

Graduate Student Handbook 2015 - 2016



Mathematical and Computational Biology
Gateway Graduate Program

UNIVERSITY *of* CALIFORNIA • IRVINE

Goals of the Mathematical and Computational Biology Graduate Program

The goal of UCI's program in Mathematical, Computational and Systems Biology (MCSB) is to provide students from a variety of educational backgrounds with Ph.D. training suitable for research careers in the nascent field of Systems Biology. The program emphasizes in-depth classroom study, interdisciplinary research rotations, and individualized advising.

Currently, the program begins with an initial "gateway" year, known as the Mathematical and Computational Biology (MCB) program, during which students receive basic training in principles of biology, as well as in mathematics, engineering and computer science. Students also participate in research rotations, workshops, and directed reading of the Systems Biology literature. Upon successful completion of the MCB year, students select a thesis advisor from among the participating faculty, who represent departments throughout the biological, physical and information sciences and engineering. Students fulfill the remainder of their degree requirements according to the guidelines of the departmental programs to which their thesis advisors belong, at the same time continuing to participate in workshops, retreats, journal clubs and other activities of the MCSB program. At some point in the future, it is expected that MCSB students will also have the option of receiving an interdisciplinary degree independent from departmental program requirements.

Statement of Purpose

The field of Mathematical and Computational Biology (MCB) is an inherently broad and multidisciplinary area of scientific pursuit and scholarship. It has intellectual links to numerous and diverse fields in biology, medical science, mathematics, physics, chemistry, engineering, and computer science. Although it is not a new field, it is becoming increasingly important to progress in the biological sciences. This reflects the increased focus of many biologists on system-level approaches, in which complex network architectures, non-linear dynamics, and large data sets must often be explored and understood.

The breadth, multi-disciplinarity, and growing importance of MCB make it an attractive and important area for graduate study. However, this breadth also creates challenges for Universities seeking to train graduate students in this endeavor. In particular, the traditional organization of graduate training programs around single departments can limit the range of academic options a student may explore. On the other hand, it may be argued that training programs built around single departments are best for providing the focus that students/trainees entering such a broad field need.

In response to this dichotomy, this document proposes the formation of a new one-year MCB training program for PhD students. The MCB would function in concert with existing departmental programs, such that a student successfully completing the one year of MCB training would then be automatically directed into a departmental program for the remainder of his/her PhD training. In this way, the MCB would serve not as a degree-granting program, but as a "gateway" program, broadly similar in structure to other gateway programs already operating at UCI (such as the Interdepartmental Neuroscience Program and the Program in Molecular Biology, Genetics and Biochemistry).

In fulfilling this function, the MCB would seek both to attract new, highly qualified students to UCI, and to provide them with an academic experience of the highest quality. In particular the MCB will:

- Provide students with an opportunity to begin their training in Mathematical and Computational Biology with a broad academic introduction;
- Provide students with an opportunity for individualized attention to curricular needs;
- Provide students with an opportunity to conduct initial research projects with a large and diverse group of faculty in a wide variety of departments;
- Provide students with an opportunity to choose and conduct thesis research in any of a large and diverse group of laboratories in a wide variety of departments;
- Provide UCI Faculty in Biological Sciences, Engineering, Medicine, Information and Computer Science, and Physical Sciences with enhanced opportunities to compete for and obtain training grants from extramural sources.

Administrative Matters

Department Location

The MCB Gateway Program is administered by the **Center for Complex Biological Systems**. Department offices are located in Biological Sciences III, Suite 2620.

Contacts

Directors:

[John Lowengrub](#), Director, MS and Ph.D. Program, Department of Mathematics and Biomedical Engineering

[Qing Nie](#), Director, Gateway Program, Department of Mathematics and Biomedical Engineering

[Arthur D. Lander](#), Associate Director, Department of Developmental & Cell Biology and Biomedical Engineering

[Frederic Y.M. Wan](#), Founding Director, Department of Mathematics and Mechanical and Aerospace Engineering

Administration:

Karen Martin, Program Manager – kymartin@uci.edu

Aracely Dean, Program Administrator – cely.dean@uci.edu

Common Areas and Key Distribution

MCB Graduate Students will be supplied with necessary keys to the MCB Student workroom, 2628 Biological Sciences III, as well as a building key to Biological Sciences III. The Student workroom, 2628, is a shared office for all MCB Students, current and past. Two printers and computers are available 24 hours a day for MCB Student's use. All supplies are provided. The foyer work table and sofa, Room 2641 workroom and the CCBS Conference Room are available for your use, as well. We ask that you treat these areas as you would your home, and be respectful of others. Cleaning service and trash removal in office areas is taken care of by the CCBS staff; therefore, your contribution to a clean and pleasant environment will be highly regarded. Biological Sciences is currently a mixed-use facility. The University central Accounting offices, a vivarium facility, as well as research labs and office space are housed in this building. We ask that you respect the confidential nature of the activities taking place here. **Please feel free to call Campus Police at any time, #949/824-5223, if you see any type of suspicious activity occurring.**

Housing

UCI offers guaranteed graduate housing for incoming students. For more information, or to apply, please see <http://www.housing.uci.edu/>

In order to maintain a housing guarantee, you will have to 'accept' in the year it was offered. You may still be able to apply for housing in the next year, based off the space on the Housing Waitlist and apartment availability, but there is no longer a housing guarantee.

The steps you will need to meet in order to keep a housing guarantee:

1. Must be on the list from their academic department.
2. Must apply for housing by 4pm on May 1st of the year they are admitted.
3. Must accept their Community Match by May 15th.
4. Must accept an apartment offer before classes start in Fall Quarter.

If you have any concerns about housing or even concerns about paying your rent, do not hesitate to contact us.

Parking

All vehicles must display a valid UCI parking permit when parked on campus or using metered spaces. The Parking and Transportation Services Office is located in the Public Services Building (Building #7 on the Campus Map – at the intersection of E. Peltason and Pereira Drive). In addition, they offer assistance with car problems, keys locked in your car, citation appeals, and getting involved in ridesharing. Information about the fees for a student parking pass can be found at <http://www.parking.uci.edu>.

Student Photo ID card

UCI photo ID cards are often required when conducting business with various campus services. The UCI Photo ID cards are being produced inside The Hill at the student center. Once your employment appointment is in place in our personnel records, take your student and employee identification numbers with you to obtain your UCI photo ID card.

Mail

Campus and US mail can be deposited in the Central outgoing Mailbox located at the front of the Biological Sciences III building. US Mail is delivered every day at 11:00AM; and we are happy to accept mail or packages from UPS or FedEx on your behalf. The Department address is: **Center for Complex Biological Systems, University of California, Irvine, 2620 Biological Sciences III, Irvine, CA 92697-2280**. The CCBS ZOT CODE, which expedites delivery, is **2280**.

Telephone and Fax Machine

A telephone, located in the MCB Student Office, **#949/824-7102**, and fax machine, **#949/824-6444**, located in Cely's office, 2624 Biological Sciences III, are available for student use. These services should be used for university or research business only, but we acknowledge that personal use is sometimes necessary. Personal use should be kept to a minimum. For on-campus calls, dial 4 and the extension. To call off-campus, dial 9, then the number. For long distance calls with a calling card, dial 9, then 0, followed by the number.

