

Submit materials to:

Graduate Division
 120 Aldrich Hall
 Zot Code 3180
 grad@uci.edu
 (949) 824-4611

**PH.D. FORM I
 ADVANCEMENT TO CANDIDACY – PH.D. DEGREE**

STUDENT

(1) Prior to convening a student committee for advancement to candidacy examination, complete the Conflict of Interest form (page 3 of this packet). (2) Please complete this form (pages 1-2) and obtain the requested signatures. Before submitting this completed form (pages 1, 2, and 3) to the Graduate Division, the student must pay the \$90 Advancement to Candidacy Fee at the Cashier's Office. The cashier will stamp this form to indicate receipt of payment. This completed form, including the cashier's stamp indicating payment and a completed Conflict of Interest form, constitutes an application for advancement to candidacy. **The student's official date of advancement is the day this completed Ph.D. Form I is received in the Graduate Division office.**

Student Name: _____ Student ID Number: _____
Last First Middle

Student Phone: () Student E-mail Address: _____

Department/Program _____

Name of Degree: Ph.D. in _____ Specific Field of Study: _____

Term Expected to Complete Ph.D. degree requirements: Fall Winter Spring Summer _____ Year

CANDIDACY COMMITTEE

Please complete this section and indicate whether you recommend that the student advances to candidacy.

The candidacy committee testifies that the student has been given a series of qualifying examinations (oral and/or written), the last of which was completed on ____/____/____. The recommendation of each member on advancement to candidacy for the

Ph.D. degree is indicated below (please print your name, Academic unit, signature, and indicate whether you recommend ("yes") or do not recommend ("no") that the student advance to candidacy). **Indicate by asterisk (*) those members of the candidacy committee who will serve on the doctoral committee.** Note that the recommendations must be unanimous in order for a student to advance to candidacy

	<u>Name (please print)</u>	<u>Academic Unit</u>	<u>Signature</u>	<u>Recommend Advancement?</u>
Chair	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Outside Member¹	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Oversight Member²	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

¹The Outside Member must be from the Irvine Division of the Academic Senate and may not hold either primary or joint appointment in the student's home department or academic unit.

² **NOTE:** An Oversight Member is required only when a conflict of interest exists (see page 3: Statement of Conflict of Interest Form.)

(continued on next page)

CASHIER'S OFFICE USE ONLY

084 220090-19900 (\$25)

083 220078-20078 (\$65)

Add names of any new recommendations for the doctoral committee below. Subsequent doctoral committee changes must be approved by the Dean of Graduate Division.

Name

Academic Unit

DEPARTMENT

Language Requirement _____ Date Passed: _____
(Language)

Student has completed degree requirements:

Yes No Other _____
(Please explain)

The dissertation research will involve human subjects, animals, or other regulated entities.

The project has received the relevant regulatory approvals (IRB, IACUC, etc.)

Information on research policies and regulations can be found on the Office of Research website:

<http://www.research.uci.edu/ora/>

The Doctoral Committee is recommended and approved by (please sign and date below):

_____ Candidate (i.e., the student)	_____ Date	_____ Department Chair/Graduate Advisor	_____ Date
_____ Chair of Doctoral Committee	_____ Date	_____ Associate Dean (Required for: Biological Sciences, Engineering, Humanities, Medicine, Social Ecology, Social Science & ICS)	_____ Date

GRADUATE DIVISION

Advanced to Candidacy _____
Date Quarter/Year

Approved by _____
Dean of the Graduate Division (or designate) Date

(continued on next page: complete the Conflict of Interest Form prior to submitting this Ph.D. Form I packet)

STATEMENT ON CONFLICT OF INTEREST FORM

This form must be completed and signed prior to convening a student committee for an advancement to candidacy examination. The complete policy and implementation procedures are described on the ORA website (<https://www.research.uci.edu/index.html> and in Appendix 12 of the Irvine Senate Manual (<https://senate.uci.edu/uci-academic-senate-manual/part-iii-appendices/#appendixXII>)

If a conflict of interest related to this policy is identified, you must follow these procedures to ensure the integrity of the process. Your signature is required prior to submission of this form to the Graduate Division. It will signify that you have read -- and where warranted, have complied with -- the policy. If you have any questions, please call the Graduate Division at, 949-824-4611.

