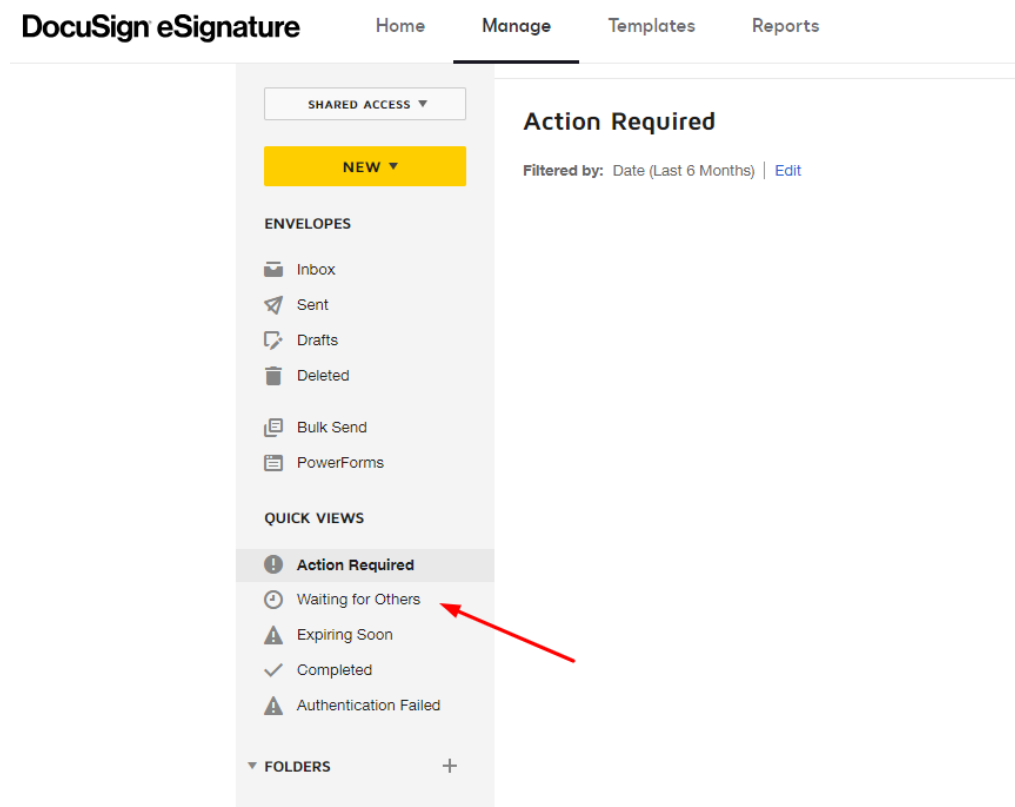


# Advancing to Candidacy Process

Here is the process:

1. Go to the section “graduate enrolled form payment links” on Grad Div’s website and click on “Ph.D. Advancement to Candidacy Fee”. Click here for the link.
2. Pay this fee and HANG ONTO the receipt. You will need to upload this to the form.
3. Once that is done, please click on “Ph.D. Advancement to Candidacy” under “docusign forms for all students.” Click here for the link.
4. Signer information:
  - Form Preparer: Your name and email
  - Advancement Committee Chair: Your advancement committee chair’s name and email
  - General Member: Your committee member's name and email
  - Chair of Doctoral Committee: doctoral committee chair's name and email
  - Student: Your name and email
  - Department Chair: David Frank, [frankd@uci.edu](mailto:frankd@uci.edu)
  - Associate Dean: Barbara Sarnecka, [sarnecka@uci.edu](mailto:sarnecka@uci.edu)
  - Department Copy: Alysha Casado, [acasado@uci.edu](mailto:acasado@uci.edu)
5. Complete Docusign form, attach the receipt from paying the fee, and sign.
6. Click “finish”
7. NOTE: If you have a Docusign account using your UCI email address, you should be able to track your Docusign petition’s progress under the “manage” tab. (see photo on next page)



**Submit materials to:**

Graduate Division  
grad@uci.edu



**Ph.D. Form I  
Advancement To Candidacy – Ph.D. Degree**

**STUDENT**

**(1) Prior to convening a student committee for advancement to candidacy examination, review the Conflict of Interest form and complete by time of submission (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 required \$90 Advancement to Candidacy Fee at [https://secure.touchnet.net/C21570\\_ustores/web/store\\_main.jsp?STOREID=319&SINGLESTORE=true](https://secure.touchnet.net/C21570_ustores/web/store_main.jsp?STOREID=319&SINGLESTORE=true) then attach the receipt in DocuSign. This completed form, including the payment receipt 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 by Graduate Division.**

Student Name: _____	Student ID Number: _____
First _____ Last _____ Middle _____	
School: _____	Student E-Mail Address: _____
Name of Degree: Ph.D. in _____	Department/ Program: _____
Term Expected to Complete Ph.D. degree requirements: <input type="checkbox"/> Fall <input type="checkbox"/> Winter <input type="checkbox"/> Spring <input type="checkbox"/> 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  
(fill-in date)

Ph.D. degree is indicated below (please type your name, Academic unit, add your signature, and indicate whether you recommend (“yes”) or do not recommend (“no”) that the student advance to candidacy). Note that the recommendations must be unanimous in order for a student to advance to candidacy

	<u>Name (please type)</u>	<u>Academic Unit</u>	<u>Signature</u>	<u>Recommend Advancement?</u>
<b>Chair</b>	_____	_____	_____	<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
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Outside Member<sup>1</sup></b>	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Oversight Member<sup>2</sup></b>	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

Below are additional General Committee Member lines for those students that have more than the required committee member amount.

