MEETING CALL
REGULAR MEETING OF THE REPRESENTATIVE ASSEMBLY
OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

Thursday, April 25, 2024
2:10 – 4:00 p.m.
Student Community Center Multipurpose Room

*Consent Calendar. Items will be removed from the Consent Calendar on the request of any member of the Representative Assembly.

All voting members of the Academic Senate (and others on the ruling of the Chair) shall have the privilege of attendance and the privilege of the floor at meetings of the Representative Assembly, but only members of the Representative Assembly may make or second motions or vote.

UNIVERSITY OF CALIFORNIA DAVIS ACADEMIC SENATE
VOLUME LII, No. 3

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Judy Van de Water, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

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MEETING SUMMARY
REGULAR MEETING OF THE REPRESENTATIVE ASSEMBLY OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

Thursday, February 22, 2024
1:10 – 3:00 p.m.
International Center Multipurpose Room

Winter quarter is a busy season for budget discussions at the State and the campus level. Presuming a $38 billion shortfall in revenues for the state (though recent LAO analysis put up the shortfall around $73 billion), the Governor unveiled a new plan to defer the 5% increase in the UC budget as part of the third year of the compact to the next budget cycle at which time the UC will receive a 10% augmentation in its budget. This assumes that the UC will continue to monitor and respond to its obligations under the compact, such as increasing access to the UC; improving student success and advancing equity; and increasing the affordability of a UC education. It is expected that the funding gap would be filled by either internal or external borrowing by the Office of the President. We will continue to monitor the situation and things may be clearer by the time the Governor submits his May Revision.

Our campus's budget cycle started with the Budget Retreat, organized by the Committee on Planning and Budget in January. Provost Croughan reaffirmed her continuing support for the cost increases for core-funded academic student employees (TAs) through spring quarter 2025 and her commitment to a 4.2% salary increase for faculty and non-represented employees, pending funding, in her Preliminary Budget Framework Communication sent this week to the deans and administrative leaders.

The final Budget Framework Letter from Provost Croughan, expected in early March, will detail campus priorities and plans for the next year, and trigger the budget discussions at the college and school level in which the Faculty Executive Committees will participate. Faculty Executive Committees will provide their assessments to the Committee on Planning and Budget who will then communicate the Senate's feedback on the unit's budget outlooks to Budget and Institutional Analysis for incorporation into the Provost's final fiscal decisions, expected in June.

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This is also a busy season for the Request for Consultations, fondly known as RFCs. We had quite a few asks this year both from the systemwide and internally, and we need to do our best to respond to these thoughtfully and deliberatively to fulfill our shared governance responsibilities. I ask you to keep an eye out for the RFCs coming your way through various senate committees including the Faculty Executive Committees. Let me highlight a few of these.

In the fall meeting, I told you to expect an RFC on the selection process for our divisional leadership. That RFC process has been completed and the committee responses are available on the link provided as part of this meeting call. Following a discussion at the January Executive Council meeting, and guided by the RFC responses, Executive Council charged the Committee on Committees to submit a proposal to augment the selection process for divisional leadership. That new RFC was issued last week, and you all have a chance to weigh in on it through your committees, including and especially the Faculty Executive Committees of your schools and colleges.

There are two systemwide RFCs of note. The first one is about the proposed Regents Policy on Use of University Administrative Websites, which will be considered for action at the March 2024 Board of Regents meeting. Its preamble states: "The main landing page of a Unit's website shall only be used for purposes of conducting the official business of that Unit. Such page shall not be used for purposes of expressing the personal or collective opinions of Unit members, as other means of publishing those opinions are available." Our current campus policy on this is also attached to the RFC. This is now in progress, and I urge you to provide feedback.

The second RFC is about the Area H requirement in UC admissions. This is coming your way shortly. This RFC is a revision to Senate Regulation (SR) 424.A.3 presented by the Board of Admissions and Relations with Schools (BOARS) for a second systemwide Senate review. The amendment introduces an ethnic studies requirement for freshman admission to the University. The addition of Area H aligns the University with the state of California's new ethnic studies graduation requirement for all public high school students (AB 101) by incorporating Area H into the existing A-G subject requirements. It does not increase the overall number of required courses in the A-G pattern, but rather stipulates that at least one high school course used to fulfill another A-G area must be an approved course in ethnic studies. The proposal has been revised in response to Academic Council comments following an initial systemwide Senate review in winter 2020-21. The revised proposal includes an updated set of course criteria and guidelines for Area H. Again, your feedback will be crucial.

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As I said before, as members of the Representative Assembly, you are the voice of your departments in the Senate and the Senate's voice in your departments. Your continued engagement is greatly valued and appreciated. Thank you.

Judy Van de Water, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

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April 1, 2024

Clare Shinnerl
Vice Chancellor, Finance, Operations and Administration

RE: Aggie Enterprise

Dear Clare,

Over the past few weeks, I have gathered comments from campus units regarding their experience with Aggie Enterprise. The feedback that was shared with me is concerning, and there appear to be many unintended consequences of the system transition that the administration may not be fully aware of. While I provide a brief overview of the concerns shared with me below, I encourage you to read the enclosed outline with compiled feedback on Aggie Enterprise in its entirety.

Training

Many units noted that the knowledge base articles and videos provide an overview of basic functions in Aggie Enterprise but fail to offer any instruction regarding essential tasks such as reporting. As a result, staff must rely on trial and error to learn. Faculty must also spend many hours attempting to learn how to perform tasks in the new system which takes essential time away from research, teaching, and public service.

Recommendations

- Develop in-person and/or instructor-led training.
- Create department and role-specific training materials.
- Simplify the existing training materials and target them toward occasional users.

Support Services

Several comments stated that the quality of Aggie Enterprise support services has declined over time. Some units report waiting up to a month for a response, while others have yet to receive an answer at all. I acknowledge that there has been an influx of questions and requests for assistance since Aggie Enterprise launched, however, these requests must be answered in a timely manner for key business and operations to continue to function.

Recommendations

- Develop a contact list that clearly indicates the “experts” in specific functions that users can reach out to with questions.
- Increase support staff to allow for timely resolution of questions and issues.

Reporting

Reporting is another area of major concern. Currently, the reporting tools in Aggie Enterprise provide raw, unprocessed data that forces staff to download multiple spreadsheets, create pivot tables, and perform manual calculations to determine key information. As a result, staff are

spending more time running reports. Staff may also make unintentional errors during manual calculations that can be consequential for critical business, such as determining future department budgets. A potential solution to this problem may be the "Smart View" feature, which is currently used at UC Merced and UC San Diego. This feature would allow for the creation of reports from a combination of data sources and may alleviate many of the burdens staff are currently facing.

Recommendations

- Develop more efficient reporting tools that allow users to quickly determine key information without having to perform manual calculations.
- Collaborate with UC Merced and UC San Diego to determine best practices, methods, and tools such as "Smart View" to ease the transition to Aggie Enterprise for the campus.

Accounting

Additionally, faculty and staff have shared the issues they are facing regarding accounts. Many departments stated that their accounts have been mapped incorrectly during the migration process from the Kuali Financial System (KFS), forcing staff to manually correct large numbers of inaccurate mappings. This is time consuming and tedious work that takes staff away from other essential tasks and, as one comment states: "creates fiscal uncertainty for faculty and departments."

Faculty have also expressed concern that they cannot see their account balances. Some faculty have had to deobligate new funds back to sponsors because the deadline for spending expired while information on account balances is unavailable. Others are waiting for new grant funds to be transferred because chart strings are still being generated. Several units commented that there is no way to ensure that unauthorized spending is not occurring because they can't access their balances or expenses. As a result, many faculty feel that they must stop or delay their research activities altogether.

Recommendations

- Prioritize the development of a tool or function that allows easy access to account information for faculty and staff.
- Provide monthly ledger review information from the campus that provides detailed information about expenses for each grant.
- Ensure that new funds are received in a timely manner to avoid delays for research operations.

Ordering and Purchasing

A common thread throughout the comments that I received is that processes that were once simple have become overly complicated. This seems to be the case with ordering and purchasing, which many have described as "cumbersome" or "completely debilitating." Users must now search multiple punchouts to compare costs, cart assigning is not possible, and essential vendors are no longer available. Many comments also noted that account strings must be entered for each

item during the check-out process. In some cases, these account numbers are longer than 40 characters and have to be entered multiple times.

Recommendations

- Improve the check-out process to allow for one account string to be entered for one order.
- Allow users to assign shopping carts to purchasers.
- Develop a function that automatically fills in repeated information (i.e., account strings, addresses, etc.).

Staff Workload

Nearly all units commented on the increased burden staff have endured since the transition to Aggie Enterprise. Many commented that staff morale is decreasing while their workload has increased to unsustainable levels. The university already faces difficulties hiring and retaining talented financial staff due to the current employment market. The turbulent transition to Aggie Enterprise may be exacerbating the campus's existing staffing issues and ultimately lead to lost revenue and staff over time. Furthermore, there is a critical gap in staff support for non-financial tasks, and no budget has been allocated to fill this gap. This has the effect of pitting faculty and staff against one another; staff are unable to complete their work and faculty feel frustrated. Neither party is to blame, but a solution must be identified that is beneficial for both faculty and staff.

Recommendations

- Provide short-term resources that allow units to hire additional staff or contractors. This will allow existing staff members to focus on Aggie Enterprise while ensuring that non-financial tasks are not ignored.

Operational Bottlenecks

Functions previously belonging to departments have been moved to central campus, forcing departments to submit ServiceNow tickets for problem resolution and initiating tasks such as expense and revenue transfers. One comment noted that the turnaround for these tickets is multiple weeks at best. This is inefficient and leads to needless delays in processes that were once simple.

Recommendations

- Allow departments to have the same authority over tasks that they previously could initiate themselves in the Kuali Financial System (KFS).

Communication

Communication from the Aggie Enterprise team has been lacking. Staff commented that they feel that they have to guess whether the system will work or not every day. Even if notifications are sent regarding issues or system updates, no timelines are provided for resolution. An additional related concern is that options for user feedback are limited. The surveys provided do not allow users to submit comments or recommendations related to their experience with Aggie

Enterprise. It is essential that the current issues the campus is facing with this transition are heard and taken into consideration moving forward.

Recommendations

- Establish consistent communication guidelines and protocols that keep all users updated about system issues and changes with timelines for resolution.
- Create surveys that allow users to provide comments that are considered by the Aggie Enterprise team moving forward.

Financial Obligations

It was reported that vendors and bills are not being paid in a timely manner, which is a frustrating reality for all involved. Some commented that they have been locked out of accounts for projects functioning on grant extensions, making it impossible for them to pay student employees and contractors for their work. Others noted that the issues with Aggie Enterprise have placed stress on their contractual obligations, particularly for those who run research programs. This is damaging, not only for individual faculty, but for the university as a whole.

Recommendations

- Evaluate how the transition to Aggie Enterprise has impacted payments to external vendors and contractors to determine next steps.

The issues that are currently being faced with Aggie Enterprise will have impacts on the campus budget consultation process. While, ideally, we would work through the normal campus budget process and timeline, many units may not be able to provide an accurate budget. It may be prudent to rethink the timeline, as it is unclear how inevitable budget inaccuracies will be managed.

The campus community has worked through the transition to Aggie Enterprise as well as we can, however, action must be taken to address the concerns of faculty and staff. Many of these concerns will not be resolved overnight; however, I strongly encourage you to look into the recommendations and comments provided in this letter and the enclosed outline immediately. A partnership between the Academic Senate and the administration is essential to develop effective and equitable solutions to the challenges we are currently facing. I look forward to receiving your response to the concerns shared by many units across campus and hearing about the efforts being made to improve Aggie Enterprise.

Sincerely,

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate
Distinguished Professor of Chemical Engineering
University of California, Davis

Enclosed: Aggie Enterprise Compiled Feedback

c: Gary S. May, Chancellor
Mary Croughan, Provost and Executive Vice Chancellor
Karl Engelbach, Associate Chancellor and Chief of Staff
Jason Stewart, Assistant Executive Vice Chancellor and Chief of Staff
Martin H. Smith, Chair, Academic Federation
Dan Ransom, Chair, Staff Assembly
Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate

April 1, 2024

RE: Aggie Enterprise Compiled Feedback

Below is an outline of the feedback received regarding Aggie Enterprise, grouped by common concerns and experiences. Unless quoted directly, all feedback has been paraphrased.

Notable Quotes from Feedback

- "The transition to Aggie Enterprise has essentially paralyzed research operations, significantly demoralized staff, made it impossible for faculty to responsibly allocate extramural research dollars, and it appears that senior leadership either is unaware of the situation, believing the transition has gone well, or is willfully ignoring the crisis."
- "While these issues are problematic for a variety of reasons, from the faculty perspective I worry that faculty will become hesitant to apply for research grants and/or will spend inordinate amounts of time on administrative tasks because: (a) we can't complete the basic business functions associated with that research and (b) we are accountable for accurate reporting about how we spend our funds, an extremely difficult task in the new financial system. In addition, it adds to an already challenging mentoring environment to not be able to hire or pay graduate students and post docs due to issues with our financial systems. For these reasons, we urge the administration to do more to support implementation of Aggie Enterprise."
- "A quote from one of our staff members sums up her experience so far: 'It doesn't seem to be a very efficient system. It creates more work that doesn't feel productive and makes a simple transaction very time-consuming.' Across the campus we hear how difficult it is to hire and keep good finance folks, especially those with contracts and grants experience. We (both our department and the collective campus 'we') are extremely understaffed in the finance and contracts and grants area. The staff that we do have are already burnt out and over worked. This new system is making things even worse."
- "Aggie Enterprise is not just a new chart string; it's not just a new accounting application; it's an entirely new way of doing business."

Training

- As one comment states: "There is a critical gap in training and support for [Aggie Enterprise] users. The provided materials and sessions do not cover essential tasks and processes, leaving staff to self-educate through trial and error. This lack of adequate training has led to significant inefficiencies and frustration."
- Several units noted that the training provided via knowledge base articles, demonstrations, and videos have offered a general overview of basic functions, however, they do not take into account department- and role-specific tasks.
- Many units commented that the learning curve for Aggie Enterprise is steep. They felt that hands-on, guided, or in-person training would be helpful.

- Regarding the test environments used pre-launch, several units pointed out that they contained old, inaccurate data and depicted a different user interface than what is currently accessible.
- Faculty highlighted that the training material seems targeted to those already familiar with the system, adding to the amount of time that faculty are spending on Aggie Enterprise rather than performing productive research. Training needs to be geared toward occasional users to limit an already heavy faculty workload.

Support Services

- Several users commented on the increased wait time for responses to questions, with some not receiving answers for over a month. Others noted that they received no response at all from the Aggie Enterprise staff.
- Additionally, knowledge regarding the platform seems to be decentralized, leaving some with in-depth expertise regarding one area but a lack of substantive understanding about other areas. This has led to staff being directed to knowledge base articles or videos to get their questions answered in Office Hours.
- Some units expressed that it is unclear who to contact to address questions or issues they may be facing with Aggie Enterprise.

Reporting

- Regarding reporting, the current reporting tools provide raw, unprocessed data. Staff have to perform manual calculations using pivot tables to derive meaning from these spreadsheets – a time-consuming task that creates greater room for error.
- The data yielded from Aggie Enterprise reports requires staff to download multiple spreadsheets to determine account information. These are often memory-heavy files that cause staff computers to repeatedly freeze when working on accounts.

Accounting

- While some faculty have been able to see their current funds, they cannot see what was spent or what was added to accounts.
- Many units added that Aggie Enterprise uses long account strings that are greater than 40 characters. From a practical perspective, having to enter long account strings for single expenditures is tedious and inefficient.
- Teaching has been disrupted because certain chart strings have not been available in time for essential materials such as examination copies.
- Several units note that carryforward balances are inaccurate. Some point out that major, manual corrections to data are needed, making it difficult for staff and faculty to perform daily tasks or determine where a department stands financially. This is particularly worrisome given that accurate financial information is essential for upcoming budget presentations.
- For some departments, every account was mapped incorrectly which forces staff to manually correct balances and redirect them to their intended locations. This is a time-

consuming process that requires staff to check "thousands of lines and correct large numbers of erroneous mappings."

- A recurring point of concern is that faculty do not have access to account and funding information. As one comment puts it: "Essentially, we are spending money and just hoping the funds are there…" Additionally, a lack of clarity on funding makes it difficult or nearly impossible to ensure that unauthorized spending is not taking place.
- For some units, funding did not migrate correctly from KFS. This has led to funds being transferred to the wrong accounts, requiring manual intervention from staff.
- Others point out that Aggie Enterprise has made it difficult to process new funding in a timely manner. For faculty who have short time frames to spend certain awards, this is particularly problematic.
- The inability to access account balances has led to delays not only in research and purchasing decisions but has impacted hiring decisions as well.
- Faculty feel that they need to halt or delay activities under the reporting, purchasing, and grant accounting areas due to difficulties they are facing.
- As one comment notes: "One of the issues that was raised was that faculty have had the experience of having to deobligate funds back to sponsors because the deadline for spending the funds expired while information on account balances is unavailable."

Ordering and Purchasing

- Ordering and purchasing have become cumbersome, with some commenting that Aggie Enterprise has made these functions "completely debilitating."
- Some units have turned to workarounds, noting that purchasers have had to order necessary products directly rather than going through Aggie Enterprise.
- Three units commented that many vendors that were meant to be available when Aggie Enterprise launched are not listed yet. Some of these vendors are critical to unit business.
- One unit noted that Aggie Catalog doesn't contain vendors outside of the core stores on campus, making finding items more complicated. Users have to search multiple punchouts to ensure the best price.
- Catalog purchasing seems to be less efficient and cost-effective. Units report that comparing prices has become more difficult leading to increased costs for researchers.
- Regarding deliveries, some labs have been forced to use Google Sheets or Excel to track packages manually because it takes too long to search for each order. For others, orders disappear altogether so it is impossible to track them.
- It was noted that Aggie Enterprise cuts off key information for shipping labels, leading to misdelivered or unlabeled items being received.
- A few units pointed out that PIs are unable to see and approve purchases before they are made. This makes it difficult for them to have oversight and plan spending.
- In some units, staff have had to ask other units to purchase necessities such as printer toner on their behalf because they can't figure out how to do so through Aggie Enterprise.

Staffing and Compensation

- Nearly all units that provided feedback were concerned that Aggie Enterprise has increased their staff's workload. Several commented that the transition has decreased staff morale, contributing to burnout and dissatisfaction with Aggie Enterprise.
- Several reasons that staff workload has increased include correcting converted data from KFS, performing manual calculations, and correcting account mappings.
- Others commented that staff have virtually no time to focus on anything but Aggie Enterprise, leaving a critical gap in staff support for other, non-financial tasks. There is no budget to fill this gap.

Operational Bottlenecks

- The centralization of key processes has created bottlenecks and delays for departments, colleges, and schools. As one comment states: "Many functions previously given to individual departments now require tickets to be submitted for central processing. The turnaround for these tickets is multiple weeks."

Communication

- Several departments, schools, and colleges note that communication about system issues, updates, and changes is lacking. This has contributed to confusion, frustration, and a feeling that staff need to "guess" what will or won't work every day.

Financial Obligations

- The issues that departments, schools, and colleges are currently facing with Aggie Enterprise have had negative external impacts. Faculty who run research programs commented that issues with Aggie Enterprise are putting stress on their contractual obligations. This is damaging to external relationships and may impact the university as a whole.
- Many departments and programs have not been able to pay vendors or grant contractors. This has led to a sense of frustration for all involved and put a strain on these relationships.
- A few units note that they have not received reimbursements for months, have not been able to pay academic student employees, and departments have been unable to process payment requests.

Specific Issues

- Numerous specific issues were identified through the feedback provided. These include:
    - The inability to process journals because the balances are not correct.
    - Ledger charges appearing that staff cannot identify.
    - Invoices being sent without any backup documentation attached, making it necessary to search within a unit's internal file system or through Aggie Enterprise to determine and understand what has been sent.
    - Duplicate project codes and account numbers for different grants.
    - Missing accounts.

- Emeriti, graduate students, and without-salary employees are not granted access to Aggie Enterprise by default.
- An inability to process and update invoices, travel, and personnel funding after budget end dates.
- PIs are unable to see salary and benefit cost information, making it challenging to determine whether lab personnel are being properly compensated.
- Erroneous categorization of certain non-grant funds under grants and contracts that makes manual intervention or guesswork necessary.
- When sending form submissions, staff are either not notified that there was an error in the form, or the form is returned with a note to correct without context.
- Large sums of money appearing in accounts that are not associated with a particular unit, followed by overcorrections that remove too much money from these accounts.

Recommendations

- The units that participated provide many recommendations for the Aggie Enterprise team to consider:
  - An evaluation of the current system that considers user feedback.
  - Collaborating with campuses that are further along in Oracle implementation, such as UC Merced and UC San Diego to determine best practices and features that might be helpful, such as the "Smart View" feature which may be an asset to users that manage accounts.
  - Introducing standard reporting features and processes that provide clear, concise, and useful financial information from a departmental perspective that is aligned with the new chart of accounts.
  - Creating a report that mimics the DaFIS Report 1.
  - Developing deliberate and comprehensive training modules that cover critical aspects of Aggie Enterprise and consider role-specific responsibilities.
  - Hosting hands-on, in-person trainings in the new system that allow participants to practice running reports with their unit's data.
  - Increasing the availability and effectiveness of support services.
  - Improving the Aggie Enterprise Help Desk ticket categories.
  - Establishing consistent communication guidelines and protocols that keep all users updated about issues and changes.
  - Implementing a notification system for payment request form submissions.
  - Improving the routing and notification of documents submitted.
  - Sending notifications when suppliers and vendors are added.
  - Allowing users to assign shopping carts to purchasers.
  - Simplifying the check-out process for ordering.
  - Improving the system controlling default shipping addresses and allowing users to enter one shipping address and one vendor per order rather than having to enter these for each line item.

