



**UCDAVIS**  
**GRADUATE STUDIES**

# ADVISER'S HANDBOOK

November, 2015

This handbook serves as a summary of the policies and procedures of the Graduate Council and the Office of Graduate Studies. Any discrepancies will be resolved in favor of the official policies of these two agencies.

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# Administration

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## The Office of Graduate Studies

The Office of Graduate Studies has overall responsibility for the administration of graduate programs at UC Davis. The Vice Provost – Graduate Education and Dean – Graduate Studies provides academic leadership for graduate education and administrative leadership for Graduate Studies. The office staff and deans work in close collaboration with graduate program staff and faculty to meet the needs of all graduate students. The Graduate Council, a committee of the Academic Senate, develops academic policies applicable to graduate education while working closely with Graduate Studies to implement those policies.

The Office of Graduate Studies has several missions: to advocate on behalf of graduate students and postdoctoral scholars, to support the faculty and staff engaged in delivering graduate education, and to administer academic and administrative policies affecting graduate students and postdoctoral scholars in ways that foster a culturally and intellectually diverse environment characterized by high academic standards. Faculty, staff and students are invited to visit Graduate Studies to familiarize themselves with the office and gather information. The Dean and Associate Deans of Graduate Studies are available by appointment to discuss any matters relevant to graduate education at UC Davis. Please see a full list of Graduate Studies personnel on our website: [gradstudies.ucdavis.edu/about-us/staff-directory](http://gradstudies.ucdavis.edu/about-us/staff-directory).

## The Graduate Program

### Faculty Membership

#### *Eligibility*

Election of faculty to graduate program membership is governed by Graduate Council policy and the bylaws of the specific program. See the Policy on Membership in Graduate Programs (GS 1998-02 (rev.03): [gradstudies.ucdavis.edu/files/grad-council/gc1998-02-membership-in-graduate-programs.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc1998-02-membership-in-graduate-programs.pdf)).

The bylaws of each department- or group-based program specify the detailed criteria for membership nomination, initial election, and periodic review of membership. Criteria generally considered are the individual's academic title, research area, research accomplishments, and contributions to the program. Thus, academicians throughout the campus may be eligible for election to graduate program membership, provided they hold an appropriate academic title:

- member of the Academic Senate of the University of California (including professors, lecturers, senior lecturers with security of employment, professors in residence, professors of clinical “\_\_\_,” acting professor series);
- professor emeritus/a, and research professor;
- member of the Academic Federation (including Health Sciences, clinical professors [not volunteer series], adjunct professors, supervisors of physical education, Unit 18 lecturers, academic administrators [not academic coordinators]);
- member of the Academic Federation under one of the two following titles **must** hold a lecturer without salary appointment: 1) specialists in Cooperative Extension and professional research

series and 2) appointees in the visiting professor series (does not include appointees under visiting titles in other series).

Appointees are expected to have an active program of research or scholarship commensurate with the expectations of the University of California. This criterion is essential if the faculty member is to provide appropriate research guidance to his/her graduate students.

Academic staff members who have primary appointments as Cooperative Extension specialists or in the professional research series are not eligible to be members of graduate programs, unless they also hold an appropriate instructional title (such as lecturer without salary). A program may specify that its membership is limited to Academic Senate titles only by including appropriate language in its bylaws.

### *Rights and Privileges*

Each elected member of a graduate program will generally have the full rights and privileges accorded to other members. However, members of department-based graduate programs who do not also hold academic appointments in that department may only participate in graduate matters. These members do not have voting rights regarding department personnel actions, department budget decisions, or undergraduate program matters. The Graduate Council has established a [Policy on Quorum and Voting Rights & Responsibility \(GC2011-04\)](#); the policy defines the minimum affirmative vote required for passage of a motion. Some graduate programs may define a more stringent policy.

### *Expectations*

Graduate program members are expected to contribute to the program in order to maintain their membership status. Acceptable membership contributions may include:

- teaching graduate courses in the program and mentoring students,
- serving on administrative committees of the program,
- serving as a program administrative officer,
- serving as a graduate adviser, or
- serving on advanced degree committees.

### The Chair

#### *Authority*

The chair is the academic leader and administrative head of the graduate program. The chair automatically has signature authority on all forms and petitions related to the program.

#### *Appointment*

In department-based graduate programs, the department chair is also the graduate program chair. The dean of a college nominates the department chair to the Chancellor, who then appoints the chair (APM 245A). The department chair may delegate day-to-day administrative oversight of the program to another faculty member (e.g., vice chair for graduate matters, the chair of a graduate affairs committee, etc.), but the department chair retains ultimate authority and responsibility for the graduate program.

In group-based graduate programs, the Dean of Graduate Studies nominates the graduate group chair (based on procedures endorsed by the Graduate Council) to the Provost, who then appoints the chair

(APM Section UCD-245B). The general period of chair appointments is three to five years with the possibility of renewal; acting chairs may be appointed for shorter terms. If a graduate group chair will be absent for a significant period of time (i.e., for a quarter or more), the graduate group must notify the Dean of Graduate Studies. An acting chair will be appointed during the chair's absence according to the same procedures used to appoint the original chair. When a chair's absence will be of such limited duration that it is not feasible to appoint an acting chair (i.e., less than a quarter), the chair must ensure that appropriate oversight of the graduate group's administrative affairs occurs during his/her absence.

## The Graduate Adviser

### *Authority*

The graduate adviser addresses academic matters affecting graduate students and their academic programs. The role of a graduate adviser is distinct from that of the major professor. The major professor guides students' research and usually serves as Dissertation Chair of the Thesis/Dissertation Committee. In all programs, a graduate adviser's signature is the only signature (other than the chair's) that Graduate Studies recognizes as an official signature.

### *Appointment*

At least one graduate adviser is officially appointed in accordance with the policies and procedures of Graduate Studies to a term of two years for each program. The chair of the department or graduate group is responsible for submitting to Graduate Studies his/her nominations for graduate adviser(s) by July 1 of every second year. To submit nominations, complete the Graduate Adviser Appointment Nomination (GS400) form, located in "Forms & Information" of the drop-down list under the "Current Students" tab of the Graduate Studies website: [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information). Each graduate program should have a sufficient number of graduate advisers to establish a student to adviser ratio of approximately 15:1. Given that only the chair and the graduate adviser's signature is accepted by Graduate Studies, any requested change in graduate advisers during the academic year must be reported immediately to Graduate Studies.

### *Responsibilities*

In general, a graduate adviser acts as a student's first source of academic information and provides assistance with the details of each student's plan of study in the graduate program. In all of the matters listed below, the graduate adviser must evaluate whether student requests are permitted under existing policies and regulations. The following list outlines the primary responsibilities of the graduate adviser:

- Every quarter, review and approve the program of study for each graduate student who has not advanced to candidacy.
- Review and take action on each petition submitted by a graduate student to drop/add courses, or to take courses on an S/U basis, as well as make recommendations on petitions from graduate students who want to drop or add courses beyond the fifth week of classes.
- Review and approve student petitions for Planned Educational Leave (PELP) and then forward such petitions to Graduate Studies for approval.

- Review and recommend petitions for advancement to candidacy for the master's degree and recommendations for the composition of committees for master's theses or comprehensive examinations.
- After consultation with the student and the student's major professor, recommend to the Dean of Graduate Studies the membership of a student's doctoral qualifying examination committee.
- After consultation with the student and the student's major professor, recommend to the Dean of Graduate Studies the membership of the student's doctoral dissertation committee, as well as review and recommend petitions for advancement to candidacy for the doctoral degree.
- Periodically review student progress towards degree objectives, and, in particular, report annually to Graduate Studies about each student's progress toward completion of degree requirements.
- Determine if a doctoral program requirement has been met by the completion of an equivalent course taken at another institution. (Note: the graduate adviser does *not* have the authority to *wave* a requirement, only to accept that a student has previously satisfied a requirement by coursework taken elsewhere.)

### The Admissions Adviser

#### *Authority*

Only the graduate admissions adviser (in addition to the program chair) has delegated signature authority for admissions, readmission, or change of major petitions for graduate students. The graduate admissions adviser may also have responsibility and signature authority for awarding graduate program fellowship allocation funds. In many programs, the graduate admissions adviser is chair of an admissions committee charged with reviewing program applications.

#### *Appointment*

One graduate adviser in each program may be designated as the graduate admissions adviser. This person is nominated and appointed according to the same procedures noted above for graduate advisers.

## The Graduate Council

### Membership

The Davis Division of the Academic Senate appoints a Graduate Council whose membership is comprised of 11 faculty members and the Dean of Graduate Studies *ex officio*. In addition, three graduate students recommended by the Graduate Student Association and the Graduate Student Assistant to the Dean of Graduate Studies and to the Chancellor serve as representatives of the Council, along with two Academic Federation representatives, and two postdoctoral scholar representatives recommended by the Postdoctoral Scholars Association.

### Responsibilities

The Graduate Council is responsible for all academic policies and procedures related to graduate education on the UC Davis campus in accordance with the Davis Division of the Academic Senate bylaws, found at: [academicsenate.ucdavis.edu/cerj/manual/dd\\_bylaws.cfm](http://academicsenate.ucdavis.edu/cerj/manual/dd_bylaws.cfm). The following responsibilities are included in the Council's purview:

- reports and recommendations about graduate education for the Davis Division of the Academic Senate and the UC system-wide Coordinating Committee on Graduate Affairs;
- periodic quality review of all graduate programs;
- establishment of policies and standards concerning graduate students' degree progress;
- admission of qualified applicants, the advancement to candidacy of qualified students, the appointment of student committees, and the establishment of rules regarding dissertation format;
- oversight of employed students' study lists and part-time degree status;
- establishment of policies and standards for the appointment of postdoctoral scholars;
- recommendations for awarding fellowships and scholarships; and
- advice to campus officers concerning relations with educational, as well as research foundations, and any matters pertaining to graduate work.

## Outreach, Recruitment and Retention

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### Purpose of Outreach and Recruitment

The quality of a graduate program depends, in part, on having a group of intellectually talented, highly motivated, and well-prepared students from diverse backgrounds. The purpose of outreach and recruitment is to make the quality of UC Davis' programs and faculty known to a greater and more diverse number of qualified potential graduate students – to increase the number and diversity of applications in order to ensure that top ranked applicants select UC Davis for their graduate studies.

### Factors Affecting Applicants' Decisions

There are several factors that determine whether an applicant chooses UC Davis instead of another institution for graduate work. Two primary considerations in the applicant's choice are the reputation of faculty and the quality of the graduate program. The amount and duration of a financial support commitment is also a major factor.

A less obvious but equally important ingredient is the quality of communication with the prospective graduate program. Programs should provide prospective students with complete application information and current, well-written information about the faculty and curriculum. Graduate program staff should respond to email and telephone inquiries in a timely manner. Another critical element of the overall communication strategy is a clear, well designed website. It is also important to answer questions promptly, make timely admission decisions, and offer financial assistance at the time of admission or shortly afterward. Graduate Studies staff members are available to assist programs with the planning of their recruitment efforts.

### Recruitment Efforts and Events

As part of a centralized outreach and recruiting effort, Graduate Studies sends representatives to numerous information fairs at California State University campuses, as well as sister UC campuses. Additionally, Graduate Studies frequently participates in a number of consortia and attends



conferences that permit identification and recruitment of a diverse pool of students. Faculty members are welcome to accompany Graduate Studies staff to these events.

Some of the graduate organizations who host information fairs include: National Consortium for Graduate Degrees for Minorities in Engineering and Sciences, Inc. (GEM); California Forum for Diversity in Graduate Education; Annual Biomedical Research Conference for Minority Students (ABRCMS); the Society for the Advancement of Chicanos and Native Americans in Science (SACNAS); the Society of Hispanic Professional Engineers Conference (SHPE); the National Society of Black Engineers Conference (NSBE); Historically Black Colleges and Universities Research Symposium (HBCU-UP); and Hispanic Engineers National Achievement Awards Conference (HENNAC).

## Graduate Program Recruitment Checklist

Programs are encouraged to include the following efforts in their overall recruiting strategy:

- Design up-to-date and well-written print (e.g., brochures, flyers, etc.) and electronic materials to describe the graduate program and additional activities (e.g., summer research programs, fellowships, training grants, etc.).
- Plan the participation of faculty, program staff, students, and alumni, in both state and national recruitment events that Graduate Studies staff identify and/or attend, as well as coordinate with the Graduate Studies Director of Admissions and Academic Services.
- Post and update information about the program on the program's website, in addition to notifying faculty and departments at selected universities and colleges early in the fall quarter. Remember to notify UC Davis doctoral program graduates who have become faculty members at other institutions.
- Ask graduate program faculty to distribute program information when they attend conferences and give seminars at other colleges and universities.
- Answer inquiries about the graduate program as quickly as possible.
- Monitor the status of applications using the Graduate Application Review Database (GARD) system and follow up on applications that remain out for review, as well as notify applicants with missing materials in their application and encourage them to check their application status online.
- Review completed files in a timely manner and make early offers of admission and financial support, as well as invite the program chair, faculty, students, and program staff to contact admitted students via telephone and email to offer congratulations, advice, and assistance with any of their questions or concerns.
- Send thank you letters to faculty who write letters of recommendation.
- Invite admitted students to visit the campus individually or as a group during a recruitment event and involve the following groups of people in the recruitment event: graduate faculty, students, staff, and alumni, as well as other members of campus communities, departments, and organizations.
- Send welcome letters to admitted students and maintain regular contact by telephone, letter or email.

- Schedule an orientation for new students before the start of fall quarter to introduce them to the graduate program faculty, staff and other graduate students (also an opportunity to provide information on the program as well as campus services).

## Recruitment/Marketing, Publications and Social Media

The following Graduate Studies printed recruitment/marketing publications are available at Graduate Studies and the electronic versions are available on our website: [gradstudies.ucdavis.edu/faculty-staff/reports-publications/publications-news](http://gradstudies.ucdavis.edu/faculty-staff/reports-publications/publications-news).

- Overview of UC Davis graduate education
- Program description inserts
- Informational brochures
- Graduate Student Guide
- Annual Report
- GradLink

Also available are the Graduate Studies' social media sites:

- Website ([gradstudies.ucdavis.edu](http://gradstudies.ucdavis.edu))
- Twitter ([twitter.com/ucdgradstudies](https://twitter.com/ucdgradstudies))
- Facebook ([facebook.com/UCDavisGraduateStudies](https://facebook.com/UCDavisGraduateStudies))

## Retention, Professional Development and Diversity

Along with our recruitment efforts, it is critical to help our students succeed in their academic and professional goals once they arrive in our programs. Graduate Studies and other offices work collaboratively to provide retention and professional development activities for faculty and students. Graduate Studies has intentionally combined efforts in professional development and diversity to reflect growing scholarship indicating that greater diversity enhances efforts in seeking productive and effective answers to complex research problems.

### *Retention and Diversity*

Resources that may help graduate faculty and administrators increase their retention and diversity include the following:

- The Mentoring at Critical Transitions (MCT) seminar series for faculty to improve their mentoring skills with graduate students and postdocs. MCT also began a fellowship in 2014, to help faculty work on their mentor/mentee relationships with their graduate students. More information is available at the MCT website: [gradstudies.ucdavis.edu/faculty-staff/mentoring-critical-transitions](http://gradstudies.ucdavis.edu/faculty-staff/mentoring-critical-transitions).
- UC Davis is an institutional member of the National Center for Faculty Development and Diversity. Their resources (weekly Monday Motivator emails, webinars, etc.) are available for all faculty, postdocs and graduate students at [facultydiversity.org](http://facultydiversity.org).
- The UC-HBCU Initiative from the UC Office of the President supports faculty in building connections with students at HBCUs (Historically Black Colleges and Universities), by providing

financial support for undergraduate summer research participants and fellowships for graduate students. For more information please see the Graduate Studies HBCU webpage ([gradstudies.ucdavis.edu/HBCU](http://gradstudies.ucdavis.edu/HBCU)) or the UCOP website: [ucop.edu/graduate-studies/initiatives-outreach/uc-hbcu-program](http://ucop.edu/graduate-studies/initiatives-outreach/uc-hbcu-program).

If programs wish to develop a plan to increase their diversity and/or retention, faculty and administrators may consult the Graduate Diversity Officers and the Manager of Professional Development. Additionally, if faculty are developing proposals that require components to address recruitment and retention plans for diversity, the Graduate Diversity Officers are available for consultation.

Graduate programs are also encouraged to maintain records and data of their retention and recruitment (e.g., MS and PhD completion rates, time to degree, demographics for race, ethnicity, gender, etc.) to help evaluate their recruitment and retention efforts. The Director of Analysis and Policy in Graduate Studies may be able to assist in data collection.

### *Professional Development*

Professional development represents an important component of advanced study that can enhance the value of traditional coursework and research. Graduate advisers should consider the benefit of students' involvement in such co-curricular activities.

- GradPathways, developed by Graduate Studies, is a nationally recognized program developed to ensure success in graduate school and future career endeavors. A variety of workshops, seminars, and panel discussions are offered throughout the year: [gradstudies.ucdavis.edu/professional-development/gradpathways](http://gradstudies.ucdavis.edu/professional-development/gradpathways)
- Professors for the Future (PFTF) is a year-long competitive fellowship program designed to recognize and develop the leadership skills of outstanding graduate students and postdoctoral scholars who have demonstrated their commitment to professionalism, integrity, and academic service. A link to more information about Professors for the Future: [gradstudies.ucdavis.edu/professional-development/professors-future](http://gradstudies.ucdavis.edu/professional-development/professors-future)
- FUTURE is designed to enhance the professional skills of PhD students and postdoctoral fellows engaging in health-related research to better prepare them for a wide range of career options both within and beyond academia. Please visit the website for more information: <http://future.ucdavis.edu/>
- Participation in the governance and/or leadership of graduate programs.
- Representation of graduate students in campus and system-wide decision-making committees.

## Degrees and General Requirements

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### Graduate Admissions

#### Outline of Admissions Procedure

Each person who wants to be admitted to graduate standing in a regular academic program must submit a formal application for admission using the online application system. Applicants may apply to more than one program by submitting a complete application (including an application fee) for each

program of interest. Information regarding the admission of graduate students transferring from other institutions with their major professor can be found in the Policy on Admission of Graduate Students Transferring from other Institution with their Major Professors (GC2004-01) at [gradstudies.ucdavis.edu/files/grad-council/admofstudtrans.pdf](http://gradstudies.ucdavis.edu/files/grad-council/admofstudtrans.pdf).

The application fee (\$90 for U.S. applicants and \$110 for international applicants) must be paid for each submitted application. The application fee is non-refundable. UC Davis does have waiver agreements with certain programs and organizations and application fee waivers are occasionally made available to U.S. applicants with financial need. Please contact the Admissions and Academic Services unit in Graduate Studies for more information.

The completed application will be made available for review by the graduate programs' review committee through the GARD database. The admissions committee, through the graduate adviser with admissions authority, makes recommendations regarding admission to Graduate Studies. The Dean of Graduate Studies makes final decisions on all admissions.

### *Admission Deadlines*

The graduate online admission application will close after June 1. All graduate program deadlines must fall on or before that date and are restricted to the 1<sup>st</sup> or 15<sup>th</sup> of any given month (except for January 5 – there are no January 1 deadlines). The following are the deadline categories available to graduate programs:

Priority Deadline (optional): Applicants who submit their graduate application by the priority deadline must receive priority review for admission. For a priority admission deadline, programs may only choose December 1, December 15, January 5, or January 15. The priority admission deadline must be the same date as your prospective student fellowship deadline.

