

## BREN SCHOOL PH.D. PROGRAM GUIDE

2009-2010 Academic Year

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# **BREN SCHOOL PH.D. PROGRAM GUIDE**

2009-2010

## **THE PH.D. IN ENVIRONMENTAL SCIENCE AND MANAGEMENT**

The Bren School's Ph.D. program furthers the School's mission of educating high-caliber future research professors while simultaneously meeting the urgent need for innovative researchers and problem-solvers in the public and private sectors. The cornerstone of the doctoral degree is an original work of high-quality research that focuses on the diagnosis, assessment, mitigation, management, remediation, and/or prevention of environmental problems of today and the future. The program is designed to accommodate a wide range of research interests, from those highly focused in a particular discipline to those that are strongly multi-disciplinary.

The Bren School offers a unique environment, where students and faculty in many branches of environmental science and management are able to interact and create new approaches to environmental problem solving. All faculty engage in research that crosses traditional boundaries, and we encourage our students to do so even more than ourselves. While we encourage crossing of traditional boundaries, we uphold the traditional requirement that the Ph.D. thesis be of exceptional quality and that students become experts in their fields (whether their fields have an interdisciplinary or disciplinary focus). The Ph.D. program at the Bren School is a mentoring program. Students should choose the Bren School because they feel they can obtain the background they want from a specific faculty or group of faculty. Students who wish to obtain a stronger multi-disciplinary background before focusing on one research area should first enroll in our MESM program, and then apply to the Ph.D. program in the second year.

The following material describes the Bren School's Ph.D. requirements, policies, and procedures. This handbook also includes University policies that Ph.D. students will most likely encounter, but does not include everything. You should carefully review the information and make sure that you seek clarification or additional advisement as needed since you are responsible for knowing and adhering to these guidelines. You should also review UCSB's Graduate Division's requirements, policies, and procedures that apply to graduate students in all departments. The UCSB Graduate Handbook is at <http://www.graddiv.ucsb.edu/academic/handbook/>

## TIMELINE SUMMARY/CHECKLIST

- Submit Annual review Report before week six of classes of **every** fall quarter (First year Ph.D. students are exempt from this requirement)
- Submit Graduate Division Ph.D. Form I no later than the end of the 5th week of classes of fall quarter of your second year
- Submit Graduate Division Ph.D. Form IA if it is necessary to change your Ph.D. Committee
- Schedule written exams
- Complete written exams (normally during spring quarter of your second year).
- Prepare dissertation proposal within 6 months of successful completion of written exams.
- Schedule oral exams
- Submit final dissertation proposal
- Complete oral exam (no later than spring quarter of your third year)
- File Ph.D. Form II when oral examinations have been passed
- Complete research and dissertation
- File dissertation in library
- Schedule dissertation defense --no later than the end of spring quarter of your 6<sup>th</sup> year; 7<sup>th</sup> year for MESM/Ph.D.
- Submit Ph.D. Form III upon successful completion of defense
- Provide a copy of dissertation to Student Services upon completion

# THE BREN SCHOOL PH.D. PROGRAM

## REQUIRED COURSES

Bren Ph.D. students entering in fall 2007 and thereafter will be required to complete a minimum of at least three seminar courses over their Ph.D. career at Bren, one core seminar course in each of the three categories below.

1. **Problem Based** - ESM 595PB -- exploration of a problem oriented-topic (e.g. management of invasive species, fisheries management, climate change and policy responses)
2. **Skills Based** - ESM 595SB -- seminars with a focus on developing important skills such as academic writing, proposal writing, critiquing.
3. **Speaker Series** - ESM 595SS -- experts are brought in to make presentations about particular environmental problem theme and its solutions. Students and faculty discuss the research in a separate session.

Courses will be 2-4 units. Grading will be S/U.

At least two "core" Ph.D. seminar courses will be offered each year. Seminars will be faculty-led, typically by two Bren faculty members representing both natural and social science perspectives.

Substitutions will only be possible under special circumstances and with approval of the student's dissertation committee and the Bren Ph.D. Committee.

You will pursue an individual program of study determined in consultation with your Advisor. However, the University requires that **all graduate students must maintain 12 units of credit each quarter**. These credits can be obtained through either regular coursework, seminars (595), directed reading and research (596), study for exams (597), or dissertation research or preparation (599). The Ph.D. is not a unit-count degree but a research degree awarded upon demonstration of academic excellence and performance of original research. To this end, you must pass doctoral qualifying examinations to demonstrate mastery of your chosen field and produce a dissertation acceptable to your Ph.D. Committee.

