduate Dean to evaluate independently the need for, and feasibility of, part-time status for the graduate student. The minimal elements to include in the support memo are:
  - 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; and
- c) an indication of when part-time status would, if approved, begin and end (e.g., Fall 2009 - Spring 2010).

3) 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 morning of the third week of classes. **There are no exceptions to this deadline.**

*b. Part-Time Limitations and Related Policies*

- 1) **Purpose:** Approval of part-time enrollment status may be granted only for reasons of occupation, family responsibilities, health, or professional development.
- 2) **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 written approval by the UCI International Center (<http://www.ic.uci.edu>) prior to submitting a request to the Graduate Division.
- 3) **Fellowships:** All University fellowships require full-time enrollment in graduate-level courses. For extramural fellowships, you must refer to and adhere to the individual agency guidelines established by the sponsor.
- 4) **Academic Appointments:** Part-time status may affect academic appointments/employment. Please see your department for more information.
- 5) **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.
- 6) **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.
- 7) **Maximum Time:** Petitions for part-time status may be requested for 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. The deadline is always the Wednesday morning of the third week of classes.

8) **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 tuition, if applicable) and will not be permitted to register for a subsequent quarter until those required fees are paid in full.

#### **4. 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. Students who have failed to maintain their graduate student status will be notified in writing by the Graduate Dean. 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 third week of instruction in a given quarter.
- 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.

Notification of lapse of student status will be sent to the student and the academic unit at the end of the quarter in which one of these conditions applies. Students wishing to re-enroll retroactively must fill out the following form and follow the directions step by step: [http://www.grad.uci.edu/forms/students/readmission\\_petition.pdf](http://www.grad.uci.edu/forms/students/readmission_petition.pdf). Please note that readmission is not guaranteed.

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

Prior to resuming graduate study at the University, a student who previously withdrew, or who failed to meet the continuous registration requirement, must request readmission from the Graduate Division by submitting a new *Application for Graduate Study* with the full, non-refundable application fee applicable at that 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. Further, students applying to a different program must also submit current letters of recommendation.

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. 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. A readmitted student must satisfy the academic requirements in effect at the time of readmission and will be required to 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.

## 6. Enrollment in University Extension through ACCESS UCI

If you wish to enroll for credit in a University Extension course through ACCESS UCI 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 your faculty advisor. Go to the Extension website for more information on registering for a course through ACCESS UCI:  
[http://unex.uci.edu/courses/access\\_uci/](http://unex.uci.edu/courses/access_uci/)

## 7. 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; 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 may wish to choose the latter to avoid a lapse of student status and the necessity to apply for readmission.

### *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 session, but before the end of that quarter, and who wishes to cancel enrollment in all classes enrolled, must file the Cancellation/Withdrawal form 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 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.**

### *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. Requests for readmission require submission of an *Application for Graduate Study* along with the non-refundable application fee in effect at that 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. Further, students applying to a different program must also submit current letters of recommendation.

A request for readmission may be approved by the Graduate Dean upon recommendation by the academic unit. If readmitted, a student's previous academic work will be applied toward satisfying the requirements for an advanced degree only with the written approval of the faculty Graduate Advisor and the Graduate Dean. A readmitted student must satisfy the academic requirements in effect at the time of their readmission, and will be required to satisfy certain requirements a second time, including formal advancement to candidacy. A readmitted student will 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.

### *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 or credential 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; and 2) enrollment in at least one unit for graduate support recipients and six units for financial aid recipients. Both steps, payment of fees and enrollment in classes, must be completed for you to be officially registered. Registration may be accomplished either in person or through WebReg (<http://www.reg.uci.edu/>). The option to enroll in classes through WebReg is available through the second week of classes only. Beginning the third week of classes, Add/Drop/Change cards must be used to enroll.

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

Detailed registration procedures are outlined on the registration website, published quarterly, via <http://www.reg.uci.edu>. 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 (pay fees and enroll in classes) for any quarter by the end of the third week 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.

Graduate students are permitted to register for upper-division undergraduate courses and have them 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. Specific requirements are listed in the course catalogue.)** Most likely, you will need to have the prerequisite for the undergrad course or courses waived. The Graduate Student Affairs Office can help you with this procedure. You will need to provide the course number, five-digit section number, and your student id number, and we can help you with the pre-requisite waiver.

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

Effective for the 2009 fall term, academic and professional program graduate students who find it necessary to undertake coursework or research related to their degree program outside of California during their tenure at the University are eligible for reductions in fees as provided below. Authority for implementation of this Policy and for granting exceptions rests with the Graduate Dean. This Policy allows graduate students to engage in research or coursework outside of California and remain enrolled in the University while paying 15 percent of the combined Educational and Registration Fees, the full health insurance (GSHIP) premium, and the full Associated Graduate Student (AGS) Fee. All other campus-based fees will be waived; however, if applicable, students will be responsible for paying the non-resident tuition and/or the Professional Fee. As students registered *in absentia* will pay 15 percent of the Educational and Registration Fees, the University will receive comparable State support for these students. The Policy should help ensure that graduate students who study or conduct research outside of California make normal progress toward degree conferment and get access to University programs and services such as health insurance. Please note that the Policy requires UC campuses to eliminate the provision for research leaves of absence.