General Deadline (required): Applicants who apply by the general deadline *will* have their files formally reviewed for admission by the graduate program, but not necessarily on a priority basis. All graduate programs must select a general deadline and, when selecting a date, should bear in mind that they are *guaranteeing* that applications submitted by this deadline will be reviewed by their admission committee.

Space Available Deadline (optional): Applicants who apply by the space available deadline but *after* the general deadline are *not* guaranteed to have their application reviewed by the graduate program. Their application will be reviewed only if the graduate program determines it has additional space available. The space available deadline enables graduate programs to consider applications on a case-by-case basis after the general deadline, and allows greater flexibility in the application review process while still making it clear to the applicant that the application will only be reviewed if the program chooses to do so. The latest possible date for the space available deadline is June 1.

Programs may choose to use any combination of the above deadlines, but all programs are required to have a general deadline. Application deadlines are not waived for individual applicants under any circumstances.

### *Prospective Student Fellowship Deadlines*

Via the application for admission, UC Davis awards approximately 25 fellowships to prospective graduate students. To be considered for one of these fellowships, the student must submit their application for admission (with the Prospective Student Fellowship section completed) at or before 11:59 p.m. PST on January 15 OR prior to the program's latest admission deadline, whichever is first. There is no separate fellowship application for prospective students.

### *List of Required Materials*

To complete a graduate application, the following materials must be submitted:

- the UC Davis graduate application (submitted online and found at [gs.ucdavis.edu/apply](https://gs.ucdavis.edu/apply)), including a statement of purpose and personal history statement,
- letters of recommendation,
- a nonrefundable application fee (\$90 for U.S. applicants and \$110 for international applicants) or an approved application fee waiver,
- official university, college and community college transcripts for all prior academic coursework,
- official Test of English as a Foreign Language (TOEFL) or International English Language Testing Service (IELTS) score report if the applicant's native language or language of prior instruction is not English, and
- additional required information as identified by the program (e.g., GRE scores, artistic portfolio, writing sample, etc.).

The online admissions application site contains specific instructions about required documents and information on contacts for document submission.

Graduate programs must not review applications using extraneous materials which are not required by the program. For example, if a program does not require a writing sample, reviewers may not consider a writing sample sent in by an applicant when evaluating the application. Similarly, application materials which are required by the program may not be waived for individual applicants. For example, if the program requires the GRE, an applicant may not be reviewed for admission without GRE scores. All applicants are to be evaluated using the same criteria and a uniform set of required application materials.

### *Responsibilities of Applicant and Graduate Program*

The application for admission to graduate study is a self-managed application that requires the applicant to provide all of the above listed material at the time of submission. Application review cannot begin until all materials are received. The graduate program will notify the applicant if required materials are missing.

If the applicant submitted the application fee, the program is required to make a recommendation to Graduate Studies, even if the student is denied based on an incomplete file. If the applicant has not submitted the fee and the application is incomplete, no action will be taken.

The applicant is responsible for ensuring the accuracy and completeness of the application for review.

### *Waiver of the Application Fee*

Graduate Studies may waive payment of the application fee for domestic applicants who qualify on the basis of financial need. Applicants may contact Graduate Studies for a fee waiver application.

Graduate Studies will waive payment of the application fee for domestic applicants who have participated in certain academic preparation programs (e.g., McNair Scholars, UC LEADS, UC-HBCU Initiative, etc.). If the applicant qualifies for one of these waivers, the fee will be waived when they submit their application. If the applicant does not qualify, payment of the fee is required before the application can be processed.

## Campus-wide Admission Criteria

As specified by the Graduate Council, each graduate program has an admissions committee composed of at least three faculty members. The committee reviews applications and makes recommendations regarding admission.

The Graduate Council establishes the criteria for admission to graduate standing. Graduate programs may impose additional standards related to GRE scores, letters of recommendation, or other criteria. The admissions committee should review the application file and evaluate the applicant's qualifications based on the Graduate Council's minimum standards and the graduate program's admission standards. However, all applications must be reviewed holistically, taking into account the entire record. Admission decisions are based on faculty judgment of whether the record demonstrates a high likelihood that the applicant will succeed in the specific program at UC Davis.

The admissions committee can recommend admission, denial of admission or wait list. If the committee desires to make an exception to the Graduate Council's minimum standards, the graduate admissions adviser must justify this recommendation for admission. The Dean of Graduate Studies will make the final decision.

### *Previous Degree*

To be eligible for admission, an applicant must have received a four-year bachelor's degree from a regionally accredited institution of higher learning or an international equivalent. If the admissions committee wishes to admit an applicant whose undergraduate degree is not from an accredited institution, a request for exception and justification must be reviewed by the Dean of Graduate Studies.

Holders of the Doctor of Veterinary Medicine (D.V.M.) degree may be admitted if they received the degree prior to registering as a graduate student. Students without a bachelor's degree and pursuing the D.V.M. may not be admitted concurrently to a graduate program for a joint degree with the D.V.M.; the D.V.M. must be completed.

### *Minimum Grade Point Average (GPA) Requirement*

To be eligible for admission, an applicant must have a 3.0 GPA or higher (based on a 4-point scale) at their undergraduate degree granting institution. If an applicant's undergraduate GPA does not meet this minimum requirement and the admissions committee wishes to recommend admission, the graduate admissions adviser may submit a request for exception and justification based on the following criteria, to be reviewed by the Dean of Graduate Studies:

- a 3.0 GPA or higher (based on a 4-point scale) for all upper division coursework taken during the last two years of an undergraduate program;
- a 3.5 GPA or higher (based on a 4-point scale) for all coursework taken while enrolled in a master's program;
- grades earned in relevant coursework from a comparable university subsequent to earning a bachelor's degree.

## Part-Time Status

Certain graduate programs and degrees have been approved for enrollment of part-time students. Part-time status is only available to students who are unable to pursue full-time studies for the following documented reasons: full-time employment (at least 30 hours a week), health conditions, or family



obligations. Doctoral students who are advanced to candidacy are not eligible for part-time enrollment.

The Office of the University Registrar will consider requests for retroactive part-time status by exception only, and only for reasons of a death in the family, medical issues, or administrative error.

Part-time students may enroll in a maximum of 6 units per quarter. These students are not eligible for fellowships or academic appointments that require full-time enrollment.

Students on F-1 or J-1 visas are not eligible for part-time status unless they have approval from the Services for International Students and Scholars Office (SISS).

The Office of the University Registrar will approve or deny part-time status applications. The Petition to Change Status is available on the Office of the University Registrar website at [registrar.ucdavis.edu/html/office\\_of\\_the\\_registrar\\_forms.html](http://registrar.ucdavis.edu/html/office_of_the_registrar_forms.html). Approved part-time students pay the full student services fee, all campus fees and one-half of tuition; they receive ½-quarter credit toward satisfying residency requirements.

### **Duplicate Degrees**

Students may not be admitted for a graduate degree that would duplicate a degree they already hold. However, students may request admission to attain an additional master's or doctorate degree in a different field of study. The graduate program where the student applies will judge whether or not its degree program "represents an area of investigation that is distinct from that of the initial degree." Applicants who are seeking an additional graduate degree of the same general type must be evaluated on the same criteria as other applicants to the program.

### **Double Major**

Applicants seeking simultaneous admission to two graduate programs administered by Graduate Studies must file all of the following for each separate application: double major petition, Graduate Studies application, application fee, and one set of transcripts (which will attach automatically to both applications). Both graduate programs review the applications and sign the double major petition, if the student is accepted as a double major admission. The minimum undergraduate GPA normally required for admission to a double major is 3.3 (based on a 4-point scale.) Admission to one program will be processed in Banner. The second major will be added when the double major petition is submitted to Graduate Studies.

Applicants to a graduate program and a professional degree program must apply separately to each program. The double major petition, along with the graduate admission application, must be approved by the graduate program admissions adviser. If the applicant is admitted to the graduate program, the signed double major petition must be forwarded to the appropriate professional school for approval, with the request that it be returned as soon as possible. Processing of the graduate application will not be delayed while waiting for the professional school to return the petition.

### **University Employees**

University career staff employees admitted as graduate students are eligible for the Employee-Student Reduced Fee program. For more information please see the human resources Policy 51 in the personnel policy for staff members (PPSM) at the following link: [hr.ucdavis.edu/policies/ppsm.html](http://hr.ucdavis.edu/policies/ppsm.html). For more information on the Registrar's Office Employee-Student Reduced Fee Program, click: [registrar.ucdavis.edu/tuition/staff-reduced-fee.cfm](http://registrar.ucdavis.edu/tuition/staff-reduced-fee.cfm).

A voting member of the Senate may be recommended for a higher degree by a Senate Division of which he or she is not a member provided that the voting member has fulfilled all the requirements of that Division. No voting member of the Senate shall be recommended for a post-baccalaureate degree by a department or program in which s/he has an appointment unless, prior to the date of final action on the member's appointment to a rank carrying the voting privilege, the dean of the member's Graduate Division has certified to the appropriate authority that the member has met all the requirements for that degree. Such appointments may be retroactive. In addition, degree candidates who are voting members of the Senate may not be members of committees nor be in positions of administrative authority that have influence or control over the resources, funding, degree granting, and academic personnel actions of the degree granting department or program unless they are able to excuse themselves from any decisions/actions involving the said department or program (Academic Senate Regulation 600B).

### TOEFL and IELTS Scores

At the time of application, applicants who a) did not receive a prior degree from an institution where English is the sole language of instruction, and/or b) are not from a country or region where English is the language of instruction, are required to submit scores from one of these two tests: Test of English as a Foreign Language (TOEFL), or International English Language Testing Service (IELTS). Exceptions are allowed under the following circumstances:

- the applicant's sponsoring agency requires completion of an intensive English program before the applicant enrolls at UC Davis; or
- the applicant is currently enrolled in the UC Davis Intensive English program or an equivalent program at another university of comparable standing; or
- other non-subjective evidence that the applicant has the necessary English language proficiency to be successful in graduate study, research and teaching.

The minimum TOEFL score required for admission to UC Davis is 550 on the paper exam or an overall minimum score of 80 on the Internet Based Test. The minimum IELTS score is 7.0 on a 9-point scale. TOEFL and IELTS scores are only valid for two years from the date the test was taken.

It has been shown that students who do not possess the necessary language skills encounter problems in either basic academics or performance on the preliminary or qualifying examination. Therefore, if the graduate admissions committee wishes to admit an applicant with a lower TOEFL or IELTS score, a very strong justification must be provided to the Dean of Graduate Studies for the exception.

### GRE Scores

Applicants to programs that require GRE scores must have their scores reported electronically from ETS to UC Davis. Applicants may also ask ETS to send paper reports to the graduate program to which they are applying. Scores reported on paper are not normally entered into the student information system by Graduate Studies staff. Graduate Studies provides ETS with the appropriate address for each graduate program. GRE scores are only valid for five years from the date the tests were taken. Graduate programs should inform applicants that they do not accept photocopies of the GRE score. Graduate program staff members can use the online application review system to look up GRE scores for individual applicants.

In using the GRE scores to evaluate applications, it is not appropriate to add scores from the quantitative and verbal sections of the GRE General Test. Additionally it is not appropriate to establish

a minimum cutoff score for any section. Rather, GRE scores should be viewed in concert with other aspects of the application as part of a holistic review.

### Application Evaluation

The graduate admissions committee will determine if the applicant meets minimum admission requirements by using evaluation criteria approved by the Graduate Council. In addition, this committee will evaluate whether the applicant meets the admission criteria for the program, and will evaluate the application relative to the normal standards of the program as well as the other applicants in the pool. Recommendations to admit or deny are based on a holistic evaluation of the application by the faculty and reflect faculty judgment as to whether the applicant is likely to succeed in achieving his/her degree objective. In addition, the program is expected to take into account the available resources for financial support and the availability of faculty to mentor the student in his/her own area of specialty within the program.

The graduate admissions adviser will then submit the recommendations for admission to the program to Graduate Studies. The Dean of Graduate Studies has the final authority to decide admission or denial of an applicant. Graduate Studies will notify the applicant and the program of the final decision.

If an applicant does not meet minimum campus standards and the graduate admissions committee recommends admission, the graduate admissions adviser must submit written justification for an exception to the minimum standards. The Dean of Graduate Studies will review these applications carefully before any action is taken.

Students who do not meet the minimum requirements for admission may be placed on Coursework Only status for a maximum of three quarters. When recommending this status, the graduate admissions adviser must provide evidence of the applicant's ability to succeed in a graduate program.

### *Processing by Graduate Program*

Handling applications promptly is part of the effort to recruit good students. Graduate programs should make every effort to admit clearly desirable applicants, or reject those who are clearly unacceptable, as quickly as possible after the application package has been completed. However, all completed applications that are received prior to the program deadline must be given full consideration.

### *Notification of Admission*

Some graduate programs prefer to consider all applications as a group. In such cases, the graduate program should inform applicants of the procedure and provide an estimated date for admission decisions.

If faculty members are reviewing applications for an extended period, the applicants should be kept aware of their application status. For example, a time delay would be appropriate if it becomes necessary to locate a major professor.

The application process is confidential and the Dean of Graduate Studies is responsible for notifying applicants of their admission or denial. The applicant must not be given information regarding acceptance or denial prior to formal notification by Graduate Studies. However, an applicant can be advised that s/he has been *recommended* for admission as part of the effort to communicate decisions as early as possible. After formal notification, this information should not be shared with anyone except the applicant, unless the applicant has provided Graduate Studies with written permission.

Graduate programs are urged to make final recommendations for admission of international applicants before May 1. This will avoid time and travel difficulties for students, particularly those who live overseas.

### *Statement of Intent to Register*

When applicants receive an offer of admission from the Dean of Graduate Studies, they may complete their Statement of Intent to Register (SIR) by clicking a link at the bottom of their online admission letter. Programs can view the SIR status of applicants through the online review database GARD or via the Student Information System (SISWEB) at [sisweb.ucdavis.edu](http://sisweb.ucdavis.edu).

### *Readmission*

The Readmission Application is intended for students previously registered in a graduate program who: 1) either withdrew or stopped registering for various reasons, and 2) are returning to the same major and degree program. If a student plans a break in registration and is not certain when they plan to return, then readmission rather than PELP is recommended.

Readmission is not automatic. The readmission applicant will be evaluated in competition with other applicants for the specific program. The readmission applicant may be required to submit a new application for admission to the graduate program office.

Readmission applications are accepted for any quarter. The application fee is \$70. These applications must be submitted to Graduate Studies by the tenth day of instruction of the requested term for admission. Applications are subject to admissions and enrollment targets, as well as admission deadlines. Late filing may result in delayed registration and the assessment of a late fee by the Registrar's office. The readmission application may be found at [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information). The graduate admissions adviser must endorse readmission applications before the Dean of Graduate Studies reviews them. The adviser's signature indicates to the dean that the student is guaranteed a place in the program for the specified quarter.

Depending on the length of absence from the university, the applicant may be required to submit new admissions materials, such as transcripts, letters of recommendation, or statement of purpose. The application is returned to Graduate Studies after the adviser has made a recommendation regarding admission.

If the adviser denies the application, s/he should include a statement of the reason for denial. In either case, the Dean of Graduate Studies will make the final decision and inform the applicant.

### *Coursework Only Status*

Coursework Only (CWO) status may be recommended for an applicant whose academic record does not meet regular admission standards but who shows promise of succeeding in the program. CWO provides the student with an opportunity to demonstrate his/her ability to succeed in graduate level work before being admitted to degree-seeking status.

Criteria for CWO status may include: low GRE scores; insufficient support in letters of recommendation; GPA is less than 3.0 in an undergraduate degree program, but there are other admissible aspects of the applicant's file; inadequate preparation in the major; or poor GPA in specific courses.

Graduate admissions advisers may recommend that the Dean of Graduate Studies admit an applicant to CWO status. The dean may also recommend to the graduate program that an applicant be admitted to

CWO status rather than to a degree-granting program. Students in CWO status normally have three quarters to demonstrate their capability of doing graduate work.

CWO students are not eligible for financial aid or fellowships and can only be employed in a student title for one quarter.

### *Wait List Status*

Programs may recommend Wait List status for applicants who meet the minimum admission criteria for graduate study, but for whom the program does not wish to offer admission immediately due to uncertainty over the availability of financial support or a major professor.

Once an applicant's status has been updated in GARD to "Wait List," an electronic letter will be sent to notify the applicant. Graduate programs are encouraged to limit the number of applicants they add to Wait List status. All applicants under Wait List status must be admitted or denied by the program no later than June 30. Any applicants for whom a final admission decision has not been issued by June 30 will have their status updated to "Denied," and will receive an official denial letter detailing this update from Graduate Studies.

### *Individual Ph.D. Program*

NOTE: ADMISSION OF CURRENT STUDENTS TO THIS PROGRAM IS REVIEWED ON A CASE-BY-CASE BASIS.

Under certain circumstances, enrolled students may be admitted to the Individual Ph.D. Program. The number of students admitted to this program is extremely limited. Students must demonstrate the unique qualifications that make their success likely in a very demanding individual program rather than a regular graduate program to which they have been admitted. Before applying, students must consult with the Associate Dean for Graduate Programs, who serves as the graduate adviser for the Individual Ph.D. Program.

The following five restrictions apply to applicants of this program:

1. The research topic the student desires must be one that cannot be accommodated within the university's existing structure. An applicant will not be accepted into an individual program at Davis if an equivalent course of study may be undertaken in an established graduate program on some other campus of the university.
2. The proposed program must include a strong and broad base in a well-defined field with additional work in areas that are especially appropriate to the student's interest.
3. The campus must have sufficient faculty and resources available in the proposed fields of study so that the program will clearly lead to a high-quality degree.
4. The applicant's proposal must be endorsed by at least three members of UC Davis faculty who are active participants in doctoral level graduate education.
5. If the proposal is approved, the Dean of Graduate Studies will appoint a Guidance Committee, which ordinarily consists of the three faculty members who have endorsed the student's proposal. This committee will be in continuous supervision of the student's performance and will report to Graduate Studies at least once a year concerning the student's progress.

### *Incomplete Files*

Graduate Studies provides applicants with access to an online system where they can check the status of their application materials at any time. An email with a link to this system is sent to the applicant

approximately one week after their application has been submitted, in order to allow programs time to match materials to the application. However, programs may also choose to follow up with applicants to notify them of materials that are missing from their application.

If an applicant who has paid the application fee does not complete their application, the Admission Memorandum should be marked “Incomplete” due to missing items. The memorandum should also indicate which items are missing and the date(s) that that applicant was notified about the missing items. The application may then be forwarded to Graduate Studies with a recommendation to deny on the basis of missing items.

If an applicant has not paid the application fee, no action will be taken on their application record. An application may be cancelled due to non-payment of the application fee if the applicant has been given a deadline to submit their application fee and has not met that deadline.

### *Process to Appeal a Denial of Admission*

If an applicant appeals an admission decision and identifies that the denial of admission has resulted during the subjective review at the department/group level, then the appeal will be referred to the appropriate program graduate admission adviser for review.