The UCI policy on Conflict of Interest and Graduate Education deals with any financial conflict of interest as defined in Section 028 of the Academic Personnel Manual (APM), adopted April 26, 1984. (<https://www.ucop.edu/academic-personnel-programs/files/apm/apm-028.pdf>). Information on other types of conflicts of interest are described on the Graduate Division website.

The University wishes to encourage intellectual activity that benefits the academic interests of the student, society, and the institution, and at the same time protects the integrity of the academic and research experience. The purpose of this policy, therefore, is to establish a mechanism to protect the academic interests of graduate students in the event that the financial interest on the part of a Faculty Mentor/Thesis/Dissertation Advisor relating to a project on which the student is [may be] working raises a conflict of interest issue that may have the potential to harm the academic interests of the graduate student.

A financial interest in an outside entity is not inherently harmful. However, when a financial conflict of interest becomes apparent, the academic unit should immediately conduct informal inquiries into the nature of the interest and the potential to harm the academic interests of the student. In the event that the financial interest is found to create a conflict of interest that is potentially harmful to the academic interests of the student, the policy and procedures described in the policy statement on the website noted above must be considered in conjunction with the Academic Senate - Irvine Division Regulations governing graduate student committees: IR 830, IR 915, IR 918, and IR 920.

Potential Areas of Impact on the Academic Interests of the Graduate Student A conflict of interest situation could potentially impact the student's academic interests in several areas. These would include, but are not limited to, actions related to improved or diminished career development opportunities, free exchange of information among students and faculty, and delays in the publication of a thesis or dissertation. It could also have the potential to impact on a student's financial interests.

Scenarios for Potential Conflict of Interest Situations Conflict of interest issues are not necessarily tied to sponsored projects -- i.e., funded projects -- nor are they necessarily related to late-stage research or commercial products. A potentially harmful conflict of interest could arise from a faculty member having a financial interest in a project on which his or her student is working, whether the project is sponsored or unsponsored. The project in question could be a textbook, software, scientific or engineering innovation, or basic/applied research that would harm/benefit the company's interest. The key issue is whether that outside financial interest may have the potential to influence the Faculty Mentor/Thesis/Dissertation Advisor to make a decision that could harm the academic interests of the student. Three sample scenarios for identifying financial interests that may have such conflict of interest potential are described below.

- A faculty member has a personal consulting agreement with a private company that provides research support for a project through the university. The faculty member is advising a student who is also working on that project. The student wishes to publish her dissertation in a related area, but the outside entity requires the student to withhold publication and delay graduation until the research is complete.
- A faculty member owns stock in an outside entity that may or may not be supporting research on which the faculty is working, but which stands to benefit from that research. The faculty member directs the student, who is also working on this research, to delay publication of his/her dissertation, and graduation, until the faculty member can complete his research.
- A faculty member establishes a company that stands to benefit financially from a research or other project. The company is also supporting the Faculty member's research in this area at the university laboratory. The faculty member pressures a student to work on the research project of interest to his/her company.

What is the optimum time to report a conflict of interest? A conflict of interest issue may be raised at any time. It is the responsibility of the faculty member, however, to notify the departmental representative and the student of personal financial interests that could lead to a conflict of interest at the time that the student is considering a thesis or dissertation topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first.

Who can identify and report a conflict of interest? The graduate student, the Faculty Mentor/Thesis/Dissertation Advisor, a Departmental Representative (either the Faculty Graduate Advisor or Departmental Chair), or the campus Conflict of Interest Oversight Committee (COIOC) can initiate the procedures to deal with the perceived conflict of interest.

Please indicate below whether a conflict of interest has been identified, and then sign and date the form as indicated.

A financial conflict of interest that may be harmful to the academic interests of the student has ___ has not___ been identified. If a conflict has been identified and deemed potentially harmful to the student (1) I/we have followed procedures to appoint an Oversight Member to the committee and (2) I/we understand that the advancement exam can not be given until an Oversight Member has been appointed.

