

# GRADUATE POLICIES AND PROCEDURES



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## I. ADMINISTRATION

### A. *The Role of the Graduate Division*

The Graduate Division encompasses all post-baccalaureate advanced degree programs at UCI and all graduate students, exclusive of the M.D and J.D. programs. In addition, the Graduate Division oversees all post-doctoral training programs and personnel at UCI, exclusive of the medical intern and medical resident programs conducted by the School of Medicine. The Dean of the Graduate Division is responsible for the administration of graduate and post-doctoral study at UCI in accordance with academic policies established by the Academic Senate via the Graduate Council.

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

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

the Council's policy functions, and recommends new policies. Implements Graduate Council policies and provides outcome assessment and analysis.

- Works with the Council in evaluating new program initiatives and assessing continuing programs.
- Provides central administrative services that help sustain and improve the quality of graduate education.

### ***B. The Role of Graduate Council***

The Graduate Council is a standing committee of the Academic Senate, Irvine Division, charged with reviewing and regulating graduate education within the framework of Academic Senate regulations. The Graduate Council reviews all proposals for new degree programs and carries out, on behalf of the Academic Senate, mandated periodic reviews of existing graduate programs.

[Representatives](#) include members of the Academic Senate, the Graduate Dean (ex officio), three graduate students, and a Library representative. There is a [monthly meeting schedule](#) during the academic year. One Council member is appointed campus representative to the UC System-wide Academic Senate Coordinating Committee on Graduate Affairs (CCGA).

The Graduate Council sets policies and standards for admission to graduate student status; determines eligibility for fellowships and assistantships; establishes policies relating to graduate degrees; approves changes in degree requirements; establishes procedural rules for graduate study; sets policy for satisfactory academic progress, graduate student course loads, transfers of academic credit, part-time study, and leaves of absence.

### ***C. The Role of the Faculty Graduate Advisor***

The Faculty Graduate Advisor is the official faculty representative of the Graduate Dean in matters affecting graduate students in the Faculty Graduate Advisor's academic unit. A close working relationship is established between the Advisor 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 provides information to the Advisors on a continuing basis and responds to requests for special assistance.

The Faculty Graduate Advisor is responsible for supervising graduate study in their department and for ensuring that each graduate student has an individual faculty advisor and mentor. In many academic units, the advisor is instrumental in the appointment and supervision of graduate student Teaching Assistants, Associates, Readers, and Tutors. In most schools, there is also an Associate Dean for Graduate Studies who coordinates many of the functions which affect graduate students. This faculty member works in conjunction with their academic dean and department chairs.

## **II. ADMISSIONS**

### ***A. Admissions Policy***

#### **1. General Policy**

Admission to graduate study at UCI is by authority and action of the Graduate Dean according to Academic Senate regulations and policies established by the Graduate Council of the University of California, Irvine. The Graduate Dean has delegated authority for direct admission of students to the academic units, except in cases where applicants who do not meet the basic

requirements for graduate admission (e.g., unsatisfactory grade point average, bachelor's degree requirements, etc.). Admission to a specific graduate program is made by recommendation of a particular departmental graduate admissions committee, which serves as the agent of the faculty. The chief academic administrator of the department or school may limit the number of admissions for budgetary reasons, and may return to the admissions committee any recommendation that is not consistent with the rules of the faculty. The Graduate Dean authorizes admission actions consistent with Academic Senate regulations and University policy. The staff of the Graduate Division is available for assistance and consultation in the admission process.

The basic requirements for admission are adequate preparation for successful graduate study, and suitability of academic objectives for the specific program. Educational Testing Service's (ETS) Graduate Record Examination (GRE) scores are not required of applicants applying to most graduate programs; however, some graduate program may still require GRE scores. See individual graduate program requirements for details. In certain biological/medical fields, Medical College Admission Test (MCAT) scores can be substituted for GRE scores with the approval of the Graduate Dean. Graduate Management Admission Test (GMAT) or GRE scores are required for applicants to the Paul Merage School of Business, except for Executive MBA (EMBA) and Health Care MBA (HCEMBA) applicants. A non-refundable application fee is required of all applicants. An application fee waiver may be available to certain domestic applicants. Further information and current fees are available on the [Graduate Division website](#). The academic unit and the Graduate Division evaluate applications for admission with specific assessment of official transcripts of previous academic work, the results of the GRE or GMAT tests, and the applicant's "Statement of Purpose". Individual graduate programs may require other materials such as examples of previous work.

The other major factors considered by the departmental graduate admissions committee are the applicant's: (1) previous academic performance at an institution with degree standards equivalent to those of the University of California; (2) academic preparation for the graduate curriculum; (3) intellectual capacity; (4) motivation and maturity; and (5) specific areas of academic interest. An applicant may be denied admission because of a lack of strength in any of the first four areas, or because the program does not match the applicant's interests in terms of focus and/or academic resources. Please note that the requirements listed in this document (e.g., at least a 3.0 undergraduate GPA for graduate admission) are minimum standards, and individual programs have the prerogative to apply more stringent requirements.

A 3.0 grade point average is the minimum requirement for admission to graduate study all graduate programs except for some graduate programs in the Paul Merage School of Business, but a lower GPA may be accepted by exception when balanced by other positive indicators of potential. Even a recognized bachelor's degree is not an absolute requirement. As an exception, students of unusual intellectual achievement may be admitted without having earned an undergraduate degree (see [Section A. 2. Exceptional Admissions](#) below).

The number of applicants each year who meet the minimal requirements for admission is substantially larger than the number that can be supported by the available university resources. A fundamental principle is that University of California graduate programs are not required to accept all applicants who meet a minimum standard, nor must they fill the available spaces on a first-come, first-served basis. The objective of each departmental graduate admissions committee is to admit the applicants who are best qualified and whose interests and expertise best match that of the academic program.

## 2. Exceptional Admissions

All exceptional admissions must be reviewed by the Graduate Dean **before** admission is granted. Exceptional admissions are required for: low undergraduate GPA (even for students with graduate degrees); lack of a U.S. bachelor's degree equivalent, and/or lack of official transcripts verifying the award of the degree; lack of Graduate Record Examination (GRE, if required by the graduate program), or GRE score older than five years( if required by the graduate program); lack of Graduate Management Admission Test (GMAT) scores, if required; lack of Test of English as a Foreign Language (TOEFL) or International English Language Testing System (IELTS) scores; low TOEFL or IELTS scores; or TOEFL or IELTS scores more than two years old for students whose primary language is not English.

For exceptional admissions, the exception form with justification for exceptional admission, as well as the Admissions Committee Recommendation (ACR) form should be completed and forwarded to the Graduate Division, along with supporting documents. Following review by the Graduate Dean, the department will be notified of the Graduate Dean's decision. The letter of admission (or denial) will then be sent to the applicant by the department or school to which the applicant applied.

## 3. Waiver of Standard Graduate Admission Requirements

### a. Low Grade Point Average

Infrequently, recommendations are received from academic units to admit someone with a grade point average below the required 3.0. It is possible to admit an applicant with a low grade point average who may appear to be highly qualified based upon recent GRE or GMAT standardized scores and/or research or professional experience. A request for an exception to the minimum GPA of 3.0 must be made in writing from the program to the Graduate Dean. The individual may be admitted only with approval of the Graduate Dean.

### b. The Bachelor's Degree

On extremely rare occasions, recommendations are received from academic units to admit someone who does not have a Bachelor's degree or its equivalent. It is possible to admit a very highly qualified person to graduate standing by waiving this established requirement provided the following criteria are satisfied:

1) Inappropriateness of requiring the applicant to complete an undergraduate program because of: unusual intellectual maturity; conflicting responsibilities which would unreasonably extend the amount of time required; and a significant level of achievement in a specialization related to the graduate program of interest.

2) Demonstrated ability to do graduate level work, as evidenced by: GRE or similar test scores; published papers or other examples of work in a related area; adequate preparation in foundation areas; and letters of recommendation (if required by the program).

3) Evidence of having attained a depth and breadth of intellectual development equivalent to an undergraduate education, including a specialization comparable to an undergraduate academic major. This should be determined by such means as are deemed academically appropriate by the Graduate Dean. It might include a review of the applicant's related work and evaluation of any teaching or research experience by an ad hoc advisory committee composed of regular faculty

members. Waiver of the bachelor's degree requirement must be approved in advance and in writing by the Graduate Dean before admission. Exceptions must be reported to the Graduate Council.

c. The Graduate Record Examination (GRE), Graduate Management Admission Test (GMAT)

While the GRE (or GMAT for applicants to MBA programs) administered by the Educational Testing Service, ([ETS](#)), is not required as part of the formal application for admission to graduate study, some graduate programs may still require it as part of the application. If required by the graduate program, scores for tests taken five or more years previously can be used only if approved by the Graduate Dean.

Departmental graduate admission committees are urged to consider GRE/GMAT scores only as appropriate and relevant to the particular field of study and only as one of a number of indicators of potential for success in graduate study. Where English is not the primary language of the applicant, TOEFL or IELTS scores may provide supplementary information. Alternative GRE/GMAT tests, and testing situations, are provided by the Educational Testing Service for applicants with disabilities or health-related needs on request. It is possible, given other indicators of potential for success in graduate study, to formally admit an applicant with the provision that GRE/GMAT scores are submitted prior to matriculation or within the first quarter after registration.

For those applicants seeking admission to the School of Business's M.B.A. programs who have completed graduate medical degree programs from accredited U.S. educational institutions, the GMAT requirements may be waived. Applicants who meet the criteria above, and have been awarded degrees of M.D., D.O., D.P.M., D.D.S., or D.D.M., will not be required to take the GMAT to qualify for admission to the M.B.A. programs. For currently enrolled M.D. students interested in applying to the M.D./M.B.A. Joint Degree Program, the MCAT, along with the completion of three years of medical school training in good standing and passage of the United States Medical Licensing Exam (USMLE) Step I, currently serve as a waiver for the GMAT entrance examination usually required for application to the M.B.A. program.

On rare occasions, it is possible to waive the GRE/GMAT requirement for graduate programs that require it, provided that substantial evidence of achievement in graduate work in a recognized academic institution can be provided. The criterion applied in such cases is either:

1) Completion of at least two full years of post-baccalaureate coursework exclusive of credit for thesis or independent research, with superior scholarship; or 2) prior formal advancement to candidacy for a Ph.D. Requests for these exceptions must be submitted in writing to the Graduate Division.

d. Demonstration of English Language Proficiency

All graduate applicants, except those who have earned an undergraduate or master's degree from an institution at which English was the sole language of instruction according to the [World Higher Education Database](#), are required to demonstrate English proficiency for admissions consideration. An applicant who has not earned an undergraduate degree from an institution at which English was the sole language of instruction according to the [World Higher Education Database](#) are required to submit TOEFL or IELTS scores for admission consideration.

4. Second Advanced Degrees



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

The Graduate Dean has delegated the authority to admit students for a second Master's degree in an unrelated discipline to the academic units. If a program wishes to admit a student for a second Master's degree in the same discipline or a related field, the program must request an exception. These requests must be made in writing to the Graduate Dean and should include strong justification for admitting the applicant for a second Master's degree in the same discipline or a related field, as well as a statement assuring the Dean that there will be no duplication, transfer, or waiving of coursework.

[Example: If a student with an MS in Civil Engineering applied to UCI for an MS in Environmental Engineering, it would require an exception to admit them. However, if the same student with an MS in Civil Engineering applied to UCI for an MA in History, this would not require an exception.]

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

## 5. Non-degree Graduate Admission

Although students are ordinarily admitted to a UC graduate school only for the purpose of study leading to an advanced degree, international Education Abroad Program (EAP) students are an exception to this rule. These are non-degree seeking students who attend UCI for one to three quarters of study.

### ***B. The Application Process***

#### 1. Requirements for All Applicants

##### a. Application Fees

A non-refundable application fee is required for all applicants. Applications cannot be processed until the application fee has been received. The application fee is devoted to the administrative cost of processing all applications received, and is non-refundable under any circumstances.

##### 1) U.S. Citizens and Lawful Permanent Residents of the U.S.

A non-refundable application fee may be paid by MasterCard or Visa credit card, check or money order. The check or money order should be made payable to "UC-Regents" and submitted with the application fee form to the Graduate Division. The applicant's name and application number should be printed on the check or money order.

The application fee may be waived for certain applicants in this category. Check the [Graduate Division website](#) for details.

2) All other Applicants

The application fee may be paid by MasterCard or Visa credit card. Due to the difficulties involved in handling foreign checks, the UCI Cashier's Office will only accept international money orders or international bank drafts in U.S. dollars drawn on a U.S. bank. Please note that all international drafts must have the name, address and complete AB routing numbers of the U.S. bank imprinted on the draft.

Cash cannot be accepted.

Mail application fee forms and check or money order as described above to:

Graduate Division  
120 Aldrich Hall  
University of California  
Irvine, CA 92697-3180

b. Transcripts

One official transcript of all previous post-secondary academic work must be submitted. Some programs require a second transcript. Please check with your program prior to submission. Transcripts should be sent directly to the UCI academic department by the Registrar of the issuing institution. When students have final work in progress at the time of the first application, a final official transcript covering that work and certifying the award of any degree must be received before the student is officially enrolled. In such situations, the student is admitted provisionally, pending receipt of official transcripts reflecting award of the bachelor's degree.

c. Graduate Record Examination Scores

GRE scores is not required for admission to graduate study at UCI; however, some graduate program may still require scores as part of the application. GMAT scores are required for applicants to the School of Business, except for applicants to the Executive MBA (EMBA) and Health Care Executive MBA (HCEMBA) program. In addition, some graduate programs require GRE Subject Test scores in the area of specialization. The applicant must request that the Educational Testing Service (ETS) report scores directly to the UCI Graduate Division, institutional code number 4859. The applicant does not need to indicate a department when making the request with ETS. Test scores that are more than five years old may be accepted only if approved by the Graduate Dean.

d. Statement of Purpose

The Statement of Purpose provides important guidance to the departmental graduate admissions committee in their decision-making process. It is important for assessing whether the applicant's academic objectives can reasonably be satisfied in the graduate program to which admission is sought.

e. Individual Program Requirements

Individual program requirements must be consistently applied to all applicants to a single program, but may vary from program to program. Typical individual program requirements include, but are not limited to, samples of previous academic work, writing samples, statements about research experience or foreign language competence, and portfolios of artistic or creative endeavors.

f. English Proficiency

All graduate applicants, except those who have earned an undergraduate or master's degree from an institution at which English was the sole language of instruction according to the [World Higher Education Database](#), are required to demonstrate English proficiency for admissions consideration.

**English Proficiency Tests Accepted for Graduate Admissions**

The TOEFL is administered by the Educational Testing Service (ETS). Test scores that are more than two years old are not acceptable.

TOEFL Score Requirements for Admission Consideration:

- A minimum score of 80 is required on the TOEFL iBT.

[IELTS](#)

English language proficiency may also be demonstrated by passing the Academic Modules of the International English Language Testing System (IELTS) exam. Test scores that are more than two years old are not acceptable.

**IELTS Score Requirements for Admission Consideration:**

- An overall minimum score of 7 for admission, with a score of no less than 6 on any individual module.

2. Special Requirements for International Applicants

a. Application

Applicants who are not citizens or permanent residents of the U.S. are subject to all standard UCI admission requirements. In addition, they must provide satisfactory evidence of English language proficiency to complete their application, and evidence of financial support in order to obtain the necessary visa document, e.g. the I-20 form for the F-1 student visa or DS-2019 form for the J-1 student visa. Note that this visa document is issued by the International Center at UCI. The International Center requires completion of the [I-20/DS-2019 Request for New Graduate Students](#). This form allows UC Irvine to issue an I-20/DS-2019 for students to apply for an F-1 or J-1 student visa. This form should be sent to a student's admitting academic department.

Special care should be exercised when admitting international students. It is unfair to the applicant to recommend admission in the absence of clear evidence that there are sufficient English language skills and financial resources, as well as background in the discipline, to ensure success in the graduate program. Many students underestimate both the time and the

financial resources required for completion of a graduate degree at UCI. Some international applicants may also misinterpret encouraging communication as a firm contract with regard to admission and/or financial support.

International applicants are urged to apply at least four months prior to the stated application deadline dates, or as early as possible after the online application is available. Graduates of recognized academic institutions outside the U.S. ordinarily should have completed degree programs representing a minimum of 16 years of schooling with at least 12 years at the elementary and secondary school level. Applicants holding only professional diplomas or higher certificates in accounting, business, physical education, or health education from universities or technical and vocational schools should not apply. Members of professional associations, such as the Institute of Chartered Accountants, are not qualified for graduate standing unless they also hold recognized university-level degrees or titles.

#### b. Evaluation of International Credentials

The international applicant is expected to have completed the equivalent of a U.S. bachelor's degree with a satisfactory level of scholarship. Academic units are responsible for this assessment. The Graduate Division provides training to academic unit staff on determining equivalency of foreign credentials and offers support in the foreign credential evaluation process during the admissions cycle. Upon request by the academic unit, the Graduate Division can provide an additional review of international transcripts and other credentials, and provide a supplemental evaluation which states equivalency to U.S. degrees and measures of academic standing according to established guidelines for the particular international educational system. For purposes of campus admissions requirements, academic units need only determine that an applicant has the equivalent of a 3.0 GPA and it is not necessary for academic units to determine an exact U.S. GPA equivalent unless the applicant does not meet the 3.0 threshold. This evaluation can be provided only in relation to formal applicants for graduate study at UCI, and only on the basis of official credentials provided as part of a formal application.

Only general information about bachelor's degree equivalency can be provided to a prospective applicant prior to application; for specific credential evaluation prior to application, inquiries may be referred to independent professional agencies that provide this service for a fee. Such evaluations are advisory only, and may not be accepted as the sole basis of admission actions.

#### c. Foreign Academic Records

One set of official records from foreign institutions should be sent directly to the UCI academic unit to which the applicant is applying. All applicants are required to submit official records from each academic institution attended after secondary school. Official records are original documents, issued by the institution, which bear the actual signature of the registrar and the seal of the issuing academic institution. True copies, facsimiles, or photocopies will be accepted only if the photocopies themselves have been personally signed by an academic or public official who has certified that they are exact copies of the original documents. Each certified copy must also bear the seal and title of the authorizing official. Uncertified photocopies are not acceptable. American embassies or consulates are not authorized to certify academic records.

