UCI Department of Earth System Science

Graduate Student Handbook
Fall 2022

UCI School of Physical Sciences

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The Department of Earth System Science Mission Statement

To contribute through research and teaching to a fundamental scientific understanding of the Earth as a coupled system, to train the next generation of scientists, to provide environmental science relevant to society, and to engage the public about global change.

We envision a society that values scientific discovery and uses this knowledge to make informed decisions about the future of the planet.

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 and the interactions of natural and human system components.

The UCI Department of Earth System Science (ESS) is the first U.S. university department to carry the name of "Earth System Science" and to be dedicated exclusively to understanding the Earth as a coupled system. Current departmental research is focused on key areas of environmental and climate science including biogeochemistry of the land, ocean and atmosphere, climate dynamics, atmospheric science, glaciology and cryosphere science, and the global water cycle. In the past several years, the department has strategically grown in the research area of examining human systems and their interaction with natural systems. In addition to research and teaching, we work to engage policy makers and the community on a range of issues that affect the local and global environment.

The department's doctoral and postdoctoral 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 faculty.

Program Learning Outcomes (PLOs) for PhD in Earth System Science

Core Knowledge:

- Understand how basic sciences (physics, chemistry, mathematics, and biology) relate to the major processes and systems governing Earth's climate, biogeochemical cycles, and global change
- Explain the current and projected future state of the Earth system in the context of past climate change and current human activities
- Acquire a multidisciplinary vocabulary sufficient to understand the scientific literature relevant to Earth system science

Research Methods and Analysis:

- Understand the methods used to collect and analyze or simulate environmental data, and to interpret results in the context of underlying theory
- Acquire sufficient specialized knowledge to conduct independent research

Pedagogy:

- Use pedagogical practices in discussions, lesson plans, and/or lectures to lead a group to improved understanding of scientific material

Scholarly Communication:

- Effectively communicate scientific knowledge in talks, posters, and manuscripts

Professionalism:

- Work collaboratively to understand and address complex problems related to the Earth system

Independent Research:

- Design and conduct original high-quality research

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 should also be consulted. This handbook is updated annually and is published on the ESS website.

Introduction to the Department

UCI Earth System Science originated in 1986 as an initiative by the School of Physical Sciences faculty, who proposed formation of an interdisciplinary graduate level program in geosciences, with an emphasis on global environmental change. The department now has twenty-six full-time faculty and approximately sixty graduates focusing on research areas in atmospheric chemistry, biogeochemical cycles, physical climate, and human systems. Currently, the department offers a BA in Environmental Science and Policy, a BS in Earth System Science, a minor in Earth and Atmospheric Sciences, and a PhD in Earth System Science.

Getting Started

Department Location

The Department Office is located in Croul Hall 3200. Laboratory spaces and offices are located in Croul Hall, Rowland Hall, and the Interdisciplinary Science and Engineering Building.

Parking

All vehicles must have 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.

Housing

UCI has guaranteed graduate housing for incoming students admitted before May 1, 2022. For more information, or to apply, please see http://www.housing.uci.edu/.

Graduate Student Work Space

ESS places a high priority on providing individual work space for all graduate students. During the first year, incoming graduate students are assigned a desk in the graduate space in the basement of Croul Hall. Desk assignments will be done by lottery at orientation. Starting in the second-year, students are assigned space based on availability, taking research groups into consideration. Every effort is made to make graduate student desk space habitable and quiet.

Teaching Assistant Office Hour Space

Croul Hall 3103 can be reserved for TA office hours. A sign-up sheet will be posted on the door at the beginning of each quarter.

Keys

ESS graduate students are supplied with necessary keys to offices and a card key for after-hours entrance into the building once required safety training is completed. There is a $20 refundable deposit for each key. For any questions or concerns regarding key issues, please contact Elliot McCollum (mccolluc@uci.edu).

Mail

Campus and U.S. mail for students is deposited in mailboxes located in CH 3200. 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. Mail services are for business purposes only.

Telephones, Fax machines, Internet Service

Telephones, fax machines, and internet service are to be used for department and research business only. For on-campus calls, dial 4 and the extension. To call off-campus, dial 9, then the number. You'll access UCI wifi with your UCInetID and password.

Copy Machines

A 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. Copy services are for business purposes only.

University Travel

The ESS department follows the UC Office of the President travel policies. These policies can be found on the ESS internal website: https://www.ess.uci.edu/internalESS/travel. Please familiarize yourself with these policies. You are highly encouraged to contact the ESS travel coordinator (travel@ess.uci.edu) prior to making travel arrangements. The travel coordinator will ensure your travel expenses are in compliance with UC travel policies and are reimbursable.