#### **IN ABSENTIA REGISTRATION:**

*In absentia* status is a form of registration available to academic and professional degree graduate students undertaking necessary coursework or research related to their degree programs outside of California. The Fee Policy for Graduate Student *In Absentia* Registration promotes continuous enrollment of graduate and professional degree students by providing an appropriate enrollment incentive.

#### **ELIGIBILITY CRITERIA:**

All students pursuing doctoral or master's degrees in academic disciplines as well as those pursuing professional master's or doctoral degrees are eligible for the fee reduction. Students must be enrolled full-time in regular University of California units to be eligible for the reduced *in absentia* fee. Students in self-supporting graduate programs, exchange programs, or programs paying only a program fee are not covered by this policy and are not eligible for *in absentia* registration.

#### **THE RESEARCH OR COURSEWORK:**

- Must be directly related to the student's degree program as evidenced by UC faculty approval.
- Must be of a nature that makes it necessary to be completed outside of California for at least one full academic term.
- Must involve only indirect supervision appropriate to evaluating the student's academic progress and performance by UC faculty during the *in absentia* period.
- Must involve no significant studying or in-person collaboration with UC faculty during the *in absentia* period.

DOCTORAL STUDENTS:

- Must be advanced to candidacy by the time *in absentia* begins.
- May only use *in absentia* registration for a maximum of six quarters (two years). A second year requires approval by the Graduate Dean.

MASTER'S ONLY AND GRADUATE PROFESSIONAL STUDENTS:

- Must have completed at least one year of coursework by the time *in absentia* begins.
- May only use *in absentia* for a maximum of three quarters.

Students may hold University fellowships and GSR/GSAR appointments while registered *in absentia* but may not hold TA, Reader or Tutor appointments while registered *in absentia*.

Information and an extensive list of Frequently Asked Questions are available on the Graduate Division website at: [http://www.grad.uci.edu/forms/students/In\\_Absentia\\_FAQs.pdf](http://www.grad.uci.edu/forms/students/In_Absentia_FAQs.pdf)

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

A student is expected to enroll for each regular academic session unless a formal Academic Leave of Absence is granted. A Leave of Absence 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 Faculty Graduate Advisor, the HSSoE Associate Dean for Student Affairs and the Graduate Dean using the LOA form. If you decide to take a leave of absence, it is important that your application be submitted to the Graduate Dean (120 Administration/Aldrich Hall) prior to the beginning of the quarter for which approval is sought, so in case your application is not approved, you will be able to enroll prior to the deadline. If an Academic Leave of Absence request was approved and the student subsequently becomes ineligible for LOA status (e.g., GPA falls below 3.0 in the quarter prior to leave), approval for LOA status will be rescinded.

The student who will be absent from the campus while continuing to pursue graduate research outside the State of California should register *In-absentia*, as described above. The student who must leave the academic program for more than three quarters should withdraw and apply for readmission at the time he or she expects to resume graduate study at UCI.

*a. Purpose*

An Academic Leave of Absence 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) Enrollment at another educational institution outside the state of California.
- 3) Concentration on an occupation not directly related to the student's academic program.
- 4) Responsibilities related to family obligations.
- 5) Temporary interruption of the student's academic program for other appropriate reasons.

*c. Limitations to LOA*

Leave of Absence 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.

**NOTE:** 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.

*d. Procedures for Requesting an Academic Leave of Absence*  
(<http://www.grad.uci.edu/forms/>)

A request for a Leave of Absence requires submission of a Graduate Division Academic *Leave of Absence* form. The form should be submitted to Graduate Division (120 Administration/Aldrich Hall) prior to the registration deadline for the quarter requested. There is a grace period through the end of the second week of classes. A request for leave submitted after the end of the second week of classes will be granted by exception only. In such cases the department must submit a letter of exception attached to the LOA form, and signed by the department Faculty Advisor or Chair and Associate Dean for Student Affairs, as applicable. In those cases where the fees have been paid, a

*Cancellation/Withdrawal (C/W)* form, available from the Registrar's Office or Graduate Division must also accompany the *LOA* form in order to obtain a refund. If the leave is not approved, the forms must be submitted prior to the registration deadline for the quarter requested in order to avoid payment of late registration fees.