- Providing monthly ledger review information from the campus that provides detailed information about expenses for each grant.
- Developing a system that verifies the accuracy of data transferred from KFS.
- Developing the ability for research projects to post expenses to the next year's account on a multiyear project if an award notice is delayed.
- Integrating with OnCore.

April 11, 2024

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate
Distinguished Professor of Chemical Engineering
University of California, Davis

Dear Ahmet,

Thank you for sharing the Academic Senate's initial experiences with Aggie Enterprise.

On behalf of the project team, I acknowledge that during this learning phase workload increased and confusion was introduced. I also recognize that some backlogs did not clear as quickly as planned. Despite challenges over the first three months, I believe the transition is progressing reasonably well and I appreciate everyone's hard work and commitment to reporting and resolving issues.

I hope the responses below are helpful.

Aggie Enterprise tickets are monitored and being resolved. In February and March, 30% of finance tickets were resolved within 24 hours, and an additional 30% were resolved within one week. Admittedly, 40% of finance tickets are more complex or were part of a backlog from when Kuali was taken offline in late 2023 to prepare for the conversion to Oracle (Aggie Enterprise). Fortunately, we are increasing the staff dedicated to addressing the backlog and anticipate continued improvement in ticket resolution time. In Procurement, tickets take on average four days to resolve.

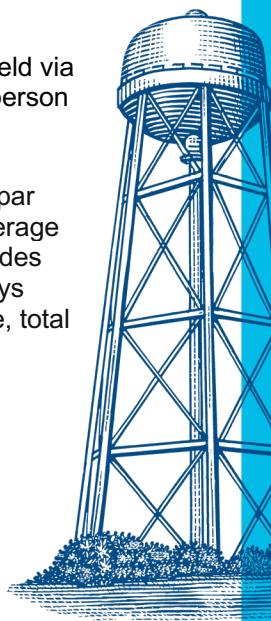
There are no records of egregious matters, such as "deobligating new funds back to sponsors," or "unauthorized spending." If anyone believes they are in this situation, they should immediately contact the Aggie Enterprise Help Desk.

Training is improving based on user feedback, and our finance and procurement experts continue to assist. Those who attend our frequent office hours with breakout rooms rate their experiences highly. Since training needs and interests vary among users, from frequent users to novices, we offer training based on job roles.

Training sessions are being held for specific user groups and offerings are being refined based on feedback. For example, a recent session was held for Development Officers to help them locate gift fund balances. Upcoming sessions on reporting topics will address "How to run and interpret all activity on a project" and "How to view costs on a project." Users are encouraged to request topic-specific sessions through the Aggie Enterprise Help Desk.

Expanding to in-person training in late April. Since October, instructor-led classes have been held via Zoom which have been, thus far, preferred. Based on Academic Senate feedback, we will give in-person trainings another try this spring quarter.

Supplier payment times have decreased. Payments to suppliers in Aggie Enterprise are now on par with the time it took to issue payments to suppliers in Kuali. In March, payments were issued on average nine days after the invoice was received in Oracle, with roughly half paid within two days. This includes processing time within procurement and approval times. Our processing stats do not include the days while invoices are held locally. We anticipate that once local units become more familiar with Oracle, total processing time will decrease.



Building out reports. A Reporting Working Group has been revitalized to address report gaps and advocate for enhancements. Additional input is welcome through the Aggie Enterprise Help Desk. Users can check progress made toward improving reports in New Report requests. Reports have been developed in Oracle and we are also leveraging IBM's Cognos tool. As does UCSD, our budget office employs SmartView as part of the Planning module. At this time, neither campus utilizes SmartView extensively.

Significant efforts have been undertaken by departmental staff to map the old UC Davis Full Account Unit (FAU) to the new UC Systemwide Common Chart of Accounts (CoA) and validating data after the conversion. Mapping and conversion cleanup activities remain a partnership between finance and unit teams, and we are expected to be completed by the end of the month. Thankfully, these are one-time efforts. Since there is a solution, the lack of a mapped or correctly converted account should not be perceived as creating fiscal uncertainty.

Account balances are available. While unfamiliarity with accessing account balances causes uneasiness, account balances are available. This uneasiness should not lead to an assumption that unauthorized spending has or could occur. Anyone unable to see their account balances can follow these steps or attend an office hour.

Regarding sponsored project award setup, there was a backlog caused by the six-week freeze of Kuali prior to the conversion to Oracle. We hope that the negative experiences are primarily from several months ago. Additional staff have been added to the contracts and grants accounting department, positioning the team to avoid significant backlogs in the future.

Procurement modules in Oracle operate differently from Kuali, but there are some features that expedite processing in Oracle, such as adding a favorite chart string which eliminates the need for account numbers to be reentered. Oracle's shopping carts are more limited, so a workaround has been developed and we encourage those who buy products to check out our video on how to window shop. We issued recent communications to raise awareness of existing functionality that allows users to assign shopping carts to purchasers and edit multiple lines on a requisition.

Some functions must now be performed centrally to improve the integrity of records, including account setup, asset creation, initiating an invoice, and updating supplier records. For transactions initially recorded in Kuali, salary transfers also needed to be performed centrally. All new salary transfers can be done locally. Local units can submit expense and revenue transfers in Aggie Enterprise, except for UCPath data which also had been previously restricted in Kuali.

Regular communications are sent to users, including weekly emails with tools available for subject areas. We are also committed to promoting our Known Issues and Approved Change Requests, leveraging Oracle Guided Learning to provide real-time guidance, and highlighting available feedback mechanisms.

Given the complexities of a financial system conversion, we should all expect that it will take a while before we can call Oracle "smooth sailing." You can count on me and the Aggie Enterprise team to respond to issues and do our very best to help the UC Davis community.

Sincerely,

Clare Shinnerl
Vice Chancellor
Finance, Operations and Administration

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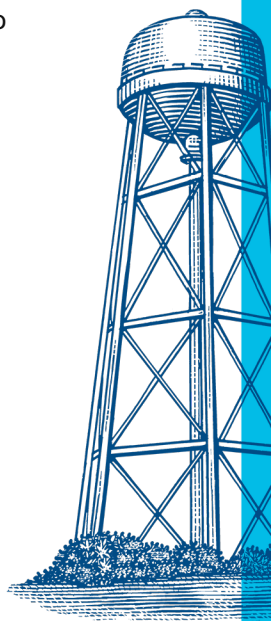

February 26, 2024

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Designated Emphasis (DE) Policy and Procedure Guidelines and DE Course Requirements Template

Dear Ahmet:

At its meeting on February 23, 2024, Graduate Council (GC) approved revisions to the DE Policy and Procedure Guidelines (GC1988-01) and DE Course Requirements Template. A memo summarizing the full policy revisions is enclosed; this letter describes the major policy revision approved, the rationale for this policy revision, and the next steps for implementing this policy revision.

The major revision to the DE policy that GC approved eliminates the need for and process of Ph.D. program affiliation. Under the previous policy, new DEs would need to affiliate with at least two Ph.D. programs in order to be approved. After establishment, Ph.D. programs could request to affiliate with DEs, which was a lengthy process that programs would do so their students could enroll in DEs. Because DEs have their own admission requirements and all students must get approval from the DE Chair and their graduate program chair to enroll in a DE, forcing students to also wait for program affiliation created unnecessary delays in DE enrollment that impacted other degree milestones (e.g., delays in scheduling/taking Qualifying Exams (QEs), since a member of the DE must serve on the QE committee). Upon further examination, it became clear that the affiliation process did not add sufficient value to justify the work it involved (i.e., faculty votes from the DE and Ph.D. program approving the affiliation; letters from the DE and Ph.D. program; two-stage review and approval process by the Educational Policy Subcommittee (EPC) and GC). Eliminating the affiliation process will not compromise faculty membership in a DE (faculty can already become members of DEs without being in affiliated programs, as established in the DE bylaws), lead to a proliferation of DEs (since EPC and GC must still evaluate and approve DEs), or lead to a proliferation of students enrolling in DEs (since students must still meet the DE's admission requirements and receive approval to enroll from the DE Chair and their graduate program chair).

After consulting with Graduate Studies, EPC worked to update the DE policy to remove the affiliation process and replace it with a mechanism to ensure adequate support for the DE upon establishment. Since it is important that new DEs clearly identify the departments/graduate groups that will be offering courses to DE students, new DE proposals must include Memoranda of Understanding (MOUs) that detail the course offerings that departments/graduate groups will provide to DE students, any enrollment limitations, and so forth. Once established, DEs may update their course offerings to include courses from other departments/graduate groups, but they must also submit MOUs with these other departments/graduate groups as part of the process of updating their course requirements and receiving approval for these curricular changes from EPC/GC.

The policy and template are effective immediately. The Graduate Council and Educational Policy Subcommittee (EPC) analyst, Kelly Adams, will work with Graduate Studies to communicate these policy changes and the next steps for the programs affected by these policy revisions. To mitigate the workload for DEs in the immediate term, DEs will be allowed to retain their current affiliations and

will gradually be converted to the MOU structure during program review or during the process of updating their course requirements.

The approved policy and template will be uploaded to the Graduate Council Policies webpage.

Please find enclosed:

1. Memo summarizing the revisions to the DE Policy and Procedure Guidelines (GC1988-01)
2. DE Policy and Procedure Guidelines (GC1988-01) – clean copy
3. DE Policy and Procedure Guidelines (GC1988-01) – tracked changes
4. Previous DE Policy and Procedure Guidelines (GC1988-01)
5. DE Course Requirements – clean copy
6. DE Course Requirements Template – tracked changes

Questions regarding these revisions may be directed to the Graduate Council analyst, Kelly Adams, at keaadams@ucdavis.edu.

Sincerely,

Jeffrey Schank
Chair, Graduate Council

c: Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate
Mary Vasquez, Associate Director, Davis Division of the Academic Senate
Jean-Pierre Delplanque, Vice Provost and Dean, Graduate Studies
Duncan Temple Lang, Associate Dean for Graduate Programs, Graduate Studies
Ellen-Hartigan-O'Connor, Associate Dean for Graduate Studies and Postdoctoral Scholars, Graduate Studies
Jasmine Bonite, Director of Policy and Programs, Graduate Studies
Sara Camara, Executive Assistant, Graduate Studies

February 23, 2024

GRADUATE COUNCIL POLICY REVISION MEMO

APPROVED POLICY REVISION: GC1988-01: Designated Emphasis Policy and Proposal Guidelines

LAST REVISED: March 4, 2011 (rev. 04)

APPROVAL DATE: February 23, 2023

REVISION VERSION: Rev. 05

POLICY DOCUMENTS:

- Previous Policy
- Approved Revision (clean)
- Approved Revision (markup)

SUMMARY OF REVISIONS:

1. Removed the Ph.D. affiliation requirement and process and proposed a new structure for establishing support for a DE through Memoranda of Understanding (MOUs).

Rationale: After a Graduate Studies' review of the current Designated Emphasis (DE) process for affiliation, it was determined that there was no need for this process after DE creation. DE affiliation is not required for faculty to participate in a DE, nor are students required to be enrolled in affiliated Ph.D. programs to be admitted to a DE. The current process requires a significant amount of work for DE faculty and the Educational Policy Committee (EPC) without a clear purpose. While Graduate Studies previously had a policy that students had to be enrolled in affiliated Ph.D. programs to apply and be admitted to DEs, they eliminated this policy given the considerable delays that students experienced waiting for EPC and Graduate Council to approve affiliation requests. Instead of Ph.D. program affiliation, the proposed revision requires that new DE proposals include Memoranda of Understanding (MOUs) from departments/graduate groups that will be offering courses and/or resources to DE students.

2. Revised "Sunset Clause" section to clarify the sunset clause notification process and added language regarding Graduate Council oversight over DEs. Added wording that allows Graduate Council to invoke the sunset clause if, in Council's determination, a DE does not adequately respond to the recommendations made during program review.

Rationale: The current policy does not align with actual practice. DEs do not submit requests for continuation in their self-review documents; rather, as part of the fall program review process, Graduate Council sends sunset notices to DEs and asks whether they intend to sunset or continue admissions. The proposed revision makes the sunset process clearer and conveys that this process is a recurring one in the 8-year program review cycle.

The proposed revision also clearly states Graduate Council's authority over the DE sunset process as there have been some DEs that have attempted to discontinue without formally notifying Graduate Council.

3. Restructured the proposal guidelines section to omit redundant information included in the DE templates (e.g., DE Requirements, DE Bylaws).

Rationale: The information should be provided either in the policy or the template but not both places to avoid having the policy and the template become out-of-sync.

4. Removed language in Qualifying Exam (QE) section that is not compliant with the Doctoral QE Policy (GC2005-02).

Rationale: The current policy conflicts with the QE policy; in practice, non-unanimous QE committee decisions are not referred back to a QE Executive Committee for remediation but are instead referred to the Administrative Committee (GCAC) for a final decision. The proposed revision cites QE policy and removes the language that could cause confusion about the possible QE outcomes. Additionally, since a QE committee is instructed to evaluate a student's performance as a whole, and not simply on the subject of their respective expertise, the current policy does not align with the holistic evaluation that Graduate Council asks QE committees to perform.

5. Added the appointment process for the inaugural chair.

Rationale: The current policy does not include a clear process for appointing the inaugural chair of the DE. While subsequent appointments will follow the process outlined in the bylaws, a DE can take some time to get an Executive Committee formed according to the bylaws and consequently get a DE chair appointed. The proposed revision states that proposals should include at least two nominations to be considered by Graduate Studies for appointment to the inaugural chair.

6. Eliminated the off-campus notification section.

Rationale: Off-campus notification to the Coordinating Committee on Graduate Affairs (CCGA) is not required for non-degree programs that are locally administered.

7. Reformatted the policy to make it easier to navigate.

UC DAVIS GRADUATE COUNCIL POLICY
Approved – November 17, 1988
Revision Dates – June 16, 2003; February 1, 2006; March 15, 2007; March 4, 2011
Revised – February 23, 2024

Designated Emphasis Policy and Proposal Guidelines

I. Introduction

This policy describes the following:

II. DE Definition

A Designated Emphasis (DE) is an area of specialization, such as a new method of inquiry, important field of application, or a focus that maps near the edges, or overlaps with, the traditional disciplinary boundaries that define existing Ph.D. programs. The DE curriculum thus tends to focus on emerging fields or technologies that are interdisciplinary in nature and, by definition, are relevant to more than one doctoral program.

Because of the interdisciplinary nature of the DE, it must consist of faculty from more than one Ph.D. program and be organized in a manner that resembles a Graduate Group. The DE will therefore have bylaws, a chair, Executive Committee, course requirements, and its faculty will participate in Qualifying Examinations (QEs) and as chairs or members of dissertation committees.

All Ph.D. students in any graduate program/group are eligible to apply to any DE, but acceptance to the DE will depend on the admission criteria that the DE has established in their requirements. Completion of the requirements for both the DE and Ph.D. program will result in the notation of the DE on the Doctoral Diploma: “Ph.D. in X with Emphasis in Y.”

III. DE Requirements

1. Memoranda of Understanding (MOUs) with departments/graduate groups (if applicable)

Memoranda of Understanding (MOUs) must be submitted if a department/graduate group has agreed to offer one or more courses to the DE students or has agreed to provide administrative resources (such as a percentage of staff time). These MOUs must detail any resources that the department/graduate group has agreed to. For courses, the MOU should include the course names, whether the course is a required or elective course for the DE, the frequency of course offerings, and any enrollment limits

the department/graduate group has established for DE students.

The DE may add course offerings from other departments/graduate groups but must submit MOUs for these course offerings with their revised course requirements (see Guidelines and Template for Proposing DE Revisions) to be reviewed by the Educational Policy Committee and Graduate Council.

2. Faculty

The curriculum of a DE shall be offered by a faculty organized in the manner of a graduate group. The DE's faculty may include faculty outside of the departments/graduate groups with whom the DE has MOUs. The criteria for faculty membership in the DE must be defined in the DE's bylaws.

3. Bylaws

A DE shall be governed by bylaws that will be used to direct the administration of the DE and define the requirements for faculty participation in the program. The bylaws must be developed according to Graduate Council's Bylaws Policy for Graduate Groups, Departmentally-Based Graduate Programs and Designated Emphases (GC2011-02) and the DE Bylaws Template.

4. DE Chair

At least two names and CVs for the inaugural chair of the DE should be included in the proposal. Graduate Studies will conduct a review process and will appoint the inaugural DE chair upon official Graduate Council approval of the DE. The nomination process for subsequent DE chairs must be described in the DE's bylaws.

5. Executive Committee

A DE must have an Executive Committee, chaired by the DE Chair and consisting of at least two additional faculty members elected by the membership. The Executive Committee must establish the curriculum, including requirements for admission, qualifying examination, and dissertation; and in consultation with the student, nominating the DE member(s) to serve on the student's Qualifying Examination and Dissertation Committees.

6. Curriculum

A DE consists of a series of core courses and electives that are offered by the DE and/or by a department/graduate group. If the DE is offering its own courses, the proposal must indicate how these courses will be staffed (i.e., who will teach them and whether this teaching will be on overload or as part of their regular teaching assignment). If faculty will be teaching in overload, the proposal must include an MOU from the faculty's department. If a department/graduate group will be offering courses to DE students, a MOU for that department/graduate must be included (see Memoranda of Understanding with departments/graduate groups for specific requirements). The

curricular requirements of the Ph.D. program and of the DE must be met prior to the qualifying examination.

7. Qualifying Examination (QE)

A student's Qualifying Examination (QE) Committee must include at least one member of the DE. The Chair of the DE and the student's Ph.D. program Graduate Advisor must co-sign the QE Committee form, which is submitted to Graduate Studies for approval by the Dean of Graduate Studies.

The QE will assess the student's level of knowledge within the area of the DE, as well as in the Ph.D. program. See the Graduate Council Doctoral Qualifying Examinations Policy (GC2005-02) for more information about the possible exam outcomes.

8. Dissertation Requirements

The student's Dissertation Committee must be selected in accordance with the regulations of the Ph.D. program and must also include at least one member of the DE. The DE member may be the Dissertation Committee Chair. The dissertation topic will be relevant to the area of the DE.

9. Degree Conferral Process

The DE will be awarded when the Ph.D. is completed and will be signified by the degree designation "Ph.D. in X with Emphasis in (name of DE)," where X is the Ph.D. program. If a student has completed more than one DE, then the designation would be "Ph.D. in X with Emphasis in (name of DE) and (name of DE)."

10. Sunset Clause

Approval of new DE programs includes a 7-year "sunset clause." The rationale for the sunset clause is that DEs should reflect current needs and changing trends in education, and thus they may be short-lived.

Admissions to the DE will end automatically after 7 years unless continuation is requested. One year in advance of the pending sunset of the DE (6th year), Graduate Council will notify the DE and ask whether the DE plans to sunset or continue admissions. If continuation is requested, the DE will undergo program review (see Program Review). The DE will continue to receive a sunset notice in the 6th year of an 8-year review cycle and must notify Graduate Council promptly if the DE intends to sunset. The DE does not have the authority to discontinue without Graduate Council approval.

Furthermore, Graduate Council reserves the right to close admissions to the DE and invoke the DE "sunset clause" for reasons including, but not limited to, a lack of participation of faculty and/or students in the DE (as measured by enrollment and completion data) and a lack of responsiveness to program review recommendations.

11. Program Review

Evaluation of the academic quality of the DE will be conducted periodically by Graduate Council's Program Review Committee (PRC). Graduate Council notifies programs of their scheduled review one year in advance. A new DE will be reviewed on the cycle determined by the PRC and Graduate Council.

IV. New Proposal Guidelines

Faculty proposing a new DE should agree on a definition and description of the DE. Prior to proposing a new DE, faculty must meet with the Vice Provost and Dean of Graduate Studies (or designee) to discuss the nature of the DE, the mechanism and format of proposal preparation, and the processes of review, approval, and implementation.

The formal proposal must include the following:

1. DE Description

This description must:

1) Define the academic scope of the DE.
2) Explain how this area/range of knowledge or inquiry relates to and enhances existing Ph.D. programs.
3) Explain how this DE diverges from these existing programs, which includes any recent development of the area and its importance, as well as the unique strengths in this area on the Davis campus.
4) Include a description of how the DE will benefit students in a manner that is not currently accomplished by existing doctoral programs.
5) Provide a list of departments/graduate groups and the corresponding course offerings with whom the proposed DE has established MOUs. MOUs must be included in the Appendices.
6) Provide a roster of faculty who intend to participate in the DE. Faculty support for the DE is considered critical. A lack of participation of faculty will be a major factor considered in the DE proposal review process as well as program review. Letters of intent from each faculty participant must be included in the Appendices.

2. DE Course Requirements

Prepare the proposed course requirements using the DE Course Requirements Template. The course requirements, and any subsequent changes to the requirements, must be approved by Graduate Council.

3. DE Administration

1) **Inaugural DE Chair Nominations**
Include at least two names and CVs to be considered for the inaugural DE chair.

2) **Bylaws**

Prepare the proposed bylaws using the DE Bylaws Template. The bylaws, and any subsequent changes to the bylaws, must be approved by Graduate Council.

3) **Resources**
Address the issue of resources required to run the DE. If no additional resources are required, then the proposal must state this clearly. If additional resources are required, these resources should be described, and the relevant Dean or academic unit must commit to providing these resources via a letter accompanying the DE proposal. Resources include the administrative support for record keeping (for example, lists of current and former students and current faculty members) and preparation of materials required for periodic program review. If additional resources are required, Graduate Council may send the proposal to be reviewed by the Committee on Planning and Budget (CPB).

4. Appendices

Include the following materials as appendices to the proposal:

1) **Department/Graduate Group MOUs (if applicable)**
MOUs from the departments/graduate groups that will be offering courses to DE students. These MOUs must provide:
- the list of courses that the department/graduate group has agreed to offer to DE students, frequency of course offerings, and the number of DE students courses can accommodate in each offering;
- any enrollment limitations that the department/graduate group has set for DE students;
- a statement about whether or not additional resources are required to offer these courses; and
- the faculty vote for approving the MOU.

2) **Dean's Letters of Support**
Letters of support from relevant Dean or Deans regarding resources and implications of support for the proposed DE.

