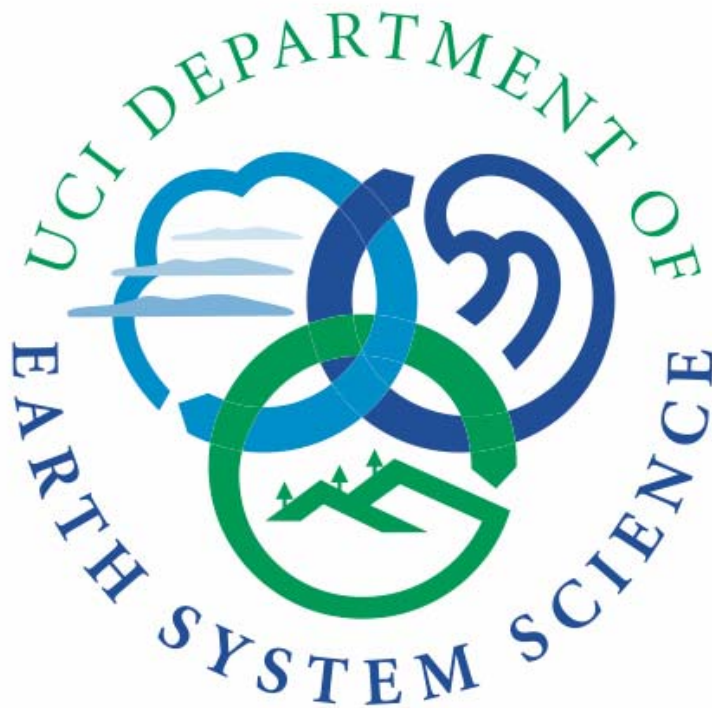


Graduate Student Handbook

Fall, 2009



UCIrvine
SCHOOL OF PHYSICAL SCIENCES
*Department of
Earth System Science*

Goals of the Department of Earth System Science

Our goals are to educate and contribute, through teaching and research, to a fundamental scientific understanding of the Earth system.

The Earth as a coupled system of atmosphere, ocean, land and cryosphere has changed in our lifetimes. The observed depletion of stratospheric ozone at high latitudes has been attributed directly to industrial use of halocarbons. Global warming is likely to result from increases in the atmospheric concentrations of greenhouse gases, such as carbon dioxide and methane, which are released by use of fossil fuel and agricultural practices. These examples illustrate the ability of humans to alter the global environment on the time-scale of decades. Understanding the sensitivity of the Earth's climate system requires a broad base of scientific knowledge which includes detection, quantification, and prediction of the rates of change of chemical, physical and biological variables in the atmosphere, ocean, cryosphere and terrestrial biosphere.

Our research interests focus attention on the atmosphere, ocean, cryosphere and terrestrial biosphere and on processes with the potential to change these systems over a human lifetime. An integrated approach is needed and our program requires a balance of field, laboratory and theoretical studies. Field and laboratory measurements define the rates and mechanisms of processes and exchanges within and between the atmosphere, ocean, cryosphere and terrestrial biosphere. They also provide information on the controls and feedbacks influencing these exchanges and permit identification of natural and anthropogenic processes. Long-term observations of the Earth system, along with historical data sets and paleoclimate records, provide baseline data against which trends may be defined. The parallel development of predictive numerical models incorporating these processes is needed to interpret observations and to assess changes on regional and global scales.

The department's doctoral and post-doctoral programs are aimed at training new research scientists in the field of Earth System Science. Our goal in graduate education is to develop a comprehensive curriculum and to conduct outstanding research involving graduate students. Our doctoral-level students are expected to become researchers with a global perspective and broad research skills as well as a high level of expertise in specific areas.

Our undergraduate education program is aimed at preparing citizens who are capable of making informed environmental decisions. Graduate students make an important contribution to the ESS undergraduate program by serving as teaching assistants. The undergraduate curriculum includes courses for scientists and non-scientists alike and emphasizes an understanding of the basic science involved in global change of the Earth's atmosphere, oceans, cryosphere and terrestrial biosphere.