_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

<sup>1</sup>The Outside Member must be from the Irvine Division of the Academic Senate and may not hold a primary appointment in the student’s home department or academic unit.

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

**DOCTORAL  
COMMITTEE****Please enter the faculty members that will serve on the doctoral committee.**

The doctoral committee requires a minimum of **three** voting UC Academic Senate faculty members with the chair and a majority of the committee from the home department. The Dean of the Graduate Division, on behalf of the Graduate Council, retains sole authority to grant exceptions. Subsequent doctoral committee changes must be approved by the Dean of Graduate Division.

	<u>Name (please type)</u>	<u>Academic Unit</u>
<b>Chair</b>	_____	_____
	_____	_____
	_____	_____
	_____	_____

If it has been determined a conflict of interest exists and an Oversight member has been appointed, the Oversight member is in addition to the committee chair and two general members required for the doctoral committee.

	<u>Name (please type)</u>	<u>Academic Unit</u>
<b>Oversight Member</b>	_____	_____

**DEPARTMENT**

Information on research policies and regulations can be found on the Office of Research website: <https://research.uci.edu/>

- The dissertation research will involve human subjects, animals, or other regulated entities.  
 The project has received the relevant regulatory approvals (IRB, IACUC, etc.)

Language Requirement \_\_\_\_\_ Date Passed: \_\_\_\_\_  
 (Language)

Student has completed degree requirements: Yes  No  Other  \_\_\_\_\_  
 (Please explain)

Per our Program requirements, the doctoral candidacy committee must have:  Five members  Four members  Three members

Per our Program requirements, an Official Outside Committee Member is:  Required  Not Required

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

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

**GRADUATE DIVISION**

Advanced to Candidacy \_\_\_\_\_  
 Date Quarter/Year

- APPROVED  
 NOT APPROVED

\_\_\_\_\_  
 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://research.uci.edu/>) and in Appendix 12 of the Irvine Senate Manual (<https://docs.google.com/document/d/16w0EicH2R7TAHT-Na66HhsPwMsh0XwNX5sdxalyYIrQ/edit>) . 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://ucop.edu/academic-personnel-programs/\\_files/apm/apm-028.pdf](https://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 (select one):  **has** or  **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.

\_\_\_\_\_  
Chair of Doctoral Committee/Date

\_\_\_\_\_  
Department Chair/Grad Advisor/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://grad.uci.edu/current-students/academic-policies/>

### ADVANCEMENT TO CANDIDACY

#### **Regulation 840. Advancement to Candidacy**

The student must be advanced to candidacy for the degree prior to the first day of the quarter in which the degree is to be received. Application for advancement to candidacy must be made through the Dean of the Graduate Division and must contain a general statement of the studies upon which candidacy is based. [Part II – Regulations of the Irvine Division — Academic Senate \(uci.edu\)](#)

#### ***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 shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of their 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 December 1, 2002)

The Candidacy Committee is comprised of three to five faculty who are voting members of the University of California Academic Senate or by equivalent scholarly standing, by exception. Non-voting Senate members, faculty members from other universities, or non-Senate faculty with equivalent scholarly standing will be considered for general membership on the committee on an exception basis only. Candidacy committee members need not necessarily be from the Irvine Division — but a majority must hold primary or joint appointments in the student's department. If the student is not affiliated with an individual department, a majority of the committee must hold either primary or joint appointments with the academic unit granting the doctoral degree. The following additional criteria apply to the membership of the committee.

#### \*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. [Please see "Definitions of Academic Unit".]<sup>1</sup>

### *General Membership*

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

### *Additional Membership*

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

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

*The Oversight Member:* 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 their 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 they 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 on-line to the campus Cashier's Office that will validate (i.e., e-mail a receipt of payment which the student must upload to the Advancement to Candidacy Ph.D. form I DocuSign form) the Ph.D. Form I. The student must submit the Ph.D. Advancement to Candidacy Form I to the Graduate Division (via the DocuSign form). 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.

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### **The Doctoral Committee (IR 920)**

(Revised: Approved by the Irvine Division December 6, 2022)

#### **A. Dissertation**

The doctoral committee shall supervise the preparation and completion of the dissertation and the final examination.

#### **B. Membership**

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

**C. 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. [Please see Footnote 1 for "Definitions of Academic Unit".]<sup>1</sup>

**D. 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 their role as Oversight Member.\*

**E. 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 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 accruing 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 they should not sign off on the committee deliberation, but should instead inform the Dean of the Graduate Division in writing.\*

**F. 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.

**G. Oversight Member**

In those cases where a possible conflict of interest as described above exists, 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 no agreement can be reached on three nominees, the departmental representative — either the graduate advisor or the chair if the advisor is conflicted — shall select the nominees. The request for appointment of an Oversight Member must be submitted in writing 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 will also 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.

**H. General Members**

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.

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; 1) to 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) to 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) to ensure that the Academic Senate policies are adhered to.\*

\* 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.)

**I. 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.

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<sup>1</sup> Definitions of Academic Unit

- a. Department
- b. If "a" fails, Interdisciplinary Program.
- c. If "a" and "b" fail, the graduate program which oversees the student's progress.
- d. If "a", "b" and "c" fail, the School.
- e. In cases where multicampus programs are involved, the same definitions will apply across all campuses relevant to the program.

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**CASHIER'S OFFICE USE ONLY**

**084** 220090-19900 (\$25)

**083** 220078-20078 (\$65)