3) **Faculty Letters**
Letters of intent from each faculty member who intends to participate. This letter should indicate the intent to participate and agreement to participate in DE functions such as teaching, administration, QEs, and Dissertation Committee service, or any other criteria specified in the DE's bylaws.

V. Review and Approval Process

1. Graduate Studies Preview

Proposals for new Designated Emphasis programs must be "previewed" by Graduate Studies to ensure that the proposal contains the necessary information. The purpose of this step is to identify problems that may slow the formal proposal review process.

Graduate Studies will formally transmit the final proposal for Graduate Council review and approval.

2. Graduate Council Review and Approval

Upon receipt of the final proposal from Graduate Studies, Graduate Council will send the proposal to the relevant subcommittees. The Graduate Council Bylaws subcommittee will review and make a recommendation to Graduate Council regarding the proposed bylaws and the Graduate Council Educational Policy subcommittee (EPC) will review and make a recommendation regarding the entire proposal. Graduate Council may send the proposal for review by other standing committees/subcommittees as deemed necessary. Final approval is by the Graduate Council. Upon approval, Graduate Council will notify the DE Chair and Graduate Studies.

VI. Resources

1. DE Course Requirements Template
2. DE Bylaws Template
3. Bylaws Policy for Graduate Groups, Departmentally-Based Graduate Programs and Designated Emphases (GC2011-02)

UC DAVIS GRADUATE COUNCIL POLICY ~~GC1988-01 (rev. 04)~~

Approved – November 17, 1988

Revision Dates – June 16, 2003; February 1, 2006; March 15, 2007; March 4, 2011

Revised – February 23, 2024

Designated Emphasis Policy and Proposal Guidelines

~~Approved – November 17, 1988~~

~~Revised – June 16, 2003~~

~~Revised – February 1, 2006~~

~~Revised – March 15, 2007~~

~~Revised – March 4, 2011~~

~~I. DESIGNATED EMPHASIS POLICY AND PROPOSAL GUIDELINES~~

I. Introduction

This ~~document includes~~policy describes the following ~~information~~:

1. Designated Emphasis (DE) Definition
2. DE Requirements
3. New Proposal Guidelines
4. Review and Approval Process

- ~~Resources~~~~Definition of a Designated Emphasis~~
- ~~Requirements for a Designated Emphasis~~
- ~~Proposal Guidelines for the Creation of a New Designated Emphasis~~

~~I. Definition of a Designated Emphasis~~

5.

II. DE Definition

A Designated Emphasis (DE) is an area of specialization, such as a new method of inquiry, important field of application, or a focus that maps near the edges, or overlaps with, the traditional disciplinary boundaries that define existing Ph.D. programs. The DE curriculum ~~of a DE~~ thus tends to focus on emerging fields or technologies that are interdisciplinary in nature and, by definition, are relevant to more than one doctoral program.

Because of the interdisciplinary nature of the DE, it must consist of faculty from more than one Ph.D. program~~,~~ and be organized in a manner that resembles a Graduate Group. The DE will therefore have bylaws, a chair, Executive Committee, ~~curriculum, admissions policy~~course requirements, and its faculty will participate in Qualifying Examinations (QEs) and as chairs or members of dissertation committees. ~~However, the DE may exist only in association with existing Ph.D. programs, and not independently. If no faculty from an affiliated program join the DE, then the affiliation of that Ph.D. program will end. The Chair of the DE will notify the Graduate Council Chair when an affiliation ends. If no Ph.D. programs are affiliated with the DE, the DE will suspend admissions, and notify the Chair of Graduate Council.~~

All Ph.D. students in any graduate program/group are eligible to apply to any DE, but acceptance to the DE will depend on the admission criteria that the DE has established in

their requirements. Completion of the requirements for both the DE and ~~the affiliated~~ Ph.D. program will result in the notation of the DE on the Doctoral Diploma: "Ph.D. in X with Emphasis in Y~~.~~."

~~II.~~III. DE Requirements ~~for a Designated Emphasis~~

1. Memoranda of Understanding (MOUs) with departments/graduate groups (if applicable)

Memoranda of Understanding (MOUs) must be submitted if a department/graduate group has agreed to offer one or more courses to the DE students or has agreed to provide administrative resources (such as a percentage of staff time). These MOUs must detail any resources that the department/graduate group has agreed to. For courses, the MOU should include the course names, whether the course is a required or elective course for the DE, the frequency of course offerings, and any enrollment limits the department/graduate group has established for DE students.

~~1.~~ The DE may add course offerings from other departments/graduate groups but must submit MOUs for these course offerings with their revised course requirements (see Guidelines and Template for Proposing DE Revisions~~Affiliated Ph.D. Programs~~

~~Designated Emphases represent, by definition, a methodology applicable to, or an area of overlap between, two or more Ph.D. programs. DEs may only exist in association with existing Ph.D. programs. To create a DE, the proposal must establish a formal affiliation between the proposed DE and two or more existing Ph.D. programs.~~

) to be reviewed by the Educational Policy Committee and Graduate Council.

~~1.~~2. Faculty

The curriculum of ~~the designated emphasis~~a DE shall be offered by a faculty organized in the manner of a graduate group. The DE's faculty may include faculty outside of the ~~affiliated Ph.D. programs who meet the membership criteria described in the bylaws. These faculty would have research expertise in the area of the DE but might be housed in a department or program that does not offer a Ph.D. (e.g., Italian).~~departments/graduate groups with whom the DE has MOUs. The criteria for faculty membership in the DE must be defined in the DE's bylaws.

~~2.~~3. Bylaws

~~The~~

A DE shall be governed by bylaws that will be used to direct the administration of the DE and define the requirements for faculty participation in the program. The bylaws ~~will~~must be developed ~~based on~~according to Graduate Council's Bylaws Policy for Graduate Groups, Departmentally-Based Graduate Programs and Designated Emphases (GC2011-02) and the DE Bylaws Template~~approved *Bylaws Guidelines for Designated Emphasis Programs* (see page 5, section III. 3. A).~~.

~~3.~~4. DE Chair

~~The Chair of the DE is appointed by the Dean of Graduate Studies.~~

At least two names and CVs for the inaugural chair of the DE should be included in the proposal. Graduate Studies will conduct a review process and will appoint the inaugural DE chair upon official Graduate Council approval of the DE. The nomination process for subsequent DE chairs must be described in the DE's bylaws.

~~4.~~5. Executive Committee

~~The~~
A DE ~~shall~~must have an Executive Committee, chaired by the DE Chair and consisting of at least two additional faculty members elected by the membership. The Executive Committee ~~shall be responsible for establishing~~must establish the curriculum, including requirements for admission, qualifying examination, and dissertation; and in consultation with the student, nominating the DE member(s) to serve on the student's Qualifying Examination and Dissertation Committees.

~~5.~~6. Curriculum

A DE consists of a series of core courses and electives that are offered by the DE and/or by a department/graduate group. If the DE is offering its own courses, the proposal must indicate how these courses will be staffed (i.e., who will teach them and whether this teaching will be on overload or as part of their regular teaching assignment). If faculty will be teaching in overload, the proposal must include an MOU from the faculty's department. If a department/graduate group will be offering courses to DE students, a MOU for that department/graduate must be included (see Memoranda of Understanding with departments/graduate groups~~The DE's curriculum shall consist of specified courses that may be either independent from, or an integral part of, the doctoral programs with which it is associated.~~ for specific requirements).
The curricular requirements of the Ph.D. program and of the DE must be met prior to the qualifying examination.

~~6.~~7. Qualifying Examination (QE)

~~The~~
A student's Qualifying Examination (QE) Committee must include at least one member of the DE. ~~The DE member of the Qualifying Exam Committee shall be recommended by the Executive Committee of the DE.~~ The Chair of the DE and the student's Ph.D. program Graduate ~~Adviser~~Advisor must co-sign the ~~Qualifying Examination~~QE Committee form, which is submitted to Graduate Studies for approval by the Dean of Graduate Studies.

The ~~Qualifying Examination~~QE will assess the student's level of knowledge within the area of the DE, as well as in the Ph.D. program. See the Graduate Council Doctoral Qualifying Examinations Policy (GC2005-02)~~program. Satisfactory performance on the Qualifying Examination for the Ph.D. will be judged independently from performance on the DE. Thus, an allowable outcome of the Qualifying Examination is that the student's performance may be "passing" for the Ph.D. but "not passing" for the DE.~~ for more information about the possible exam outcomes.
~~In the event that a student passes the PhD qualifying exam, but receives a "not pass" for the DE, the Executive Committee of the DE will define a plan for remediation. The plan may include, but is not limited to re-examination by the DE Executive Committee, coursework, teaching, or preparation of a paper. If the student is re-examined, the outcome is limited to "pass" or "fail". If the student receives a "fail", the student is disqualified from the DE.~~

~~7.~~8. Dissertation Requirements

The student's Dissertation Committee ~~shall~~must be selected in accordance with the regulations of the Ph.D. program~~, but~~ and must also include at least one member of the DE. The DE member may be the Dissertation Committee Chair. The dissertation topic will be relevant to the area of the DE.

~~8.~~9. Degree Conferral Process

The ~~Designated Emphasis~~DE will be awarded ~~solely in conjunction with~~when the Ph.D. is completed and will be signified by the degree designation "Ph.D. in X with Emphasis in (name of DE)," where X is the Ph.D. program. If a student has completed more than one DE, then the designation would be "Ph.D. in X with Emphasis in (name of DE) and (name of DE)."

~~2. Program Evaluation~~

10. Sunset Clause

Approval of new DE programs includes a 7-year "sunset clause." The rationale for the sunset clause is that DEs should reflect current needs and changing trends in education, and thus they may be short-lived.

Admissions to the DE will end automatically after 7 years unless continuation is requested. One year in advance of the pending sunset of the DE (6th year), Graduate Council will notify the DE and ask whether the DE plans to sunset or continue admissions. If continuation is requested, the DE will undergo program review (see Program Review). The DE will continue to receive a sunset notice in the 6th year of an 8-year review cycle and must notify Graduate Council promptly if the DE intends to sunset. The DE does not have the authority to discontinue without Graduate Council approval.

Furthermore, Graduate Council reserves the right to close admissions to the DE and invoke the DE "sunset clause" for reasons including, but not limited to, a lack of participation of faculty and/or students in the DE (as measured by enrollment and completion data) and a lack of responsiveness to program review recommendations.

~~9.~~11. Program Review

Evaluation of the academic quality of the DE will be conducted periodically by Graduate Council's Program Review Committee~~. The review will be initiated by~~ (PRC). Graduate Council~~, and~~ notifies programs ~~will be notified~~ of their scheduled review one year in advance~~ of~~. A new DE will be reviewed on the ~~review~~cycle determined by the PRC and Graduate Council.

~~A new DE will be reviewed 5 years after admitting its first students. Thereafter, the DE will be reviewed on the cycle determined by the Program Review Committee and Graduate Council. (The review process "Policy and Process for the Review of Designated Emphases," can be accessed at)~~

~~10.1. Sunset Clause~~

~~Approval of new DE programs includes a 7-year "sunset clause." That is, admissions to the DE will end automatically after 7 years (or at the time of the scheduled review initiated by the Program Review Committee) unless continuation is requested in the self-review documents created by the DE as part of the program review process. Graduate Council reserves the right to close admissions to the DE and invoke the DE "sunset clause" on the basis of lack of participation of graduate programs and/or students in the DE, as measured by enrollment and completion data. The rationale for the sunset clause is that DE programs should reflect current needs and changing trends in education, and thus they may be short-lived.~~

~~3.~~ New ~~Affiliated Programs~~

~~To establish an affiliation with an existing DE, the Chair of the Ph.D. program shall write a letter to the DE Chair requesting affiliation, and provide the information listed below for affiliation (III. 2. C and D). If the DE's Executive Committee approves the request for affiliation, then the DE Chair shall forward the materials supplied by the Ph.D. program, plus a cover letter, to the Chair of Graduate Council, requesting approval of the~~

~~affiliation. Graduate Council will vote on the request and provide written notification of the vote to the DE Chair with a copy to the Ph.D. program Chair.~~

~~III.~~IV. Proposal Guidelines ~~for the Creation of a New DE~~

Faculty ~~considering creation of~~proposing a new DE should agree on a definition and description of the DE ~~and~~. Prior to proposing a new DE, faculty must meet with the Vice Provost and Dean of Graduate Studies ~~and the Associate Dean for Programs of Graduate Studies~~(or designee) to discuss the nature of the DE, the mechanism and format of proposal preparation, and the processes of review, approval, and implementation.

~~Interested faculty should prepare a~~The formal proposal ~~in~~must include the following ~~format~~:

1. **DE Description ~~of the Designated Emphasis~~**

   This description must:

   1) Define the academic scope of the DE.
   2) Explain how this area/range of knowledge or inquiry relates to and enhances existing Ph.D. programs.
   3) Explain how ~~it~~this DE diverges from these existing programs~~. This~~, which includes any recent development of the area and its importance, as well as the unique strengths in this area on the Davis campus.
   4) Include a description of how the DE will benefit students in a manner that is not currently accomplished by existing doctoral programs.
   5) Provide a list of departments/graduate groups and the corresponding course offerings with whom the proposed DE has established MOUs. MOUs must be included in the Appendices.
   6) Provide a roster of faculty who intend to participate in the DE. Faculty support for the DE is considered critical. A lack of participation of faculty will be a major factor considered in the DE proposal review process as well as program review. Letters of intent from each faculty participant must be included in the Appendices.

2. **DE Course Requirements**

   Prepare the proposed course requirements using the DE Course Requirements Template. The course requirements, and any subsequent changes to the requirements, must be approved by Graduate Council.

3. **DE Administration**

   1) **Inaugural DE Chair Nominations**
      Include at least two names and CVs to be considered for the inaugural DE chair.

   2) **Bylaws**
      Prepare the proposed bylaws using the DE Bylaws Template. The bylaws, and any subsequent changes to the bylaws, must be approved by Graduate Council.

   3) **Resources**

- Address the issue of resources required to run the DE.

~~Description of the Academic Nature of the Designated Emphasis~~If no additional resources are required, then the proposal must state this clearly. If additional resources are required, these resources should be described, and the relevant Dean or academic unit must commit to providing these resources via a letter accompanying the DE proposal. Resources include the administrative support for record keeping (for example, lists of current and former students and current faculty members) and preparation of materials required for periodic program review. If additional resources are required, Graduate Council may send the proposal to be reviewed by the Committee on Planning and Budget (CPB).

4. Appendices

Include the following materials as appendices to the proposal:

1) **Department/Graduate Group MOUs (if applicable)**
MOUs from the departments/graduate groups that will be offering courses to DE students. These MOUs must provide:
- the list of courses that the department/graduate group has agreed to offer to DE students, frequency of course offerings, and the number of DE students courses can accommodate in each offering;
- any enrollment limitations that the department/graduate group has set for DE students;
- a statement about whether or not additional resources are required to offer these courses; and
- the faculty vote for approving the MOU.

~~This description~~ ~~will include several elements:~~

~~**A. Affiliated Ph.D. Programs List**~~
~~Provide a list of existing Ph.D. programs that will initially be affiliated with the DE.~~

~~1)~~2) **Dean's Letters of Support**
~~The proposal should include~~ Letters of support from relevant Dean or Deans regarding resources and implications of support for the proposed ~~Designated Emphasis~~DE.

~~2)~~3) ~~**Chairs'**~~**Faculty Letters** ~~(see example Appendix 3)~~
~~The proposal should include letters from the Chairs of existing Ph.D. programs that intend to be affiliated with the DE. The Ph.D. program Chair's letter should:~~

~~1. Declare the intent of the Ph.D. program to be affiliated with the proposed DE~~
~~2. Describe the impact of the DE curriculum on the normative time to degree for students in the Ph.D. program, including commentary on whether any courses in the DE curriculum may be used to satisfy requirements of the Ph.D. program.~~
~~3. Describe how the Ph.D. program Chair assessed the level of support for the Ph.D. program's affiliation with the DE (e.g., a meeting vote or an e-mail ballot).~~

~~B. Affiliated Faculty~~ ~~(see example Appendix 2)~~

Letters of intent~~Provide a roster of faculty who intend to participate in the DE. Request a letter~~ from each faculty member who intends to participate. This letter should indicate the intent to participate and agreement to participate in DE functions such as teaching, administration, ~~qualifying examinations~~QEs, and Dissertation Committee service, or any other criteria specified in the DE's bylaws. ~~Faculty support for the DE is considered critical. A lack of participation of affiliated faculty will be a major factor considered in DE reviews.~~

~~C. Admissions Criteria~~

~~Describe the criteria used to determine admission of students to the DE.~~

~~D. Curriculum~~

~~The proposed curriculum should be described. Courses may be new or existing. The description of the curriculum should include the following:~~

1. ~~**Required courses**: List required courses and the unit value of each. Indicate whether the required courses are new or existing courses. For new courses, include the course description and indicate whether these have been submitted online for review. An MOU from the Department/Group Chair offering the required course must be included (see example in Appendix 1).~~

2. ~~**Elective Courses:** List allowable elective courses and their unit value. Indicate whether the elective courses are new or existing courses. For new courses, include the course description, and indicate whether these have been submitted online for review.~~

1. ~~**The required curriculum, and any subsequent changes to the required curriculum, must be approved by Graduate Council.**~~

3. **Qualifying Examination** (Refer to page 2.)

4. **Dissertation Requirements** (Refer to page 2)

5. **Degree Conferral Process** (Refer to page 2)

E. Student Advising

Include a description of the method by which the DE will oversee the academic progress of students in the DE. For example: Will the DE assign a DE graduate adviser to the student? Will the DE graduate adviser meet periodically with the student? Will the DE graduate adviser confirm to Graduate Studies and the student's Ph.D program that the student has fulfilled all DE requirements prior to graduation?

4. Administrative Matters

1) Bylaws

The bylaws will be prepared as outlined in the *Bylaws Guidelines for Designated Emphasis Programs.* (Web site:)

The proposed bylaws shall clearly define the administrative structure of the group, the requirements for DE faculty membership and renewal, and regular meetings of the DE Chair and affiliated Ph.D. program Chairs, at a minimum of once a year to discuss administrative, instructional, and research resource needs. In addition, there must be an annual meeting of the DE Chair and participating faculty.

Please attach the bylaws as a separate document and state that they are attached to the proposal. (An electronic copy shall be provided to Graduate Council's Bylaws Committee.)

The bylaws, and any subsequent changes to the bylaws, must be approved by Graduate Council.

A. Resources

The proposal should Address the issue of resources required to run the DE. If no additional resources are required, this should be stated. If additional resources are required, they should be described, and the source of support for these resources should be identified. Resources include the administrative support for record keeping (for example, lists of current and former students and current faculty members) and preparation of materials required for the periodic reviews by Graduate Council's Program Review Committee (page 3, number 10.).

IV.V. Review and Approval ProceduresProcess

1. Graduate Studies Preview

Proposals for new Designated Emphasis programs shouldmust be "previewed" by the Office of Graduate Studies, to ensure that the proposal contains the necessary information. The purpose of this step is to identify problems that may slow the formal proposal review process. Graduate Studies will formally transmit the final proposal for

Graduate Council review and approval.

2. **Graduate Council Review and Approval**

~~Proposals are then reviewed by the~~

Upon receipt of the final proposal from Graduate Studies, Graduate Council~~. Council's~~ will send the proposal to the relevant subcommittees. The Graduate Council Bylaws ~~Committee~~subcommittee will review ~~the~~ and make a recommendation to Graduate Council regarding the proposed bylaws and ~~Council's~~the Graduate Council Educational Policy ~~Committee~~subcommittee (EPC) will review and make a recommendation regarding the entire proposal. Graduate Council may send the proposal for review by other standing committees/subcommittees as deemed necessary. Final approval is by the Graduate Council. ~~No further review is required on or off campus.~~

~~B. Off campus notification~~

Upon approval, Graduate Council will notify the ~~Coordinating Committee on Graduate Affairs (CCGA), the relevant UC systemwide committee, of the approval of new Designated Emphasis programs.~~DE Chair and Graduate Studies.

VI. Resources

1. DE Course Requirements Template
2. DE Bylaws Template
3. Bylaws Policy for Graduate Groups, Departmentally-Based Graduate Programs and Designated Emphases (GC2011-02)

UC DAVIS GRADUATE COUNCIL POLICY **GC1988-01 (rev. 04)**
Designated Emphasis Policy and Proposal Guidelines
Approved – November 17, 1988
Revised – June 16, 2003
Revised—February 1, 2006
Revised—March 15, 2007
Revised—March 4, 2011

DESIGNATED EMPHASIS POLICY AND PROPOSAL GUIDELINES

This document includes the following information
- Definition of a Designated Emphasis
- Requirements for a Designated Emphasis
- Proposal Guidelines for the Creation of a New Designated Emphasis

I. Definition of a Designated Emphasis

A Designated Emphasis (DE) is an area of specialization, such as a new method of inquiry, important field of application, or focus that maps near the edges, or overlaps with, the traditional disciplinary boundaries that define existing Ph.D. programs. The curriculum of a DE thus tends to focus on emerging fields or technologies that are interdisciplinary in nature and, by definition, are relevant to more than one doctoral program.

Because of the interdisciplinary nature of the DE, it must consist of faculty from more than one Ph.D. program, and be organized in a manner that resembles a Graduate Group. The DE will therefore have Bylaws, a Chair, Executive Committee, curriculum, admissions policy, and its faculty will participate in Qualifying Examinations and as Chairs or members of Dissertation Committees. However, the DE may exist only in association with existing Ph.D. programs, and not independently. If no faculty from an affiliated program join the DE, then the affiliation of that Ph.D. program will end. The Chair of the DE will notify the Graduate Council Chair when an affiliation ends. If no Ph.D. programs are affiliated with the DE, the DE will suspend admissions, and notify the Chair of Graduate Council.

Completion of the requirements for both the DE and the affiliated Ph.D. program will result in the notation of the DE on the Doctoral Diploma: “Ph.D. in X with Emphasis in Y”.