If an applicant identifies that denial of admission occurred at the Graduate Studies level and/or has resulted from inconsistent procedures or bias in the admission process, the appeal will be reviewed by the Administrative Committee of the Graduate Council, through the Dean of Graduate Studies. A formal appeal should be addressed to the chair of the Graduate Council, who is also the chair of the Administrative Committee, and the Dean of Graduate Studies in a letter that provides a detailed discussion of the basis for the appeal. The Administrative Committee makes the final decision on admissions issues and advises the Dean of Graduate Studies. The Dean will take the recommended action and inform the applicant, as well as the graduate program, of the Administrative Committee’s decision.

### Release of Information from Student Records

The federal Family Educational Rights and Privacy Act (FERPA) of 1974 governs the disclosure of information from student records in conjunction with pertinent provisions of the State of California Education Code. This Act assures currently and previously enrolled students the right to inspect and review their educational records. It also outlines the choices available to students regarding the release of their information. The campus will respond to a student within 15 days if the student requests confidential information that has not been previously available to students under these laws.

Section 32021 of the *UC Davis Policy and Procedure Manual* presents detailed policies and procedures regarding the privacy of and access to information contained in student records. This policy can be found at [manuals.ucdavis.edu/ppm/contents.htm#320](http://manuals.ucdavis.edu/ppm/contents.htm#320). In addition, the Office of the Registrar has guidelines and policies on the confidentiality of student records that have been specifically prepared for UC Davis.

## **Registration**

### Enrollment Verification

After the third week of each quarter, the Office of Administrative and Resource Management will send graduate program chairs a list of students enrolled in their program. Graduate advisers should verify



enrollment of each student on the list. The chair should also verify this list to ensure accuracy, as the list impacts the budget for each program.

### Continuous Registration Policy

University policy requires that students maintain continuous registration from the first quarter of enrollment in a program until completion of their degree.

#### *Exceptional Circumstances*

The following circumstances allow exception to the continuous registration policy:

- an approved leave of absence (PELP)
- approved filing fee status

A student who fails to register, except under these circumstances, is considered to have withdrawn from the university.

#### *Special Circumstances that Require Registration*

The following groups of students should be specifically advised that they must be registered:

- Students receiving fellowships or graduate scholarships.
- Students scheduled to take doctoral degree qualifying examinations.
- Teaching Assistants, Associates In\_, Readers and Graduate Student Researchers. To be employed, these students must register for 12 units during the fall, winter, and spring terms. Their units can be a combination of research units, TA apprentice units and academic coursework. The graduate adviser must approve all students' unit management. Students on filing fee status are permitted to hold an academic appointment for one quarter only. Students on PELP are not permitted to hold an academic appointment.
- Students using university facilities or faculty time for their research or other studies. Students who are not registered are not entitled to use university facilities and are not covered by liability insurance. If students only need library access, they may purchase a library card, which does not require registration.

### Enrollment Requirements for New International Students

New international students will have an immigration hold that must be released by SISS before they can complete registration. International graduate students are required to enroll full-time. Full-time is defined as a minimum of 12 units but not more than 16 units each quarter, as required by the Office of the President and Academic Senate regulations (UC Regulations, Ch. 3.1.72). International students seeking exceptions to the full-time enrollment requirement must contact SISS for prior approval.

Starting Fall 2015, new international graduate students are no longer required to take an English diagnostic exam. Instead, new international graduate students should take one graduate ESL course at UC Davis during their first academic year, unless at least one of the following is true:

- English is the student's first or primary language.
- The student has a college degree from an approved English-medium institution (students must confirm this with the Office of Graduate Studies).

- The student has a TOEFL score of 105 or higher, or IELTS 7.5 or higher (only iBT TOEFL is accepted).
- The student has both a score of 24 or higher on the TOEFL Writing subset and a score of 23 or higher on the TOEFL Speaking subset.

International graduate students with TOEFL scores below 90 or subset speaking scores below 20 are strongly encouraged to enroll in LIN 25 in fall quarter. Other students are required to register for LIN 25 or LIN 26 within their first academic year.

- LIN 25: English for International/ESL Graduate Students (4 units). A multi-skills ESL course designed to help international/ESL students improve their English language skills for successful academic study. Emphasis on writing, speaking, listening, reading, and academic culture.
- LIN 26: Writing for International Graduate Students (3 units). Focuses on writing needed for academic work, including summaries, critiques, research and grant proposals, memos, resumes, and research papers. Reviews grammar needed for writing with some focus on reading skills, vocabulary and idioms.

### Unit Loads

Graduate students must enroll in a minimum of 12 units but not more than 16 units of graduate work each quarter, as required by the Office of the President and Academic Senate regulations (UC Regulations, Ch. 3.1.72). Exceptions are made for part-time students, international students with prior approval from SISS, and students with special circumstances.

### *Part-Time and Doctoral Students Advanced to Candidacy*

On a case-by-case basis, the Office of the University Registrar can approve a graduate student for part-time enrollment. Part-time students are limited to a maximum of six units per quarter. Doctoral students who are advanced to candidacy are not eligible for part-time status.

### *Teaching Assistants and Graduate Student Researchers*

Teaching Assistants are expected to enroll in 12 units of coursework. Professional development units (e.g., 390, 396, 397) may be used to bring their enrollment up to 12 units. Graduate student researchers must be enrolled in 12 units, which may include 299 research units.

### *Full-Time Equivalency*

The Office of the President has determined that graduate student Full-Time Equivalency (FTE) equals the number of students enrolled in 12 units of coursework.

With permission of the graduate program, a student can satisfy FTE by any combination of the following units: upper division or graduate courses, group study (298), research (299), and professional development units (390, 396, 397).

### *Maximum Units*

Unless approved by the Dean of Graduate Studies, no graduate student may enroll in more than 16 units of 100, 200 and 300 level courses combined, or for more than 12 units of 200 level coursework.

## Adding/Dropping Courses

### *Adding*

All courses are added through the online registration system. If a course is full or otherwise unavailable, students may have their name placed on a wait list.

### *Permission to Add*

Under certain circumstances, students may add a course through the use of a Permission to Add (PTA) number provided by the graduate program. Graduate Studies is not involved in this process.

If a student has not touched registration by the tenth day of instruction, she/he will not be able to register through SISWEB. In order to register late for the current term, the student must acquire a memo from the graduate program coordinator approving late registration. The memo should include a PTA number for just one course, the number of units and a statement that fees will be paid (either personally or by the department). The memo should be sent to Graduate Studies and, if approved, Graduate Studies will authorize the Office of the University Registrar to enroll the student in the course associated with the PTA. This enrollment will assess fees and reinstate the student's access to SISWEB, allowing the student to make further schedule adjustments. The form is obtained from the Office of the Registrar: [registrar.ucdavis.edu/registration/schedule-adjustments/late-actions.cfm](http://registrar.ucdavis.edu/registration/schedule-adjustments/late-actions.cfm).

### *Dropping and Permission to Drop*

Dropping courses is also done online. After the quarter's normal drop deadline, the student must obtain a Permission to Drop Petition (PTD). On this petition the student must provide strong justification and extenuating circumstances for dropping the class. This form also requires the signature of the graduate adviser before being submitted to the Dean of Graduate Studies for review. The form is obtained from the Office of the Registrar: [registrar.ucdavis.edu/registration/schedule-adjustments/late-actions.cfm](http://registrar.ucdavis.edu/registration/schedule-adjustments/late-actions.cfm).

If the petition is approved, the student is assigned a PTD number, which is e-mailed to the student. The student has three calendar days to use the PTD number. A \$3 fee will be automatically assessed when the PTD number is used. PTDs will not be issued or accepted after instruction ends and finals week begins.

Late drops are usually not approved. Poor academic performance in itself is not a justifiable reason for a late drop. A student wishing to add or drop a course after instruction ends must submit a Retroactive Add or Drop Petition to the Registrar's Office for consideration by the Grade Change Committee of the Academic Senate.

## **University Minimum Standards**

### Responsibility to Meet New Degree Requirements

The Graduate Council has approved the following statement regarding the responsibility of graduate students when programs create new degree requirements: "Changes in program requirements normally should not affect students already in the program. The student should be able to complete a degree under conditions in effect at the time of her/his admission or reentry." This is called the "Grandfathering Policy."

Students may elect to complete a degree under the newer set of requirements. Whichever approach the student selects, the degree requirements must represent a consistent set. Graduate Council Policy

CG2000-02 has further details on grandfathering degree requirements:  
[gradstudies.ucdavis.edu/files/grad-council/gc2000-02-grandfathering-degree-requirements.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2000-02-grandfathering-degree-requirements.pdf).

### **Standards of Scholarship**

For courses to count toward satisfaction of degree or credential requirements, the student must earn an A, B, or C level grade, or a non-letter grade of Satisfactory. Upper division or graduate level courses completed with a D+ grade or lower will not count towards the student's unit requirement for the degree, but do count in computing the grade point average (GPA). The student must maintain a minimum average of 3.0 grade points per unit in all upper division (100 series) and graduate courses (200 series). Courses in the 300 and 400 series may be accepted if they have been approved by the Graduate Council. Some programs require a GPA higher than 3.0 for the student to remain in the graduate program or to take the qualifying examination.

Lower division courses (numbered below 100) are excluded in calculating the graduate GPA. They also do not count for graduate degree credit.

### **Definition of Good Academic Standing**

Students must maintain the following criteria to be in good academic standing:

- GPA at or above 3.0;
- minimum of 12 units passed per quarter;
- satisfactory progress in the graduate program, as determined by the graduate adviser, program requirements, and the thesis or dissertation chair (if applicable);
- accumulation of no more than 8 units of combined Incomplete, Unsatisfactory, or F grades at any one time.

Students who fail to maintain these standards will be placed on academic probation or may be disqualified.

### **Satisfactory, Unsatisfactory (S/U) Grading**

The Graduate Council recognizes that a legitimate educational opportunity provided by the current Satisfactory/Unsatisfactory grading option is to allow graduate students to explore areas outside the student's major program without fear of academic penalty. Doctoral students who have not advanced to candidacy, all master's students, and credential students may petition to take one graded upper division or graduate course on an S/U basis per academic term. Students who have advanced to candidacy for a doctoral degree may take an unlimited number of courses on an S/U basis with the approval of their graduate adviser.

Students must have approval from the graduate adviser to take a course on an S/U basis. The Dean of Graduate Studies will determine final approval of the S/U petition. Courses that fulfill program requirements, including prerequisites, deficiencies, or courses within the student's major, may not be taken on an S/U basis. The only exception to this rule is if the Graduate Council has granted prior approval to the program. Programs may submit a request with appropriate justification to the Council for specific exceptions to the S/U rule.

All lower division courses (0-99) may be taken on an S/U basis as long as the student has their graduate adviser sign the S/U petition, and then submit it to Graduate Studies.

S/U petitions must be filed with Graduate Studies by the end of the fifth week of the quarter. A petition filed after the deadline must include an explanation for the missed deadline. Late S/U petitions will normally not be granted. Petitions received after end of instruction are not approved.

The grade requirement to receive an S grade in lower or upper-division work is a C-; the requirement to receive an S grade in a graduate course is a B-. A student who receives a U grade has actually received at best a D+ in an upper division course; a student who receives a U grade in a graduate course has received at best a C+, yet the U does not affect the student's GPA. Thus, the graduate adviser will be very selective in recommending the S/U option.

The full policy, Satisfactory/Unsatisfactory Grading Option (GC2006-01), can be found at [gradstudies.ucdavis.edu/files/grad-council/gc2006-01-su-grading-option.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2006-01-su-grading-option.pdf).

The Grading Option Change/Variable Unit Change Petition can be found at [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information).

### Credit by Examination

Students are allowed to sit in on classes without registering for them. If the student later decides to seek credit for that class, he/she can request credit by examination.

Credit by examination is available to registered students in good academic standing. The student does not have to be enrolled in the class nor does the class have to be offered in the quarter when they take the exam.

Credit by Examination petitions are available in the Office of the University Registrar: [registrar.ucdavis.edu/local\\_resources/forms/D009-credit-by-exam.pdf](http://registrar.ucdavis.edu/local_resources/forms/D009-credit-by-exam.pdf). The student must have the petition signed by the appropriate instructor and the Dean of Graduate Studies before returning it to the Registrar.

To have their petition approved, a student must present adequate evidence of their ability to prepare for the examination. There is a \$5 fee for each petition.

### Incomplete Grades

An incomplete grade will be assigned only when the instructor determines that the student's work is of passing quality but incomplete for a good cause.

Students must remove the incomplete grade before the end of their third succeeding quarter of academic residence (quarters in which the student is on PELP or has withdrawn from the university do not count in the three-quarter total). If the incomplete is not removed by the end of the specified time, it becomes an F (0 grade points) on the student's record and may not be made up without a time extension.

A student may request an extension of the three-quarter time limit by petitioning the Dean of Graduate Studies using the Time Extension Request (GS335): [gradstudies.ucdavis.edu/files/current-students/gs335-time-extension-reques540t.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs335-time-extension-reques540t.pdf). This petition requires the instructor and graduate adviser's approval (DD Academic Senate Regulation A540, C).

### *Consequence of Not Removing an Incomplete Grade*

University regulations require that a student must have three grade points for every unit attempted. Incomplete grades are regarded as an F in determining whether a student has met all degree requirements.

If a student accumulates a combination of more than 8 units of incomplete, unsatisfactory and failing grades, s/he will be placed on academic probation.

### *Incomplete (I) Grade Conversions*

A student may remove an incomplete grade by filing a Petition for Incomplete Grade Change with the Registrar: [registrar.ucdavis.edu/local\\_resources/forms/D050-incomplete-grade-change.pdf](http://registrar.ucdavis.edu/local_resources/forms/D050-incomplete-grade-change.pdf). The student must fill out the petition and give it to the instructor, who will then assign a grade and return it to the Registrar.

### *History of Incomplete Grade Conversion Process*

Fall 2011 to present: The student is entitled to replace the incomplete (I) grade with a passing grade, as well as to receive appropriate grade points and unit credit, provided he/she satisfactorily completes the work of the course in a way specified by the instructor before the end of the third succeeding term of the student's academic residence as defined in Regulation 610

([academicsenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm#610](http://academicsenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm#610)). If a degree is conferred upon the student before the expiration of the time limit for conversion, the time limit for conversion for the graduated student shall be the end of the third regular term succeeding the term in which the I grade was assigned. If the time limit for conversion expires before a degree is conferred upon the student and the I grade has not been replaced, the grade shall revert to an F, a Not Passed, or an Unsatisfactory, depending on the grading system in effect in the particular instance. If the time limit expires after a degree has been conferred and the I grade has not been replaced, the I grade shall remain on the student's record. If the degree has not been conferred, and the work has not been completed before the end of the term three calendar years after the I grade has been assigned, and during which the student has not been in academic residence as defined in Regulation 610, the I shall remain on the student's record unless the course is repeated. This time limit for the completion of courses assigned the grade Incomplete shall apply to all and only those courses in which the grade incomplete is assigned on or after September 1, 2010. For complete information, see UC Davis Academic Senate Regulation A540C at [academicsenate.ucdavis.edu/cerj/manual/dd\\_regs.cfm#A540](http://academicsenate.ucdavis.edu/cerj/manual/dd_regs.cfm#A540).

- Fall 1980 to Fall 2011: After three registered quarters, I freezes as an F or U on the student's record.
- Fall 1975 to Spring 1980: After three registered quarters, an I will freeze on a student's record and the grade cannot be changed.
- Prior to fall 1975: No time limit on making up I grades.

### **Repeated Courses**

A graduate student, with the consent of the appropriate graduate adviser and the Dean of Graduate Studies, may repeat any course in which he or she received a grade of C, D, F, or Unsatisfactory, as well as courses in which a grade of I has become permanent on the student's record, up to a maximum of three courses for all courses repeated. Courses in which a grade of C, D, or F have been earned may not be repeated on a Satisfactory/Unsatisfactory (S/U) basis.

In repeated courses, only the most recent grade and its corresponding grade points will be used to calculate the student's GPA. However, all units that students have attempted and all grades they have received will remain on their permanent record.



Any repeated course must be taken for a letter grade, unless it is only offered on an S/U basis (DD Academic Senate Regulation A540.F.2 [academicssenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm#A540-](http://academicssenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm#A540-)).

### Transfer Credit

Students seeking the master's degree may request to transfer coursework to their graduate transcript. Students seeking a doctoral degree normally will not transfer coursework; programs may accept coursework taken elsewhere in place of required program coursework provided the student is able to demonstrate the equivalence of such courses. Coursework requested for transfer must have been taken at an accredited institution. Some work taken elsewhere may be credited toward degree requirements with the consent of the graduate adviser and the Dean of Graduate Studies. If the units were earned at another campus of the university, they may fulfill up to one-half of a student's unit requirement. This may be done as long as the units have not already been used to satisfy the requirements for another degree. The Graduate Council has established a Policy on Residence and Transfer Units (GC2011-03), available at [gradstudies.ucdavis.edu/files/grad-council/gc2011-03-residence-and-transfer-credit-approved-10-7-11.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2011-03-residence-and-transfer-credit-approved-10-7-11.pdf).

The Petition to Transfer Coursework must be approved by the graduate adviser and forwarded to Graduate Studies. The Dean of Graduate Studies determines final approval. The Petition to Transfer Coursework can be found at [gradstudies.ucdavis.edu/files/current-students/gc318-petition-to-transfer-coursework.pdf](http://gradstudies.ucdavis.edu/files/current-students/gc318-petition-to-transfer-coursework.pdf).

### *Types of Transfer Credit*

#### Open Campus (Concurrent Courses)

- A student may be allowed to transfer up to 12 units of credit for work taken through Open Campus (concurrent courses) prior to admission to a graduate program. The student will be required to submit an official University Extension transcript if one is not already on file in Graduate Studies. Students will receive unit and grade point credit for their concurrent coursework.
- Summer Sessions - Work taken during a UC Davis summer session prior to admission may be transferred toward the graduate program. This work must be done after the student has received a bachelor's degree. The work does not qualify as transfer credit if it was a requirement for admission. Coursework taken during the summer session by students in a graduate degree seeking status does not need to be transferred, since it will appear on the student's graduate transcript.
- Undergraduate Status - Up to six units of graduate work taken by an undergraduate student may be credited towards his/her graduate degree program. This does not apply if the units were used to satisfy any requirements for the bachelor's degree. Only 200-level courses are eligible.
- University Extension - According to Academic Senate regulation, University Extension (X300) level courses cannot be used to satisfy unit requirements for graduate degrees. These units can only be used as credit toward a teaching credential. The maximum credit for extension courses, including concurrent courses, is 12 units. The adviser and Graduate Studies determine the acceptability of extension courses on an individual basis.
- University of California - Up to one-half of the unit requirement may be transferred from graduate level enrollment at another UC campus. Grade points and residency are also transferable.

- Other Universities - Up to six quarter units may be transferred from another university if the student was in graduate status. Courses equivalent to 100 or 200 level courses at UC Davis may be transferred but grade points do not transfer.
- Double Majors - Under a ruling by the Graduate Council, students who are in a double major program (either a professional degree/academic degree program or two academic degree programs) may share a total of 12 units between programs with the approval of their graduate adviser and the Dean of Graduate Studies. The student must spend a minimum of two quarters in regular graduate standing in an academic master's program or four quarters in an academic doctoral program in order to meet the residency requirements of Graduate Studies.