Members of the department participate in review and assessment panels as well as in public forums so as to provide expert advice and evaluation regarding the scientific bases for global environmental policy at the state, national and international levels. The department is committed to recruiting and maintaining an internationally recognized faculty at both junior and senior levels with broad interests and experience, committed to collaborative, interdisciplinary research and education.

Our success should be judged by the quality of our students, by our contributions to interdisciplinary research and education on the Irvine Campus, and by widespread recognition as a lively intellectual center attractive to the best students, postdoctoral researchers, and visiting faculty.

Preface

This booklet is intended as a guide for beginning graduate students in Earth System Science. It provides information on questions that will be important for a new arrival, outlines department procedures and policies, and gives requirements for the Ph.D. degree in Earth System Science. It is neither an exhaustive compilation nor an official statement of requirements. The UCI General Catalogue and Student Handbook should also be consulted. Our intention is to update this booklet at regular intervals, so suggestions for additions and changes are welcome.

Introduction to the Department

Earth System Science is a relatively young department at UCI. It originated in 1986 as an initiative by School of Physical Sciences faculty, who proposed formation of an interdisciplinary graduate level program in geosciences, with an emphasis on global environmental change. The founding chair, Ralph Cicerone, joined the faculty in 1989 and by 1993 recruited 5 additional faculty with interests in global environmental change and specializing in atmospheric chemistry and biogeochemistry. The initial ESS faculty developed goals and an initial curriculum, and began offering courses during the 1993-94 academic year. Graduate students who joined the Earth System Science program prior to 1995 were rostered largely in the Department of Chemistry. Laboratories have been built, and a wide range of

research is underway. The name of the program was changed to Earth System Science to better describe our emphasis. A proposal to offer Ph.D. degrees was submitted in March 1994, was approved by the System-wide Faculty Senate in February 1995, and received final approval by the Office of the President in June 1995. The UCI Faculty Senate approved a proposal requesting a change from Program to Department Status in June 1995.

Getting Started

Department Location

The Department Office is Croul Hall 3200.

Contacts

Department Chair	Mike Goulden	CH 3319	824-1983
Graduate Advisor	Francois Primeau	RH 240J	824-9435
Acting Dept. Admin.	Cynthia Dennis	CH 3200C	824-3876
Personnel/Payroll	Linda Nelson	CH 3200D	824-3102
Student Affairs	Morgan Sibley	CH 3200B	824-1604
Student Asst.	Hector Lee	CH 3200	824-8794

Parking

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

Housing

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

Graduate Student Carrels

ESS places a high priority on providing individual work space for all first year graduate students. First year students are generally not committed to full-time research in any specific laboratory, therefore we try to provide the first year cohort desk space together. In the event that we are not be able to provide an assigned space for the first year class to have desk space together, due to space limitations or otherwise, conference rooms may be scheduled for use as a group, subject to availability. Please e-mail scheduling@ess.uci.edu to reserve a room.

Providing senior graduate students with carrels or equivalent quiet space beyond laboratory space is also a priority, and allocated if departmental

space is available. Every effort is made to make graduate student desk space habitable and quiet.

Keys

First-year ESS graduate students will be supplied with necessary keys to Croul Hall offices. Laboratory keys require permission of the responsible faculty member. Please e-mail Cynthia (cadennis@uci.edu) or Linda (lanelson@uci.edu) to request keys. In addition, card keys for after hours entrance into Croul Hall will be provided.

Mail

Campus and U.S. mail for students is deposited in mailboxes located in CH 3200A. The Department address is: Department of Earth System Science, University of California, Irvine, CA 92697-3100. The ESS ZOT CODE, which expedites delivery, is 3100.

Telephones, Fax machines, Internet Service

The telephones, fax machines, and internet service are to be used for department and research business only. We discourage personal faxes and telephone calls, but acknowledge that personal use is sometimes necessary. Personal use should be kept to a minimum. For on-campus calls, dial 4 and the extension. To call off-campus, dial 9, then the number. For long distance calls with a calling card, dial 9, then 0, followed by the number.

