

Submit materials to:

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

UCIRVINE | GRADUATE
DIVISION

**ADVANCEMENT TO CANDIDACY/
FINAL REPORT FOR THE MASTER'S DEGREE/
COMPREHENSIVE EXAM OPTION**

DEPARTMENT

Please complete this form, obtain authorizing signatures, and return the completed form to the Graduate Division (120 Aldrich Hall) for processing. Note: Prior to convening a Thesis committee for the general exam, students pursuing the Thesis Option must complete the Statement on Conflict of Interest form (p. 3 of this packet).

This Application for Advancement to Candidacy must be completed, signed and submitted to the Dean of the Graduate Division by the quarterly [deadline](#). Per [University policy](#), students must be advanced to candidacy for their degree prior to the beginning of the final quarter of enrollment. Please complete all sections below with the student's plan of work. If courses are *to be completed*, indicate expected quarter (e.g., W09). After Advancement to Candidacy has been processed and approved, this form will be returned to the academic unit. For students earning a Master's degree by comprehensive exam option, when all requirements for the degree have been satisfied, the conferral must be signed by the department chair and Associate Dean (if required) and forwarded to the Dean of the Graduate Division along with the Master's Exit Survey confirmation. If the student has satisfied all requirements except for satisfactory completion of final degree coursework the department may complete the certification prior to receipt of final grades, but these students will be considered provisional until satisfactory final grades have been recorded.

Student Name:

Last

First

Middle

Student ID Number:

Student Phone: () -

Student E-mail Address:

Mailing Address

City

State

Zip Code

Degree Title:

Department/
Program:

Degree Title:

(e.g., M.S. in Chemistry, M.A. in History)

Master's Plan Option(check one):

☐

Plan I (Thesis)

☐

Plan II (Comprehensive Exam)

Degree expected to be awarded(check one):

☐

Fall

☐

Winter

☐

Spring

☐

Summer

Year

REQUIRED COURSES

(Do Not Use Course Codes, Course Numbers Only)

ELECTIVE COURSES

(Do Not Use Course Codes, Course Numbers Only)

Department	Course Number	Units	Quarter/Year(s)

Department	Course Number	Units	Quarter/Years(s)

I understand UCI's Advancement policy for the Master's Degree, and the above is an accurate representation of my coursework.

Student Signature

Date

Units Completed At Advancement:

Members of Thesis Committee (please print name)

(Chair)

Oversight Member(if required)

Upon satisfactory completion of the work indicated, and the thesis and/or comprehensive exam, the student will have met the requirements for this degree

Department Chair or Graduate Advisor (Signature)

Date

Associate Dean

Date

(Required for: Biological Sciences, Engr., Humanities, Medicine, Social Ecology, Social Science & ICS)

**GRADUATE
DIVISION**

Advanced to Candidacy _____ approved by _____
Date Quarter/Year Dean of the Graduate Division Date

**DEPARTMENT:
CONFERRAL OF DEGREE**

After all requirements have been satisfied for the Master's comprehensive exam and the Master's Exit Survey confirmation e-mail <https://apps.grad.uci.edu/exitsurvey/> has been collected by the department, this section is to be completed in the academic unit and signed by the Department Chair and Associate Dean (if required). **DO NOT SEND THIS FORM FOR FINAL DEGREE CONFERRAL FOR MASTER'S THESIS STUDENTS.**

Is the student continuing next quarter to pursue the doctoral degree at UCI? ☐ Yes ☐ No
(If no please make sure the student submits a change of degree level form)

Language Requirement: _____ Date Passed: _____
(language)

Date Comprehensive Exam Passed: _____

Master's Exit Survey confirmation e-mail attached: ☐ Yes Date: _____
(Please note: The final degree paperwork submission is not complete and will be sent back if submitted without the verification e-mail attached.)

Total Number of Acceptable Units Completed: _____

Graduate Grade Point Average: _____

Department Chair _____
Print Name Signature Date

Associate Dean _____
Print Name Signature Date
(Required for: Biological Sciences, Engr., Humanities, Medicine, Social Ecology, Social Science & ICS)

GRADUATE DIVISION

Degree conferred: ☐ Fall ☐ Winter ☐ Spring ☐ Summer _____
Year

Dean of the Graduate Division or designate _____
Signature Date

Student's Name: _____

STATEMENT ON CONFLICT OF INTEREST FORM

This form must be completed and signed prior to convening a student's committee for an advancement to candidacy examination. The complete policy and implementation procedures are described in Appendix 12 of the Irvine Senate Manual (http://www.senate.uci.edu/senatweb/default2.asp?active_page_id=760). 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 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.