II. Requirements for a Designated Emphasis

1. Affiliated Ph.D. Programs

Designated Emphases represent, by definition, a methodology applicable to, or an area of overlap between, two or more Ph.D. programs. DEs may only exist in association with existing Ph.D. programs. To create a DE, the proposal must establish a formal affiliation between the proposed DE and two or more existing Ph.D. programs.

2. Faculty

The curriculum of the designated emphasis shall be offered by a faculty organized in the manner of a graduate group. The DE’s faculty may include faculty outside of the affiliated Ph.D. programs who meet the membership criteria described in the bylaws. These faculty would have research expertise in the area of the DE but might be housed in a department or program that does not offer a Ph.D. (e.g., Italian).

3. Bylaws

The DE shall be governed by bylaws that will be used to direct the administration of the DE and define the requirements for faculty participation in the program. The bylaws will be developed based on Graduate Council's approved *Bylaws Guidelines for Designated Emphasis Programs* (see page 5, section III. 3. A).

4. DE Chair

The Chair of the DE is appointed by the Dean of Graduate Studies.

5. Executive Committee

The DE shall have an Executive Committee, chaired by the DE Chair and consisting of at least two additional faculty members elected by the membership. The Committee shall be responsible for establishing the curriculum, including requirements for admission, qualifying examination, and dissertation; and in consultation with the student, nominating the DE member(s) to serve on the student's Qualifying Examination and Dissertation Committees.

6. Curriculum

The DE's curriculum shall consist of specified courses that may be either independent from, or an integral part of, the doctoral programs with which it is associated. The curricular requirements of the Ph.D. program and of the DE must be met prior to the qualifying examination.

7. Qualifying Examination

The student's Qualifying Examination Committee must include at least one member of the DE. The DE member of the Qualifying Exam Committee shall be recommended by the Executive Committee of the DE. The Chair of the DE and the student's Ph.D. program Graduate Adviser must co-sign the Qualifying Examination Committee form, which is submitted to Graduate Studies for approval by the Dean of Graduate Studies.

The Qualifying Examination will assess the student's level of knowledge within the area of the DE, as well as in the Ph.D. program. Satisfactory performance on the Qualifying Examination for the Ph.D. will be judged independently from performance on the DE. Thus, an allowable outcome of the Qualifying Examination is that the student's performance may be "passing" for the Ph.D. but "not passing" for the DE.

In the event that a student passes the PhD qualifying exam, but receives a "not pass" for the DE, the Executive Committee of the DE will define a plan for remediation. The plan may include, but is not limited to re-examination by the DE Executive Committee, coursework, teaching, or preparation of a paper. If the student is re-examined, the outcome is limited to "pass" or "fail". If the student receives a "fail", the student is disqualified from the DE.

8. Dissertation Requirements

The student's Dissertation Committee shall be selected in accordance with the regulations of the Ph.D. program, but must include at least one member of the DE. The DE member may be the Dissertation Committee Chair. The dissertation topic will be relevant to the area of the DE.

9. Degree Conferral Process

The Designated Emphasis will be awarded solely in conjunction with the Ph.D. and will be signified by the degree designation "Ph.D. in X with Emphasis in (name of DE)," where X is the Ph.D. program.

10. Program Evaluation

Evaluation of the academic quality of the DE will be conducted periodically by Graduate Council's Program Review Committee. The review will be initiated by Graduate Council, and programs will be notified one year in advance of the review.

A new DE will be reviewed 5 years after admitting its first students. Thereafter, the DE will be reviewed on the cycle determined by the Program Review Committee and Graduate Council. (The review process "Policy and Process for the Review of Designated Emphases," can be accessed at http://gradstudies.ucdavis.edu/faculty-staff/graduate-council/graduate-program-review)

Sunset Clause

Approval of new DE programs includes a 7-year "sunset clause." That is, admissions to the DE will end automatically after 7 years (or at the time of the scheduled review initiated by the Program Review Committee) unless continuation is requested in the self-review documents created by the DE as part of the program review process. Graduate Council reserves the right to close admissions to the DE and invoke the DE "sunset clause" on the basis of lack of participation of graduate programs and/or students in the DE, as measured by enrollment and completion data. The rationale for the sunset clause is that DE programs should reflect current needs and changing trends in education, and thus they may be short-lived.

11. New Affiliated Programs

To establish an affiliation with an existing DE, the Chair of the Ph.D. program shall write a letter to the DE Chair requesting affiliation, and provide the information listed below for affiliation (III. 2. C and D). If the DE's Executive Committee approves the request for affiliation, then the DE Chair shall forward the materials supplied by the Ph.D. program, plus a cover letter, to the Chair of Graduate Council, requesting approval of the affiliation. Graduate Council will vote on the request and provide written notification of the vote to the DE Chair with a copy to the Ph.D. program Chair.

III. Proposal Guidelines for the Creation of a New DE

Faculty considering creation of a new DE should agree on a definition and description of the DE and meet with the Dean of Graduate Studies and the Associate Dean for Programs of Graduate Studies to discuss the nature of the DE, the mechanism and format of proposal preparation, and the processes of review, approval, and implementation.

Interested faculty should prepare a formal proposal in the following format:

1. Description of the Designated Emphasis

Define the scope of the DE. Explain how this area/range of knowledge or inquiry relates to and enhances existing Ph.D. programs. Explain how it diverges from these programs. This includes any recent development of the area and its importance, as well as the unique strengths in this area on the Davis campus. Include a description of how the DE will benefit students in a manner that is not currently accomplished by existing doctoral programs.

2. Description of the Academic Nature of the Designated Emphasis

This description will include several elements:

A. Affiliated Ph.D. Programs List

Provide a list of existing Ph.D. programs that will initially be affiliated with the DE.

B. Dean's Letters

The proposal should include letters of support from relevant Dean or Deans regarding resources and implications of support for the proposed Designated Emphasis.

C. Chairs' Letters (see example Appendix 3)

The proposal should include letters from the Chairs of existing Ph.D. programs that intend to be affiliated with the DE. The Ph.D. program Chair's letter should:

1. Declare the intent of the Ph.D. program to be affiliated with the proposed DE
2. Describe the impact of the DE curriculum on the normative time to degree for students in the Ph.D. program, including commentary on whether any courses in the DE curriculum may be used to satisfy requirements of the Ph.D. program.
3. Describe how the Ph.D. program Chair assessed the level of support for the Ph.D. program's affiliation with the DE (e.g., a meeting vote or an e-mail ballot).

D. Affiliated Faculty (see example Appendix 2)

Provide a roster of faculty who intend to participate in the DE. Request a letter from each faculty member who intends to participate. This letter should indicate the intent to participate and agreement to participate in DE functions such as teaching, administration, qualifying examinations, and Dissertation Committee service, or any other criteria specified in the DE's bylaws. Faculty support for the DE is considered critical. A lack of participation of affiliated faculty will be a major factor considered in DE reviews.

E. Admissions Criteria

Describe the criteria used to determine admission of students to the DE.

F. Curriculum

The proposed curriculum should be described. Courses may be new or existing. The description of the curriculum should include the following:

1. **Required courses**: List required courses and the unit value of each. Indicate whether the required courses are new or existing courses. For new courses, include the course description and indicate whether these have been submitted online for review. An MOU from the Department/Group Chair offering the required course must be included (see example in Appendix 1).

2. **Elective Courses:** List allowable elective courses and their unit value. Indicate whether the elective courses are new or existing courses. For new courses, include the course description, and indicate whether these have been submitted online for review.

The required curriculum, and any subsequent changes to the required curriculum, must be approved by Graduate Council.

3. **Qualifying Examination** (Refer to page 2.)
4. **Dissertation Requirements** (Refer to page 2)
5. **Degree Conferral Process** (Refer to page 2)

G. Student Advising

Include a description of the method by which the DE will oversee the academic progress of students in the DE. For example: Will the DE assign a DE graduate adviser to the student? Will the DE graduate adviser meet periodically with the student? Will the DE graduate adviser confirm to Graduate Studies and the student's Ph.D program that the student has fulfilled all DE requirements prior to graduation?

3. Administrative Matters

A. Bylaws

The bylaws will be prepared as outlined in the *Bylaws Guidelines for Designated Emphasis Programs.* (Web site: https://ucdavis.box.com/s/ofs7eu5hl3lxkmnszk5z78bf7y8e0vdg)

The proposed bylaws shall clearly define the administrative structure of the group, the requirements for DE faculty membership and renewal, and regular meetings of the DE Chair and affiliated Ph.D. program Chairs, at a minimum of once a year to discuss administrative, instructional, and research resource needs. In addition, there must be an annual meeting of the DE Chair and participating faculty.

Please attach the bylaws as a separate document and state that they are attached to the proposal. (An electronic copy shall be provided to Graduate Council's Bylaws Committee.)

The bylaws, and any subsequent changes to the bylaws, must be approved by Graduate Council.

B. Resources

The proposal should address the issue of resources required to run the DE. If no additional resources are required, this should be stated. If additional resources are required, they should be described, and the source of support for these resources should be identified. Resources include the administrative support for record keeping (for example, lists of current and former students and current faculty members) and preparation of materials required for the periodic reviews by Graduate Council's Program Review Committee (page 3, number 10.).

4. Review and Approval Procedures

A. Graduate Studies Preview

Proposals for new Designated Emphasis programs should be "previewed" by the Office of Graduate Studies, to ensure that the proposal contains the necessary information. The purpose of this step is to identify problems that may slow the formal proposal review process.

B. Graduate Council Approval

Proposals are then reviewed by the Graduate Council. Council's Bylaws Committee will review the bylaws and Council's Educational Policy Committee will review the entire proposal. Final approval is by the Graduate Council. No further review is required on or off campus.

C. Off campus notification

Graduate Council will notify the Coordinating Committee on Graduate Affairs (CCGA), the relevant UC systemwide committee, of the approval of new Designated Emphasis programs.

UC DAVIS GRADUATE COUNCIL TEMPLATE
Designated Emphasis Course Requirements
Approved – December 2008
Revised – February 23, 2024

DESIGNATED EMPHASIS IN Click to add name of DE. COURSE REQUIREMENTS

Revision Dates: List previous year(s) and current revision date
Approved by Graduate Council: Click or tap here to enter text.

General Instructions:
All instructions embedded in this template are highlighted in yellow. Sample language is highlighted in gray. Any questions should be directed to the Graduate Council Analyst in the Academic Senate Office.

1. Follow the Submission Requirements provided in the Graduate Council Degree Requirements Policy (GC2005-04).
2. Every section listed in this template must be included in your course requirements document. For instance, even if you have no "Elective Courses," you should include that section heading and state "None." The review process will go much more smoothly if you check your document side by side with this template and ensure that your document follows it.
3. Avoid language such as "should", "normally," and "typically." Try to be as definitive and unambiguous as possible.
4. Use gender-neutral pronouns (e.g., they, them).

A. Admissions Criteria

Describe the criteria used to determine admission of students to the Designated Emphasis (DE).

For example:
Any student admitted to a participating doctoral program is eligible for admission, provided that:

a) The candidate has begun the study of either Latin or Greek; and
b) The candidate intends to complete a dissertation in which the topic relates to and incorporates some aspect of Classical reception or Classical scholarship.

B. Curriculum (include the existing requirements in Appendix A and attach)

1. Required Courses:

List required courses and the unit value of each, as well as total units required.

For example:

- CLA 200A – Approaches to the Classical Past (4 units)
- CLA 200B – Approaches to the Classical Past (4 units)
- One (1) additional course to be selected in consultation with the student's DE advisor. This course may be another course in Classics or a course in another department which emphasizes the connection of Classics and Classical receptions with the student's field of study. (4 units)

TOTAL REQUIRED UNITS: 12

2. **Elective Courses:**
   List allowable elective courses by name and number and include their unit value.

3. **Qualifying Examination**
   List any QE requirements and the following required language:

   The student's Qualifying Examination Committee must include at least one member of the DE. The DE member of the Qualifying Exam Committee shall be recommended by the Executive Committee of the DE. The Chair of the DE and the student's Ph.D. program Graduate Advisor must co-sign the Qualifying Examination Application, which is submitted to Graduate Studies for approval by the Dean of Graduate Studies.

   The Qualifying Examination will assess the student's depth and breadth of knowledge within the area of the DE, as well as the Ph.D. program area.

4. **Dissertation Requirements**
   List any dissertation requirements and the following required language:

   The student's Dissertation Committee shall be selected in accordance with the regulations of the Ph.D. program but must include at least one member of the DE. The DE member may be the Dissertation Committee Chair. The dissertation topic will be relevant to the area of the DE.

5. **Degree Conferral Process**
   Include the following required language:

   The Designated Emphasis will be awarded solely in conjunction with the Ph.D. and will be signified by the degree designation "Ph.D. in X with Emphasis in Click to add name of DE." where X is the Ph.D. program.

C. Student Advising

Include a description of the method by which the DE will oversee the academic progress of students in the DE.

D. Impact on Time to Degree

Include any projected impact on the time to degree for the student's home program.

~~Guidelines on Proposing Revisions~~ ~~to the Requirements for a~~ UC DAVIS GRADUATE COUNCIL TEMPLATE

Designated Emphasis Course Requirements
Approved – December 2008

~~Requests~~**Revised – February 23, 2024**

DESIGNATED EMPHASIS IN Click to add name of DE. COURSE REQUIREMENTS

Revision Dates: List previous year(s) and current revision date
Approved by Graduate Council: Click or tap here to enter text.

General Instructions:
All instructions embedded in this template are highlighted in yellow. Sample language is highlighted in gray. Any questions should be directed to~~revise~~ the Graduate Council Analyst in the Academic Senate Office.

1. Follow the Submission Requirements provided in the Graduate Council Degree Requirements Policy (GC2005-04)~~curriculum or admission~~.
2. ~~1.~~2. Every section listed in this template must be included in your course requirements ~~for a Designated Emphasis (DE) need to be submitted to, and approved by the Graduate Council~~document. For instance, even if you have no "Elective Courses," you should include that section heading and state "None." The review process will go much more smoothly if you check your document side by side with this template and ensure that your document follows it.

~~Requests~~ Avoid language such as "should ~~be submitted the Chair of the Graduate Council, c/o the Graduate Council Analyst ()~~

~~The following information should be included in the request:~~

1. ~~**Cover letter:** The DE Chair should outline the reasons for the changes requested~~", "normally," and ~~include any justification necessary. Of particular concern~~"typically." Try to ~~the Council will be the impact of the changes on the time to degree in the affiliated PhD programs.~~

2. ~~**Degree requirements template:** Attached to the cover letter should be the revised degree requirements in the template found in the following pages. Should you need assistance with Appendix A, please contact the Graduate Council Analyst who will provide the last approved version of the DE requirements.~~
   a. ~~**Please note** that letters of support from affiliated chairs may be necessary if the proposed revisions seem to impact the normative time to degree. (see section D. in the template)~~

2.3. ~~Once the request has been submitted, the Analyst will review for completeness,~~be as definitive and ~~may contact the DE Chair for any additional information needed. Once complete, the Analyst will forward the request to the Educational Policy subcommittee (EPC) of the Graduate Council. EPC will review and may request additional information. EPC will forward the request to the~~

~~Graduate Council with a recommendation, and the Graduate Council will vote on the final approval.~~unambiguous as possible.

~~Designated Emphasis in XX~~
~~Degree Requirements~~
~~Revised: _____~~
~~Approved by Graduate Council: _____~~

4. ~~**A.**~~ Use gender-neutral pronouns (e.g., they, them).

A. Admissions Criteria

Describe the criteria used to determine admission of students to the Designated Emphasis (DE~~.~~).

For example:
Any student admitted to a participating doctoral program is eligible for admission, provided that:

a) The candidate has begun the study of either Latin or Greek; and
b) The candidate intends to complete a dissertation in which the topic relates to~~,~~ and incorporates some aspect of Classical reception or Classical scholarship.

B. ~~B.~~ Curriculum (include the existing requirements in Appendix A and attach)

1. ~~1.~~ Required Courses:

List required courses and the unit value of each, as well as total units required. ~~For example:~~

For example:

- CLA 200A – Approaches to the Classical Past (4 units)
- CLA 200B – Approaches to the Classical Past (4 units)

- One (1) additional course to be selected in consultation with the student's DE advisor. This course may be another course in Classics or a course in another department which emphasizes the connection of Classics and Classical receptions with the student's field of study. ~~—~~(4 units)

TOTAL REQUIRED UNITS: 12

2. ~~2.~~ **Elective Courses:**
List allowable elective courses by name and number~~,~~ and include their unit value.

3. ~~3.~~ **Qualifying Examination**
List any QE requirements~~,~~ and the following required language:

The student's Qualifying Examination Committee must include at least one member of the DE. The DE member of the Qualifying Exam Committee shall be recommended by the Executive Committee of the DE. The Chair of the DE and the student's Ph.D. program Graduate ~~Adviser~~Advisor must co-sign the Qualifying Examination ~~*Committee form*~~Application, which is submitted to Graduate Studies for approval by the Dean of Graduate Studies.

The Qualifying Examination will assess the student's depth and breadth of knowledge within the area of the DE, as well as the Ph.D. program area. ~~Satisfactory performance on the Qualifying Examination for the Ph.D. will be judged independently from performance on the DE. Thus, an allowable outcome of the Qualifying Examination is that the student's performance may be "passing" for the Ph.D. but "not passing" for the DE. In the event that a student passes the PhD qualifying exam, but receives a "not pass" for the DE, the Executive Committee of the DE will define a plan for remediation. The plan may include, but is not limited to re-examination by the DE Executive Committee, coursework, teaching, or preparation of a paper. If the student is re-examined, the outcome is limited to "pass" or "fail". If the student receives a "fail", the student is disqualified from the DE.~~

4. ~~4.~~ **Dissertation Requirements**
List any dissertation requirements~~,~~ and the following required language:

The student's Dissertation Committee shall be selected in accordance with the regulations of the Ph.D. program~~,~~ but must include at least one member of the DE. The DE member may be the Dissertation Committee Chair. The dissertation topic will be relevant to the area of the DE.

5. ~~5.~~ **Degree Conferral Process~~:~~**
Include the following required language:

The Designated Emphasis will be awarded solely in conjunction with the Ph.D. and will be signified by the degree designation "Ph.D. in X with Emphasis in ~~(~~Click to add name of DE.~~)~~" where X is the Ph.D. program.

C. ~~C.~~ **Student Advising**
Include a description of the method by which the DE will oversee the academic progress of students in the DE.

D. ~~D.~~ Impact on Time to Degree

Include any projected impact on the time to degree for the student's home program. ~~If necessary, include letters from the Chairs of affiliated programs specifying the impact on time to degree, and their support for the proposed revisions.~~

~~APPENDIX A: EXISTING REQUIREMENTS~~ EXAMPLE

~~Approved: July 2000~~

~~Admission~~

~~Any student admitted to the doctoral program of a participating department is eligible for admission provided that:~~

~~a) The candidate has completed two upper division courses in either Latin or Greek or has equivalent competence.~~
~~b) The candidate intends to complete a dissertation that incorporates scholarly study of some aspect of Classics and/or the Classical Tradition~~

~~On completion of the above, the candidate may apply to the Executive Committee of the Graduate Group in Classics and the Classical Tradition for admission to the DE.~~

~~Curriculum~~

~~Students are required to complete four graduate courses relevant to the Designated Emphasis. These will include:~~

~~a) Classics 200A and 200B.~~
~~b) One further graduate course in Classics, involving graduate study of a major author in Greek or Latin~~
~~c) A fourth graduate course to be selected in consultation with the student's DE adviser. The~~

fourth course may be another course in Classics or a course in the student's home department which emphasizes the connection of Classics and the Classical Tradition with the student's field of study.

Elective Courses

The choice of further courses in subject related to the DE will be left to the student and the student's adviser.

Qualifying Exam Requirements

The QE shall include material related to the subject of the DE.

Dissertation Requirements

The dissertation shall contain original research n material connected with the DE and its relation to the student's research in the home program.

Advising

The DE will appoint a faculty adviser for each student admitted. This adviser may be different from the adviser appointed by the student's department, and if so will serve the candidate only in matters relating to the DE.

Impact on Time to Degree

Because the DE requires only four graduate courses, on of which may be in the student's home program, it is estimated that the impact of completing the DE in Classics and the Classical Tradition on the student's time to degree will be minimal.

February 26, 2024

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Revised Doctoral Qualifying Examinationsand Service on Advanced Degree Committees Policies

At its meeting on February 9, 2024, Graduate Council (GC) discussed the consultation feedback and approved revisions to the following policies:

- Doctoral Qualifying Examinations (GC2005-02) – revision 12
- Service on Advanced Degree Committees (GC1998-01) – revision 11

Graduate Council (GC) extends its appreciation to Academic Senate leadership for expediting consultation on the pending revisions to the Doctoral Qualifying Examinations (GC2005-02) policy ("QE Policy"). GC also thanks all the committees who responded to this expedited request – many of the suggestions received through this process were incorporated into the final QE Policy.

While this revision process may have appeared expedited due to the need for a shorter than normal consultation timeline, GC has been deliberating and discussing changes to the QE Policy since the 2022-23 academic year. The revisions to the QE Policy, as well as the Service on Advanced Degree Committees Policy ("SADC Policy"), have been guided by feedback received from the Administrative Subcommittee (GCAC), faculty, students, and Graduate Studies. Throughout the revision process, GC has focused on making improvements to the QE Policy with student and faculty welfare in mind. GC is announcing these policy revisions now rather than waiting until the next academic year because this timing will enable students and faculty to take advantage of the new features of the revised policy, which will be incorporated into the April launch of GradSphere. GC weighed the prospect of students potentially being disadvantaged by not having access to these features with the potential disruption that any change in policy can have during the academic year and determined that, on balance, it is better for students and faculty to have the new policy features available to them as soon as possible.

These new features include:

- **Changes to remote participation:** The new QE Policy allows one QE committee member to serve as a remote participant without the need for additional approval from Graduate Studies. The policy also allows QE committees to be conducted fully remotely if an emergency arises as long as this option is pre-selected and approved on the QE Application as part of the QE's "Emergency Plan." The new QE Policy also clarifies that students must register and initiate the interactive accommodation process with the Student Disability Center if students require academic accommodations (such as having the exam conducted virtually with closed captioning enabled) to take the QE.