*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 unless you submit a request for an exception, which must be approved by the Graduate Dean or Associate Graduate Dean, following consultation with Human Resources or Academic Personnel, on a case-by-case basis. Such requests would be granted under exceptional circumstances only.
- 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 following recommendation of the academic unit.
- 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 *Cancellation/Withdrawal (C/W)*. Students must indicate on the *C/W* form, under Reason for Withdrawal, "LOA". The refund schedule is printed on the back of the *C/W* form. The effective date for the refund is the date the form is submitted to the Graduate Division.
- 4) **Filing Fee Restriction:** Immediately following a *LOA*, students must register for full-time studies. They will not be eligible to be on Filing Fee status.
- 5) **Financial Support:** While on an academic leave of absence, 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 leave of absence.
- 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 the GSHIP administrator for more information.
- 7) **Housing:** Leave of absence 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 the 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. is not permitted to take an academic leave of absence. 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** (<http://www.grad.uci.edu/forms/>)

UCI's 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, formal examination. The Filing Fee status can be used for one quarter only during the student's graduate training. Students applying for Filing Fee status must be registered in the preceding academic session. A Filing Fee will not be accepted immediately following an academic leave of absence. Only in very rare cases will an exception be considered by the Graduate Dean.

#### *a. Procedures for Establishing Eligibility for Filing Fee Status*

To establish eligibility to pay the Filing Fee, you must submit a Graduate Division *Filing Fee Petition*. The Petition must be approved by the departmental Graduate Advisor and the Chair of your thesis or doctoral committee and must certify that all other requirements for the degree have been met. You also need to obtain the signature of the Associate Dean for Student Affairs from the Graduate Student Affairs 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 at the very beginning of the quarter for which approval is sought so that, if your application is not approved, you will be able to enroll prior to the budgetary deadline.

The completed *Filing Fee* form should be brought to the Cashier's Office with a check made out for one-half of the Registration Fee (the registration website will list the current fee information). 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) 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 register for fulltime 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.

## **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 were not admitted as a Ph.D. student earning an M.S. along the way must submit the *Change of Degree Status* form. Two letters from departmental professors, a new statement of purpose and signatures indicating departmental support must accompany the form.

### ***D. Tuition Reduction for Non-Resident Doctoral Students (International Students)***

Non-resident doctoral students who have advanced to candidacy are eligible for reduction in the annual nonresident tuition fee of 75% for a maximum of three consecutive calendar years including time on leave of absence. Reduced non-resident tuition begins with the first academic term following advancement to candidacy, and is based on the prevailing tuition rate for the year it is applied. Any non-resident student who continues to be registered, or who re-registers following the three-year maximum allowance, will be charged the full non-resident tuition rate that is in effect at that time of enrollment.

#### **1. Eligibility Criteria**

A registered Ph.D. or professional doctoral student who meets all the following criteria is eligible for reduced non-resident tuition:

- a. Classification as a non-resident for tuition purposes.
- b. Registration in a doctoral program or professional doctoral program that has an advancement to candidacy requirement; AND

c. Approval by the campus to be advanced to doctoral candidacy as of the first day of the academic term, as determined by the campus, for which the reduced tuition is assessed. In order to meet this last requirement, the student must have advanced the quarter prior to receiving any tuition reduction.

## **2. Related Policies**

a. Eligibility for the reduced non-resident tuition following advancement to candidacy is measured in calendar years and ends three calendar years later.

b. Non-resident tuition reduction will normally not be extended if a student fails to enroll for any regular academic quarter during the three-year period, and will not be granted simply because a student does not register during that period. A request for an extension must be approved by the Graduate Dean but would be granted only under exceptional circumstances. Students wishing to obtain such an extension must submit a request in writing to the Graduate Dean. There is no further appeal process.

c. A non-resident student is eligible for the reduced tuition for only one doctoral degree when he or she is enrolled at the University. For example, a student who received the reduction in non-resident tuition while earning a Ph.D. at one UC campus will not be eligible for the non-resident tuition reduction if he or she enrolls at the same or other UC campus for another doctoral degree.

d. A student who has earned a Ph.D. at a non-UC institution, and then enrolls at the University of California for a second doctoral degree, would be eligible for the tuition reduction.

e. A student who receives funding from an outside agency to cover the cost of non-resident tuition is still eligible for the reduction in non-resident tuition. The source of a student's funding is not relevant to the assessment.

f. A part-time student who is an eligible Ph.D. candidate will be assessed 25% of the full non-resident tuition.

## ***E. 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 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.

# **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. Criteria for determining satisfactory progress toward degree is outlined below. Student records should be reviewed with special attention to the following criteria:

- **GPA** - the student must maintain at least a 3.0 cumulative grade point average.
- **Grade Reports** - all I, W, or NR grades should be reviewed and appropriate action taken as needed.
- **P/NP** - no courses graded "Pass" are to be included as part of the advanced degree program, nor are they to be considered as satisfying academic criteria for University-administered fellowships and academic appointments/employment.
- **Enrollment Units** - students must be enrolled for at least 12 graduate or upper-division units of credit each quarter, including credit for supervised teaching and research, unless part-time status or an academic leave of absence has been approved in advance by the Graduate Dean. In cases of approved part-time status, enrollment for up to eight (8) 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, unless an exception has been approved in advance.
- **Residency** - time in residence prior to advancement to candidacy for the Ph.D. or professional doctorate degree should be within acceptable limits (ordinarily, no more than four years).