### *Time Limit for Validity of Work*

Each program should adopt and document a time limit for the validity of transfer work. The document should also define the educational intent of each curriculum requirement. Each requirement may then be given its own specific time limit. To review Graduate Council's time limit on transfer units, see the Policy on Residence and Transfer Units (GC2011-03): [gradstudies.ucdavis.edu/files/grad-council/gc2011-03-residence-and-transfer-credit-approved-10-7-11.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2011-03-residence-and-transfer-credit-approved-10-7-11.pdf).

### Time Requirements for Completion of Degree Studies

Graduate Council policy GC2000-01 ([gradstudies.ucdavis.edu/files/grad-council/gc2000-01-policy-on-time-to-degree.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2000-01-policy-on-time-to-degree.pdf)) states that doctoral students will have four calendar years after the date they pass their Qualifying Examination (QE) to submit their dissertation. At this time, if a student has not submitted his/her dissertation to Graduate Studies, this student should be notified by his or her program that he/she is placed on probation, and has one year from that date to submit the dissertation. If not submitted within one year, the student will no longer be allowed to enroll the following quarter and will be disqualified.

The clock is "set" from the date of passage of the QE, not the time the student officially advances to candidacy through submission of the form to Graduate Studies. This prevents a student from delaying submission of the form to Graduate Studies when they have, in fact, "advanced."

After disqualification, a student must be readmitted to the program through the program's admission process to receive his/her doctorate. If programs are willing to readmit the student, the student will be required to retake the qualifying examination to demonstrate that his/her knowledge of the research area is current.

Major professors, academic advisers, or students may petition Graduate Council for an exception to this policy for cause. In addition, a dissertation committee may petition for an exception to retaking the QE. Students, faculty and programs have the right to appeal the denial of the exceptions to policy for cause.

This is a generous timeline given that normative time for programs on campus is typically five-six years. Thus, if a student passes his/her QE during the third year (before the ninth quarter), this requirement gives the student an additional four years to complete dissertation work and remain in good academic standing. This would represent submission of the dissertation in the seventh year of registration. In addition, a student has one probationary year beyond that for completion. This represents eight years total, which is well beyond the normative time for programs on this campus.

## Academic Residence

The minimum university residence requirement is three quarters for the master's degree and six quarters for doctoral students. Students are regarded as being in residence when they are taking a minimum of four units for graduate level coursework per term. Alternatively, two consecutive six-week summer sessions may replace one regular quarter. In this case, a minimum of two units must be taken in each summer session. Specific residence requirements for master's and doctoral students are noted in the following sections. The Graduate Council has established a Policy on Residence and Transfer Units (GC2011-03), found at [gradstudies.ucdavis.edu/files/grad-council/gc2011-03-residence-and-transfer-credit-approved-10-7-11.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2011-03-residence-and-transfer-credit-approved-10-7-11.pdf).

## The Master's Degree

### Thesis or Comprehensive Examination Plan

The master's degree is awarded when a student completes required coursework and submits an acceptable thesis or achieves a passing score on a comprehensive examination. The policies on the general requirements for master's degrees are found in the Academic Senate bylaws and regulations section 500 ([academicsenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm#500-](http://academicsenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm#500-)) and the UC Davis Graduate Council Policy on Degree Requirements GC2005-04 (rev. 05) ([gradstudies.ucdavis.edu/files/grad-council/degree-requirements-guidelines-2013-rev.pdf](http://gradstudies.ucdavis.edu/files/grad-council/degree-requirements-guidelines-2013-rev.pdf)).

### *Thesis or Project Plan (Plan I) Requirements*

Under Master's Thesis or Project Plan (Plan I), a student must complete a minimum of 30 units of upper division and graduate level work, at least 12 of which must be graduate work in the major field, and submit a thesis or a project report as described in the program's approved degree requirements; the degree requirements may specify additional required units above the minimum. Under MFA Plan I, the student is required to present a project or show which represents the capstone event. At least 12 of the required 30 units must be graduate (200 level) work in the major subject or 300/400 level work (if the 300/400 work has been approved by Graduate Council for graduate degree credit.)

The M.F.A. Plan I capstone event will consist of a presentation of a critical body of work as a project or show. This project may take several forms depending upon the graduate program's degree requirements as approved by the Graduate Council.

### *Comprehensive Examination or Report Plan (Plan II) Requirements*

Under the Master's Comprehensive Exam or Report Plan (Plan II), a student must complete a minimum of 36 units of upper division and graduate level work, of which at least 18 units must be graduate courses in the major field and not more than 9 units of research units. The candidate must achieve satisfactory performance on a comprehensive examination or a comprehensive report; the degree requirements may specify additional required units above the minimum.

A comprehensive examination may be written, oral, or both according to the approved degree requirements of the graduate program. The program should inform their students of the exam's general subject matter before an examination takes place.

### *Master of " \_\_\_\_ " Requirements*

Please see Academic Senate Davis Divisional Regulations 502 *et seq.* ([academicsenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm](http://academicsenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm)) for additional requirements for

the following degrees: Master of Education (M.Ed.), Master of Engineering (M.Eng.), Master of Fine Arts (MFA), Master of Health Services (MHS), Master of Arts in Teaching (MAT), Master of Business Administration (MBA), Master of Agriculture and Management (MAM), Master of Advanced Studies (MAS), Master of Preventative Veterinary Medicine (MPVM), Master of Laws (LL.M.), Master of Public Health (MPH), and Master of Professional Accountancy (MPAc).

### **Standards of Scholarship Specific to the Master's Degree**

Only courses in the 100 and 200 series in which the student receives grades of: A, B, C or S may satisfy requirements for the master's degree. When a student receives a D+ or lower, that course cannot be used to satisfy the unit requirement for the master's degree. However, that grade will be used to determine grade point average.

Courses in the 300/400 series may be accepted if Graduate Council has approved them for graduate degree credit.

Candidates must maintain an average of at least three grade points per unit in all upper division and graduate courses during their residence at the University of California. Courses graded S/U will not be used to determine grade point average.

Application for advancement to candidacy may be made if the student's grade point average is 3.0 or above and the student has completed one-half of their courses. Once advanced to candidacy, the student will need a grade point average of 3.0 before his/her degree will be awarded.

### **Advancement to Candidacy**

Every student must file an official application for Candidacy for the Degree of Master of "\_\_\_\_" after completing one-half of their course requirements and at least one quarter before completing all degree requirements. The forms for Candidacy for the Master's Degree - Thesis Plan I, Candidacy for the Master of Fine Arts - Plan I, and Candidacy for the Master's Degree - Comprehensive Exam Plan II can be found at [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information). Students will pay the candidacy fee to the university Cashier's Office prior to submitting the candidacy form to Graduate Studies. This fee is non-refundable.

A completed form includes a list of courses the student will take to complete degree requirements. If changes must be made to the student's course plan after he/she has advanced to candidacy, the graduate adviser must recommend these changes to Graduate Studies.

Students must have their graduate adviser and thesis committee chair sign the candidacy form before it can be submitted to Graduate Studies and pay the submission fee at the cashier's office. If the candidacy is approved, Graduate Studies will send a copy to the thesis committee chair, the appropriate graduate staff person, and the student.

If Graduate Studies determines that a student is not eligible for advancement, the graduate program and the student will be told the reasons for the application's deferral. Some reasons for deferring an application include: grade point average below 3.0, outstanding I grades, a grade of U, a grade of D+ or below in required courses, or insufficient units.

### **The Comprehensive Examination**

Students participating in a Plan II program may take the comprehensive examination once they have advanced to candidacy. When they take the exam, students must be registered or on filing fee.

The graduate adviser selects a committee of at least three members to conduct the examination (committee members are approved by the program, not Graduate Studies). Changes to the composition of the committee may only be made for reasons of clear necessity, such as the extended absence of a member. Graduate Studies requires the committee's unanimous vote to pass a student on the exam. Please see UC Davis Graduate Council Policy GC1998-01 (rev.06) ([gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf)) for full details on who may serve on an advanced degree committee.

If a student does not pass the exam, the committee may recommend that the student be reexamined one time, in accordance with the program's approved degree requirements. The student may be reexamined only if the graduate adviser concurs with the committee. The examination may not be repeated more than once. A student who does not pass on the second attempt is subject to disqualification from further graduate work in the program by the Dean of Graduate Studies.

The results of all examinations must be reported to Graduate Studies using the Master's Exam Report Form in a timely manner. The graduate adviser's signature on this form signifies that the student has completed all program requirements for the degree. The Master's Exam Report Form may be found at [gradstudies.ucdavis.edu/files/current-students/g315-masters-report-planii](http://gradstudies.ucdavis.edu/files/current-students/g315-masters-report-planii).

A student's name will not be placed on a degree list until the completed report form is returned to Graduate Studies.

### **The Master's Thesis**

Research for the master's thesis is to be carried out under the supervision of a faculty member of the program and must represent an original contribution to knowledge in the field. The thesis research must be conducted while the student is enrolled in the program. After the graduate adviser and major professor approve the thesis topic, the graduate adviser will nominate a thesis reading committee, and the Dean of Graduate Studies will appoint the committee via the Candidacy for the Master's Degree - Thesis Plan I form ([gradstudies.ucdavis.edu/files/current-students/g313-masters-candidacy-plan1.pdf](http://gradstudies.ucdavis.edu/files/current-students/g313-masters-candidacy-plan1.pdf)). The student will then write his/her thesis and submit it to the committee for review and approval in accordance with the program's approved degree requirements.

The thesis is to be submitted to the thesis committee at least one month before the student plans to make requested revisions. All committee members must approve the thesis and sign the title page (to certify their satisfaction with the thesis) before the thesis is submitted to Graduate Studies for final approval. If the committee members cannot reach a unanimous decision to accept the thesis, the majority and minority should report their separate opinions of the thesis' merit to the Dean of Graduate Studies. The Dean will refer this information to the Administrative Committee of the Graduate Council for a final decision.

If the quality of the thesis is unacceptable, the committee should give the student a clearly specified period of time to improve the thesis, usually one quarter or more. If, after that period of time, the thesis is still unacceptable, the committee may recommend to the Dean of Graduate Studies that the student be disqualified from further graduate study.

### ***Filing the Thesis***

The student is responsible for observing the filing dates and preparing the thesis according to the proper format.

Candidates must submit the thesis electronically (see Graduate Council's policy Mandatory Electronic Filing of Theses/Dissertations (GC2010-01) at [gradstudies.ucdavis.edu/files/grad-council/etd-policy-](http://gradstudies.ucdavis.edu/files/grad-council/etd-policy-)

[gc2010-01-approved.pdf](#). Instructions for electronic submission are located on the Graduate Studies website at [gradstudies.ucdavis.edu/current-students/admissions-academic-services/filing-thesis-or-dissertation](http://gradstudies.ucdavis.edu/current-students/admissions-academic-services/filing-thesis-or-dissertation).

With the agreement of their major professor, students may also elect to formally embargo electronically submitted manuscripts for a period of six months, one year, or two years without the need to obtain prior Graduate Council approval. Students may request to embargo the manuscript for a period of more than two years, but not to exceed five years. Such requests for exception to policy must be submitted to Graduate Council for review and approval (see the policy on Mandatory Electronic Filing of Theses/Dissertations noted above).

### *Dates*

For a general calendar of deadline and filing dates, go to [gradstudies.ucdavis.edu/current-students/forms-information/academic-dates](http://gradstudies.ucdavis.edu/current-students/forms-information/academic-dates).

These dates are also available in the UC Davis General Catalog and online at the Registrar's website: [registrar.ucdavis.edu/calendar/quarter.cfm](http://registrar.ucdavis.edu/calendar/quarter.cfm).

### *Forms*

The following two documents must accompany the thesis and can be found online:

- Graduate Program Exit Information (GS 312), [gradstudies.ucdavis.edu/files/current-students/g312-graduate-program-exit.pdf](http://gradstudies.ucdavis.edu/files/current-students/g312-graduate-program-exit.pdf)
- Thesis/Dissertation Copyright and Embargo Agreement (GS341), [gradstudies.ucdavis.edu/files/current-students/g341-copyright-embargo-agreement.pdf](http://gradstudies.ucdavis.edu/files/current-students/g341-copyright-embargo-agreement.pdf)

### **Second Master's Degree or Double Major**

Students are permitted to work towards a second master's degree if their graduate adviser and the Dean of Graduate Studies determine that the degree will not be a duplication of their previous degree. This stipulation applies whether the first degree was earned on the Davis campus or at another institution.

Students may seek a double major, which is the pursuit of two degree programs simultaneously, if the degree programs are both graduate academic programs, or if one of the two is a professional degree program. Double majors must be admitted to each degree program separately using the online application for admission (all admissions deadlines apply). They must also complete the double graduate major form ([registrar.ucdavis.edu/local\\_resources/forms/D065-graduate-major-degree-change.pdf](http://registrar.ucdavis.edu/local_resources/forms/D065-graduate-major-degree-change.pdf)). In addition to admission to each program, double majors must complete all degree requirements for each program, including separate theses, dissertations, or examinations. Double majors may share up to 12 units from one Davis program with another, provided they have the approval of their graduate advisers and the Dean of Graduate Studies. To meet the Graduate Studies residency requirements, students must spend at least two quarters in regular graduate standing in their second master's program. The student must also complete a separate thesis or examination in accordance with the approved program requirements.

## The Doctoral Degree

### Significance of the Degree

The recipient of a doctorate in philosophy is understood to possess thorough knowledge of a broad field of learning and to have given evidence of distinguished and creative accomplishment in that field. The degree is a warrant of critical ability and powers of imaginative synthesis.

The degree signifies that the recipient has presented a doctoral dissertation containing an original contribution to knowledge in their field of study. The doctoral degree is not granted by the University of California merely for the fulfillment of technical requirements, such as residence or the completion of fundamental courses. The policies on the General Requirements for Doctoral Degrees are found in the Academic Senate bylaws and regulations section 515-520

([academicsenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm#518-](http://academicsenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm#518-)) and the UC Davis Graduate Council Policy on Degree Requirements GC2005-04 (rev. 05) ([gradstudies.ucdavis.edu/files/grad-council/degree-requirements-guidelines-2013-rev.pdf](http://gradstudies.ucdavis.edu/files/grad-council/degree-requirements-guidelines-2013-rev.pdf)).

### Academic Residence

Students working toward a doctorate must be registered and in residence for a minimum of six regular quarters of enrollment. Two consecutive regular Summer Sessions may be counted as the equivalent of one regular quarter if at least two units are taken in each Summer Session.

There is no minimum university unit requirement for the doctoral degree. However, individual programs have course requirements stipulated in the degree requirements that approved by the Graduate Council, which must be completed prior to a student's admission to the Qualifying Examination.

### Special Requirements

The student's program is responsible for the administration of any special requirements listed in the program's degree requirements such as foreign language requirements, teaching requirements, etc. The program should ensure that the student fulfills these requirements. It is not necessary to report the completion of special requirements, such as language exam results, to Graduate Studies. Please note that no requirements, other than requirements specific to completion of the dissertation (such as an exit seminar) can be placed upon students after they have passed advanced to candidacy.

### Written and Oral Qualifying Examinations

The primary purpose of the Qualifying Examination (QE) is to validate that the student is academically qualified to conceptualize a research topic, undertake scholarly research and successfully produce the dissertation required for a doctoral degree. The QE must be an oral exam, 2-3 hours in length and may also include a written component. The QE must cover both breadth and depth of knowledge. The exam must follow any specific format according to the specific degree requirements of the graduate program (which are approved by the Graduate Council). The policy for doctoral qualifying exams is Graduate Council Policy GC2005-02 (rev. 06) ([gradstudies.ucdavis.edu/files/grad-council/qe-policy-approved-4-1-2011.pdf](http://gradstudies.ucdavis.edu/files/grad-council/qe-policy-approved-4-1-2011.pdf)).

Prior to the exam the program and student must complete the form GS319 Qualifying Examination Application (GS319) ([gradstudies.ucdavis.edu/files/current-students/g319-qualifying-exam-app-phd.pdf](http://gradstudies.ucdavis.edu/files/current-students/g319-qualifying-exam-app-phd.pdf)). The graduate adviser or chair should submit the application four weeks in advance of the



examination date, for Graduate Studies to process the application and send out a notice of approval to take the exam to the student, his/her graduate program, and the committee chair.

If the student has been admitted to a Designated Emphasis, the chair of the DE must also approve the QE application before it is submitted.

Students must be registered during the quarters in which they take any portion of their qualifying examination.

To be eligible for the qualifying examination, the student must have:

- achieved a minimum GPA of 3.0 in all work completed while in graduate standing,
- satisfied all program requirements, and
- removed all academic deficiencies.

A student must not take the exam prior to receiving approval from Graduate Studies. If the exam is held prior to approval and the committee is deemed unsuitable, the exam may be considered null and void.

The QE committee shall include five members. Of these five members, three will be members of the student's graduate program, one of which is the chair of the QE committee. A minimum of three members of the QE committee must be voting members of the Academic Senate of the University of California (includes professors, lecturers with security of employment, professors in residence and professors of clinical “\_\_”). At least one member should be external to the student's graduate program, and when this is not required by a program, justification must be given during the degree requirement approval process. Normally, only one member may be from categories that include non-Senate faculty, faculty members from other universities, and scholars from outside academia as specified in the Graduate Council “Policy for Service on Advance Degree Committees” GC1998-01 (rev.06) ([gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf)), unless those individuals are members of the graduate program faculty. Requests for exceptions in the case of QE committees shall be submitted to the Dean of Graduate Studies for review and approval.

### **Procedure for the Designated Emphasis (DE)**

A student who applies for a designated emphasis must be enrolled in an affiliated doctoral program. Each designated emphasis program has a chair with authority for admitting students into the emphasis area.

Since Graduate Studies does not maintain a list of participating faculty, the DE chair is the sole signature authority for all forms relating to DE approval.

The admission procedure for a designated emphasis is as follows:

1. Student completes a Designated Emphasis Application (GS323) ([gradstudies.ucdavis.edu/files/current-students/gs323-de-app.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs323-de-app.pdf)).
2. The student, graduate program adviser, and chair sign the application before returning it to Graduate Studies.
3. Graduate Studies verifies the form's information with the student's current program affiliation, academic standing, and enrollment. The Dean of Graduate Studies will verify the student's eligibility for acceptance into the designated emphasis.

4. A copy of the approved form is returned to the student, program, and the DE staff person.
5. When the student applies to take the qualifying exam, the DE chair will sign the appropriate block on the QE application form indicating that the student has completed all coursework and is prepared to take the exam. A faculty member from the DE will serve as part of the exam committee.
6. When the student passes the exam and advances to candidacy, the DE chair will indicate approval by signing the appropriate block of the Candidacy for the Degree of Doctor of Philosophy form. This form can be found in the 'Doctoral Specific' section of the Graduate Studies forms and information web page: [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information).
7. The Designated Emphasis Report Form Final Verification (GS324) ([gradstudies.ucdavis.edu/files/current-students/g324-de-final-verification.pdf](http://gradstudies.ucdavis.edu/files/current-students/g324-de-final-verification.pdf)) is used to verify that all DE requirements are completed. The student obtains the DE chair's signature to indicate satisfaction of all DE requirements. The student will not be added to a degree list until this form is submitted to Graduate Studies.

### Advancement to Candidacy

When the student passes the qualifying examination, he/she should complete the Advancement to Candidacy application form (GS320, GS321 or GS322) found at on the Graduate Studies forms web page in the section titled "Doctoral Specific": [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information). The student may submit the completed application to Graduate Studies when the graduate adviser and major professor have signed it and the candidacy fee has been paid at the Cashier's Office.