Copy Machines

A copy machine is located in Biological Sciences III, in the Department of Developmental and Cell Biology, MAIL ROOM. You will be given a copy code to use the copy machine in Biological Sciences III, or in the self-serve copy machines located in Natural Sciences 1, Room 2112, "Image Works" Facility. For small 2 or 3 page copies, there are two printer-copiers in the CCBS Offices, and we would be happy to assist you with your requirements. As with telephones and the Fax machine, we ask that personal use be kept to an absolute minimum.

Library

The Ayala Science Library is located next door to Biological Sciences III. This library consolidates scientific holdings of the Main Library, the Biological Sciences Library, the Physical Sciences Library and the Biomedical Library. Research librarians are assigned to specific areas of interest, <http://www.lib.uci.edu/about/contact/subject-librarians.html>, and can help with a variety of library needs. Student ID cards may be activated at the library for check-out privileges. The Interlibrary Loan (ILL) service enables UCI students, faculty, and staff to borrow materials from other libraries that are not available at the UCI Libraries. Before requesting an item through ILL, make sure it is not available at any UCI library by searching [ANTPAC](#).

Funding and Financial Support

The MCB program supports all first year graduate students with a stipend and remission of all UCI education fees. Typically, financial support for the three summer months after the first academic year at UCI will be through research funding provided or arranged by a student's primary thesis advisor. Foreign students are advised that additional tuition costs are incurred, for which the MCB program or the relevant academic department cannot necessarily provide reimbursement during the subsequent years. Support for this additional tuition may be paid directly by the student or may be provided by one of our faculty members.

Funding for MCSB is provided from several resources: UC support, CA State support and federal resources. The [Interfaces Initiative](#), a collaborative venture of the HHMI and the [National Institute of Biomedical Imaging and Bioengineering](#) of the [National Institutes of Health](#), supports the development of graduate-level biomedical research training programs in emerging interdisciplinary fields. In 2005, UCI was one of [ten institutions](#) funded by this initiative. First year fellowship support is also provided by the [National Institute of General Medical Sciences](#).

Please note that all MCB Students that are US Citizens must prepare a FAFSA on-line. Graduate Division may deny our request for Fellowship support for you if this form has not been filed with the Federal government by March 2nd of each year. These forms rely on your tax return filed for the previous year. We will be sending out periodic reminders to you!

Stipend and Payroll Checks

Your first stipend check for living expenses will arrive toward the end of September. Your Fellowship officially begins in October and ends in June.

If you do not sign up for **Direct Deposit**, please make sure you update your current address on the following Registrar's site <http://www.reg.uci.edu/access/student/welcome>, or your stipend check will be mailed to your old (application) address.

We have requested that stipend checks be issued in ADVANCE; therefore, your last Fellowship stipend check will be issued in late May for June. Summer research assistant positions, or Graduate Student Researchers are normally paid from a faculty member's research grant and are considered regular UCI employment; this is the typical funding mechanism when you begin working with your thesis advisor. If you begin working with your thesis advisor on July 1st, once the regular academic year ends in June, please note that you will not receive another check until August 1st, Payroll is paid in ARREARS. We want you to be aware of this and budget your funds accordingly. Your last stipend check will be issued at the end of May; and you may not receive another check until August 1st.

Also note that taxes are **not** withheld from your stipend checks if you are a US Citizen, but are USUALLY withheld if you are an F-1 or J-1 visa holder. Taxes are withheld at a very low rate from wages earned as well. Please consult a tax professional if you have any questions regarding tax withholding or liability. We can answer any general questions you may have or point you to campus resources concerning tax matters; however, each individual's tax situation is unique and we are not knowledgeable in these areas.

Direct Deposit

It is strongly encouraged that you sign up for direct deposit, you may do so by using your UCI NetID and enrolling in an online DEFT Account. In July, you will begin to be paid as an employee, at this time you will need to re-enroll for direct deposit. You may go to the DEFT application and instead of entering your UCI Net ID, enter your UCI employee number and click "Forgot Password." You will then be asked to set up a security question. This "resets" the system and joins the employee's banking information with that of your student status.

https://portal.uci.edu/uPortal/p/webproxy-cms-file-view.ctf2/max/render.uP?pP_cmsUri=public%2FAccounting%2FPayroll%2FHowToDirectDepositPayCheckDEFT.xml

Zot Account

The UCI Zot Account is the Student Billing System. Information provided by the Student Billing System (SBS) for your ZOT Account Online is from student records and is governed by Federal and State laws, and University policies. You will be asked to create a login using your UCI NetID for your ZOT account: <https://zotaccount.uci.edu/>.

Although CCBS will be paying your fees and stipend, it is important to check your account in case any FEES are assessed. If you are late to register for a quarter, you are assessed a \$50 late fee. If you receive a parking ticket, you will be charged on your zot account. If you do not address or pay these fees promptly, your student status will be negatively effected. Please notify Karen or

Cely if you have any outstanding fees on your zotaccount.

Fee and Tuition Remission

All annual fees and any non-resident tuition will be paid on your behalf by September 15th of the academic year. Should you receive any notifications from financial aid or the cashier's office warning you about your tuition or fees due, please do not be alarmed. We will have everything entered into Graduate Division's financial system by the appropriate deadlines. Please do not hesitate to contact Karen or Cely if you are concerned. Please contact us first, before you contact anyone in Financial Aid or the Cashier's office. We can usually straighten out any problems you may have.

Medical Insurance

In addition to offering a superior educational curriculum, UCI is also pleased to offer one of the best, most comprehensive healthcare packages in the nation to its graduate students. With such a basic yet important need met, students are free to concentrate on their academic studies. The GSHIP Plan structure and implementation are overseen by a student led [GSHIP Committee](#) which meets to review coverage, providers, carriers, rates, and other matters pertinent to the plan.

UCI's mandatory plan is one of the best offered in the nation. It provides coverage for medical, dental, vision and worldwide travel benefits with an option to waive coverage if the student has other healthcare coverage which 1) GSHIP determines meets UCI's minimum standards, and 2) provides documentation stating that such coverage exists through a different provider. The University requires, as a condition of registration, that all graduate and professional students, including international graduate students, have medical insurance coverage.

Coverage is provided year round with the policy term beginning on September 21, 2015 and ending September 18, 2016. Dependent coverage is available for an additional cost.

Detailed information on the GSHIP plan can be found on the web at:

http://www.shs.uci.edu/Health_Insurance_Privacy/Insurance.aspx#GSHIP

To protect the campus from outbreaks of vaccine-preventable diseases, all students entering UCI for the first time are required to provide proof of compliance with specific immunizations and tuberculosis screening. Further information regarding immunization requirements can be found at this link:

http://www.shs.uci.edu/Admission_Health_Requirements/AdmissionHealthRequirements-StudentHealthCenter-UCI.aspx

California Residency

The MCB Program covers non-resident tuition during your year in the Gateway Program. Graduate students who are U.S. citizens are expected to establish California residency so that they will not be liable for non-resident tuition in subsequent years. International students are ineligible for a waiver of non-resident tuition. A form is available on-line from the Registrar's office "Petition for Resident Classification" that may be submitted to the Resident Officer in the Registrar's office, usually the summer after your MCB year.

The following items are useful in demonstrating residence: California Driver's License, California automobile registration, California voter registration card, Bank statements, utility bills and rent

receipts. Please update your permanent address with Graduate Division and others on campus to your new campus home address right away. This also demonstrates your intention to become a resident.