#### d. Required Records

Unless academic records and diplomas are issued in English by the institution, the official records in their original language must be submitted with an authorized, complete, and exact

English translation. All official academic records must show the dates of applicant's enrollment; all subject or course units, credits, or hours; and grades in each subject. If rank is determined by the results of comprehensive examinations, records should show the examination date and applicant's scores, rank, class, and division. All records must include a complete description of institutional grading scales or other standards of evaluation with minimum and maximum grades/marks indicated. The applicant must also submit official evidence of the conferral of all degrees, diplomas, or professional titles and the date of the formal conferral (month and year). These certificates should indicate the exact name of the degree, diploma, or title as it is known in the country of origin and not in American terms. If the applicant is applying prior to the end of the applicant's final year of study, a supplementary record showing completion of all remaining coursework and evidence of the award of the degree must be sent as soon as it is available. If applicant has also attended a university in either Canada or the U.S., including any campus of the University of California including the Irvine campus, the applicant must have the registrar of each institution send an official transcript. Records submitted to UCI will not be copied, returned to the applicant, or sent elsewhere.

f. Verification of Financial Resources

International applicants are required to certify that they possess sufficient funds to cover all fees, transportation, and living expenses for the first year of their studies at UCI. Students who have been admitted for graduate studies at UCI must complete the [I-20/DS-2019 Request for New Graduate Students](#) and submit it to the admitting academic department if the student requires an F-1/J-1 student visa. Upon completion of these forms, and thorough review by the admitting department, paperwork is submitted to the International Center for review and document issuance. This process takes 15 business days; incomplete information may require longer processing times. International applicants who have deferred admission must submit updated documents and forms and an updated financial verification statement before visa documents can be issued. All inquiries regarding verification of financial support or visa documents should be directed to the [International Center](#).

3. Application Deadlines

Each academic program has its own deadlines; some are as early as December 1, while others may accept applications until March 1 or thereafter. Many programs have earlier deadlines for students interested in financial support. Potential students are advised to consult with the academic unit of interest to determine their deadline. International applicants are strongly advised to submit their applications as early as possible.

Please note that late applications will be considered on a space-available basis only. Fellowship and other financial support will depend on funding availability.

Primary Application Window:

The online graduate application will be available: September 1 through March 1. It will close earlier for those individual programs whose deadline is earlier.

Deadline for academic programs to make primary admission offers: April 1.

Preferred Deadline for applicants to submit Statement of Intent to Register (SIR): April 15

Secondary Application Window:

The online graduate application will be available for those programs that want a secondary application timeframe: April 15 through June 1.

Deadline for departments to make secondary admission offers: June 30.

Graduate Division staff will process admissions: June 10–June 30.

Deadline for admitted students to submit SIR: July 15.

#### 4. Graduate Programs with Individual Application Processes

##### a. Paul Merage School of Business Programs

Applicants applying to the UCI Paul Merage School of Business are required to submit a separate online application; the Merage School has a [separate application process](#).

##### b. School of Medicine Programs

Applicants applying to the UCI School of Medicine are required to submit a separate online application; the medical school has a [separate application process](#).

##### c. School of Law Programs

Applicants applying to the UCI School of Law are required to submit a separate online application; the law school has a [separate application process](#).

### ***C. Evaluation of Applicants***

The Graduate Council encourages programs to develop diverse communities of graduate scholars. A transparent admissions process provides assurance to faculty, Graduate Council, and Graduate Division that all applicants are reviewed equitably, as does a holistic review process that takes into account all the elements of the application packages.

To help ensure these goals are met, graduate programs are expected to:

1. Have an established graduate admissions committee, whose term and composition are determined by program faculty. Programs are encouraged to consider committees that are diverse and may be composed of faculty, staff, graduate students and/or alumni, as appropriate.
2. Develop guidelines for graduate admissions. If appropriate, these would be separate for each graduate degree program in the department. They should include:
  - a. Outline of the admissions committee makeup;
  - b. Criteria for evaluation of applicants (such as academic potential, match with program or faculty research, potential contributions to diversity, etc.);
  - c. Procedures and timeline for the review and evaluation of graduate applicants.

These guidelines should be made available to all graduate admissions committee members at the start of each graduate admissions cycle. Beginning in 2022-23 academic year, they should be kept on

files for inclusion in future academic program reviews. Finally, Graduate Council recommends that these guidelines be posted in part or whole on your program website for public transparency as to the admissions process.

#### ***D. Admission Decisions***

##### **1. General Policy**

A major responsibility of the Graduate Dean, in cooperation with the Graduate Advisors and the Departmental Graduate Admissions Committees of the individual graduate programs, is to ensure that each applicant receives fair, reasonable, and timely consideration in the admissions process. When a graduate program admits an applicant, a binding contract has been entered into by the University. The utmost care should be taken that such actions are appropriate and in accordance with campus policy. Graduate Division staff reviews all admission actions on behalf of the Graduate Dean. Programs will be notified immediately when it is determined that such actions do not follow required procedures.

##### **2. The Admissions Committee Recommendation (ACR)**

When a decision has been reached to admit an applicant, the decision has been entered in to Slate, and the applicant has been notified, the Admissions staff will review all admissions to confirm admissibility. Once confirmed, the applicant will officially be admitted, at which time the applicant will receive a congratulatory e-mail with a link to complete the Statement of Intent to Register (SIR) and other pertinent information.

Admission by exception is made by the Graduate Dean. The letter of admission may be sent by the department to the applicant only after notification of the Graduate Dean's approval. The exceptions process is handled through the Slate system and must include a justification for the exception. This information will be used by the Graduate Dean in reviewing the recommendation, and must be completed for applicants with an undergraduate GPA below 3.0, or where other exceptional circumstances apply.

It is important that a decision is made on each application and communicated to the applicant within a reasonable period of time, but at least 30 days before the beginning of the quarter to which admission is requested. The experience of most graduate programs indicates that early offers of admission result in success in the competition for outstanding applicants.

While only the Graduate Division can officially admit an applicant, the academic units should take action on all other open files by coding them as Denied (D), Incomplete (I) or Withdrawn (W). All applicants whose application was denied should be notified in writing by the department.

Departments must communicate to admitted students, via the admission letter, that if they are enrolled in another graduate program at another institution at the time of application, they must get approval to continue in the graduate program at the other institution. If an admitted student is currently enrolled in another graduate program at UCI, they must either complete or withdraw from that program before they register for courses for the graduate program to which they were admitted. This policy does not apply to students enrolled in an approved UCI joint, dual or

concurrent degree program (ex. M.D./Ph.D., J.D./Ph.D., Joint Doctoral Program in Computational Science).

3. Provisional Admission

An applicant may be admitted provisionally, pending receipt of items such as final transcript showing awarding of a bachelor's degree and/or official GRE scores (if required by the graduate program), or other requirements. However, applicants may not be admitted provisionally pending receipt of TOEFL scores unless an unofficial score has been submitted. While students will be allowed to enroll provisionally, all provisions of admission must be satisfied within the first 4 weeks of the second quarter of enrollment. Academic holds are placed on a student's enrollment if the provision is not satisfied and the student may be prevented from enrolling in a subsequent quarter.

4. Conditions of Admission

The graduate program may attach specific conditions to admission, such as the satisfaction of certain coursework requirements during the first academic year. Students may not be admitted with the condition that they obtain a particular score on the GRE or GMAT examination. It is the graduate program's responsibility to notify the student of conditions at the time of admission. A copy of the written notice should be sent to the Graduate Division. Conditions attached to admission should not be construed as probation; i.e., graduate students are not admitted "on probation".

5. Denials

a. Notice of Denial

If the academic program denies admission to an applicant, a denial notice should be sent to the unsuccessful applicant as soon as possible after a decision is made. The department should code the application as D (Denied) in the system.

b. Denial - Application Incomplete

Where there is not sufficient information for action by the Departmental Graduate Admissions Committee in time to allow admission for the specific requested quarter, the academic department should code the application I (Incomplete).

c. Appeal of Admissions Decision

To learn more about the factors that led to the decision to deny admission, the applicant should contact the specific graduate program. An applicant who then wishes to appeal the decision should contact the Graduate Dean; the Dean has final authority to decide admissions appeals. In cooperation with the academic unit, any complaint that due process was not accorded, or that the result was in some way affected by illegal bias, will be carefully investigated. The Dean will review the earlier recommendation of their Departmental Graduate Admissions Committee and determine the next course of action. Should the Dean determine admission may be reconsidered, the academic department will be contacted, and asked to re-review the applicant's file again. Note that there is no guarantee of a different outcome. Whether or not the earlier



recommendation is changed to favor admission of the applicant, the result is communicated to the applicant via letter sent by the Graduate Division.

#### 6. Deferral of Admission/Postponement of Matriculation

When an applicant has been admitted to pursue graduate study at UCI, a request for deferral of admission is considered a request for admission to a later quarter. The request for deferral must be made in writing to the academic program and will be reviewed by the Graduate Advisor or Graduate Admission Committee Chair. Deferrals may be granted for a maximum of three quarters following the original quarter of admission at the discretion of the academic program. The deadline for requesting a deferral of admission is the end of the second week of classes in the quarter of initial admission. Deferral letters will be sent to applicants by the academic unit.

#### 7. Rescinding Admissions

Applicants must complete their UCI application completely and accurately, and the truthfulness of that information is at the core of all admission decisions. Falsified application information may include but is not limited to making inaccurate statements on the application, withholding information requested on the application, giving false information, or submitting fraudulent and falsified documents in support of the admission application. When an applicant submits their application, they must also attest that they certify that the content of their application is true and complete. They also affirm that all supporting documents, including transcripts, are accurate and that their letter writers submitted the letters of recommendation.

The Graduate Dean has the authority to rescind a student's admission if it is determined that the student gave false information or submitted fraudulent or falsified documents as part of their application. In addition to having their admission rescinded, the Graduate Division will instruct the Registrar to expunge the former student's academic record as a graduate student and revoke the graduate degree, if either is applicable. The Graduate Dean, graduate program, department, or school may initiate the investigation of a student's application.

#### Procedures for Rescinding an Admission Decision

##### 1) Review of the Student's File

The Graduate Dean will review the student's file to determine whether the student included false information or submitted fraudulent or falsified documents as part of their application. The Graduate Dean will also review any supporting documentation submitted from the graduate program, department, school, or other relevant units.

##### 1) Graduate Dean's Notice to Student

The Graduate Dean will inform the student in writing via an email to the student's UCI email account (if a current student), the email provided on their application (if a newly admitted student), or the known email (if a former student), that UCI is considering rescinding their admission and the reason why.

##### 2) Student's Right to Present Their Case

The student shall have the right to present their case in writing. As a component of the Notice to the student and contained in the same written communication, the graduate student will be informed that they have the right to present their case to the Graduate Dean in writing within

14 calendar days of the date of the Notice. The Graduate Dean will not meet with the student as part of the appeals process.

3) Graduate Dean Review

After the 14-day period, the Graduate Dean will review the student's application, any supporting documentation submitted from the graduate program, department, school, or other relevant units and any materials submitted by the student. If, after reviewing these materials, the Graduate Dean concludes, by a preponderance of the/clear and convincing evidence, that the student included false information or submitted fraudulent or falsified documents as part of their application, then the Graduate Dean will rescind the student's admission. Otherwise, the Graduate Dean will not rescind the student's admission.

4) Student's Status During the Review Period

While the case is being considered, an admitted student who has yet to matriculate cannot enroll in courses or pay tuition and fees. Students currently enrolled in courses can remain enrolled during the review period.

5) Notification of Decision by the Graduate Dean

The Graduate Dean will inform the student in writing via an email to the student's UCI email account (if a current student), the email provided on their application (if a newly admitted student), or the known email (if a former student), of the Graduate Dean's decision to rescind or not to rescind admission. The Notification will be in writing and include factual findings and the Graduate Dean's rationale, referring to the standard of proof described above. If the Graduate Dean rescinds the student's admission, the student will not be allowed to enroll in courses, and the former student's academic record as a graduate student will be expunged and their graduate degree revoked, if either is applicable. If the Graduate Dean does not rescind admission, a non-matriculated student will be allowed to enroll in courses and pay fees for the most recent quarter, where enrollment is still allowed.

The Notification of Decision will state that the student has 14 calendar days from the date of the Notification of Decision to appeal the Graduate Dean's decision. If the graduate student does not respond within 14 calendar days of the Graduate Dean's notification of rescission of admission, the Graduate Dean's decision shall be final. Once the decision becomes final, the Graduate Division will instruct the Registrar to expunge the former student's graduate academic record and revoke their degree, if either is applicable.

A student whose admission was rescinded will not be allowed to be admitted to any graduate program at the University of California, Irvine, including the original graduate program or any other graduate program, without the approval of the academic unit and the Graduate Dean.

6) Graduate Student's Right to Appeal

The student shall have the right to appeal their case to the Graduate Council. If the student wishes to appeal the Graduate Dean's decision, the graduate student must request an appeal in writing within the 14 calendar-day period and send it to the Graduate Dean via email. The Graduate Dean will forward the student's appeal to the Graduate Council for review.

#### 7) Student's Status During the Appeal

While the case is being considered, an admitted student who has yet to matriculate cannot enroll in courses or pay tuition and fees. Students currently enrolled in courses can remain enrolled during the review period.

#### 8) Graduate Council Review

The Graduate Council will assign the case to their subcommittee on rescinding admissions, which will review the appeal, collect additional material if necessary and make a recommendation to the Graduate Council. The Graduate Council will then vote on a decision. The recommendation and vote will be conducted with only voting members, and the Graduate Council Analyst who serves as the record keeper for the Council minutes, present. The Graduate Council's decision will send its written decision, including any factual findings and its rationale, to the Graduate Dean within 14 days.

#### 9) Final Determination Notice

Upon receipt of the Graduate Council's decision, the Graduate Dean shall formally communicate the final decision to the student and all relevant parties in writing. If the Graduate Council reverses the decision to rescind admission, a student who has yet to matriculate will be allowed to enroll in courses and pay fees for the most recent quarter, where enrollment is still allowed. If the Graduate Council upholds the Graduate Dean's decision, the Graduate Division will instruct the Registrar to expunge the former student's graduate academic record and revoke their degree, if either is applicable.

### ***E. Readmission***

A student who has previously withdrawn from UCI, or whose student status has lapsed, may request readmission by submitting a new Application for Graduate Study. Readmission is not guaranteed.

Payment of the non-refundable Application Fee is required. A new statement of purpose and transcripts of any additional academic work completed since first admitted to UCI must be submitted, and submission of new letters of recommendation (if required by the program) is advised.

All applications for readmission are subject to the same careful review as those of new applicants. If readmitted, a student's previous academic work will be applied toward the requirements for an advanced degree only with the approval of the program Graduate Advisor and the Graduate Dean. A readmitted student must satisfy the academic requirements in effect at the time of readmission and may be required to satisfy certain requirements a second time, including course requirements and 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. Prior to formal readmission, the applicant should be advised in detail about the requirements which must be satisfied for completion of the advanced degree, and in most cases, a timetable for completion should be established. The Graduate Division should be consulted if there is any doubt about the requirements. A copy of the letter conveying the correct and complete advice to the applicant for readmission should be sent to the Graduate Division with the ACR.

### III. FELLOWSHIPS AND GRANTS

#### A. *Graduate Student Support at UCI*

Financial support is available to most graduate students at UCI. Types of support include, but are not limited to, fee fellowships, nonresident supplemental tuition fellowships, stipend support, student loans, merit-based fellowships, diversity fellowships, and academic student employment performing teaching and/or research assistance. This section will discuss the various fellowship opportunities afforded to UCI graduate students. For information concerning employment, please refer to Section IV on Academic Appointments and Graduate Student Employment.

#### B. *Fellowships*

##### 1. Types of Block Allocation Fellowship Support

UCI's fellowship funds are administered by the Graduate Division in close cooperation with the academic units. The Graduate Dean makes annual block allocations of fellowship funds to the academic units, via the respective academic dean; funds are then distributed to the academic units who have discretion over awarding fellowships to their graduate students. Fellowship awards may be in the form of payment of fees/tuition and/or nonresident supplemental tuition, and/or a stipend.

##### a. Fee/Tuition Fellowships

Fee/tuition fellowships pay all or a part of a student's assessed fees/tuition, exclusive of nonresident supplemental tuition.

##### b. Nonresident Supplemental Tuition (NRST) Fellowships

- 1) Ph.D. students who are U.S. citizens or permanent residents of the United States may be awarded nonresident supplemental tuition (NRST) fellowship support on the basis of outstanding scholarship for a maximum of one year (three quarters). Students who are U.S. citizens or permanent residents of the United States are expected to establish California residency prior to their second year of study.
- 2) International Ph.D. students who have demonstrated outstanding scholarship and academic progress may receive nonresident supplemental tuition fellowship support. Following advancement to candidacy, international doctoral students will not be assessed NRST for a period of up to three consecutive calendar years. Any such student who continues to be enrolled or who re-enrolls after three years will be charged the full NRST that is in effect at that time. Quarters on Leave of Absence or Filing Fee count toward the allowable three calendar years.

##### c. Stipend Fellowships

Stipends may be provided in any amount; it is suggested that stipends should be at least equivalent to the salary a student would earn as a TA or GSR/GSAR if the student will not be receiving support via employment.

##### d. Dissertation Fellowships

Dissertation Fellowships provide support to outstanding continuing graduate students in order to facilitate timely completion of a high quality dissertation. Awards are made directly by the academic unit or by the Graduate Dean. These awards are intended to relieve the Fellow from service obligations for full-time attention to dissertation completion; therefore employment may be either limited or prohibited while receiving a dissertation fellowship. Awards may be for one quarter, two quarters, or three quarters and are not renewable past one year.