### 2. Unsatisfactory Progress

A graduate student who has not demonstrated satisfactory progress is not eligible for any academic appointment/employment and may not receive fellowship support or other award that is based upon academic merit.

#### *a. Criteria for Determining Unsatisfactory Progress*

- An overall grade point average below 3.0; or
- A grade point average below 3.0 in two successive quarters; or
- Fewer than 24 units completed and applicable toward the advanced degree requirements in the last three quarters; or
- Failure to complete required courses or examinations satisfactorily within the period specified by the graduate program; or
- Failure to pass a required examination in two attempts; or
- The appropriate faculty committee's evaluation that there has not been satisfactory progress toward completion of the thesis or dissertation.
- Written notification from the student's research advisor citing lack of evidence toward research goals and that the student has been given due process.

**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.

### **3. Academic Disqualification**

**Students who are making unsatisfactory progress will be placed on Academic Probation for 2 quarters.** If the student does not meet the terms of his/her academic probation, after consultation with the student's academic unit, the Graduate Dean may disqualify a student because of unsatisfactory academic progress as described by any of the factors noted in this section. Graduate students are officially disqualified only by the Graduate Dean. However, if a department has determined that a student who has been admitted to a Ph.D. or other professional doctoral program should receive a terminal Master's degree, the department must notify the student in writing that he or she will not be allowed to continue for the doctorate degree. Further, the student must give written permission to have his/her degree objective changed officially from doctorate to master's.

Upon recommendation of academic disqualification by the graduate program, the student's academic record is reviewed carefully by the Graduate Dean in consultation with the student's faculty Graduate Advisor. Unless there are indications of procedural error or other substantive mitigating factors to explain the student's record, the Graduate Dean will notify the student of the impending action in writing, and will provide a reasonable opportunity for the student to correct erroneous or outdated academic records, to submit other information or comments in writing, or to request a second review of academic performance.

#### ***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 (see 2, Academic Unit Exceptions, below). If the student has a grade point average of at least 3.0 in all courses applicable to the degree, one UCI course in which a grade of B- is earned may be accepted by the petition process in partial satisfaction of the degree

requirements. **However, the Electrical Engineering & Computer Science and Biomedical Engineering departments are very strict about the B- exception, and only allow certain courses to be counted under this policy, with no core classes being counted with a B-.** If you are an EECS or BME student, please check with your department's Graduate Advisor and in the catalogue under the Electrical Engineering & Computer Science and Biomedical Engineering graduate programs section for more details. Graduate students may not apply courses graded Pass/Not Pass 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 disqualification. The minimum grade point average standards, as stated in this manual, are minimum UCI requirements. 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 will be used.

### **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.**

### **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: On Add/Drop cards, the options listed include "grade" or "P/NP" only. Students taking graduate or upper-division undergraduate courses that offer an S/U option, and who wish to elect the S/U option, should select the "grade" option on the card, and then make the necessary arrangements with the instructor. **\*\*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.\*\***

#### **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 satisfactory but is incomplete because of circumstances beyond the student's control, and when the student has been excused in advance from completing the quarter's work. The I grade should not be assigned when the student is working on a long-term project that is scheduled over more than one quarter of enrollment. In such cases, if the project is on schedule, the In Progress grade should be assigned. When no action is taken to replace an IP notation with a final grade, the IP will be changed to an Incomplete. Incompletes arising in this manner may not be replaced by another grade or notation. The grade I should also not be assigned when the student has completed no significant amount of work, or when it was unsatisfactory. The number of Incomplete grades accumulated by a student should be monitored and limited carefully, and should be removed as soon as possible. Although Incomplete grades do not affect the student's grade point average, they 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 Student Affairs of the school in which the course was offered. If not made up within the time allowed, an "I" grade is recorded permanently. If you become ill or cannot complete a final exam or course project at the end of a quarter, you must contact your professor immediately if the only option is to receive an "I" at the time of grading. Please discuss this with your instructor

to ensure timely completion of coursework requirements so the "I" grade can be removed in a timely manner.

## **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 an F, NP, or U.**

## **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.

### ***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 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. In such cases, written notification of intent must be submitted to the Graduate Dean at least two weeks in advance of the exam. **\*\*Doctoral preliminary examinations and M.S. comprehensive examinations are mandated by each individual department. Please refer to the Graduate Student Affairs 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.

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

### *A. 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*, via <http://www.editor.uci.edu/catalogue>, on the Graduate Student Affairs website, and/or on individual department websites. **You are responsible for fulfilling requirements in effect the year in which you are admitted. Under certain circumstances, the student, with the written approval of the faculty advisor and school's associate dean for graduate student affairs, may opt to accept the new requirements.** In such cases, the academic unit must notify the Graduate Division in writing of the change in order that the student's records correctly identify 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. Please see the UCI general catalogue for detailed information on options within each department in engineering.