Travel

If you are presented with an opportunity to attend a conference or present your research, please be aware of a few basic UCI policies concerning travel. We encourage you to meet with the CCBS staff prior to making any travel arrangements.

1 - Receive approval from your primary academic advisor, in writing. Email confirmation is fine.

2 - All travelers must pay for ONLY their own travel. Do not pay for another traveler's meals or registration expense, even if you are traveling together on what is considered university business. Don't register for a conference for you and your lab mate!

3 - Airfare – Investigate flights you may be interested in taking. We can book your flight on your behalf. All flights should be booked on US Carriers, using the most economical fare.

#4 – Car rental - UCI will NOT reimburse you for EXTRA insurance on a rental car. UC has agreements with all major rental car companies, which INCLUDE insurance in their rates. Please let us know if you need to rent a car and we will insure you reserve the rental with the appropriate UC account number.

5 – Meals and ground transportation – You must provide itemized receipts for meals and taxis. Alcoholic beverages are NOT a reimbursable travel expense.

6 – Package deals are unallowable, that is, airfare, hotel and car rental bundled, even if it appears there is a savings to UCI.

7 – When you return from your trip, please provide us proof that you attended the conference. Having your badge, or a copy of the program will suffice as proof to federal and state auditors that we are reimbursing you for university business.

Accidents

We always hope that no one will be hurt when they are working or teaching, but accidents do happen. All employees are covered under Workers' Compensation Insurance for injuries and/or illnesses that arise out of or in the course of their employment. If your injury or illness requires medical attention, please go immediately to Student Health Services. If that unit is not open, assistance can be sought from any hospital or emergency unit. Whether or not you seek medical assistance, **an accident report form must be completed within 24 hours.**

Emergency Preparedness

<http://today.uci.edu/iframe.php?p=/news/preparedness/intro.asp>

UCI endeavors to protect employees and students, to minimize program interruption, and to reduce property damage during disaster. An Emergency Operations Center (EOC) has been established and will be activated as the central command center for managing a campus emergency or disaster. Every building has a "Building Coordinator" and each floor of each building has a "Floor Warden." In a disaster, Floor Wardens will assist in evacuation and report damage to Building Coordinators, who in turn, coordinate efforts with "Zone Captains". In a disaster response situation, Zone Captains provide the prime linkage between each campus zone and the EOC. To find out who your disaster response team is, contact your lab advisor or e-mail your request to prepared@uci.edu. Advance planning is your best protection and your responsibility; forethought and preparation prevent panic:

- The UCI Environmental Health & Safety Office coordinates campus training programs for disaster preparedness (<http://www.ehs.uci.edu/>).
- The UCI Emergency Preparedness website at <http://www.ehs.uci.edu/students.html> is also a warehouse of information.

Campus Recreation

<http://www.campusrec.uci.edu/>

The Anteater Recreational Center (ARC) is equipped with two different gymnasiums, an elevated running track, a rock climbing wall, a fitness lab, and several activity rooms. Its Aquatics Plaza contains a 25 by 25 yard heated recreational lap pool and a 10,000 square foot weight and cardio room. Students can pursue their own fitness programs or participate in a full myriad of campus recreation programs. These programs include in-line skating, scuba, kick box aerobics, Aikido, sailing and more!

Community Resources

<http://www.housing.uci.edu/och/comresources.asp>

A great reference to contact local utilities (gas, electric, telephone services), banks, grocery stores, places of worship and furniture rental companies.

Academic Matters

Boot camp

Depending on your preparation, incoming students will be offered 2-3 week "boot camps" in biology, mathematics and/or computation, during the period just prior to the start of the fall quarter. These intensive training experiences, which involve lectures, demonstrations, and one-on-one instruction, are designed to help students achieve a basic understanding in areas in which they may have received little formal education.

First year advisors

Each student will be assigned an Advisory Committee by the Executive Committee upon enrollment in the MCB Program. The Advisory Committee will consist of two participating faculty members with one designated as the Committee Chair. The role of the Committee Chair will be assumed by the student's thesis advisor when a participating faculty has been asked and agreed to accept that role. It is expected that the term of the Committee will continue until the student completes the MCB Program. If an Advisory Committee member cannot complete his/her term, the Executive Committee will appoint a replacement.

Each committee will meet with its advisee, prior to his/her enrollment in the one year MCB Program, to discuss course and research related issues. Subsequent meetings will occur twice during the year, once at the end of the fall quarter and once in the end of the winter quarter. At each meeting, lab and course performance for the just completed quarter will be discussed and classes/lab rotations for the coming quarters adjusted as necessary. The committee will also hear from the student any concern and complaint that he/she may have, investigate them and possibly report and discuss with the Program Director and/or Associate Director for possible response and action.

In the event a student receives a grade lower than a B in any course during any quarter, or an unsatisfactory rotation grade, this will result in the student being recommended for academic probation. The committee will discuss the situation with the advisee and may also confer with relevant course instructors or rotation advisors regarding the trainee's performance. The committee will inform the Executive Committee of the academic probation, and recommend action(s) that should be taken to remedy the situation.

Core courses

All first-year students normally take the six four-unit MCB core quarter courses below, three in mathematical and computational methods for biology and three in biological sciences. Students are expected to take a minimum of 6 didactic courses in preparation for thesis research. Within the framework of the MCB Gateway program, these courses will typically be taken during the first year of graduate school, and will consist of two courses per quarter from the following list:

Fall Quarter 2015

Biological Physics ([Physics 230A](#)) Code: 48455

Instructor: Jun Allard

Mathematical and Computational Biology I ([Math 227A](#)) Code: 45060

Instructor: Frederic Wan

Critical Thinking in Systems Biology ([Dev Bio 203A](#)) Code: 09364

Instructor: Arthur D. Lander

Systems Biology Journal Club ([Dev Bio 212](#)) Code: 09412

Instructor: M. Plikus

Dynamic Systems with Applications to Biology and Medicine ([BME 233](#))*

Instructor: Z. Nenadic

** An alternative to Math 227A if successfully passed with a B or better, or Director's approval.*

Winter Quarter 2016

Systems Cell Biology ([Dev Bio 232](#))

Instructors: Lee Bardwell/Steve Gross

Mathematical and Computational Biology II ([Math 227B](#)) Instructors: Frederic Y.M. Wan/Qing Nie/John Lowengrub

Systems Biology Journal Club ([Dev Bio 212](#))

Instructor: A. Mortazavi

Spring Quarter 2016

Population Dynamics ([Eco Evo 251](#))

Instructor: Dominik Wodarz

Computational Systems Biology ([COMPSCI 284C](#))

Instructor: Eric Mjolsness

Stochastic and Statistical Methods in Biology ([Math 227C](#)) Instructors: Frederic Y.M. Wan/Xiaohui Xie

Systems Developmental Biology ([Dev Bio 203C](#))

Instructors: Olivier Cinquin / Arthur Lander

Systems Biology Journal Club ([Dev Bio 212](#))

Instructor: Ali Mortazavi

Appropriate courses may be substituted for the above with the approval of a student's advisory committee. Following the first year, students may also be required to take additional coursework determined by the department in which the student completes thesis research.

TOEP/ SPEAK Tests for International Students

All international students, including those with Permanent Resident status, will have to pass these exams to matriculate to an academic department. Most academic departments require you to TA to complete your PhD degree.