Copy Machines

The copy machine is located in Croul Hall 3200A. First year students are given a small budget for photocopying, you will be given a copy code to use the copy machine in 3200A and at the copy center in Reines Hall B003. Beyond the first year, copying should be covered by research projects. As with telephones, personal use should be kept to a minimum.

Library

A Science Library, which is close to ESS offices and laboratories, was dedicated and occupied in 1994. This library consolidates scientific holdings of the Main library, the Biological Sciences Library, the Physical Sciences Library and the Biomedical Library. Mitchell Brown is the Research Librarian responsible for ESS holdings, and can help with a variety of library needs. Student ID cards may be activated at the library for check-out privileges. ANTPAC, a public access catalog, provides information on UCI library materials. Libraries at Scripps Institution of Oceanography (UCSD) and UCLA are also accessible.

The Department has a small lending library as well as a collection of journals that can be made available upon request.

Funding

We are committed to funding students who are in good academic standing. There are three mechanisms for funding: department fellowships, research assistantships, and teaching assistantships. Most students are initially funded by department fellowship. Taxes are not deducted from fellowships, although they are considered taxable for reporting purposes.

Research Assistants (GSR or Graduate Student Researchers) are paid off a faculty member's research grant and is considered regular UCI employment; this is the typical funding mechanism while you work on your thesis research. Students are also required to gain teaching experience by serving for three quarters as teaching assistants (TA), normally in the second year. GSR and TA funding is considered payroll. Taxes are withheld from payroll according to how you fill out your employment paperwork. Please consult a tax professional if you have questions regarding tax withholding or liability.

University payroll is payable on the first of each month following the month worked. We try to align fellowship payments with the payroll system to make a smooth transition between the two systems. Unfortunately, we cannot completely control the dates payments are made, especially of fellowship payments. We encourage you to ask any questions about funding that you may have.

A number of extramural fellowships are available and usually involve preparation of a brief proposal. Graduate Division offers some guidance on fellowship opportunities at: <http://www.rgs.uci.edu/grad/finance/index.htm>

California Residency

Earth System Science covers non-resident fees for the first year. Graduate students who are U.S. citizens are expected to establish California residency so that they will not be liable for non-resident tuition in succeeding years. Foreign students are ineligible for a waiver of non-resident tuition. Obtain a Petition for Resident Classification from the office of the Registrar and file it shortly after you arrive. The following items are useful in demonstrating residence: Personnel Report showing date employment started, California Driver's License, California automobile registration, California voter card, California income tax return, bank statements, utility bills, and rent receipts, especially for summer months. Please be sure to update your permanent address to your home address right away. For further information and the petition to file for residency please see <http://www.reg.uci.edu/registrar/residence/index.html>.

Restricted Areas

Radiocarbon Laboratories

Research conducted in many Croul Hall laboratories involves the detection of natural levels of radiocarbon (^{14}C) and tritium (^3H). To minimize laboratory contamination which could possibly affect samples and compromise data quality, it is necessary to restrict access to these laboratories and associated equipment. Sample collection counting procedures are often separated by months, so occurrence and later discovery of a contamination event has the potential to compromise large amounts of data.

Rowland Hall 239 is the ESS laboratory designated for work with radioactive tracers. Work with radioactive tracers requires training and authorization by the UCI Environmental Health and Safety Office. *Under no circumstances should glassware, apparatus, or samples from this laboratory be transferred to Croul Hall laboratories.* Questions involving transfer of potentially radioactive samples or equipment from other campus buildings should be directed to Professor Druffel.

Common Use Areas

The Department Conference rooms in Croul Hall are for faculty and staff meetings, seminars, and for use as reading areas. No food, clutter, or use for extended periods is permitted.