- 1) Dissertation fellowship stipends should be at least equivalent to the salary a student would earn as a TA or GSR/GSAR; in addition, these fellowships will cover regular student fee/tuition costs, exclusive of nonresident supplemental tuition.
- 2) Dissertation fellows may not hold any employment appointment during the fellowship period, depending on the restrictions of the award.
- 3) Nominees must already have formally advanced to candidacy for the Ph.D. Successful completion of the Ph.D. is expected no later than three quarters after the fellowship tenure; certain dissertation fellowships may require completion within one quarter after the fellowship award period.

## 2. Special Fellowships

The Graduate Division offers a number of different fellowships that are merit-based and are generally for continuing graduate students with special qualifications. Funding is provided through internal Graduate Division resources or endowments and is awarded via a competitive process to students who meet specific criteria for the respective award. Awards normally pay all or part of student fees/tuition, and/or a stipend. Awards in these categories may in some cases be in addition to departmental support. A list of these fellowships is found on the [Graduate Division website](#). Nomination/application instructions and eligibility criteria vary.

## 3. Extramural Fellowship Information and Advising

The Graduate Division receives information about extramural fellowship and grant opportunities, and provides assistance to students who wish to apply for support from federal agencies, foundations, and other non-University sources. From time to time special notices of fellowship competitions administered by the Graduate Division will be distributed via e-mail. Each year, the Graduate Division offers workshops for graduate students interested in various extramural fellowship programs. Visit the Graduate Division website for more information.

The Graduate Division also subscribes to an electronic grant database: [Pivot](#). Pivot combines the most comprehensive, editorially maintained database of funding opportunities worth an estimated \$66 billion with a unique database of 3 million pre-populated scholar profiles. Information on extramural awards is available on the [Graduate Division website](#).

## ***C. Pre-Doctoral Fellowship Policies***

This section describes campus policies and procedures related to graduate student fellowships or scholarship awards that are administered by the University. These may include both University (intramural) and extramural fellowships depending upon the type of award.

### 1. Definition of Intramural Fellowship

An intramural fellowship is defined as a University funded award that is offered to a graduate student formally admitted for graduate study in a Doctoral or Master's program. University funded fellowships or scholarships are awarded primarily on the basis of outstanding scholarly achievement and promise. Awards are offered by the academic units to enable graduate students to pursue study leading to an advanced degree without requiring any service obligations. Fellowships are not to be used in lieu of employment compensation for services performed by the student to the University. An intramural fellowship award may include a stipend, student fees/tuition, summer research support, payment of nonresident supplemental tuition (NRST), or a combination thereof. Additional support may be provided to a student through on-campus employment offered by the department or via extramural support. (See [Section IV](#), Academic Appointments and Graduate Student Employment.)

## 2. Definition of Extramural Fellowship

An extramural fellowship is defined as an award that is funded by sources external to the university and intended to financially support a graduate student formally admitted for graduate study in a Doctoral or Master's program. Extramurally funded fellowships, grants, or scholarships are awarded primarily on the basis of outstanding scholarly achievement and promise. Awards are typically funded by federal or state agencies, benefactors of UCI, or other entities separate from UCI. Institutional awards, commonly in the form of federal grants, are awarded to a specific academic unit for student support. Traineeship appointments and fellowship recipients are decided at the academic unit level. Examples are the Department of Education GAANN, NIH/PHS training grants and NSF Research Traineeships.

UCI serves in a custodial role and usually administers the funding including payment to the student. An extramural award may include a stipend, student fees/tuition, summer research support, payment of NRST, or a combination thereof. If consistent with the external agency's guidelines, additional support may be provided by the student's department via intramural or university fellowship or employment.

## 3. Responsibility

Campus policies and procedures related to University administered fellowships or scholarships are under the jurisdiction of the Graduate Council and the Graduate Dean. Nominees for these awards are evaluated on the basis of criteria established by the Graduate Council in consultation with the Graduate Dean. Individual academic units are authorized to make awards directly to students from their annual block fellowship allocation and other sources. However, final responsibility for University administered fellowships (intramural and extramural) and for the establishment and monitoring of policies and procedures related to their administration rests with the Graduate Division.

## 4. Criteria for Awards

### a. Admission to Graduate Study

Fellowship nominations and award letters for students applying for graduate admission must be preceded by formal admission by the academic program and the Graduate Division. Under certain conditions, the admission letter may contain a fellowship offer. The student's academic unit can provide further information.

### b. Full Time Graduate Student Status

Award recipients must register (enroll and pay fees/tuition) at UCI by the established deadline each academic quarter, and devote full time (12 quarter units) to graduate study and/or research in the field for which the award is made. Fellowship support will not be given to students with part-time status. Please note, graduate programs can request an exception to this policy if the program does not require students to enroll in 12 quarter units to be considered a full-time student.

c. Leave of Absence

A graduate student may not retain a fellowship while on leave of absence. Deferment of fellowship offers to a different quarter than that quarter originally offered may not be allowed.

d. Non-degree or Filing Fee Status

Graduate students in non-degree status are not eligible for fellowship support. Similarly, graduate students may not receive fellowship support while on Filing Fee status, except during the summer.

5. Responsibility of Successful Nominees

Newly entering students who receive an award must:

- a. Accept or decline the award offer by April 15 in accordance with CGS guidelines (see 6 below) or notify their academic unit if they cannot meet this deadline.

Both newly entering and continuing students who receive an award must:

- b. Students who are U.S. citizens or U.S. Permanent Residents must submit a [Free Application for Federal Student Aid \(FAFSA\)](#) to the designated processor (as indicated in the application) whether or not they believe they qualify.
- c. Students who are non-U.S. citizens are required to complete and submit tax-related information via the [GLACIER System](#).
- d. Register at UCI each quarter and devote full-time (12 quarter units) to graduate study and/or research during the tenure of the award (Please note, graduate programs can request an exception to this policy if the program does not require students to enroll in 12 quarter units to be considered a full-time student.); and
- e. Earn a letter grade of B, S, or above in all courses completed during each of the three most recent quarters of enrollment.
- f. Earn no more than two Incomplete (I) grades during each of the three most recent quarters of enrollment.
- g. Earn a cumulative GPA of 3.0 or higher during each of the three most recent quarters of enrollment.
- h. Make satisfactory academic progress toward the degree objective.

## 6. Council of Graduate Schools in the United States Resolution

As a member of the Council of Graduate Schools in the United States, UCI subscribes to the Council's resolution concerning graduate fellowships which states:

"Acceptance of an offer of financial support\* (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by a prospective or enrolled graduate student completes an agreement that both student and graduate school expect to honor. In that context, the conditions affecting such offers and their acceptance must be defined carefully and understood by all parties. Students are under no obligation to respond to offers of financial support prior to April 15; earlier deadlines for acceptance of such offers violate the intent of this Resolution. In those instances in which a student accepts an offer before April 15, and subsequently desires to withdraw that acceptance, the student may submit in writing a resignation of the appointment at any time through April 15. However, an acceptance given or left in force after April 15 commits the student not to accept another offer without first obtaining a written release from the institution to which a commitment has been made. Similarly, an offer by an institution after April 15 is conditional on presentation by the student of the written release from any previously accepted offer. It is further agreed by the institutions and organizations subscribing to the above Resolution that a copy of this Resolution or a link to the URL should accompany every scholarship, fellowship, traineeship, and assistantship offer."

\*This Resolution applies to offers of financial support only, not offers of admission.

## 7. Conditions of Awards

### a. Limitation of Fellowship Stipends

The Graduate Dean, in consultation with the Graduate Council and the student's home department, determines the appropriate level of intramural fellowship stipends to be awarded from University fellowship funds.

### b. Supplementation Policy

With prior approval of the Graduate Dean, graduate student fellowships or traineeship stipends administered by the University may be supplemented subject to the following provisions:

- 1) Continued full-time satisfactory progress toward the degree objective is required. Any traineeship must be related to the student's academic program.
- 2) All limitations, rules, and stipulations of the particular fellowship or traineeship by the outside agency or sponsor must be honored.
- 3) If employment is in applicable teaching title codes, any appointment is subject to the terms and conditions of the collective bargaining agreement between the University of California and the UAW.
- 4) Students receiving Dissertation Fellowships and some Diversity Fellowships are subject to limitations or prohibition on employment. Any such restrictions will be noted in the award letter terms and conditions.



- 5) For students eligible for both a University funded fellowship and an extramural fellowship, the University funded portion of the award will be limited to an amount which, together with the extramural award, brings the total amount to the maximum University funded fellowship award. If the extramural award provides for payment of fees and/or tuition, the extramural award takes precedence over University funded fellowships and remission for those expenses.
- 6) There is no specified limitation on extramural fellowship awards. The Graduate Dean will review the level of extramural fellowships awarded and consult with the Graduate Council in those cases where the award may appear excessive.
- 7) However, limitations on accepting employment or other support while receiving support from an extramural fellowship award may exist. Please refer to the respective extramural award conditions and guidelines.

#### ***D. Research Support***

In evaluating research support vis-à-vis fellowship support, note that campus policy requires the remission of all fees/tuition and nonresident supplemental tuition, if applicable, for GSRs/GSARs appointed at least 25% time for the entire quarter. Remission expenses are to be debited to the salary funding source. Under most circumstances, fellowships may not be used to pay fees and/or tuition when a remission-eligible appointment exists. See Section IV.B.3. GSR and GSAR Appointment Benefits.

### **IV. ACADEMIC APPOINTMENTS AND GRADUATE STUDENT EMPLOYMENT**

#### ***A. Graduate Student Teaching Appointments (Teaching Assistant, Teaching Associate [Associate In], Reader, and Tutor)***

Experience as a teaching assistant is considered an important component of the graduate educational experience. Many graduate programs require students to serve as teaching assistants, and almost all programs expect graduate students to serve in a teaching capacity sometime during the course of their graduate programs.

The primary teaching responsibility of the University of California is vested in the faculty. Graduate student teaching responsibilities generally include assistance in such activities as classroom/laboratory teaching, leading discussion groups, office hours, conferences with students, preparation of materials for instruction, proctoring examinations, and correcting student papers and examinations. Academic appointment criteria for graduate students, as stated in this guide, are minimum University standards and requirements. Individual academic unit faculty retain the prerogative to apply stricter standards for teaching appointments within their academic unit.

NOTE: UCI Academic Student Employees (ASEs) appointed as Teaching Assistants, Teaching Associates (Associate Ins), Readers, and Tutors are covered by a [collective bargaining agreement](#) between the Regents of the University of California and the Student Workers Union, International Union, United Automobile, Aerospace and Agricultural Implement Workers of America (UAW).

#### Academic Student Employee Titles (ASEs)

##### **A. Teaching Assistant**

An academically qualified and registered graduate student in full-time residence chosen for excellent scholarship and for promise as a teacher, who is assigned to assist in the delivery of instruction under the active supervision of a faculty member. A majority of graduate students who perform instructional functions are assigned to the Teaching Assistant title.

### **Responsibilities**

- Assist the supervising faculty member by conducting discussion, laboratory or quiz sections that supplement faculty lectures
- Grading assignments or examinations
- May provide input into the development of assignments or exams, and hold office hours

The final responsibility for the content of the course rests with the supervising faculty member. A Teaching Assistant is not independently responsible for the instructional content of a course, selection of assignments, planning, examinations, and determination of student grades or decisions on grade appeals; and is not assigned full instructional responsibility for an entire course.

### **B. Teaching Associate (Associate In)**

An academically qualified and registered graduate student in full-time residence employed temporarily to teach a lower-division course. A graduate student, upon recommendation from the department head, may be assigned an upper-division course or course section (non-graduate level course only) with the written approval of the Graduate Dean and the UCI Academic Senate's Subcommittee on Courses. Such approval must be obtained in writing prior to the student beginning their assignment/appointment.

### **Responsibilities**

- Assist in the instruction of any lower-division course or
- May be assigned to conduct the entire instruction of a lower-division course

All instructional activities of graduate student Teaching Associates are to be supervised by a faculty member. A Teaching Associate with extensive teaching experience may be presumed to require less direct supervision.

### **C. Reader**

An academically qualified and registered graduate student (or qualified undergraduate student may be employed when graduate students are not available) employed as a course assistant. A Reader will not be given the responsibilities customarily assigned to Teaching Assistants.

### **Responsibilities**

- Grading of homework, papers, laboratory reports, or examinations and
- Holding of office hours to respond to students' questions about such assignments

### **D. Tutor**

An academically qualified and registered graduate or undergraduate student who provides tutoring to individuals (one-on-one) or small groups of students.

### **Responsibilities**

- Facilitate independent learning and
- Assist students in understanding course materials.

## **B. Graduate Student Researcher Appointments (GSR and GSAR)**

Experience as a graduate student researcher is considered central to the preparation for a future career whether in an academic or research environment. Depending on the field, students may begin work in research under the direction of a faculty advisor at various times following admission. Pre-dissertation and dissertation research are all guided by the same principles concerning ethical issues and classified or proprietary research.

Responsibility for conducting research at the University of California is vested in the faculty. In some fields, graduate students may serve as research assistants on sponsored research grants or contracts under the guidance of a faculty member. The degree to which the research performed by a student is independently conceived and conducted will vary depending on both the nature of the field of research and the sponsorship. Academic appointment criteria for graduate students, as stated in this manual, are minimum University standards and requirements. Individual academic unit faculty retain the prerogative to apply stricter standards for research appointments within their academic unit.

NOTE: UCI Graduate Student Researcher appointments are covered by University academic personnel policies.

### **1. Graduate Student Researcher**

An academically qualified and registered graduate student, enrolled full-time, who performs research *related* to his or her degree program in an academic department or research unit under the direction of a faculty member or authorized Principal Investigator. The Graduate Student Researcher may or may not collaborate in the publication of said research.

### **2. Graduate Student Assistant Researcher**

An academically qualified and registered graduate student, enrolled full-time, who performs research under the supervision of a Principal Investigator on a research project which is *not related* to the student's degree program.

#### **Academic Qualifications for ASEs and Graduate Student Researchers:**

##### **1. Enrollment Requirement:**

For *new and continuing* graduate students:

- Enrollment in at least 12 units (full time) during the current quarter

*ONLY Readers and Tutors employed at 25 percent time or less may be enrolled part time. (max. 8 units)*

- Combined campus wide employment of no more than 50 percent time (220 hours of assigned workload) *or less* during any academic quarter.

## 2. Grade/GPA Requirement:

For *continuing* graduate students, during each of the three most recent quarters of enrollment:

- Completion of 8 units or more of upper division or graduate level credit courses.
- A letter grade of C, S, or above in all courses completed.
- No more than two incomplete (I) grades except where stricter school policies apply.
- A cumulative GPA of 3.1 or higher for Teaching Assistants (TA) and Teaching Associates (Associate In)
- A cumulative GPA of 3.0 or higher for Graduate Student Researchers (GSR), Graduate Student Assistant Researchers (GSAR), Readers and Tutors
- Satisfactory academic progress toward the degree objective
- *For Readers only:* Should have taken and received at least a letter grade of B in the course or equivalent for which the student is being recommended for appointment

## Additional Academic Qualifications/Limitations for Teaching Assistants and Teaching Associates

### 1. Teaching Assistant/Associate Quarter Limit

Teaching Assistant/Associate appointments may not exceed 12 quarters prior to advancement to candidacy. Students must advance to candidacy towards their Ph.D. in order to be employed as a Teaching Assistant/Associate beyond 12 quarters. Teaching Assistant/Associate appointments cannot exceed 18 quarters total per student. Any quarter in which the student is appointed and compensated, at any amount/rate or percent time, is counted toward this maximum. This policy applies irrespective of whether a student enrolls in more than one academic program. **Under no circumstances will a 19<sup>th</sup> quarter exception be granted.**

### 2. Doc2A Definition & Guidelines

(Updated by Graduate Council 12/2013)

By definition, a Doc2A student is enrolled more than nine (9) quarters past their advancement to candidacy for the Ph.D. The Doc2A quarter count begins with the quarter immediately following their advancement to candidacy date. The university does not receive state funding for students who are in Doc2A status nor are they included in official enrollment counts. Graduate students in Doc2A status may be appointed to GSR/GSAR titles at the hiring department's discretion, provided they meet academic qualifications including enrollment and grade/GPA requirements, and are making satisfactory academic progress; and to ASE titles at the hiring department's discretion if they are within the 18-quarter service limit for Teaching Assistants and Teaching Associates; meet academic qualifications including enrollment and grade/GPA requirements; and meet English language proficiency requirements for Teaching Assistants and Teaching Associates (for international and U.S. permanent resident students who are not citizens of countries where English is the primary or dominant language).

### 3. English Language Proficiency Requirements

(Updated by Graduate Council 3/2021)

An instructor's ability to communicate effectively in English is critically important to the success of students in meeting learning outcomes. Accordingly, all graduate students, except those who have earned an undergraduate degree from an institution at which English was the **sole** language of instruction according to the [World Higher Education Database](#), are required to demonstrate oral English proficiency before they are appointed to Teaching Assistant or Teaching Associate titles. The aforementioned exception will apply only when the undergraduate degree has been earned within five years prior to admission to a graduate program at UCI.

### **Campus-approved Tests**

- **TOEFL iBT** (Internet-based Test of English as a Foreign Language)  
Minimum score: 26 on the speaking section  
The TOEFL iBT is administered by ETS at authorized test centers around the world. Scores are valid for two years after the test date.
- **IELTS** (International English Language Testing System)  
Minimum score: 8 on the speaking section  
There are IELTS test locations in more than 140 countries. Scores are valid for two years after the test date.
- **TOEP** (Test of Oral English Proficiency)  
Minimum score: 5  
The TOEP is administered by the Program in Academic English at UCI. Scores are valid for the duration of the time a student is enrolled at UCI.
- **SPEAK** (Spoken Proficiency English Assessment Kit)  
Minimum score: 50  
The SPEAK is administered by the Humanities Studio at UCI. Scores are valid for the duration of the time a student is enrolled at UCI.

The Graduate Division must receive official score reports from the testing centers and validate that minimum scores have been achieved before departments may extend offers of Teaching Assistant or Teaching Associate appointments.