The only exemptions to this exam are given to students who have:

1. US citizenship
2. Completed a 4 year high school degree in the US
3. Citizenship in a country where English is either the primary or dominant language, as approved by UCI Graduate Council.

Students can fulfill this requirement by passing one of the following exams:

- Test of English as a Foreign Language Internet-based Testing ([TOEFL iBT](#)) is administered by ETS in U.S. centers and abroad. Minimum score: 26
- International English Language Testing System ([IELTS](#)) is available in over 135 countries. Minimum Score: 8
- Spoken Proficiency English Assessment Kit ([SPEAK](#)) which is available at UCI only after a student is admitted. Minimum Score: 50
- Test of Oral English Proficiency ([TOEP](#)) which is administered at UCI and is only an option if a student fails to pass the TSE or SPEAK. Minimum Score: 5

The campus uses the iBT speaking subscore to evaluate English proficiency for TA employment, please see the web site info:

http://gradstudies.ss.uci.edu/files/gradstudies/docs/2012/fall_2012_english_proficiency_and_teaching_assistant_appointments_.pdf

Registration

Deadlines are published each quarter in the Schedule of Classes. General registration at UCI consists of two separate steps: 1) Enrollment in classes via WebReg and 2) payment of fees. The MCB Program takes care of all your fees, but you still may be charged a \$50 LATE FEE, **if you have not registered for classes by the posted deadline dates.** You will be responsible for paying this fee if you have not registered for MCB Classes by these dates.

The UCI Registrar assesses the fees to individual student ZOT account bills beginning in August; however, CCBS/MCB Program will pay the fees on the student's behalf by the September deadline date.

You should be enrolled in a **MINIMUM of 12 units per quarter** by the enrollment deadline or the \$50 LATE FEE will be assessed.

It can be tricky to enroll in the proper course for your lab rotation. Each department on campus has different policies concerning lab rotation courses. We recommend that you speak with your rotation advisor about enrolling in his/her lab rotation course, requesting that you enroll in the appropriate course with a minimum of 3-4 credit hours. Some departments offer different rotation courses – some with a pass/fail option and some offering a letter grade. We recommend that you understand exactly which course code to choose.

Research Laboratory Rotations

Laboratory rotations constitute an important component of the first year training program, providing students with intensive introductions to experimental design and quantitative data analysis as well as familiarizing them with available research opportunities. Students are expected to conduct three rotations in different labs prior to choosing a thesis advisor. Because of the interdisciplinary nature of the MCB Program and the diversity of the participating students, it is important that students become familiar with both “wet” experimental biology labs as well as with mathematical/computational labs. Therefore students are expected to do at least one rotation in each environment. Students are also encouraged to pair up for interdisciplinary, collaborative work experiences. Summer research in participating labs can count towards the required rotations.

Unsatisfactory Academic Progress

The following passage is taken from pages 50 and 51 of the Graduate Advisor's Handbook (<http://www.grad.uci.edu/academics/academic-policies/index.html>). It describes the procedures that are used to establish that a student is making unsatisfactory progress toward the doctoral degree. “Graduate students generally enroll in a research course (Dev Bio 200, etc.) for academic credit in research. The faculty member is responsible for giving a grade for the research performed. **It is critical that a student that is not making satisfactory progress in research receives an “unsatisfactory” grade (B-or less, or U).** The grade is the official record of academic evaluation by the faculty member, and if a student has a history of “A’s in research, it is not possible for the Associate Dean to assert that student is not making satisfactory academic progress.”

Successful completion of the program requires:

- 1 Achieving a B+ (3.3) average in the core courses, and
- 2 Achieving satisfactory grades in all rotations, and
- 3 Identifying a participating faculty mentor willing to serve as thesis advisor, and
- 4 Completing any additional requirements mandated (in accordance with Section 3.1) by that faculty member's department.

Matriculation into a departmental Ph.D. program of a student who completes most but not all of these requirements at the end of one academic year may occur at the sole discretion of that department.

Selection of a Thesis Advisor and Department

At the end of the first year, each student will choose a primary thesis advisor from among the participating faculty. The primary advisor's department will be responsible for awarding the degree and the student needs to satisfy the course, examination, and other requirements set by the department for students entering through the MCB Program. **The primary thesis advisor will provide or arrange for the advisee financial support for three summer months following the student's first nine months at UCI.**

To ensure interdisciplinarity of the thesis project, a student chooses a secondary thesis advisor

from a department complementary to the primary thesis advisor's department. In general, a student with a primary advisor in a biology department is required to choose a secondary advisor from any of the other participating departments and vice versa. However, the Executive Committee can allow other combinations requested by a student and endorsed by both prospective advisors.

MCB students enrolled in degree programs will be encouraged to continue to attend the Systems Biology Journal Club, CCBS Interest Group activities, Systems Biology Seminar Series, Annual Retreat and Research in Progress seminars. These activities will provide opportunities to maintain contact between the Gateway Program and MCB students after they have completed the program requirements.

Additional UCI policies and procedures may be found at the UC Irvine, Graduate Division website: <http://www.grad.uci.edu>

Additional and updated information about the MCB Program can be found at <http://mcsb.uci.edu/>



UC, IRVINE: MATHEMATICAL AND COMPUTATIONAL GATEWAY PROGRAM

Name: _____

Laboratory Rotation Selection

Fall Quarter, 2015

Please indicate the faculty member who will supervise your lab rotation during the fall quarter. Return this sheet to the Program office by **Friday, September 25, 2015**

Faculty

Print Name

Signature

Date _____

Student

Signature

Date _____

Advisor

Signature

Date _____

You are expected to provide a title and a one paragraph description of the problem and results of your project, by **Wednesday, December 9, 2015**. Any additional reports required by your faculty rotation sponsor should also be attached.

Title:

Project Description:

Please return this sheet to:

University of California, Irvine

Mathematical and Computational Biology

2624 Biological Sciences III

Irvine, CA 92697

For Questions, please contact Karen or Cely at (949) 824-4120



UC, IRVINE: MATHEMATICAL AND COMPUTATIONAL GATEWAY PROGRAM

End of Quarter Form

Fall Quarter 2015

Student's Name: _____

Advisor's Name: _____

Advisor's Signature: _____

Satisfactory Progress: Yes No

Quarter Rotation:

Faculty:

Title:

Project Description: *(Min. 2 paragraphs, max. 3 pages)* You are expected to provide a title and a one paragraph description of the problem and results of your project, by **Wednesday, December 9, 2015**. Any additional reports required by your faculty rotation sponsor should also be attached.