Before any travel, students should register their trip: https://ehs.ucop.edu/away. Note that additional risk mitigation is *required* for international travel: https://studyabroad.uci.edu/about/independent-international-activities/

Library

The Science Library was dedicated and occupied in 1994. 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. Moreover, 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: 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 by faculty member's research grants and are considered regular UCI employees; this is the typical funding mechanism while you work on your dissertation research. Students are also required to gain teaching experience by serving as teaching assistants (TA). GSR and TA funding is considered payroll. Taxes are withheld from payroll according to how you fill out your employment paperwork. Please consult a tax professional if you have questions regarding tax withholding or liability. Appendix I includes the typical graduate student payment schedule.

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.

Due to the two payment systems (university payroll and the fellowship system) you will need to **sign up for direct deposit for both** systems. Please follow the directions at https://fs.uci.edu/student-billing/direct-deposit-deft.php.

While the Department is committed to funding students in good students, we expect students to be applying for outside funding. Below are helpful links for finding outside funding opportunities.

UCI Fellowship opportunities: https://grad.uci.edu/funding/current-fellowships/
NSF GRFP: https://www.nsfgrfp.org/
NASA Fellowships: https://www.nasa.gov/stem/fellowships-scholarships/index.html
UCI AGS Travel Grants: https://www.ags.uci.edu/services/travel/

Helpful Links:
Payroll information (including employment verification and paystubs): https://ucpath.uci.edu/
ZotAccount: https://zotaccount.uci.edu/

California Residency

Earth System Science covers non-resident fees for the first year. Graduate students who are U.S. citizens and permanent residents are expected to establish California residency so they will not be liable for non-resident tuition in succeeding years. International students are not eligible to establish residency. Obtain a Petition for Resident Classification from the office of the Registrar and file for residency reclassification after the first year during the petition period, usually from June to August. The following items are useful in demonstrating residence: Employment verification showing date employment started, California Driver's License, California automobile registration, California voter card, California income tax return, bank statements, utility bills, and rent receipts, especially for summer months. Please be sure to update your permanent address to your home address right away. For further information and the petition to file for residency please see https://www.reg.uci.edu/residency/classification.html

Student Health Insurance Plan

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

Restricted Areas

Radiocarbon Laboratories

Research conducted in many Croul Hall laboratories (incl. 1222, 2212, 2222, 2313, B321) involves the detection of natural levels of radiocarbon (^{14}C) and other isotopes. 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 and measurement procedures are often separated by months, so occurrence and later discovery of a contamination event has the potential to compromise large amounts of data. Do not conduct experiments with radioactive tracers in Croul Hall, consult with the radiocarbon group (Dr. John Southon) before conducting stable isotope work, and always ask permission before entering labs.

Rowland Hall 239

is the ESS laboratory designated for work with radioactive tracers. This work 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 Ellen Druffel (edruffel@uci.edu).

Room Reservations

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. Conference rooms may be scheduled as needed. Please see https://www.ess.uci.edu/internalESS/roomreservation for availability

and to submit a room reservation request. If you have any questions about your reservation please contact scheduling@ess.uci.edu.

Academic Matters

Deadlines and Requirements

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

Research Advisor

Each entering graduate student will be assigned a provisional advisor(s). 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 you can change provisional advisors as necessary to explore new opportunities, colleagues, and areas of research. First-year graduate students should 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 to be working with that advisor to identify a possible summer research project.

Graduate Advisor (Vice Chair of Graduate Studies)

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

Addressing Concerns

Normally, a graduate student's principal advisor or thesis committee will attempt to solve problems. Problems involving department policies should be addressed to the Graduate Advisor or 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.

Maintaining Good Academic Standing

Students who are not in "good standing" as defined in Appendix II will be provided a warning letter which outlines the reasons for unsatisfactory progress. An opportunity to correct deficiencies and a specified deadline time will be given.

Academic Honesty

The importance of academic integrity cannot be overstated. It is never acceptable to present someone else's work or research as your own. Students are expected to, at all times, adhere to *The UCI Academic Senate Policies on Academic Honesty* which are included in this packet as Appendix VI. Occurrences of academic dishonesty will be dealt with on a case-by-case basis and may result in dismissal from the ESS graduate program.

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 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 may be applicable, individual cases are determined by the student's Advisory Committee.

English Exam

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. 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.** Details regarding English exams can be found at: https://www.humanities.uci.edu/glc/toep/.

Teaching Requirement

Students are required to complete a teaching assistant training program and to serve as a teaching assistant. First-time Teaching Assistants (TAs)are required to attend the TA Training (TAPDP) once at the beginning of Fall quarter. First-time TAs are also strongly encouraged to enroll in the special topics course ESS 280B: ESS Teaching Topics during Winter quarter.

Seminar Requirement

All students are expected to participate in the Department Seminar (ESS 290) and in special topics seminars (ESS 280/ESS286) throughout their time in the program.