## BREN SCHOOL PH.D. PROGRAM COMMITTEE

The Bren School's Ph.D. Program Committee is an oversight committee charged with maintaining a top notch Ph.D. program. This requires both excellence in research and satisfied Ph.D. students. The Bren School's Ph.D. Program Committee includes Bren School faculty members and the Dean and Student Affairs Manager, both as ex-officio members. The Ph.D. students may elect a student representative to attend committee meetings and serve as liaison between the committee and the Ph.D. students.

The Ph.D. Program Committee proposes changes to the Ph.D. program to facilitate higher quality research and to support and protect Ph.D. students. If there are issues about the interpretation of rules or situations when a student does not feel that his/her Ph.D. Committee is representing your interests, the Ph.D. Program Committee will mediate. If there is a conflict of interest by a faculty member on the Ph.D. Program Committee, the

committee may elect to form an impartial *ad hoc* committee to address concerns. Some meetings by the Ph.D. Program Committee may be confidential to protect students.

You may seek advice and guidance from members of the Ph.D. Program Committee.

Please note that the Bren School is somewhat unique in that final decisions on all students' progress in the program lie with the entire faculty and annually a majority of the faculty (2/3 vote) must approve continuation in the program for each student.

## **THE PH.D. ADVISOR**

All Ph.D. students at the Bren School have a Ph.D. Advisor. Normally, this is the faculty member who agreed to be your sponsor when you applied for the program. In most cases, your Advisor acts as the chair of your Ph.D. Committee and as an advocate for you as a student. Most questions and arrangements should be made between you and your Advisor with other committee members' help. Your advisor helps you define a thesis topic, develop a study plan, and select committee members. The other members of your Ph.D. Committee should assist you in producing an excellent thesis. However, the entire Bren faculty participates in approving your progress as presented and advocated by the Chair of your Ph.D. Committee (usually the Advisor). The importance of having a faculty Advisor that you can communicate with well cannot be understated.

## **ANNUAL REVIEW**

Every winter quarter (excluding your first year in the program), your progress and performance will be reviewed in a Bren faculty meeting. For the review, you must submit a **one-page** written progress report to Student Services.

Before submitting your report, you must convene a meeting of your committee and present your progress report to the committee for approval. All committee members must sign the report, indicating that they have met with the student. Concurrent telephone participation in a committee meeting is acceptable; however, the report must be signed by the committee member who participated by telephone. Progress reports are due before week six in fall quarter and will be submitted to the faculty in early winter quarter.

The report must include:

- a list of completed courses
- courses remaining (referencing the program of study developed during your first year)
- research accomplishments
- publications, conferences and seminars
- other professional activities (i.e. membership in organizations, Bren School committee work, participation in group projects, teaching assistantship work)
- timeline for completion of your Ph.D.
- current name/topic of your dissertation

Source of Support

You must attach to the Progress Report a listing of the type of support you have and the source(s) for fall quarter:

Types:

- Fellowships
- Graduate Research Assistantships
- Graduate Teaching Assistantships
- Other Types of Support

#### Sources

Institutional Support, Foreign Source, Federal Source (excluding loans) and Other U.S. Sources.

The types and sources of support are needed to complete the NSF-NIH Survey of Graduate Students in Science & Engineering. The amount of the support is **not** needed.

After the Committee members convene and review the student's progress report, the Committee Chair will sign off on the report and forward the approved copy to the Ph.D. Committee. The Committee then makes a recommendation to the Bren faculty on the progress of the student at a faculty meeting. The faculty vote to recommend (a) continuation in the program, (b) conditional continuation, or (c) dismissal. The first two require a simple majority vote; a recommendation for dismissal requires a 2/3 vote.

If you receive a recommendation for conditional continuation or dismissal, you will receive a written explanation of the faculty vote, including any conditions they may set. If recommended by Bren, the Graduate Division may place students making inadequate degree progress on academic probation.

All students will a copy of their Annual Review with the results of the faculty committee's recommendations before the end of winter quarter.

## STAGE ONE

### THE PH.D. COMMITTEE

#### FORMING YOUR PH.D. COMMITTEE

You must form your Ph.D. Committee by the end of fall quarter of your 2nd year.

The Committee Chair **must** be a Bren School faculty member. The committee itself must

- be composed of least three members of the University of California Academic Senate.
- include at least two members of the Bren School faculty, at least one of who must have an appointment greater than 0% time.

Your committee may include more than three members, and it may include members outside the UC Academic Senate who are knowledgeable in your subject matter; they must have a Ph.D. degree or equivalent.