Symposiums Attended *(Please list seminar, talks and conferences you have attended, and the sponsoring organizations and location, if any)*

Additional Training Activities: *(List any additional training activities that you have been involved in this quarter ie. Presentations, Fellowship Applications, Graduate Division Events, NIH BEST/GPS, Department Activities, Off-Site outreach Activities)*

Student Comments: *(Please note any comments or concerns you have about the Graduate Program)*

Publications: *(Please list authors, titles, journal status, if any)*

Please return this sheet to:

University of California, Irvine
Mathematical and Computational Biology
2624 Biological Sciences III
Irvine, CA 92697

For Questions, please contact Karen or Cely at (949) 824-4120

Student Name: _____ Date: _____

Student Orientation Session Checklist – Fall 2015

1. Has student completed the MCB Bootcamp surveys?
2. Review course schedule with student -Lab rotation units included?
3. Discuss quarterly Rotation forms -All appropriate signatures and form submitted?
4. Ensure student has picked up their Student ID card from UCItems
5. Review I-doc with student. Student has been entered in the payroll system; ensure that all information appears correct.
6. Ensure that student email account is activated and UCI Directory profile is viewed.
7. Passwords for student computer equipment, copiers and keys to the offices/building.
8. GSHIP – Review Graduate student health care website
9. Confirm student’s assigned faculty advisors
- 10.. Review Graduate Student Support -Discuss source of funding -Discuss schedule of stipend checks
Discuss that PI Mentor/Dept. policies about stipends are unique in each School/Department and Lab.
11. Remind domestic students to complete FAFSA by March 2 of the following year.
12. Provide tax information hand out from UCI Graduate Division website for student to review
13. Remind Non-Resident students to begin the Residency Application process. - Provide student with an application
14. International Students - Review and Enroll in ESL Courses. Listed under ‘Academic English’
15. Provide Training Grant information sheet to appropriate appointees. -I.E. Travel funds available to them, training-related expenses
16. Discuss Fellowship opportunities -NIH/NSF/ Private Funding Opportunities -Display Graduate Division ‘Fellowship’ website
17. Review Safety Training Transcript with student. -Ensure all required courses are completed.
18. CCBS and MCB Events – Retreat, SoCal Sys Bio Conference

X _____
Student Signature

UC, Irvine: Mathematical and Computational Gateway Program Annual Committee Assessment

Name: _____ Academic Year: 2015 - 16

A. Course Work – Transcript Attached

B. Research Activities (Quarterly Rotations) - Attached

Fall Title and Description:

Winter Title and Description:

Spring Title and Description:

C. Publications/Presentations:

D. Additional Training Activities:

E. Comments from the Committee:

F. Committee's Evaluation of Student Progress/Completion

- () The committee determines that the student has made satisfactory academic progress.
- () The committee has concerns about the student's academic progress.
- () The committee determines that the student has not made satisfactory academic progress.

Name

Signature

Dr. Qing Nie

Director

Dr. Arthur Lander

Associate Director

Dr. Frederic Y.M. Wan

Founding Director

By signing the following line, the student acknowledges that he/she has read the submitted report from the Program.

Student _____

Date _____

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The Code of Student Conduct is available to view at the following link:

<http://www.dos.uci.edu/conduct/students/code-of-student-conduct.php>

Student Rights

(Refer to University Policy 170.00)

University of California, Irvine recognizes its responsibility to support and uphold the basic freedoms and rights of all students. As members of the University community students shall have the following rights:

A. To participate in the governance of the University, consistent with the University's stated goal (see [Section 120.00](#) of these Policies) of enhancing student participation in the governance process by seeking student opinions and viewpoints on matters affecting both their academic and non-academic experiences and especially those decisions that directly affect their welfare, through drawing upon official student representation, as well as additional means for seeking student input as appropriate;

B. To petition to appear before the Board of Regents under procedures set forth in the Bylaws. Individual students are entitled to seek an appearance before the Board to speak in open committee or Board session on matters on The Regents' agenda. Students must follow administrative procedures established by their respective campuses to appeal individual academic or administrative decisions relating to the above;

C. To petition for any change in these Policies, or in campus implementing regulations, through the appropriate campus office or the Office of the President;

D. To have published annually by the University those schedules of both system-wide and campus-based fees and charges that must be paid by all students to whom the fees and charges apply as a condition of attendance. Such schedules shall not be subject to change during the year, except upon recommendation of the Chancellor or the President (as appropriate) or as required by action of The Regents. Each campus shall issue procedures as appropriate for challenging whether a particular fee or charge is due and, if it has already been paid and is subsequently determined by the campus not to be due, for securing a refund;

E. To have all academic decisions affecting their academic standing, including the assignment of grades, based upon academic considerations only, administered fairly and equitably under policies established by the Academic Senate. In professional curricula, such decisions may include consideration of performance according to accepted professional standards. Equitable grievance procedures, established pursuant to [Section 114.00](#) of these Policies, shall be developed in consultation with student representatives and implemented;

F. To petition the Academic Senate on matters within the jurisdiction of the Senate;

G. To have published annually by the University refund schedules for new and continuing students. This provision may also be satisfied by the publication by the University of annual written notice that such schedules are available electronically on the Internet on official University websites;

H. To have published annually by the University information about graduation rates of enrolled students and student athletes, as well as information in compliance with all other notification requirements to students that may be satisfied by publication, as specified by applicable law. This provision may also be satisfied by the publication by the University of annual written notice that such information is available electronically on the Internet on official University websites;

I. To receive annually from the University written information on campus crime statistics, as well as information in compliance with all other notification requirements to students that rise above simple publication to require individual distribution of the information to students, as specified by applicable law. This provision may also be satisfied by the publication by the University of annual written notice that such information is available electronically on the Internet on official University websites, subject to the additional requirement that, if the campus crime statistical information is made available by posting on the Internet, notice must be provided directly to the enrolled student that includes the exact electronic address at which the information is posted, a brief description of the information, and a statement that the campus will provide a paper copy of the information upon request (for the specific language of the requirements see the [UC Clery Act Compliance Manual](#));

J. To receive annually written information on the campus' standards of conduct regarding the unlawful use, possession, and distribution of drugs, alcohol, and other illegal substances; a statement affirming that disciplinary sanctions will be imposed for violations of the standards of conduct; a description of the sanctions; and other information as specified by applicable law;

K. To be protected against the improper collection of information on students' political and social views, beliefs, and associations;

L. To have access to, and be protected against the improper disclosure or withholding of, information from student records in accord with applicable State and federal law, [Section 130.00](#) of these Policies, and campus implementing regulations. When the law and regulations are unclear in their application, the University shall be guided by two principles: (1) the privacy of an individual student is of great weight, and (2) the information in a student's file should be disclosed to the student upon request;

M. To the extent appropriate to the circumstances, to be free from University discipline for actions committed involuntarily or under duress. However, violations committed under the influence of drugs, alcohol, or illegal substances will be subject to student disciplinary procedures;

N. To have access to equitable grievance procedures established pursuant to [Sections 111.00 and 112.00](#) of these Policies;

O. If registered for a current term on any University campus, to have access to basic outpatient health care services of any other University campus, under conditions that apply to students registered on that campus.

DEANS**ASSOCIATE DEANS FOR GRADUATE STUDIES****Re: MFA and PhD Programs: Minimum Standards for Communicating Degree Requirements, Time to Degree Policy and Individual Student Progress Toward Degree**

Over the last year the Graduate Council has requested and collected information from all academic units about how they are communicating with graduate students regarding time-to-degree policy. The Council established a subcommittee to evaluate the wide range of responses received.