- **Addition of an Emergency Plan:** With the new QE Policy, students and faculty can predetermine an Emergency Plan, which is designed to help reduce the pressure and stress of last-minute decision-making if an emergency happens. Students and QE chairs will be able to discuss the pros and cons of the different options available (moving to a fully remote committee, scheduling a predetermined backup QE date, appointing an alternate QE member

from the same graduate program) and select the options (all, some, or none) that will mutually work best for the student and the QE committee.

With an Emergency Plan in place, a student's QE won't necessarily need to be rescheduled if a member is suddenly ill and can't physically attend the QE. In this scenario, if all three options in an Emergency Plan have been pre-selected by the student and the QE chair, then the student and the QE chair can decide which option would work best: moving to a fully remote exam, moving to the backup date, or calling on the alternate member to serve in lieu of ill member. Moreover, the QE chair and student won't need to worry about getting last-minute approval to implement this change in format (if moving to a fully remote QE), date, or membership (if reconstituting with the alternate program member). As long as the QE's Emergency Plan was approved with the submission of the QE Application, then the student and QE committee can proceed with the QE and just notify Graduate Studies of the option taken in the QE Report.

- **Replacement of the "Not Pass" outcome on the First QE with "Retake."** For the first QE, GC has replaced the "Not Pass" outcome with the word "Retake," which GC viewed as being a more accurate term to describe the consequences of this outcome and less potentially demoralizing for the student.

- **Consolidation of policies to create one-stop QE guidance:** GC moved any language that is only applicable to QEs from the Service on Advanced Degree Committees Policy ("SADC Policy") to the QE Policy to create one policy resource for QEs. This move involved eliminating the Committee Member Attendance and Remote Participation sections from the SADC Policy, since these sections were only applicable to QEs. Faculty and students will only need to consult the QE Policy for guidance on QE committees and remote participation.

Enclosed with this letter are the following attachments:

1. Communication to graduate program chairs that can also be sent to the Academic Senate and Federation listservs. **Note:** the GC analyst will coordinate with Graduate Studies on sending this communication to the graduate program chair listserv.
2. Memo summarizing the changes made to the QE Policy
    a. Clean copy of the QE Policy (revision 12)
    b. Tracked changes copy of the QE Policy (revision 12)
    c. Previous QE Policy (revision 11)
3. Memo summarizing the changes made to the SADC Policy
    a. Clean copy of the SADC Policy (revision 11)
    b. Tracked changes copy of the SADC Policy (revision 11)
    c. Previous SADC Policy (revision 10)

The GC analyst will upload clean copies of both policies to the GC Policies website.

Should there be any questions or concerns about these policy revisions, please refer them to the GC analyst, Kelly Adams, at keaadams@ucdavis.edu. Kelly will work with GC leadership on responding to any inquiries/concerns.

Sincerely,

Jeffrey Schank
Chair, Graduate Council

c: Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate
Mary Vasquez, Associate Director, Davis Division of the Academic Senate
Jean-Pierre Delplanque, Vice Provost and Dean, Graduate Studies
Duncan Temple Lang, Associate Dean for Graduate Programs, Graduate Studies
Ellen-Hartigan-O'Connor, Associate Dean for Graduate Studies and Postdoctoral Scholars, Graduate Studies
Jasmine Bonite, Director of Policy and Programs, Graduate Studies
Sara Camara, Executive Assistant, Graduate Studies

Email Announcement for new QE and SADC Policies (to be sent to graduate program chairs, AS and AF listservs)

Subject: Doctoral Qualifying Examinations (QE) and Service on Advanced Degree Committee (SADC) Policy Updates

Dear Colleagues:

On behalf of Graduate Council (GC), I am writing to announce some important updates to the policies concerning Doctoral Qualifying Examinations (QE) and Service on Advanced Degree Committees (SADC). Over the past several months, GC has been discussing and working on improvements to the QE Policy with student and faculty welfare in mind. We know how challenging it can be to schedule and reschedule a QE and how stressful the entire QE experience often is for students. We have heard from you, students, and our partners in Graduate Studies and have used this feedback to clarify expectations and improve the QE Policy. We thank Academic Senate leadership for working with us and expediting consultation of the QE Policy revisions with college and school Faculty Executive Committees (FECs) and the standing committee on Faculty Welfare. We appreciate the suggestions we received through this consultation process and have incorporated many of the suggestions into the updated revision of the QE policy.

GC is announcing these policy revisions now rather than waiting until the next academic year because this timing will enable students and faculty to take advantage of the new features of the revised policy, which will be incorporated into the April launch of GradSphere. GC carefully weighed the prospect of students potentially being disadvantaged by not having access to these features with the potential disruption that any change in policy can have during the academic year and determined that, on balance, it is better for students and faculty to have the new policy features available to them as soon as possible.

Please share the updated QE Policy with your students and graduate program faculty and staff.

These new features include:

1. **Changes to remote participation:** The new QE Policy allows one QE committee member to serve as a remote participant without the need for additional approval from Graduate Studies. The policy also allows QE committees to be conducted fully remotely if an emergency arises as long as this option is pre-selected and approved on the QE Application as part of the QE's "Emergency Plan." The new QE Policy also clarifies that students must register and initiate the interactive accommodation process with the Student Disability Center if students require academic accommodations (such as having the exam conducted virtually with closed captioning enabled) to take the QE.

2. **Addition of an Emergency Plan:** With the new QE Policy, students and faculty can predetermine an Emergency Plan, which is designed to help reduce the pressure and stress of last-minute decision-making if an emergency happens. Students and QE chairs will be able to discuss the pros and cons of the different options available (moving to a fully remote committee, scheduling a predetermined backup QE date, appointing an alternate QE member from the same graduate program) and select the options (all, some, or none) that will mutually work best for the student and the QE committee.

   With an Emergency Plan in place, a student's QE won't necessarily need to be rescheduled if a member is suddenly ill and can't physically attend the QE. In this scenario, if all three options in an Emergency Plan have been pre-selected by the student and the QE chair, then the student and the QE chair can decide which option would work best: moving to a fully remote exam, moving to the backup date, or calling on the alternate member to serve in lieu of ill member. Moreover, the QE chair and student won't need to worry about getting last-minute approval to implement this change in format (if moving to a fully remote QE), date, or membership (if reconstituting with the alternate member). As long as the QE's Emergency Plan was approved with the submission of the QE Application, then the student and QE committee can proceed with the QE and just notify Graduate Studies of the option taken in the QE Report.

3. **Replacement of the "Not Pass" outcome on the First QE with "Retake."** For the first QE, GC has replaced the "Not Pass" outcome with the word "Retake," which GC viewed as being a more accurate term to describe the consequences of this outcome and less potentially demoralizing for the student.

4. **Consolidation of policies to create one-stop QE guidance:** GC moved any language that is only applicable to QEs from the SADC Policy to the QE Policy to create one policy resource for QEs. This move involved eliminating the Committee Member Attendance and Remote Participation sections from the SADC Policy, since these sections were only applicable to QEs. Faculty and students will only need to consult the QE Policy for guidance on QE committees and remote participation.

Should there be any questions for GC regarding this policy, please to send them to the GC analyst, Kelly Adams, at keaadams@ucdavis.edu.

Thank you,

Jeffrey Schank
Chair, Graduate Council

February 26, 2024

GRADUATE COUNCIL POLICY REVISION MEMO

PROPOSED POLICY REVISION: GC2005-02: Doctoral Qualifying Examinations

LAST REVISED: February 5, 2021

APPROVAL DATE: February 23, 2024

REVISION VERSION: Rev. 12

POLICY DOCUMENTS:

- Previous Policy: GC2005-02: Doctoral Qualifying Examinations
- Approved (clean)
- Approved (markup)

SUMMARY OF REVISIONS:

1. Added in-person requirement to "Purpose and Essential Characteristics" with exceptions allowed for emergencies and approved accommodations.

   Rationale: Based on discussions at Graduate Council (GC), there has been general consensus that QEs should be conducted in-person for the benefit of the student. GC views the quality of interactions in in-person settings as superior to what is achievable in remote settings. The revised policy establishes this standard and explains GC's reasoning behind this requirement. The revised policy also defines hybrid exams (more than one member remote with the rest of the committee in person) and clarifies why hybrid exams are not allowed.

2. Added language to allow 1 member (never the QE chair or student) to participate remotely without need for an exception request from Graduate Studies.

   Rationale: Graduate Studies has indicated that it has become common to have 1 QE committee member participate remotely. Allowing 1 QE member to participate remotely – with the approval of the student and QE chair and without need for an additional exception request from Graduate Studies – will help streamline the amount of paperwork that students need to submit prior to the QE.

3. Added language regarding the potential nullification of a QE result if exams are not conducted according to policy.

   Rationale: The current policy does not indicate what might happen if the QE policy is not followed. The revision clearly states the consequences which will help make faculty and students aware of the importance of following the policy.

4. Removed references to the Policy on Service on Advanced Degree Committees and reorganized the "Committee Membership" section into 4 parts:
    1) Minimum Eligibility Criteria – outlines who can serve on QE committees
    2) Composition Criteria – outlines how QE committees must be constituted to fulfill the "Purpose and Essential Characteristics" that GC has determined must be present in all QEs
    3) Appointment Process – summarizes how QE committees are appointed and reconstituted
    4) Committee Exception Requests – summarizes the different exceptions to committee membership policies and outlines the process through which exceptions may be requested

    Rationale: Through GC's discussions of the QE policy revisions, GC has articulated how QE committees are distinct from other advanced degree committees. Rather than having the QE committee requirements listed in two different policies, the "Committee Membership" section has been revised to include all the QE committee requirements in one policy. Adding subheadings to this section will further help students, faculty, and staff to more quickly find the information they need.

5. Renamed section from "Role of the Chair" to "QE Chair Responsibilities" and organized it to clearly outline the chair's responsibilities before, during, and after the QE.

    Rationale: While the content of this section is largely the same except for wording edits, it has been reorganized to make it easier to read. Since academic accommodations have become more commonplace, language has been added to explain the responsibility of the QE Chair with respect to appropriately implementing any approved accommodations.

6. Added "Emergency Plan" section that provides a menu of options that students can pre-select, in consultation with their QE Chair, to be implemented in case of an emergency. **Note: this plan must be decided and agreed upon by the student and the QE chair.**

    Rationale: In order to reduce the potential burden on the student and faculty to reschedule an exam in case of an illness or last-minute emergency, the proposed revision provides a menu of options that students, with approval of their QE chairs, can pre-select on their QE application. The purpose of offering "Emergency Plan" options is to help mitigate the need for last-minute decision-making and reduce the pressure on the student to proceed with an exam in less-than-ideal conditions. While students are not obligated to choose any of the Emergency Plan options, they are required to discuss this "Emergency Plan" with their QE Chair. The purpose of this discussion is to ensure that the student and QE Chair are aware and understand the Emergency Plan options available and the implications of selecting, or not selecting, any of the options. While not all the options may be feasible for different programs (for example, having a backup member may not be possible given the size of the program and general faculty availability), discussing and deciding the Emergency Plan in advance will make it easier for a student and QE committee to pivot last minute if an emergency arises. If a student

does, for instance, pre-select “Changing to a Fully Remote Exam” as part of their Emergency Plan, then the student will also be aware that they need to be prepared to potentially present remotely, which could change aspects of their presentation.

7. Replaced the “Unplanned Absences” section with “Rescheduling the QE.”

   Rationale: The Administrative Committee (GCAC) has seen cases where the current policy (allowing an absent member to examine a student separately) has led to split decisions. Since the Chair is not required to sit in on the makeup exam, the GCAC is concerned about how this current policy could lead to inequitable outcomes where one member is evaluating the student using different criteria from the other QE members. In addition, GC added language in the “Rescheduling the QE” section that QE committees **do not** need to get pre-approval from Graduate Studies to reschedule their QE. All final QE dates are ultimately reported to Graduate Studies on the QE Report Form. However, if a student, in consultation with their QE chair, decides to establish a different Emergency Plan or reconstitute the committee, they will need to resubmit the QE Application.

8. For the first QE, changed “Not Pass” outcome to “Retake” and added an automatic referral to GCAC in cases of a “Fail” outcome.

   Rationale: While there is substantively no difference between a “Not Pass” and a “Retake” in the context of the first QE (both outcomes would lead to a student taking a second QE), there is general agreement in GC that this small wording change could be consequential for the well-being of the student and how the student ultimately performs on the second QE. Furthermore, the word “Retake” more clearly establishes the intent of a “Not Pass” – that is, there are still areas that the student needs to improve upon and the student will be given another opportunity to demonstrate their competency in these areas.

   GC discussed removing the “Fail” outcome for the first QE but there was agreement that this option should be retained. However, because “Fail” outcomes should be extremely rare, the GCAC has proposed adding an automatic referral process so that the GCAC can determine whether there is appropriate cause (e.g., procedural error) to overturn the “Fail” outcome.

UC DAVIS GRADUATE COUNCIL POLICY
Approved – June 9, 2005
Revision Dates – February 1, 2006; February 15, 2007; April 9, 2008; December 14, 2009; June 7, 2010; April 1, 2011; May 19, 2017; October 30, 2018; March 8, 2019; June 12, 2020; February 5, 2021
Revised – February 23, 2024

Doctoral Qualifying Examinations

Contents

I. Introduction

Before advancing to candidacy for a doctoral degree, a student must have completed the following requirements:

1. met any deficiencies in their background training,
2. satisfied all requirements set by their major program, including any tests of a reading knowledge of foreign languages as required by the program,
3. maintained a minimum cumulative GPA of 3.0 in all coursework undertaken (not including those courses graded S or U)
4. passed a Qualifying Examination (QE) evaluated by a committee appointed to administer that examination.

The QE is the final step prior to advancement to candidacy. Before submitting the application for the QE to Graduate Studies for approval, requirements 1-3 must be satisfied (although the application and final requirements can be completed in the same quarter). Following the successful completion of the QE, each student should apply for advancement to candidacy for the doctoral degree before the start of the next quarter using the form provided by Graduate

Studies. Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B, or C; however, graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in their Graduate Council approved degree requirements.

This policy describes the requirements that Graduate Council has established for all QEs. All QEs must comply with these requirements. Graduate faculty who serve on QE committees are responsible for conducting QEs according to policy. **If a QE does not follow policy, the outcome may be nullified.**

II. Purpose and Essential Characteristics

The primary purpose of the QE is to validate that the student is academically qualified to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required for a doctoral degree. The QE must evaluate the student's breadth and depth of knowledge in the field and must not focus exclusively on the proposed dissertation research.

During a QE, it is Graduate Council's expectation that students focus solely on successfully passing a challenging academic examination. Therefore, it is important for programs to remember that neither the program nor the QE committee may impose any expectation that the student will provide refreshments before, during, or after an examination.

All QEs must have the following essential characteristics:

1. **Be conducted in-person except for emergencies or due to approved accommodations.** Graduate Council has determined that the default mode for QEs is in-person except in cases of emergency or due to approved accommodations (see Emergency Plan and Special Considerations for Students with Disabilities). Graduate Council considers the in-person experience to be significantly better in ensuring that all participants remain actively engaged during a QE. For these reasons, at most **1 member** (never the QE chair or student) may participate remotely without the need for an exception if approved by the QE committee chair and student. Graduate Council limits the number of remote participants to 1 member due to the poorer interactive experience that hybrid exams offer and the increased technical challenges they can present. For the purpose of this policy, hybrid exams are defined as exams in which more than one committee member is remote and the rest of the committee is in person. Hybrid exams are not allowed and no exceptions to this policy will be considered.

2. **Be interactive.** In a QE, all examiners must be able to ask questions, hear the student's answers, and then follow up with another question or comment in response to the student's initial reply. Committee members, individually and collectively, must be able to engage in a discourse with the student on topics relevant to the student's area of competence.

3. **Be a group activity.** To optimize the examination process and evaluation of the

student, the committee must collectively: 1) experience the discourse with a student, 2) evaluate the student's performance, 3) determine the length and content of the examination, and 4) moderate the demeanor of the student and the members of the committee.

4. **Be broadly structured.** Based on the student's **past academic**, **research**, and **scholarly record** and **performance on the examination**, the student must broadly demonstrate sufficient competence in the selected disciplinary area, which must go beyond the limited area of scholarship associated with a dissertation topic. Further, the student must demonstrate the capability for integration and utilization of knowledge and skills that are critical for independent and creative research, thereby qualifying them for advancement to the research-intensive phase of doctoral education.

III. Committee Membership

Service on QE committees is a regular responsibility of all full-time UC Davis faculty. Those who agree to serve are expected to be flexible with their schedules to accommodate the interests of the student in scheduling the examination in a timely manner and to participate fully in the process.

While the form and content of QEs differ across programs, Graduate Council emphasizes that the composition of a QE committee must prioritize membership that can evaluate the academic readiness of the student to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required to earn a doctoral degree at UC Davis. QE committee members must be able to assess both breadth and depth of knowledge during the examination. Care should be exercised by programs and students when constituting QE committees to minimize conflicts of interest and promote equitable evaluation.

A. Minimum Eligibility Requirements

The following summarizes the minimum eligibility requirements for QE committees. Programs may establish more restrictive eligibility requirements in their bylaws.

1. UC Academic Senate members (including Academic Senate members at other UC campuses) are automatically eligible to serve on QE committees.

2. UC Davis Academic Federation members are eligible to serve on QE committees for graduate programs in which they are members.

3. Individuals who hold postdoctoral scholar appointments or UC Davis nonacademic staff titles are ineligible to serve..

4. Any member of a QE committee must hold a degree at least equivalent to the degree objective of the student.

5. Faculty members outside of the University of California and scholars outside of academia may be eligible to serve by exception. See External Committee

Member Exceptions.

B. Composition Criteria

All members of the QE committee must meet the Minimum Eligibility Requirements stated above. Depending upon the program's degree requirements, the intended Chair of the Dissertation Committee (commonly known as the Major Professor) may be a member of the QE committee but may not serve as its Chair.

The following criteria govern the composition of QE committees:

1. The QE committee must include **4 or 5 members**, as specified in the program's degree requirements. The required number of QE committee members must apply to all students in the program.

2. The Chair of the QE committee must be a member of the student's graduate program and either a UC Davis Division Academic Senate member or a UC Davis Academic Federation member.

3. At least **3 members** must be members of the student's graduate program.

4. At least **3 members** must be members of the Academic Senate of the University of California.

5. At least **1 member** must not be a member of the student's graduate program and affiliated with the student's research, except in cases when the program has an approved exception (see Blanket Exceptions). This requirement is to ensure that a breadth of knowledge is tested and to provide external oversight.

6. In cases where a student is completing a Designated Emphasis (DE), at least **1 member** must be affiliated with the DE (see GC1988-01: Designated Emphasis Policy and Proposal Guidelines) to ensure examination of DE topics. If no committee member can serve in that role, an additional committee member must be appointed. A student or program may petition Graduate Studies for 1 additional member beyond the number required by the program (see Exceptions to Committee Constitution).

7. At most **2 members** of a 5-person committee or **1 member** of a 4-person committee may be non-Senate faculty.

8. No more than **1 member** may be a faculty member outside the University of California or a scholar outside academia who has been approved to serve by exception (see External Committee Member Exceptions).

C. Appointment Process

The student's graduate program will suggest the names of persons to be included on QE committees, but appointments are made by the Dean of Graduate Studies, who

will advise all parties concerned. A list of the suggested QE Chair and committee members must be indicated on the student's QE application and must be submitted to Graduate Studies at least 30 days prior to the date of the exam.

If the program wishes to suggest changes to the committee membership after the student's QE application has been approved by Graduate Studies, the program must submit a Reconstitution of Committee Member Request to Graduate Studies for approval. Requests for committee reconstitution can be made prior to a first or second QE.

D. Committee Exception Requests

Though committee exceptions may be requested, Graduate Council underscores that exceptions should be rare and should only be requested if they are academically justifiable. For example, an external member exception request may be justified if there are no UC Academic Senate members (this includes faculty on other UC campuses) who possess the specific expertise required to examine a student in a particular area. It is not appropriate to request exceptions to professionally network or for other non-academic reasons that are unrelated to the purpose of the QE.

1. Committee Constitution Exceptions

Requests for any exceptions to the constitution of QE committees must be submitted to Graduate Studies for review and approval. Unless Graduate Council has approved new degree requirements that specifically state that the program requires only 4 members on a QE committee, no exceptions to the minimum 5 members will be approved for said program.

2. External Committee Member Exceptions

Requests to appoint a faculty member from another university (outside of the UC system) or scholar from outside academia must be submitted to Graduate Studies according to the instructions provided in the External Committee Membership Application. If this application is approved by Graduate Studies, the external committee member must be advised by the graduate program that no stipend will be paid for committee service. Committee members in this category are expected to serve on a **one-time basis**. Continuing service on QE committees by external members requires an appropriate academic appointment (e.g., Adjunct Professor).

3. Blanket Exceptions

Graduate programs can request a blanket exception to the policy of including a member outside the program on each student's QE. Requests should be addressed to the Chair of the Graduate Council, c/o the Graduate Council Analyst. Requests will be reviewed and either approved or denied by the Graduate Council's Administrative Committee.

Requests for the Blanket Exception must include the following:

1) **A faculty member list sorted by departmental affiliation.**

2) **A statement guaranteeing the program will recommend appropriate QE committee compositions.** Appropriate compositions are those that are not drawn from a single department and ensure that a student's breadth of knowledge will be examined. The Graduate Academic Advisor will make certain that each committee is appropriately composed before signing the Application for Qualifying Exam, and students should be advised accordingly.

3) **Clear justification for the blanket exception.** One possible justification for such a request is that the membership of a large program is not dominated by any single department, but instead draws a super-majority of its members from many different departments. If the program is dominated by a single department, blanket exceptions will not be granted.