Ph.D. students are usually admitted only in fall quarter. In some cases, students may be admitted in winter or spring quarters. Students who enter in winter quarter are expected to have their Ph.D. committee formed by the 5<sup>th</sup> week of fall quarter of their second year. Students who enter in spring quarter are expected to have their committee formed by the 5<sup>th</sup> week of winter quarter of their second year.

#### PH.D. FORM I – NOMINATION FOR DOCTORAL COMMITTEES

Once you have formed your Committee, you must complete the Graduate Division's **Ph.D. Form I – Nomination for Doctoral Committees for the Degree of Doctor of Philosophy. Forms are on the Graduate Division website.**  
**<http://www.graddiv.ucsb.edu/pubs/>**

On this form, you will list the faculty members who have agreed to be on your committee. Do **not** list a faculty member unless you have received written confirmation (i.e. via email) that they have agreed to serve on the committee. If one of your Committee members is not UC faculty, it is recommended that you attach that member's curriculum vita to the Form I. You must submit this form, to Bren Student Affairs **no later than** the end of fall quarter of your second year.

The Bren School faculty must review and approve your Form I at a faculty meeting. You should inform you advisor that you have submitted the form for review so that s/he is prepared to discuss your committee proposal at the faculty meeting. It is recommended that you prepare a short memo outlining your anticipated research and why the proposed committee is most appropriate for guiding your research. This will benefit your advisor and, if s/he is not able to attend the meeting, this information may enable the faculty to make a decision anyway.

If the faculty approve your committee (by a 2/3 vote), the Student Affairs Office will inform you and will submit the Form 1 to the Graduate Division. If your form is not approved, the Student Affairs office will inform you and provide you relevant information to guide revision and resubmission of the form.

## **POLICY ON CONFLICT OF INTEREST AND GRADUATE EDUCATION**

In addition to the Form 1, you will also submit a supplemental form with regard to university policy on conflict of interest and graduate education. This form is attached to the Form I – Nomination for Doctoral Committees for the Degree of Doctor of Philosophy on the Graduate Division’s website at <http://www.graddiv.ucsb.edu/pubs/>.

In accordance with that policy, the Bren School has included the details of the policy below and will communicate that policy via email at least once per year.

Additionally, a designated resource person (the Staff Graduate Advisor) is available to advise students in circumstances in which there is a perceived or potential conflict of interest, including non-faculty circumstances (i.e.: non-disclosure agreements associated with research).

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### **I. References**

A. Conflict of Commitment and Outside Professional Activities of Faculty Members APM-025 (7/01)

<http://www.ucop.edu/acadadv/acadpers/apm/apm-025-07-01.pdf>

B. University Policy on Disclosure of Financial Interest in Private Sponsors of Research APM-028 (4/84)

<http://www.ucop.edu/acadadv/acadpers/apm/apm-028.pdf>

C. Office of Technology Transfer Guidelines on University-Industry Relations (5/89)

<http://www.ucop.edu/ott/genresources/unindrel.html>

D. Principles Regarding Rights to Future Research Results In University Agreements With External Parties (8/99)

<http://www.ucop.edu/ott/genresources/principles.html>

E. Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President’s Retreat on Working with Industry (1/97)

<http://www.ucop.edu/ott/retreat/tabofcon.html>

### **II. Purpose, Background, and Guiding Principles**

This policy affirms joint student and faculty responsibilities, as members of the University of California, in relationship to potential conflicts of interest and provides mechanisms to

ensure that outside activities are consistent with University policy. Specifically, this policy seeks to identify cases where a faculty member's financial interest may have negative effects on a student's academic interests.

Opportunities for graduate students to work in the private sector as part of their education are rapidly increasing. The experience and feedback these experiences provide complement their academic curricula and enhance its relevance. Opportunities and benefits of such collaborations may include a sense of the private sector's needs and future directions; exposure to the most recent specialized research within a particular field; opportunities to apply theory to "real-world" problems; access to cutting-edge equipment and lab resources; opportunities to enhance work skills, such as critical thinking, communication, business acumen, and team participation; increased understanding of career possibilities and potential career directions.<sup>1</sup>

<sup>1</sup> From the Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97).

### **Guiding Principles**

When considering the appropriateness of graduate student participation in particular research projects with the private sector the following principles apply:

#### **A. Open Academic Environment**

Student involvement with the private sector should enhance their educational experience and not unduly influence or restrict their academic choices. Specifically, a student must retain the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice. A student's field of research should not be significantly narrowed or limited as a result of involvement with the private sector, nor should such involvement result in significant limitation of post-graduate employment. All University research, including research sponsored by industry, is governed by the tradition of the free exchange of ideas and timely dissemination of research results. The University is committed to an open teaching and research environment in which ideas can be exchanged freely among faculty and students in the classroom, laboratory, informal meetings, and elsewhere.