Course Requirements

A minimum of 9 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" (e.g., B-minus or C-plus) 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 or other courses and Research credit. Course loads in excess of sixteen units per quarter require advance approval by the advisory committee.

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 Graduate Division.

Credit for no more than one fifth of the minimum number of courses required for the M.S. 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, the Department Graduate Advisor, and the Dean of Graduate Studies. Grade credit is not transferred.

The UC Senate does not allow for transfer coursework for the Ph.D. The Advisory Committee may submit a formal petition to waive course(s) for the Ph.D. The petition must be approved by the Department Graduate Advisor and the Dean of Graduate Studies.

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 200 Global Phys Climate	**ESS 204 Human Systems***	**ESS 298 Practicum in Earth System Science**
ESS 266 Global Biogeochemical Cycles		

*For the 2022-2023 cohort, the ESS Graduate Curriculum Committee approved waiving the ESS 204 core requirement. Students are strongly encouraged to take the course when it is offered again during the 2023-2024 academic year. Otherwise, students are expected to take one additional elective course in place of ESS 204 in order to fulfill the 9-course requirement.

Additional requirements, but not counted as part of the 9 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 9 course requirement should include graduate level ESS courses and potentially graduate level courses from other departments. 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.**

After the first-year students are expected to enroll in a combination of elective courses, Special Topics Courses (ESS 280A-B-C and ESS 286A-B-C); and ESS 299, Research; to create a full course load of 12 units.

ESS Comprehensive Examination

A department-wide Comprehensive Examination for all eligible first-year students administered by the Earth System Science faculty is given in June each year. This examination determines the readiness of the student to continue the Ph.D. program in Earth System Science. The Comprehensive Examination will be given in a written format and emphasize breadth, general knowledge, and the ability to integrate the material covered in the core curriculum, excluding the practicum course.

The written exam is offered approximately 10 days after the end of finals. The format for the written exam is typically six questions given in two three hour blocks, with a break for lunch. Students are given the opportunity to keep copies of their exams and are able to use calculators. Students who 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. The oral exam is usually offered three days after the written exam.

The Comprehensive Examination is designed to test each student's ability to solve problems on their own. During the (multiple day) interval between the commencement of the written examination and the delivery of final results, students are not permitted to collaborate or confer with each other about the contents of either exam. During this interval students must not ask for, give, receive or exchange resources or information regarding the exam or exam topics with anyone, in any form.

The 2022 ESS Comprehensive Exam schedule is:
Written Comprehensive Exam: Monday, June 26th
Oral Comprehensive Exam: Thursday, June 29th

Students must be present and available for these dates.

Advancement to Candidacy Examination

The student must form a five-member faculty committee selected according to Academic Senate Policy included here as Appendix III and found on the UCI Academic Senate website. When forming your

committee, keep in mind that one of the faculty members must be an external member (i.e., UCI faculty without formal affiliation with Earth System Science). Students should complete their course work (9 approved graduate-level courses, including the course core curriculum,with a grade of B or better) and identify their committee and examination date no later than by the end of the spring quarter and advance to candidacy no later than by the end of the summer of their 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 Student Affairs Manager for recording and transmission to the Graduate Division.

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

All students are expected to meet frequently with their advisors, and should discuss their research plans and course enrollment at least on a quarterly basis.

In addition, students are required to complete an Individual Development Plan (see Appendix IV) annually during the academic year with their advisor (students who have not yet advanced to candidacy) or dissertation committee (PhD candidates) that is submitted to the department. Written faculty feedback is given to the student and progress is either deemed satisfactory, unsatisfactory, or specific concerns are outlined.

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.

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 Student Affairs Manager for transmission to the Graduate Division.

Typical Timetable for the ESS Ph.D Degree

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
Completion of additional elective and/or research credits
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.
International students are expected to pass the English exam.
May serve as a teaching assistant

Year 2

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

Years 3 through 5

Serve as teaching assistant
Dissertation research and writing
Submission of an acceptable doctoral dissertation
Dissertation defense

Appendix I: Graduate Student Payment Schedule

ESS Graduate Student Funding

Listed below is the standard UCI Department of Earth System Science graduate student salary and payment schedule. Please note that each individual situation is different and there are some administrative constraints that we must work within. It is the student's responsibility to report any variation in payment (other than slight adjustments in payday or net income due to withholding). While we make every effort to adhere to this schedule, mistakes do happen. We encourage you to confirm receipt of funds before spending and bring any inconsistencies to the attention of department staff immediately, students will be held responsible in cases of payment overages.