\*For those graduate students required to demonstrate English proficiency at the time of admission and who have an official TOEFL iBT or IELTS score report on file, a passing score in the Speaking section will remain valid for Teaching Assistant or Teaching Associate appointments for the duration of the time a student is enrolled at UCI.

### **Exemptions**

Students who have received an undergraduate degree in an institution with English as its sole language of instruction and who are more than five years beyond degree may request an exemption to the policy; such exemption requests will be considered by the Program in Global Languages & Communication.

Students appointed to Teaching Assistant or Teaching Associate positions for advanced language courses where the entire course is conducted in a language of instruction other than English are exempt from the English language proficiency requirement in this policy.

### **Limitations and Remediation**

If the head of a unit or appropriate delegate finds sufficient grounds to believe that any graduate student appointed as a Teaching Assistant or Teaching Associate does not have spoken English proficiency adequate for undergraduate instruction, they must require the student to undertake a remediation process, in consultation with the Program in Global Languages & Communication and approved by the student's academic unit, prior to additional appointment as a Teaching Assistant or Teaching Associate. Such a determination should be made on the grounds of inadequate proficiency alone (as indicated in student evaluations, faculty observations, or the like). This remediation process will be required regardless of how the student was initially certified for oral English proficiency (that is, regardless of earning an undergraduate degree at an institution where English was the sole language of instruction or by achieving a passing score on one of the tests noted above).

#### **Academic Unit Responsibilities**

If the academic unit awards a Teaching Assistant or Teaching Associate appointment to an incoming graduate student who fails to be certified in English proficiency, the unit must honor its financial commitment to the student even though the student will not be allowed to serve as a Teaching Assistant or Teaching Associate. It is therefore advisable for units that expect incoming graduate students to serve as Teaching Assistants or Teaching Associates in their first term either to require those students be certified prior to awarding Teaching Assistant or Teaching Associate appointments, by passing one of the tests noted above, or to make the Teaching Assistant or Teaching Associate appointment conditional upon certification and upon meeting all other academic qualifications for employment. Units must provide clear notification of these conditions in their financial support offer letters to incoming students. Units are strongly encouraged to include the following or similar language in all financial support offer letters:

*A condition of all fellowships and Teaching Assistant/Associate and Graduate Student Researcher appointments is that the student maintain satisfactory academic progress, be continuously enrolled as a full-time graduate student, and meet all other university criteria (including but not limited to adequate English language competency for Teaching Assistant or Teaching Associate appointments) to receive campus-based funding. Continued employment is also contingent upon satisfactory performance as a Teaching Assistant/Associate or Graduate Student Researcher.*

#### **4. Teaching Associate Additional Qualifications**

In addition to the general and basic qualifications for Teaching Assistants and Teaching Associates, all of the following additional qualifications apply for appointment as a Teaching Associate:

- 1) A master's degree or equivalent training.
- 2) At least one year of teaching experience (such as that of a Teaching Assistant) within or outside of the University.

To teach an upper division course, a Teaching Associate must meet the following additional requirements:

- 1) Advancement to candidacy for a Ph.D. degree.
- 2) Within normative time-to-degree.
- 3) In advance of the appointment, written approval from the Graduate Dean and the UCI Academic Senate's Subcommittee on Courses.

## Benefits for Graduate Academic Student Employees (ASEs)

### **a. Teaching Assistants, Teaching Associates, Readers and Tutors**

For graduate students who are appointed as Teaching Assistants and Teaching Associates at 25% time (110 hours of assigned workload) or greater, and for graduate students who are appointed as Tutors and Readers for a guaranteed minimum of 110 hours of assigned workload within the respective quarter's service period, the following benefits apply:

- Payment of the Graduate Student Health Insurance Program (GSHIP) premium.
- Partial fee remission: 100% of the sum of the Student Services Fee and Tuition components of a student's assessment. **Note that this does not include payment of Nonresident Supplemental Tuition.**
- Remission of \$100 per quarter to partially cover campus-based fees (**effective with the academic term beginning January 2019**).
- Defined Contribution Plan (DCP) coverage in accordance with UC Retirement Plan. (Summer employment only)
- Childbirth Accommodation Leave (salaried ASE positions ONLY) and Childcare Reimbursement.
- Eligible ASEs may receive up to six weeks of paid Childbirth Accommodation Leave.
- Eligible ASEs may request reimbursement for qualified childcare expenses. Please see the [Graduate Division website](#) for the maximum quarterly amount of reimbursement. Information on these and other employment-related benefits is contained in the [ASE contract](#).

#### **1) Tutors and Readers**

Graduate students who are appointed as Tutors and Readers for *less than 110 hours of assigned work*, but subsequently complete 110 hours or more of work during the quarter will be entitled to reimbursement of the GSHIP premium and the partial fee remission, if paid from personal resources. If a graduate student's fees/tuition and/or GSHIP were previously paid as a fellowship by the academic unit, upon completing 110 hours of work, the academic unit will be given an accounting credit for the costs associated with the partial fee remission and/or GSHIP as applicable. In no case will a student receive a direct cash payment if s/he did not incur any out-of-pocket expense related to fees or GSHIP; nor will the unit receive a credit for GSHIP if the student waived participation in the program.

**NOTE:** After completion of 110 hours of assigned work during the service period by a graduate student Tutor or Reader, whose appointment notification letter did not guarantee a minimum of 110 hours of work, the academic unit is required to provide the following to the Graduate Division:

- A written request via email for reimbursement to the student or an accounting credit to the department, signed by an appropriate departmental designee/authority, which includes the student's name and both the employee and student identification numbers.

The Graduate Division will review the request for reimbursement or accounting credit, approve it for processing, or contact the requesting department for clarification, if needed.

## Teaching Appointment Periods and Limitations

The maximum academic student employee appointment limitation is 50% time (220 hours of assigned workload) during any academic year quarter. The assigned workload determines the percent of time of the appointment.

If a graduate student has more than one appointment, the combination of all campus-wide appointments (including By Agreement appointments) may not exceed 50% time during any academic quarter. This workload includes specific required training (with the exception of pedagogy courses for which enrollment of the Teaching Assistant or Teaching Associate may be required), time in the classroom, preparation time, grading, proctoring and office hours. Readers and Tutors are compensated on an hourly basis. Assigned workload is measured by how many hours the University could reasonably expect an ASE to satisfactorily complete the work assigned. (*Related Documents: APM 110(40); APM 410-17b; APM 410 Appendix A; APM 420-17c; Student Worker Guidelines (UCI/HR Compensation); 8CFR214.2fq*)

**NOTE:** When hiring a student from another academic unit, it is the hiring unit's responsibility to coordinate with the student's home department to determine eligibility for the appointment and to ensure that the student is not precluded from accepting employment because of other support, academic ineligibility, or other employment limitations.

### Selection and Assignment

Among the considerations in departmental decisions regarding appointments of academic student employees (Teaching Assistants, Teaching Associates, Readers, and Tutors) is undergraduate student demand for courses, the availability of funds, and budgeted FTE (full-time equivalent) positions. Since the needs and resources of academic units vary, there is a considerable variation from one academic unit to another in the length and percentage of time for which students may be appointed.

#### a. Campus-Wide Posting of Appointment Opportunities

By March 15<sup>th</sup> of each year, anticipated employment opportunities for Academic Student Employees (ASEs) for the following academic year will be submitted by employing departments and posted on a central campus website.

#### b. Appointment Notification

Individuals offered an academic student employee appointment will be provided with written notification in spring quarter or as soon as practicable after hiring decisions are made.

#### c. Supplemental Documentation

At least 30 days prior to the commencement of a term, or as soon as practicable thereafter, the ASE will be provided with supplemental documentation, including:

- faculty member or supervisor to whom the individual will report;
- the location where the work will be performed, if known;
- the class assigned, if applicable;
- the duties that may be required and;
- other information deemed appropriate by the University that was not included in the initial appointment notification.

The University will provide notice when the above referenced duties are changed significantly.



d. **Training and Orientation**

All required training and orientation is considered part of the workload for the term, with the exception of pedagogy courses in which an ASE may be required to be enrolled. The University may require an ASE to satisfactorily complete required training to begin or to continue their appointment. The University may require that an ASE, who has not satisfactorily completed required training, repeat the training without it counting as workload.

**2) Graduate Student Researchers (GSR) and Graduate Student Assistant Researchers (GSAR)**

***1. Step Progression within Titles***

The Graduate Student Researcher title consists of 10 salary steps. Since inherent differences exist in academic disciplines at UCI, this policy provides flexibility to academic units. Each academic unit has the direct responsibility for establishing and implementing a written plan that ensures equitable compensation and treatment for all graduate students appointed to research positions within their unit.

A copy of the school's written plan(s), and any subsequent revisions, must be placed on file with the Graduate Division. An "academic unit" is defined as a "School" or "functional school equivalent," but may be further re-defined as a "department". The academic units retain the authority to administer all graduate student appointments within their unit. GSR/GSAR salary information is available on the [Academic Personnel website](#).

The Graduate Student Assistant Researcher title consists of two salary steps. Progression may be made from Level I to Level II depending on the student's research experience as determined by the employing unit.

***2. Conditions of Appointment***

To clarify the nature and conditions of graduate student researcher appointments, the Graduate Council requires that each spring quarter all academic units provide the following:

- Display departmental policies and criteria for the selection, appointment, and assignment of graduate student researchers.
- Make explicit the extent to which continuing graduate student researchers in good standing may expect continued support. Continuing students should be notified during spring quarter regarding expected employment status for the upcoming academic year. Departments have an obligation to provide notification as early as possible to students whom they will be unable to support.
- Send an offer letter in writing to graduate student researchers that outlines the nature and conditions of their appointment. The acceptance of an offer of employment is a binding agreement between the graduate student and the employing department.

***3. GSR and GSAR Appointment Benefits***

- Campus policy regarding GSR/GSAR fee and tuition remission applies to all students employed in the GSR/GSAR series with an appointment of at least 25% time for the entire quarter. Each eligible student's total assessed fees/tuition (and nonresident supplemental tuition, if the student does not qualify for California residency status),

must be paid as a condition of their GSR/GSAR appointment. Charges are to be debited directly to applicable extramural awards or other appropriate funding source(s) paying the student's salary when the student registers each quarter. This policy takes precedence over all other types of student appointments.

- Specifically, this policy also requires that, unless prohibited by the funding source, all GSR/GSAR fee and nonresident supplemental tuition remission payments must be debited to the same funding source that funds the GSR/GSAR's salary and other benefits. Since all GSR/GSARs must be treated equally under this plan, campus funding sources (including departmental, fellowship, and other funds) must fund the remission for all eligible GSR/GSARs whose salaries are paid from General UCI Funds. Only if the sponsor generally prohibits remission of student fees may other University funds be used to fund the remission benefits.

**NOTE:** The term "fees" is intended to include all graduate student fees/tuition as listed on the [Registrar's website](#); i.e., Student Services, Tuition, GSHIP, and miscellaneous campus-based fees.

- Childbirth Accommodation Leave and Childcare Reimbursement for GSR/GSARs appointed at 25% time or more for the entire quarter.
- Eligible GSR/GSARs may receive up to six weeks of paid Childbirth Accommodation Leave.
- Eligible GSR/GSARs may request reimbursement for qualified childcare expenses. Please see the [Graduate Division website](#) for the maximum quarterly amount of reimbursement.

#### ***4. GSR and GSAR Appointment Grievances***

Graduate Student Researchers who have concerns related to their appointments should consult with the faculty member in charge of the research activity. If the problem is not resolved by informal discussion it should be brought to the attention of the Department Chair and, if necessary, the Associate Dean or Academic Dean of the respective school. If no resolution can be achieved at the school level, concerns should be brought to the attention of the Graduate Dean.

The Graduate Dean investigates the student's concerns or grievances and determines appropriate resolutions. When circumstances warrant, every effort will be made by the Graduate Dean to protect the confidentiality of the student raising the concern. In cases in which informal procedures do not resolve the conflict, [Section 140 of the Academic Personnel Manual \(APM\)](#) provides formal grievance procedures for Graduate Student Researchers and Graduate Student Assistant Researchers.

### ***C. Other Employment Issues***

#### ***1. Exceptions to Policy***

General Guidelines:

Requests for any exceptions to academic and personnel policies affecting a student's appointment eligibility must be requested in advance by the hiring department chair/head or graduate advisor.

All exception requests must be submitted in writing with appropriate signatures for review by the Graduate Dean. A complete justification and explanation of all relevant facts must be included. Exception requests are reviewed on a quarter-by-quarter basis. The written exception request must include all items as indicated on the checklist at the [Graduate Division Forms](#) page.

## 2. Teaching Associate (Associate In) Requests

Upon written recommendation from the department chair/head or graduate advisor, a graduate student appointed as a Teaching Associate (Associate In) may be assigned to teach an upper-division course or course section with the written approval of the Graduate Dean and the UCI Academic Senate's Subcommittee on Courses. If the hiring department is not the graduate student's home department, the request must also be approved by the appropriate authority, i.e., department chair/head or graduate advisor within the home department. Requests generated from the Schools of Biological Sciences, Engineering, Humanities, ICS, Medicine, Social Ecology, or Social Sciences must also be approved and signed by the school's Associate Dean for Graduate Studies.

The written request must include all items as indicated on the checklist at the [Graduate Division Forms](#) page, be addressed to the Graduate Dean and the Subcommittee on Courses, and be forwarded to the Graduate Student Employment Analyst (120 Aldrich Hall, Zot 3180) for consideration/approval. If approved by the Graduate Dean, the request will be forwarded to the UCI Academic Senate's Subcommittee on Courses for review and notification of the decision to the hiring department. Sufficient time, i.e., 5-6 weeks minimum, is required for the approval process. Final approval must occur prior to the issuance of an appointment notification to the graduate student and prior to the beginning of the teaching assignment.

## 3. Service Limitations

During any academic year quarter, a graduate student may not be appointed in any capacity by the University of California beyond a maximum of 50% time. The purpose of this University-wide policy is to limit the amount of time graduate students devote to University activities that do not lead directly to the successful completion of their academic degree program requirements in a timely manner. (*Related Documents: APM 110 (40); APM 112 (39); APM 410-17b.; APM 410 Appendix A; APM 420-17c.; Student Worker Guidelines (UCI/HR Compensation); 8CFR 214.2f9*)

Graduate students are encouraged to voluntarily participate in worthwhile University or community activities such as student government, but they must make satisfactory progress toward their primary academic degree objectives. Before accepting additional obligations (compensated or not), graduate students are urged to consult their Graduate Advisor or the Associate Dean of their academic program.

## 4. Late and Retroactive Appointments

It is expected that ASEs and GSRs/GSARs will be appointed to relevant titles no later than the beginning of the quarter.

Exception letters will be required if a department wishes to appoint a graduate student retroactively, two weeks or more beyond the start of the normal service period. A written exception request should be addressed to the Graduate Dean and forwarded to the Graduate Student Employment Analyst (120 Aldrich Hall, Zot 3180), and must be approved prior to entering the appointment into the University's payroll system. An exception is not required for a

retroactive fund change. Consult your Contracts and Grants Officer if the retroactive fund change is against an extramural fund source and applies to over 120 days ago.

Exception requests resulting from a delay in grant funding cannot be approved. Any late appointment exception requests must be infrequent and will be reviewed on a case-by-case basis.

5. Appointments between Academic Sessions

Graduate students, other than those receiving agency-restricted fellowship or training grant stipends, may be appointed full-time between academic year sessions (quarters) or during a summer recess. During these periods, aggregate compensated UC employment in a given month may not exceed 100% time. (*Related Documents: APM 110 (40); 8CFR 214.2f9*)

6. Employment of Part-Time Graduate Students

Preference for employment will be given to full-time graduate students (enrolled in 12 units or more). Part-time graduate students (enrolled in 8 units or less) may be appointed as Readers, Tutors, or in other appropriate titles, but combined campus-wide employment cannot exceed 25% time (110 hours of assigned workload) during any academic quarter.

7. Employment of Graduate Students Participating on Training Grants

a. Student Employment

It is recognized that trainees may need to seek part-time employment coincidental to their training program to further offset their expenses or to meet academic degree requirements. The academic units may provide additional funds in the form of employment (as salary and applicable fee/tuition remission) for services such as a TA, GSR, Reader, etc. but only on a limited part-time basis. UCI's Graduate Council defines limited part-time basis as employment not to exceed 75% time over the three quarters of an academic year; e.g., 25%-time for the fall, winter, and spring contiguous quarters would result in the maximum limit. Aggregate employment shall not exceed 75% for one academic year session.

b. Student Compensation Paid from Research Grants

Training grants may not be used to fund student employment. If a student supported on a training grant is also employed on another research grant, the project must be separate and unrelated to the research funded by the training grant. Such employment may not interfere with, detract from, or prolong the student's training program.

8. Employment of Students Registered in Self-Supporting Programs

Graduate students registered in self-supporting programs may be hired as an ASE. Self-supporting students should only be considered in the event that it is impossible to identify and appoint 1) a qualified PhD student, not necessarily in the same school or discipline; and 2) a qualified state-supported master's student, not necessarily in the same school or discipline. Self-supporting students must meet the same academic standards as state-supported graduate students hired as TAs. Students must also meet the same English proficiency requirements as state-supported students in order to be appointed as a TA. Note that waiving the English proficiency requirement for admissions purposes does not exempt a student from meeting the TA requirement for English proficiency.

Self-supporting students serving as TAs must undergo the same TA training as state-supported graduate students and demonstrate that they have a sufficient teaching foundation (i.e., TAPDAP).

#### Funding source for ASE salary and remission

Salary and remission should be covered by the hiring unit.

- If the self-supporting student will be an ASE for an SSGPDP, then the salary and remission must be paid with self-supporting program revenues or other discretionary funding sources available to the program.
- If the self-supporting student will be an ASE in a state-supported program, then the salary may be charged to the regular TA instructional salary funding source; however, remission must be paid from other discretionary funds.
- In no case shall remission costs be paid by campus TA remission budget allocations.