#### **B. Freedom to Publish**

Freedom to publish and disseminate results are major criteria for assessing the appropriateness of any research project, particularly those involving graduate students. Consistent with the mission of the University, the integrity of a student's academic experience shall be preserved, including the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large. The University precludes assigning to extramural sources the right to keep or make final decisions about what may or may not be published with respect to a research project<sup>2</sup>. Within this general understanding, the University also realizes that circumstances may arise where certain restrictions or limitations may be appropriate. Short, reasonable delays may be appropriate, for example, to allow the research sponsor to review publications for inadvertent disclosures of proprietary data or potentially patentable inventions. In all cases, however, these limitations or restrictions may not be more restrictive than those borne by faculty conducting similar research under University auspices.

#### **C. Right to Conduct Future Research**

A graduate student's ability to use research results in future research and educational activities shall not be impaired.

#### **D. Outside Professional Activities**

Faculty are encouraged to engage in appropriate outside professional activities (as defined in APM-025). Graduate students also can benefit from participating in such activities with faculty members. Faculty members should be careful to ensure that the student's thesis or dissertation work is not unreasonably compromised as a result of such involvement.<sup>3</sup>

#### E. Responsibility to Students

University regulations guide the academic rights and responsibilities of students, and responsibility for adherence to these principles rests with the faculty. The University is committed to protecting the educational interests of students and maintaining an open environment free from undue influence of private outside interests. The advice and guidance given to students by faculty or staff members (including the nature and direction of research or other studies as well as employment opportunities outside the university) should always be governed by what is in the best academic interests of the student.

<sup>2</sup> From the OTT Guidelines on University-Industry Relations and UC Systemwide Policy as outlined in the UC Contract and Grant Manual.

<sup>3</sup> From the OTT Guidelines on University-Industry Relations and UCOP Principles Regarding Rights to Future University Agreements With External Parties.

### **III. Definitions**

"Private entity" means any non-governmental entity, except those entities exempted from the University's non-governmental financial disclosure requirements. The list of exempt entities can be found at <http://www.ucop.edu/research/exempt.html>.

"Financial interest" means:

(a) An investment in a private entity, by the faculty member or a member of the faculty member's immediate family (spouse/registered domestic partner or dependent children), worth more than \$10,000, including stock options and profit sharing; or

(b) A position in a private entity as an employee, director, officer, partner, consultant, trustee, or any management position; or

(c) Income from a private entity, including consulting income, totaling \$10,000 or more in value within a 12-month period.

"Academic interest" means:

Academic interest refers to the integrity of a student's academic experience. A student's academic interests include: the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice; the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large; and the ability to use research results in future research and educational activities.

### **IV. Disclosures**

In order to protect a student's academic interests, faculty members and students need to disclose certain agreements or arrangements where conflicts with these interests may arise. Such disclosure should take place at any time the agreements or arrangements set forth below arise.

When these agreements or arrangements are disclosed, procedures will be initiated to determine whether the agreements or arrangements are consistent with the student's

academic interests. If not, consideration will be given to methods of resolution of these conflicts.

The following agreements or arrangements should be disclosed to the Dean of the Graduate Division as soon as the student becomes aware of the facts giving rise to the disclosure obligation:

i) Agreements or arrangements between a student and a private entity involving research activities by the student, where the University or a mentor/research/thesis/dissertation advisor is a party to the agreement or arrangement, and the student's mentor/research/thesis/dissertation advisor has a financial interest in the private entity.

*And one or more of the following is true:*

a) The research activities are related to the student's thesis/dissertation, or

b) There are restrictions on the student's ability to publish, present, or otherwise disclose the findings from their research activities.

When students enter into any private arrangements, they should take into account obligations they may have to the University (such as employment) and ensure that conflicts do not arise which could violate those University obligations.

## **V. Responsibilities**

### **A. Graduate Division**

This policy and ancillary information is in the Graduate Handbook [www.graddiv.ucsb.edu/academic/handbook](http://www.graddiv.ucsb.edu/academic/handbook), published by the Graduate Division. The Graduate Division shall:

- i. Annually send graduate students an electronic communication that provides the URL to the Policy on Conflict of Interest and Graduate Education.
- ii. Work with students and departments in the event that formal procedures detailed herein are initiated.