A student who has been admitted to a designated emphasis must have the candidacy application approved by the DE chair. Additionally, when a student is advanced to candidacy, a dissertation reading committee is nominated by the graduate adviser, and then appointed by the Dean of Graduate Studies, to direct the research and guide the student in preparing the dissertation.

International students must advance to candidacy before the first day of the quarter to qualify for the UCOP Nonresident Supplemental Tuition Waiver Program: [gradstudies.ucdavis.edu/current-students/financial-support/non-resident-supplemental-tuition-program](http://gradstudies.ucdavis.edu/current-students/financial-support/non-resident-supplemental-tuition-program).

Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B or C. However, graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in the Graduate Council approved degree requirements the student is following. See the Graduate Council policy on Doctoral Qualifying Examinations (GC2005-02) ([gradstudies.ucdavis.edu/files/grad-council/qe-policy-approved-4-1-2011.pdf](http://gradstudies.ucdavis.edu/files/grad-council/qe-policy-approved-4-1-2011.pdf)).

### The Doctoral Dissertation

A dissertation on a subject chosen by the candidate, bearing on the principal subject of study and of such character as to show ability to prosecute independent investigation, must receive the approval of the special committee in charge of the dissertation and of the Graduate Council before the degree is recommended. Special emphasis will be placed upon this requirement, and the degree will not be given merely for the faithful completion of a course of study, however extensive.

The policy regarding the different requirements of the dissertation under Plan A, B, or C are covered under the Doctor of Philosophy: Dissertation and final exam, Davis Division regulation 520(c) ([gradstudies.ucdavis.edu/files/grad-council/c.4.davis-division-reg-520c-2008.pdf](http://gradstudies.ucdavis.edu/files/grad-council/c.4.davis-division-reg-520c-2008.pdf)).

Doctoral students may be subject to disqualification if they do not make acceptable progress on their dissertation. Graduate Council policy on Time to Degree (GC2000-01) ([gradstudies.ucdavis.edu/files/grad-council/gc2000-01-policy-on-time-to-degree.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc2000-01-policy-on-time-to-degree.pdf)) allows students have four calendar years after the date they pass their qualifying examination to submit their dissertation. Students will receive a written warning from their committee before being recommended to the Dean of Graduate Studies for disqualification; advisers should consult with the appropriate Student Affairs Officer in Graduate Studies if they have concerns a student is not making acceptable progress at: [gradstudies.ucdavis.edu/about-us/staff-directory](http://gradstudies.ucdavis.edu/about-us/staff-directory).

### *Filing the Dissertation*

Students are responsible for observing the filing dates and for preparing dissertations in proper form. For deadlines and detailed instructions on the dissertation and abstract, visit [gradstudies.ucdavis.edu/students/filing.html](http://gradstudies.ucdavis.edu/students/filing.html).

Doctoral students must complete the following four items by the time they submit their dissertation:

1. Confidential Questionnaire;
2. Survey of Earned Doctorates;
3. Graduate Program Exit Information; and
4. Thesis/Dissertation Copyright and Embargo Agreement.

All the forms can be found on the Graduate Studies degree candidates web page at [gradstudies.ucdavis.edu/current-students/academic-services-information/degree-candidates](http://gradstudies.ucdavis.edu/current-students/academic-services-information/degree-candidates) and on the forms and information page at [gradstudies.ucdavis.edu/current-students/forms-information](http://gradstudies.ucdavis.edu/current-students/forms-information).

When scheduling an appointment with Graduate Studies to submit the paperwork associated with the filing the dissertation, the student should ensure that any final exam or exit seminar required in the program degree requirements has been successfully completed before the date of the meeting with Graduate Studies.

Candidates must submit the dissertation electronically per Graduate Council Policy on Mandatory Electronic Filing of Theses/Dissertations (GC2010-01) ([gradstudies.ucdavis.edu/files/grad-council/etd-policy-gc2010-01-approved.pdf](http://gradstudies.ucdavis.edu/files/grad-council/etd-policy-gc2010-01-approved.pdf)). Instructions for electronic submission can be obtained at: [gradstudies.ucdavis.edu/current-students/admissions-academic-services/filing-thesis-or-dissertation](http://gradstudies.ucdavis.edu/current-students/admissions-academic-services/filing-thesis-or-dissertation).

When students file dissertations, they are encouraged to sign an agreement with ProQuest/UMI to have it archived and to publish their abstract. Upon doing so, students may also make copyright and abstract reprint arrangements.

With the agreement of their major professor, students may also elect to formally embargo electronically submitted manuscripts for a period of six months, one year, or two years, without the need to obtain Graduate Council approval. Students may request to embargo the manuscript for a period of more than two years, but not to exceed five years. Such requests for exception to policy must be submitted to Graduate Council for review and approval as noted in the Policy on Mandatory Electronic Filing of Theses/Dissertations: [gradstudies.ucdavis.edu/files/grad-council/etd-policy-gc2010-01-approved.pdf](http://gradstudies.ucdavis.edu/files/grad-council/etd-policy-gc2010-01-approved.pdf).

### *Doctor of Engineering Degree*

The Doctor of Engineering (D.Eng.) degree is available from the Biological Systems Engineering program. The make-up of the doctoral committee normally includes three members from the university (at least two from the College of Engineering). Additional members may also be nominated from the professional engineering community. Please see the Davis Division of the Academic Senate section 515 ([academicsenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm#515-](http://academicsenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm#515-)) for details.

### *Doctor of Education*

The Doctor of Education (Ed.D.) degree is available from the Educational Leadership (Capital Area North Doctorate in Education Leadership) program. The Doctor of Education degree will prepare educational leaders for important positions in the public schools as administrators, policy analysts, resource persons and consultants on issues related to educational reform, planning, fiscal controls, and personnel issues, as well as for teaching careers in universities, community colleges, or other institutions. Please see the Davis Division of the Academic Senate section 518 ([academicsenate.ucdavis.edu/bylaws\\_and\\_regulations/regulations.cfm#518-](http://academicsenate.ucdavis.edu/bylaws_and_regulations/regulations.cfm#518-)) for details.

### The Candidate in Philosophy Degree

Any program may request to award the Candidate in Philosophy (C.Phil.) degree. The chair of the program should submit revised degree requirements indicating this option to the Graduate Council for approval; see the Policy on Degree Requirements Graduate Council Policy GC2005-04 (rev.05) ([gradstudies.ucdavis.edu/files/grad-council/degree-requirements-guidelines-2013-rev.pdf](http://gradstudies.ucdavis.edu/files/grad-council/degree-requirements-guidelines-2013-rev.pdf)).

All students in programs that allow for the C.Phil. option and who are advanced to candidacy for the Doctor of Philosophy degree are eligible for the Candidate in Philosophy (C.Phil.) degree.

To be eligible for this designation, the student must possess the intellectual capacity to complete the requirements for the Ph.D. The Candidate in Philosophy degree is intended as a formal indication that the student has completed the requirements for advancement to candidacy; it is not intended as a terminal degree or a consolation prize.

The advantage of this intermediate degree is that students who have fulfilled their residence requirements and have advanced to candidacy will have tangible evidence of this accomplishment if they wish to complete their dissertation while holding a full-time teaching or research position.

### Normative Time

Normative time is the number of years considered reasonable for a well-prepared, full-time student to complete the doctoral program. This time varies by program, from four to seven years, and is measured from the time the student at any level begins their UC Davis graduate study. Time to degree is a time limit for graduate students from candidacy to the filing of their thesis or dissertation.

# Regulations and Policies

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## Faculty Committees for Advanced Degrees

### Committee Membership

All committees that are appointed to conduct the master's comprehensive or doctoral qualifying examination and to pass upon the merits of the master's thesis, master's project, or doctoral dissertation are, in principle, ad hoc committees. These committees act on behalf of, and report to, the Administrative Committee of the Graduate Council. The decisions made by advanced degree committees are made on behalf of the Council, not the instructional unit in which the student is enrolled. However, the student's academic program does establish the criteria by which the student's work is judged.

The Graduate Council designates the Dean of Graduate Studies to appoint advanced degree committees for theses, qualifying exams and dissertation committees. The program is responsible for appointing comprehensive exam committees. The Dean of Graduate Studies is responsible for ensuring that these committees are constituted in accordance with Council policy.

For more information, see the Graduate Council Policy on Service on Advanced Degree Committees GC1998-01 (rev.06) [gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf)

The Graduate Council Policy on Service on advanced Degree Committees has an extensive list of UC Davis titles and classifications approved to serve. Please review policy [GC1998-01 \(rev.06\)](#).

At least one member from every advanced degree committee must also be a member of the Davis Division of the Academic Senate. At least one committee member must be from the student's graduate program. There are also minimum requirements on the combinations of titles and classifications of members that may serve on a committee. Programs may establish more restrictive policies in their bylaws.

The policy has guidelines for remote participation of a committee member (excluding the committee chair). The graduate program must advise all appointed members that no stipend will be paid for their committee service.

### *The Committee Chair*

The committee chair will normally be a member of the Academic Senate. Only under unusual circumstances will a non-member of the Senate be appointed as a committee chairperson. To request an exception to this rule, the graduate adviser must submit a written explanation to the Dean of Graduate Studies. This request must include a justification and the proposed member's curriculum vitae and a letter from the proposed member indicating their willingness to serve.

### The Role of the Thesis/Dissertation Reading Committee

According to the Graduate Council policy regarding service on advisory committees, reading committee members are expected to read and comment on a thesis or dissertation within four weeks of its submission. When a committee member fails to comply with this deadline, the graduate adviser may

recommend reconstitution of the committee for the Dean's approval. This time limit policy does not apply to summer periods for faculty holding nine-month appointments.

The student and faculty will coordinate a timeline for the student to present the dissertation to the reading committee. This timeline must allow all reading committee members enough time to fulfill their responsibilities within the four-week deadline.

If a student has returned to UC Davis following a lapse in registration and they wish to complete the thesis or dissertation, the student should meet with the reading committee to review the status of the work and determine a timeline for completion.

When revisions to the thesis or dissertation are requested, all members have the responsibility to give the students timely feedback, and the Chair in particular should ensure that all members comply with this. If any members request further changes subsequent to the first set of revisions accomplished by a student, it is expected that members will not ask for additional changes addressing issues that reasonably could have been identified for the first revision.

### **The Role of the Examination Committee**

If an examination is given in oral format, all committee members are required to stay for the entire exam. If there are any unanticipated or unavoidable absences, the chair will report them and provide specific details for a plan to complete the exam within 72 hours, when all committee members may attend.

If the chair is absent, remaining members shall wait a reasonable time, attempt to contact the chair, and then suspend the exam. In this case, the chair shall report the result as "No Examination" and provide a detailed explanation of the circumstances.

A rescheduled exam must be conducted in the same manner and format intended for the original exam. Remote participation by a committee member is allowable following the rules and procedures in the Policy on Service on Advanced Degree Committees GC1998-01 (rev.6), found at [gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc1998-01-uc-davis-graduate-council-policy-rev-06-final.pdf).

### **Report on the Qualifying Examination**

The Graduate Council Policy GC2005-02 (rev.6) ([gradstudies.ucdavis.edu/files/grad-council/qe-policy-approved-4-1-2011.pdf](http://gradstudies.ucdavis.edu/files/grad-council/qe-policy-approved-4-1-2011.pdf)) addresses doctoral qualifying examinations. A qualifying examination date is arranged between the student and the committee chair after all courses and other program degree requirements have been met and the qualifying examination application ([gradstudies.ucdavis.edu/files/current-students/gc319-qualifying-exam-app-phd.pdf](http://gradstudies.ucdavis.edu/files/current-students/gc319-qualifying-exam-app-phd.pdf)) has been approved by Graduate Studies. The chair will notify the student of the results of the exam as soon as possible. The Chair will also complete the form provided by Graduate Studies to record the final result and note which members were present or absent at the exam.

The possible exam results are:

- Pass - No conditions may be appended to a pass decision.
- Not Pass - with the option to retake all or part of the exam within a specified time period; or to satisfy specific requirements.

- No Exam - if at any time during the exam the committee determines that the student is unable to continue, whether due to illness or other extreme circumstances. The chair must notify Graduate Studies of the circumstances of this decision.
- Fail - the exam may not be repeated.

### Qualifying Examination Committee Procedures

Members of the qualifying examination committee must abide by the following voting and deliberation procedures.

#### *Evaluation*

Committee members should endeavor to reach a unanimous decision on the student's qualifications for successful completion of the program. Members should evaluate the student based on the following factors:

- relevant portions of the previous academic record,
- performance on specific parts of the exam,
- potential for scholarly research as indicated during the exam, and
- overall academic performance.

#### *Unanimous Decision*

Having reached a unanimous decision, the committee shall inform the student of its decision in the QE report form. In cases where the unanimous decision is Not Pass or Fail, the chair of the committee must include a specific statement, agreed to by all members, explaining the decision. In the case of a Not Pass decision, the committee must include in its report a statement of its conditions for retaking and completing the exam.

Technically, a unanimous committee is making a recommendation to the Administrative Committee of the Graduate Council. However, the Administrative Committee has delegated authority to the Qualifying Examination Committee to make a unanimous decision. The decision of a unanimous committee may be changed only for cause, including: procedural error, probable bias, or in the details of the conditions attached to a Not Pass decision.

#### *Divided Vote*

If, after due deliberation, the committee cannot reach a unanimous decision, the chair shall inform the student that the committee is divided and describe the nature of the division.

Chairs of divided committees shall be especially careful to inform the student that:

- The majority and minority of the committee are making a separate recommendations;
- The recommendations will be subject to further review; and
- The Administrative Committee of the Graduate Council will make the decision regarding future action.

The chair shall also inform the Dean of Graduate Studies that the committee is divided and shall forward to the Dean separate reports from the majority and minority of the committee. These reports must include specific evaluations of the student's performance on the exam and recommendations for further action.



The Dean of Graduate Studies submits the reports to Administrative Committee of the Graduate Council. The Administrative Committee makes the final decision in cases of a split vote. The Administrative Committee or Dean may request individual statements from members of the examining committee and may consider a written statement from the student if the student chooses to submit one. While the deliberations of the examining committee are confidential, written reports from committee members are student records and are, by law, available to the student.

In cases where the committee reports a Not Pass or Fail, the chair of the exam shall inform the student of the right to appeal the committee's decision for cause. The appeal should be directed to the Dean of Graduate Studies, who will then submit the matter to the Administrative Committee of the Graduate Council for review and recommendation.

In the case of a Not Pass on the first examination, the chair will receive from Graduate Studies a second report form and a copy of the regulations governing the second exam.

In all cases, the chair of the exam committee is the person responsible for reporting to the Dean of Graduate Studies the votes and the other information required by this policy statement. In all cases, the Dean will inform the student in writing of the results of the qualifying examination.

Upon recommendation of the qualifying examination committee, a student who has not passed may repeat the qualifying exam one time. The same committee must conduct this re-examination. As an exception with approval from the graduate adviser and the Dean of Graduate Studies, a member may be replaced for reasons such as an extended absence from campus.

The Dean of Graduate Studies will only recognize a Pass or Fail vote for the second examination. Failure to pass the examination on the second attempt means that the student is subject to disqualification by the Dean of Graduate Studies from further study for the doctoral degree in that program.

### **Options for the Dissertation Committee**

The policy regarding the different options for the dissertation under Plan A, B, or C is covered by the Doctor of Philosophy: Dissertation and final exam, Davis Division regulation 520(c) ([gradstudies.ucdavis.edu/files/grad-council/c.4.davis-division-reg-520c-2008.pdf](http://gradstudies.ucdavis.edu/files/grad-council/c.4.davis-division-reg-520c-2008.pdf)).

#### *Plan A*

The Dissertation Committee is composed of five faculty members, three of whom direct the student's research and preparation of the dissertation. The entire committee administers a final oral exam. No exit seminar is required. The final exam generally deals with the relationship of the research to the overall discipline. The exam may be restricted to committee members or may be open to other faculty members and guests with the consent of the student. The chair of the exam committee will complete the Plan A Report of Final Examination Form (GS325) ([gradstudies.ucdavis.edu/files/current-students/gs325-phd-exam-report-plana.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs325-phd-exam-report-plana.pdf)) and submit it to Graduate Studies by the final exam date listed on the Academic Calendar.

The Candidacy for the Degree of Doctor of Philosophy, Plan A (GS320) form can be found at [gradstudies.ucdavis.edu/files/current-students/gs320-phd-candidacya.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs320-phd-candidacya.pdf).

The Report of Final Examination for Ph.D., Plan A (GS325) form can be found at [gradstudies.ucdavis.edu/files/current-students/gs325-phd-exam-report-plana.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs325-phd-exam-report-plana.pdf).

### *Plan B*

The dissertation committee is composed of three faculty members who direct the candidate in research and pass upon the merits of the dissertation. After the candidate presents the dissertation, the committee may require an oral defense by the individual student. A graduate program may require an exit seminar on the dissertation by all students if stipulated in the program's approved degree requirement. If a program wants to make this an addition to the degree requirements, approval must be obtained from Graduate Council.

Candidacy for the Degree of Doctor of Philosophy, Plan B (GS321) form can be found at [gradstudies.ucdavis.edu/files/current-students/gs321-phd-candidacyb.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs321-phd-candidacyb.pdf).

### *Plan C*

The dissertation committee is composed of three faculty members who direct the student's research and preparation of the dissertation. The entire committee administers a final oral exam. The final exam generally deals with the relationship of the research to the overall discipline. The exam may be restricted to committee members or it may be open to other faculty members and guests with the consent of the student. The chair of the examining committee completes the Plan C Report of Final Examination Form and submits it to Graduate Studies. The student must complete the exam by the final exam date listed on the academic calendar. No exit seminar is required.

The Candidacy for the Degree of Doctor of Philosophy, Plan C (GS322) form can be found at [gradstudies.ucdavis.edu/files/current-students/gs322-phd-candidacyc.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs322-phd-candidacyc.pdf).

The Report of Final Examination for Ph.D. (GS326) form can be found at [gradstudies.ucdavis.edu/files/current-students/gs326-phd-exam-report-planc.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs326-phd-exam-report-planc.pdf).

### **Reconstitution of Committees**

Before faculty members are selected for an examination or reading committee, the graduate adviser should determine whether they are available for this service. Once a committee has been established, changes in membership may cause hardship for the student.

For any change after a committee has been constituted, the graduate adviser must submit a statement explaining the reason for this request. This reason must be acceptable to the Dean of Graduate Studies and the Graduate Council. Disagreement over the quality of a student's performance is not a legitimate reason for reconstituting the committee. The legitimate reasons are:

- extended absence from the campus,
- illness, and
- a real and justified change in the student's topic (for thesis and dissertation committees).

When a membership change must be made for thesis, qualifying exam, or dissertation committees, the Request for Reconstitution of Committee Membership (GS332) form ([gradstudies.ucdavis.edu/files/current-students/gs332-recon-committee-membership-request.pdf](http://gradstudies.ucdavis.edu/files/current-students/gs332-recon-committee-membership-request.pdf)) must be completed. On this form the graduate adviser will explain the reason for the change and recommend a new committee member. *The graduate adviser's signature on this form certifies that all committee members have been notified of and agree to the change.* If approved, Graduate Studies will issue copies of the form to the student, the graduate program, and the committee chair.

## Standards of Scholarship

### Annual Evaluation of Student Progress

The 1971 All University Faculty Conference noted the need for clear and regular periodic appraisal of a graduate student's progress toward a degree objective. In June 1973, the Graduate Council at Davis adopted a policy requiring annual written evaluations of graduate student progress.