#### ASE Fee remission

- The fee remission paid on behalf of a self-supporting student will be paid as all other remission is paid, i.e., as a fee credit posted to the student's Student Billing System (SBS) account. Under no circumstances will the funds be provided directly to the student. The amount of fee remission is equal to the amount of remission paid on behalf of a student in a state-supported program for the Tuition and Student Services components of a student's fee assessment.
- The remission should be based on in-state remission and should not include NRST.
- As with a student in a state-supported program, if the student in a self-supporting program is charged and does not waive out of GSHIP, the GSHIP amount will be included in the fee remission. In no case will fee remission exceed the total charges the student pays to the SSGPDP.
- If the fee remission total exceeds the total program fee(s), the remission will be reduced accordingly.

### 9. Employment of Students Registered in the Medical Doctorate Degree Program

Due to the academic rigor of pursuing a Medical Doctorate (M.D.) degree, students registered in the program are not eligible for appointments in student employment titles.

### 10. Employment of Graduate Students from Other UC Campuses

If eligible, graduate students from other UC campuses may be employed at UCI. These UC graduate students could include visitors, intercampus exchange students, or those enrolled in a multi-campus program. No graduate student from another UC campus is permitted to begin an appointment that has not met all of the applicable academic criteria and completed the process outlined below:

- Written approval from the student's home department.
- Written approval from the home campus and UCI Graduate Division.
- Verification that the graduate student has registered and paid appropriate fees at the home campus is required prior to commencement of employment at UCI.

Verification that student meets UCI academic criteria (see Academic Student Employee Titles (ASEs))

- Submission of an exception request, if appropriate

## 11. Taxation of Student Wages

Compensation or wages for a Graduate Student Researcher, Graduate Student Assistant Researcher, Teaching Assistant, Teaching Associate (Associate In), Reader, and Tutor are paid through the University payroll system and are subject to federal and state tax withholding.

## 12. Academic Credit for Supervised University Teaching

For academic units that appoint graduate student Teaching Assistants, the Registrar has assigned appropriate course codes and listed a 399 course titled "University Teaching" in the Schedule of Classes. Although use of such a course is not required, it is recommended that graduate students who engage in supervised University teaching (under the supervision of a member of the UCI faculty) enroll for one to four units of 399 credit per quarter only when this activity is part of the student's training. All University Teaching (399) courses are graded on a Satisfactory/Unsatisfactory basis only. Grades cannot be used to evaluate or discipline teaching assistants on their employment.

## 13. Volunteers & Other Titles

Students performing the duties of an ASE (Academic Student Employee) must be appropriately appointed in an ASE title and compensated through the Irvine payroll system for their time and effort. Students **may not** perform ASE duties while appointed in other academic or staff titles, or as volunteers. Additionally, the stipend from a fellowship **may not** be used as a substitute for salary for an academic appointment.

# V. ENROLLMENT AND REGISTRATION POLICY: STUDENT STATUS

## A. *Academic Residence Requirements*

### 1. Academic Year

[\*\(Irvine Regulations \[IR\] SR 688, 690, and 694\)\*](#)

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 cases where off-campus study conforms with Senate Regulation 694, which addresses UC requirements for higher degrees, and is approved by the Graduate Dean in consultation with the student's respective academic unit, no graduate student will be recommended for any degree who 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 the candidate is 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 a 10-week Summer Session, which counts as one term of residence provided the candidate is enrolled for the equivalent of at least four units of upper division and/or graduate work as given in a regular quarter. For a candidate for a Master's degree, the same basic criteria apply except that the two six-week Summer Sessions need not be consecutive.

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

All new graduate students, and students returning from one year of academic leave of absence, are required to complete and submit a *Statement of Legal Residence* to UCI's Registrar's Office to determine their official residency status. Questions about California residence and nonresident supplemental tuition should be directed to the UCI Residence Deputy in the Registrar's Office at (949) 824-6124 or [regres@uci.edu](mailto:regres@uci.edu). More information about California Residency classification is available at the [Registrar's website](#).

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

### **1. Full-Time Enrollment/Registration**

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

NOTE: The campus's 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. Academic units should therefore strongly encourage their students to register no later than the end of the third week of classes. Failure to do so will result in reduced student funding for UCI as well as a lapse of status for the student. Graduate advisors are further encouraged to give careful consideration to the validity of reasons for student requests for leave of absence or Filing Fee status before recommending approval. ([Section V. C. Registration Policy](#)).

*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.

### **2. Part-Time Enrollment/Registration**

In most instances completion of an advanced degree at UCI requires full-time study. However, UCI recognizes that a legitimate need may exist for part-time study, and it may be allowable under certain circumstances, if academically feasible. Part-time status generally applies to enrollment in part-time master's degree programs. However, on the recommendation of the academic unit, students admitted to a Ph.D. program may be approved by the Graduate Dean for part-time status on an *ad hoc* basis for up to three consecutive quarters.

Requests for part-time status must be submitted in writing to the Graduate Dean and signed by the Departmental Faculty Graduate Advisor (some schools require, in addition, the signature of the Associate Dean for Graduate Studies in the academic unit).

UCI policy defines part-time enrollment at the graduate level during the academic year as enrollment in one to eight units. Within the guidelines and limitations listed below, graduate students may petition for part-time status. If approved, students will pay UCI the full Student Services Fee, all student activities fees, the health insurance (GSHIP) premium, one-half the Tuition, and one-half the Nonresident Supplemental Tuition (if applicable). Students on part-time status, if applicable, will pay only one-half of the Professional Degree Supplemental Tuition. (NOTE: The Professional Degree Supplemental Tuition is not applicable for students in the EMBA, FEMBA, or HCEMBA programs in the School of Business or the Master of Advanced Study in Criminology, Law and Society in the School of Social Ecology as these programs charge a single Program Fee.)

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

A completed petition for the [Reduced Fee Part-Time Study Program](#) approved by the Departmental Faculty Graduate Advisor (and Associate Dean, if required by the school), and a memo from the Graduate Advisor in support of the request must be submitted to the Graduate Dean. The memo should include:

- A brief explanation of the motivation for the part-time status request
- 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
- An indication of when part-time status would, if approved, begin and end (e.g., fall-spring).
- To be effective for that academic quarter, the Petition must be received by the Graduate Division no later than noon on Wednesday of the third week of classes. There are no exceptions to this deadline.

**b. Part-Time Limitations and Related Policies**

- 1) Purpose: Unless enrolled in an approved part-time master's degree program, 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 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, students must refer to and adhere to the individual agency guidelines established by the sponsor; if the sponsor does not specify then campus policies apply.
- 4) Academic Appointments: Part-time status may affect academic appointments/employment. Please see [Section IV](#), Academic Appointments and Graduate Student Employment, for more information.



- 5) Satisfactory Academic Standing: Students must be within time-to-degree limits for their program and must be making satisfactory academic progress.
- 6) 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 the student's responsibility to discuss this matter with their loan agency.
- 7) Student Housing and Other Services: Part-time status may affect eligibility for student services, including student housing. Students living on-campus who are also interested in part-time status should check with their housing office.
- 8) Maximum Time: Petitions for part-time status may be requested for a maximum of three consecutive quarters. To continue after a third quarter on part-time status, the student must submit a new petition by the respective quarter deadline and obtain an exception to policy.
- 9) Enrollment Limits: If the student exceeds the approved part-time enrollment limit of eight units, the student will be billed by UCI for the balance of the respective quarter's full-time student fees/tuition (including nonresident supplemental tuition, if applicable) and will not be permitted to register for a subsequent quarter until the required fees/tuition are paid in full.

### **3. Enrollment in Another Graduate Program**

With the approval of their UCI graduate program, students can be enrolled in another graduate program at a different institution while they are enrolled at UCI. Students must inform their UCI graduate program if they are or plan to enroll in a graduate program outside of UCI. If Graduate Division is notified that a student is simultaneously enrolled in another graduate program without the approval of their UCI graduate program, Graduate Division will require the student's UCI graduate program to immediately place the student on Academic Conditional Status. The student must either get permission from their UCI graduate program to stay enrolled in the other graduate program or withdraw from the other graduate program to return to good academic standing at UCI. This policy does not apply to students in an approved joint graduate program between UCI and another institution. Programs must include this policy in a program handbook or program website.

### **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 Division. A lapse of status will occur under any of the following conditions:

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

Final notification of lapse of student status will be sent to the student and the academic unit at the beginning of the fourth week of classes. Students wishing to re-enroll retroactively within the same quarter must provide Graduate Division with a completed readmission petition which requires payment of a Readmission Fee and applicable signatures, as well as a written exception request signed by their Department Chair/Program Director and Associate Dean for Graduate Affairs requesting reinstatement and justifying the request for change in student status. Approval of such requests is rare and is given under *truly exceptional circumstances* only. In most cases, students wishing to re-enroll will be required to submit a new *Application for Graduate Study*.

## **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 academic program and 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.

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

## **6. Enrollment in University Extension**

If a graduate student wishes to enroll for graduate academic credit in a University Extension course while registered or while on an approved Leave of Absence, the student's proposed program of study must be approved in advance by the Graduate Dean with the written recommendation of the student's faculty advisor. See [Section VII. H. Transfer of Credit](#), for information on transfer of credit for courses taken in University Extension.

## **7. Withdrawal**

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

A student who plans to withdraw after completing all academic work for the latest quarter of enrollment should submit a written notice of intent to the Graduate Division and to their department as soon as the decision to withdraw has been made. The student has two options in such cases: (1) to file a Withdrawal form with the Graduate Division; or (2) to apply for an [academic leave of absence](#). A student in good academic standing who intends to re-enroll after missing no more than three consecutive quarters is encouraged to consider a leave of absence.

### **b. Withdrawal after Enrollment and Fee Payment**

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

### **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.

## **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/tuition; and 2) enrollment in applicable units. Both steps, payment of fees and enrollment in classes, must be completed for the student to be officially registered. Registration may be accomplished online via [WebReg](#).

### **2. Registration Procedures**

Detailed registration procedures are outlined at the [Registrar's website](#). Students are personally responsible for ensuring that their course enrollment is correct and completed, and have their fees paid, no later than the end of the third week of each quarter. Unless granted an official Academic Leave of Absence or approval to pay the Filing Fee in lieu of registration, a graduate student who does not register for any quarter will be considered to have withdrawn from the University, and their respective fee assessment will be cancelled by the Registrar. In such cases, student status and candidacy for any degree will lapse, and any student wishing to continue with their graduate studies at UCI will be required to apply for readmission.

### **3. In-Absentia Registration**

Students may apply for *in absentia* status if the following criteria are met: the research or coursework is of a nature that makes it necessary to be completed outside of UCI's local campus region (which includes the following counties: Southern California area e.g. not residing/working in Orange, Los Angeles, Riverside, San Bernadino and San Diego counties) for at least one full academic term; the work away from the UC campus is directly related to the student's degree program as evidenced by UC faculty approval; the work involves only indirect supervision (correspondence or review of written work) from UC faculty during the *in absentia* period; the work involves no significant collaboration with UC faculty during the *in absentia* period. Doctoral students who want to register *in absentia* for a second academic year must reapply. A health insurance fee, non-resident tuition (if applicable), professional school fees (if applicable), and reduced Educational and Registration Fees; as well as the Associated Graduate Students (AGS) fee, are charged to all students registered *in absentia*.

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

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

#### 4. Academic Leave of Absence

A Leave of Absence (LOA) may be granted for up to one academic year (3 quarters) if, following review of the student's academic record, it is deemed consistent with the student's academic objectives and progress toward degree. Written approvals are required from the Faculty Graduate Student Advisor and/or the school's Associate Dean for Graduate Affairs (both signatures are required in the Schools of Biological Sciences, Engineering, Humanities, Medicine, Social Ecology, Social Sciences and ICS), and the Graduate Dean. It is important that applications for LOA status be submitted to the Graduate Dean (120 Aldrich Hall) prior to the beginning of the quarter for which approval is sought.

##### a. Purpose

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

##### b. Eligibility Guidelines

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

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

##### c. Limitations to LOA

LOA policy does NOT apply under the following circumstances:

- 1) If a student will be absent from the campus and outside California while continuing to pursue graduate research or scholarly activity. (Students engaged in such activity outside California must register *In-Absentia*.)
- 2) If a student must leave the academic program for more than three quarters. Under such circumstances students should withdraw and apply for readmission at the time they expect 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. (Please refer to [Section VI. A. Progress toward Degree.](#))

d. Procedures for Requesting an Academic Leave of Absence

A request for an LOA requires submission of a Graduate Division Academic *Leave of Absence* form. The form should be submitted to Graduate Division (120 Aldrich Hall) prior to the registration deadline for the quarter requested. A request for leave submitted after the end of the third week of classes will be granted by exception only.

In those cases where the fees have been paid, a *Withdrawal* form, available from the Registrar's Office or Graduate Division (120 Aldrich Hall), must also accompany the *LOA* form in order to obtain a refund.

e. Other Policies Relevant to LOA

- 1) Academic Appointments and Employment: A student on an approved leave may not hold student academic appointments (Teaching Assistant, Graduate Student Researcher, Reader, etc.) or other student employment titles.
- 2) Degree Requirements: A student on leave cannot take qualifying examinations for advancement to candidacy or final examinations for the degree, nor pursue their graduate studies on the UCI campus in any other manner. A student may not receive academic credit for work done at another institution during the leave period unless an exception is approved in advance by the Graduate Dean.
- 3) Fee Refunds: If fees have been paid for the quarter the leave is requested, the LOA form, as noted above, must be submitted together with a Withdrawal form. Students must indicate on the Withdrawal form, under Reason for Withdrawal, "LOA". The refund schedule is printed on the back of the Withdrawal form. The effective date for the refund is the date the form is submitted to the Graduate Division (120 Aldrich Hall). Note that the GSHIP premium will be refunded only if the Withdrawal form is submitted before the first day of the quarter.
- 4) Filing Fee Restriction: Immediately following an LOA, students are required to register. They will not be eligible to be on Filing Fee status.
- 5) Financial Support: While on an academic LOA, a student is not eligible for University fellowships, University research grants, or financial aid support. In addition, the student will, in most cases, lose eligibility for deferment of student loan obligations. It is the responsibility of the student to contact their loan agency to verify their loan status before applying for academic LOA.
- 6) Health Insurance: A student on leave will not be covered by the graduate student health insurance (GSHIP) program unless the student self-pays for continued coverage. Students should contact Student Health at (949) 824-5301 or refer to their [website](#).

7) Housing: LOA status may affect eligibility for student housing. Students living on campus who are contemplating an academic LOA should check directly with their 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 LOA. Any exception to this policy requires written approval by UCI's [International Center](#) as indicated on the LOA form. Following receipt of such approval the form must then be submitted to the Graduate Division (120 Aldrich Hall).

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 Fee Status

UCI's Academic Senate policy on Filing Fee status 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 may be paid in lieu of registration for only one academic quarter or summer during the student's entire graduate career, irrespective of how many graduate programs students enroll in. 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 LOA.

### a. Establishing Eligibility for Filing Fee Status

To establish eligibility to pay the Filing Fee, the student must submit a Graduate Division [Filing Fee Petition](#). The Petition must be approved by the departmental Faculty Graduate Advisor and the Chair of the thesis or doctoral committee and must certify that all other requirements for the degree have been met. Students in the Schools of Biological Sciences, Engineering, Humanities, ICS, Medicine, Social Sciences, and Social Ecology, also need to obtain the signature of their Associate Dean for Graduate Affairs. International students, in addition, must secure approval from the International Center to go on Filing Fee status. It is important that applications for Filing Fee be submitted to the Graduate Dean prior to or at the very beginning of the quarter.

The completed *Filing Fee* form should be brought to the Cashier's Office with a check made out for one-half of the [Student Services fee](#). The form should then be submitted to the Graduate Division for final approval/processing.

**Note:** Students in Self-Supporting Graduate Professional Degree Programs (SSGPDPs) are only eligible for Filing Fee status if they have already enrolled for their program's full normative time and paid the entire program fee.

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

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

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

If, after paying the Filing Fee, the student finds it necessary to use the educational facilities of the University in any way other than those described in this section, the student must cancel the Filing Fee and register for full-time status. Further, if all requirements are not completed during the quarter for which the Filing Fee was paid, the student must register for full-time status for any subsequent quarter. To do so the student must contact the Graduate Division in order to be reassessed fees for the next quarter.

Students wishing to earn a degree over the summer must be enrolled in units or on Filing Fee status. All summer Filing Fee requirements and policies are similar to those stated above with the exception of the items listed below. You can find the summer Filing Fee form on the [Graduate Division website](#).

- The student applying for Filing Fees status in summer must have been registered in the preceding spring academic quarter.
- For summer Filing Fee only, students may receive fellowship support or UCI employment while on summer Filing Fee.
- Students registered and covered with GSHIP for spring quarter and on Filing Fee status during summer: maintain GSHIP coverage, student housing and library privileges through the end of summer.
- **Note:** Students in Self-Supporting Graduate Professional Degree Programs (SSGPDPs) are only eligible for Filing Fee status if they have already enrolled for their program's full normative time and paid the entire program fee.

## 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. To be considered for admission to a doctoral program, the student must submit a new *Application for Graduate Study*.

### D. *Doc2A Definition & Guidelines*

(Updated by Graduate Council 12/2013)

By definition, a Doc2A student is enrolled more than 9 quarters past their advancement to candidacy for the Ph.D. The Doc2A quarter count begins with the quarter immediately following their advancement to candidacy date. The university does not receive state funding for students who are in Doc2A status nor are they included in official enrollment counts. Graduate students in Doc2A status may be appointed to GSR/GSAR titles at the hiring department's discretion, provided they meet academic qualifications including enrollment and grade/GPA requirements, and are making

satisfactory academic progress; and to ASE titles at the hiring department's discretion if they are within the 18-quarter service limit for Teaching Assistants and Teaching Associates; meet academic qualifications including enrollment and grade/GPA requirements; and meet English language proficiency requirements for Teaching Assistants and Teaching Associates (for international and U.S. permanent resident students who are not citizens of countries where English is the primary or dominant language).

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

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

***F. Intercampus Exchange Program***

1. What is Intercampus Exchange?

Through the Intercampus Exchange Program graduate students may take advantage of unique educational opportunities at another University of California campus. Students 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

Students must have completed at least one quarter of graduate study at the University and be in good standing (3.0 cumulative GPA) to be eligible to apply for Intercampus Exchange. Approvals by the departmental graduate faculty advisor, the host department(s), and the Deans of the respective graduate offices are required.