Given the variety of graduate programs on the campus, and the possible complications resulting from inadequately advised students, the Council is considering a set of minimum standards for communicating degree requirements, time-to-degree policy, and individual student progress toward the degree. While the following practices are largely included in documents such as the Office of Graduate Studies' *Graduate Advisor's Handbook* (page 58) and *Student Rights and Responsibilities*, they have not yet been adopted as official policy and are not implemented by all programs consistently across the campus. Our goal is to encourage all programs to implement the following practices:

1. An annually updated graduate program handbook, made available to graduate students upon or before their arrival on the campus;
2. A required orientation for all new graduate students, where program requirements are clearly outlined and provided in writing. It is expected that these requirements will be included in the student handbooks as well;
3. Formal assignment of a graduate advisor to each graduate student at the time of first enrollment;
4. A minimum of one meeting – in person whenever feasible - between each graduate student and his/her advisor each quarter in which the student is enrolled; and
5. An annual assessment of each graduate student's progress by the student's advisor. For students with less than satisfactory progress a follow-up discussion should be held by an appropriate faculty group (e.g., a standing or *ad hoc*

committee or a regular faculty meeting.) This faculty discussion should result in a written evaluation and recommendation to the student, to be sent to the student, his/her faculty advisor, and retained in department records. There should also be an established departmental or program process for follow-up when concerns are raised in a student evaluation.

Please share this document with your program advisors. The Graduate Council invites your comments on these minimum standards and their potential incorporation as policy.

Please provide your input to the Council via Heike Rau, Academic Senate Office (ZOT 1325) no later than February 24 so it can be considered at the March Graduate Council meeting. Once any new policies are approved, the Graduate Advisor's Handbook and Student Rights and Responsibilities documents will be updated accordingly.

Thank you for your attention to this matter. If you have any questions please contact Heike Rau at x 46728.

On behalf of the Graduate Council,

A handwritten signature in black ink, appearing to read "Jutta Heckhausen". The signature is fluid and cursive, written over a light grey rectangular background.

Jutta Heckhausen, Chair

cc: William Parker, Dean, Graduate Studies

GRADUATE MENTORING, ADVISING AND MONITORING OF ACADEMIC PROGRESS POLICY
(last updated 9/2011)

Introduction

Mentoring and advising of graduate students are normal expectations for Academic Senate faculty and are essential to ensure the success of these students. For the purpose of this policy, a mentor is someone who is attentive to the professional future of the student, while an advisor is someone who directs the student on what steps are needed to graduate. One person can serve in both roles. Programs' models for mentoring and advising may vary widely. For example:

- Students may find advisors/mentors prior to being admitted.
- Students may find advisors/mentors a couple of years after they enroll.
- A program may designate one person to advise all students.
- Professional master's programs may wish to designate a staff person who has expertise about professional opportunities to provide career advice.

No matter the program or department-specific model, it is expected that each academic (master's and doctoral) and professional student receive both advising and mentoring. It is also recognized that graduate professional programs may implement standards for mentoring that are required by their national accrediting organizations.

Mentoring

Mentoring is an active and sustained relationship-based process for the formal and informal transmission of knowledge and psychosocial support relevant to professional development. The mentor is attentive to the future of the student and serves as an advocate on his or her behalf. The following are minimum standards for mentoring:

- Make students aware of mentoring standards. Develop a graduate program handbook, made available to graduate students upon or before their arrival on the campus. This should be updated annually.
- Hold an orientation for all new graduate students, where program requirements, including normal time-to-degree, are clearly outlined and provided in writing. It is expected that these requirements will be included in the student handbooks as well.
- Require a minimum of one meeting – in person whenever feasible - between each graduate student and his/her mentor each quarter in which the student is enrolled.
- Ensure that students are being advised regarding academic progress and mentored regarding professional development. It is common for the faculty advisor to also serve as students' mentor; however departments may enhance mentoring through peer mentoring, professional development workshops, and other activities. Guidance regarding both academic and nonacademic careers should be provided.

Students who feel they are not receiving adequate mentoring should consult with the Graduate Director or Chair of their Department so that they can discuss remedies and take appropriate action.

Advising

It is the responsibility of each graduate program to advise and monitor the academic progress of each student in their program. Each graduate program **must**:

- Assign a graduate advisor to each graduate student at the time of first enrollment.
- Require the faculty advisor to review student progress quarterly via a review of grades and other available information; and meet regularly (at least annually) with each student to assess progress. Advisors must meet quarterly with students who are not making satisfactory progress. Advisors may suggest that students complete the Individual Development Plan (IDP) form in preparation for a scheduled meeting. The IDP is designed to foster communication in a variety of areas to ensure the

student is receiving comprehensive feedback about both his/her progress to date and future expectations. Accomplishments, challenges and goals must be addressed as well as any performance/progress issues so that both the student and the mentor/advisor have a clear understanding of the student's progress toward the degree. **Please Note: The IDP is to be used as a student planning tool and is not a formal university evaluation or record-keeping document.**

- **Document all meetings and follow up with written communications.** In most cases it is appropriate to speak with the student in person, give him or her a copy of a letter outlining any problem areas and recommendations for remediation, and then follow up the meeting with a written summary of the conversation. Appropriate personnel, including the Graduate Dean, must be copied in cases where the student is experiencing some academic difficulty.
- Establish and adhere to specific goals and timelines for the student.
- Ensure that grades for coursework or research are consistent with the student's actual performance. If the student is not performing at an acceptable level, do not assign a grade that implies acceptable progress.
- Communicate academic deficiencies to the student in a timely manner but no later than one month after the end of the quarter in which the student demonstrated deficiencies. If the deficiencies are particularly serious, the student must be informed early that failure to meet the goals set may result in a recommendation for disqualification.
- Notice of unsatisfactory progress: Students must be given notice as early as possible in writing of potentially unsatisfactory progress. A copy must also be retained in the academic unit files and another copy sent to the Graduate Dean (120 Administration). The written communication must include specific details on areas that require improvement, provide an outline for future expectations of academic progress, and set meeting dates to maintain continuity in advisement. The purpose of the notice of potential unsatisfactory progress is to provide the student with a period of time (usually at least one academic quarter) in which to make the necessary improvement in their academic status, and successfully complete their graduate study. If requested by the academic unit to do so, the Graduate Dean will also send a notice of potential unsatisfactory progress to the student.

Monitoring

Excerpted from the *Graduate Policies and Procedures*:

Criteria for Determining Unsatisfactory Progress:

- An overall grade point average below 3.0; or
- A grade point average below 3.0 in two successive quarters; or
- Fewer than 24 units completed and applicable toward the advanced degree requirements in the last three quarters; or
- Failure to complete required courses or examinations satisfactorily within the period specified by the graduate program; or
- Failure to pass a required examination in two attempts; or
- Failure to progress academically within the Normal Time to Degree framework specified for the student's graduate program; or
- The appropriate faculty committee's evaluation that there has not been satisfactory progress toward completion of the thesis or dissertation.

NOTE: Unsatisfactory academic progress may be determined on the basis of explicit requirements such as those outlined above. However, the professional judgment of the faculty, upon review of all graduate work undertaken by the student, is paramount, and the faculty of a particular academic unit may establish more restrictive criteria for satisfactory academic progress.