Graduate Faculty Advisor / Date
UCI Graduate Division

Department Chair / Date

Graduate Student / Date

Revision date: 05/05/2020
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The Master's Degree

Residency Requirements

A minimum of three quarters in academic residence is required prior to the award of most master's degrees, including the Master of Arts in Teaching (MAT) and the Master of Advanced Study (MAS) degrees. Six quarters in academic residence are required for the Master of Fine Arts degree programs (with the exception of Art and Drama, which requires nine quarters) and the M.B.A. program in the Paul Merage School of Business. A minimum period of study of one quarter in residence must intervene between formal advancement to candidacy and the conferring of the Master's degree (SR 682).

Curricular Requirements

The requirements listed herein are the minimum required by the University of California. Most master's degree programs require additional work. Detailed information on specific degree requirements can be found in UCI's Graduate Policies & Procedures handbook, and on individual department websites. Students are responsible for fulfilling requirements in effect the year in which they are admitted. Under certain circumstances, the student, with the written approval of the faculty advisor and school's associate dean for graduate affairs, may opt to accept the new requirements. In such cases, the academic unit must notify the Graduate Division in writing of the change in order that the student's records correctly identify the new requirements.

The following regulations of the Academic Senate, Irvine Division, apply to curricular requirements for students in Master's programs.

a. **Coursework Requirements and Thesis and Examination Options**

(Irvine Regulations [IR] 805/810/830/835) <http://www.senate.uci.edu/manual/toc/Part2Chapter3.asp>

1. (IR) 805 Master's Degree Options

The master's degree is attained by one or two routes: **Plan I**, the **Thesis option**, and **Plan II**, the **Comprehensive Examination** option. A program may adopt one or both plans with the approval of the Graduate Council. Each of these plans has minimal coursework requirements. Programs may also impose additional requirements. With the approval of the Graduate Council, a program may provide for appropriate alternatives to the thesis and/or comprehensive examination requirements which are described in IR 830 and IR 835.

2. (IR) 810 Course Requirements

The minimum course requirement for the master's degree is given below. This requirement may be waived or reduced only on the recommendation of the academic unit in which the degree is earned and with the approval of the Dean of the Graduate Division.

Plan I (Thesis)

In addition to the thesis, a minimum of 28 quarter units in approved courses is also required, at least 20 of which must be earned in 200 series graduate-level courses exclusive of credit given for thesis research and preparation. A general examination is also required.

Plan II (Comprehensive Examination)

In addition to the comprehensive examination, a minimum of 36 quarter units in approved courses, at least 24 of which must be from graduate-level courses in the 200 series.

3. (IR) 830 Master's Degree Requirements: Thesis Committee: Plan I

(Approved by Irvine Division May 11, 2000.)

Under Plan I a thesis is required. A committee of three faculty members recommended by the academic unit* and appointed by the Dean of the Graduate Division shall approve the subject, pass on the content of the thesis, and administer the general examination. Usually one of the committee members directs the work.

*Note: Definitions of Academic Unit

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

Thesis Committee Membership

The thesis committee is comprised of three voting members of the University of California Academic Senate -- not necessarily the Irvine Division -- or the equivalent. A majority of the committee, but not necessarily all, shall be affiliated with the program. The Thesis Committee shall approve the subject of the thesis, pass on the content and administer the general examination. Usually, the Chair of the committee directs the work.

Chair: The Chair of the committee must hold a primary or joint academic appointment in the academic unit/program supervising the master's program; no exceptions will be granted for this position.

General Members: Non-voting members of the Academic Senate will be considered for general membership on the committee on an exception-only basis. The Dean of the Graduate Division, on behalf of the Graduate Council, retains sole authority to grant exceptions. All such requests must be submitted in writing by the Chair of the academic unit to the Dean of the Graduate Division two weeks prior to the examination to allow a reasonable time for review.

Oversight Member: If the Chair, Thesis Advisor or other member of the committee has a financial interest in an outside entity that carries the possibility of a **conflict of interest** that is potentially harmful to the academic interests of the graduate student, an Oversight Member must be appointed in addition to the two general members. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role as Oversight Member. See exceptions below for procedures to appoint an Oversight Member.