3. Procedures

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



a. Financial Aid and Intercampus Exchange

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

4. Joint (Intercampus) Degree Program Students

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

5. Coursework Credit

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

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

## **VI. 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 the academic record of the student be

assessed each quarter to confirm satisfactory progress. The academic unit should inform the Graduate Division by contacting the Enrolled Student Affairs Officer of any action taken with regard to a student's academic record, and should provide copies of any related correspondence between the department/program and the student.

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

- **GPA** - the student must maintain at least a 3.0 cumulative grade point average.
- **Normal Time to Degree** – the student must advance to candidacy and complete the degree within the limitations established by UCI's Graduate Council (March 2004). A student exceeding the maximal time to degree shall be deemed not to be making satisfactory progress toward their degree; moreover, they shall not be eligible to receive University resources (e.g., financial aid, TA-ships, housing, etc.). Per UCI's Graduate Council, beginning with students entering in fall 2010, the Graduate Dean will not permit students to enroll past their programs' maximum time to degree (June 2009). Any exception request must be made in writing directly to the Graduate Dean and will be considered in cases involving extenuating circumstances beyond the student's control. The exception request must include a plan and timeline for completion of the degree, must be signed by the student's program advisor and Associate Dean, and must be submitted at least one quarter in advance of maximum time to degree. Note that leaves of absence of up to three quarters and time allotted for parental leave are not counted toward a student's normative or maximum time to degree. Normal Time to Degree for each graduate program is listed in the *General Catalogue* and on the Graduate Division website.
- **Grade Reports** - all I, W, or NR grades should be reviewed and appropriate action taken as needed.
- **P/NP** - no courses graded "Pass" are to be included as part of the advanced degree program, nor are they to be considered as satisfying academic criteria for University-administered fellowships and academic appointments/employment.
- **Enrollment Units** - students must be enrolled for at least 12 graduate or upper-division units of credit each quarter, including credit for supervised teaching and research, unless part-time status or an academic leave of absence has been approved in advance by the Graduate Dean. In cases of approved part-time status, enrollment in eight (8) or fewer units of credit toward the degree is expected each quarter.
- **Distribution of units** - the number of upper-division and graduate-level units of credit completed toward degree requirements each quarter should be at least eight and no more than 16 units, unless an exception has been approved.
- **Residency** - time in residence prior to advancement to candidacy for the Ph.D. or professional doctorate degree should be within acceptable limits (ordinarily, no more than four years).
- **Faculty Advisor**- students in doctoral and Master of Fine Arts programs are required to have an individual faculty advisor at all times.

## 2. Unsatisfactory Progress

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

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
- Failure to progress academically within the Normal Time to Degree framework specified for the student's graduate program; or
- The appropriate faculty committee's evaluation that there has not been satisfactory progress toward completion of the thesis or dissertation.
- A doctoral or Master of Fine Arts student does not have a faculty advisor for more than one academic quarter.

**NOTE:** Unsatisfactory academic progress may be determined on the basis of explicit requirements such as those outlined above. However, the professional judgment of the faculty, upon review of all graduate work undertaken by the student, is paramount, and the faculty of a particular academic unit may establish more restrictive criteria for satisfactory academic progress. Programs should outline the additional criteria in a handbook or a program website that is easily accessible to the student.

b. Notice of Unsatisfactory Progress

It is very important to give students an early warning of potentially unsatisfactory progress. Faculty advisors must be direct and clearly communicate orally and in writing with students demonstrating academic difficulties at the earliest possible time, and must keep a written record of all such communications. Notices of potential unsatisfactory progress, which should include placement on academic conditional status, must be sent in writing to the student; a copy must also be retained in the academic unit files and another copy sent to the Graduate Dean (120 Aldrich Hall). **The written communication must include specific details on areas that require improvement, provide an outline and a timeline for future expectations of academic progress, and set meeting dates to maintain continuity in advisement; and state the consequences if the student does not meet the requirements within the time provided.** To ensure due process, programs should maintain documentation of subsequent actions taken by the student and/or program after the student has been notified. The purpose of the notice of potential unsatisfactory progress is to provide the student with a period of time (usually at least one academic quarter if practical) in which to make the necessary improvement in their academic status, and successfully complete their graduate study.

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

3. Academic Disqualification Policy (Amended by Graduate Council 11/2015)

**Section I. Definitions**

**A. Disqualification vs. Dismissal**

Disqualification means that, for one or more of the academic reasons listed below, a student is no longer eligible to continue graduate study in his/her graduate program at the University of California, Irvine. The term “**dismissal**” should not be confused with “**disqualification.**” Dismissal is an administrative action resulting in removal from graduate study based on behavior or conduct. Authority to terminate student status as a result of disciplinary proceedings rests with the Dean of Students.

1. “**Graduate Dean**” means the Dean of the Graduate Division at the University of California, Irvine.
2. “**Graduate Advisor**” means the graduate student’s faculty advisor.
3. “**Associate Dean**” – means the Associate Dean of Graduate Studies for the student’s degree granting School
4. “**Academic Conditional Status**” –Prior language also used was ‘Academic Probation.’

## **Section II. Academic Disqualification**

### **A. General Policy.**

1. **Recommendation for Disqualification.** If a graduate student’s Graduate Advisor determines that a graduate student is making unsatisfactory academic progress as determined by any of the factors noted in this section, the Graduate Advisor shall consult with the appropriate faculty and administrators for that degree granting unit (e.g. Associate Dean, Chair, Thesis Advisor, etc.) before drafting a letter to notify the graduate student in writing that he or she has been recommended for academic disqualification. The letter will be vetted, approved and signed at the School level by the Associate Dean and sent to the student. A copy of the letter will then be sent to the Graduate Dean.
2. **Disqualification by Graduate Dean.** After consultation with the graduate student’s academic unit faculty, the Graduate Dean may disqualify a graduate student because of unsatisfactory academic progress as determined by any of the factors noted in this section. Should the Graduate Dean determine that disqualification is warranted under this section, the Graduate Dean shall notify the graduate student in writing of the disqualification determination.
3. **Withdrawal by Mutual Agreement.** In those cases in which the graduate student and the academic unit mutually agree to the termination status, either to end graduate study with a Master’s Degree or to simply withdraw from graduate study, then the academic unit and/or graduate student may independently notify the other of this mutual agreement. In all such cases, the department shall provide the Graduate Division a copy of the mutual agreement to terminate. The department shall direct that notice to the Enrolled Student Affairs Officer at 120 Aldrich Hall.
4. **Grounds for Placement on Academic Conditional Status**
  - a. **Events Triggering Automatic Placement on Academic Conditional Status.** The following events result in a graduate student’s automatic placement on Academic Conditional Status:

- i. A graduate student's grade point average for any term is less than 3.0, calculated on all of the letter graded upper division and graduate courses completed while registered as a graduate student at the University of California.
- ii. A graduate student's cumulative grade point average is less than 3.0, calculated on all of the letter graded upper division and graduate courses completed while registered as a graduate student at the University of California.
- iii. A graduate student earns a grade of B- or less in a course.
- iv. A graduate student accumulates a combination of more than eight units of "I," "U" and/or "F" grades in total.
- v. A graduate student is enrolled in a different graduate program at another institution without the approval from their UCI graduate program, and it is not an approved joint program between UCI and another institution (ex. Computational Science doctoral program).

**b. Events that May Lead to Academic Conditional Status at the Discretion of the Associate Dean:**

- i. Graduate students with this status will be notified by the appropriate faculty and administrators for their degree granting unit (e.g. Associate Dean, Graduate Advisor, Thesis Advisor, and/or Chair, etc.) that they are not making satisfactory progress in their research or coursework (e.g. failing a comprehensive/prelim exam, not advancing to candidacy, not passing a language requirement, or other program requirements). The additional criteria that may result in a student being placed on academic conditional status should be outlined in a handbook or a program website that is easily accessible to the student.
- ii. Graduate students who are beyond the maximum time to degree for their respective program.

**5. Procedure for Notifying Graduate Students of Placement on Academic Conditional Status.** When graduate students are placed on Academic Conditional Status, the Associate Dean of their School shall send each graduate student a letter informing the student that he/she is on Academic Conditional Status and indicating the requirements for returning to good academic standing and a specific timeline for doing so. Details of what is required will be specific to the program and the individual student's progress. To ensure due process, programs should maintain documentation of subsequent actions taken by the student and/or program after the student has been notified.

**6. Grounds for Disqualification**

**a. Automatic Disqualification from Further Registration.** If a graduate student's grade point average (GPA) is less than 2.0 for any term, the academic unit must automatically give the graduate student a written warning and place them on Academic Conditional Status. The program will allow the graduate student one quarter to improve their GPA to 2.0 or greater before becoming automatically disqualified from further registration. For automatic disqualifications, the standard disqualification procedures do not apply and cannot be appealed.

If a student's GPA is 2.0 or above but does not reach at least a 3.0 after the additional quarter, the program will give the graduate student at least one additional quarter to bring their GPA to at least 3.0 before the program recommends the student for academic disqualification.

**b. When Academic Conditional Status Leads to Disqualification from Further Registration.** A graduate student who has been placed on Academic Conditional Status is subject to disqualification if any one or more of the following events occur:

- i. A graduate student has completed two consecutive terms on Academic Conditional Status; for instances where the condition of returning to satisfactory academic progress is to repeat, or take for the first time, a course that is offered during a time that exceeds two consecutive terms, exceptions may be made and notified to the Graduate Dean
- ii. During a graduate student's term on Academic Conditional Status, the graduate student fails to improve his/her grade point average as stipulated in the Associate Dean's warning letter.
- iii. If after one term on Academic Conditional Status because of an excessive number of units of combined "I," "U" and/or "F" grades, the graduate student fails to make up the required number of such units stipulated in the Associate Dean's warning letter or accumulates further units of "I," "U" and/or "F" grades, disqualification will result.

**c. Disqualification from Further Registration upon Recommendation of the Associate Dean.**

**i. General Rule.** The Graduate Advisor may also recommend to the Associate Dean and appropriate faculty and administrators for that degree granting unit (e.g. Chair, Thesis Advisor, etc.) the disqualification of a graduate student who is not making satisfactory progress toward the degree objective even if the graduate student's grade point average is above 3.0.

**ii. Grounds for Recommending Disqualification based on Unsatisfactory Progress.** Unsatisfactory progress may result from failure of a program's preliminary or comprehensive examination, failure to meet published timelines for completion of the degree, failure to meet deadlines imposed on the individual graduate student, or failure to make adequate progress in research or creative work. Unsatisfactory progress will also result when a Ph.D. or Master of Fine Arts student is unable to secure a faculty advisor or if the student's advisor/advisee relationship is terminated and the student is unable to secure a new faculty advisor within a specified period of time.

**iii. Notification to Student.** If the Graduate Advisor determines that a graduate student is not making satisfactory progress toward the degree objective, a letter will be sent to the graduate student informing him/her of the lack of satisfactory progress. This letter will be drafted by the Graduate Advisor in consultation with the appropriate faculty and administrators for that degree granting unit (e.g. Chair, Thesis Advisor, etc.) and ultimately approved by the Associate Dean of Graduate Studies. The School will provide a copy to the Graduate Dean.

**iv. Opportunity to Cure.** Once the graduate student has received formal written notice, the graduate student should be given at least one quarter, if practicable, to remedy the lack of progress identified in the Graduate Advisor's report. Notwithstanding the foregoing, the graduate student will not have an opportunity to cure if the reason for the disqualification recommendation is one of the following:

1. The graduate student fails a program examination beyond the number of attempts the program allows for
2. A MAT or Credential student is dismissed from a student-teaching placement.

### Section III. Detailed Disqualification and Appeal Procedures

**A. Authority.** Regulation 904 of the Academic Senate of the University of California reads as follows: “Disqualification of graduate students is at the discretion of the Dean of the Graduate Division concerned.” With the advice of the Graduate Council, the Graduate Dean has adopted the following policies and procedures.

#### **B. Procedures for Disqualification**

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

**2. Graduate Dean’s Notice to Student:** If the Associate Dean recommends in writing to the Graduate Dean that a graduate student be disqualified, the Graduate Dean, the administrative officer with final responsibility for disqualification, will inform the student in writing via an email to the student’s UCI email account, of receipt of the recommendation to disqualify.

**3. Graduate Student’s Right to Present Case.** As a component of the notice to the student and contained in the same written communication, the graduate student shall have the right to present his or her case to the Graduate Dean in writing within 14 calendar days of the date of the Notice. The notice shall state that the Graduate Dean’s review will commence after the 14-day period has elapsed.

**4. The Graduate Dean Review:** After the 14 day period, whether or not the student submits a case in writing to the Graduate Dean, the Graduate Dean will carefully review the graduate student’s academic record and all materials related to the student’s academic progress, as well as any information that may be provided by the student.

**5. Notification of Decision by Graduate Dean.** Unless there are indications of procedural error or other substantive mitigating factors to explain the student’s unsatisfactory record, the Graduate Dean will notify the student in writing of the intent to disqualify.

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

**6. Graduate Student's Right to Appeal.** The graduate student shall have the right to appeal his or her case. If the graduate student wishes to appeal the Graduate Dean's decision, the graduate student must request an appeal in writing within the 30 calendar-day period. The student's written appeal must be sent to the Graduate Dean, and the Graduate Dean will forward the appeal to the Graduate Council for review.

Once the graduate student has submitted an appeal, should the graduate student choose to withdraw before a decision is reached, the appeal process stops, and the appeal becomes void. The option to withdraw terminates on the date that the Graduate Dean sends the Final Determination Notice to the graduate student.

**7. Grounds for Considering Graduate Student's Appeal.** Student appeals will be considered only if based upon specific criteria as follows: (1) procedural error; (2) verifiable evidence of personal bias; or (3) judgments based on non-academic criteria<sup>1</sup>. Disagreements over evaluation of academic quality are not an appropriate basis for an appeal.

**8. Graduate Student's Status during Appeal Period.**

While the appeal is being considered, the student has two options. A) The student can withdraw from the program, which results in a "W" on the student's transcript, rather than a disqualification notation. This option to withdraw terminates on the date that the Graduate Dean sends the Final Determination Notice to the graduate student. B) The student must maintain his or her registration status, if eligible to do so, based on grade point average and other requirements. In either case, if during the appeal process the student's status lapses (i.e., the student fails to, or is ineligible to, register), the disqualification and appeal process will terminate.

The Graduate Council will assign the case to their subcommittee on academic disqualification which will review the appeal, collect additional material if necessary and make a recommendation to Graduate Council. Graduate Council will then vote on a decision. The recommendation and vote will be conducted with only voting members present as well as the Graduate Council Analyst who serves as the record keeper for the Council minutes. The Graduate Council's decision will be implemented by the Graduate Division Dean who will notify the student and all relevant parties involved. The Graduate Dean shall formally communicate the final decision to the student, and all parties involved, in writing.

**9. Final Determination Notice.** Upon receipt of the Graduate Council's decision in writing as to the disposition of the case, the Graduate Dean shall formally communicate the final decision to the student in writing. The Graduate Dean's final notice to the student will include: (1) the basis for the decision; (2) its effective date; and (3) the nature of the recommendations of the Graduate Council. For students seeking J.D. or M.D. degrees, the disqualification and appeals process will be according to the written procedures adopted by the Schools of Law and Medicine, respectively.

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<sup>1</sup> Complaints relating to discrimination on the basis of any protected status by law or UC Policy shall be referred to the Office of Equal Opportunity and Diversity ("OEOD"), and the matter will be held in abeyance until OEOD has completed its investigation. OEOD shall report its findings to the Graduate Dean.



**C. Due Process Requirements.** To ensure that a decision to disqualify a graduate student from an academic program is just, the following due process requirements must be met:

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

**D. Appeal Timeline. The following time requirements apply to the appeals process:**

1. **Timeframe for Graduate Student's Appeal of Graduate Dean's Initial Disqualification Decision.** Once a graduate student receives the Notification of Decision from the Graduate Dean, the Graduate Dean shall give the graduate student 30 calendar days from the date of the Notification of Decision to appeal the decision or to withdraw from the graduate program. The graduate student must request an appeal in writing.
2. **Grounds for Appeal.** If the graduate student chooses to appeal within the 30 calendar day period, the graduate student may do so only on the basis of one or more of the following specific criteria: (1) procedural error; (2) verifiable evidence of personal bias; or (3) judgments based on non-academic criteria.

**3. Process for Considering and Resolving Appeal.** If a graduate student submits a timely appeal to the disqualification decision, the Graduate Dean shall forward the appeal file to the Graduate Council. The Graduate Council will assign the case to their subcommittee on academic disqualification which will review the appeal, collect additional material if necessary and make a recommendation to Graduate Council. Graduate Council will then vote on a decision. The recommendation and vote will be conducted with only voting members present as well as the Graduate Council Analyst who serves as the record keeper for the Council minutes. The Graduate Council's decision will be implemented by the Graduate Division Dean who will notify the student and all relevant parties involved. The Graduate Dean shall formally communicate the final decision to the student, and all parties involved, in writing.

**4. Content of Final Determination Notice to Graduate Student.** The Graduate Dean shall include the following information in the final disqualification notice to the student: (1) the basis for the decision; (2) its effective date; and (3) the nature of the recommendations of the Graduate Council. For students seeking J.D. or M.D. degrees, the disqualification and appeals process will be according to the written procedures adopted by the Schools of Law and Medicine, respectively.

**5. Limits on Graduate Student's Right to Withdraw in Lieu of Disqualification.** Once the graduate student has submitted an appeal, should the graduate student choose to withdraw before a decision is reached, the appeal process stops and the appeal becomes void. The option to withdraw terminates on the date that the Graduate Dean sends the Final Determination Notice to the graduate student.

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

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

For a graduate student, only the grades A+, A, A-, B+, B, and S represent satisfactory scholarship, and only coursework 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. 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 retains 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 coursework. Thereafter, both the earlier and later grades are averaged.

