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THE PH.D. IN ENVIRONMENTAL SCIENCE AND MANAGEMENT

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

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

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

THE BREN SCHOOL PH.D. PROGRAM

BREN SCHOOL PH.D. PROGRAM COMMITTEE

The Bren School’s Ph.D. Program Committee is an oversight committee charged with maintaining a top notch Ph.D. program. This requires both excellence in research and satisfied Ph.D. students. The Bren School’s Ph.D. Program Committee includes Bren School faculty members and the Assistant Dean. The Ph.D. students may elect a student representative to attend committee meetings and serve as liaison between the committee and the Ph.D. students.
The Ph.D. Program Committee proposes changes to the Ph.D. program to facilitate higher quality research and to support and protect Ph.D. students. If there are issues about the interpretation of rules or situations where you do not feel that your Ph.D. Committee is representing your interests, the Ph.D. Program Committee will mediate. If there is a conflict of interest by a faculty member on the Ph.D. Program Committee, the committee may elect to form an impartial ad hoc committee to address concerns. Some meetings by the Ph.D. Program Committee may be confidential to protect students.

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

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

THE PH.D. ADVISOR

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

REQUIRED COURSES

You will pursue an individual program of study determined in consultation with your Advisor. There are no universally required courses for students in the Bren Ph.D. program and no specific unit requirement for the Ph.D. (Ph.D. students in the EES program are the exception.) However, the University requires that all graduate students must maintain 12 units of credit each quarter. These credits can be obtained through either regular coursework, seminars (595), directed reading and research (596), study for exams (597), or dissertation research or preparation (599). The Ph.D. is not a unit-count degree but a research degree awarded upon demonstration of academic excellence and performance of original research. To this end, you must pass doctoral qualifying examinations to demonstrate mastery of your chosen field and produce a dissertation acceptable to your Ph.D. Committee.

ANNUAL REVIEW

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

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

The report must include:

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

Source of Support

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

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

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

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

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

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

All students will receive a memo indicating their status.
THE PH.D. COMMITTEE

FORMING YOUR PH.D. COMMITTEE

You must form your Ph.D. Committee by the end of the 5th week of the fall quarter of your 2nd year.

The Committee Chair must be a Bren School faculty member. The committee itself must
• be composed of least three members of the University of California Academic Senate.
• include at least two members of the Bren School faculty, at least one of who must have an appointment greater than 0% time.

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

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

PH.D. FORM I – NOMINATION FOR DOCTORAL COMMITTEES

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

On this form, you will list the faculty members who have agreed to be on your committee. Do not list a faculty member unless you have received written confirmation (i.e. via email) that they have agreed to serve on the committee. If one of your Committee members is not UC faculty, it is recommended that you attach that member’s curriculum vita to the Form I.

You must submit this form, to Bren Student Affairs no later than the end of the 5th week of classes of fall quarter of your second year. The Bren School faculty then reviews your Form I. If the faculty approve your committee (by a 2/3 vote), the Ph.D. Coordinator will submit the Form 1 to the Graduate Division.

CHANGES IN DISSERTATION OR COMMITTEE MEMBERS

It is not unusual for the doctoral committee membership to change during the course of a student’s work on the doctorate. If you decide to make changes to your
approved committee, the Graduate Division requires you submit a Form IA – Changes in Thesis or Dissertation Committee. Forms are on the Graduate Division website. http://www.graddiv.ucsb.edu/pubs/
The entire Bren faculty must review and approve any changes at a regularly scheduled faculty meeting. Student Services will submit this form to Graduate Division once it is approved.

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

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

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

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

**COMPREHENSIVE EXAMINATIONS**

**REGISTRATION REQUIREMENTS**

You must be registered the quarter you take qualifying exams.

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

- If you are not registered for spring quarter, you will have to use filing fee status (see below) to file a dissertation.
- You may not take Ph.D. qualifying examinations in the summer unless you register in summer session.
The Graduate Division requires that **three consecutive quarters of residence** must be completed prior to taking the **oral** qualifying examinations.