###### 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 see the UCI general catalogue or the website for more information on course requirements within each department in engineering.**

Plan I (Thesis)

In addition to the thesis, a minimum of 36 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. A general examination is also required. 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.

3) Master's Degree Requirements: Thesis Committee: Plan I

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 one of the committee members directs the work. Two copies of the approved thesis must be filed with the Thesis and Dissertation Manuscript Advisor located in the Main Library, (Room 525).

**Membership**

The thesis committee is comprised of three voting members of the University of California Irvine Academic Senate. A majority of the committee, but not necessarily all, shall be affiliated with the program. The Thesis Committee shall approve the subject of the thesis, pass on the content and administer the general examination. Usually, the Chair of the committee directs the work. Two copies of the approved thesis must be filed with the Thesis and Dissertation Manuscript Advisor.

*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; no exceptions will be granted for this position.

*General Members:* Non-voting members of the Academic Senate will be considered for general membership on the committee on an exception-only basis. **A formal exception memo on your department's letterhead, written to Frances Leslie, Graduate Dean, from your department's Graduate Advisor, via Associate Dean John LaRue, is needed for this request to be considered.** The Graduate Dean, on behalf of the Graduate Council, retains sole authority to grant exceptions. All such requests must be submitted in writing by the Chair of the academic unit to the Graduate Dean two weeks prior to the examination to allow a reasonable time for review.

*Oversight Member:* If the Chair, 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 two general members. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role as Oversight Member. See exceptions below for procedures to appoint an Oversight Member.

*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. If there do not appear to be any harmful results from the conflict of interest, the Oversight Member shall sign a statement to that effect after each committee meeting and the statement shall be placed in the student's file and a copy forwarded to the Graduate Dean. If the Oversight Member perceives that there is a problem arising from conflict of interest issues, then he/she shall not sign off on the committee deliberation, but shall instead inform the Graduate Dean in writing.

### **Exceptions on Appointment**

*Oversight Member:* The Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor, and the departmental representative. If these individuals cannot agree on three nominees, the departmental representative (either the Graduate Advisor or the Chair if the advisor is conflicted) will select the nominees. 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.

*General Member:* Non-voting members of the Academic Senate and faculty members holding professorial titles from other universities will be considered for general membership on the committee on an exception-only basis. Again, the procedure outlined above for exception memos must be followed in order for the request to be approved.

### **Responsibilities**

It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor, Mentor or Associate Dean for Student Affairs as appropriate, and the Chair of the Candidacy Committee: (1) to inform the student regarding the policy on Thesis Committees -- including full disclosure of issues pertaining to possible conflict of interest that is potentially harmful to graduate students; (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) to ensure that these Academic Senate policies are followed.

### **Submission of Thesis**

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 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 [www.lib.uci.edu/libraries/collections/special/thesis/tdmanual.html](http://www.lib.uci.edu/libraries/collections/special/thesis/tdmanual.html). Students are encouraged to attend the quarterly information sessions that discuss manuscript preparation and filing procedures.

### **How to File**

After the thesis has been approved by the committee, two copies are submitted with the appropriate forms to the manuscript librarian (archives@uci.edu) in the Main Library, Room 525, who accepts it for deposit in the University Archives. The librarian will briefly check to make sure certain aspects of the manuscript are complete and prepared correctly according to the *UCI Thesis and Dissertation Manual* and include verification of the appropriate paper type, margins, and pagination. The librarian will also verify that the committee signatures have been obtained and the degree paperwork has been completed. Library Archives

has the responsibility of insuring that the established procedures and standards for manuscript preparation are upheld.

### **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. 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 the registration website each quarter, on the Graduate Student Affairs website, or on the Graduate Division website under "deadlines".

### **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.

#### 4) 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.

#### *b. 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 at least 30 days before the opening of the quarter in which the degree is expected. The *Application* must be accompanied by petitions for any course credits that have not already been approved by the Graduate Dean. If the master's degree requires a

thesis (Plan I), membership of the thesis committee must be included, and the departmental graduate faculty advisor, the department chair, and the graduate student must sign the Statement of Conflict of Interest form, which is included in the *Application*.

Deadlines for submission and approval of the *Application for Advancement to Candidacy* are published each quarter on the registration website and the Graduate Division website. 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.

*c. 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 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.

The *Application for Advancement to Candidacy* is also the form used to certify completion of all degree requirements prior to formal award of the Master's degree. Upon formal advancement to candidacy, the form is returned to the graduate program.

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 of 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 the you will need to make arrangements to take care of the deficiency (submit a petition to allow a B- grade to count toward the degree, or retake a course or substitute another course in the place of a course with lower than a "B" received.) Please see your department concerning petitions - some departments, such as Electrical Engineering & Computer Science and Biomedical Engineering are strict with the granting of the B- petition and only allow it to be applied to certain courses.