If a program revises its degree requirements to change from 5 to 4 required committee members, it must file a new request for a blanket exception. When a program having a blanket exception submits the QE Application to the Dean of Graduate Studies, each member should be listed with their home department (and not the name of the program) so that the appropriate committee makeup can be assessed.

IV. QE Chair Responsibilities

The primary responsibilities of the QE Chair are to facilitate the work of the committee and to ensure that the examination is conducted fairly and in accordance with any academic accommodations that may be in place (see Special Considerations for Students with Disabilities).

A. Before the Examination

Before the examination, the Chair must meet with the student to discuss scheduling, procedures, format, and general exam content. The Chair must provide the student with clear written guidelines on these matters. The QE Chair must also discuss the procedures, format, general exam content, and evaluation expectations with the other members of the committee, as well as the approved Emergency Plan. Should an emergency occur, the QE Chair is responsible for implementing the Emergency Plan or assisting with rescheduling the QE.

B. During the Examination

At the start of the examination, the Chair should attempt to put the student at ease so that they can focus on the content of the examination. The Chair should also ensure that the examination conforms to the approved format and general norms of

the program, and that the examination addresses both breadth and depth of knowledge. The Chair must ensure that the QE adheres to the expected schedule during the examination.

C. After the Examination

Following the examination, the Chair should facilitate the discussion among the committee members, ensure that the committee makes every reasonable effort to reach a unanimous conclusion, inform the student of the result at the conclusion of the exam, and file the committee report with Graduate Studies within 72 hours.

V. Timing

Graduate programs may define a window of time during the program of study that is appropriate for QEs. The QE can be scheduled in the same quarter that the student completes all courses and other program degree requirements. If that is the case, the Graduate Advisor must not submit the Advancement to Candidacy form until it can be verified by Graduate Studies that the student has passed the courses and satisfied all program requirements. The student must be in active status (e.g., not on PELP) when taking their QE.

VI. Process

The QE must include an oral examination of approximately 2-3 hours in length, with the student and entire committee present, and the decision-making process immediately following. Non-voting faculty observers may be invited with the unanimous consent of the committee and student. **All members of the examination committee are expected to be present during the entire examination.** See Emergency Plan below for the procedures to follow in the event that one or more committee members are unexpectedly absent from the examination.

If a written examination is administered before the oral as part of the QE, it must be evaluated by the same committee members as the subsequent oral component. Committee members may individually meet with the candidate in advance of the oral component. Any additional information must be available to all committee members at the time of the oral QE for discussion within the evaluation of the oral component.

VII. Emergency Plan

Prior to submitting the QE Application, the student must discuss the Emergency Plan section on the application form with their QE chair. **Students must understand that if they do not select any of the emergency options available and an emergency occurs, then the QE must be rescheduled (see Rescheduling the QE).** Graduate Council stresses, however, that the student must never be pressured into selecting any of the Emergency Plan options that are available.

For the purpose of this policy, an emergency is defined as a **last-minute, unanticipated event** such as a sudden sickness or accident that prevents the QE committee from meeting in person on the scheduled date and time or prevents one committee member (never the student or chair) from participating in the QE. In no circumstance may the options in an Emergency

Plan be used for reasons of convenience or other situations not constituting a genuine emergency.

The following options are available to students to select as part of their Emergency Plan:

A. Changing to a Fully Remote Exam if an Emergency Occurs
B. Moving the Exam to a Pre-Scheduled Backup Date/Time
C. Reconstituting the Committee with a Pre-Determined Backup Member

A. Changing to a Fully Remote Exam if an Emergency Occurs

If students want to have the option to move to a fully remote exam available in cases of emergency, they must select this option as part of their Emergency Plan on the QE Application.

The following conditions must be met in order for an exam to be conducted fully remotely. **The QE Chair is responsible for ensuring all conditions are met, implementing the change of exam mode, and reporting this change on the final QE Report.** The QE Chair does not need to get approval from Graduate Studies in advance of changing the exam mode, provided that the student has approved this emergency option on their QE Application.

1. **Conditions for Fully Remote Exams**

    1) An emergency prevents the committee from meeting in-person, but all committee members and the student can still participate remotely.
    2) The student has approved the fully remote exam mode as an option for their Emergency Plan on their QE Application. In approving this option, the student acknowledges that they will be prepared to present any material remotely if needed.
    3) Except for the in-person requirement, the QE can fulfill the Purpose and Essential Characteristics of the exam in a fully remote format.
    4) All participants are familiar with the technology being used to conduct the exam remotely. Except for unavoidable technical issues, videos must be enabled and distractions minimized to replicate the experience of an in-person exam to the extent possible.
    5) The student is comfortable with the technology and understands how to interact with QE committee members successfully.

B. Moving the Exam to a Pre-Scheduled Backup Date/Time

A student may opt to move the QE to a pre-scheduled backup date/time in their Emergency Plan. This backup exam must be in-person except if the student pre-approved moving the exam to fully remote or if there are approved accommodations for a different exam mode (see Special Considerations for Students with Disabilities).

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the backup exam date/time. **The**

QE Chair is responsible for notifying members if the exam needs to move to the backup date/time and reporting this change on the final QE Report.

C. Reconstituting the Committee with a Pre-Determined Alternate Program Member

A student may opt to reconstitute the QE committee with a pre-determined alternate faculty member from their graduate program. This alternate program member can substitute for another member (never the QE Chair) in their Emergency Plan. This alternate member must be from the same graduate program as the student and agree to be available to meet at the scheduled date/time. Since no more than 1 member of a QE committee may participate remotely if the exam is held in-person, this alternate member must be able to meet in person if the QE committee already has a remote member. Moreover, since the alternate member must be from the same program as the student, this member will not be able to serve as a substitute for the "outside" member.

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the name and signature of the backup QE member. **The QE Chair is responsible for determining whether the committee with the alternate member meets the committee composition requirements and the program's degree requirements; otherwise, the QE must be rescheduled.** If the QE chair determines the committee meets the committee composition requirements and the Program's degree requirements, **the QE Chair is then responsible for notifying the alternate member of the exam details and reporting this membership change on the final QE Report**.

VIII. Rescheduling the QE

If an emergency arises that prevents the QE from being conducted as scheduled and no Emergency Plan options have been selected by the student, then the QE must be rescheduled. The QE Chair must be the point of contact for the committee and must assist the student with rescheduling the exam in a timely manner. A new QE committee form **does not** need to be submitted to Graduate Studies if an exam is rescheduled. However, a student can choose to submit a new QE committee form if they have changed their committee and/or would like to add, delete, or otherwise change their Emergency Plan options. All rescheduled QEs must be reported and explained on the QE Report form.

IX. Special Considerations for Students with Disabilities

Graduate Council recognizes that students with disabilities may need appropriate accommodations to avoid being disadvantaged when taking the QE. Requests for academic accommodations must be made well in advance of the date of the first sitting for the QE (not less than 1 month and preferably 2 months). **It is the student's responsibility to register and initiate such requests through the Student Disability Center (SDC) as accommodations cannot be granted retroactively.** The process for requesting accommodations is an interactive one between the student, program, and SDC. Faculty and students are advised to consult with SDC if they have questions regarding the accommodation process.

When accommodations are deemed appropriate by the SDC, they must preserve the Purpose and Essential Characteristics of the QE as described in this policy, with exceptions allowed to the in-person requirement. **Graduate Council defers decisions on exceptions to the in-person requirement to the SDC and the program.**

The QE Chair must ensure that they understand the accommodations being requested, consult with the SDC as needed, and implement the accommodations for the QE.

X. Outcomes

The QE committee members must endeavor to reach a unanimous decision as to the qualifications of the student for the successful completion of a doctoral program. The QE committee must include in their evaluations of the student such factors as relevant components of the previous academic record, performance on specific parts of the qualifying examination, and an overall evaluation of the student's performance and potential for scholarly research as indicated during the examination.

In all cases for both first and second exams, the QE Chair is responsible for informing the student orally of the outcome of the exam at the time of the exam and is responsible for reporting the result and supplying other information to Graduate Studies as required by this policy statement. QE reports must be filed within 72 hours of the completion of the examination. The Dean of Graduate Studies will inform the student in writing of the outcome of the exam.

A. First Qualifying Exam

1. **Pass** – no conditions may be appended to this decision.

2. **Retake** – the QE Report must specify whether the student is required to retake all or part of the examination, list any additional requirements, and state the expected timeline for completion of requirements before retaking all or part of the exam. The QE Chair must include in its report a specific statement, agreed to by all members of the committee, explaining their decision. The student should meet with their Graduate Advisor and QE Chair to discuss the first exam and address any questions they may have about the retake. Graduate Studies will also inform students in writing that they will need to retake their exam.

   Fail – expected to be extremely rare on the first QE. **Fail** outcomes on the first QE will automatically be referred to the Administrative Committee of Graduate Council (GCAC) to review since, technically, a unanimous committee is making a recommendation to the GCAC (see Davis Division Regulation 520). The GCAC is only authorized to change the outcome of a unanimous committee recommendation for cause, which can include, but is not limited to, procedural error (e.g., failure to follow Graduate Council policies, failure to follow program's degree requirements, etc.), probable bias, and specific mitigating circumstances. Questions of academic judgement are excluded from GCAC's consideration.

Graduate Studies will initiate this referral to GCAC upon receipt of the QE Report indicating the **Fail** outcome. The QE Report must include a statement from the QE Chair that explains why the student is unlikely to pass the QE if given a second attempt. This statement must reflect the views of the entire committee and not just the QE Chair. A student may also submit a statement for the GCAC's consideration. Any statements alleging bias or other reportable conduct will be referred to the appropriate office for further investigation.

B. Second Qualifying Exam (Retake)

The second QE will be given if the student receives a **Retake** on the first QE. The QE Chair is responsible for clearly communicating and writing on the QE Report the requirements for the second QE, including the form it will take (e.g., oral presentation, revision of written material, etc.) and the content it will cover. The second QE should be designed to address the deficiencies identified in the first QE. In some cases, this will be exclusively an oral examination; in others, the student may be asked to re-write the written portion of the first exam or write additional papers. If the student is required to retake an oral examination or present information to the committee, the exam mode must be in person except in cases of emergency or due to approved accommodations.

The committee may not defer its evaluation to a third party, e.g., by asking the student to take a class or serve as a Teaching Assistant in lieu of a second QE. Whatever form the examination takes, the committee must meet as a whole and discuss the outcome of the first and second QE. The student's performance on the QE should be assessed holistically, which means that the QE committee should evaluate the candidate's performance on the first and second exams and not decide the outcome just on the performance on the second exam alone.

Only one retake of the QE is allowed and at the conclusion of the retake, the committee may only vote **Pass** or **Fail**. If the student receives a **Fail** on the retake, they will automatically be recommended for disqualification from the graduate program to Graduate Studies (see GS2005-01: Disqualification and Appeal Policy).

C. Non-unanimous Committee Decisions

If, after due deliberation, it becomes evident that the QE committee cannot reach a unanimous decision, the QE Chair must inform the student that the committee is divided.

QE Chairs of divided committees shall be especially careful to inform the student that:

- both the majority and minority are making recommendations,
- the recommendations will be subject to further review, and
- the Graduate Council Administrative Committee (GCAC) will make the decision as to the outcome.

The QE Chair must also notify the Dean of Graduate Studies that the committee is divided and must forward to the Dean separate written reports (unsigned) from the majority and minority of the committee with their specific evaluations of the student's performance on the examination and recommendations for further action by the GCAC.

The Dean will forward information from the committee to the GCAC for review and to make a final decision. The GCAC may, at their discretion, request individual statements from members of the examining committee and will consider a written statement from the student if one is submitted. While the discussions of the QE committee are confidential, student records, such as written reports from QE members, are by law available to the student. Any allegations of bias or other reportable conduct will be referred to the appropriate office to investigate accordingly.

UC DAVIS GRADUATE COUNCIL POLICY ~~GC2005 – 02 (rev. 11)~~

Approved – ~~**Doctoral Qualifying Examinations Revised –**~~ June 9, 2005~~;~~
Revision Dates – February 1, 2006; February 15, 2007; April 9, 2008; December 14, 2009; June 7, 2010; April 1, 2011; May 19, 2017; October 30, 2018; March 8, 2019; June 12, 2020
~~**Approved –**~~ ; February 5, 2021
Revised – February 23, 2024

Doctoral Qualifying Examinations

Contents

I. Introduction

Before advancing to candidacy for a doctoral degree, a student must ~~complete all of~~have completed the following requirements:

1. ~~have~~ met any deficiencies in ~~his or her~~their background training,
2. ~~must have~~ satisfied all requirements set by ~~his or her~~their major program, including any tests of a reading knowledge of foreign languages as required by the program,
3. ~~must have~~ maintained a minimum cumulative GPA of 3.0 in all ~~course work~~coursework undertaken (not including those courses graded S or U)
4. ~~must have~~ passed a Qualifying Examination (QE) evaluated by a committee appointed to administer that examination.

The QE is the final step prior to advancement to candidacy. Before submitting the application for the QE to Graduate Studies for approval, requirements 1-3 must be satisfied (although the application and final requirements can be completed in the same quarter). Following the successful completion of the QE, each student should apply for advancement to candidacy for the doctoral degree before the start of the next quarter using the form provided by Graduate Studies. Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B, or C; however,

graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in their Graduate Council approved degree requirements.

This policy describes the requirements that Graduate Council has established for all QEs. All QEs must comply with these requirements. Graduate faculty who serve on QE committees are responsible for conducting QEs according to policy. **If a QE does not follow policy, the outcome may be nullified.**

II. Purpose and Essential Characteristics

The primary purpose of the ~~Qualifying Examination (QE)~~QE is to validate that the student is academically qualified to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required for a doctoral degree. The QE must evaluate the student's breadth and depth of knowledge in the field and must not focus exclusively on the proposed dissertation research.

During a QE, it is Graduate Council's expectation that students focus solely on successfully passing a challenging academic examination. Therefore, it is important for programs to remember that neither the program nor the QE committee may impose any expectation that the student will provide refreshments before, during, or after an examination.

All QEs must have the following essential characteristics:

1. **Be conducted in-person except for emergencies or due to approved accommodations.** Graduate Council has determined that the default mode for QEs is in-person except in cases of emergency or due to approved accommodations (see Emergency Plan and Special Considerations for Students with Disabilities). Graduate Council considers the in-person experience to be significantly better in ensuring that all participants remain actively engaged during a QE. For these reasons, at most **1 member** (never the QE chair or student) may participate remotely without the need for an exception if approved by the QE committee chair and student. Graduate Council limits the number of remote participants to 1 member due to the poorer interactive experience that hybrid exams offer and the increased technical challenges they can present. For the purpose of this policy, hybrid exams are defined as exams in which more than one committee member is remote and the rest of the committee is in person. Hybrid exams are not allowed and no exceptions to this policy will be considered.

2. **Be interactive.** In a QE, all examiners must be able to ask questions, hear the student's answers, and then follow up with another question or comment in response to the student's initial reply. Committee members, individually and collectively, must be able to engage in a discourse with the student on topics relevant to the student's area of competence.

3. **Be a group activity.** To optimize the examination process and evaluation of the student, the committee must collectively: 1) experience the discourse with a student, 2) evaluate the student's performance, 3) determine the length and content of the examination, and 4) moderate the demeanor of the student and the members of the committee.

Be broadly structured. ~~The QE administered to candidates for doctoral degrees is the final step prior to advancement to candidacy. Before submitting the application for the QE to Graduate Studies for approval, all of the other requirements noted above must be satisfied (although application and final requirements can be completed in the same quarter). Following the successful completion of the Qualifying Examination, each student should apply for advancement to candidacy for the doctoral degree before the start of the next quarter using the form provided by Graduate Studies. Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B or C; however, graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in the Graduate Council approved degree requirements the student is following.~~

~~II. Committee Membership~~

4. ~~The qualifying examination committee shall include four or five members, as required by the students' graduate program; whichever number is required by the program must apply to all students in the program and be specified in the program degree requirements; a student or program may petition Graduate Studies for one additional member beyond the number required by the program; at least three of the members shall be members of the student's graduate program,~~Based on the student's **past academic**, **research**, and **scholarly record** and **performance on the examination**, the student must broadly demonstrate sufficient competence in the selected disciplinary area, which must go beyond the limited area of scholarship associated with a dissertation topic. Further, the student must demonstrate the capability for integration and utilization of knowledge and skills that are critical for independent and creative research, thereby qualifying them for advancement to the research-intensive phase of doctoral education.

III. Committee Membership

Service on QE committees is a regular responsibility of all full-time UC Davis faculty. Those who agree to serve are expected to be flexible with their schedules to accommodate the interests of the student in scheduling the examination in a timely manner and to participate fully in the process.

While the form and content of QEs differ across programs, Graduate Council emphasizes that the composition of a QE committee must prioritize membership that can evaluate the academic readiness of the student to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required to earn a doctoral degree at UC Davis. QE committee members must be able to assess both breadth and depth of knowledge during the examination. Care should be exercised by programs and students when constituting QE committees to minimize conflicts of interest and promote equitable evaluation.

A. Minimum Eligibility Requirements

The following summarizes the minimum eligibility requirements for QE committees. Programs may establish more restrictive eligibility requirements in their bylaws.

1. UC Academic Senate members (including Academic Senate members at other UC campuses) are automatically eligible to serve on QE committees.

2. UC Davis Academic Federation members are eligible to serve on QE committees for graduate programs in which they are members.

3. Individuals who hold postdoctoral scholar appointments or UC Davis nonacademic staff titles are ineligible to serve..

4. Any member of a QE committee must hold a degree at least equivalent to the degree objective of the student.

5. Faculty members outside of the University of California and scholars outside of academia may be eligible to serve by exception. See External Committee Member Exceptions.

B. Composition Criteria

All members of the QE committee must meet the Minimum Eligibility Requirements stated above. Depending upon the program's degree requirements, the

~~The Chair of the QE committee must be a member of the student's graduate program and have an eligible appointment under Category 1, 2, 3, or 4 of the Policy on Service on Advanced Degree Committees (GC1998-01).~~

- ~~No fewer than three members of the QE committee must be voting members of the Academic Senate of University of California which includes Professors, Lecturers with Security of Employment, Professors in Residence and Professors of Clinical " ", and Acting Professors (GC1998-01 Policy on Service on Advanced Degree Committees)~~

~~In order to ensure that a breadth of knowledge is tested and to provide external oversight, the committee should include at least one committee member who is not a member of the student's graduate program", except when the program has an approved exception. (The process to request an exception is part of the degree requirement approval process and is described at the end of this document.)~~

~~1. In cases where a student is completing a Designated Emphasis (DE), at least one committee member must be affiliated with the DE (GC1988-01 Designated Emphasis Policy and Proposal Guidelines), in order to ensure that there is dedicated examination of DE topics. If none of the committee members can serve in that role an additional committee member should be appointed according to the process above.~~

~~At most two members of a 5-person committee or one member of a 4-person committee may be from categories that include non-Senate faculty. In particular, at most one member can be a faculty member from another university or scholars from outside academia as specified in the Graduate Council "Policy for Service on Advanced Degree Committees" (GC1998-01 Policy on Service on Advanced Degree Committees).~~

~~Requests for any exceptions to the constitution of QE committees shall be submitted to the Dean of Graduate Studies for review and approval. Unless Graduate Council has approved new degree requirements that specifically state that the program requires only 4 members of each QE committee, no exceptions to the minimum 5 members will be approved for said program.~~

~~The student's graduate program will suggest the names of persons to be included on QE committees, but appointment shall be made by the Dean of Graduate Studies, who will advise all parties concerned. The~~ intended Chair of the Dissertation Committee (commonly known as the Major Professor) may be a member of the QE committee but may not serve as its Chair. ~~The Chair and members~~

The following criteria govern the composition of ~~the examination~~ QE committees:

1. The QE committee ~~should be chosen to avoid any real~~must include **4 or ~~perceived conflict~~5 members**, as specified in the program's degree requirements. The required number of ~~interest. The suggested membership of the~~ QE committee members must apply to all students in the program.

2. The Chair of the QE committee must be a member of the student's graduate program and either a UC Davis Division Academic Senate member or a UC Davis Academic Federation member.

3. At ~~should allow for assessment of both~~least **3 members** must be members of the student's graduate program.

4. At least **3 members** must be members of the Academic Senate of the University of California.

5. At least **1 member** must not be a member of the student's graduate program and affiliated with the student's research, except in cases when the program has an

approved exception (see Blanket Exceptions). This requirement is to ensure that a breadth ~~and depth~~ of knowledge is tested and to provide external oversight.

6. In cases where a student is completing a Designated Emphasis (DE), at least **1 member** must be affiliated with the DE (see GC1988-01: Designated Emphasis Policy and Proposal Guidelines) to ensure examination of DE topics. If no committee member can serve in that role, an additional committee member must be appointed. A student or program may petition Graduate Studies for 1 additional member beyond the number required by the program (see Exceptions to Committee Constitution).

7. At most **2 members** of a 5-person committee or **1 member** of a 4-person committee may be non-Senate faculty.

8. No ~~during the examination~~more than **1 member** may be a faculty member outside the University of California or a scholar outside academia who has been approved to serve by exception (see External Committee Member Exceptions).

C. Appointment Process

The student's graduate program will suggest the names of persons to be included on QE committees, but appointments are made by the Dean of Graduate Studies, who will advise all parties concerned. A list of the suggested QE Chair and committee members must be indicated on the student's QE application and ~~should~~must be submitted to Graduate Studies at least 30 days prior to the date of the exam.

If the program wishes to suggest changes to the committee membership after the student's QE application has been approved by Graduate Studies, the program must submit a ~~Reconstitution of Committee Member Request~~Reconstitution of Committee Member Request to Graduate Studies for approval. Requests for committee reconstitution can be made prior to a first or second QE.

D. Committee Exception Requests

Though committee exceptions may be requested, Graduate Council underscores that exceptions should be rare and should only be requested if they are academically justifiable. For example, an external member exception request may be justified if there are no UC Academic Senate members (this includes faculty on other UC campuses) who possess the specific expertise required to examine a student in a particular area. It is not appropriate to request exceptions to professionally network or for other non-academic reasons that are unrelated to the purpose of the QE.