Academic Matters

Deadlines and Requirements

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

Research Advisor

Each entering graduate student will be assigned a provisional advisor. The provisional advisor is assigned based on the student's interests and communications with faculty during the application processes. The provisional advisor may ultimately become the principal advisor (see below), but until a principal advisor is identified we encourage you to change advisors each quarter, giving you an opportunity to work with new people and try new areas of research. First-year graduate students should feel free to consult with their provisional advisor for any matters relating to their course of study or research goals.

By the end of the spring quarter in the first year each student needs to have their principal advisor identified and be working with that advisor to identify a possible summer research project.

Graduate Advisor

The duties of the Graduate Advisor are to supervise the activities of student advisory committees, review graduate study plans, and monitor the progress of all graduate students. The Graduate Advisor is also responsible for coordinating student awards, assigning teaching assistantships, overseeing curriculum revisions and organizing the comprehensive examination. Students should feel free to speak with the Graduate Advisor any time about any issues they may be experiencing.

Problems

Problems involving department policies or procedures should be addressed to the Chair or Graduate Advisor. Normally, a graduate student's principal advisor will attempt to solve problems. If unsuccessful, the advisory committee will address the problems followed by the Graduate Advisor and the Chair. In the case of more serious problems, the Dean of Physical Sciences and other university officials may become involved, but only after attempts at solving the problem within the Department are exhausted. Students are also welcome and encouraged to bring concerns or issues to the attention of any department staff member who can guide them on the proper course for resolution.

Ph.D. Degree

Requirements

Residence Requirement

Academic Senate regulations specify a minimum period of residence of six quarters for Ph.D. candidates. The normative time to degree in ESS is 5 years, therefore all Ph.D. requirements should be completed within fifteen quarters in residence, excluding summer quarters. Exceptions must be put to a vote of the ESS faculty.

Language/Alternate Skills

There is no formal foreign language requirement. However, since journals and research results in most aspects of Earth System Science are in English you are expected to be proficient in English. In some cases another foreign language or research tool requirement may be applicable in individual cases determined by the student's Advisory Committee.

English Exam

Students whose first language is not English are required to pass a qualifying English exam to be employed as a teaching assistant. In preparation of this exam, students are required to enroll in ESL courses that

are offered at UCI. **Students who have not passed the English exam must take English classes and at least one exam every quarter to remain in good academic standing.** The department will cover the cost of the first exam. Details regarding English exams can be found at: <http://www.humanities.uci.edu/hirc/speak/>.

Teaching Requirement

Students are required to complete a teaching assistant training program and to serve as teaching assistants for a minimum of three quarters. Students serving as a "TA" should enroll in four units of University Teaching each quarter they are a TA.

Seminar Requirement

All students are expected to participate in the Department Seminar (ESS 290).

Course Requirements

A minimum of 10 approved graduate-level courses, including the course core curriculum, must be completed with a grade of B or better. Courses completed with less than a "B" are not considered satisfactory, and therefore, may not be counted towards degree requirements. All courses must be approved by the student's provisional or principal advisor.

Enrollment in a minimum of 12 units of graduate/upper division coursework per quarter is required. After the first year, students may take up to 12 units of ESS 299, Research, or a combination of other courses and Research credit. Course loads in excess of sixteen units per quarter require advance approval by the advisory committee and the Dean of Graduate Studies.

Registration in every regular academic session is necessary until all requirements for the degree have been completed, unless a formal Leave of Absence is granted by the Office of Graduate Studies.

Credit for no more than one fifth of the minimum number of courses required for the Ph.D. may be given for graduate-level work satisfactorily completed at another institution or through University Extension prior to first graduate enrollment at UCI. Transfer of credit occurs after formal petition only, and must be approved by the Advisory Committee and the Dean of Graduate Studies. Grade credit is not transferred.