***B. 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 first registration quarter at UCI following formal admission to a 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, 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. 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 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 M.S. or Ph.D. students**

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

### ***C. 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 seven 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 strongly encouraging the student to contact her/his Faculty Advisor and set a completion date. A deadline will be set for the student by the Graduate Dean if a timely response is not received from the student or department. Should the student miss the established deadline, a memo will be sent to the student's Faculty Advisor requesting a reevaluation of the student. The reevaluation should include either a recommendation for disqualification or the establishment of a second deadline date.

#### **2. Teaching Requirement**

Some graduate programs require 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.

- a) In order to establish eligibility for appointment as a UCI Teaching Assistant (TA) or Teaching Associate, international students who are not citizens of countries where English is either the primary or dominant language are required to pass an oral English proficiency exam approved by the UCI campus. To determine which countries are exempt from this requirement under the criteria offered by the Graduate Council, please contact your department's Graduate Coordinator, or Jonathan Lew in the Graduate Division.

Students can fulfill this requirement by passing one of the following exams:

- a) Test of Spoken English (TSE) which is administered by the Educational Testing Service (ETS) at centers outside of the US and Canada.

- b) Test of English as a Foreign Language Internet-based Testing<sup>1</sup> (TOEFL iBT) is administered by ETS in U.S. centers and abroad;
- c) International English Language Testing System<sup>1</sup> (IELTS) is available in over 120 countries. With a number of IELTS test centers offering off-site testing, the test is accessible in 30 more countries;
- d) Spoken Proficiency English Assessment Kit (SPEAK) which is available at UCI only after a student is admitted;
- e) Test of Oral English Proficiency (TOEP) which is administered at UCI and is only an option if a student fails to pass the TSE or SPEAK.

For more detailed information (including the respective passing scores) on these exams of spoken English proficiency, please go to [http://www.grad.uci.edu/current/esl\\_tests.htm](http://www.grad.uci.edu/current/esl_tests.htm)

To help UCI graduate students strengthen their oral English proficiency, UCI offers several on-campus resources including our ESL Program and our oral communication workshops. Additional resources are available from off-campus sites including sites offering special oral language practice exercises.

Although these tests must be taken in their entirety, passing only the speaking module/section on either test with the score specified will meet UCI's oral proficiency requirements.

### **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/index.htm>) 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. 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. The Graduate Dean may delegate to the

academic units the role of appointing Candidacy Committees. However, the Graduate Dean retains sole authority to grant any exceptions to the committee appointment, and to appoint a nominee as Oversight Member in those cases where the possibility of a conflict of interest that is potentially harmful to the graduate student exists. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role. Requests for approval of exceptions must be submitted in writing by the Chair of the academic unit to the Graduate Dean at least two weeks prior to the scheduled exam to allow a reasonable time for review. The academic unit must also inform students regarding the policy on candidacy committees including policy related to possible conflict of interest that is potentially harmful to graduate students. It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor/Mentor or Associate Dean of the School as appropriate, and the Chair of the Candidacy Committee to ensure that these policies are followed. Should these policies not be followed, the student, at the discretion of the Graduate Dean, will be required to retake the Advancement Exam. **You must receive approval for your qualifying/candidacy committee. A nomination form must be completed at least two weeks before your exam. Nomination forms can be obtained in the Student Affairs Office, room 101 Engineering and Computing Trailer.**

*b. Candidacy Committee*

The Candidacy Committee is comprised of five faculty who are voting members of the University of California Academic Senate. Non-voting Senate members or faculty holding professorial titles at other Universities will be considered on an exception-only basis. **For the exception, a memo from your department's Graduate Advisor address to the Dean of Graduate Division, Frances Leslie, via John LaRue, Associate Dean of Student Affairs, must be submitted, asking for a non-UCI faculty member or adjunct professor to serve on your committee.** 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 additional criteria that apply to the membership of the committee are listed below.

**Membership**

*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 in 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 or faculty holding professorial titles at other universities will be considered on an exception-only basis. Please see bold text above for exception procedures.

*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. An accurate verification of this can be determined in the UCI general catalogue under the School of Engineering. All Engineering professors and their titles and appointments are listed in the catalogue. 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 to these requirements will be considered.)**

*The Oversight Member:* If the Chair, Research/Thesis advisor or other member of the committee has a financial interest in an outside entity that carries a possibility of a conflict of interest potentially harmful to the graduate student, an oversight member must be appointed in addition to the three general members. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role.

*Role of the 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. If there do not appear to be any harmful results from the conflict of interest, the Oversight Member shall sign a statement to that effect after each committee meeting and the statement shall be placed in the student's file as well as forwarded to the Graduate Dean. If the Oversight Member perceives that there is a problem arising from conflict of interest issues, then he/she shall not sign off on the committee deliberation, but shall instead inform the Graduate Dean in writing.