1. Committee Constitution Exceptions

Requests for any exceptions to the constitution of QE committees must be submitted to Graduate Studies for review and approval. Unless Graduate Council has approved new degree requirements that specifically state that the program requires only 4 members on a QE committee, no exceptions to the minimum 5 members will be approved for said program.

2. **External Committee Member Exceptions**

Requests to appoint a faculty member from another university (outside of the UC system) or scholar from outside academia must be submitted to Graduate Studies according to the instructions provided in the External Committee Membership Application. If this application is approved by Graduate Studies, the external committee member must be advised by the graduate program that no stipend will be paid for committee service. Committee members in this category are expected to serve on a **one-time basis**. Continuing service on QE committees by external members requires an appropriate academic appointment (e.g., Adjunct Professor).

3. **Blanket Exceptions**

Graduate programs can request a blanket exception to the policy of including a member outside the program on each student's QE. Requests should be addressed to the Chair of the Graduate Council, c/o the Graduate Council Analyst. Requests will be reviewed and either approved or denied by the Graduate Council's Administrative Committee.

Requests for the Blanket Exception must include the following:

1) **A faculty member list sorted by departmental affiliation.**

2) **A statement guaranteeing the program will recommend appropriate QE committee compositions.** Appropriate compositions are those that are not drawn from a single department and ensure that a student's breadth of knowledge will be examined. The Graduate Academic Advisor will make certain that each committee is appropriately composed before signing the Application for Qualifying Exam, and students should be advised accordingly.

~~III.~~ **Clear justification for the blanket exception. One possible justification for such a request is that the membership of a large program is not dominated by any single department, but instead draws a super-majority of its members from many different departments. If the program is dominated by a single department, blanket exceptions will not be granted.~~**~~Role of the Chair~~**

3)

If a program revises its degree requirements to change from 5 to 4 required committee members, it must file a new request for a blanket exception. When a program having a blanket exception submits the QE Application to the Dean of Graduate Studies, each member should be listed with their home department (and not the name of the program) so that the appropriate committee makeup can be assessed.

IV. QE Chair Responsibilities

The primary responsibilities of the QE Chair ~~of the QE~~ are to facilitate the work of the

committee and to ensure that the examination is conducted fairly~~. Prior to~~ and in accordance with any academic accommodations that may be in place (see Special Considerations for Students with Disabilities).

A. Before the Examination

Before the examination, the Chair ~~shall~~must meet with the student to discuss scheduling, procedures, format, and general exam content ~~and shall~~. The Chair must provide the student with clear written guidelines on these matters. The QE Chair must also ~~shall~~ discuss the procedures, format, general exam content, and evaluation expectations with the other members of the committee~~.~~, as well as the approved Emergency Plan. Should an emergency occur, the QE Chair is responsible for implementing the Emergency Plan or assisting with rescheduling the QE.

B. During the Examination

At the start of the examination, the Chair should attempt to put the student at ease so that they can focus on the content of the examination. The Chair should also ensure that the examination conforms to the approved format and general norms of the program, and that the examination addresses both breadth and depth of knowledge. ~~During the examination, the~~The Chair must ensure that the QE adheres to the expected schedule~~.~~ during the examination.

C. After the Examination

Following the examination, the Chair should facilitate the discussion among the committee members, ensure that the committee makes every reasonable effort to reach a unanimous conclusion, inform the student of the result at the conclusion of the exam, and file the committee report with Graduate Studies within 72 hours.

~~Service on Qualifying Examination committees is a regular responsibility of all full-time faculty. Those who agree to serve are expected to be flexible with their schedules to accommodate the interests of~~

~~the student in scheduling the examination in a timely manner and to participate fully in the process. It is the responsibility of all members of the Qualifying Examination committee to facilitate an examination that addresses both breadth and depth of knowledge.~~

~~IV.~~V. Timing

Graduate programs may define a window of time during the program of study that is appropriate for ~~Qualifying Examinations. The examination~~QEs. The QE can be scheduled in the same quarter that the student completes all courses and other program degree requirements. If that is the case, the Graduate Advisor must not submit the Advancement to Candidacy form until it can be verified by Graduate Studies that the student has passed the courses and satisfied all program requirements. The student must be in active status (e.g~~.~~., not on PELP) when taking their QE.

~~V.~~VI. Process

The ~~Qualifying Examination shall~~QE must include an oral examination of approximately 2-3 hours in length, with the student and entire committee present, and the decision-making process immediately following. Non-voting faculty observers may be invited with the unanimous consent of the committee and student. **All members of the examination committee are expected to be present during the entire examination**~~; procedures to be followed in the case of unexpected absences of committee members are described in the Graduate Council's Policy on Service on Advanced Degree Committees (GC1998- 01 Policy on Service on Advanced Degree Committees). Under unusual and extenuating circumstances, as determined by the committee, the committee may suspend the qualifying examination in process, and may request that the exam be considered a "No examination". If the committee wishes to make this request, the chair must return the Report on Qualifying Examination form so indicating "No examination," and informing the Dean of Graduate Studies of the reasons.~~. See Emergency Plan below for the procedures to follow in the event that one or more committee members are unexpectedly absent from the examination.

~~The qualifying examination must cover both breadth and depth of knowledge.~~ If a written examination is administered before the oral as part of the ~~Qualifying Examination~~QE, it must be evaluated by the same committee members as the subsequent oral component. Committee members may individually meet with the candidate in advance of the oral component. Any ~~such~~ additional information must be available to all committee members at the time of the oral ~~Qualifying Examination~~QE for discussion within the evaluation of the oral component.

VII. Emergency Plan

Prior to submitting the QE Application, the student must discuss the Emergency Plan section on the application form with their QE chair. **Students must understand that if they do not select any of the emergency options available and an emergency occurs, then the QE must be rescheduled (see Rescheduling the QE).** Graduate Council stresses, however, that the student must never be pressured into selecting any of the Emergency Plan options that are available.

For the purpose of this policy, an emergency is defined as a **last-minute, unanticipated event** such as a sudden sickness or accident that prevents the QE committee from meeting in person

on the scheduled date and time or prevents one committee member (never the student or chair) from participating in the QE. In no circumstance may the options in an Emergency Plan be used for reasons of convenience or other situations not constituting a genuine emergency.

The following options are available to students to select as part of their Emergency Plan:

A. Changing to a Fully Remote Exam if an Emergency Occurs
B. Moving the Exam to a Pre-Scheduled Backup Date/Time
C. Reconstituting the Committee with a Pre-Determined Backup Member

A. Changing to a Fully Remote Exam if an Emergency Occurs

If students want to have the option to move to a fully remote exam available in cases of emergency, they must select this option as part of their Emergency Plan on the QE Application.

The ~~In addition, Graduate Council specifies that Qualifying Examinations must have the following essential characteristics:~~

~~**Be interactive.** The examiners must be able to ask questions, hear the answers, and then follow up with another question or comment in response to the student's initial reply. Committee members, individually and collectively, must be able to engage in a discourse with the candidate on topics relevant to the candidate's area of competence.~~following conditions must be met in order for an exam to be conducted fully remotely. **The QE Chair is responsible for ensuring all conditions are met, implementing the change of exam mode, and reporting this change on the final QE Report.** The QE Chair does not need to get approval from Graduate Studies in advance of changing the exam mode, provided that the student has approved this emergency option on their QE Application.

1. **Conditions for Fully Remote Exams**

1) An emergency prevents the committee from meeting in-person, but all committee members and the student can still participate remotely.
2) The student has approved the fully remote exam mode as an option for their Emergency Plan on their QE Application. In approving this option, the student acknowledges that they will be prepared to present any material remotely if needed.
3) Except for the in-person requirement, the QE can fulfill the Purpose and Essential Characteristics of the exam in a fully remote format.
4) All participants are familiar with the technology being used to conduct the exam remotely. Except for unavoidable technical issues, videos must be enabled and distractions minimized to replicate the experience of an in-person exam to the extent possible.
5) The student is comfortable with the technology and understands how to interact with QE committee members successfully.

B. Moving the Exam to a Pre-Scheduled Backup Date/Time

A student may opt to move the QE to a pre-scheduled backup date/time in their

Emergency Plan. This backup exam must be in-person except if the student pre-approved moving the exam to fully remote or if there are approved accommodations for a different exam mode (see Special Considerations for Students with Disabilities).

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the backup exam date/time. **The QE Chair is responsible for notifying members if the exam needs to move to the backup date/time and reporting this change on the final QE Report.**

C. Reconstituting the Committee with a Pre-Determined Alternate Program Member

A student may opt to reconstitute the QE committee with a pre-determined alternate faculty member from their graduate program. This alternate program member can substitute for another member (never the QE Chair) in their Emergency Plan. This alternate member must be from the same graduate program as the student and agree to be available to meet at the scheduled date/time. Since no more than 1 member of a QE committee may participate remotely if the exam is held in-person, this alternate member must be able to meet in person if the QE committee already has a remote member. Moreover, since the alternate member must be from the same program as the student, this member will not be able to serve as a substitute for the "outside" member.

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the name and signature of the backup QE member. **The QE Chair is responsible for determining whether the committee with the alternate member meets the committee composition requirements and the program's degree requirements; otherwise, the QE must be rescheduled.** If the QE chair determines the committee meets the committee composition requirements and the Program's degree requirements, **the QE Chair is then responsible for notifying the alternate member of the exam details and reporting this membership change on the final QE Report**.

VIII. Rescheduling the QE

If an emergency arises that prevents the QE from being conducted as scheduled and no Emergency Plan options have been selected by the student, then the QE must be rescheduled. The QE Chair must be the point of contact for the committee and must assist the student with rescheduling the exam in a timely manner. A new QE committee form **does not** need to be submitted to Graduate Studies if an exam is rescheduled. However, a student can choose to submit a new QE committee form if they have changed their committee and/or would like to add, delete, or otherwise change their Emergency Plan options. All rescheduled QEs must be reported and explained on the QE Report form.

~~1.~~

~~1. **Be a group activity.** In addition to the ability to follow up to one's own questions, it is also very important for all examiners to hear all of the questions and all of the student's responses, plus have the ability to interject an alternate follow-up question. The collective wisdom of a group is generally greater than that of the individual. Further having other examiners present serves to moderate the group, to ensure that one examiner does not ask questions that are either trivial or too difficult, and that any one examiner is neither too friendly nor too~~

~~obstreperous. Thus, to optimize the examination process and evaluation of the candidate, the committee as a whole must collectively: 1) experience the discourse with a candidate, 2) evaluate the candidate's performance, 3) determine the length and content of the examination, and 4) moderate the demeanor of the candidate and the members of the committee.~~

~~2. **Be broadly structured.** Based on the candidate's past academic, research, and scholarly record and the performance on the examination, the candidate must broadly demonstrate sufficient competence in the selected disciplinary area, which must go beyond the limited area of scholarship associated with a dissertation topic. Further, the candidate must demonstrate the capability for integration and utilization of knowledge and skills that are critical for independent and creative research, thereby qualifying them for advancement to the research-intensive phase of doctoral education.~~

~~The expectation during the QE should be that the student will focus solely on successfully passing a challenging academic examination. Therefore, it is important for programs to remember that Graduate Council policy is that neither the program nor the QE committee shall impose any expectation that the student will provide refreshments during the examination.~~

~~VI.~~IX. Special Considerations for Students with Disabilities

Graduate Council recognizes that students with disabilities may need appropriate accommodations ~~in order not~~ to ~~be~~avoid being disadvantaged when taking the ~~Qualifying Examination.~~QE. Requests for ~~reasonable~~academic accommodations must be made well in advance of the date of the first sitting for the QE (not less than 1 month and preferably 2 months). ~~Students must~~**It is the student's responsibility to register and initiate such requests through the** ~~Student Disability Center (http://sdc.ucdavis.edu). When~~ **Student Disability Center (SDC) as accommodations cannot be granted retroactively.** The process for requesting accommodations is an interactive one between the student, program, and SDC. Faculty and students are ~~deemed appropriate by the~~advised to consult with SDC~~,~~ if they ~~must preserve the essential characteristics of~~have questions regarding the ~~QE as described above~~accommodation process.

~~VII.~~ Outcome

When accommodations are deemed appropriate by the SDC, they must preserve the Purpose and Essential Characteristics of the QE as described in this policy, with exceptions allowed to the in-person requirement. **Graduate Council defers decisions on exceptions to the in-person requirement to the SDC and the program.**

The QE Chair must ensure that they understand the accommodations being requested, consult with the SDC as needed, and implement the accommodations for the QE.

X. Outcomes

The QE committee members ~~should~~must endeavor to reach a unanimous decision as to the qualifications of the student for the successful completion of a doctoral program. ~~They should~~The QE committee must include in their evaluations of the student such factors as relevant components of the previous academic record, performance on specific parts of the qualifying examination, and an overall evaluation of the ~~student's~~student's performance and potential for scholarly research as indicated during the examination.

~~A committee, having reached a unanimous decision, shall inform~~In all cases for both first and second exams, the QE Chair is responsible for informing the student orally of ~~its decision~~the outcome of the exam at the time of the exam and is responsible for reporting the result and

supplying other information to Graduate Studies as required by this policy statement. QE reports must be filed within 72 hours of the completion of the examination. The Dean of Graduate Studies will inform the student in writing of the outcome of the exam.
"

A. First Qualifying Exam

1. **Pass**" (– no conditions may be appended to this decision), "**Not Pass**" (the Chair's report should.

Retake – the QE Report must specify whether the student is required to retake all or part of the examination, list any additional requirements, and state the expected timeline for completion of requirements before retaking all or part of the exam) and "**Fail**". Grades of "Fail" on the first take of the examination will be reviewed by the Dean of Graduate Studies or designee, in consultation with a Graduate Advisor, prior to disqualifying the student.

1.2. If a unanimous decision takes the form of "Not Pass" or "Fail," the Chair of the QE committee. The QE Chair must include in its report a specific statement, agreed to by all members of the committee, explaining its decision and must inform the student of its decision in person at the end of the committee's deliberation directly after the oral exam. Technically, a unanimous committee is making a recommendation to the Administrative Committee of the Graduate Council; however, the Administrative Committee has delegated authority to make a decision to a unanimous committee. The decision of a unanimous committee may be changed only for cause, e.g. procedural error or probable bias, or in details of the conditions attached to a "Not Pass" decision.their decision. The student should meet with their Graduate Advisor and QE Chair to discuss the first exam and address any questions they may have about the retake. Graduate Studies will also inform students in writing that they will need to retake their exam.

Fail – expected to be extremely rare on the first QE. **Fail** outcomes on the first QE will automatically be referred to the Administrative Committee of Graduate Council (GCAC) to review since, technically, a unanimous committee is making a recommendation to the GCAC (see Davis Division Regulation 520). The GCAC is only authorized to change the outcome of a unanimous committee recommendation for cause, which can include, but is not limited to, procedural error (e.g., failure to follow Graduate Council policies, failure to follow program's degree requirements, etc.), probable bias, and specific mitigating circumstances. Questions of academic judgement are excluded from GCAC's consideration.

Graduate Studies will initiate this referral to GCAC upon receipt of the QE Report indicating the **Fail** outcome. The QE Report must include a statement from the QE Chair that explains why the student is unlikely to pass the QE if given a second attempt. This statement must reflect the views of the entire committee and not just the QE Chair. A student may also submit a statement for the GCAC's consideration. Any statements alleging bias or other reportable conduct will be referred to the appropriate office for further investigation.

B. Second Qualifying Exam (Retake)

The second QE will be given if the student receives a **Retake** on the first QE. The QE Chair is responsible for clearly communicating and writing on the QE Report the requirements for the second QE, including the form it will take (e.g., oral presentation, revision of written material, etc.) and the content it will cover. The second QE should be designed to address the deficiencies identified in the first QE. In some cases, this will be exclusively an oral examination; in others, the student may be asked to re-write the written portion of the first exam or write additional papers. If the student is required to retake an oral examination or present information to the committee, the exam mode must be in person except in cases of emergency or due to approved accommodations.

The committee may not defer its evaluation to a third party, e.g., by asking the student to take a class or serve as a Teaching Assistant in lieu of a second QE. Whatever form the examination takes, the committee must meet as a whole and discuss the outcome of the first and second QE. ~~In all cases for both first and second exams, the Chair of the examining committee is responsible for informing the student orally of the outcome of the exam at the time of the exam and is responsible for reporting the result and supplying other information to the Graduate Council as required by this policy statement. Qualifying Examination reports must be filed within 72 hours of the completion of the examination. The Dean of Graduate Studies will inform the student in writing of the outcome of the exam.~~

The student's performance on the QE should be assessed holistically, which means that the QE committee should evaluate the candidate's performance on the first and second exams and not decide the outcome just on the performance on the second exam alone.

Only one retake of the QE is allowed and at the conclusion of the retake, the committee may only vote **Pass** or **Fail**. If the student receives a **Fail** on the retake, they will automatically be recommended for disqualification from the graduate program to Graduate Studies (see GS2005-01: Disqualification and Appeal Policy).

~~A.~~C. Non-unanimous Committee Decisions

If, after due deliberation, it becomes evident that the QE committee cannot reach a unanimous decision, the QE Chair ~~shall~~must inform the student that the committee is divided.

QE Chairs of divided committees shall be especially careful to inform the student that ~~(i)~~ :

- both the majority and minority are making recommendations,
- ~~(ii) that~~ the recommendations will be subject to further review, and
- ~~(iii) that~~ the Graduate Council Administrative Committee ~~of the Graduate Council~~ (GCAC) will make the decision as to ~~future action.~~ the outcome.

The QE Chair ~~shall~~must also notify the Dean of Graduate Studies that the committee is divided and ~~shall~~must forward to the Dean separate written reports (unsigned) from the majority and minority of the committee with their specific evaluations of the student's performance on the examination and recommendations for further action by the ~~Administrative Committee.~~ GCAC.

The Dean will forward information from the committee to the ~~Administrative Committee~~GCAC for review and to make a final decision ~~(GC1998-01 (rev.07)).~~. The ~~Administrative Committee~~GCAC may, at ~~its~~their discretion, request individual statements from members of the examining committee and will consider a written statement from the student if one is submitted. While the discussions of the ~~examining~~QE committee are confidential, student records, such as written reports from ~~committee~~QE members, are by law available to the student. Any allegations

~~VIII. Second Qualifying Exam~~

~~The second QE is taken if the student received a Not Pass on the first exam. Its form and content should be clearly communicated in writing on the QE report to the student after the first exam. The second QE should be designed to address the deficiencies identified in evaluation~~ of ~~the first QE. In some cases, this~~bias or other reportable conduct will be ~~exclusively an oral examination; in others, the student may be asked to re- write the written portion of the first exam or write additional papers. The committee shall not defer its evaluation to a third party, e.g., by asking the student to take a class or serve as a Teaching Assistant in lieu of a second QE. Whatever form the examination takes, the committee must meet as a whole and discuss the outcome of the first and second QE. That is, when the committee deliberates at the conclusion of the second QE exam, they should consider the candidate's performance on the first and second exams and not decide the outcome just on the performance on the second exam alone. Only one retake of the QE is allowed and at the conclusion of the second exam only a Pass or Fail is recognized.~~

~~IX.~~ FOR BOTH FIRST AND SECOND EXAMS

~~Blanket Exception for an External Member on the QE Committee~~

referred to the

~~Graduate programs can request blanket exception to the policy of including a member external to the program on each student's qualifying examination. Such exceptions shall require clear justification. One possible justification for such a request is that the membership of a large program is not dominated by any single department, but instead draws a super- majority of its members from many different departments. If the program is dominated by a single department, blanket exceptions will not be granted. Requests will be reviewed and granted or denied by the Graduate Council's Administrative Committee.~~

~~Requests for the Blanket Exception must include the following:~~

~~**A faculty member list sorted by departmental affiliation.**~~

1. ~~**A statement guaranteeing the program will recommend** appropriate QE committee compositions. Appropriate compositions are those that are not drawn from a single department, and ensure that a student's breadth of knowledge will be examined. The Graduate Advisor will make certain that~~

~~each committee is appropriately composed before signing the *Application for Qualifying Exam*, and students should be advised~~office to investigate accordingly.

~~When a program having an exception submits the Application for Qualifying Exam to the Dean of Graduate Studies, each member should be listed with their home department (and not the name of the program) so that the appropriate committee makeup can be assessed.~~

~~If a program revises its degree requirements to change from five to four required committee members, it must file a new request for a blanket exception.~~

~~Requests~~ ~~should be addressed to the Chair of the Graduate Council, c/o the Graduate Council Analyst.~~ https://academicsenate.ucdavis.edu/about/contact

UC DAVIS GRADUATE COUNCIL POLICY **GC2005 – 02 (rev. 11)**
Doctoral Qualifying Examinations
Revised - June 9, 2005; February 1, 2006;
February 15, 2007; April 9, 2008;
December 14, 2009; June 7, 2010;
April 1, 2011; May 19, 2017; October 30, 2018;
March 8, 2019
June 12, 2020
Approved – February 5, 2021

Introduction

Before advancing to candidacy for a doctoral degree, a student must complete all of the following:

- have met any deficiencies in his or her background training,
- must have satisfied all requirements set by his or her major program including any tests of a reading knowledge of foreign languages as required by the program,
- must have maintained a minimum cumulative GPA of 3.0 in all course work undertaken (not including those courses graded S or U)
- must have passed a Qualifying Examination evaluated by a committee appointed to administer that examination.

The primary purpose of the Qualifying Examination (QE) is to validate that the student is academically qualified to conceptualize a research topic, undertake scholarly research and successfully produce the dissertation required for a doctoral degree. The QE must evaluate the student's breadth and depth of knowledge in the field and must not focus exclusively on the proposed dissertation research.

The QE administered to candidates for doctoral degrees is the final step prior to advancement to candidacy. Before submitting the application for the QE to Graduate Studies for approval, all of the other requirements noted above must be satisfied (although application and final requirements can be completed in the same quarter). Following the successful completion of the Qualifying Examination, each student should apply for advancement to candidacy for the doctoral degree before the start of the next quarter using the form provided by Graduate Studies. Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B or C; however, graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in the Graduate Council approved degree requirements the student is following.