Courses offered by the Program in Earth System Science are described fully in the General Catalog. The ESS core courses are:

Fall	Winter	Spring
ESS 211 Geoscience Data Analysis	ESS 215 Cryosphere	ESS 201 Paleoclimate
ESS 220 Earth System Climatology	ESS 227 Geo Fluid Dynamics I	ESS 203-Earth System Change
ESS 223 Earth System Physics	ESS 229 Geo Fluid Dynamics	ESS 213 Geoscience Modeling
ESS 261 Biogeochemistry I	ESS 231 Global Hydrology	ESS 263-Terrestrial Ecology
ESS 262 Global Biogeochemistry	ESS 241 Atmospheric Chemistry	ESS 265-Ocean Ecology
ESS 298A-Practicum I	ESS 298B-Practicum II	ESS 298C-Practicum III

Additional requirements, but not counted as part of the 10 courses:

- ESS 290 A-B-C Seminar in Earth System Science
- ESS 299 A-B-C Research in Earth System Science

Elective courses to complete or exceed the 10 course requirement should include graduate level and upper division undergraduate courses from other programs. ESS maintains a strong interdisciplinary focus, and we encourage students to select from a range of courses offered in the Departments of Chemistry, Physics, Mathematics, Ecology and Evolutionary Biology, Mechanical Engineering, and Civil Engineering. Approval of the student's advisor is required.

Second Year students are expected to enroll in a combination of Special Topics Courses (ESS 282A,B,C and ESS 286A,B,C); ESS 299, Research; and ESS 399, University Teaching (when serving as a teaching assistant) to create a full course load of 12 units.

Dissertation

A dissertation based on original research and demonstrating critical judgment, intellectual synthesis, creativity and skill in written communication is required for the Ph.D. degree. The student's Dissertation Committee will work closely with the student during dissertation research and preparation, and must be unanimous in approval of the final dissertation. The dissertation must summarize the results of original research performed by the student under the supervision of a faculty member of the ESS program. The criterion of acceptability of a dissertation

is that its contents be judged by the committee as suitable for publication in a peer-reviewed scientific journal of high editorial standards. The dissertation may be a compilation of published papers or manuscripts accepted for publication, so long as a major proportion of the material has been produced independently by the candidate, the format and content are approved by the Dissertation Committee, and University requirements for style, format, and appearance are met.

Examinations

ESS Comprehensive Examination

A single, department-wide Comprehensive Examination for all eligible first-year students administered by the Earth System Science faculty will be given in July each year. This examination determines the readiness of the student to continue the Ph.D. program in Earth System Science. The Comprehensive Examination is given in a written format and will emphasize breadth, general knowledge, and the ability to integrate the material covered in the core curriculum. Students that do not pass the written exam are given the option to retake the exam by oral examination, which provides an opportunity to clarify questions that arise from the student's performance on the written examination.

Advancement to Candidacy Examination

The student must form a five-member faculty committee selected according to Academic Senate Policy included here as appendix "A" and found at: http://www.senate.uci.edu/senatweb/default2.asp?active_page_id=726. When forming your committee, keep in mind that one of the faculty members must be an external member (i.e., have no formal affiliation with Earth System Science but be UCI faculty). Ideally, students should advance to candidacy by the end of the spring quarter of your second year in the program.

A unanimous vote of the committee is required to pass the examination. A student who does not pass the candidacy examination shall have the option of a second examination. 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 disqualification from the Ph.D. program. The question of whether to recommend disqualification to the Dean of Graduate Studies will be decided by a majority vote of the ESS faculty. A third examination may be given only with the approval of the faculty and the Dean of Graduate Studies.

The Candidacy Committee Chair will convey the results of the Candidacy Examination and the Composition of the Doctoral Committee to the Graduate Advisor for recording and transmittal to the Office of Graduate Studies.

Following successful completion of the candidacy examination, a three member Doctoral Committee to supervise and approve the Ph.D. Dissertation will be nominated by the graduate student with the principal advisor's approval and forwarded to the Dean of Graduate Studies for appointment. The chair of the Doctoral Committee is the student's principal advisor.

Graduate Annual Committee review process

Students are required to convene their committees annually wherein the student's progress is discussed and the Annual Committee Form (see appendix "B") is completed jointly. Written faculty feedback is given to the student and progress is either deemed satisfactory, unsatisfactory, or specific concerns are outlined.