## **Appointment Procedures**

The qualifications of all committee members must be evaluated and approved by the HSSoE Graduate Student Affairs Office, acting on behalf of the Associate Dean. When the proposed membership deviates from the standard committee composition, as in the case of non-voting Senate members or faculty members from other universities, 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 or faculty holding professorial titles at other Universities will be considered on an exception-only basis. The Graduate Dean 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 vitae 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 unit may be required by the Graduate Dean.

**Oversight Member:** The Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor, and the departmental representative. If these individuals cannot agree on three nominees, the departmental representative (either the Graduate Advisor or the department Chair if the advisor is conflicted) will select the nominees. 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. It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor/Mentor or Associate Dean for Student Affairs as appropriate, and the Chair of the Candidacy Committee: (1) to inform the student regarding the policy on Candidacy Committees, including full disclosure of issues pertaining to the possibility of a conflict of interest that is potentially harmful to graduate students; (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 researcher or teaching assistant, whichever comes first; and (3) to ensure that these Academic Senate policies are followed. Should these Senate policies not be followed the student will be required to retake the Qualifying Exam.

### **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.

## 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.

## 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.

## 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: Report of the Ph.D. Candidacy Committee* (<http://www.grad.uci.edu/forms/index.htm>). The *Ph.D. Form I* must be signed by all committee members at the time the candidacy examination is concluded and submitted even if the student failed the examination. 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 1, 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.**

## 5. 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.

## **6. The Doctoral Committee**

### *a. Dissertation*

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

### *b. Membership*

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 *Ph.D. Form I*. The Doctoral Committee is comprised of three voting members of the University of California Academic Senate -- not necessarily the Irvine Division -- or the equivalent. A majority of the committee shall be affiliated with the student's program.

1) *Chair*: The Chair of the Committee shall always hold a primary or joint academic appointment in the academic unit/program supervising the doctoral program; no exceptions will be granted for this position. The Chair of the Doctoral Committee is the member of the graduate program faculty responsible for providing primary guidance of the student's dissertation.

2) *Oversight Member*: If the Chair, Research/Thesis advisor, or other member of the committee, has a financial interest in an outside entity that carries a possibility of a conflict of interest potentially harmful to the graduate student, an oversight member must be appointed in addition to the two general members. It is understood that the Oversight Member will not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role. (<http://www.rgs.uci.edu/grad/staff/coi.htm>)

*Role of the Oversight Member*: The Oversight Member shall participate on all student research advisory and/or doctoral committees. An additional role of the Oversight Member is to be fully cognizant of the issues related to 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. If there do not appear to be any harmful results from the conflict of interest, the Oversight Member shall sign a statement to that effect after each committee meeting and the statement shall be placed in the student's file as well as forwarded to the Graduate Dean. If the Oversight Member perceives that there is a problem arising from conflict of interest issues, then he/she should not sign off on the committee deliberation, but should instead inform the Graduate Dean in writing.

### *c. 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 remaining members of the Doctoral Committee.

*d. Exceptions*

1) Oversight Member

In those cases where a possible conflict of interest exists as described above, the Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor and the departmental representative. If these individuals cannot agree on three nominees, the departmental representative (either the Graduate Advisor or the Chair if the advisor is conflicted) shall select the nominees. The departmental representative shall submit the request to appoint an Oversight Member in writing 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.

2) General Members

Non-voting members of the Academic Senate, and faculty holding professional titles at other institutions, will be considered for general membership on the committee on an exception-only basis. **If you wish to have a non-UCI faculty member or an adjunct professor serve on your committee, a memo from your department's Graduate Advisor, via John LaRue, Associate Dean, to Frances Leslie, Dean of Graduate Division, asking permission for this request is required.** The Graduate Dean, on behalf of the Graduate Council, retains sole authority to grant exceptions. All such requests must be submitted in writing by the Chair of the academic unit to the Graduate Dean at least two weeks prior to the date of the exam to allow a reasonable time for review.

*e. Duties and Responsibilities*

It is the responsibility of the Chair of the academic unit, the departmental Faculty Advisor/Mentor or Associate Dean for Student Affairs as applicable, and the Chair of the Doctoral Committee to:

- 1) Inform the student regarding the policy on Doctoral Committees, including full disclosure of issues pertaining to the possibility of conflict of interest potentially harmful to the student;
- 2) Provide graduate students with a policy statement on 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 adhered to.

**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, you must inform the Graduate Dean, Frances Leslie, of the intent to change membership. The proper procedure is through a memo from your department's Graduate Advisor, to Frances Leslie, Acting Graduate Dean, via John LaRue, Associate Dean of Student Affairs, with the old membership listed first, and the proposed new membership listed second. Remember that the \*\*\*\*majority\*\*\*\* of members MUST be from your department.**

## **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.

### ***Ph.D. Form II: Report on Final Examination***

(<http://www.grad.uci.edu/forms/index.htm>)

Upon completion of the final examination (if required) and approval of the dissertation, the Doctoral Committee recommends, by submission of *Ph.D. Form II*, the conferral of the Ph.D. subject to final submission of the approved dissertation for deposit in the University Archives.

