# BRENS SCHOOL PHD PROGRAM GUIDE

## BREN SCHOOL PHD PROGRAM

**BREN SCHOOL PH.D. PROGRAM COMMITTEE** .......................................................... 3
**THE PH.D. ADVISOR** ......................................................................................... 4
**REQUIRED COURSES** ...................................................................................... 4
**ANNUAL REVIEW** .......................................................................................... 4

## THE PH.D. COMMITTEE

**FORMING YOUR PH.D. COMMITTEE** ......................................................... 5
**PH.D. FORM I — NOMINATION FOR DOCTORAL COMMITTEES** ............. 6
**BREN FORM I BRENN ATTACHMENT — DEFINING YOUR PROGRAM OF STUDY** .......... 6
**CHANGES IN THESIS OR DISSERTATION COMMITTEE MEMBERS — FORM IA** .... 8

## COMPREHENSIVE EXAMINATIONS

**REGISTRATION REQUIREMENTS** ................................................................. 8
**THE WRITTEN EXAMINATION** ..................................................................... 9
**YOUR DISSERTATION PROPOSAL** ............................................................... 9
**THE ORAL EXAMINATION** ........................................................................ 10

## ADVANCING TO CANDIDACY

**PH.D. FORM II — REPORT ON QUALIFYING EXAMINATIONS** ............. 10
**ADVANCEMENT PRIVILEGES/DOCTORAL CANDIDACY FEE OFFSET** ......... 11

## DISSERTATION

**DISSERTATION DEFENSE** ........................................................................... 12
**REPORT ON FINAL EXAMINATION — PH.D. FORM III** ......................... 12

## FILING FEE

**MAXIMUM TIME/NORMATIVE TIME FOR THE PH.D. DEGREE** ............ 13
**NON-ADHERENCE TO GRADUATE COUNCIL DEADLINES** .................. 13

## TIMELINE SUMMARY

**GENERAL INFORMATION** ........................................................................ 14

## REGISTRATION

When and How to Register ........................................................................ 15
Schedule of Classes .................................................................................... 15
Approval Codes ............................................................................................ 15
Verifying Your Schedule ........................................................................... 16

## VARIABLE UNIT COURSES

ESM 595 Registration .................................................................................. 16
ESM 596 Registration .................................................................................. 16
ESM 597 & 599 ............................................................................................. 16
Other Variable Unit Courses ....................................................................... 17
ADD, DROP AND OTHER SCHEDULE ADJUSTMENTS ............................................. 17
  Schedule Adjustment Form ........................................................................... 17
  Schedule Adjustment Fees ............................................................................. 17
PETITIONS ........................................................................................................ 17
  Bren School Petition ....................................................................................... 17
  Graduate Student Petition: Change of Status, Waivers, etc. ............................ 18
STUDENT STATUS ............................................................................................. 18
  Academic Standing/Standards of Scholarship .................................................. 18
  Lapsed Student Status .................................................................................... 18
  Leave of Absence ........................................................................................... 18
  International Students – ESL (English as a Second Language) ....................... 19
  Establishing California Residency .................................................................. 19
GRADES ............................................................................................................ 20
  S/U and P/NP Grades ..................................................................................... 20
  Incomplete Grades ......................................................................................... 20
  University Grading Policy: No Grade (NG) & No Record (NR) ....................... 20
TRAINING OPPORTUNITIES FOR BREN PH.D. STUDENTS ...................... 21
  Economics and Environmental Science (EES) Training Program .................... 21
  The Graduate Program in Management Practice (GPMP) ............................... 22
  Certificate in College and University Teaching .............................................. 22
BREN SCHOOL PHD PROGRAM GUIDE
2003-2004

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 PHD 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 for Academic Programs. Members for 2003-2004 include Charles Kolstad (Chair), Antonio Bento, Bruce Kendall, Magali Delmas, and Laura Haston. 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 fall 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 each of your Committee members. Your report is due by the end of the 3rd week of the fall quarter.
The report should 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.

After the Committee members review the student’s progress report, the Committee Chair will sign off on the report (in ink or electronically) and forward the approved copy to the Academic Program Assistant. 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. All students receive a letter indicating their status after the meeting.

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 at 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: http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_1_PhD.pdf.

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, along with the Bren Form I Attachment (see below) to the Bren School Academic Programs Assistant no later than the end of the 5th week of classes of fall quarter of your second year. The Bren School faculty reviews your Form I during its annual fall review of graduate students. If the faculty approve your committee (by a 2/3 vote), the Academic Programs Assistant will submit the Form 1 to the Graduate Division.