#### *Basic Purpose of the Evaluation*

The basic purpose of the evaluation policy is to improve communication between students and faculty. This policy ensures that at least once a year, the student's performance is subject to a thorough faculty assessment.

#### *Role of the Graduate Adviser*

Graduate Studies sends program graduate advisers the necessary evaluation form during the spring quarter. Graduate Council has approved this form for general campus use. Advisers or graduate committees may substitute their own form if they have a similar evaluation procedure.

Campus policy requires that every graduate adviser complete an annual report of each graduate student's progress. All unsatisfactory and marginal progress reports are forwarded to the appropriate Graduate Studies student affairs officer for follow up.

#### *Notifying the Student of their Status*

If a student's progress is unsatisfactory, the graduate adviser must share this information with the student and the report must be forwarded to Graduate Studies. The student will also receive a written notice from the Dean of Graduate Studies. The Dean's letter will inform the student of his/her probationary status, indicate the work required to attain a satisfactory evaluation, and the time limit for completion of this work.

If a student's progress is marginal, the graduate adviser should share this information with the student. The graduate adviser will send a copy of this report to Graduate Studies to be placed in the student's file. No letter is sent from the Dean of Graduate Studies.

If a student's progress is satisfactory, the graduate adviser should inform the student of the steps necessary to attain the degree objective. This report will be placed in the student's program files only and is not forwarded to Graduate Studies. No letter is sent from the Dean of Graduate Studies.

### Adviser and Guidance Committee Evaluations of Progress

Graduate programs are encouraged to establish advisory or guidance committees for each student as early as possible in the student's course of study. These committees should routinely meet with the student to discuss the degree requirements.

Students whose time to degree is more than one year beyond the normal time for that program should be told they are making unsatisfactory progress.

A marginal or unsatisfactory progress report may be issued at any time and should be discussed with the student immediately. It is important that Graduate Studies be copied on any report concerning either marginal or unsatisfactory progress.

### Unsatisfactory Progress

A student whose progress is judged as unsatisfactory is regarded as a student on academic probation. This includes the student whose annual evaluation indicates unsatisfactory progress or the student who receives written notice from the adviser or guidance committee indicating unsatisfactory progress.

If a student fails to meet the requirements specified in the notices sent by the Dean of Graduate Studies or the guidance committee, he/she will be subject to disqualification from further study in the graduate program by the Dean of Graduate Studies.

### Graduate Council Guidelines for Authorship

The Graduate Council has addressed the issue of ethics in authorship as it relates to graduate student/major professor interactions (or comparable collaborative author circumstances). The Graduate Council recognizes that faculty or other university researchers may co-author scholarly publications with graduate students, and that such collaboration is usually beneficial to all parties involved.

With respect to professional ethics, integrity, and fairness, the authorship of any scholarly work implies the following:

- Each author has made a substantial conceptual contribution to the work;
- Each author accepts responsibility for his/her contribution to the collaborative effort; and
- Each author accepts responsibility for the scholarly conclusions appearing in the publication.

#### *Definition of “Substantial Conceptual Contribution”*

“Substantial conceptual contribution” is interpreted by the Graduate Council to mean input beyond that of:

1. only providing instruction,
2. granting use of laboratory space or equipment,
3. provision of financial support, or
4. dissertation guidance by a faculty member.

Thus, “substantial conceptual contribution” means making a theoretical contribution to the work and/or a considerable degree of involvement with its development such as the generation and interpretation of data, the drawing of conclusions, or the actual writing of the manuscript.

#### *Definition of “Responsibility”*

“Responsibility” means that an author understands the methodology involved, the relationship to other similar research, and the significance and implications of his/her contributions to the publication. Responsibility requires that the individual is able to defend his/her contribution against academic challenge. Students or faculty should not take authorship if they do not understand these aspects of the work, are unwilling to accept responsibility for them, or do not agree with the conclusions made in the report.

## Use of Co-Authored Material in the Thesis or Dissertation

UC Davis Graduate Council Policy GC2015-0 is the co-authorship policy. Please see the policy in full at [gradstudies.ucdavis.edu/files/grad-council/gc\\_2015-01\\_coauthorship\\_policy\\_-\\_approved\\_6-17-2015.pdf](http://gradstudies.ucdavis.edu/files/grad-council/gc_2015-01_coauthorship_policy_-_approved_6-17-2015.pdf).

The thesis/dissertation or equivalent may be presented wholly or in part including chapters or other segments that involve co-authored, collaborative work. In those graduate programs where the general expectation is the capstone will be solely authored by the student, this should be established as a formal policy by the program applicable to all students with adequate notification of the policy to students.

### *Disagreements Over Joint Authorship*

Whenever conflicts arise over collaborative authorships, Graduate Council urges the parties involved to resolve their conflict on the basis of professional ethics, integrity, and fair play.

As a guide, Graduate Council recommends that authors adhere to the principles of the Graduate Council Guidelines for Authorship, as listed above. Most difficulties can be resolved by carefully considering the contributions, responsibilities, and professional conduct expected in joint authorship.

Faculty members are urged to be cognizant of their relationship with graduate students and the possibility of intimidation. The Faculty Code of Conduct, Part IIA, specifically states that the professor must avoid any exploitation of a student for private advantage and must acknowledge significant assistance from a student.

Joint authors may avoid or alleviate such disagreements by discussing their roles during the course of research. They may also avoid conflict by listing or discussing their contributions and responsibilities prior to submitting their work for publication.

The Graduate Council recognizes that the guidelines for authorship of intellectual pursuits may be interpreted differently and result in misunderstandings. Should parties fail to resolve the conflict, any of the authors may request advice from the Dean of Graduate Studies or the Administrative Committee of the Graduate Council.

Continued failure to resolve the issue may lead to allegations of faculty misconduct per the Academic Senate Faculty Code of Conduct. The Graduate Council Guidelines for Authorship are intended to provide clear directions on how to resolve conflicts of authorship before they lead to Academic Senate involvement.

### *Resources for Additional Ethics Information*

For a digest of information on ethics in authorship created for the Educational Resources Information Center (ERIC) of the U.S. Department of Education, by K.L. Syrett and L.M. Rudner, and other related resources visit [eric.ed.gov](http://eric.ed.gov).

The Online Ethics Center for Engineering and Science ([onlineethics.org](http://onlineethics.org)) provides resources for understanding and addressing ethically significant problems. This center promotes learning and understanding of responsible practice in engineering and science.

For an extensive list of resources and references on teaching research ethics, by the Research Ethics Program at UCSD, visit [ethics.ucsd.edu/resources/research-ethics/index.html](http://ethics.ucsd.edu/resources/research-ethics/index.html).

## Scholarship Warnings and Disqualification

### Academic Probation

Students are placed on academic probation and given a timeline for removing their deficiencies and returning to good standing if:

- their academic performance is less than satisfactory,
- they have accumulated more than eight units of U, I or F grades, or
- they are not meeting program requirements.

Students on academic probation are subject to disqualification. The Dean of Graduate Studies may place a student on academic probation in accord with the following procedures.

A graduate student is subject to being placed on academic probation at the end of any term if their grade point average for that term, or their cumulative grade point average, is less than 3.0. This calculation is based on all of the letter-graded upper division and graduate courses they have completed while registered as a graduate student at the university.

A student who accumulates a combination of more than eight units of I, U and F grades will also be placed on academic probation. Any student on academic probation will be sent a warning letter by the Dean of Graduate Studies informing them of their probationary status and the requirements for returning to good standing.

### Definition of Disqualification

Disqualification means that for one or more of the academic reasons listed below, a student is no longer eligible to continue graduate study in the relevant graduate program at the University of California, Davis. Only the Dean of Graduate Studies may disqualify a student and must follow the procedures outlined below.

The term “disqualification” should not be confused with dismissal. Dismissal is an administrative action resulting in the student’s removal from graduate study based on behavior or conduct.

### Academic Probation and Disqualification on the Basis of Grades

#### *Disqualification*

Graduate students are subject to disqualification from further registration if:

- At the end of any term, their grade point average is less than 2.0 for that term;
- They have completed two consecutive terms on academic probation;
- During their first term on academic probation they fail to improve their grade point average as stipulated by the Dean; or
- After their first term on academic probation due to an excessive number of I or U units, and/or F grades, they fail to complete or repeat the required number of I, U, and/or F units stipulated in the Dean’s warning letter; or they accumulate additional I or U units and/or F grades.

### *Disqualification by the Adviser's Recommendation*

The graduate adviser may also recommend disqualification of a student whose grade point average is above 3.0, but who may not be making satisfactory progress toward the degree objective. The graduate adviser must first have filed an unsatisfactory progress report with Graduate Studies or have sent a letter to Graduate Studies and the student informing the student of the lack of satisfactory progress. The student must be afforded a reasonable opportunity to resolve any inadequacies in his or her scholarship.

### **Academic Probation and Planned Educational Leave Program (PELP)**

Students in their first quarter of academic probation will be eligible for the Planned Educational Leave Program with the consent of their graduate adviser and the Dean of Graduate Studies. For more information on the PELP, see GS338: [gradstudies.ucdavis.edu/files/current-students/g338-pelp.pdf](http://gradstudies.ucdavis.edu/files/current-students/g338-pelp.pdf).

A student in academic probation may withdraw and apply for readmission at a later date. However, for such a student, the minimum conditions of academic probation will still apply at the later date and readmission cannot be guaranteed. Furthermore, that student's application for readmission will be considered in competition with other applicants filing for admission or readmission at that time.

A student may request to be placed on PELP for one quarter pending the final outcome of an appeal of disqualification.

A student who files for PELP and subsequently becomes subject to disqualification will have his/her application for leave disallowed and the related fee will be refunded.

### **Disqualification and Appeals Procedures**

#### *Authority for Disqualification Rests with the Dean of Graduate Studies*

Regulation 904 of the Academic Senate reads as follows: "disqualification of graduate students is at the discretion of the Dean of Graduate Studies." With the advice of the Graduate Council, the Dean of Graduate Studies has adopted the Policy on Disqualification and Appeal (GS2005-01), available at [gradstudies.ucdavis.edu/files/current-students/disqual-appeal.pdf](http://gradstudies.ucdavis.edu/files/current-students/disqual-appeal.pdf).

## **Registration**

### **Change of Major Procedure**

To initiate a change of major, the student should complete the Petition to Change Graduate Major, Degree Objective, or for Double Graduate Major ([registrar.ucdavis.edu/local\\_resources/forms/D065-graduate-major-degree-change.pdf](http://registrar.ucdavis.edu/local_resources/forms/D065-graduate-major-degree-change.pdf)). The student's current graduate adviser must sign the petition first. After the student receives the current graduate adviser's signature, he/she must get the signature of the graduate admissions adviser in the new program. The student must also obtain the signatures of the graduate program coordinator in both the current and new program. Once the student has all required signatures, he/she must take the form to the Graduate Studies where it will be reviewed, approved, and forwarded to the Office of the University Registrar for further processing.

Graduate Studies student affairs officers will be available to advise students, faculty, and staff regarding university policy and procedures for change of graduate major or double major.



## Double Major Procedure

Students who would like to have a double major must submit the Petition to Change Graduate Major, Degree Objective, or for Double Graduate Major ([registrar.ucdavis.edu/local\\_resources/forms/D065-graduate-major-degree-change.pdf](http://registrar.ucdavis.edu/local_resources/forms/D065-graduate-major-degree-change.pdf)). The signature of the graduate admissions adviser indicates a student's acceptance into the second program and the graduate adviser's approval of the student's plan to work in two programs simultaneously.

Students may share up to 12 units from one UC Davis program with another, provided they have approval of their graduate adviser and the Dean of Graduate Studies. To meet the Graduate Studies residency requirements, students must spend at least two quarters in regular graduate standing in their second master's program. The student must also complete a separate thesis or examination in accordance with the approved program requirements.

Students currently enrolled in a self-supporting master's degree program may be approved for a double major, but they will be charged tuition and fees for both programs.

In the case of a double major with a professional degree, it is the student's responsibility to notify Graduate Studies when he/she has completed his/her professional degree. Upon completion of the professional degree, Graduate Studies will change the student's primary curriculum to reflect the academic graduate degree. It should be noted that the School of Medicine makes its own changes, so students must notify the School of Medicine directly about any changes.

When professional students add an academic major, they must complete a regular, online graduate admission application, including all required materials - application fee, letters of recommendation, and official transcripts of record along with the Petition to Change Graduate Major, Degree Objective, or for Double Graduate Major ([registrar.ucdavis.edu/local\\_resources/forms/D065-graduate-major-degree-change.pdf](http://registrar.ucdavis.edu/local_resources/forms/D065-graduate-major-degree-change.pdf)).

International students on F1 visas who are admitted to a doctoral program from a master's program must certify that they possess the required amount of funds to support their first year in the new program. The form required to do this is available on the Services for International Students and Scholars website at [siss.ucdavis.edu](http://siss.ucdavis.edu).

## Change of Degree Objective

Students who want to change their degree objective within the same program must submit a Petition to Change Graduate Major, Degree Objective, or for Double Graduate Major ([registrar.ucdavis.edu/local\\_resources/forms/D065-graduate-major-degree-change.pdf](http://registrar.ucdavis.edu/local_resources/forms/D065-graduate-major-degree-change.pdf)). The student's current graduate adviser must sign the petition first. After the student receives the current graduate adviser's signature, he/she must get the signature of the graduate admissions adviser and graduate program coordinator. Once the student has all required signatures, he/she must take the form to the Graduate Studies where it will be reviewed, approved and forwarded to the Office of the University Registrar for further processing.

Graduate Studies student affairs officers will be available to advise students, faculty and staff regarding university policy and procedures for changing the degree objective.

International students must contact Services for International Students and Scholars (SISS) to discuss the effect of such a change on their visa status. The SISS website can be found at [siss.ucdavis.edu](http://siss.ucdavis.edu).

## Withdrawal

A student who withdraws or breaks registration without filing for the Planned Educational Leave Program (PELP) is not guaranteed readmission. Any student who withdraws and then files an Application for Readmission will be subject to the same review as a new applicant. The Readmission Application (GS307) ([gradstudies.ucdavis.edu/files/current-students/g307-readmission-app.pdf](http://gradstudies.ucdavis.edu/files/current-students/g307-readmission-app.pdf)) needs to be completed and approved by the graduate program admissions chair and the Dean of Graduate Studies. When a student is readmitted, he/she must fulfill the programmatic requirements that are in effect at the time of his/her readmission.

Students who have enrolled in coursework and then decide that they want to leave the university should obtain a cancellation/withdrawal form ([registrar.ucdavis.edu/registration/leave/cancellation-withdrawal.cfm](http://registrar.ucdavis.edu/registration/leave/cancellation-withdrawal.cfm)) from the Office of the University Registrar, have it approved as directed, and then submit it to the Registrar. Failure to follow this procedure may result in an “F” grade for each course in which the student is enrolled, as well as a bill for all of the associated fees.

## Planned Educational Leave Program (PELP)

The Planned Educational Leave Program allows students to suspend their studies for good cause and be guaranteed the right to return later to resume their academic work. Examples of good cause are limited to illness, financial problems, or personal problems. Find the more information on PELP at [gradstudies.ucdavis.edu/files/current-students/g338-pelp.pdf](http://gradstudies.ucdavis.edu/files/current-students/g338-pelp.pdf).

There is a fee to apply for PELP, which is charged directly to the student’s account. When the graduate adviser approves the PELP advising form, this guarantees that the student will be readmitted for the quarter specified on the form. By approving this form, the graduate adviser certifies that there will be available space for the returning student.

The PELP advising form is the only document the student needs to apply for the program. Since the PELP application is submitted via e-mail, the student must contact the relevant graduate program coordinator to obtain the email application. Approval signatures are done via e-mail and must reflect the graduate adviser’s approval using his/her e-mail address.

PELP is recommended for students who are certain of the quarter in which they plan to return and who plan to be away for no more than three quarters. If a student is not certain of a return date, a withdrawal and application for readmission (GS307) may be more appropriate: [gradstudies.ucdavis.edu/files/current-students/g307-readmission-app.pdf](http://gradstudies.ucdavis.edu/files/current-students/g307-readmission-app.pdf).

The Office of the University Registrar will consider requests for retroactive PELP status by exception only, and only for reasons of: a death in the family, medical issues, or administrative error.

## *Duration of Leave*

The minimum Planned Educational Leave is one full quarter; the maximum is three quarters. Students may shorten their leave by submitting a written request at least eight weeks before the start of the quarter in which they plan to enroll. Both the program graduate adviser and the Dean of Graduate Studies must approve this request. Students may lengthen their leave by completing a Time Extension Request (GS335) form ([gradstudies.ucdavis.edu/files/current-students/g335-time-extension-request.pdf](http://gradstudies.ucdavis.edu/files/current-students/g335-time-extension-request.pdf)), having it approved as directed, and filing it with Graduate Studies.

## *Availability of University Services*

A student on leave is only eligible for university services in the following areas:

- placement and student employment services,
- advising and counseling, and
- housing.

When students return from PELP, they are considered to be continuing students in regards to housing priority. Students may remain in Student Family Housing for one quarter while they are on PELP.

#### *Financial Aid*

Only financial aid counseling is available. Grants and other financial aid are discontinued for the period of the leave.

#### *Fellowships*

Students on PELP are not eligible to receive fellowship funds.

#### *Optional Health Services*

Students on PELP may purchase health cards that entitle them to full student health benefits for one quarter. If students are out of the area, they may purchase an optional health insurance plan to provide coverage.

If students intend to continue their SHIP benefits, they must notify Student Health and Counseling Services before the first day of the quarter in which their PELP status begins. For more information, students should contact Student Health and Counseling Services at [healthcenter.ucdavis.edu](http://healthcenter.ucdavis.edu).

#### *Academic Credit*

While students are on PELP they are not eligible to enroll in concurrent courses or earn any academic credit on the Davis campus.

#### *Academic Appointments*

Appointment to a student academic title while on Planned Educational Leave Program (PELP) is not permitted.

### **UC Intercampus Exchange Program**

#### *Application Requirements*

Graduate students who are in good standing and want to temporarily study at another UC campus must apply through the UC Intercampus Exchange Program Application ([gradstudies.ucdavis.edu/files/current-students/icx-form-rev-2013-mar.pdf](http://gradstudies.ucdavis.edu/files/current-students/icx-form-rev-2013-mar.pdf)). Students must have first completed one quarter in residence at Davis and must be registered in coursework at both their home and host campus.

When applying, students must obtain approval from their graduate adviser. They must also have approval from the chair of the department (or group in which they wish to study on the host campus) and the Dean of Graduate Studies at both UC Davis and the host campus.

Students should file their intercampus exchange program applications with UC Davis Graduate Studies at least five weeks before the beginning of the quarter in which they want to begin at the host campus.

A new application is required for each quarter a student wants to attend another campus.

### *Student Privileges*

Students on the intercampus exchange program will pay their fees at UC Davis and complete registration packets for both UC Davis and the host campus. They will have library, health center, and other student privileges on the host campus, but are considered graduate students in residence at UC Davis and must be registered in coursework at both their home and host campus.

### *Grades*

Grades students earn at the host campus will be transferred to UC Davis and entered into their official record.

### *Program Purpose*

The UC Intercampus Exchange Program is intended to provide students with the opportunity to enroll in occasional courses that are not available on their home campus. It is not intended to allow students to take all or most of their coursework at other UC campuses.