2022-2023 Annual rate for Earth System Science graduate students: $36.913.40

Pay date (approximate)	Pay period	Amount	Comments
10/1	September	$2,565.21	Incoming students receive moving allowance
11/1	October	$2,642.17	First stipend payment for incoming students
12/1	November	$2,642.17	
1/1	December	$2,642.17	
2/1	January	$2,642.17	
3/1	February	$2,642.17	
4/1	March	$2,642.17	
5/1	April	$2,642.17	
6/1	May	$2,642.17	
7/1	June	$2,642.17	
8/1	July	$5,284.33	
9/1	August	$5,284.33	

Notes:

*UC Policy states that students can only hold 50% appointments during the academic year (Sept-June); the department pays 100% time for July-August in the summer.

*The "moving allowance" is a way to get students some funding to assist them until they receive their first stipend check.

*Payments are set up to pay at the end of each month, however the fellowship system often pays early.

*Students are paid via payroll for graduate student researcher and teaching assistant appointments; via the fellowship system when other funding is used. The payment mechanism is determined by source of funding.

* Payroll deductions are determined by the student's W-4, filled out at time of initial appointment. The fellowship system does not withhold deductions; however the income may be taxable. It is the student's responsibility to determine any tax liability.

*Teaching Assistant salaries are determined by union contract. In the event that the TA rate is lower than the department's standard rate students will be issued a payment per quarter to cover the shortfall.

*Rate increases are determined by the UC Office of the President and approved by the UC Regents.

*Students are encouraged to seek extramural funding. Students will receive either the amount of their extramural funding or the department standard rate, whichever is greater. Unless the funding specifically states otherwise, students are not entitled to receive both awards.
*Students must maintain good academic standing in order to receive ESS graduate funding.

Appendix II: Department of Earth System Science "Good Academic Standing" criteria

In addition to UCI policies as outlined in the UCI General Catalogue, the following constitutes "good standing" for ESS graduate students:

Course Completion
Complete ALL courses with a grade of “B” or better in each course.

Research
Complete ESS 299: Research (must receive grade of "B" or better) quarterly..

English Proficiency
All students must meet the TA English proficiency requirements by year two, end of summer. Students who have not passed the TA English proficiency requirements must enroll in an English course each quarter and register for an English exam each quarter, including summer.

Statement of Professional Conduct
Abide by the UC Irvine Department of Earth System Science Statement of Professional Conduct, see Appendix V.

UCI Required Training
Complete all required training as assigned by campus, Department or advisor.

Annual Committee Report
Complete an Annual Committee Report documenting satisfactory academic progress as determined by the student’s advancement/doctoral committee each spring quarter after their first year.

If a student fails to meet the criteria for "good standing,"they will be given a written warning addressing any issues and steps to remediation, typically expected within the next quarter. If a documented issue persists for two consecutive quarters a student can be referred to the Graduate Division for dismissal.

Appendix III: Academic Senate Policy

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) (Am 18 Mar 2010 DSA)

Membership

The Candidacy Committee is composed of five faculty who are voting members of the University of California Academic Senate or by equivalent scholarly standing, by exception. 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 exceptional basis only. 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; 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.

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 Division 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 Division, 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 members from other universities, 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 Dean of Graduate Division (see below).

- 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 unit1 may be required by the Dean of Graduate Division.
- Oversight Member: The Dean of Graduate Division 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 Division 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 Division 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.)

[1]**Definitions of Academic Unit** (CC and EC 18 Jan 05)
In cases where multi-campus programs are involved, the same definitions will apply across all campuses relevant to the program.

Last revision - March 18, 2010

Appendix IV: Graduate Student Individual Development Plan Form

Academic Year	Year in Program	Date

Name	
Program	
NTTA (Normative Time to Advancement)	
NTTD (Normative Time to Degree)	
Advisor	
Mentor	

Instructions: The student should complete the IDP in preparation for a scheduled meeting with his/her mentor and advisor. The IDP is designed to foster communication in a variety of areas to ensure the student is receiving comprehensive feedback about both his/her progress to date and future expectations. Accomplishments, challenges and goals should be addressed as well as any performance/progress issues so that both the student and the mentor/advisor have a clear understanding of the student's progress toward the degree.

Academic Course Planning
In order to fulfill my academic goals and maintain NTTD progress, I plan to enroll in these courses. **Annual Goals:**   **Long Term Plans:**

- -

Mentor/Advisor Comments:

Research Planning
I will make progress on my research agenda through the following: (include collaborations, research theories that you've developed, and studies/projects that you've been involved with.) **Annual Goals:** **Long Term Plans:** - **Mentor/Advisor Comments:**

Quarterly research plan and goals for the coming year:

Conference/Publications Planning

I plan to attend the following conferences. The professional papers I plan to submit (include publications and submittal deadlines).

Annual Goals:

Long Term Plans:

- -

Mentor/Advisor Comments:

Career Planning

My long and short-term career goals. Skills and competencies I expect to develop and workshops I plan to attend.