### **B. Academic Unit**

The academic unit shall:

- i. Communicate at least once per year, in a format of the unit's choosing, about the University's Policy on Conflict of Interest and Graduate Education as well as the procedures designed to protect the academic interests of the student.
- ii. Notify graduate students of the identity of a designated resource person (typically the Graduate Advisor) who is available to advise students in circumstances in which there is a perceived or potential conflict of interest. Have the designated resource person in the academic unit serve as the departmental representative in all matters related to the conflict of interest issue as it pertains to graduate students.
- iii. Include this policy in the departmental student handbook.

The department chair of the academic unit is responsible for ensuring that faculty members and students are familiar with the ways in which the policy might impact a

mentor/research/thesis/dissertation advisor's relationship with a graduate student. The department chair shall:

- iv. Ensure that faculty members have submitted the required disclosures (see Red Binder <http://ap.ucsb.edu/policies.and.procedures/red.binder/red.binder.pdf>) and obtained approvals required pursuant to APM-025 for involvement of graduate students in outside compensated activities.

### C. Mentor/Research/Thesis/Dissertation Advisor

Each faculty member serving as a mentor/research/thesis/dissertation advisor to a graduate student shall:

- i. Disclose any conflict of interest that might in any way be pertinent to the research conducted by the student (using criteria as outlined in this policy and APM-028, regardless of whether the private entity is sponsoring research at the University.)
- ii. Notify the student and the designated resource person in the department of his or her conflict of interest in a timely manner ("Timely manner" means that the faculty member should notify the departmental representative and the student at the time that the student is being employed as a research or teaching assistant, forming a graduate committee, considering a thesis or dissertation topic, whichever comes first.)

## **VI. Procedures**

### Disclosure Process

A. The Graduate Student Conflict of Interest procedure will be communicated from the Graduate Dean to graduate students each academic year. A conflict of interest may be reported through two basic avenues:

- i. All graduate students completing a thesis or dissertation must submit Graduate Division's Master's Form I and Doctoral Form I. [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] The Graduate Student Conflict of Interest (COI) Form for disclosure is embedded in the Graduate Division's Master's Form I and Doctoral Form I.
- ii. In addition, at any time, through a formal or informal process at the level of the academic unit, a stand-alone COI Form [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] may be submitted by any of the following parties: the graduate student, the faculty mentor/research/thesis/dissertation advisor, a departmental representative/Graduate Advisor, or the campus Conflict of Interest Committee.

In addition to consulting the departmental representative/Graduate Advisor, a student may at any time seek the advice of one of the identified campus-wide resource persons, who include the Dean of the Graduate Division, Assistant Dean of the Graduate Division, the Director of Academic Services in the Graduate Division, and the Conflict of Interest Coordinator in the Office of Research.

B. Graduate Student Conflict of Interest Forms shall be submitted to the Dean of the Graduate Division for review.

## Review Process

The Dean of the Graduate Division or designee shall review each form submitted. Those containing a positive disclosure will be reviewed in greater depth to determine whether the Graduate Student Conflict of Interest Subcommittee review of the disclosure is required.

- i. If the conflict of interest poses **minimal risk** of harm to the academic interests of the student, then the Graduate Dean or Dean's designee shall write a brief statement to that effect, and shall include a summary of the situation and the reasons for the decision. If there is agreement with the risk statement, the Department Chair, the student, and faculty member who has a conflict of interest shall co-sign the statement. Upon acceptance by the Dean or Dean's designee, the signed statement shall then be forwarded to the department for placement in the student's academic file; a copy will also be retained by the Dean of the Graduate Division with copies forwarded to the co-signers. Should any party become aware of new information impacting the academic interests of the student, the minimal risk statement should be reassessed and a new COI Form submitted by the department to the Graduate Division. If, on the other hand, the Department Chair, student, or the faculty member does not agree with the statement after suitable revisions have been attempted, the conflict of interest matter should then be referred to the Graduate Student Conflict of Interest Subcommittee for final resolution.
- ii. If the conflict of interest issue includes a component that may be harmful to the student, then the Dean of Graduate Division will refer the matter to the Graduate Student Conflict of Interest Subcommittee.

## Subcommittee Review Process

Reviews will be performed by the Graduate Student Conflict of Interest Subcommittee ("Subcommittee") consisting of the Chair of the Conflict of Interest Committee, the Conflict of Interest Coordinator in the Office of Research, and the Dean of the Graduate Division or his or her designee. The Subcommittee shall meet as necessary.