Bren Form I Bren Attachment – Defining Your Program of Study

The Bren School requires additional information to that required on your Form I. The Ph.D. Form 1 Bren Attachment http://www.bren.ucsb.edu/services/student/phd/phd_form1.doc must be attached to the Form I and submitted at the same time (by the end of the 5th week of classes of fall quarter of your 2nd year). Any deviation from this timeline requires consultation with the Bren School’s Ph.D. Program Committee.

The Bren Attachment requires information in three areas: Statement of Expertise, Program of Study, and format of the written and oral examinations. See below for more detail.

To complete the Bren Attachment, you must prepare the required information in consultation with your Committee. It is your responsibility, not the Committee’s, to prepare these documents. You initiate and coordinate necessary meetings or other interaction with your Committee to ensure that you are able to complete the form in a timely fashion.

It often takes several months to complete a final version of the Bren Attachment. You will prepare draft documents, present them to your Committee, take their comments into account, and prepare a revised version.

You are strongly encouraged to begin drafting these documents in your first quarter. The purpose of the Bren Attachment is not to force you to come to final decisions before you are ready, but rather to ensure that communication between you and your faculty mentors is well matured by the second year. You may modify the documents during your second year as appropriate; it is essential that you do this if you and your committee agree to changes.

The following is a description of the required documents that must accompany the Bren Form I Attachment:
a) **Statement of expertise:** Describe in one or two sentences what your area of expertise will be at the end of the Ph.D. Clearly describe what disciplinary or multidisciplinary area you will become an expert in. Your Committee should agree that the scope of your proposed expertise is appropriate for a Ph.D. thesis.

b) **Program of study:** Describe the courses, reading list, or other activities that will give you the background to be able to contribute original research in your area of expertise. Be very specific -- your Committee will evaluate your ability to proceed with the Ph.D. based on this program of study. This program of study should be developed with your Committee and should be approved by them.

c) **Format of the written and oral exams:** You and your Committee decide the format of your written and oral exams. For example, will the written exam be take-home or not; open or closed book; 1 hour or 1 week? What material will the exam cover—just the Program of Study or additional material? What does your Ph.D. research proposal need to include? Will you present an introduction to your Ph.D. research proposal at your oral exam, and if so, how long will it be?

You should approach the issue of exam format with your Advisor, and then initiate a meeting with the rest of your Committee to present your proposed format and to solicit their input. The examination process is designed to help advance you in your chosen area(s) of expertise, dissertation research, and professional development, and you are encouraged to view this process positively and to work with your Committee to design exams that will effectively promote your self-development.

The format of the exams varies substantially by field and individual. You should make sure that you know what will be expected of you by documenting everything in detail on the Bren Attachment. The format of your exams should be finalized at least 1 month prior to your exams.

This Bren Attachment is kept in your file and serves as an informal contract between you and your Ph.D. Committee.

**Changes to the Ph.D. Form 1 Bren Attachment** fall into two categories: minor and major changes. Minor changes include changes in thesis area within the same field, small changes in courses, or replacement of a committee member who is not the chair (this would also require a Form 1A). Minor changes require new signatures by the Ph.D. Committee but do **not** require retaking written or oral exams.

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 [http://www.bren.ucsb.edu/services/student/petition_form02.doc](http://www.bren.ucsb.edu/services/student/petition_form02.doc). 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.

**Changes in Thesis or Dissertation Committee Members – Form IA**

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**: [http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_1A.pdf](http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_1A.pdf). The entire Bren faculty must review and approve any changes at a regularly scheduled faculty meeting. The Academic Programs Assistant 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.

**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.  

Revised 1/04

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 the Ph.D. Program Committee at the beginning of spring quarter.

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 format of the exam (i.e. open book/closed book, duration, etc.) should be the format described in your Form I Bren Attachment. 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.

**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/connect/pro/broch1.pdf](http://www.research.ucsb.edu/connect/pro/broch1.pdf)) rev. 2/04
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.**

**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: [http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_2.pdf](http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_2.pdf) officially advances you to candidacy.

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/Doctoral Candidacy Fee Offset**

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. In addition, you may be eligible for a partial fee payment award from Graduate Division in the form of a **Doctoral Candidacy Fee Offset (DCFO):**


Eligibility for the DCFO lasts until the end of normative time and is determined on a quarter-by-quarter basis. You may receive the DCFO only if 1) you have advanced to candidacy for the doctorate; 2) you are within the normative time; and 3) your fees are not being paid by another source.

The DCFO is credited to your BARC account for each successive quarter you are eligible. Please note that this credit is often not made until a few days prior to fee payment deadlines (and sometimes not until the day of the deadline). If your fees are paid by a research grant or other external sources, you are NOT eligible for the Doctoral Fee Offset. If you hold a teaching appointment and are receiving a TA Fee Offset, you are also not eligible for the DCFO. Continuation of Doctoral Fee Offset Program is subject to Graduate Division funds being available.