Students who want to transfer to another UC campus to complete their degree requirements must file a regular application for admission, including their official transcripts, at the new campus.

### Release of Information from Student Records

The federal Family Educational Rights and Privacy Act (FERPA) of 1974 governs the disclosure of information from student records in conjunction with pertinent provisions of the State of California Education Code. This Act assures currently and previously enrolled students the right to inspect and review their educational records. It also outlines the choices available to students regarding the release of their information. The campus will respond to a student within 15 days if the student requests confidential information that has not been previously available to students under these laws.

Section 32021 of the *UC Davis Policy and Procedure Manual* presents detailed policies and procedures regarding the privacy of and access to information contained in student records. This policy can be found at [manuals.ucdavis.edu/ppm/contents.htm#320](http://manuals.ucdavis.edu/ppm/contents.htm#320). In addition, the Office of the Registrar has guidelines and policies on the confidentiality of student records that have been specifically prepared for UC Davis.

## **Graduate Student Tuition and Fees**

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These are the general policies and procedures related to the various charges that graduate students are required to pay. All charges are subject to change without notice.

### **Application Fee**

For each Graduate Studies application submitted to a program, a U.S. applicant must pay a \$90 application fee and an international student must pay a \$110 fee. Applicants must pay a separate application fee to every campus of the university to which they apply and for every program to which they apply. Even when applicants to UC Davis have been registered graduate students on another UC campus, they still must pay the regular application fee.

## Readmission Fee

Students who apply for readmission must pay the \$70 readmission fee.

## Tuition and Fees

### Full-Time Status

All full-time graduate students pay the following tuition and fees each quarter regardless of their unit load:

- Student Services Fee (formerly Registration Fee);
- Tuition (formally Education Fee);
- Memorial Union Fee;
- Student Facilities Safety Fee;
- Graduate Student Association Fee; and
- Student Health and Counseling Services Fee.

For complete fees and tuition information, go to [budget.ucdavis.edu/studentfees](http://budget.ucdavis.edu/studentfees).

### Professional Degree Supplemental Tuition and Self-Supporting Program Fees

For Professional Degree Supplemental Tuition charges and fees charged by self-supporting programs, go to [budget.ucdavis.edu/studentfees](http://budget.ucdavis.edu/studentfees).

### Approved Part-Time Status

Approved part-time students pay the full Student Services Fee and one-half the Tuition. Nonresident students on approved part-time status pay these fees and one-half the Nonresident Supplemental Tuition.

### Registration *in Absentia*

Graduate students whose research or study requires them to remain outside California for the entire quarter may register *in-absentia* and pay a reduced tuition and fee amount (the charge can be found at [budget.ucdavis.edu/studentfees](http://budget.ucdavis.edu/studentfees)). For further details regarding the *in Absentia* status and application please review and complete the In-absentia Registration (GS308) form ([gradstudies.ucdavis.edu/files/current-students/g308-in-absentia-registration.pdf](http://gradstudies.ucdavis.edu/files/current-students/g308-in-absentia-registration.pdf)).

### Employee Fee Reduction

An Employee Tuition and Fee Reduction plan is available to certain full-time career university employees. For further details, contact the Staff Development and Professional Services Office at [sdps.ucdavis.edu/fee\\_assistance/uc\\_reduced.html](http://sdps.ucdavis.edu/fee_assistance/uc_reduced.html).

### UC Davis Student Health Insurance Plan (Davis SHIP)

All students are required to have medical insurance and are automatically enrolled in the Davis Student Health Insurance Plan (Davis SHIP) to meet this requirement.

The Davis SHIP enrollment fee is included in the university bill. Students may waive Davis SHIP enrollment and have the fee removed by providing proof of comparable medical insurance. A waiver form, plus proof of insurance, must be provided to Student Health and Counseling Services. Students must file a waiver application each year.

The Davis SHIP Waiver Application can be found at [shcs.ucdavis.edu/insurance/waiver](https://shcs.ucdavis.edu/insurance/waiver). For information about how students' Davis SHIP eligibility is impacted by their changing registration status, go to [shcs.ucdavis.edu/insurance](https://shcs.ucdavis.edu/insurance).

## **Graduate Student Tuition Fee and Davis SHIP Premium Remission**

### *Full Tuition and Fee Remissions*

Registered graduate students who are appointed at 25% or more in the title of Graduate Student Researcher (title code 3282) are eligible for full remission of tuition & fees and nonresident supplemental tuition.

### *Partial Fee Remissions*

Registered graduate students who are appointed in teaching titles at 25% or more are eligible for partial remission of tuition and fees. These students may be appointed in one of the following academic titles:

- 1501 Associate In - Graduate Student - 9 months
- 1506 Associate In - Graduate Student - 9 months 1/9
- 1511 Associate In - Graduate Student - 11 months
- 2286 Nursery School Assistant
- 2288 Remedial Tutor I
- 2289 Remedial Tutor II
- 2305 Community Teaching Fellow
- 2310 Teaching Assistant
- 2330 Physical Activities Assistant
- 2340 Language Assistant
- 2850 Graduate Reader
- 2860 Graduate Tutor

### *Remission Process*

For remissions to be properly credited to the student's fee statement, the student must complete all required hiring documents and the hiring department must enter the academic appointment into the university payroll and personnel system (PPS). These tasks must be done at least two weeks before the start of the quarter.

### *Limitations on Tuition and Fee Remission*

Students who are issued waivers for the mandatory Davis SHIP coverage are not eligible for the Davis SHIP remission. Students in a remission-eligible appointment, who are enrolled in professional degree

programs, or in self-supporting degree programs, receive remission in an amount not to exceed what students enrolled in state-supported degree programs receive. Please review the Policy for Remission of Graduate Student Tuition and Fees (GS2014-01) ([gradstudies.ucdavis.edu/current-students/employment/tuition-and-fee-remission/policy-definitions](http://gradstudies.ucdavis.edu/current-students/employment/tuition-and-fee-remission/policy-definitions)). More details regarding eligibility and implementation of the policy are available at [gradstudies.ucdavis.edu/current-students/employment/tuition-and-fee-remission](http://gradstudies.ucdavis.edu/current-students/employment/tuition-and-fee-remission).

### **Candidacy Fee**

A fee is charged to each student who applies for advancement to candidacy. The student is expected to print the form and pay the fee at the cashier's office where the form will be marked as paid.

### **Reduced Nonresident Supplemental Tuition for Doctoral Students**

A nonresident doctoral student who has advanced to candidacy by the first day of the term will not be assessed nonresident supplemental tuition (NRST) per the UCOP NRST Waiver Program. A doctoral candidate may receive this reduced tuition rate for a maximum of three years. This three-year term begins with their first academic term following advancement to candidacy and ends three calendar years later. Any quarter a student is on PELP counts toward this three-year limit.

After the UCOP NRST Waiver period, nonresident doctoral students are again charged NRST until they complete their degrees. To offset the NRST charge during this time frame, UC Davis offers a non-competitive fellowship program—the Post-candidacy Nonresident Supplemental Tuition Fellowship Program—intended to mitigate the NRST challenge during the fourth and fifth years after advancement to candidacy. Eligible students may receive a non-competitive fellowship to offset the cost of NRST so that they are able to complete their degrees in a timely manner without the added pressure of the NRST expense. Information about this program is provided annually directly to eligible students.

Information about these NRST programs can be found at: [gradstudies.ucdavis.edu/current-students/financial-support/non-resident-supplemental-tuition-programs](http://gradstudies.ucdavis.edu/current-students/financial-support/non-resident-supplemental-tuition-programs).

### **Filing Fee Status**

#### *Eligibility*

Filing Fee is a non-registered status available to students who have advanced to candidacy for their degree. Students on Filing Fee status are eligible to complete their degree within approved time limitations while not registered.

This option benefits students when all of their courses and research have been completed and they no longer need to use campus facilities. Filing Fee status is available for one quarter only.

The purpose of Filing Fee status is for students to take the doctoral and master's final examination and/or to file the master's thesis or doctoral dissertation.

#### *Limitations on Eligibility*

To uphold the intent of Filing Fee status, Graduate Studies has set definite limitations on Filing Fee status eligibility. These limitations are based on the principle that students who use university facilities or make demands upon faculty time are not eligible for Filing Fee status. The exceptions to this general principle are the faculty time involved in the final reading of dissertations, the final reading of theses, or in holding final examinations.



Students on Filing Fee status are not registered students and therefore are not eligible for the privileges accorded to regularly enrolled students.

A student on Filing Fee status may not:

- use any university facilities, including: Student Health and Counseling Services, the ARC, Student Housing, laboratories, and desk space. Students are able to purchase a library card and Davis SHIP coverage if necessary.
- make demands upon faculty time other than the time involved in the final reading of the thesis or dissertation or in holding final examinations.
- receive a fellowship, financial aid, or hold any academic appointments beyond the one-quarter exception while on Filing Fee.
- take course work of any kind.
- conduct dissertation or thesis research.

### *Circumstances Requiring Regular Enrollment*

Students who plan to use university facilities, or to take courses, must register as regular students. Students who plan to be away from the campus, but will be in an instructional relationship with faculty members, must register as regular students. Students outside of California may be eligible for registration *in absentia*.

A student who plans to take the Ph.D. qualifying examinations must register as a regular student.

### *Application Procedure*

To apply for Filing Fee status, the student must complete the Filing Fee Application ([gradstudies.ucdavis.edu/files/current-students/g305-filing-fee-app.pdf](http://gradstudies.ucdavis.edu/files/current-students/g305-filing-fee-app.pdf)), have their adviser and major professor sign it, and then present the completed application to the Cashier's Office when they pay the Filing Fee.

Students must pay the Filing Fee before they file their application with Graduate Studies. Students should continue their regular registered enrollment until their application is filed with Graduate Studies.

If students do not file their thesis or dissertation by the end of the filing fee period, they are required to register and pay full fees and tuition.

### *Extension of Eligibility*

In exceptional circumstances, the Dean of Graduate Studies may grant student requests for one extension of Filing Fee status on a case-by-case basis. Students may make this formal request through their graduate adviser by using the Time Extension Request (GS335) form ([gradstudies.ucdavis.edu/files/current-students/g335-time-extension-request.pdf](http://gradstudies.ucdavis.edu/files/current-students/g335-time-extension-request.pdf)). The student will need to attach a detailed timeline, signed by the graduate program adviser, outlining the plan for completion of the degree. Students on Filing Fee status will not be counted for budgetary purposes in FTE or headcount figures. They are excluded from enrollment numbers used to determine Graduate Program Fellowship Allocation and graduate group administrative support allocations.

### Nonresident Supplemental Tuition (NRST)

Nonresidents are students who are unable to establish California residency. These students must pay nonresident supplemental tuition each quarter, unless they fall under one of the exceptions in the residency policy.

### California Residency for Tuition Purposes

To be classified as a California resident for purposes of tuition and fees, it is imperative that students with the ability to establish residency begin to establish residency upon arrival in California. The appropriate actions are outlined on the Office of the Registrar's website at [registrar.ucdavis.edu/tuition/residence/index.cfm](http://registrar.ucdavis.edu/tuition/residence/index.cfm).

**At UC Davis, only the Residence Deputy is authorized to provide information on residency regulations.** Residency information can be found in the *UC Davis General Catalog* and online at [catalog.ucdavis.edu](http://catalog.ucdavis.edu).

## Student Financial Support

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### Academic Appointment of Students

The Academic Personnel Manual, Appendix II-B ([manuals.ucdavis.edu/apm/II-B.htm](http://manuals.ucdavis.edu/apm/II-B.htm)) notes the regulations that govern the appointment of graduate students to academic positions, including: Teaching Assistant, Associate\_In, Graduate Student Researcher, Tutor, and Reader. These are the only titles that graduate students are eligible to hold unless they held a staff title prior to admission. Following is a brief overview of the appointment and eligibility regulations. More information is available at [gradstudies.ucdavis.edu/faculty-staff/academic-personnel](http://gradstudies.ucdavis.edu/faculty-staff/academic-personnel).

#### Appointment Regulations

##### *Responsibilities*

The hiring department must certify that all of the appropriate student status and eligibility conditions have been met before a student is appointed to an academic position.

##### *Grade Point Average*

The minimum grade point average is 3.0 for a graduate student academic appointee.

##### *Registration Status*

A student on Filing Fee status may be appointed for one quarter only. Otherwise, graduate students with academic titles must be registered full-time.

##### *Transferring to a Staff Title*

A student employed under a student academic title may not be transferred to a staff title as a way of avoiding registration requirements.

### *Maximum Length of Service*

A graduate student may receive a total of 21 quarters appointment in a research title and a total of 18 quarters in a teaching title. Summer appointments are excluded from these limits. These limits are absolute and no exceptions will be granted.

### Exceptions to Academic Appointment Regulations

The Dean of Graduate Studies will review any requests for appointments that do not meet appointment regulations, including employing self-supporting or professional students. Such requests must be well justified and, if approved, will generally be for only one quarter at a time.

Exceptions may be made based on a student's exceptional teaching or research skills or promise, or a distinctive opportunity for academic career advancement. Requests for exceptions will not be granted if there is a benefit to the hiring unit but not to the student.

Please use the Petition for Exception to Policy for Graduate Student Appointment (GS317) ([gradstudies.ucdavis.edu/files/current-students/g317-petition-exception-to-policy.pdf](http://gradstudies.ucdavis.edu/files/current-students/g317-petition-exception-to-policy.pdf)) for requests to exception.

### Tax Withholding for Academic Appointments

As of April 1, 1995, all graduate students with academic appointments may be subject to FICA (Social Security) and Medicare withholding. The IRS clarified the student employee exemption from FICA taxes under section 3121 (b)(10) of the Internal Revenue Code.

### *Students Who Must Have Tax Withholding*

Students on Filing Fee status do not satisfy the registration tests and are therefore subject to tax withholding.

Student employees who do not satisfy both tests are subject to withholding and are required to contribute 7.5% of their gross earnings to the Defined Contribution Plan (DCP) in lieu of Social Security contributions. They must also contribute 1.4% to Medicare.

## Types of Fellowships

### General Fellowship Information

Internal Fellowships are funds administered by UC Davis and include:

- graduate program fellowship allocations: fellowship funds allocated to graduate programs,
- travel awards: offered twice per year in October (for travel from July- June) and March (for travel from January - December), and
- competitively awarded campus-wide fellowships. These generally carry the name of a donor or individual being honored.

External fellowships are offered by agencies outside UC Davis such as non-profit organizations, state and federal governments, and private foundations.

## Restricted Endowment

Restricted endowments are gifts to UC Davis, processed by Graduate Studies, for fellowships targeted to specific student populations.

## **Graduate Program Fellowship Allocation (GPFA)**

Graduate programs receive an allocation of funds to award fellowships to new and continuing students.

### Restrictions on GPFA Funds

These funds are restricted for use toward a student's living allowance (stipend), tuition and fees, and/or nonresident supplemental tuition fellowships. GPFA fellowship funds cannot be used to bring students to campus for pre- or post-admissions recruitment visits, research costs, or to fund student academic appointments such as research and teaching assistants. No expectation of student research or student teaching effort can be tied to these fellowship funds.

### Types of Graduate Program Fellowship Allocation Fellowships

Fellowship funds can be awarded as:

- stipend fellowships (living allowance),
- tuition and fee fellowships, or
- nonresident supplemental tuition fellowships.

#### *Stipend Fellowships (Living Allowance)*

The stipend fellowship (living allowance) can be awarded in one to twelve month increments between July 1 and June 30. Before a payment is issued, the student must be registered, enrolled, and have paid for their tuition as well as any associated fees.

Payment Schedule – Graduate program fellowship allocation award payments are on the same schedule as teaching or research employment pay. For example, an October stipend is paid on November 1. One-time payments may be issued when the total stipend is less than \$3,000. The graduate program may waive this \$3,000 limitation with the understanding that Graduate Studies will not recover such stipends if the student fails to enroll for the subsequent term. When a program chair wants an exception to the \$3,000 limit, he/she must file a One-time Payment Agreement (GS505) form ([gradstudies.ucdavis.edu/faculty-staff/student-financial-support/graduate-program-coordinator-resources](http://gradstudies.ucdavis.edu/faculty-staff/student-financial-support/graduate-program-coordinator-resources)) with Graduate Studies and have it annually updated.

Payment Process – Domestic students, including residents and nonresidents of California, are paid through Student Accounting. International students are paid through payroll. Graduate Studies will notify the department of the required PPS entry for students paid through payroll.

#### *Nonresident Supplemental Tuition Fellowships*

These awards may cover part or all of the cost of a student's nonresident tuition. New and continuing international students are eligible for this award.

U.S. citizens and permanent residents are ineligible for NRST fellowships after their first year at UC Davis because they are expected to become California residents. Students must immediately begin the process of establishing residency to avoid missing the required deadlines. For a complete list of these deadlines, visit [registrar.ucdavis.edu/tuition/residence](http://registrar.ucdavis.edu/tuition/residence).

## Procedure for Awarding Graduate Program Fellowships

### *Application Process*

Each graduate program should develop its own internal application process for graduate program fellowships. Programs may also develop unique graduate program fellowship applications. The program should instruct students to submit their applications directly to the graduate program, not to Graduate Studies.

### *Review and Nomination*

Students should send their applications and supporting materials directly to their graduate program. The program staff should prepare all materials to be reviewed by the fellowship committee. The fellowship committee will rank applicants and award fellowships.

### *Notification of Awards*

Graduate programs should send the award letters directly to students. The award letter must specify the following information:

- student's full name and ID number,
- date of letter,
- specific name of fellowship,
- type of fellowship,
- award amount,
- method of payment,
- effective period of award, and
- program contact information.

Graduate Program award letter should not refer student questions to Graduate Studies.

When sending award letters to students, graduate programs must enclose copies of the following documents:

- for offers to all students: Regulations for Graduate Students Receiving Fellowships
- for offers to prospective students: Council of Graduate Schools Resolution

The Regulations for Graduate Students Receiving Fellowships includes important language such as: "It is the student's responsibility to immediately report to their graduate program, and to the agency that is providing them with financial support, the receipt of an offer of additional funding." Referencing the regulations allows the graduate program to cancel or reduce funding to accommodate alternate financial support. For example, the tuition and fee remission benefit of a new GSR or TA appointment supersedes a previous tuition and fee fellowship offer.

TA/GSR appointments are not considered fellowships. These appointments should not be listed as separate forms of support on fellowship award letters. Sample GSR and sample TA appointment letters can be found on our website at [gradstudies.ucdavis.edu/faculty-staff/student-financial-support/award-letter-best-practices](http://gradstudies.ucdavis.edu/faculty-staff/student-financial-support/award-letter-best-practices).

Please see our website for these documents and award letter best practices:  
[gradstudies.ucdavis.edu/faculty-staff/student-financial-support/award-letter-best-practices](http://gradstudies.ucdavis.edu/faculty-staff/student-financial-support/award-letter-best-practices).

### *Timeline for Student Response*

In accordance with the Council of Graduate Schools resolution that has been endorsed by virtually all universities in the country, prospective students have until April 15 to accept or decline their financial support award offer. However, when a program offers an award on March 16 or later, the award letter must indicate that the student has 30 calendar days to accept the award.

Before an award payment will be issued, the student must be registered, enrolled full time, and have all fees paid.