When a disclosure is submitted for Subcommittee review, the Subcommittee shall have the following options:

- 1) Approve the project<sup>4</sup> (determine that no obvious conflict of interest is present);
- 2) Conditionally approve the project to manage the conflict, subject, but not limited to, conditions such as the following:
  - Further management by, or reporting to, an appropriate Dean, Chair, or *ad hoc* departmental committee formed for such purpose;
  - Periodic reports back to the Subcommittee on steps taken to manage the conflict;
  - Divestiture of the financial interests that cause the conflict;
  - Recommendation that the Graduate Dean work with the Department to find a substitute on the student's dissertation or thesis committee for the faculty member with a conflict;
  - Limitation of the length or scope of student's work with industry;
  - Adoption of standard UC provisions concerning intellectual

property for student's work with industry;

- All student work is to be conducted on-campus;
- Appointment of an additional member to serve on the dissertation or thesis committee as an "Oversight Member." This member is chosen by the Department Chair (or the Graduate Advisor if the Chair is the conflicted faculty member) in consultation with the graduate student and their dissertation advisor. The Oversight Member shall be from a different academic department in a reasonably related discipline.
- Any other condition that the Subcommittee feels appropriate and reasonable to manage the conflict may also be implemented.

<sup>4</sup> A project could be, but is not limited to, a textbook, software, scientific or engineering innovation, or basic/applied research that would benefit the company's interest.

## CHANGES IN DISSERTATION OR COMMITTEE MEMBERS

It is not unusual for the doctoral committee membership to change during the course of a student's work on the doctorate. If you decide to make changes to your approved committee, the Graduate Division requires you submit a **Form IA – Changes in Thesis or Dissertation Committee. Forms are on the Graduate Division website.**  
<http://www.graddiv.ucsb.edu/pubs/>

The entire Bren faculty must review and approve any changes at a regularly scheduled faculty meeting. Student Services will submit this form to Graduate Division once it is approved.

NOTE: The Graduate Division rules govern the participation of **retired faculty members**. If a faculty member retires while your dissertation is still being written, the faculty member may continue to serve on and chair your committee. If a faculty member retires before your doctoral committee is nominated, the retired faculty may serve as a second or third member without special approval from Graduate Division. If a faculty member who has retired is nominated to serve as chair of a doctoral committee, Graduate Council approval must be obtained. Emeriti faculty who continue with the University as "research professors" may chair committees without special approval.

**Major changes** in a program of study represent substantive changes in the course of study (change of the Chair to a Chair in a different field, new thesis topic, etc.). The decision whether a change is minor or major is made by your Ph.D. Committee (or new Committee). The Committee first submits its recommendation to the Ph.D. Program Committee for review and then to the entire faculty for majority approval.

If a new thesis topic is chosen, and the change is considered major, you may petition the Ph.D. Program Committee to have your Bren timeline reset to allow you sufficient time to prepare for written and oral exams in the new field. The **Bren Petition Form** is at Services/Students – General Info & Forms. If you have already passed your written and/or oral exam, you may be required to retake one or both.

Please note that normative and maximum time as governed by the Graduate Division will **not** change with a new thesis topic.

## STAGE TWO

# COMPREHENSIVE EXAMINATIONS

### REGISTRATION REQUIREMENTS

You must be registered the quarter you take qualifying exams.

Registration as a graduate student in the spring quarter maintains graduate status until the beginning of the next fall quarter. If you are registered in spring quarter, you may take examinations or file a dissertation during summer without additional fees.

- If you are not registered for spring quarter, you will have to use **filing fee status** (see below) to file a dissertation.
- You may not take Ph.D. qualifying examinations in the summer unless you register in summer session.

The Graduate Division requires that **three consecutive quarters of residence** must be completed prior to taking the **oral** qualifying examinations.

It is your responsibility to ensure that you are in compliance with the Bren School's timeline for Ph.D. examinations and to work closely with your Ph.D. Committee to maintain an adequate schedule. You are responsible for initiating the scheduling of your examinations as appropriate.

### THE WRITTEN EXAMINATION

Normally, in spring of your 2<sup>nd</sup> year of study and under no circumstances later than spring of your 3<sup>rd</sup> year, your Committee prepares a written examination that tests your knowledge of your specialization in the context of environmental science and management as well as your research skills, problem solving skills, ability to do academic work, and readiness to undertake dissertation research. It is recommended that well in advance of the examination you organize and schedule a meeting with your Committee to prepare a reading list as a guide for study.

The exam is usually scheduled for **spring quarter of the second year**. Exceptions are allowed on a case-by-case basis. If you want to defer the exam to after spring quarter of your 2<sup>nd</sup> year, you must submit a Bren School Petition to Student Services at the beginning of spring quarter.

Every Ph.D. student has the right to receive a written description of the nature of their qualifying exam, including the broad subject matter covered and the format of the exam, at least one month prior to taking the qualifying exam. Students are encouraged to request such a description from their Committee Chair.