## **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://www.lib.uci.edu/libraries/collections/special/thesis/tdmanual.html>. You are encouraged to attend the quarterly information sessions that discuss manuscript preparation and filing procedures. The Doctoral Committee certifies that the completed

dissertation is satisfactory through the signatures of all Committee members on the signature page of the completed dissertation. The doctoral committee chair is responsible for the content and final presentation of the manuscript.

*a. How to File*

After your dissertation has been approved by the committee, two copies are submitted with the appropriate forms to the manuscript librarian ([archives@uci.edu](mailto:archives@uci.edu)) in the Main Library, Room 525, who accepts it for deposit in University Archives. The librarian will briefly check to make sure certain aspects of the manuscript are complete and prepared correctly according to the *UCI Thesis and Dissertation Manual* and include verification of the appropriate paper type, margins, and pagination. The librarian will also verify that the committee signatures have been obtained and the degree paperwork has been completed. Library Archives has the responsibility of insuring that the established procedures and standards for manuscript preparation are upheld.

Electronic submission is also available starting in the Summer of 2009. For more information on how to electronically submit your dissertation, please refer to the appropriate form at <http://www.grad.uci.edu/forms/index.htm>.

*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, 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 in the Graduate Division website and on the registration website each quarter.

*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.

***D. 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. **The committee will require two new letters of recommendation, a new Statement of Purpose, and up-to-date official transcripts in order to review the Ph.D. request. The committee could also request other items as needed.** The process is internal to that academic unit until a decision is made. 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, using the Change of Degree Level form, who has the authority to approve and formally recognize the change to doctoral status. Only at that time will you be eligible to register as a doctoral student.

**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.

## **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 unit's graduate affairs 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 academic unit to notify the Graduate Division in writing of this change in status. This notice must include the student's written permission to have his/her degree objective changed officially from doctorate to master's and is done by completing the Change of Degree Level Form.

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

Within the same academic unit (i.e. within the EECS department), the unit's committee that oversees admissions for a change of degree program may consider a student's request be admitted to a different program. If the committee approves such a change, the *Change of Major* petition (<http://www.grad.uci.edu/forms/index.htm>) 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 Faculty Graduate Advisor of the desired program or unit. A formal request for such a change must be submitted to the Graduate Dean. 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 statement of purpose must include the student's revised academic objective. The full application fee will not be charged unless there is a lapse of student status. The Graduate Division may

request the current custodian of the student's departmental academic records to forward copies of certain documents to the academic unit the student wishes to enter. The receiving unit may require the student to submit additional information, such as current letters of recommendation, as necessary and appropriate. If the change is not approved 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 graduate affairs 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 Cancellation/Withdrawal (C/W) form available through both the Graduate Division and the Registrar's 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.

## ***E. 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. 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 quarter in which the degree is to be conferred, and the student was registered for the previous regular quarter, registration fees are not required. If you do not meet this second submission deadline, you 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, you must register each quarter until all degree requirements are completed. If you do not complete the necessary courses by the end of the quarter in which degree conferral is expected, or do 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 your status lapses, the degree can be conferred only after your readmission, followed by at least one quarter of registration and reinstatement to candidacy.

### **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/index.htm>). 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.

## ***F. Graduation and Diploma Information***

### **1. Advancement to Candidacy Requirement**

A student who expects to complete all requirements for an advanced degree in a given quarter must be advanced to candidacy for that degree prior to the first day of the quarter in which the degree will be conferred.

### **2. Commencement**

Questions regarding eligibility to participate in spring commencement should be directed to the student's academic unit.

## **REGISTRATION: ENROLLMENT** **AND FEE PAYMENT**

Please go to <http://www.reg.uci.edu> for information on registering for classes, and paying your fees and tuition. This extensive site has everything related to courses and registration at UC Irvine, including the 2009-10 catalogue. On this site, you will find the searchable schedule of classes for fall 2009: <http://webster.reg.uci.edu/perl/WebSoc>. You must ensure that you both enroll and pay fees by the corresponding deadlines. You will receive a computerized billing statement from campus billing services. This bill is commonly referred to as a *Zotbill*, and is used to pay your fees and tuition. If you will be receiving financial support in the form of a fellowship or academic employment, your fees may be payable by Electronic Fee Payment, as part of the registration process. Please contact the Graduate Division on campus if you have questions about how this process works. You will be subject to a service charge if you register late. If you were previously an undergraduate at UC Irvine, be sure to enroll using the graduate student identification number contained in your admission letter and *Zotbill*. Further, more detailed information on enrollment procedures and fee payment, including deadlines for registration and fee payment, is included on the Registrar's website with at <http://www.reg.uci.edu>.

## **Current Graduate Student Forms**

A variety of forms necessary for navigation through your graduate school experience and degree completion can be found at: <http://www.grad.uci.edu/forms/index.htm>. These forms can also be obtained in the main Student Affairs Office, 101 Engineering and Computing Trailer.