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

**THE WRITTEN EXAMINATION**

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

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

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

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

1. **Pass**
2. **Conditional Pass** – you must repeat a portion of the written exam or in some way satisfy the deficiencies. The deficiencies must be corrected within 6 months of notification. If for some reason the deficiency cannot be corrected within 6 months (i.e. a class is only offered once a year), you may have up to 12 months to rectify the conditional pass.
3. **Fail** – you must retake the written exam within 6 months of notification. If you fail a second time (or fail the written exam after a conditional pass), the Bren School will recommend that you be dismissed from the Ph.D. program.

You must submit a *Report on Written Exam* form found at Services/Students - PhD

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

No later than **6 months after passing the written examination**, you must prepare a written dissertation proposal that
- describes the dissertation topic,
- summarizes the relevant background literature,
- presents a comprehensive research plan* for your doctoral dissertation, and
- includes a timetable and budget that identifies any financial support essential for preparation of the dissertation.

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

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

The final draft of the proposal should be 15 pages or less and must be submitted to your Committee (and made available to the entire Bren faculty via internal web posting) at least one week prior to your oral examination date. Your Committee can request a change in the page or time limits (for example, if you have an outside member who needs more time). You should be receptive to reasonable deviations in length/time as long as they are communicated well in advance.

The proposal is not formally approved until the oral examination.

THE ORAL EXAMINATION

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

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

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

PH.D. FORM II – REPORT ON QUALIFYING EXAMINATIONS

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

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

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

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

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

ADVANCEMENT PRIVILEGES

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

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

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

DISSERTATION DEFENSE

When you have completed your dissertation to the satisfaction of your Committee, you will give a public lecture on the dissertation. This is part of your Dissertation Defense.

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

It is your responsibility to schedule your Committee members for the Defense. You must also inform the Bren Events Assistant at least two weeks in advance of your Defense so that there is adequate time to secure a room and publicize the event.

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

1. Pass

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

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

It is your responsibility to bring the Ph.D. Form III to your Defense.
REPORT ON FINAL EXAMINATION – PH.D. FORM III


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

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

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

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

FILING FEE

All graduating students must be in a fee relationship with the University (i.e. either registered or using the filing fee). The filing fee is a reduced fee paid (instead of full registration fees) for the quarter a student is completing the last requirements for the degree. The fee is usually equal to 50% of the registration fee.

Paying the filing fee terminates graduate status; therefore Ph.D. students may use it only when in the process of filing their dissertations. If you are registered during the quarter in which you plan to graduate, you do not have to pay a filing fee since you are already in fee relationship with the University. If you are not registered (on leave of absence or lapsed status) during the quarter you plan on graduating, you must pay the filing fee. If you finish during the summer, and you were enrolled during the previous spring quarter, you do not have to pay the filing fee because spring quarter technically lasts until the day before the fall quarter begins. Note: A student cannot be on a filing fee quarter unless they were registered in the prior quarter.

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

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

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

TIMELINE SUMMARY

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

GENERAL INFORMATION

REGISTRATION

When and How to Register
You register for classes at UCSB through GOLD - (Gaucho On-Line Directory)
http://gnet.ucsb.edu/gold/index.asp
Three appointments (passes) are assigned to you. (New students receive only Passes 2 and 3.) Each pass through the system allows you to make changes to your registration record. To determine your appointment times, use GOLD and click on “Registration Information.”

It is your responsibility to keep track of your registration pass times, to enroll in your courses, and to pay your fees by the deadlines posted on the UCSB Academic Calendar: [www.registrar.ucsb.edu/calinfo.htm](http://www.registrar.ucsb.edu/calinfo.htm). Failure to meet the deadlines will result in lapsed student status and costly late fees. If your status lapses, you relinquish virtually all student privileges (University housing, library, student health, employment as a TA, GSR, or Reader). In this event, you must petition Graduate Division for reinstatement. Reinstatement is not guaranteed.

Detailed instructions on how to register for classes can be found on the Bren web site under Academic Programs/Class Schedule: [http://www.bren.ucsb.edu/academics/reg_instructions.asp](http://www.bren.ucsb.edu/academics/reg_instructions.asp).