2. Academic Unit Exceptions

In the case of those graduate programs in which the faculty has adopted, and the Graduate Council has approved, a special grading standard, courses in which the grade of B-, C+, and C were assigned will be accepted in partial satisfaction of degree requirements. Such exceptions must be noted in the *Graduate Degree Program Summary* for that program. A copy of the program summary is available in the academic unit and in the Graduate Division (contact the Enrolled Student Affairs Officer). Please note that a *cumulative* grade point average of 3.0 is required for all degree awards.

3. Individual Exceptions

With the approval of a student's Graduate Faculty Advisor and the Graduate Dean, a course in which the student received a grade of C+ or C may be accepted in partial satisfaction of the requirements for an advanced degree. Such exceptions are rarely granted. Whenever possible, the student should repeat the course for satisfactory credit toward the degree.

4. 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.

5. 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.

A student 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 with the approval of the Graduate Council in accordance with Academic Senate regulations. Similarly, with the consent of the academic unit involved and approval by the Graduate Council, individual study and research or other individual graduate work may be evaluated by means of the grades Satisfactory or Unsatisfactory.

6. 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) -- see below -- 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.

#### 7. Incomplete (I)

The grade Incomplete (I) may be assigned when a student's work is of passing quality but is incomplete for good cause. The student must make arrangements with their instructor to complete the coursework within a period of no more than 12 months following the term in which the grade Incomplete was originally awarded, or prior to the end of the quarter immediately preceding award of the degree, whichever comes first. The instructor is not obligated to allow the maximum time period. The student should not reenroll in the course to make up the Incomplete.

Incomplete (I) grades will convert to a failing grade (F), not pass (NP), or unsatisfactory (U), whichever is appropriate, after remaining on the student's record for 12 months, as governed by Irvine Academic Senate Regulation IR A345.

The number of Incomplete grades accumulated by a student should be monitored and limited carefully, and should be removed as soon as possible. Incomplete grades are an important factor in evaluating academic progress as well as in determining eligibility for employment. The maximum amount of time that an instructor may allow for making up incomplete work is no more than 12 months following the term in which the grade Incomplete was originally awarded, but stricter limits may be applied. When work is completed within the time allowed, the student should ask the instructor to submit a change of grade notice to the Registrar. The general procedure is to process such requests with the approval of the Associate Dean for Graduate Affairs of the school in which the course was offered. If not made up within the time allowed, an I grade will convert to a failing grade (F), not pass (NP), or unsatisfactory (U), whichever is appropriate and is recorded permanently. This is then used when computing GPA to determine whether the student meets the minimum GPA requirement for graduation (3.0).

#### 8. 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 or NP (UCI Academic Senate Regulation A345 [G2]).

9. Withdrawal (W)

In accordance with UC Irvine Academic Senate Regulation 440, 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 by Academic Senate policy. 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.

2. Repeat of Critical Examinations

In accordance with Academic Senate policy, a graduate student shall have the option of taking a second examination in the event of unsatisfactory performance on a critical examination. Included are the first-year comprehensive examination, comprehensive examination for Master's degrees, the Ph.D. qualifying examination, the Ph.D. candidacy examination, 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. If a graduate program changes the exam format before a student's next attempt at taking the exam, the student will have the option to take the exam in the new format, where appropriate. 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. If a student is recommended for academic disqualification by the program for failing a critical exam twice, the Graduate Dean will have the sole discretion to decide if the student will be allowed additional attempts to repeat the exam. If academic disqualification is not involved, a third examination may be given only with the approval of the departmental graduate committee and the Graduate Dean.

### 3. Credit by Examination

Because of the nature of graduate degree requirements, the credit by examination option is not normally used by graduate students. Graduate level courses cannot be completed through the credit by examination option.

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

(Approved by the Irvine Division on 6/2/88, revised 12/12/96; revised 10/12/00)

The consequences of failing to uphold the academic honesty policy is published in the *UCI General Catalogue* and in the [UCI Academic Senate Manual](#).

Students are expected to become familiar with this policy. Students who fail to uphold their fundamental academic obligation are subject to consequences that might range from lowering a grade to campus-wide sanctions, up to and including dismissal. Examples of conduct that fall under the aegis of the policy on academic honesty include, but are not limited to, plagiarism, cheating, stealing of exams, falsifying the record of their work, or collusion in such dishonest activities. When faculty suspect academic dishonesty, they need to follow due process guidelines and investigate their suspicions promptly and fairly. Minimally, due process requires that suspected students be given clear and prompt notice of the suspicion and the opportunity to confront or rebut the evidence that gave rise to the suspicion. Some procedures for implementing the policy can also be found in the UC-UCI document [Policies Applying to Campus Activities, Organizations, and Students](#).

#### **F. *Individual Development Plans***

(approved by the Graduate Council 1/11/18)

Doctoral and MFA students are required to complete annual Individual Development Plans (IDPs) in consultation with their faculty advisor. Programs may use the Graduate Division IDP template or modify the document to include additional questions relevant to the discipline.

#### **G. *Graduate Mentoring and Advising Policy***

(Revised version approved by the Graduate Council 4/13/17)

##### **Introduction**

A mentor-mentee relationship is based on trust and discretion. Good mentoring involves treating students respectfully and fairly providing reliable guidance, and serving as a role model for upholding the highest ethical standards. The Graduate Council recognizes that faculty mentoring of graduate students, both academic and professional, is a necessary and integral part of the graduate experience. There is a distinction to make between being a mentor and being an advisor—a mentor is someone who is attentive to the professional future of the student, while an advisor is someone

who directs the student on what steps are needed to graduate. Both, however, exhibit characteristics that span beyond formal classroom instruction and can be found in one individual together or distributed across multiple supporters. In this document, the term “Graduate Advisor” will be used to reference the faculty member charged by an academic unit with directing a graduate program. Each graduate program has at least one Graduate Advisor. The term “Faculty Advisor” will be used to reference an individual student’s thesis chair, dissertation chair, or capstone project advisor. It is common for the faculty advisor to also serve as a student’s mentor. In this case, the faculty advisor shares wisdom, technical knowledge, guidance, and support that helps students understand how to succeed in their graduate program, excel in their field of study, and to recognize and choose among career options. Some departments may enhance mentoring beyond the role of the faculty advisor through incorporating peer mentoring, professional development workshops, and other activities. While it is necessary to have one primary faculty advisor, contemporary views of mentoring suggest that multiple mentors may be beneficial to mentees’ study, reading, research, writing and career development.

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

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

### **Role of Faculty**

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

#### Advising

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

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

### Mentoring

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

### **Role of Graduate Students**

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

- Be aware of their own mentoring needs and how they can change through their graduate tenure. Changes should be discussed with their faculty advisor and/or mentor in a timely manner.
- Proactively seek out mentorship; be aware of advertised workshops and resources. Keep in mind that one faculty advisor may not be able to satisfy all needs.
- Recognize that their mentoring needs must respect their mentor's other responsibilities and time commitments.
- Be aware of, and meet, the deadlines associated with the degree program and develop a plan to accommodate to them.
- Maintain and seek regular communication with their mentor(s), especially their primary faculty advisor.
- Doctoral and Master of Fine Arts (M.F.A.) students must always have a faculty advisor, whether it be a permanent or initial advisor.



- If a doctoral or M.F.A. student needs to secure a new faculty advisor, they have one academic quarter by which to do so and remain in good academic standing.
- It is the responsibility of each graduate student to establish an advisee/advisor relationship and formally secure a permanent faculty advisor by the time of their advancement to candidacy.

### **Role of the University**

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

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

- Graduate programs must assign an initial individual advisor, faculty or staff, to each graduate student at the time of first enrollment. For doctoral and M.F.A. students, the individual advisor must be a faculty member. For other master's students, the advisor may be a faculty member or staff member.
- When an initial faculty advisor is assigned to a doctoral or M.F.A. student, the program must communicate to the student the timeline for securing a permanent faculty advisor.
- If a doctoral or M.F.A. student, who is otherwise in good academic standing, needs to secure a new faculty advisor, the program should provide the student with one quarter of funding and appropriate advising to help facilitate the process.
- Annual reviews must be conducted for every graduate student. Students should be provided with timely written feedback following this annual review.
- Share information concerning program-specific mentoring policies with all faculty.
- Academic units should be encouraged to provide training on implicit bias, mentoring, and conflict resolution as appropriate for their faculty, staff, and students.

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

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

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

- Remember that all faculty share responsibility for graduate student mentoring.
- Positively reinforce good mentoring practices with rewards and incentives.
- Keep an open mind and show respect for the individuality of students and their different needs and goals.

- Respect students' family responsibilities and be cognizant of students who may need extra support when having a child, raising a child alone, returning to school after child-rearing, caring for an elderly parent, etc.

These guidelines were developed using the following document:

**Mentoring Guidelines**, Graduate Council, University of California, Merced Division

## VII. STANDARDS AND REQUIREMENTS FOR GRADUATE DEGREE PROGRAMS

Students must satisfy the degree requirements outlined in the General Catalogue that are in effect at the time they first enroll in a graduate program. If the degree requirements are subsequently revised, the academic unit must, where appropriate, give students the option to meet the new requirements. If a graduate program also revises internal policies and procedures that are not outlined in the General Catalogue (exam formats and procedures, mandatory attendance at annual research days, publication requirements, etc.) but outlined in the program's website or in a program student handbook, the academic unit must, where applicable, give students the option to meet the new requirements. A student who withdraws from a program, or loses student status for other reasons for more than three quarters, will be bound by the degree requirements in effect at the time of readmission unless otherwise stipulated and agreed to in writing by the academic unit and approved by the Graduate Dean; students are also required to re-advance to candidacy. A student who defers admission or who changes to another program must meet the requirements in effect at the time of first registration.

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

### A. *Second Advanced Degrees*

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

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

#### 1. Second Master's Degree

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

[Example: If a student with an MS in Civil Engineering applied to UCI for an MS in Environmental Engineering, it would require an exception to admit them. However, if the same student with an MS in Civil Engineering applied to UCI for an MA in History, this would not require an exception.]

## 2. Second Ph.D.

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

### ***B. Language Requirements***

Completion of language or alternate skill requirements, if part of the graduate program, may occur any time prior to completion of all other degree requirements unless otherwise specified by the program. However, it is preferable that they be satisfactorily completed before a student advances to candidacy. The graduate program may decide how the examinations are to be given. The Graduate Division must be advised in writing of the type of test taken and the date passed. If an alternate skill requirement approved by the Graduate Council in lieu of a foreign language is satisfied, this should also be indicated in writing.

### ***C. Academic Advisement and Evaluation***

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

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

- Within the context of each course in which the student enrolls, an evaluation of the student's performance by the instructor.
- For those students engaged in research activities, frequent evaluation and advising on an informal basis by the supervising member of the faculty.
- Continuing supervision of dissertation work by the primary faculty advisor with progress evaluated and discussed with the student on at least a quarterly basis.
- An overall evaluation of each student's academic progress that is conveyed to and discussed with the student, preferably each quarter, but at least once each academic year. An annual evaluation ordinarily is the joint responsibility of the Departmental Faculty Advisor and the assigned Faculty Advisor or the Chair of the student's graduate committee, where applicable. An evaluation must: (1) include a brief review of the student's work to date, with particular attention

to the period since the last report; (2) describe the student's progress toward the degree; (3) identify any areas in which improvement is recommended or required; and (4) establish academic objectives for the following period.

- Identification of a departmental representative whom the student may consult as a disinterested party.

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

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

(approved by the Graduate Council 5/9/19)

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

Additionally, doctoral and MFA students are required to complete annual Individual Development Plans (IDPs) in consultation with their faculty advisor. The IDP is a tool that aids in communication between the student and faculty advisor, goal-setting and assessing progress towards those goals on a regular basis. It is intended as a mentoring document and not an evaluative tool. Programs may use the Graduate Division IDP template or modify the document to include additional questions relevant to the discipline.

#### ***E. Language Policy for Examinations and Theses/Dissertations***

English is to be the language of instruction and examination for graduate courses at UCI, unless the subject matter includes foreign language content. Similarly, examinations that satisfy specific degree requirements, such as qualifying/candidacy examinations and thesis/dissertation defenses will be conducted in English, except for the portions of the examination where the subject matter makes a different language specifically appropriate.

Students must seek permission to write their thesis/dissertation in a language other than English. To do so, immediately after advancement to candidacy, the candidate must submit a letter to the Graduate Dean, approved by the thesis/dissertation chair, committee, and department chair. All members of the candidate's thesis/dissertation committee must have a reading knowledge of the language presented in the thesis/dissertation. There must be legitimate reasons for substituting English with a foreign language such as subject matter, special primary audience, publication arrangements, academic position in a foreign country, historical or literary value, or principal language(s) used in the documents to be analyzed and interpreted. Inability to write in English is not a valid reason. If the thesis or dissertation is approved to be written in a foreign language, the candidate must submit two abstracts. One must be in English. The other must be written in the language of the thesis or dissertation. Moreover, the thesis/dissertation defense will be conducted in English, except as determined by subject matter. See the UCI [Thesis and Dissertation Manual](#) for information about the preparation of manuscripts.

**F. *Conflict of Interest*** (Approved by the Irvine Division on 5/11/00)

1. Definition

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

2. Objective

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

3. Summary of Mechanism

When a graduate student, the faculty mentor/advisor, graduate advisor, departmental chair, or the campus Conflict of Interest Oversight Committee (COIOC) identifies a conflict of interest, a departmental representative should be notified in writing. The departmental representative, who may be the Departmental Faculty Graduate Advisor or department chair, will then examine the potential impact upon the student. If there is a potential for harm to the student, then an additional faculty member, termed the "Oversight Member", will be appointed, by the Graduate Dean, to the student's advisory and/or master's/doctoral committee to insure the faculty conflict does not impact upon the academic interests of the student.

4. The Graduate Division

The Graduate Division provides written information on conflict of interest policies and procedures to all academic units and students on the Ph.D. Form I Advancement to Candidacy document and on the Advancement to Candidacy and Final Report form for master's students. The information on the document includes: the definition of conflict of interest as it pertains to graduate education; a description of the nature of potential conflicts of interest and brief examples; describes the possible harmful effects on the academic interests of the graduate students; provides a list of University resources that can be consulted, and includes a statement to be signed by the department chair, departmental graduate faculty advisor, and the graduate student to acknowledge their awareness of the conflict of interest issue. At any time, the student

can also seek the advice of one of the identified campus-wide resource persons, who include the Graduate Dean, the Associate Graduate Dean, the Conflict of Interest Administrator in the Office of Research at (949) 824-0012, or the UCI Ombudsman (Multipurpose Science Technology Building 205 MSTB).

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

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.

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

**Note:** Areas of assigned responsibility are further defined in the UCI Academic Senate policy statement dated May 11, 2000 and entitled "[Policy and Procedures for Implementation of Academic Senate Policy on Conflict of Interest and Graduate Education.](#)"

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

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

#### 6. Other Types of Conflict of Interest

The UCI Senate Manual only addresses financial conflicts of interest, but there are other situations where conflict of interest may arise during required examinations (comprehensive or qualifying exams, advancement to candidacy, dissertation defense, etc.) and could potentially lead to a perception of bias. Often this occurs when there is a power differential, which may prevent the committee from being able to come to a fair and objective decision. One example is when immediate family members, domestic partners and married couples serving together on an advancement to candidacy committee, but other examples exist. The Graduate Division recommends as a best practice that graduate programs have internal policies and procedures that address different types of conflict of interest, not financial in nature, to reduce the likelihood of perceived bias or harm to the student.

## **G. Committee Membership Appointment Procedures**

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

**\*NOTE:** Definitions of Academic Unit

- a) Department.
- b) If "a" fails, Interdisciplinary Program.
- c) If "a" and "b" fail, the graduate program which oversees the student's progress.
- d) If "a", "b" and "c" fail, the School.

In cases where multicampus programs are involved, the same definitions will apply across all campuses relevant to the program.

**Non-voting Senate members, faculty holding professorial titles at other Universities or non-Senate faculty with equivalent scholarly standing will be considered on an exception-only basis. The Dean of Graduate Division retains sole authority to grant these exceptions, which must be submitted in writing by the Chair of the academic unit at least two weeks prior to the scheduled exam, and must be accompanied by a curriculum 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 Dean of Graduate Division.**

### **Duties and Responsibilities**

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

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

### **Membership**

- a. **Master's Thesis Committee Plan I (See IR 830, amended March 2010)**

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

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

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

Oversight Member: See Conflict of Interest (Section 4).

**b. Candidacy Committee – [Regulation 918](#)**

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

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

General Membership: The requirement that a majority of voting members hold appointments in the student's department or academic unit may be waived under exceptional circumstances. Non-voting Senate members, faculty members from other universities, or non-Senate faculty with equivalent scholarly standing will be considered for general membership on the committee on an exception only basis. Exceptions will be granted by the Dean of the Graduate Division.

Additional Membership: Degree granting programs can choose to require either a three-, four-, or five-member Candidacy Committee consistent with the requirements above. They may also choose to require that one member of the Candidacy Committee be an "outside member," i.e., a member of the Irvine Division of the UC Academic Senate, who does not hold a primary appointment in the student's department or academic unit.

Whichever options are chosen, they must apply to all students in the degree program, be on record in the Graduate Division, and be published in a student handbook and/or on a departmental website.

The Oversight Member: See Conflict of Interest (Section 4).

**c. Doctoral Committee – [Regulation 920](#)**

a. Dissertation



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

b. Membership

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

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

- 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) General Members: Non-voting Senate members; faculty members from other universities; or non-Senate faculty with equivalent scholarly standing will be considered for general membership on an exception-only basis. Academic Senate members from UC's other than the Irvine Division do not require an exception, however, a curriculum vitae is required for verification.
- 3) Oversight Member: See Conflict of Interest ([Section 4](#)).

## ***H. 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, including the Master of Arts in Teaching (MAT) and the Master of Advanced Study (MAS) degrees. Six quarters in academic residence are required for the Master of Fine Arts degree programs (with the exception of Drama, which requires nine quarters) and the M.B.A. programs in the School of Business. 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 (SR 682).