If it is determined that a student is not making satisfactory academic progress following efforts at remediation, it is appropriate for a graduate program to recommend to the Graduate Dean that the student be academically disqualified. Please refer to *Graduate Policies and Procedures*, Section VI.A.3., Academic Disqualification for

policies and procedures pertaining to academic disqualification. <http://www.grad.uci.edu/forms/faculty-and-staff/Graduate%20Policies%20and%20Procedures.pdf>

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Graduate Division

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Individual
Development
Plan
(IDP)

Academic Year	Year in Program	Date
---------------	-----------------	------

Name	
Program	
NTTA (Normative Time to Advance)	
NTTD (Normative Time to Degree)	
Advisor	
Mentor	

Instructions: The student should complete the IDP in preparation for a scheduled meeting with his/her mentor and advisor. The IDP is designed to foster communication in a variety of areas to ensure the student is receiving comprehensive feedback about both his/her progress to date and future expectations. Accomplishments, challenges and goals should be addressed as well as any performance/progress issues so that both the student and the mentor/advisor have a clear understanding of the student's progress toward the degree. **Please Note: The IDP is to be used as a student planning tool and is not a formal university evaluation or record-keeping document.**

Academic Course Planning

In order to fulfill my academic goals and maintain NTTD progress, I plan to enroll in these courses.

Annual Goals:

Long Term Plans:

Mentor/Advisor Comments:



Research Planning

I will make progress on my research agenda through the following: (include collaborations, research theories that you've developed, and studies/projects that you've been involved with.)

Annual Goals:

Long Term Plans:

Mentor/Advisor Comments:

Conference/Publications Planning

I plan to attend the following conferences. The professional papers I plan to submit (include publications and submittal deadlines).

Annual Goals:

Long Term Plans:

Mentor/Advisor Comments:



Career Planning

My long and short-term career goals. Skills and competencies I expect to develop and workshops I plan to attend.

Annual Goals:

Long Term Plans:

Mentor/Advisor Comments:

Funding Planning

My plans for securing funding each year of my graduate program. (Include Dept. Funding, External Grants/Fellowships and Summer Internships)

Annual Goals:

Long Term Plans (including funding for dissertations and research projects):

Mentor/Advisor Comments:



Leadership Development Planning

My leadership skills and competencies are being developed through the following (include positions held, activities and projects, civic engagement activities etc.) My professional leadership aspirations include the following activities:

Annual Goals:

Long Term Plans:

Mentor/Advisor Comments:

Dissertation Progress Planning

I am aware of and am following the Department degree progress expectations through the following steps: (Include plans for committee membership, advancement deadlines and writing schedules).

Annual Goals:

Long Term Plans:

Mentor/Advisor Comments:

Graduate Student Signature Date

Mentor Signature Date

The following passage is taken from pages 50 and 51 of the Graduate Advisor's Handbook (<http://www.grad.uci.edu/forms/faculty-and-staff/Graduate Policies and Procedures.pdf>) procedures that are used to establish that a student is making unsatisfactory progress toward the doctoral degree.

Graduate students generally enroll in a research course (Dev Bio 200, etc.) that for academic credit in research. The faculty member is responsible for giving a grade for the research performed. **It is critical that a student that is not making satisfactory progress in research receives an “unsatisfactory” grade (B- or less, or U).** The grade is the official record of academic evaluation by the faculty member, and if a student has a history of “A”s in research, it is not possible for me as the Associate Dean to assert that a student is not making satisfactory academic progress.

2. Unsatisfactory Progress

A graduate student who has not demonstrated satisfactory academic progress is not eligible for any academic appointment/employment (see [Section IV. Academic Appointments and Graduate Student Employment](#)) and may not receive fellowship support or other awards.

a. Criteria for Determining Unsatisfactory Progress

- An overall grade point average below 3.0; or
- A grade point average below 3.0 in two successive quarters; or
- Fewer than 24 units completed and applicable toward the advanced degree requirements in the last three quarters; or
- Failure to complete required courses or examinations satisfactorily within the period specified by the graduate program; or
- Failure to pass a required examination in two attempts; or
- Failure to progress academically within the Normal Time to Degree framework specified for the student's graduate program; or
- The appropriate faculty committee's evaluation that there has not been satisfactory progress toward completion of the thesis or dissertation.

NOTE: Unsatisfactory academic progress may be determined on the basis of explicit requirements such as those outlined above. However, the professional judgment of the faculty, upon review of all graduate work undertaken by the student, is paramount, and the faculty of a particular academic unit may establish more restrictive criteria for satisfactory academic progress.



R. Michael Mulligan, Professor & Associate Dean for Graduate Studies
Department of Developmental and Cell Biology

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Memo to: School of Bio Sci Graduate Programs

From: Associate Dean Michael Mulligan

Re: Conflict of Interest Policy on Graduate Student Research

The campus has specific conflict of interest policies for graduate student research. I am sending this memo to remind and clarify School and campus policies. The campus conflict of interest policy is stated in the Academic Senate Manual and can be found at: http://www.senate.uci.edu/senateweb/default2.asp?active_page_id=760, and is appended to this memo.

A very brief overview of the process follows. Please review the following points, and refer the Academic Senate Manual policy that is appended for details.

- 1). A possible conflict of interest arises when a thesis advisor has a financial interest in the outcome of a project on which the student is working. A conflict of interest may exist even if the student's research is not supported by the financial interest.
- 2). A graduate student, the faculty advisor, graduate advisor, a member of the student's committee, or the departmental chair may identify a potential conflict of interest. In such cases, **the graduate advisor, the chair, and Associate Dean of the School should be notified in writing**. The conflict of interest should be reported as soon as it is identified, and should not wait until advancement to candidacy.
- 3). The conflict of interest information on the advancement to candidacy form (PhD Form I) that is submitted to Graduate Division must be completed. The statement on the bottom of page 3 must be completed (HAS or HAS NOT must be checked) and the page must be signed.
- 4). The departmental representative (graduate advisor or chair) will examine the potential impact upon the student. If it is perceived that there is a potential for harm to the student, then the departmental representative will nominate two faculty to serve as oversight members and submit the names to the Graduate Dean, who will then appoint one of them as an additional faculty member, termed the "Oversight Member," to the student's advisory or thesis committee. The role of the Oversight Member is to insure the faculty conflict does not impact the academic interests of the student. The oversight member will attend all committee meetings, will sign

annual committee reports and verify that the student's academic interests have been protected. The oversight member will serve as a non-voting member of the committee.

5). If the "Oversight Member" perceives an academic problem related to the conflict of interest that cannot be resolved at the departmental level, then the Associate Dean of the School should be informed in writing, and the matter will be turned over to the Dean of the Graduate Division for a resolution.

Sincerely,

A handwritten signature in cursive script that reads "R. Michael Mulligan".

R. Michael Mulligan, Associate Dean for Graduate Studies

UC Irvine Academic Senate Manual

THE MANUAL OF THE IRVINE DIVISION OF THE ACADEMIC SENATE

PART III - APPENDICES OF THE IRVINE DIVISION

Appendix XII Policy and Procedures for Implementation of Academic Senate Policy on Conflict of Interest and Graduate Education

(Approved by the Irvine Divisional Senate Assembly on May 11, 2000)

I. Definition

The term "conflict of interest" as pertains to the policy described herein refers to a financial conflict of interest as defined in Section 028 of the Academic Personnel Manual (APM), adopted April 26, 1984. More information on this and other types of conflicts of interest or on student grievance procedures are described on the Research and Graduate Studies (RGS) Website www.rgs.uci.edu and in the University of California publication entitled Policies Applying to Campus Activities, Organizations, and Students. (www.ucop.edu/ucophome/uwnews/aospol/toc.html).