Faculty Thesis Advisor/Date

Department Chair/Date

Graduate Student/Date

BACKGROUND INFORMATION FOR COMPLETING PH.D. FORM I

NOTE: Much of the text below is adapted from UCI's *Graduate Policies & Procedures Handbook* <https://www.grad.uci.edu/forms/academics/Graduate-Policies-and-Procedures.pdf>

ADVANCEMENT TO CANDIDACY

Senate Regulation 320

A student advances to candidacy for the Ph.D. upon successfully demonstrating a high level of scholarship in full-time study at the Ph.D. level, and upon completing all preparatory work and demonstrating readiness to proceed to the dissertation phase. A complete description of the policy on advancement to candidacy and advancement committees is provided below. Also refer to the University's conflict of interest (COI) policy related to student committees in Section VII, Graduate Degree Programs.

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

Graduate students are nominated for admission to candidacy for the Ph.D. degree in a particular field by the academic unit responsible for advanced degrees in that field. Students are admitted to candidacy if they pass by unanimous vote an oral examination administered by a Candidacy Committee. The Dean of the Graduate Division may delegate to the academic units the role of appointing Candidacy Committees. When the membership of the proposed Candidacy Committee conforms to Senate policy as defined in Irvine Senate Regulation 918, authority both to evaluate and to approve the committee may be delegated to the academic unit. However, the Dean of the Graduate Division retains sole authority to grant any exceptions to this policy, and to appoint a nominee as Oversight Member in those cases where the possibility of a conflict of interest that is potentially harmful to the graduate student exists. It is understood that the Oversight Member himself or herself shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role. **Requests for approval of exceptions must be submitted in writing by the Chair of the academic unit to the Dean of the Graduate Division at least two weeks prior to the scheduled exam to allow a reasonable time for review.**

The academic unit must also inform students regarding the policy on candidacy committees including policy related to possible conflict of interest that is potentially harmful to graduate students.

It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor/Mentor or Associate Dean of the School as appropriate, and the Chair of the Candidacy Committee to ensure that these Academic Senate policies are followed. Should these Senate policies not be followed, the student, at the discretion of the Dean of the Graduate Division, will be required to retake the Advancement Exam.

b) Irvine Regulation (IR) 918 Candidacy Committee (Revised: Approved by Irvine Division May 11, 2000)

The Candidacy Committee is comprised of five faculty who are voting members of the University of California Academic Senate. Nonvoting 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 additional criteria that apply to the membership of the committee are listed below.

*Note Definitions of Academic Unit

1. Department.
2. If "1" fails, Interdisciplinary Program.
3. If "1" and "2" fail, the graduate program which oversees the student's progress.
4. If "1", "2" and "3" fail, the School (or Department of Education).
5. In cases where multicampus programs are involved, the same definitions will apply across all campuses relevant to the program.

Composition of the Advancement Committee

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

General Membership: 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. The requirement that a majority of voting members hold appointments in the student's department or academic unit may be waived under exceptional circumstances. Non-voting Senate members, faculty members from other universities, or non-Senate

faculty with equivalent scholarly standing will be considered for general membership on the committee on an exception only basis. Exceptions will be granted by the Dean of the Graduate Division.

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.

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

Appointment Procedures and Requirements for Committee Membership

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 the 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 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 the Graduate Division (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 the Graduate Division retains sole authority to grant these exceptions, which must be submitted in writing by the Chair of the academic unit at least two weeks prior to the scheduled exam, and must be accompanied by a curriculum vitae of the individual for whom the exception is being requested. A list of the faculty holding primary or joint appointments with the student's department or academic unit may be required by the Dean of the Graduate Division.

Oversight Member: The Dean of the Graduate Division shall select the Oversight Member from a list of three nominees consisting of UCI Senate faculty members from outside of the student's home department agreed upon by the student, the faculty research advisor, and the departmental representative. If these individuals cannot agree on three nominees, the departmental representative (either the graduate advisor or the department chair if the advisor is conflicted) will select the nominees. The departmental representative shall submit a written request to appoint an Oversight Member to the Dean of the Graduate Division no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Dean of the 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 researcher or teaching assistant, whichever comes first; and (3) to ensure that these Academic Senate policies are followed.

Should these Senate policies not be followed the student will be required to retake the Qualifying Exam.