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

Procedures for Appointing Members to Thesis Committee

The qualifications of all committee members must be evaluated and approved by the academic unit Chair or designee. When the membership of the proposed committee conforms to Senate policy as defined in this regulation, the Dean of the Graduate Division, on behalf of the Graduate Council, may delegate to the academic unit the authority to appoint, evaluate, and approve the committee. When the proposed membership deviates from this policy, as in the case of non-voting Senate members or faculty members from other universities, or in the case of appointment of an Oversight Member, a request for an exception must be submitted in writing to the Dean of the Graduate Division.

Exceptions on Appointments to Thesis Committee

Oversight Member: The Dean of the Graduate Division shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor, and the departmental representative. If these individuals cannot agree on three nominees, the departmental representative (either the graduate advisor or the chair if the advisor is conflicted) will select the nominees. The departmental representative shall submit a written request to appoint an Oversight Member to the Dean of the Graduate Division no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Dean of the Graduate Division will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.

General Member: Non-voting members of the Academic Senate and faculty members holding professorial titles from other universities will be considered for general membership on the committee on an exception-only basis.

Responsibilities

It is the responsibility of the Chair of the academic unit, the Departmental Faculty Advisor, Mentor or Associate Dean for Graduate Affairs as appropriate, and the Chair of the Candidacy Committee: (1) to inform the student regarding the policy on Thesis Committees -- including full disclosure of issues pertaining to possible conflict of interest that is potentially harmful to the academic interests of graduate students; (2) to provide graduate students with a policy statement on such possible conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever event occurs first; and (3) to ensure that these Academic Senate policies are followed.

4. (IR) 835 Comprehensive Examination (Plan II)

A final comprehensive examination, the nature of which is to be determined by the academic unit and approved by the Graduate Council, is required of candidates following Plan II. The content of the exam represents a capstone requirement that integrates the intellectual substance of the program.

b. *Advancement to Candidacy*

Senate Regulation 320

Graduate students are such graduates of the University (or of other institutions empowered to confer like degrees on an equivalent basis) who are pursuing advanced or special studies under the direction of a Graduate Council. Graduate students may be resident graduates not candidates for a degree, or they may become candidates for higher degrees. All graduate students are considered resident graduates not candidates for a degree, unless admitted to candidacy by a Graduate Council after formal application.

In accordance with University of California policy, students must be advanced to candidacy for their degree prior to the beginning of the final quarter of enrollment. An *Application for Advancement to Candidacy* initiated by the student and approved by the academic unit should be submitted to the Dean of the Graduate Division at least 30 days before the opening of the quarter in which the degree is expected. The *Application* must be accompanied by petitions for any course credits that have not already been approved by the Dean of the Graduate Division. If the master's degree requires a thesis (Plan I), membership of the thesis committee must be included.

Deadlines for submission and approval of the *Application for Advancement to Candidacy* are published on the Graduate Division website (<https://www.grad.uci.edu/academics/filing-deadlines.php>) each quarter. If the candidate is not advanced before the beginning of the quarter in which all requirements are completed, the degree will not be conferred until the end of the following quarter. When the student is formally advanced to candidacy, the student and the academic unit are notified.

c. ***Final Report for the Master's Degree***

It is the graduate program's responsibility to ensure that the course requirements of the graduate program have been met as well as collecting and attaching the Master's Exit Survey <https://apps.grad.uci.edu/exitsurvey/> confirmation e-mail prior to submitting the Final Report for the Master's Degree to the Graduate Division. Academic units are encouraged to consult the *Program Summary* applicable to the student's year of admission for each degree program offered by their graduate department. Substitutions within the graduate student program of study do not need to be approved through the Dean of the Graduate Division unless they affect minimum University and program requirements for the Master's degree.

For students earning a Master's degree by the comprehensive exam option, the *Application for Advancement to Candidacy* is also the form used to certify completion of all degree requirements prior to formal award of the Master's degree. Upon formal advancement to candidacy, the form is returned to the graduate program. The lower section of the form (Conferral of Degree) should be completed as soon as it is possible to certify completion of all requirements. All sections should be completed; if some requirements do not apply, this should be indicated by "Not Applicable" (N/A) in the appropriate space.

If the student has satisfied all requirements except for satisfactory completion of the final quarter's course work, the department should complete the certification, attach the Master's Exit Survey confirmation e-mail and return both to the Graduate Division prior to receipt of final grade reports. The awarding of a "provisional" or "terminal" degree should be indicated by marking the "Yes" or "No" boxes. The Graduate Division will verify final grades with the Registrar. If the Master's Exit Survey confirmation e-mail is not attached at time of degree conferral submission, the degree paperwork will not be accepted and sent back to the department. The department is consulted if there is any doubt about conferral of the degree.