Annual Goals:

Long Term Plans:

- -

Mentor/Advisor Comments:

Funding Planning

My plans for securing funding each year of my graduate program. (Include Dept. Funding, External Grants/Fellowships and Summer Internships)

Annual Goals:

Long Term Plans (including funding for dissertations and research projects):

- -

Mentor/Advisor Comments:

Health and Wellness Planning

Maintaining work-life balance is very important to increase wellness, decrease risk for work burnout, and increase my work effectiveness. What is my plan to maintain this balance?

Weekly:

Monthly:

- -

Mentor/Advisor Comments:

Leadership Development Planning

My leadership skills and competencies are being developed through the following (include positions held, activities and projects, civic engagement activities etc.) My professional leadership aspirations include the following activities:

Annual Goals:

Long Term Plans:

- -

Mentor/Advisor Comments:

Dissertation Progress Planning

I am aware of and am following the Department degree progress expectations through the following steps: (Include plans for committee membership, advancement deadlines and writing schedules).

Annual Goals:

Long Term Plans:

- -

Mentor/Advisor Comments:

Graduate Student Signature	Date	Advisor/Mentor Signature	Date
Committee Member Signature	Date	Committee Member Signature	Date
Committee Member Signature	Date	Committee Member Signature	Date

Appendix V: ESS Student Guide to Advancement

I. Purpose of the exam

1) To assess readiness to carry out original research at the level expected from a PhD student. This includes clearly communicating: 1) why the proposed research is needed (i.e. the larger problem, the specific question(s), 2) the current state of knowledge, 3) your research approach (the logic of how you will tackle the problem), and 4) the tools you will use to carry out the work (instruments, data, models), 5) the anticipated outcomes and possible implications, 6) preliminary results (if any). The exam is an opportunity to demonstrate your fundamental background knowledge, skills, and mastery of the scientific literature to demonstrate ability to a)become a subject matter expert in the field, b) conduct original research, and c) successfully complete a Ph.D. dissertation.

2) To determine if the proposed research plan (oral and written) is likely to achieve the stated goals within the normative time to degree. You should demonstrate a reasonable understanding of the strengths/weaknesses, and risks/rewards of the research plan. NOTE: You are not obligated to execute the plan as proposed, simply to present and defend a viable research proposal. It is typical that changes to your thesis topic or research plan may occur during the course of your research. Such changes would be made in consultation with your advisor and dissertation committee.

II. When does the exam occur?

The exam should occur by the end of the second year to remain in academic good standing. Extensions for exceptional circumstances may be requested by the ESS Vice Chair for Graduate Studies.

III. Scheduling the advancement exam

The makeup of the Advancement Committee follows University policy: 5 members, including an outside member. The outside member must be a UCI Senate faculty member with no affiliation with ESS. The committee is selected by the student with input from the Advisor. The student is responsible for contacting potential members and scheduling the exam. Scheduling can be challenging, so start early. The written dissertation proposal should be distributed to the committee at least one week prior to advancement.

IV. What is the content and format of the advancement proposal

The proposal should address: 1) the scientific problem, 2) specific issues addressed in this research, 3) background knowledge needed to understand the problem and demonstrate mastery of the literature, and 4) the approach to be used, 5) the tools and data needed to carry out the work. Consideration of the risks or likely failure points for the research is encouraged. Typical proposals are 7-10 pages of text single spaced (not including literature citations or large figures). The proposal should not exceed 15 pages.

V. Committee membership

Committee members need not be subject matter experts but should have sufficient background to understand the research, and the underlying scientific principles of at least one area important to the work. There is value in having at least one committee member with prior experience in administering ESS advancement exams.

Note: The advancement committee is not the dissertation committee. That committee (minimum 3 people, including the advisor) is appointed after successful advancement to candidacy and may or may not include members of the advancement committee.

VI. Advancement exam

At or prior to the meeting, the Committee will self-select one member other than the advisor to serve as advancement Chair. The purpose is to ensure a fair and objective process. The Chair is expected to run the meeting.

Typically, at the start of the meeting, the student is asked to leave the room for a few minutes so the committee can discuss the process. The Chair leads this this discussion, which typically covers: 1) the order of events (presentation, questions, deliberation, decision/recommendations), 2) whether faculty ask questions during the presentation or hold them until the end, 3) how questions will be asked after the presentation, 4) the scope of questions. Outside members often ask questions about the ESS process at this stage.

The student returns to the meeting and delivers a formal presentation of approx. 30-35 minutes on the dissertation. This presentation should cover: the scientific background, specific goals, research plan, and preliminary results relevant to the proposal (if any). Preliminary results are not a requirement, but they can be useful to demonstrate the feasibility of proposed work. The presentation should also include a timeline for completion of the project and note any other degree-related requirements that would influence the timeline (such as remaining required coursework. If the presentation is not completed within a reasonable time (40 min. max), the presentation may be terminated by the Chair. The Chair may (at his/her discretion) allow the presentation to run longer if questions are permitted during the presentation.