Students entering their second year should form their dissertation committee before the end of the fall quarter and call a committee meeting by that time. Only ESS committee members are required to attend the first meeting. The purpose of the first meeting is to make sure the students get input from the committee before they prepare for their advancement exam by the end of the 2nd year.

Final Examination (Defense of Dissertation)

The text of the Ph.D. dissertation must be submitted to the Doctoral Committee for its review at least two weeks in advance of the scheduled Final Examination date.

When the committee judges the dissertation to be acceptable, the student will present his or her dissertation research in a one-hour public seminar. We will attempt to involve an outside examiner or reader in the final examination. Following this seminar, the Doctoral Committee will examine the student on the contents of the dissertation. A unanimous vote of the committee is required for approval of the dissertation.

The results of the Doctoral Committee's scrutiny of the dissertation will be conveyed by the committee chair to the program academic coordinator for transmittal to the Office of Graduate Studies.

Academic Honesty

The importance of academic integrity cannot be overstated. It is never acceptable to present someone else's work or research as your own.

Students are expected to, at all times, adhere to *The UCI Academic Senate Policies on Academic Honesty* which are included in this packet as Appendix "C". Occurrences of academic dishonesty will be dealt with on a case-by-case basis and may result in dismissal from the ESS graduate program.

Termination policy

Students who have been deemed to be making unsatisfactory progress will be provided a warning of dismissal letter which outlines reasons for unsatisfactory progress. An opportunity to correct deficiencies and a specified deadline time will be given.

Typical Timetable

Ph.D. Degree in ESS

Year 1

- Provisional advisor assigned upon entering the program
- Completion of core courses and three quarters of residence
- Principal Advisor in place by the end of the spring quarter
- Research identified, proposed and presented in ESS practicum
- Completion of ESS Comprehensive Exam, with recommendation to continue for the Ph.D.
- Summer research based on practicum proposal, following comprehensive exam

Year 2

- Appointment of Advancement Committee
- Serve as teaching assistant
- Complete Advancement to Candidacy Examination with recommendation for advancement as Ph.D. candidate

Years 3 through 5

- Complete teaching assistant requirements
- Dissertation research and writing
- Submission of an acceptable doctoral dissertation
- Dissertation defense

I have read ESS's *Graduate Student Handbook* and *The UCI Academic Senate Policies on Academic Honesty* and understand the contents within.

Signed: _____

Print name: _____

Date: _____

Please return this form to Morgan Sibley no later than September 30, 2009.

**THE MANUAL OF THE IRVINE DIVISION OF THE ACADEMIC SENATE
PART II - REGULATIONS OF THE IRVINE DIVISION**

Chapter IV: Doctor of Philosophy Degree Requirements

Regulation 918. Candidacy Committee. (Am 1 October 1998 RA) (Am 11 May 2000 DSA)

Membership

The Candidacy Committee is comprised of five faculty who are voting members of the University of California Academic Senate. Non-voting Senate members or faculty holding professorial titles at other Universities will be considered on an exception-only basis. 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 following additional criteria apply to the membership of the committee.

The Chair

The Chair of the Candidacy Committee must hold either a primary or joint appointment in the student's department (or academic unit¹) and must be a voting member of the UC Academic Senate. No exceptions to these requirements will be considered. [Please see Footnote 1 for "Definitions of Academic Unit".]

General Membership

At least two members in addition to the Chair must hold either a primary or joint appointment in the student's department or academic unit. No exceptions to the requirement that a majority of voting members hold appointments in the student's department or academic unit will be considered. Non-voting Senate members or faculty holding professorial titles at other Universities will be considered on an exception-only basis.

The Outside Member

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

The Oversight Member

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

Role of the Oversight Member:

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

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 Dean of Graduate Studies, 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 or faculty members from other universities, or when appointment of an Oversight Member is perceived to be necessary, a request for an exception or nomination must be submitted in writing to the Dean of Graduate Studies (see below).