All members of your Committee participate in the preparation of the written examination. The Chair of your Committee coordinates the questions before giving them to you. The duration of the exam may not exceed 5 days. Within a month of the exam's completion, your Committee will prepare a written evaluation of the examination and give you an overall grade in one of three categories:

**1. Pass**

**2. Conditional Pass** –you must repeat a portion of the written exam or in some way satisfy the deficiencies. The deficiencies must be corrected within 6 months of

notification. If for some reason the deficiency cannot be corrected within 6 months (i.e. a class is only offered once a year), you may have up to 12 months to rectify the conditional pass.

**3. Fail** – you must retake the written exam within 6 months of notification. If you fail a second time (or fail the written exam after a conditional pass), the Bren School will recommend that you be dismissed from the Ph.D. program.

You must submit a **Report on Written Exam** form (found at Services/Students – PhD) including the questions to the written exam to Student Services within 30 days of the examination.

NOTE: Students are encouraged to request and have the right to receive a written description of the scope and nature of their written exam *prior to* taking the exam.

## STAGE THREE

### YOUR DISSERTATION PROPOSAL

No later than **6 months after passing the written examination**, you must prepare a written dissertation proposal that

- describes the dissertation topic,
- summarizes the relevant background literature,
- presents a comprehensive research plan\* for your doctoral dissertation, and
- includes a timetable and budget that identifies any financial support essential for preparation of the dissertation.

\*NOTE: The comprehensive research plan **must** address the use of **human subjects** in your research according to the requirements of UCSB's Human Subject Committee. (See [http://www.research.ucsb.edu/forms/research\\_forms.shtml](http://www.research.ucsb.edu/forms/research_forms.shtml))

In developing the dissertation proposal, you will work closely with your Advisor. The process typically involves you drafting a proposal of your initial ideas, and then working with your Advisor to improve the proposal prior to distribution to the entire Committee. You and your Advisor determine the exact nature of proposal development and dissemination to the rest of the Committee.

The final draft of the proposal should be 15 pages or less and must be submitted to your Committee at least one week prior to your oral examination date.

Your Committee can request a change in the page or time limits (for example, if you have an outside member who needs more time). You should be receptive to reasonable deviations in length/time as long as they are communicated well in advance.

The proposal is not formally approved until the oral examination.

## STAGE FOUR

### THE ORAL EXAMINATION

The general objective of the oral examination is to ensure that you possess the full knowledge and competence required to carry out your dissertation proposal. Thus, your Committee will base the oral examination on your dissertation proposal, your readiness to do the required research, and your preparation and aptitude for completion of the Ph.D. program. It is your choice if the exam is closed (attended only by your Committee members) or open for anyone to attend.

Immediately after the oral examination, your Committee votes to (1) admit you to Ph.D. Candidacy, (2) recommend your dismissal from the program, or (3) allow you to take a second oral exam within 6 months. If a second oral exam is recommended, the Committee will vote for advancement or dismissal following the exam.

**It is your responsibility to bring the Ph.D. Form II to the oral exam. This form officially advances you to candidacy. Forms are on the Graduate Division website. <http://www.graddiv.ucsb.edu/pubs/>**

## **STAGE FIVE**

### **ADVANCING TO CANDIDACY**

#### **PH.D. FORM II – REPORT ON QUALIFYING EXAMINATIONS**

The **Ph.D. Form II – Report on Qualifying Examinations for the Degree of Doctor of Philosophy. Forms are on the Graduate Division website.**  
**<http://www.graddiv.ucsb.edu/pubs/>**

Immediately following successful completion of the oral examination, the members of your Committee will sign the Ph.D. Form II. You must then take the completed Form II to the Cashier's Office, pay the advancement to candidacy fee and then file it with Graduate Division.

Students have until the last workday before the next quarter officially begins (as indicated in the University's quarterly Schedule of Classes) to officially advance to candidacy.

Students with Incompletes or No Grades on their record are ineligible to advance to candidacy until the Incompletes/No Grades have been removed. There are no exceptions to this Graduate Division policy.

Graduate Council has set a four-year time limit for advancement to Ph.D. candidacy for all graduate students.

#### **ADVANCEMENT PRIVILEGES**

Once advanced, you are eligible for doctoral candidate borrowing privileges at the Davidson Library as long as you are in registered status or on approved leave of absence.

## **STAGE SIX**

# **DISSERTATION**

To receive a Ph.D. degree you must present a dissertation that demonstrates your ability to contribute significant, independent, and original research to your major field. Your Committee guides you in this work and judges the merit of the completed dissertation. Following the completion of doctoral research, you will prepare a dissertation that must be approved by all members of your Committee as nominated on the Form I (or Form IA) and conforms to the rules and regulations of the Graduate Division and the Davidson Library.