During or after the presentation, all committee members (including the Advisor) are given the opportunity to ask questions. Appropriate questions include: 1) specifics of the research plan (as outlined in the presentation or written proposal), 2) related literature that the student should be familiar with, and 3) fundamental knowledge underpinning the research but not necessarily narrowly focused on the work. For example, questions could address basic knowledge of physical/chemical/biological principles or statistical/numerical methods expected of a student at this level.

You should answer the questions to the best of your ability. Request clarification of the question if it is not clear. Not knowing the answer to a particular question is not cause for alarm. Committee members sometimes ask questions that seek to find the limits of a student's knowledge, so questions may get more challenging if you are well prepared for the easy ones. Do not expect your advisor to answer questions on your behalf.

When questioning is complete, you will be asked to wait outside while the committee deliberates. During deliberation the Chair seeks consensus on the outcome (see below) and on specific guidance to the student (if any). If consensus cannot be reached, the outcome will be based on a simple majority vote. After deliberation, you will return and the Chair will communicate the outcome and provide any guidance. The guidance is important and will be documented if you and the Department are clear on the rationale for the decision and exactly what you need to do to remedy any insufficiencies.

VII. Outcomes

Possible outcomes of the advancement exam are: PASS, Provisional PASS (contingent on completion of further revision to the plan/proposal or additional coursework), or FAIL.

If you do not pass the exam, you will have the opportunity to retake the exam after a suitable period. A day or two after the exam, you will meet with the ESS Graduate Vice Chair and advisor to discuss the guidance from the Advancement committee and plan next steps. Only one retake of the exam is allowed.

Appendix VI: Department of Earth System Science Statement of Professional Conduct

This handout is intended to outline the standards of professional conduct expected of graduate students in the Department of Earth System Science. Adherence to these principles of conduct -- together with good academic standing -- maintains a student's "good standing" status in the Department.

As a community, we respect the dignity, individuality, and freedom of each member. At the same time, we strive to be a place where individuals and groups learn with and from each other. We aim to foster a sense of shared experience and common purpose, along with a collective responsibility for each other's well-being, and for the well-being of the University as a whole. Although we acknowledge the difficulties inherent in creating a community of individuals who are different from each other, we remain unwavering in our commitment to both diversity and community in a context of academic excellence. We seek to enable all members of this community to pursue their educational, scholarly, and career interests in an environment that recognizes both the distinctiveness of each person's experience and the common humanity that unites us all, and permits us to take full educational advantage of the variety of talents, backgrounds, and perspectives of those who live and work here.

In all activities each graduate student is expected to be respectful of the rights and interests of the community and of the others in the community and to be personally honest. All students are expected to conduct themselves in a manner compatible with the University's function as an educational institution, and with the rights of all members of the University community to attend, make use of, and enjoy the facilities and benefits of the University without undue interruption or disruption. With their professional conduct, graduate students are expected to contribute to the Department climate in which all community members feel personally safe, listened to, valued, and treated fairly and with respect.

The key principles of professional conduct include:

1. *Professional Competence and Responsibility*: As scholars, we strive to maintain the highest level of competence in our work. Members of the UCI academic community are committed to engage in teaching, learning, research, and community service and to assist one another in the creation and maintenance of an environment that fosters a professional atmosphere. This includes communicating in a manner that is respectful and in no way discriminates against or harasses others, and treats the ideas, scholarship, and interests of others with respect.

2. *Integrity*: UCI is an institution of learning, research, and scholarship that is strengthened by the existence of an environment of integrity. As members of the academic community, students are responsible for maintaining this environment, and subscribe to the practice of academic integrity and accept individual responsibility for their work and actions. Violations of academic integrity are unacceptable and will not be tolerated, because they devalue the teaching and learning experience for the entire community. Observing basic honesty in one's work, words, ideas, and actions is a principle to which all members of the community are required to subscribe.

3. *Respect for People's Rights and Dignity*: Respect for the rights, privileges, and sensibilities of each member are essential to maintain the spirit of our academic community. Actions that make the atmosphere intimidating, threatening or hostile to individuals are therefore regarded as serious offenses. Free speech and peaceful assembly are basic requirements of the University as a center of free inquiry and the search of knowledge and insight. These rights involve a concurrent

obligation on the part of all members of the University, guests, and visitors to maintain on the campus an atmosphere conducive to scholarly pursuits and to respect the rights of all individuals.