### 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](#), and on individual department websites. Students are responsible for fulfilling requirements in effect the year in which they are admitted. If an academic program changes degree requirements, under certain circumstances, the student, with the approval of the faculty advisor and school's associate dean for graduate affairs, may opt to accept the new requirements

The following regulations of the Academic Senate, Irvine Division, apply to curricular requirements for students in Master's programs.

a. Coursework Requirements and Thesis and Examination Options

[\*\(Irvine Regulations \[IR\] 805/810/830/835\)\*](#)

1) (IR) 805 Master's Degree Options

The master's degree is attained by: Plan I, the Thesis option, or Plan II, the Comprehensive Examination option. A program may offer the option of one or both plans with the approval of the Graduate Council. Each of these plans has minimum coursework requirements, but programs may impose additional requirements.

2) (IR) 810 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.

Plan I (Thesis)

In addition to the thesis, a minimum of 28 quarter units in approved courses is also required, at least 20 of which must be earned in 200 series graduate-level courses exclusive of credit given for thesis research and preparation. A general examination is also required.

Plan II (Comprehensive Examination)

In addition to the comprehensive examination, a minimum of 36 quarter units in approved courses, at least 24 of which must be from graduate-level courses in the 200 series.

3) (IR) 830 Master's Degree Requirements: Thesis Committee: Plan I  
(Approved by Irvine Division May 11, 2000)

Under Plan I a thesis is required. A committee of three faculty members recommended by the academic unit\* shall approve the subject, pass on the content of the thesis, and administer the general examination. Usually the Chair of the committee directs the work.

3. 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.

Students should consult the [\*UCI Thesis and Dissertation Manual\*](#) for guidelines for writing and submitting theses/dissertations. Students are encouraged to attend the quarterly information sessions that discuss manuscript preparation and filing procedures.

An original Master's Final Degree Paperwork form with committee signatures and other signatures (as appropriate) must be submitted to the Graduate Division with all other final degree paperwork. The manuscript submitted electronically via ETD should not include a signature page.

4. Deadline for Filing

The advanced degree manuscript is expected to be submitted by the deadline in the quarter in which the degree is to be conferred. Friday of the tenth week of classes is the deadline for submitting theses 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 or enroll in units 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 [Registrar's website](#).

## 5. Public Access

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

### 4) (IR) 835 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.

#### b. Advancement to Candidacy

In accordance with University of California policy, students must be advanced to candidacy for their degree prior to the beginning of the final quarter of enrollment. An [Application for Advancement to Candidacy](#) initiated by the student and approved by the academic unit should be submitted to the Graduate Dean before (preferably 30 days before) the opening of the quarter 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.

Deadlines for submission and approval of the *Application for Advancement to Candidacy* are [published each quarter](#). If the student has not advanced to candidacy before the beginning of the quarter in which all requirements are completed, the degree will not be conferred until the end of the following quarter. When the student is formally advanced to candidacy, the student and the academic unit are notified.

#### c. Final Report for the Master's Degree

It is the graduate program's responsibility to insure 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.

If the student has satisfied all requirements except for satisfactory completion of the final quarter's coursework, the department should complete the certification and return it to the Graduate Division prior to receipt of final grade reports. The Graduate Division will verify final grades with the Registrar. The department is consulted if there is any doubt about conferral of the degree.

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

## ***I. Transfer of Credit***

The [General Petition](#) 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 ([UC Senate Regulation 726](#) and [UCI Senate Regulation 825](#)) and policy summarized in the [UCI General Catalogue](#).

Transfer of credit towards the master's degree requirements is only allowed for master's students and for doctoral students who are earning a master's degree *en route* to the Ph.D. Doctoral students earning a master's *en route* can only transfer, not waive, coursework that overlaps with the Ph.D. degree requirements.

- a. 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.
- b. 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 a student's first registered quarter following formal admission to a UCI graduate program.

### **2. Procedures**

- a. Petitions for transfer of credit should be submitted as soon as possible after first enrollment as a UCI graduate student or completion of the academic work for which transfer credit is requested. All petitions for transfer credit must be supported by official transcripts of the work completed, and sent directly to the Graduate Division (Attn: Enrolled Student Affairs Officer) by the issuing institution.
- b. Up to one-half the total units earned during regular academic quarters at another graduate division of the University of California, graduate courses taken with University of California Extension through concurrent enrollment (Concurrent enrollment means that the student took regularly offered UC courses but registered and paid for them through University of California Extension), or graduate courses taken as an undergraduate at UCI that were not applied to another degree. In this instance, the transferred units may reduce the number of required 200-level units for the degree. Students are still required to meet the minimum academic residency of three quarters for the master's degree.
- 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 (only for courses that are not regularly offered UC courses), another institution, or Summer Sessions at another UC campus. In this instance, the transferred units do not reduce the number of required 200-level units for the degree.

- d. Semester units will be transferred at 1.5 times the quarter unit value.
- e. In all cases, transfer credit may be allowed only for graduate-level work taken after awarding of the Bachelor's degree or when taken as an undergraduate in excess of both the unit and major requirements for the Bachelor's degree. If units were earned during undergraduate study, a letter from the institution is required stating coursework was not used towards 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.

## ***J. The Doctoral Degree***

### **1. Residency Requirement**

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

### **2. Teaching Requirement**

Most graduate programs require all 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. Refer to the section entitled Academic Appointments and Graduate Student Employment (Section IV) of this document for definitions, responsibilities, and requirements related to teaching titles.

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

### **3. Waiver of Coursework**

Graduate courses taken toward a graduate degree at another institution cannot be transferred for credit toward a Ph.D. degree at UCI. However, a course requirement may be waived if a similar course was taken at another institution. Waived courses reduce the number of courses required to fulfill the Ph.D. degree. The [General Petition](#) should be used for all requests for waivers of coursework. 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 the Graduate Division for review and approval. For students earning a master's degree *en route* to a PhD, please see Transfer of Credit policy for details. Students earning a master's degree *en route* can only transfer and not waive courses that overlap with the master's degree.

#### 4. Advancement to Candidacy

A student advances 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 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. Also refer to UCI's [Policy on Conflict of Interest and Graduate Education](#).

- a. Irvine Regulation (IR) 915 Advancement to Candidacy (Revised: Approved by Irvine Division May 11, 2000)

Graduate students are nominated for advancement to candidacy for the Ph.D. degree 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.

#### **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 to the Graduate Council via the Graduate Dean.

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

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

#### **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. 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](#). The Ph.D. Form I must be signed by all committee members at the time the candidacy examination is concluded. Prior to convening a student committee for an 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. The student must then submit the Ph.D. Form I to the Graduate Division. The date the student submits the signed and validated form will be the official date of advancement. The candidate and graduate program will be notified 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. Final Examination

If a final examination is required by the graduate program, the Doctoral Committee supervises that examination, the focus of which is the content of the doctoral dissertation. Ordinarily, the final examination will be given just prior to the completion of the dissertation and while the student is in residence during a regular academic session, and will be open to all members of the academic community. Administration of the final examination is subject to the policies of the Graduate Council governing critical examinations. This policy is outlined in [Section VI. D. Examinations](#), of this document.

Upon completion of the final examination (if required) and approval of the dissertation, the Doctoral Committee recommends, by submission of [Ph.D. Form II, Signature Page/Report on Final Examination](#) the conferral of the Ph.D. subject to final submission of the approved dissertation for deposit in Special Collections Archives for paper submission or to the Graduate Division for electronic submission. The Committee recommendation must be unanimous.

#### 7. 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.

Students should consult the [UCI Thesis and Dissertation Manual](#) for guidelines for writing and submitting theses/dissertations. Students 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  
Paper Submission

After the dissertation has been approved by the committee, two copies are submitted with the appropriate forms to the Special Collections and Archives ([archives@uci.edu](mailto:archives@uci.edu)) in the Langson Library, Room 525, who accepts it for deposit in University Archives.

*Electronic Submission*

UCI encourages Doctoral students and Master's students to submit their dissertation or thesis electronically via the UMI ETD system. All required and optional paper forms need to be submitted to the Graduate Division, 120 Aldrich Hall. Additional information is available at the [Graduate Division website](#).

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. Those students who complete requirements and submit dissertations 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 or enroll in units 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.

c. Public Access

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

***K. 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 graduate affairs committee for subsequent admission to Ph.D. status. If the committee decides not to accept the student for study leading to the Ph.D., the Dean, Director, or Chair of the academic unit offering the degree must notify the student in writing. If the committee accepts the



student for doctoral studies, the recommendation must be transmitted in writing to the Graduate Dean, who has the authority to approve and formally recognize the change to doctoral status. Notification must be sent via the [Change of Degree Level](#) form along with two letters, one from the advisor and another professor providing funding support. Only at that time will the student 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 Dean, Director or Department Chair of 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 via the [Change of Degree Level](#) form so that the student's record may be updated to reflect the student's degree status.

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

Within the same academic unit, the unit's committee that oversees graduate affairs 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 should be transmitted to the Graduate Dean. 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. The student must also submit an application for admission to the program. The student must indicate on the application their most recent quarter of enrollment at UCI.

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

If the unit's 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 Withdrawal 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.

## **L. Degree Conferral**

### **1. Registration Requirements**

Master's and doctoral degrees are conferred at the end of the academic quarter in which all requirements have been satisfied, subject to the final approval of the Graduate Council. Ordinarily, a graduate student will be registered for the quarter in which all degree requirements are completed and the degree is to be conferred. If all degree requirements (including acceptance of the dissertation or thesis by the librarian and completion of all required examinations) are completed before the first day of the regular academic quarter in which the degree is to be conferred, and the student was registered for the previous regular quarter, registration fees and enrollment are not required. Students who do not meet this second submission deadline may be eligible to pay a Filing Fee in lieu of registration under certain circumstances. (See Section V.C.5. on Filing Fee) Unless payment of a Filing Fee or an academic leave of absence is approved, a graduate student must register each quarter until all degree requirements are completed.

If a student does not complete the necessary courses by the end of the quarter in which degree conferral is expected, or does not attain the required level of scholarship, registration for the next regular academic session is mandatory; otherwise, student status and candidacy for the degree will lapse. Once status lapses, the degree can be conferred only after readmission of the student, followed by at least one quarter of registration and reinstatement to candidacy.

### **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 if requested by the student. As soon as all degree requirements are completed, the student may submit a [Degree Certification Request](#) form. 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.

## **M. *Posthumous Graduate Degrees and Certificates of Attendance***

The UC Irvine seeks to extend sympathy and compassion to the families of students who pass away near the completion of their degrees and to recognize the academic achievement of students who would have fulfilled the requirements of the degree. These actions must also be balanced with attention to academic and institutional integrity. The Graduate Division awards posthumous degrees to students who were enrolled or on leave at the time of death.

### **Master's Degree**

To be eligible for a master's degree under the comprehensive examination plan, the deceased student must have been enrolled in the final quarter of course work, the successful completion of which would have culminated in the awarding of the degree.

To be eligible for a master's degree under the master's thesis plan, the deceased student must have completed required course work and a draft of the thesis which, following review by the thesis committee is recommended as warranting conferral of the master's degree posthumously.

## Doctoral Degree

To be eligible for a doctoral degree (Ph.D., Pharm.D., D.N.P.), the deceased student must have advanced to candidacy, and completed a body of research or scholarship in tangible form (e.g., published work or substantially completed draft of the dissertation) that: (a) in substantia meets the degree program's standards for awarding the doctoral degree, and (b) following review by the dissertation committee, is recommended as warranting conferral of the doctoral degree posthumously.

## Procedure

The procedure for identifying and considering candidates for the award of posthumous graduate degrees is as follows:

1. A family Member, a dean or fellow student makes a formal request, in writing, to the Chair of the Department or Graduate Program Advisor in which the student was enrolled.
2. The Chair or Graduate Program Advisor notifies the Graduate Division of the request. Upon receipt, the Graduate Division will notify the person legally authorized to manage the deceased student's affairs that the process for considering the student for a posthumous degree has been initiated.
  - a. For a student being considered for a posthumous master's degree under the master's capstone plan, the Chair or Graduate Program Advisor should submit a formal request, in writing, to the Graduate Dean documenting that the student was enrolled in the final quarter of courses or enrolled in courses and the successful completion of which would have culminated in the awarding of the degree.
  - b. For a student being considered for a posthumous master's degree under the master's thesis plan or for a posthumous doctoral degree, the Chair or Graduate Program Advisor directs the thesis or dissertation committee to review: the student's academic record; the student's body of research and scholarly work; and the tangible evidence towards completion of the thesis or dissertation. The committee evaluates the portfolio on its merits and relative to the standards for awarding degrees in that program and makes a formal written recommendation to the Chair or Graduate Program Advisor. The Chair or Graduate Program Advisor then endorses and forwards that recommendation to the Graduate Division.
3. The Graduate Division reviews the recommendations from the committee and Chair/Graduate Program Advisor and confirms with the Registrar that the criteria for the degree have been met. If the student is found to have met the conditions for awarding the posthumous degree, the Dean of the Graduate Division will forward the request to the Graduate Council, who upon approving the request will instruct the Registrar to issue the designated degree.
4. The doctoral committee may find that a student completed a body of work that did not meet the program's standards for awarding the doctoral degree but met the conditions for awarding a master's degree under the capstone or thesis plan. The committee and Chair/Graduate Program Advisor may recommend to the Graduate Division, which will review it and confirm with the Registrar, that the master's degree criteria were met. For the master's capstone plan, the Graduate Division will update the degree objective and instruct the Registrar to issue the

designated degree. For the master's thesis plan, the procedure described in section 2b above is followed.

5. Degrees awarded posthumously will be noted on the commencement program, unless the person legally authorized to manage the deceased student's affairs declines.
6. The Registrar will release or mail the student's diploma to the person legally authorized to manage the deceased student's affairs. No indication of the posthumous nature of the award of the degree will appear on the diploma or in the student's official transcript. The Registrar will waive any fees associated with the administration of the posthumous degree.
7. Should the conditions for awarding a posthumous degree not be met, the Graduate Division may issue a Certificate of Attendance.

## **VIII. GRADUATE STUDENT SERVICES**

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

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

### ***B. Graduate and Postdoctoral Scholar Resource Center (GPSRC)***

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

## **IX. GRADUATE DIVERSITY PROGRAMS**

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

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

## **A. General Program Overview**

Diversity is an essential component of excellence in all aspects of the mission of UCI: teaching, research and service. The University of California's longstanding goal is to achieve a student body and faculty that reflect the diversity of the state, inclusive of those traditionally under-represented in various academic disciplines and of all cultural, linguistic, geographic and socioeconomic backgrounds. To achieve academic excellence, the university places a high value on a diverse graduate student population because diversity is critical to promoting lively intellectual exchange and the variety of ideas and perspectives that are essential to advanced research. In addition, graduate students form the pool of future academic leaders.

The Graduate Division has developed a comprehensive program designed to serve under-represented students. Participants must be U.S. citizens or permanent residents selected from groups whose participation in higher education is and has been historically low.

The program focuses on five major areas: outreach, recruitment, retention, financial support, and graduation. It encompasses program development and support services. The overall goal is to develop and implement strategies that promote a positive academic environment that supports the completion of master's and doctorate degrees.

In order for the University of California to continue to sustain its diversity goals, we have initiated strategic planning for effective outreach, recruitment and retention programs. These programs include, but are not limited to:

- **Recruitment**
  - Structured recruitment at local and national events geared towards underrepresented students
  - Participation as a member of the Southern California Forum for Diversity in Graduate Education planning committee
  - Assistance to academic units that seek additional support in developing or adjusting their existing recruitment methods
  - Supporting major on-campus graduate diversity recruitment events
  - Coordinating summer research and graduate preparation opportunities for diverse undergraduate and master's students interested in doctoral education at UC Irvine
- **Retention**
  - The Graduate Division is home to the federally funded FIPSE Comprehensive grant, DECADE (Diverse Educational Community and Doctoral Experience) which supports recruitment and retention of traditionally underrepresented minorities and women underrepresented in their disciplines.
    - Competitive Edge Summer Research Program for entering Ph.D. students who qualify as a DECADE participant. This program provides faculty mentorship in an 8 week summer pre-entry format designed to introduce students to their new campus.
  - Programming through the Graduate Resource Center that is open to all students and targets professional, academic, career and personal development.
  - Various peer mentorship and student groups are provided as a forum for students to engage other students, take on a leadership role and become engaged in their campus

Central to the success of these programs is the willingness of academic programs and their faculty to systematically evaluate and improve their recruitment and retention strategies. The resources provided by the Graduate Division are intended to facilitate departmental flexibility in developing student support offers that are both competitive and successful in attracting the best diversity

students, and in retaining these students and facilitating their success. To address these needs, the Graduate Division has established a pool of supplementary funds that will be available to schools/departments for their involvement in a comprehensive UCI outreach plan in support of their diversity recruitment and retention efforts, including the opportunity to partner in the development of multi-year fellowship support packages.

***B. Diversity Fellowship Eligibility***

Nominees for any diversity fellowship must be U.S. citizens or permanent residents. Awardees must be admitted to graduate study in a full-time program leading to a Ph.D., except for the Graduate Opportunity Fellowship where M.F.A. students are also eligible. Students beyond UCI's expected time-to-degree for their discipline are ineligible to receive diversity fellowships. Eligibility requirements vary. Therefore, it is essential that the guidelines for each fellowship be reviewed. Fellowships are awarded only to first-year students entering a graduate program during the fall quarter admission cycle. Continuing student nominations are considered in a separate competition during spring quarter (March-May). Faculty advisors are encouraged to review eligibility criteria for each specific award category.

***C. Fellowship Nomination Procedures***

The Graduate Division centrally administers diversity fellowships. Nominees will be evaluated on academic merit and the strength of their diversity qualifications. All potential nominees shall first be considered by academic units for traditional forms of assistance. Diversity fellowships are only awarded based on a nomination by the diversity fellow's home school or department.

To assist academic units in the diversity fellowship process, the Graduate Division conducts 2 information sessions each year – both in January. The sessions cover the diversity criteria, changes to the nomination processes, and funding levels for the coming cycle. Dates for the information sessions are published each fall.