Duties and Responsibilities of Advancement Committee Members

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

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

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

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

Voting Procedures

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

Conduct of the Exam

Although the formal Qualifying Examination for candidacy ordinarily is conducted in a single day, the Committee may meet intermittently over a longer period, and may decide to reexamine the student on one or more topics after a specified interval. When the Committee meets to conduct the oral Qualifying Examination, it must report to the Graduate Council via the Dean of the Graduate Division within 30 days. If the Committee decides to reexamine the student at a later date or does not pass the student for any reason, this must be reported to the Dean of the Graduate Division. The final vote and recommendation of the Committee must be unanimous and unequivocal. A recommendation that a student not be advanced is subject to conditions described herein.

Procedure for Validating and Recording Results

Upon completion of the Qualifying Examination, the results should be submitted to the Graduate Division on the Advancement to Candidacy – Ph.D. Degree, Ph.D. Form I (i.e., pages 1 and 2 of this form packet). The Ph.D. Form I must be signed by all committee members at the time the candidacy examination is concluded, and submitted. If the unanimous recommendation of the Committee is favorable, the student must pay the \$90 Advancement to Candidacy Fee to the campus Cashier's Office that will validate (i.e., stamp the form to indicate receipt of advancement fee) the Ph.D. Form I. The student must then submit the Ph.D. Form I to the Graduate Division (Attn: A. Bannigan, Enrolled Student Affairs Officer). The date the student submits the signed and validated Ph.D. Form I will be the official date of advancement. The candidate and graduate program will be notified of formal advancement and the appointment of a Doctoral Committee.

Lapse of Candidacy

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

The Doctoral Committee (IR 920)

(Revised: Approved by the Irvine Division May 11, 2000)

a. Dissertation

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

b. Membership

The Doctoral Committee is nominated by the Candidacy Committee with the concurrence of the candidate, the doctoral committee air, and the Academic Unit Chair or designee, on the PhD Form I (i.e., Pages 1-2 of this form packet). The Doctoral Committee is comprised of three voting members of the University of California Academic Senate -- not necessarily the Irvine Division -- or the equivalent. A majority of the committee, but not necessarily all, shall be affiliated with the program.

1. Chair: The Chair of the Committee shall always hold a primary or joint academic appointment in the academic unit/program supervising the doctoral program; no exceptions will be granted for this position. The Chair of the Doctoral Committee is the member of the graduate program faculty responsible for providing primary guidance of the student's dissertation.
2. Oversight Member: If the Chair, Research/Thesis advisor, or other member of the committee, has a financial interest in an outside entity that carries a possibility of a conflict of interest potentially harmful to the graduate student, an Oversight Member must be appointed in addition to the two general members. It is understood that the Oversight Member will not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role.

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

c. Appointment Procedures

The qualifications of all committee members must be evaluated and approved by the academic unit Chair or designee. When the membership of the proposed committee conforms to Senate policy as defined in this regulation, the Dean of the Graduate Division, on behalf of the Graduate Council, may delegate to the academic unit the authority to appoint, evaluate and approve the remaining members of the Doctoral Committee.

d. Exceptions

1. Oversight Member

In those cases where a possible conflict of interest exists as described above, the Dean of the 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 these individuals cannot agree on three nominees, the departmental representative (either the graduate advisor or the chair if the advisor is conflicted) shall select the nominees. The departmental representative shall submit the request to appoint an Oversight Member in writing to the Dean of the Graduate Division (Attn: Enrolled Student Affairs Officer, A. Bannigan) no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Dean of the Graduate Division will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.

2. General Members

Non-voting members of the Academic Senate, and faculty holding professional titles at other institutions, will be considered for general membership on the committee on an exception-only basis. The Dean of the Graduate Division, on behalf of the Graduate Council, retains sole authority to grant exceptions. All such requests must be submitted in writing by the Chair of the academic unit to the Dean of the Graduate Division at least two weeks prior to the date of the exam to allow a reasonable time for review.

e. Duties and Responsibilities

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

1. Inform the student regarding the policy on Doctoral Committees, including full disclosure of issues pertaining to the possibility of conflict of interest potentially harmful to the student;
2. Provide graduate students with a policy statement on conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first; and
3. Ensure that the Academic Senate policies are adhered to.