4. *Respect for Diversity*: UCI seeks to promote full inclusion of all members and groups in every aspect of University life. Diversity -- on the basis of race, creed, color, sex, gender identity or expression, age, national origin, ancestry, religion, physical or mental disability, veteran status, marital or domestic partnership status, affective or sexual orientation, socio-economic background, and other protected characteristics -- is a source of strength for the Department and contributes to a positive work environment. We do not tolerate any discriminatory and/or harassing behavior based on protected characteristics, and will take immediate action to end hostile environment if one has been created, prevent its recurrence, and remedy the effects of any hostile environment on affected members of campus community.

5. *Appropriate Sexual Conduct*: UCI does not tolerate sex or gender discrimination, including sexual misconduct such as sexual harassment and sexual assault, stalking, and intimate partner violence. Graduate students must undergo mandatory sexual harassment compliance training.

6. *Appropriate Use of Electronic Media*: When acting as representatives of the Department or interacting on official UCI platforms, students must be responsible in their use of social media and should not violate our professional and academic standards in their social media activities.

Accountability

The Department will maintain and publicize a clear structure to address complaints involving professional conduct of graduate students, staff or faculty. Allegations of improper behavior will be treated seriously and promptly. All members of the community are entitled to know what is expected of them, and to a timely, fair, and meaningful evaluation of their contributions. Proper training and orientation will be available to all members of the community.

Observance of University Policies

No set of rules can possibly address all situations that may arise. The Department reserves the right to find that other conduct not specified in this Code or UCI policies constitutes a violation of good academic or professional standing. If situations arise that seem ambiguous, please consult with departmental graduate advisors, chairs, the Graduate Office, or the Associate Dean.

The UCI Student Code of Conduct defines behavior expected of all UCI students. It is each student's responsibility to know and comply with the University's Student Code of Conduct. In addition, the violation of the laws of any jurisdiction, whether local, state, federal, or foreign, may subject an individual to disciplinary action.

Appendix VII: Academic Honesty

ACADEMIC HONESTY

THE MANUAL OF THE IRVINE DIVISION OF THE ACADEMIC SENATE PART III - APPENDICES OF THE IRVINE DIVISION Appendix VIII UCI Academic Senate Policy on Academic Honesty

(Revised: 12/12/96, 10/12/00, 11/21/02, 1/21/03, 1/26/06, 4/05/2007, 6/7/2007, 6/5/08, 4/23/15)

A. Preamble

The University of California, Irvine is an institution of learning, research, and scholarship that is strengthened by the existence of an environment of integrity. As members of the academic community, instructors, students, and administrators are responsible for maintaining this environment. It is essential that all members of the University practice academic integrity and accept individual responsibility for their work and actions. Violating the Academic Integrity Policy is unacceptable, devaluing the teaching and learning experience for the entire community. While at UCI, members of the academic community should become better educated about the ethical framework underpinning academic integrity and improve their moral standards supporting it. The UCI Academic Senate Policy on Academic Integrity states the general rules and procedures associated with student academic integrity. This Academic Integrity Policy applies to undergraduate and graduate students enrolled in a UCI course. A separate policy governs the integrity of research. Medical students are governed by policies specified in the UCI School of Medicine Handbook: https://ucisom.instructure.com/courses/106. Law students are governed by policies specified in School of Law Academic Honor Code: https://www.law.uci.edu/academics/registrar/policies/UCI_Law_Honor_Code.pdf

A. Defined Terms

1. Academic Integrity Policy: the UCI Academic Senate Policy on Academic Integrity.
2. Academic Integrity Policy Violations: outlined in the Procedures document of the Academic Integrity Policy.
3. Academic Consequences: grades assigned by Instructor.
4. Administrative Sanctions: outlined in the Procedures document of the Academic Integrity Policy.
5. AIAO: Academic Integrity Administrative Office.
6. Instructor: faculty member or instructor of record.
7. Student: any student or students who have allegedly violated the Academic Integrity Policy
8. Hearing Panel: Subcommittee of the Council on Student Experience as outlined in the Procedures document of the Academic Integrity Policy.

B. Students' Responsibilities

All students are expected to complete a course in compliance with the Instructor's standards. No student shall engage in any activity involving any Academic Integrity Policy Violations. No student shall engage in

any activity that involves attempting to receive a grade by means other than honest effort, and shall not aid another student who is attempting to do so. All students are encouraged to notify instructors, but may also notify the AIAO, about observed incidents of Academic Integrity Policy Violations. Instructors should take reasonable steps to preserve the confidentiality of students making such reports. All students have the responsibility to become familiar with and abide by the Academic Integrity Policy.