### *Tax Regulations*

For information regarding tax regulations, award recipients should visit a commercial tax consultant or review the following form, Regulations for Graduate Students Receiving Fellowships, at [gradstudies.ucdavis.edu/files/current-students/g501-fellowship-regulations.pdf](http://gradstudies.ucdavis.edu/files/current-students/g501-fellowship-regulations.pdf).

### **Awards and the Cost of Tuition and Fees**

Awards may cover the full or partial cost of tuition and fees for the upcoming year. For the current tuition and fee structure, please visit the Budget and Institutional Analysis website at [budget.ucdavis.edu/studentfees](http://budget.ucdavis.edu/studentfees).

### *Tuition and Fee Changes and Fellowships*

The graduate program fellowship award letter should clearly describe how a change in tuition and fees could affect a student's fellowship. For example, if the program awards a student "full tuition and fees," the letter should indicate how the fellowship will be affected if the student receives a TA appointment. In such a case, TA appointment will cover a portion of the tuition and fee costs, and the fellowship will be reduced to a corresponding amount. The reduction in fellowship funds awarded will be returned to the fellowship source and will not generate a student refund.

### *Student Health Insurance and Fellowships*

Student health insurance is charged to a student's account every quarter. Students who opt out of health insurance will have their tuition and fee charges reduced by this amount. The student's tuition and fee fellowship will be reduced accordingly. Students should not expect to receive the difference between the full amount and the reduced amount of their tuition and fee fellowship because the account that originally paid for the insurance is credited for the refund.

## **Important Dates to Remember for All Financial Aid**

- March 2** This is the priority deadline for students to file a FAFSA. Students may file the FAFSA after this date, but will not receive a Graduate Studies award until the FAFSA is on record. All domestic graduate students must file the FAFSA to receive graduate program fellowship allocations fellowships or internal fellowships.
- April 15** The Council of Graduate Schools, including UC Davis, approved a resolution that students are under no obligation to respond to offers of financial support prior to April 15 ([https://gradstudies.ucdavis.edu/files/facstaff/cgsresolution\\_rev2015.pdf](https://gradstudies.ucdavis.edu/files/facstaff/cgsresolution_rev2015.pdf)). Therefore, programs may withdraw a fellowship offer in writing if a student has not

accepted the award by this specified date. The following statement must be included in the offer letter: “Failure to respond by April 15 will be interpreted as a declination and this award may be withdrawn.”

If the deadline does not fall on a weekday, the deadline will be extended until the following business day. Award offers made on March 16 or later should indicate that students have 30 calendar days to accept their award.

*September 19* Graduate program fellowship allocation awards must be entered into Banner by using GradTrack\$, the graduate award tracking system, before fall fees are due and Graduate Financial Aid begins to package need-based awards.

## Eligibility for Graduate Studies Fellowship Awards

### Registration Requirements

To be eligible, students must be registered, enrolled, and maintain a minimum of 12 units. Students who do not meet the minimum unit requirement are subject to withdrawal of their award. Students on PELP or Filing Fee status do not meet the registered status requirement.

### Minimum GPA Criteria

A student’s GPA must be at least 3.0 for a living allowance/stipend fellowship, a tuition and fee fellowship, or a nonresident supplemental tuition fellowship. Students who do not meet the minimum GPA requirement are subject to withdrawal of their award.

### Changes in Awards

Changes to an award must be entered into Banner by using GradTrack\$. In addition, graduate programs must notify their students in writing of any changes to their awards. The program must have the student and program chair sign an acceptance of such changes. These signatures must be maintained in the program’s files.

## Graduate Student Appointments

### Tuition and Fee Remissions

Students who have a minimum 25% appointment as a Graduate Student Researcher (GSR) or Academic Student Employee (TA, Reader, Tutor, Associate\_\_In) will have all or a portion of their tuition and fees paid through remission. Remission details can be found at [gradstudies.ucdavis.edu/current-students/employment/tuition-and-fee-remission](http://gradstudies.ucdavis.edu/current-students/employment/tuition-and-fee-remission).

If a tuition and fee fellowship or NRST fellowship was awarded in GradTrack\$ prior to the initiation of the appointment in PPS, the fellowship award will block the remission. Graduate Studies will contact the program to remove the award so the tuition and fee remission can post appropriately.

For current tuition and fee remission amounts, go to [afs.ucdavis.edu/our\\_services/student-accounting/for-departments/remission-fees.html](http://afs.ucdavis.edu/our_services/student-accounting/for-departments/remission-fees.html).



## **Nonresident Supplemental Tuition Remission**

As of Fall 2004, NRST remission is a non-taxable benefit to all eligible GSRs. The cost of nonresident supplemental tuition remission is charged as a direct cost to the fund source that supports the eligible GSR's salary.

### *Diversion to Another Fund Source*

When the salary fund source of a GSR appointment does not allow for payment of NRST, it is the responsibility of the hiring department to initiate a diversion of the remission to an allowable fund source. The hiring department may divert the remission only if one of the following circumstances apply:

1. If a granting agency, or a specific fund source, requires a student be hired as a GSR, but does not permit NRST to be charged, the NRST remission must be diverted to a program-controlled fund source where NRST remission is allowable (e.g., gift account, research and education fund, indirect cost return fund, etc.). Information regarding agencies that do not permit payment of NRST is available from the Sponsored Programs Office. Most prominent on this list are awards from state agencies (CalTrans, California Water Resources Board, etc.) and some USDA awards (structured as cooperative agreements); or
2. If a student is hired as a GSR on a non-federal fund source and the budget is insufficient to fund NRST remission, that expense may be diverted to another allowable non-federal fund source where NRST remission is allowable (e.g., gift account, research and education fund, indirect cost return fund, etc.). It is the responsibility of the P.I. to budget NRST for a reasonable number of the GSRs supported on any grant application.

If either of these circumstances apply, the hiring department must follow the instructions found at [gradstudies.ucdavis.edu/faculty-staff/academic-personnel/tuition-and-fee-remission/diverting-nrst-remission](http://gradstudies.ucdavis.edu/faculty-staff/academic-personnel/tuition-and-fee-remission/diverting-nrst-remission). If neither of these circumstances is applicable, then the NRST may not be diverted from the salary fund source.

## **Academic Student Employees: Teaching Assistant (TA), Reader, Tutor, Assoc\_In Appointments**

### *Tuition and Fee Remission*

ASE appointments of 25% or greater are eligible for partial tuition and fee remission. The benefit for tuition and fee remission includes 100% of the tuition, Student Services Fee and the Davis SHIP Fee; NRST and campus-based fees are not included in the remission benefit for ASE appointments. However, nonresident students with ASE appointments will receive a \$408 payment toward a portion of nonresident supplemental tuition. For additional information, go to [afs.ucdavis.edu/our\\_services/student-accounting/for-departments/remission-fees.html](http://afs.ucdavis.edu/our_services/student-accounting/for-departments/remission-fees.html).

## **General Regulations for Fellowships**

Fellowship awards are a mark of honor, based primarily on scholarship and promise of outstanding academic and professional contribution.

### Criteria for Evaluating the Application

When applications are evaluated, the program should give consideration to: the extent and quality of the student's previous undergraduate and graduate work, evidence of intellectual capacity, and promise of productive scholarship.

The following items should be included in the evaluation:

- graduate GPA (if applicable),
- academic transcripts,
- GRE scores (for entering students only),
- statement of purpose,
- letters of recommendation, and
- other documentation, such as publications and awards.

The minimum GPA is 3.0 for fellowships.

### Fellowships that Include Research and Travel Funds

If a fellowship includes research or travel funds, those funds are transferred to the student's graduate program. Students must submit their receipts for all allowable expenses to their graduate program.

#### *Fellowships that Include Research Funds*

Research funds may only be used for specific needs that are vital to the success of the student's research. Allowable expenses may include: laboratory supplies, office supplies, photocopies, and equipment.

For more information, go online to see the *UC Davis Policy and Procedure Manual*, section 350-21 "Departmental Purchase Delegations" at [manuals.ucdavis.edu/ppm/350/350-21.html](http://manuals.ucdavis.edu/ppm/350/350-21.html).

#### *Fellowships that Include Travel Funds*

Travel funds may be used for transportation expenses, registration, incidentals, meals, and lodging related to the student's scholarly work. For more information, go online to see the *UC Davis Policy and Procedure Manual*, section 300-10 "Travel Policy Overview" at [manuals.ucdavis.edu/ppm/300/300-10.pdf](http://manuals.ucdavis.edu/ppm/300/300-10.pdf).

### Financial Need and Fellowships

If a fellowship is based on academic merit, then financial need or the availability of other sources of support is not relevant to evaluation for that fellowship.

For some fellowships, financial need may be a specific criterion. Financial need is a component of the eligibility criteria for all forms of financial aid, including work-study.

#### *FAFSA and the California Dream Act Application*

To be considered for any form of financial aid, students must file either the Free Application for Federal Student Aid (FAFSA) ([fafsa.ed.gov](http://fafsa.ed.gov)) or a California Dream Act Application ([dream.csac.ca.gov](http://dream.csac.ca.gov)). Both applications are free, and can be submitted before students receive their admission notice. We encourage students to apply in January, when the applications become available.

## Restricted Endowment Internal Fellowship Application Instructions

To be considered for a restricted endowment fellowship, a student must submit an Internal Fellowship Application ([gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/application-and-descriptions](http://gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/application-and-descriptions)).

### Application Components

All applications must have a statement of purpose. Only new students may use their statement of purpose from the admissions application for their fellowship.

In the internal fellowship application, students must check off all of the fellowships for which they are eligible and explain how they are eligible. This section must be completed in order to be eligible for review.

Students should complete their applications online. They must include all required documents before submitting their application. Incomplete or late application packets will not be reviewed.

### GRE Scores Required

Applicants to programs that require GRE scores must have their scores reported electronically from ETS to UC Davis.

### *Exception to the GRE Requirement*

Applicants for the M.F.A. degree in Art, Dramatic Art, or Textile Arts and Costume Design are not required to submit GRE scores for fellowship applications.

### Required Letters of Recommendation

Students should have their recommenders send letters directly through the fellowship application site. A recommender may require that the student waive access to the letter by using the Waiver of Access form provided in the online application.

### Required Transcripts

For prospective students applying for fellowships, the transcripts required for the application for admission are used in the fellowship evaluation process. Continuing UC Davis students do not need to submit transcripts when applying for Internal Fellowships.

### Internal Fellowship Deadlines

- |                    |  |
|--------------------|--|
| <i>December 1</i>  | Fellowship applications submitted through the online system are due from <u>continuing</u> students.   |
| <i>December 15</i> | Graduate programs forward nominations for <u>continuing</u> students to Graduate Studies through Graduate Applications Review Database (GARD). |
| <i>January 15</i>  | Fellowship applications submitted through the online system are due from <u>entering</u> students.   |
| <i>February 5</i>  | Graduate programs forward nominations for <u>entering</u> students to Graduate Studies through GARD.   |

- Early March* Graduate Studies begins sending first-round offer letters to entering students. Copies are sent to graduate programs.
- April 15* Final date for entering students to accept or decline first-round fellowship award offers. Must be done in writing.

## Fellowship Review and Nomination

Eligible applications are submitted to the program fellowship committee for nomination and ranking. Graduate programs should schedule fellowship committee meetings well in advance of the program deadline to ensure sufficient application review. Applicants must be nominated by their graduate program to be considered for fellowships.

Nominations are submitted to Graduate Studies through GARD. The Graduate Council's Committee on Support reviews most fellowship nominations.

Fellowships are available to international students, unless the fellowship is identified as being only open to U.S. citizens or permanent residents.

## Fellowships to Support Campus Diversity

For descriptions and criteria for fellowships, go to Graduate Student Fellowship Eligibility Criteria and Award Information found at [gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/about](http://gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/about).

## Student Travel Awards for Professional Meetings

### Eligibility for Travel Awards

Students who are at or near the completion of their studies and have not previously received this award are eligible if they have been officially accepted to a meeting where they will present their original research.

The recipient must be in good academic standing and is required to maintain a minimum 3.0 GPA. Applicants must be registered graduate students; students on PELP are ineligible. However, students on Filing Fee status may apply. Travel must take place prior to the student submitting their thesis or dissertation.

### Travel Award Amounts

Award amounts vary depending on the destination of travel. Any expenditure allowable under the UC Davis Policy and Procedure Manual on the Travel Expense Voucher is reimbursable. Please find more information on our travel awards at [gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/travel-awards](http://gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/travel-awards).

Disabled students whose disabilities require a personal attendant may also request an award for the attendant's travel expenses.

For application due dates, procedures, and other related information, go to [gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/travel-awards](http://gradstudies.ucdavis.edu/current-students/financial-support/internal-fellowships/travel-awards).

## External Grants and Fellowships

External fellowship and grants are available from a variety of outside agencies, including private foundations, nonprofits, state, and federal sources. Graduate students are encouraged to seek external funding for their education support and research needs.

### Application Procedure

#### *Extramural Fellowship Application Procedure*

Graduate Studies is responsible for the review and approval of proposals to external agencies, government institutions, private foundations, etc., submitted by graduate students and postdoctoral scholars who are listed as the principal applicant or principal investigator (PI). In addition, Graduate Studies is the authority to approve applications if the primary purpose of the funding entity is to support graduate student or postdoc scholar stipend/salary (no faculty support is listed). For example: National Science Foundation Doctoral Dissertation Research Improvement Grant (NSF DDRIG), NSF Doctoral Dissertation Improvement Grant (NSF DDIG), NASA Earth and Space Science Fellowship (NESSF).

Applications requiring institutional review or signature of an officer or official of the university must be routed to [externalfellowships@ucdavis.edu](mailto:externalfellowships@ucdavis.edu) with the External Fellowship/Grant Application Data Form (GS500) and any applicable conflict of interest and compliance forms. Please see: [gradstudies.ucdavis.edu/current-students/financial-support/external-fellowships/apply-external-fellowship](http://gradstudies.ucdavis.edu/current-students/financial-support/external-fellowships/apply-external-fellowship). Please allow for five business days from the agency due date for review and approval/submission of proposals.

The Graduate Studies fellowship/grant adviser will review the application for completeness, checking that the information is consistent with the requirements of the agency, and is acceptable to the mission and policies of the university. If requirements are met, the application will be approved. Students and programs are responsible for pick-up and mailing of applications (unless institutional submission is required).

Note: Some institutional submissions require an earlier campus deadline as posted at the time of announcement. Examples: IIE U.S. Student Fulbright Program, USDE Fulbright-Hayes Doctoral Dissertation Research Abroad Program, and the UC MEXUS Dissertation Research Program. More information may be obtained at [gradstudies.ucdavis.edu/current-students/financial-support/external-fellowships/apply-external-fellowship](http://gradstudies.ucdavis.edu/current-students/financial-support/external-fellowships/apply-external-fellowship).

### Research Requiring Special Protocol

If the student's research involves the use of hazardous materials, vertebrate animals, human subjects, or boat use, the student should contact the appropriate office listed below for protocol procedure:

- UC Davis Safety Services: [safetyservices.ucdavis.edu](http://safetyservices.ucdavis.edu)
- Human Research Protection (IRB): [research.ucdavis.edu/policiescompliance/irb-admin](http://research.ucdavis.edu/policiescompliance/irb-admin)

### Matching Commitments for External Fellowships

Matching commitments refers to the use of campus funds to supplement graduate student support that is provided by an external sponsor. With increasing frequency, external agencies are limiting the amounts of the tuition and fee payments that are provided. Thus the primary purpose of the Graduate Studies matching commitment policy (GS2012-01)

([gradstudies.ucdavis.edu/files/facstaff/policy\\_on\\_matching\\_commitments\\_for\\_external\\_fellowships\\_april\\_2014\\_2.pdf](http://gradstudies.ucdavis.edu/files/facstaff/policy_on_matching_commitments_for_external_fellowships_april_2014_2.pdf)) is to address this shortfall. Matching commitments are usually arranged by graduate program staff. Contact Graduate Studies on the student's behalf by using the Matching Commitments for External Fellowship Form (GS517) ([gradstudies.ucdavis.edu/files/facstaff/g517\\_-\\_external\\_fellowship\\_matching\\_commitment\\_request\\_form.pdf](http://gradstudies.ucdavis.edu/files/facstaff/g517_-_external_fellowship_matching_commitment_request_form.pdf)).

### **External Fellowship and Grant Search Engines**

Graduate Studies compiles a comprehensive list of major external fellowship and grants, as well as fellowship search engines, writing guides, and other resources available at [gradstudies.ucdavis.edu/current-students/financial-support/external-fellowships](http://gradstudies.ucdavis.edu/current-students/financial-support/external-fellowships).

## **Tax Information for Graduate Students**

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This section is intended to introduce tax rules applicable to recipients of scholarships and fellowships. The University of California does not provide tax advice. Students should contact a personal tax advisor with any questions or concerns.

### **Forms**

#### **Tuition Statement: Form 1098-T**

The university is required to file a Form 1098-T (Tuition Statement) information return to the IRS for most students. The amounts reported on the 1098-T are a summary of a student's qualified tuition and related expenses, as well as any scholarships and fellowships the student received. Students may use this information when calculating their higher education tax credit or deduction amount. However, it is students' personal financial records that serve as the official supporting documentation for their federal income tax return. 1098-T statements are mailed directly to students by Affiliated Computer Services, Inc. (ACS), a company that provides tax credit reporting services for UC Davis. If a student does not receive a 1098-T, that student may access his/her student-specific data directly from ACS at [1098-t.com](http://1098-t.com).

#### **Employment statement: W-2**

Students employed by the University will receive a W-2, which is a report of salary or wage income, and includes any federal, state, or other taxes that have been withheld. For example, Graduate Student Researchers and Teaching Assistants who received a paycheck, will receive a W-2 from the payroll department. More information on the W-2 can be found on the payroll services website at [afs.ucdavis.edu/our\\_services/payroll-services/employee-resources/w-2-information.html](http://afs.ucdavis.edu/our_services/payroll-services/employee-resources/w-2-information.html).

### **Agencies and Resources**

#### **The Internal Revenue Service (IRS)**

The IRS is the United States tax collection agency and administers the Internal Revenue Code enacted by Congress. The Tax Reform Act of 1986 makes taxable: scholarships, grants, fellowships, traineeships and other forms of gift aid that exceed the costs of tuition, fees, required books and supplies. If the students received income, they may be required to file two income tax returns: federal and state. Each

year, the IRS updates Publication 970, Tax Benefits for Education. Students should check the website each year for the most updated version of the publication and for additional information at [irs.gov](https://www.irs.gov).

### **National Association of Student Financial Aid Administrators (NASFAA)**

NASFAA provides an annual guide on federal tax benefits for higher education. More information is available on their website: [nasfaa.org/Tax\\_Breaks\\_Help\\_You\\_Save](https://nasfaa.org/Tax_Breaks_Help_You_Save).

### **Accounting and Financial Services at UC Davis**

Updated tax information and resources for UC Davis students, resident and non-residents, can be found on the Accounting and Financial Services website at [afs.ucdavis.edu/our\\_services/student-accounting/tax-information/index.html](https://afs.ucdavis.edu/our_services/student-accounting/tax-information/index.html).

### **Services for International Students and Scholar (SISS)**

SISS at UC Davis has additional tax assistance and resources for international students, available at [siss.ucdavis.edu/resources/resources-everybody/taxes/filing\\_resources.html](https://siss.ucdavis.edu/resources/resources-everybody/taxes/filing_resources.html).