II. Objective

The aim of the policy is to establish a mechanism to protect the academic interests of a graduate student in the event that a mentor, thesis, or dissertation advisor may have conflicts of interest relating to a project on which the student may be working. Such a conflict of interest may result from the faculty member having a financial interest in a project on which the student is working, whether sponsored or unsponsored. The intent is to apply the policy only to those situations in which a financial conflict of interest is perceived to be potentially harmful to the academic interests of the student. The graduate student, the faculty mentor/advisor, a departmental representative (either the graduate advisor or chair), or the campus Conflict of Interest Oversight Committee (COIOC) can initiate the procedures, as described in Section V, to deal with the perceived conflict of interest. **The procedures described herein must also be considered in conjunction with the Academic Senate Irvine Regulations governing graduate student committees: IR830, IR915, IR918, and IR920 on this same website -- Part II. Regulations of the Irvine Division.**

III. Summary of Mechanism

When a graduate student, the faculty mentor/advisor, graduate advisor, departmental chair, or the campus Conflict of Interest Oversight Committee (COIOC) identifies a conflict of interest, a departmental representative should be notified in writing. The departmental representative, who may be the graduate advisor or chair, will then examine the potential impact upon the student. If there is a potential for harm to the student, then an additional faculty member, termed the "Oversight Member," will be appointed to the student's advisory and/or thesis/dissertation committee to insure the faculty conflict does not impact upon the academic interests of the student. If the "Oversight Member" perceives an academic problem related to the conflict of interest that cannot be resolved at the departmental level, then the matter will be turned over to the Dean of Graduate Studies for a resolution.

IV. Responsibilities

A. Academic Unit

1. The academic unit is responsible for insuring that graduate students are properly notified about the nature and risks of faculty conflicts of interest as well as the University definition and policy regarding such conflicts. It is recommended, for example, that the policy be included in the departmental student handbook. The academic unit is encouraged to communicate orally at least once per student tenure, in a format of the unit's choosing, the University policy on conflict of interest matters as well as the procedures designed to protect the academic interests of the student. The academic unit is also responsible for notifying the graduate students of the identity of a designated resource person who is available to advise students in circumstances in which there is a perceived faculty conflict of interest. The designated resource person will serve as the departmental representative in all matters related to the conflict of interest issue and should be the departmental graduate advisor unless this person is the conflicted faculty member. In such cases, the department chair should advise the student and serve as the departmental representative as described herein.

2. The academic unit is responsible for insuring that faculty members have a written copy of the APM-028 section on conflict of interest and other related policies and guidelines, and for insuring that faculty are familiar with the ways in which the policy might impact a mentor's relationship with a graduate student.

B. Mentor/Thesis/Dissertation Advisor

Each faculty member serving as a mentor or thesis or dissertation advisor to a graduate student is responsible for disclosing any conflict of interest that might in any way be pertinent to the research conducted by the student. In doing so, the faculty member should use criteria as outlined in APM-028, regardless of whether the company/entity is sponsoring research at the University. The faculty member is also responsible for notifying the student and the designated resource person of the academic unit of his or her conflict of interest in a timely manner. Timely manner means that the faculty member should notify the departmental representative and the student at the time that the student is considering a thesis or dissertation topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first.

C. The Office of Graduate Studies (OGS)

The Office of Graduate Studies shall provide written information on conflict of interest policies and procedures. In a brief statement, the information should include the definition of conflict of interest as pertains to this document; describe the nature of potential conflicts of interest and provide brief examples; describe the possible harmful effects on the academic interests of the graduate students; and provide a list of University resources that can be consulted. The statement should also encourage students to first attempt to resolve their concerns informally within the academic unit, beginning with the designated resource person, and secondarily, if necessary, to initiate the formal procedures detailed herein. The statement should also be included in appropriate publications, including the Graduate Advisor's Handbook and the Survival Guide for Graduate Students, on the RGS Web site, and on Forms I and II (Advancement-to-Candidacy and the Final Exam for doctoral students), and on the Advancement to Candidacy and Final Report form for master's students. At any time, the student can also seek the advice of one of the identified campus-wide resource persons, who include the Dean of Graduate Studies, Associate Dean of Graduate Studies, and the Ombudsman.

V. Procedural Details

A. A conflict of interest issue may be raised at any time at the level of the academic unit by the graduate student, the faculty mentor/advisor, a departmental representative, or the campus Conflict of Interest Oversight Committee.

B. The conflict of interest issue shall be reviewed and discussed with the relevant parties to determine if the conflict has the potential to negatively impact upon the academic interests of the student. The conflict of interest issue shall be handled by the designated resource person in an academic unit, preferably the graduate student advisor. If the designated resource person is also the student's conflicted faculty mentor/advisor, then the departmental chair shall handle the matter. In situations in which the departmental chair is the student's conflicted faculty mentor/advisor, the designated resource person shall handle all matters.

C. If the conflict of interest poses minimal risk of harm to the academic interests of the student, then the designated resource person in the department shall write a brief statement to that effect, and shall include a summary of the situation and the reasons for the decision. If there is agreement with the statement, the student and conflicted faculty member shall co-sign the statement. The signed statement shall then be deposited in the student's file and a copy forwarded to the Dean of Graduate Studies. Copies should also be provided to the co-signers. Should any party become aware of new information impacting the academic interests of the student, the decision that the faculty conflict of interest does not appear to have a negative impact on the student can be reviewed and overturned. If, however, either the student or the conflicted faculty member does not agree with the statement after suitable revisions have been attempted by the designated resource person, then the conflict of interest matter should be referred promptly to the Dean of Graduate Studies for final resolution.

D. If the conflict of interest issue includes a component that may be harmful to the student, then the designated resource person in the department shall notify the Dean of Graduate Studies in writing and request that the Dean of Graduate Studies appoint an "Oversight Member" to the student's research advisory and/or thesis/dissertation committee. The "Oversight Member" shall not be implicated in any way with the conflict of interest issue, but if at all possible, should be familiar with the student's research interest.

E. The Dean of Graduate Studies shall select an "Oversight Member" from a list of three nominations agreed upon by the student, the faculty research advisor, and the designated resource person in the department. If no agreement can be reached on three nominees, the designated resource person shall select the nominations.

F. The "Oversight Member" shall participate, as a nonvoting *Ex Officio* Member, on all student research advisory and/or thesis/dissertation committee meetings. The "Oversight Member" shall be aware of the conflict of interest issues and relevant campus policies. If there do not appear to be any harmful results from conflict of interest issues, the "Oversight Member" shall sign a brief statement to that effect after each committee meeting. The "Oversight Member" shall also sign the advancement to candidacy and final exam forms below the signatures of the voting committee members. A copy of these forms together with the oversight member's statements on the impact of the conflict of interest, shall be placed in the student's file as well as forwarded to the office of the Dean of

Graduate Studies. However, if the "Oversight Member" perceives that there is a problem arising from conflict of interest issues, then the "Oversight Member" shall not sign the advancement to candidacy or final exam forms summarizing the committee deliberation, but shall instead inform the Dean of Graduate Studies in writing. Regardless of the impact of the conflict of interest on the student, the "Oversight Member" shall not halt the proceedings during the course of an oral examination.

G. If the "Oversight Member" perceives that a potentially harmful situation to the student has arisen as a result of conflict of interest issues, and has so informed the Dean of Graduate Studies in writing, then the Dean of Graduate Studies is responsible for determining a solution.

Appendix XII was added to the Irvine Division Senate Manual and Web Site on January 3, 2002)