Non-voting Senate members or faculty holding professorial titles at other Universities will be considered on an exception-only basis. The Dean of Graduate Studies 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 unit¹ may be required by the Dean of Graduate Studies.

Oversight Member: The Dean of Graduate Studies shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor and the departmental representative. If no agreement can be reached on three nominees, the departmental representative -- either the graduate advisor or the chair if the advisor is conflicted -- will select the nominations. The request for appointment of an Oversight Member must be submitted in writing to the Dean of Graduate Studies no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request will also include background information describing the circumstances of the possible conflict. The Dean of Graduate Studies will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.*

It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor/Mentor or Associate Dean for Graduate Affairs as appropriate, and the Chair of the Candidacy Committee: 1) to inform the student regarding the policy on Candidacy Committees -- including full disclosure of issues pertaining to the possibility of a conflict of interest that is potentially harmful to graduate students; 2) to provide graduate students with a policy statement on such possible conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first; and 3) to ensure that these Academic Senate policies are followed.* Should these Senate policies not be followed the student will be required to retake the Qualifying Exam.

* **Note:** Areas of assigned responsibility are further defined in the UCI Academic Senate policy statement dated March 2, 2000 and entitled "Proposed Policy and Procedures for Implementation of Academic Senate Policy on Conflict of Interest and Graduate Education. (See Appendix XII.)

ANNUAL COMMITTEE REPORT (Page 1 of 3)

STUDENT: _____

DATE: _____

A. Dissertation Status

1. Dissertation Title: _____

2. Quarter and year student entered graduate school: (F W S S) Year _____

3. Date of advancement to candidacy: (F W S S) Year _____

4. Expected quarter and year of thesis defense: (F W S S) Year _____

B. Course Work and TA Service

1. List all TA service so far (such as 2005F): _____

2. List all course taken since last annual committee report (such as ESS298): _____

C. Research Activities (since last annual report)

1. A brief summary of field work, modeling work, and/or data analysis

2. Presentations

ANNUAL COMMITTEE REPORT (Page 2 of 3)

STUDENT: _____

DATE: _____

3. Publications

D. Comments from the Committee

E. Specific Tasks Requested by the Committee for the Student to Complete by the Next Committee Review

ANNUAL COMMITTEE REPORT (Page 3 of 3)

STUDENT: _____

DATE: _____

F. Committee's Evaluation of Student Progress

- () **The committee determines that the student has made satisfactory academic progress.**
- () **The committee has concerns about the student's academic progress.**
- () **The committee determines that the student has not made satisfactory academic progress.**

Name

Signature

_____ Thesis Advisor _____

_____ Committee Member _____

_____ Committee Member _____

_____ Committee Member _____

_____ Committee Member _____

This report should be submitted to the Department by the Thesis Advisor. By signing the following line, the student acknowledges that he/she has read the submitted report from the Department.

_____ Student _____

Date _____

ACADEMIC HONESTY

The UCI Academic Senate Policies on Academic Honesty were approved by the Irvine Division on June 2, 1988, and most recently revised on June 7, 2007.

A. PREAMBLE

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

B. RESPONSIBILITIES

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

Faculty have primary responsibility for:

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

Students have responsibility for:

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

C. WHAT IS ACADEMIC DISHONESTY?

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

Cheating

1. Copying from others during an examination.

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

Dishonest Conduct

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

Plagiarism

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

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

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

Collusion

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

D. PROCEDURES FOR DEALING WITH INCIDENTS OF ACADEMIC DISHONESTY

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

ensure that penalties assessed are commensurate with the offense and that repeated infractions be detected and dealt with appropriately.