**Schedule of Classes**

The University publishes a printed schedule of classes available for sale at the UCSB bookstore. However, this schedule is printed many months in advance and is often not 100% accurate for Bren School classes because we may make additions, deletions or changes in time/time/location as opportunities arise to enhance our program. Thus, you should not rely on UCSB’s printed schedule. The official and up-to-date Bren schedule of classes is on the web at [http://www.bren.ucsb.edu/academics/sched.asp](http://www.bren.ucsb.edu/academics/sched.asp) GOLD should also reflect the current schedule.

**Approval Codes**

An approval code is required for courses with restricted registration and/or additions to your schedule *after the first full week* of the quarter. When registering, you will be prompted for this 4-digit code after entering the enrollment code. These codes are course-specific and can be used only once. Approval codes for Bren classes can be obtained by contacting gradasst@bren.ucsb.edu. In many cases, an approval code will be required to enroll in a non-Bren class. If you need an approval code for a non-Bren class, you should talk to the instructor of the course.

**Minimum Number of Units**

Graduate Division expects each graduate student to be enrolled in a minimum of 12 units per quarter; each graduate student must be enrolled in at least 8 units to be eligible for all student privileges (financial aid, student housing, library, student health, GSR/TA/Reader positions).

**Verifying Your Schedule**

You should verify your schedule on GOLD before the end of the 3rd week to make sure it is correct. It is very easy and common for students to make scheduling errors (i.e. registering for the wrong class, forgetting to add or drop a class, etc.) that can result in failing grades on grade reports.
BE SURE TO ALWAYS DOUBLE-CHECK YOUR SCHEDULE!

VARIABLE UNIT COURSES

ESM 595 Registration
ESM 595, Group Studies in Environmental Science and Management, is offered as ESM 595A-595Z and 595AA-595ZZ (double letter 595 courses are restricted to Ph.D. students only). These are seminar courses of limited size in which students typically read literature on a specific topic and meet once a week with the supervising faculty member to discuss the material. The course will have a different letter designation depending on the general areas of focus, for example, ESM 595F focuses on pollution prevention.

ESM 595 can be taken only for an S/U grading option. Additionally, ESM 595 is a variable unit course, i.e., depending on the workload determined by the faculty member, you enroll in 2-4 units -- usually only 2 units. (See the Course Schedule on the web site for the exact unit load for the particular ESM 595 course [http://www.bren.ucsb.edu/academics/sched.asp]).

ESM 596 Registration
ESM 596, Directed Readings and Research, is an independent study course under the supervision of a Bren School faculty member (a faculty member from another department cannot supervise an ESM 596 course). Be sure to check with the professor to determine if an ESM 596 Petition is required; some faculty require that an ESM 596 petition be signed by them. If the Petition is required, please give the signed copy to Student Services.

The ESM 596 Petition is on the Bren School website under Services/Student/ - General Info & Forms: www.bren.ucsb.edu/services/student/ESM596_form.doc.

Registration in ESM 596 requires an “instructor code” that can be found on the Bren School website (http://www.bren.ucsb.edu/academics/sched.asp), the UCSB Schedule of Classes or on GOLD. ESM 596 may be taken for a letter grade or S/U and is a variable unit course. You must discuss the registration options with your sponsoring faculty member, indicate them on your ESM 596 petition, and register appropriately.

ESM 597 & 599
ESM 597, Individual Study for the Ph.D. Examinations, and ESM 599, Ph.D. Dissertation Research and Preparation, are courses for Ph.D. students only. In order to fulfill UCSB’s minimum unit requirement, Ph.D. students who are no longer taking coursework and are studying for their comprehensive examinations should enroll in 8-12 ESM 597 units per quarter until they advance to candidacy. Ph.D. students who have advanced should enroll in 8-12 ESM 599 units per quarter until they complete their dissertation and graduate.

