

Submit materials to:

Graduate Division
120 Aldrich Hall
Zot Code 3180
alanders@uci.edu
(949) 824-1244

ADVANCEMENT TO CANDIDACY – PH.D. DEGREE

STUDENT

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

Student Name: <u>Anteater</u> <u>Peter</u> <u>P.</u>	Student ID Number: 12345678
Last First Middle	
Student Phone: (949) 824-5788	Student E-mail Address: panteater@uci.edu
Home Department: Economics	
Name of Degree: Ph.D. in Economics	Specific Field of Study: Economics
Term Expected to Complete Ph.D. degree requirements: <input checked="" type="checkbox"/> Fall <input type="checkbox"/> Winter <input type="checkbox"/> Spring <input type="checkbox"/> Summer	2015 Year

CANDIDACY COMMITTEE

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

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

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

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

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

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

(continued on next page)

CASHIER'S OFFICE USE ONLY

084 220090-19900 (\$25)

083 220078-20078 (\$65)

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

<u>Name</u>	<u>Academic Unit</u>
Professor #1	Economics
Professor #2,	Economics
Professor #3	Economics

DEPARTMENT

Language Requirement _____ Date Passed: _____
(Language)

Student has completed degree requirements:

Yes No Other _____
(Please explain)

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

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

GRADUATE DIVISION

Advanced to Candidacy _____
Date Quarter/Year

Approved by _____
Dean of the Graduate Division Date

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

STATEMENT ON CONFLICT OF INTEREST FORM

This form must be completed and signed prior to convening a student committee for an advancement to candidacy examination. The complete policy and implementation procedures are described on the ORA website (<http://www.research.uci.edu/ora/coi>) and in Appendix 12 of the Irvine Senate Manual (<http://www.universityofcalifornia.edu/senate/manual/>). If a conflict of interest related to this policy is identified, you must follow these procedures to ensure the integrity of the process. **Your signature is required prior to submission of this form to the Graduate Division. It will signify that you have read -- and where warranted, have complied with -- the policy. If you have any questions, please call the Director of Admissions & Enrolled Student Services, 949-824-5879.**

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

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

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

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

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

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

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

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

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

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

Faculty Thesis Advisor/Date

Department Chair/Date

Graduate Student/Date