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

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

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

Authority of Faculty Members

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

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

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

Responsibilities of the Academic Associate Deans

1. The Associate (Graduate or Undergraduate) Dean of either the accused student's school or of the faculty member's school may impose campuswide sanctions. Sanctions imposed by Associate Deans are final unless the student requests a hearing within 15 calendar days of notification. The 15-day period starts from the time the Associate Dean has notified the student of the discipline or has notified the student of the hearing and appeal process by providing a copy of this policy, whichever comes later. It is recommended that each case be brought to a final resolution within 90 days of instruction.
2. The Associate Dean (or equivalent official) of each school is responsible for maintaining confidential records concerning academic dishonesty of students enrolled in that school. All letters reporting faculty-imposed academic penalties for academic misconduct will be included in these files.
3. The Associate Dean of the accused student's school will be responsible for identifying all incidents which represent repeated offenses by a student and may impose a campuswide sanction because of repeat offenses.

4. Associate Deans are required to notify the student of the hearing and appeal process and provide the student a copy of this policy or explicitly refer the student to it. If an Associate Dean suspects grounds for a grievance involving discrimination, the student should be referred to Appendix II of [The Manual of the Irvine Division of the Academic Senate](#), "Student Academic Grievance Procedures Relating to Non Discrimination" (which is limited to allegations of discrimination).
5. In those classes where academic dishonesty continues to be a problem and the faculty member or another university official has already been approached by the student(s) from the class, the Associate Dean will consult with the appropriate faculty member to address the problem.
6. Students who have on file recorded acts of academic dishonesty, as defined by the [Policies Applying to Campus Activities, Organizations, and Students](#), may be excluded by the Associate Deans from consideration for academic honors at graduation. Another consequence could be that in admission to a major, for students who wish to change majors, individual majors may take into account the commission of an act of dishonesty. Exclusion from consideration for honors and exclusion from major change is not for the purposes of this policy to be considered a campuswide sanction. Students excluded from such consideration under this policy therefore are not eligible to request a formal hearing.
7. In those situations where a campuswide sanction is imposed and the student requests a hearing, the Associate Dean will forward to the Hearing Panel on Academic Honesty the materials which led him or her to impose the sanction. In addition, the Associate Dean will appear before the Hearing Panel to discuss the case upon request of the Hearing Panel.

Student Hearings

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

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

Role of the Ombudsman

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

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

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

Role of the Deans of Undergraduate Education and Graduate Studies

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

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

E. HEARING PANELS ON ACADEMIC HONESTY

1. Jurisdiction of the Hearing Panels on Academic Honesty

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

2. Composition of the Hearing Panels on Academic Honesty

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

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

3. Role of the Associate Dean

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

4. Hearings

- a. If the student requests a hearing, the Office of the Dean of the Division of Undergraduate Education or the Dean of Graduate Studies shall schedule a hearing of the case before the appropriate Hearing Panel. Written notice must be given to the parties involved regarding the date, time, and place of the hearing.
- b. The chair will be elected by the membership of the Hearing Panel. The chair will rule on all questions of procedure, the admission or exclusion of evidence, and the need to call witnesses for additional testimony. Hearings shall be held in accordance with generally accepted standards of procedural due process.
- c. Hearings will be closed unless the parties involved agree to an open hearing. Every effort must be made by all parties to maintain confidentiality during the process.
- d. Hearings shall be held following the provisions in sections 103.11. (5, 6, and 8) of the Policy on Student Conduct and Discipline in the [Policies Applying to Campus Activities, Organizations, and Students](#), except that the role of the Dean of Students shall be filled by the Dean of the Division of Undergraduate Education or Graduate Studies, depending on the status of the student.

5. Report of the Hearing Panel on Academic Honesty

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

6. Final Appeal

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

7. Implementation

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

F. MAINTENANCE OF DISCIPLINARY RECORDS

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

ADDITIONAL INFORMATION

This policy is intended to focus solely on issues related to academic dishonesty. Certain details of the implementation of procedures specified here can be found in the UCI publication [Policies Applying to Campus Activities, Organizations, and Students](#), available free of charge from the Office of the Ombudsman, located in University Tower, Suite 650-A; the Office of the Dean of Students, located in the UCI Student Center; and on the World Wide Web at http://www.dos.uci.edu/judicial/uci_policy.html.