Registration in ESM 597 and 599 requires an “instructor code” that can be found on the Bren School website (http://www.bren.ucsb.edu/academics/sched.asp), the UCSB Schedule of Classes or on GOLD.
Other Variable Unit Courses
The Bren School offers a number of other variable units classes, including but not limited to:

ESM 296 - Advanced Topics in Environmental Management
ESM 297 - Advanced Topics in Environmental Policy
ESM 299 - Advanced Topics in Environmental Science
ESM 430 – Workshops in Environmental Science and Management

For any variable unit class, you must enroll in the number of units announced in the Bren School Schedule of Classes for a particular offering.

ADD, DROP AND OTHER SCHEDULE ADJUSTMENTS

Schedule Adjustment Form
After the 15th day of classes (approximately the 3rd week of the quarter), any changes to your schedule can be made only by completing a Schedule Adjustment form. You must obtain the signatures of the instructor and the Bren School Assistant Dean; the Registrar’s Office will obtain the signature of the Dean of the Graduate Division. You can obtain this yellow form from Student Services, in the student mailroom, or from the Registrar’s Office.

It is very important that you finalize your registration and complete any adjustments before the end of the 3rd week of the quarter to avoid having to complete a Schedule Adjustment Form. Though the Registrar allows graduate students to make adjustments to their schedule until the last day of the quarter, the Bren School may not approve the request after the 3rd week of the quarter.

Schedule Adjustment Fees
Any changes made to your schedule (add/drop a class, grading option change, etc.) after the first week of courses will incur a schedule adjustment fee. The current fee is $3 per alteration, and is billed to your BARC account.

PETITIONS

Bren School Petition
A Bren School Petition form must be submitted to the Bren School Assistant Dean any time you request an exception to a Bren School policy or procedure. The petition form is on the Bren School web site under Services/Student –General Info & Forms.

Graduate Student Petition: Change of Status, Waivers, etc.
Requests involving exceptions to University policy (Graduate Division or Registrar policies) require a Graduate Student Petition. Forms are on the Graduate Division website. http://www.graddiv.ucsb.edu/pubs/

Graduate Student Petition forms are also available at the reception desk in Graduate Division (3117 Cheadle Hall), in the Bren Ph.D. Coordinator’s office and in the
student form files in the student mailroom. The petition should be submitted to Student Services for the Graduate Advisor’s signature (in the case of the Bren School this is the Assistant Dean). The signed petition will be returned to your mailbox. You must take it to the Billing Office (12112 SAASB), pay the $20 processing fee, and submit the form to the appropriate office.

STUDENT STATUS

Academic Standing/Standards of Scholarship

To remain in good academic standing, a student must make timely progress toward degree completion and satisfactorily meet the following standards of scholarship established by the University and campus Academic Senate regulations and Graduate Council rulings:

- Maintain a cumulative GPA of at least 3.0. If your cumulative GPA drops below a 3.0 for one quarter, you will be placed on Academic Probation. If your GPA remains below 3.0 for three consecutive quarters, it is very likely that you will be dismissed from the University.
- Keep your transcript free of excessive unfinished coursework, defined as 12 or more units of Incomplete (I), No Grade (NG), and/or No Record (NR) grades.

Lapsed Student Status

Students who are neither enrolled nor on approved leave are considered to be on “lapsed status” with UCSB. Students who have allowed their status to lapse relinquish all student privileges (financial aid, library, student health, etc.) If you have enrolled, paid student fees, and wish to leave the program, you must officially withdraw from the program and cancel your registration to obtain a full or partial refund. Withdrawal forms can be obtained from the Bren Ph.D. Coordinator or the Registrar’s Office. More information on withdrawing from the University can be found on the Registrar’s web site: www.registrar.ucsb.edu/withdraw.htm.

If you have lapsed status and wish to return to the program, you must petition the Graduate Division for reinstatement or reapply for admission. Reinstatement is not guaranteed.