Bren Ph.D. students are expected to have completed and defended their dissertations **within 6 years** from the time they entered graduate studies; MESM/Ph.D. students have an additional year. If you have advanced preparation upon entering the Bren School, you may be encouraged to complete the dissertation in a shorter time frame. Graduate Council has set a seven-year time limit for completion of the Ph.D. for all graduate students.

### **DISSERTATION DEFENSE**

When you have completed your dissertation to the satisfaction of your Committee, it is **REQUIRED** that you give a public lecture on the dissertation. This is part of your Dissertation Defense. There are no exceptions.

Normally, your Advisor will help you decide when you are ready for the Defense. You should not schedule a Defense until your Advisor and the rest of your Committee believe you will pass.

It is your responsibility to schedule your Committee members for the Defense. You must email [scheduling@bren.ucsb.edu](mailto:scheduling@bren.ucsb.edu) at least two weeks in advance of your Defense so that there is adequate time to secure a room and publicize the event.

After the lecture, you will give a closed-door portion of the Defense before your Committee. The committee grades your entire Defense in one of three categories and notifies you immediately of the result of your Defense:

**1. Pass**

**2. Conditional Pass** – you must modify your dissertation as recommended by the committee.

**3. Fail** – you must re-defend your dissertation after a delay of at least 2 but no more than 6 months. A second failure will result in the School recommending your dismissal from the Ph.D. program.

**It is your responsibility to bring the Ph.D. Form III to your Defense.**

## REPORT ON FINAL EXAMINATION – PH.D. FORM III

The **Ph.D. Form III – Report on Final Examination for the Degree of Doctor of Philosophy. Forms are on the Graduate Division website.**  
**<http://www.graddiv.ucsb.edu/pubs/>**

If you pass your Defense, you will obtain signatures from every Committee member and then submit the form to Student Services who will file it with Graduate Division.

In the event that your Committee allows you to waive your Defense, you must obtain their signatures on **Form IIIA—Waiver of Final Examinations for the Degree of Doctor of Philosophy.**

The dissertation must be presented in a form acceptable to the Davidson Library and meet the filing requirements of Graduate Division. For details, see the Graduate Division publication “**UCSB Guide to Filing of Theses and Dissertations**”  
**<http://www.graddiv.ucsb.edu/pubs/filingguide.shtml>.**

**You must file one copy of the dissertation with the Bren School.** The School’s copy does not have to be on 100% cotton paper as is required for the library copy. While it is not mandatory to give a copy of your dissertation to your Ph.D. Committee members, it is customary.

### STAGE SEVEN

#### FILING FEE

The filing fee is a reduced fee paid instead of full registration fees for the **quarter a student is completing the last requirements** for the degree. The fee is usually equal to 50% of the registration fee. Paying the filing fee terminates graduate status therefore Ph.D. students may only use it when in the process of filing their dissertations.

All graduating students must be in a fee relationship with the University (i.e. either registered or using the filing fee). Therefore, if you are registered during the quarter in which you plan to graduate or if you finish during the summer and you were enrolled during the previous spring quarter, then you do **not** have to pay the filing fee. However, if you are **not** registered during the quarter in which you plan to graduate then you must pay the filing fee.

**Please note that a student cannot be on a filing fee quarter unless they were registered in the prior quarter (i.e. you cannot go from leave of absence or lapsed status to a filing fee quarter).**

## **MAXIMUM TIME/NORMATIVE TIME FOR THE PH.D. DEGREE**

The University sets time limits called degree deadlines for completion of the doctoral degree. Doctoral candidates in all fields are expected to complete their degree requirements within 7 years. This is the maximum time allowed. The University's 7-year degree deadline for completion of a doctorate is distinct from normative time, which is the number of years considered to be reasonable by the faculty of an individual department/School for completion of a Ph.D. by a full-time student in that program.

Normative time is measured from the time you begin graduate study at any level at UCSB. The Bren School has established a normative time for completion of the Ph.D. at 6 years unless you are continuing into the Ph.D. after having completed a MESM in which case the normative is 7 years. You may finish in less than the normative time (and are encouraged to do so) as long as you meet the residency requirement and the degree requirements. In the case of **Leave of Absence** for medical, family emergency, or pregnancy/parenting reasons, three quarters of Leave of Absence are permitted during which no time shall accrue toward the normative time deadline. More Leaves of Absence or periods of lapsed status will not stop the normative time clock.