If you are required to pay nonresident tuition, your fee will be reduced by 75% for a maximum of three registered years after you have advanced to candidacy. Thus, if you do not have resident status it is important that you advance to candidacy as soon as possible.

**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

The Ph.D. Form III – Report on Final Examination for the Degree of Doctor of Philosophy. [http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_3.pdf](http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_3.pdf) is used to notify Graduate Division of your successful Defense.

If you pass your Defense, you will obtain signatures from every Committee member and then submit the form to the Bren School’s Academic Programs Assistant 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: [http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_3A.pdf](http://www.graddiv.ucsb.edu/forms/acad/pdf/Form_3A.pdf)

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](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 PhD 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.

**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.

**Non-Adherence to Graduate Council Deadlines**

The Graduate Division **Policy on Degree Progress/Probation**

[http://www.graddiv.ucsb.edu/academic/probation/](http://www.graddiv.ucsb.edu/academic/probation/) enables graduate students who have not advanced to doctoral candidacy within the four-year time limit or completed their doctoral degree within the seven-year time limit to avoid being placed on academic probation.
In the event that you find yourself in one of these situations (and the Bren School has not recommended your dismissal for non-compliance to Bren School guidelines), you, with assistance from your Committee, will need to complete a Graduate Student Degree Progress Report Form: [http://www.graddiv.ucsb.edu/pubs/academic/prog.doc](http://www.graddiv.ucsb.edu/pubs/academic/prog.doc) to avoid being placed on academic probation. The form suggests a template for arriving at a decision on the tasks to be completed in order to advance to candidacy or complete the doctorate degree and a timeline for completing these tasks. Completed forms must be submitted to Graduate Division no later than the 4th week of the quarter. This Graduate Division mandated mentoring and reporting process must be repeated quarterly if you have exceeded the time limit for doctoral advancement, and annually if you have exceeded the time limit for completion of the doctorate.

You may be placed on academic probation if no degree progress report form is submitted by the middle of fall quarter, and if you have not advanced to doctoral candidacy and/or completed the degree. You may also be placed on academic probation if it is reported that you are not making satisfactory progress. In addition, if you and your Advisor continue to set time goals that are not met, Graduate Division would consider there to be adequate cause to impose probation effective the following quarter. If you are placed on academic probation you will not be eligible to receive centrally administered fellowship support or to hold a TA or GSR appointment effective the following quarter.

**TIMELINE SUMMARY**

- Submit Annual review Report no later than the end of the 3rd week of classes of every fall quarter. (First year Ph.D. students are exempt from this requirement.)
- Submit Graduate Division Ph.D. Form I and Form I Bren Attachment no later than the end of the 5th week of classes of fall quarter of your second year.
- Submit Graduate Division Ph.D. Form 1A 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 the Bren Academic Programs Assistant.
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. 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.

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 do not want to 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 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 Bren Course Support staff at connie@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 the Academic Programs Assistant.

The ESM 596 Petition is on the Bren School website under Services/Student 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 at the bottom of the Environmental Science & Management section of 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 for Academic Programs; the Registrar’s Office will obtain the signature of the Dean of the Graduate Division. You can obtain this yellow form from the Bren Academic Programs Assistant, 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 for Academic Programs any time you request an exception to a Bren School policy or procedure. The petition form can be found on the Bren School web site under Services/Student Forms: www.bren.ucsb.edu/services/student/petition_form02.doc.
Graduate Student Petition: Change of Status, Waivers, etc.

Requests involving exceptions to University policy (Graduate Division or Registrar policies) require a Graduate Student Petition: http://www.graddiv.ucsb.edu/forms/acad/pdf/Grad_Petition.pdf.

Graduate Student Petition forms are also available at the reception desk in Graduate Division (3117 Cheadle Hall), in the Bren Academic Programs Assistant’s office and in the student form files in the student mailroom. The petition should be submitted to the Academic Programs Assistant for the Graduate Advisor’s signature (in the case of the Bren School this is the Assistant Dean, Academic Programs). The signed petition will be returned to your mailbox. You must take it to the Billing Office (12112 SAASB), pay the $15 processing fee, and finally 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 a 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 Academic Programs Assistant 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](http://www.graddiv.ucsb.edu/academic/handbook). The leave of absence petition can be found on the Graduate Division website at [http://www.graddiv.ucsb.edu/forms/acad/pdf/Request_for_a_Leave_of_Absence.pdf](http://www.graddiv.ucsb.edu/forms/acad/pdf/Request_for_a_Leave_of_Absence.pdf) 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 $12,000+ 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 Academic Programs Assistant 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 Bren Academic Programs Assistant 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 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 the Academic Programs Assistant 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 the Bren Course Support Staff at connie@bren.ucsb.edu.

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/