Leave of Absence

UCSB requires continued registration of all graduate students until completion of all requirements for the degree. In extraordinary circumstances, a student who has registered for and completed at least one quarter and is in good academic standing may petition and be approved for a leave of absence. The circumstances for which students may apply for a Leave of Absence include:

- Documented medical/health difficulties that would reasonably inhibit graduate studies
- Pregnancy/parenting needs for a child up to the age of 12 months or up to the first 12 months of adoption placement in the home
- Family emergencies of an unusual and unanticipated nature
- Military service required by a student’s country
- Research leave to conduct research away from UCSB
More detailed information on leave of Absence Requirements and Petition are in the Graduate Handbook at http://www.graddiv.ucsb.edu/academic/handbook. The leave of absence petition can be found on the Graduate Division website, http://www.graddiv.ucsb.edu/pubs/ and may also be obtained from the Graduate Division front desk (3117 Cheadle Hall). It is strongly recommended that you meet with an Advising Assistant at the Graduate Division to discuss your particular situation. To make an appointment, call the Graduate Division at 805-893-2277.

**International Students – ESL (English as a Second Language)**

At the beginning of the first quarter of registration at UCSB, nonnative speakers of English are required to take both the written and oral portions of the English Language Placement Examination (ELPE). Based upon the results of this exam, students will be (1) exempted from ESL courses, or (2) placed in ESL courses.

**At a minimum,** your ELPE test results should exempt you from ESL 2G: *English Skills Practicum* and ESL 5: *Intermediate Oral Practicum*. Exemption from or completion of ESL 3G: *Graduate Writing* is desirable. If any ESL courses are recommended based on your ELPE placement level, the Bren School highly recommends that you take those courses.

**Establishing California Residency**

Since out-of-state residents must pay tuition in excess of what California residents pay each year, California residency is very valuable. Living in California for more than one calendar year (366 consecutive days) is usually (but not always) sufficient to establish California residency. You should take the necessary steps to establish intent of residency immediately upon arrival in Santa Barbara. Please see the Registrar’s web site for the basic components of the residency determination process: [www.registrar.ucsb.edu/residenc.htm](http://www.registrar.ucsb.edu/residenc.htm).

Your actions during the entire academic year as well as your actions during the summer will affect the determination that is made regarding your residence status for tuition purposes. Students who leave the state or are on a leave of absence or lapsed status must file a residency statement when they return or reapply. The final authority on residency matters rests with the Residence Deputy in the Office of the Registrar. Students may contact the Residence Deputy (1105 SAASB) at 805-893-3033 for counseling on residency questions.

**GRADES**

Letter grades assigned at UCSB are A, B, C, D, and F, all with plus/minus (i.e. A+, A, A-). Non-letter grades are S (satisfactory), U (unsatisfactory), P (passed), NP (not passed), I (incomplete), and IP (in progress).

Graduate-level courses at UCSB are numbered 200-599. Upper-division undergraduate courses are numbered 100-199. Only graduate-level and upper-division courses taken for a letter grade can count towards satisfying graduate degree and unit requirements (except when a course is only offered as S/U). Lower-division courses (< 100) do not count towards satisfying graduate degree.
requirements.

**S/U and P/NP Grades**
If you take a graduate level class for S/U or P/NP, any grade less than a “B” will be recorded as U or NP. A grade of B- is equal to U/NP.

**Incomplete Grades**
An Incomplete (I) grade may be placed on a student’s record only if:
- There is a compelling reason for the incomplete coursework (i.e. family or medical emergency, professional or research opportunity, etc.). Having other finals or “not feeling like it” are not compelling reasons; and
- A petition for an Incomplete grade (available from the Bren Ph.D. Coordinator or the Registrar’s Office) is completed and signed by the course instructor; and
- The petition for an Incomplete grade is on file in the Registrar’s Office by the last day of the quarter in which you will receive the incomplete grade. In the absence of a petition, a grade of F, NP, or U will be recorded.

If you do not complete the coursework by the end of the following quarter, the “I” will turn into an F, NP, or U. With instructor approval, you may request an extension of the I grade for one more quarter by submitting an Incomplete Extension Petition (available from the Student Services or at the Registrar’s) to the Registrar before the end of quarter.

**University Grading Policy: No Grade (NG) & No Record (NR)**
No Grade (NG) is a grade given when an instructor has not submitted a grade for a student and there is no Incomplete Petition on file. Usually this is because the student did not complete the requirements for the course. Certainly under these circumstances, an instructor can (and, perhaps, should) submit a failing grade. However, under some circumstances (e.g. a family emergency on the day of the final), an instructor will not report a grade and submit a Grade Change Report once the course requirements are completed.