C. Instructors' Responsibilities

Instructors should create an environment in their classes where academic integrity is understood and supported. They should assign grades in a transparent and equitable manner. Specifically:

1. They should monitor student work to ensure these policies are followed;

2. They should report all Academic Integrity Policy Violations to the AIAO;

3. They should faithfully administer and participate in the Academic Integrity Policy;

4. They should state in writing how graded assignments and exams will contribute to the final grade in the course. If any course-specific rules are required by the Instructor for maintaining academic integrity, the Instructor shall also inform students of these in writing. A reduction in a grade for an assignment or a course in response to academic dishonesty is not to be considered as a punishment, but instead responds to a failure by the student to fulfill one of the requirements of the course. When an Instructor believes that a Student has violated the Academic Integrity Policy, the Instructor should report the incident to the AIAO within thirty instructional days of discovering the possible Academic Integrity Policy Violation. The Instructor shall participate in the process according to the Academic Integrity Policy. In all cases, the Instructor shall determine the Student's grade in the course.

D. Teaching Assistant's (TA) and Reader's Responsibilities

A student acting in the capacity of a Teaching Assistant (TA) or Reader has a special responsibility to safeguard academic integrity. A TA/Reader shall equitably grade student work in the manner set by the Instructor. A TA/Reader shall not provide a student with any information or collaboration that would aid the student in completing the course in a dishonest manner (e.g. providing access to unauthorized material related to tests, examinations, or homework).When a TA/Reader has evidence of an Academic Integrity Policy Violation, the TA/Reader should report the incident to the Instructor. The Instructor should report the incident to the AIAO.

E. Responsibility for Resolution of Cases of Violation of the Policy

The responsibility for maintaining the standards of academic integrity rests with two University authorities: the Instructor and the AIAO. Under the Standing Orders of the Regents, discipline is the exclusive responsibility of the campus administration while authority over courses and curricula is under the exclusive authority of the Instructor through the Academic Senate.

1. **Role of the Instructor**
   The Instructor shall assign grades in the course as appropriate to the work involved. All Academic consequences (e.g. scores on the assignments and course grades) are under the sole purview of the Instructor in the course.

2. **Role of The AIAO**
The AIAO manages the cases for all students accused of Academic Integrity Policy Violations and is the central repository for all case-related materials. The AIAO is the initial contact for the Instructor or students on all cases of Academic Integrity Policy Violations.The AIAO is also responsible for imposing administrative sanctions. These sanctions shall be in accordance with guidelines authorized by the Council on Student Experience. Administrative sanctions range in severity from administrative probation to dismissal from the University. Students found responsible for multiple cases of Academic Integrity Policy Violations may be subject to dismissal from the University. The AIAO must notify the Student (and if needed, the Instructor) of any allegations of Academic Integrity Policy Violations. The AIAO adjudicates cases when the Student disputes the possible imposition of administrative sanctions related to Academic Integrity Policy Violations. The AIAO can request meetings with the Instructor and Student to discuss the case, sanction, or procedure. The AIAO must follow the procedures and communicate in a timely manner. He or she may extend any timelines in the Academic Integrity Policy when practical exigencies so dictate, in which case all involved parties will be notified in writing and via email. If the Student appeals the AIAO's decision, the AIAO shall schedule a Hearing Panel (see below) to review the case and make a final determination of the appropriate sanction. The duty of the AIAO is not merely disciplinary. The office is encouraged to work with faculty and students to create a culture in which academic integrity is valued.

3. **Records Management**

The AIAO must archive its records to reflect the resolution of the case, and shall maintain a record of all cases as described in the Procedures document. The AIAO shall report annually to the Academic Senate Council on Student Experience, to the Vice Chancellor of Student Affairs, the Provost and Executive Vice Chancellor, the Associated Undergraduate Students of the University of California, Irvine, and the Associated Graduate Students of the University of California, Irvine on all of the following: (1) the number, nature, and type of cases; (2) the pattern of decision- making; (3) the severity and type of academic consequences and administrative sanctions; and (4) other relevant matters as directed by the Council on Student Experience.

4. **Role of the Hearing Panel**

If the Student requests a hearing, the AIAO will request the Subcommittee on Academic Integrity of the Council on Student Experience to convene a Hearing Panel to review the case. (See the Procedures document.) The Hearing Panel will hear evidence on the case from the Student, Instructor, and other relevant parties as determined by the panel. The Hearing Panel shall communicate the final decision to the AIAO.

F. Procedures for Resolution of Cases of Academic Integrity Policy Violations

These are described in the Procedures document of the Policy.

G. Maintenance of Disciplinary Records
The AIAO will maintain a record of each student who receives a letter(s) of Academic Integrity Policy Violations as described in the Procedures document. Maintaining such a record is not an administrative sanction.

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

Signed: _____

Print name: _____

Date: _____

I have reviewed the "What is Academic Misconduct?" on the UCI Office of Academic Integrity and Student Conduct website (https://aisc.uci.edu/students/academic-integrity/definitions.php) and understand any occurrences of academic misconduct may result in dismissal from the ESS graduate program.

Signed: _____

Print name: _____

Date: _____

Please return this form to the Student Affairs Manager in Croul Hall 3200 no later than September 30, 2022.