If you have NG on your record and you think it is a clerical error, please contact Student Services immediately. A NG will turn into an F at the end of the subsequent quarter unless Grade Change Form is submitted to the registrar. If you have a NG on your record because you failed to complete the requirements of the course for some reason, you should make sure that you complete them by the end of the subsequent quarter or you will have failing grade on your transcript forever.

Please note that, if possible, it is much better to address emergency situations by filing an Incomplete Form.

No Record (NR) is a grade given when the instructor has not submitted the course grade sheet to the Registrar by the first grading deadline. This usually occurs when the instructor needs more time to grade final exams or assignments. The instructor will then submit the grade sheet by the second deadline, and grades will be posted.
approximately 3 weeks into the quarter. If there is some question about why you received an NR grade, contact the instructor or Student Services.

Students are allowed to carry **NG and NR only for one quarter beyond when the course was originally undertaken before the NG and NR automatically reverts to a failing grade (F)**. This brings the grade notations of NG and NR in line with the policy governing Incomplete grades, except students are not able to petition for extensions of NG and NR as they can with Incompletes.

If you have 12 or more units of unfinished coursework, you will receive an advisory letter and then will be placed on Academic Probation. Excessive units of unfinished coursework may block appointment to an academic apprenticeship (TA or GSR).

**TRAINING OPPORTUNITIES FOR BREN PH.D. STUDENTS**

**Economics and Environmental Science (EES) Training Program**

The Economics and Environmental Science (EES) Training Program at UCSB is a doctoral level multidisciplinary training program. It is designed to train economists in environmental economics, a field concerned with the interplay between economic forces and the environment. Students in the program are Ph.D. students in either the Department of Economics or the Bren School of Environmental Science and Management.

The UCSB EES program provides a new model for doctoral training. Students following the EES program are rigorously trained in economics, as they would in any good economics program, but they also receive Ph.D.-level training in an area of environmental science: climate, applied ecology, hydrology or marine science.

The EES Training Program usually takes five years to Ph.D. degree completion. The goal of the first half of the EES Ph.D. program is to establish expertise, primarily through coursework, in economics and a companion field of natural science. The second two to three years are oriented towards research, including developing an appreciation for formulating and executing research projects.

Students prepare for careers in a number of professional settings including academia, government, and consulting, and should be at a distinct advantage in the job market for environmental and resource economists.

**The Graduate Program in Management Practice (GPMP)**

The Graduate Program in Management Practice (GPMP) is UCSB’s elective certificate program for science and engineering (and Bren) Ph.D. students. The program’s mission is to provide Ph.D. students a sound and essential introduction to the fundamentals of business management in preparation for successful careers using their graduate training beyond the University. UCSB faculty and administration worked with potential non-academic employers to create this innovative program.

The Graduate Program in Management Practice consists of two components: academic coursework and management practice. The first component consists of the four courses on management communication, accounting & finance, marketing, and
management. The second component is a 160-hour internship in an approved organization.

Upon successful completion of the program, you may apply for the Certificate in Management Practice. For further information: 
http://www.graddiv.ucsb.edu/academic/career/mgmt.shtml

Certificate in College and University Teaching

The UCSB Certificate in College and University Teaching (CCUT) is designed for Ph.D. and MFA students who wish to demonstrate superior competence and experience in preparation for teaching at the university or college level. Certificate requirements include completion or attainment of a number of teaching-related skills and experiences, culminating in independent instruction of an entire course with the support of a UCSB faculty mentor.

Students interested in receiving the certificate will need to obtain a position as an independent instructor either as a Teaching Associate in the regular or summer session on campus or at an off-campus junior college, college, or university location.

Certificates are awarded in conjunction with a Ph.D. or MFA degree upon recommendation by the CCUT Faculty Advisory Board to the Graduate Dean. For further information: 
http://www.graddiv.ucsb.edu/academic/ccut/