Committee Membership

- The qualifying examination committee shall include four or five members, as required by the students' graduate program; whichever number is required by the program must apply to all students in the program and be specified in the program degree requirements; a student or program may petition Graduate Studies for one additional member beyond the number required by the program; at least three of the members shall be members of the student's graduate program,
- The Chair of the QE committee must be a member of the student's graduate program and have an eligible appointment under Category 1, 2, 3, or 4 of the Policy on Service on Advanced Degree Committees (GC1998-01).
- No fewer than three members of the QE committee must be voting members of the Academic Senate of University of California which includes Professors, Lecturers with Security of Employment, Professors in Residence and Professors of Clinical " ", and Acting Professors (GC1998-01 Policy on Service on Advanced Degree Committees)

- In order to ensure that a breadth of knowledge is tested and to provide external oversight, the committee should include at least one committee member who is not a member of the student's graduate program", except when the program has an approved exception. (The process to request an exception is part of the degree requirement approval process and is described at the end of this document.)
- In cases where a student is completing a Designated Emphasis (DE), at least one committee member must be affiliated with the DE (GC1988-01 Designated Emphasis Policy and Proposal Guidelines), in order to ensure that there is dedicated examination of DE topics. If none of the committee members can serve in that role an additional committee member should be appointed according to the process above.

At most two members of a 5-person committee or one member of a 4-person committee may be from categories that include non-Senate faculty. In particular, at most one member can be a faculty member from another university or scholars from outside academia as specified in the Graduate Council "Policy for Service on Advanced Degree Committees" (GC1998-01 Policy on Service on Advanced Degree Committees).

Requests for any exceptions to the constitution of QE committees shall be submitted to the Dean of Graduate Studies for review and approval. Unless Graduate Council has approved new degree requirements that specifically state that the program requires only 4 members of each QE committee, no exceptions to the minimum 5 members will be approved for said program.

The student's graduate program will suggest the names of persons to be included on QE committees, but appointment shall be made by the Dean of Graduate Studies, who will advise all parties concerned. The intended Chair of the Dissertation Committee (commonly known as the Major Professor) may be a member of the QE committee but may not serve as its Chair. The Chair and members of the examination committee should be chosen to avoid any real or perceived conflict of interest. The suggested membership of the committee should allow for assessment of both breadth and depth of knowledge during the examination. A list of the suggested QE Chair and committee members must be indicated on the student's QE application and should be submitted to Graduate Studies at least 30 days prior to the date of the exam. If the program wishes to suggest changes to the committee membership after the student's QE application has been approved by Graduate Studies, the program must submit a Reconstitution of Committee Member Request to Graduate Studies for approval. Requests for committee reconstitution can be made prior to a first or second QE.

Role of the Chair

The primary responsibilities of the Chair of the QE are to facilitate the work of the committee and to ensure that the examination is conducted fairly. Prior to the examination, the Chair shall meet with the student to discuss scheduling, procedures, format, general content and shall provide the student with clear written guidelines on these matters. The Chair also shall discuss the procedures, format, general content, and evaluation expectations with the other members of the committee. At the start of the examination, the Chair should attempt to put the student at ease so that they can focus on the content of the examination. The Chair should also ensure that the examination conforms to the approved format and general norms of the program, and that the examination addresses both breadth and depth of knowledge. During the examination, the Chair must ensure that the QE adheres to the expected schedule. Following the examination, the Chair should facilitate the discussion among the committee members, ensure that the committee makes every reasonable effort to reach a unanimous conclusion, inform the student of the result at the conclusion of the exam and file the committee report with Graduate Studies within 72 hours.

Service on Qualifying Examination committees is a regular responsibility of all full-time faculty. Those who agree to serve are expected to be flexible with their schedules to accommodate the interests of

the student in scheduling the examination in a timely manner and to participate fully in the process. It is the responsibility of all members of the Qualifying Examination committee to facilitate an examination that addresses both breadth and depth of knowledge.

Timing

Graduate programs may define a window of time during the program of study that is appropriate for Qualifying Examinations. The examination can be scheduled in the same quarter that the student completes all courses and other program degree requirements. If that is the case, the Graduate Advisor must not submit the Advancement to Candidacy form until it can be verified by Graduate Studies that the student has passed the courses and satisfied all program requirements. The student must be in active status (e.g. not on PELP) when taking their QE.

Process

The Qualifying Examination shall include an oral examination of approximately 2-3 hours in length, with the student and entire committee present, and the decision-making process immediately following. Non-voting faculty observers may be invited with the unanimous consent of the committee and student. All members of the examination committee are expected to be present during the entire examination; procedures to be followed in the case of unexpected absences of committee members are described in the Graduate Council's Policy on Service on Advanced Degree Committees (GC1998- 01 Policy on Service on Advanced Degree Committees). Under unusual and extenuating circumstances, as determined by the committee, the committee may suspend the qualifying examination in process, and may request that the exam be considered a "No examination". If the committee wishes to make this request, the chair must return the Report on Qualifying Examination form so indicating "No examination," and informing the Dean of Graduate Studies of the reasons.

The qualifying examination must cover both breadth and depth of knowledge. If a written examination is administered before the oral as part of the Qualifying Examination, it must be evaluated by the same committee members as the subsequent oral component. Committee members may individually meet with the candidate in advance of the oral component. Any such additional information must be available to all committee members at the time of the oral Qualifying Examination for discussion within the evaluation of the oral component.

In addition, Graduate Council specifies that Qualifying Examinations must have the following essential characteristics:

1. Be interactive. The examiners must be able to ask questions, hear the answers, and then follow up with another question or comment in response to the student's initial reply. Committee members, individually and collectively, must be able to engage in a discourse with the candidate on topics relevant to the candidate's area of competence.

2. Be a group activity. In addition to the ability to follow up to one's own questions, it is also very important for all examiners to hear all of the questions and all of the student's responses, plus have the ability to interject an alternate follow-up question. The collective wisdom of a group is generally greater than that of the individual. Further having other examiners present serves to moderate the group, to ensure that one examiner does not ask questions that are either trivial or too difficult, and that any one examiner is neither too friendly nor too obstreperous. Thus, to optimize the examination process and evaluation of the candidate, the committee as a whole must collectively: 1) experience the discourse with a candidate, 2) evaluate the candidate's performance, 3) determine the length and content of the examination, and 4) moderate the demeanor of the candidate and the members of the committee.

3. Be broadly structured. Based on the candidate's past academic, research, and scholarly record and the performance on the examination, the candidate must broadly demonstrate sufficient competence in the selected disciplinary area, which must go beyond the limited area of scholarship associated with a dissertation topic. Further, the candidate must demonstrate the capability for integration and utilization of knowledge and skills that are critical for independent and creative research, thereby qualifying them for advancement to the research-intensive phase of doctoral education.

The expectation during the QE should be that the student will focus solely on successfully passing a challenging academic examination. Therefore, it is important for programs to remember that Graduate Council policy is that neither the program nor the QE committee shall impose any expectation that the student will provide refreshments during the examination.

Special Considerations for Students with Disabilities

Graduate Council recognizes that students with disabilities may need appropriate accommodations in order not to be disadvantaged when taking the Qualifying Examination. Requests for reasonable accommodations must be made well in advance of the date of the first sitting for the QE (not less than 1 month and preferably 2 months). Students must initiate such requests through the Student Disability Center (http://sdc.ucdavis.edu). When accommodations are deemed appropriate by the SDC, they must preserve the essential characteristics of the QE as described above.

Outcome

The members should endeavor to reach a unanimous decision as to the qualifications of the student for successful completion of a doctoral program. They should include in their evaluations of the student such factors as relevant components of the previous academic record, performance on specific parts of the qualifying examination, and an overall evaluation of the student's performance and potential for scholarly research as indicated during the examination.

A committee, having reached a unanimous decision, shall inform the student of its decision as "**Pass**" (no conditions may be appended to this decision), "**Not Pass**" (the Chair's report should specify whether the student is required to retake all or part of the examination, list any additional requirements, and state the expected timeline for completion of requirements before retaking all or part of the exam) and "**Fail**". Grades of "Fail" on the first take of the examination will be reviewed by the Dean of Graduate Studies or designee, in consultation with a Graduate Advisor, prior to disqualifying the student.

If a unanimous decision takes the form of "Not Pass" or "Fail," the Chair of the QE committee must include in its report a specific statement, agreed to by all members of the committee, explaining its decision and must inform the student of its decision in person at the end of the committee's deliberation directly after the oral exam. Technically, a unanimous committee is making a recommendation to the Administrative Committee of the Graduate Council; however, the Administrative Committee has delegated authority to make a decision to a unanimous committee. The decision of a unanimous committee may be changed only for cause, e.g. procedural error or probable bias, or in details of the conditions attached to a "Not Pass" decision.

In all cases for both first and second exams, the Chair of the examining committee is responsible for informing the student orally of the outcome of the exam at the time of the exam and is responsible for reporting the result and supplying other information to the Graduate Council as required by this policy statement. Qualifying Examination reports must be filed within 72 hours of the completion of the examination. The Dean of Graduate Studies will inform the student in writing of the outcome of the exam.

Non-unanimous Committee Decisions

If, after due deliberation, it becomes evident that the committee cannot reach a unanimous decision, the Chair shall inform the student that the committee is divided. Chairs of divided committees shall be especially careful to inform the student that (i) both the majority and minority are making recommendations, (ii) that the recommendations will be subject to further review, and (iii) that the Administrative Committee of the Graduate Council will make the decision as to future action. The Chair shall also notify the Dean of Graduate Studies that the committee is divided and shall forward to the Dean separate written reports (unsigned) from the majority and minority of the committee with their specific evaluations of the student's performance on the examination and recommendations for further action by the Administrative Committee. The Dean will forward information from the committee to the Administrative Committee for review and final decision (GC1998-01 (rev.07)). The Administrative Committee may, at its discretion, request individual statements from members of the examining committee and will consider a written statement from the student if one is submitted. While the discussions of the examining committee are confidential, student records, such as written reports from committee members, are by law available to the student.

Second Qualifying Exam

The second QE is taken if the student received a Not Pass on the first exam. Its form and content should be clearly communicated in writing on the QE report to the student after the first exam. The second QE should be designed to address the deficiencies identified in evaluation of the first QE. In some cases, this will be exclusively an oral examination; in others, the student may be asked to re-write the written portion of the first exam or write additional papers. The committee shall not defer its evaluation to a third party, e.g., by asking the student to take a class or serve as a Teaching Assistant in lieu of a second QE. Whatever form the examination takes, the committee must meet as a whole and discuss the outcome of the first and second QE. That is, when the committee deliberates at the conclusion of the second QE exam, they should consider the candidate’s performance on the first and second exams and not decide the outcome just on the performance on the second exam alone. Only one retake of the QE is allowed and at the conclusion of the second exam only a Pass or Fail is recognized.

FOR BOTH FIRST AND SECOND EXAMS

Blanket Exception for an External Member on the QE Committee

Graduate programs can request blanket exception to the policy of including a member external to the program on each student's qualifying examination. Such exceptions shall require clear justification. One possible justification for such a request is that the membership of a large program is not dominated by any single department, but instead draws a super- majority of its members from many different departments. If the program is dominated by a single department, blanket exceptions will not be granted. Requests will be reviewed and granted or denied by the Graduate Council's Administrative Committee.

Requests for the Blanket Exception must include the following:

1. A faculty member list sorted by departmental affiliation.

2. A statement guaranteeing the program will recommend appropriate QE committee compositions. Appropriate compositions are those that are not drawn from a single department, and ensure that a student’s breadth of knowledge will be examined. The Graduate Advisor will make certain that

each committee is appropriately composed before signing the *Application for Qualifying Exam*, and students should be advised accordingly.

When a program having an exception submits the Application for Qualifying Exam to the Dean of Graduate Studies, each member should be listed with their home department (and not the name of the program) so that the appropriate committee makeup can be assessed.

If a program revises its degree requirements to change from five to four required committee members, it must file a new request for a blanket exception.

Requests should be addressed to the Chair of the Graduate Council, c/o the Graduate Council Analyst. https://academicsenate.ucdavis.edu/about/contact

February 26, 2024

GRADUATE COUNCIL POLICY REVISION MEMO

PROPOSED POLICY REVISION: GC1998-01: Policy on Service on Advanced Degree Committees

LAST REVISED: February 5, 2021

APPROVAL DATE: February 9, 2024

REVISION VERSION: Rev. 11

POLICY DOCUMENTS:

- Previous: GC1998-01: Policy on Service on Advanced Degree Committees
- Approved (clean)
- Approved (markup)

SUMMARY OF REVISIONS:

1. Eliminated Committee Member Attendance section.

   Rationale: This section only pertained to the administration of Qualifying Exam (QE) committees. The QE Policy (revision 12) now has an “Emergency Plan” section which details the three options that can be pre-selected in an emergency arises. The revised QE policy (revision 12) also specifies how committees should proceed if a QE needs to be rescheduled.

2. Eliminated Remote Participation section.

   Rationale: This section only pertained to the administration of QE committees so the provisions in which remote participation is allowable have been moved to the QE policy.

UC DAVIS GRADUATE COUNCIL POLICY
Approved – March 5, 1998
Revision Dates – January 17, 2001; October 9, 2006; April 1, 2011; October 7, 2011; June 1, 2012; February 21, 2014; December 16, 2016; June 15, 2018; August 31, 2020; February 5, 2021
Revised – February 9, 2024

Service on Advanced Degree Committees

I. Governing Authority

Advanced degree committees include all committees appointed for the purpose of conducting the master's comprehensive or doctoral qualifying examination or passing judgment on the merits of the master's thesis, master's project report or other capstone, or doctoral dissertation (as well as any equivalent degree-granting purpose). All such committees are, in principle, ad hoc committees acting on behalf of, and reporting to, the Administrative Committee of the Graduate Council. In practice, the Graduate Council delegates the authority to appoint such committees to the Dean of Graduate Studies, who is in turn asked to ensure that such committees are constituted in accordance with Graduate Council policy. Notwithstanding the delegation of authority in committee appointments, the basic principle remains that the decisions made by these committees are decisions made on behalf of the Council, not the instructional unit in which the student is enrolled. Nevertheless, the criteria upon which the student's work is judged are established by the academic program.

II. Eligible Personnel

Persons with the following qualifications can be eligible to serve as members of advanced degree committees as long as the committee membership accords with Section III. Committee Membership.

1. Any member of the Academic Senate of the University of California including:
   - Professors (UC APM 220, UCD APM 220)
   - Professors in Residence (UC APM 270)
   - Professors of Clinical " " (UC APM 275, UCD APM 275)
   - Acting Professor Series (UC APM 235)
   - Lecturers and Sr. Lectures with Security of Employment (APM 285)

2. Those previously eligible under categories 1, 3 and 4 are also eligible if they hold an emeritus/a title (and also continue to hold Educator Without Salary (EWOS) for previously category 4 individuals)

   - Graduate groups and departments may determine more restrictive roles for Emeriti members in the graduate program (Graduate Council Policy GC2011-02)

3. Members of the Academic Federation that hold one of the following appointments:
   - Health Sciences Clinical Professors (UC APM 278, **NOTE: This does not include Clinical Professors, Volunteer Series (UC APM 279)**)

- Adjunct Professors (UC APM 280)
- Supervisors of Physical Education UC (APM 300)
- Unit 18 Lecturers, Unit 18 Supervisor of Teacher Education (Unit 18 MOU)
- Academic Administrators (UC APM 370, UCD APM 370; **NOTE: Does not include Academic Coordinators (APM 375))**

4. Members of the Academic Federation in one of the two following titles **must also hold an Educator Without Salary (WOS)** appointment (UC APM 283).
   - Specialists in Cooperative Extension (UC APM 334, UCD APM 334)
   - Professional Research series (UC APM 310)

5. Appointees in the Visiting Professor series (UC APM 230). This does not include appointees in the visiting titles in other series including Astronomers, Agronomists in the Agricultural Experiment Station, Professional Researchers, Specialists in Cooperative Extension, Project Scientists, and Librarians.

6. Individuals from outside the University of California or employees of other campuses or laboratories of the University of California who serve in categories not mentioned above, with special expertise and qualifications. In this case, the Graduate Advisor should submit an External Committee Membership Application and a curriculum vitae indicating the appointee's affiliation and title, what degree they hold, and the prospective appointee's special expertise or qualifications that are not represented on the campus. All appointees must be advised by the graduate program that no stipend will be paid for such committee service.

   Committee members in this category are expected to serve on a one-time basis. Continuing service on advanced degree committees by external members requires an appropriate academic appointment (e.g. Adjunct Professor).

7. Individuals who do not have an eligible appointment under categories 1-5 and who the program anticipates will serve on multiple committees (unlike category 6) may serve on advanced degree committees provided they are:
   - Members of the student's graduate program and
   - Approved by the program as described in the program bylaws and the Dean of Graduate Studies to serve on advanced degree committees for that program.

   Given this approval, the individual is granted eligibility for 3 years, while they continue to have membership in the program.

   Eligibility to serve on advanced degree committees in one program does not confer eligibility to serve on committees in other graduate programs. Committee members in this category must be approved by each graduate group or program separately and be reviewed by the program(s) every 3 years for continued eligibility to serve.

Individuals who hold postdoctoral scholar appointments or UC Davis nonacademic staff titles are not eligible to serve on advanced degree committees.

III. Committee Membership

1. Doctoral Qualifying Exam Committees

   Doctoral Qualifying Exam committee membership is governed by the Graduate Council Policy on Doctoral Qualifying Examinations (GC2005-02).

2. Thesis and Dissertation Committees

   Thesis and dissertation committees are appointed for the purpose of passing judgment on the merits of the master's thesis, master's project report or capstone, or doctoral dissertation.

   In each committee, at least one member must be a member of the Davis Division of the Academic Senate. At least one committee member must be from the student's major program, although programs may establish higher limits in their degree requirements. The Chair of each thesis/dissertation committee must be from categories 1, 2, 3, 4, or 7 in the "Eligible Personnel" section above. Programs may establish more restrictive policies in their bylaws.

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V. Reading Timelines

In 1974, the Graduate Council adopted a policy stating that committee members are expected to read and comment on a thesis or dissertation within four weeks. Upon failure of a committee member to comply with the 4-week deadline, the Graduate Advisor may reconstitute the committee which will then be conveyed to the Dean of Graduate Studies for approval.

However, this policy does not apply to summer periods for faculty holding 9 months appointments. It is expected that the graduate student, with cooperation of the committee, will coordinate the time lines for presentation of the dissertation to the reading committee in a manner such that all members of the reading committee can fulfill their responsibilities within the prescribed 4-week limit. In the case of a student who returns to campus following a lapse in registration or extended period on filing fee status and wishes to complete a thesis or dissertation, the reading committee should meet with the student to review the status of the work and determine an appropriate time line for completion.

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UC DAVIS GRADUATE COUNCIL POLICY ~~GC1998-01 (rev. 10)~~

~~Policy on Service on Advanced Degree Committees~~

Approved – March 5, 1998

~~Revised~~Revision Dates – January 17, 2001

~~Revised –~~; October 9, 2006

~~Revised –~~; April 1, 2011

~~Revised –~~; October 7, 2011

~~Revised –~~; June 1, 2012

~~Revised –~~; February 21, 2014

~~Revised –~~; December 16, 2016

~~Revised –~~; June 15, 2018

~~Revised –~~; August 31, 2020

~~Revised –~~; February 5, 2021

Revised – February 9, 2024

Service on Advanced Degree Committees

I. Governing Authority

Advanced degree committees include all committees appointed for the purpose of conducting the master's comprehensive or doctoral qualifying examination or passing judgment on the merits of the master's thesis, master's project report or other capstone, or doctoral dissertation (as well as any equivalent degree-granting purpose). All such committees are, in principle, ad hoc committees acting on behalf of, and reporting to, the Administrative Committee of the Graduate Council. In practice, the Graduate Council delegates the authority to appoint such committees to the Dean of Graduate Studies, who is in turn asked to ensure that such committees are constituted in accordance with Graduate Council policy. Notwithstanding the delegation of authority in committee appointments, the basic principle remains that the decisions made by these committees are decisions made on behalf of the Council, not the instructional unit in which the student is enrolled. Nevertheless, the criteria upon which the student's work is judged are established by the academic program.

II. Eligible Personnel

Persons with the following qualifications can be eligible to serve as members of advanced degree committees as long as the committee membership accords with Section III. Committee Membership.

1. Any member of the Academic Senate of the University of California including:
   - Professors (UC APM 220, UCD APM 220)
   - Professors in Residence (UC APM 270)
   - Professors of Clinical " " (UC APM 275, UCD APM 275)
   - Acting Professor Series (UC APM 235)
   - Lecturers and Sr. Lectures with Security of Employment (APM 285)

2. Those previously eligible under categories 1, 3 and 4 are also eligible if they hold an emeritus/a title (and also continue to hold Educator Without Salary (EWOS) for previously category 4 individuals)

   - Graduate groups and departments may determine more restrictive roles for

Emeriti members in the graduate program (Graduate Council Policy GC2011-02)

3. Members of the Academic Federation that hold one of the following appointments:
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   - Adjunct Professors (UC APM 280)
   - Supervisors of Physical Education UC (APM 300)
   - Unit 18 Lecturers, Unit 18 Supervisor of Teacher Education (Unit 18 MOU)
   - Academic Administrators (UC APM 370, UCD APM 370; **NOTE: Does not include Academic Coordinators (APM 375))**

4. Members of the Academic Federation in one of the two following titles **must also hold an Educator Without Salary (WOS)** appointment (UC APM 283).
   - Specialists in Cooperative Extension (UC APM 334, UCD APM 334)
   - Professional Research series (UC APM 310)

5. Appointees in the Visiting Professor series (UC APM 230). This does not include appointees in the visiting titles in other series including Astronomers, Agronomists in the Agricultural Experiment Station, Professional Researchers, Specialists in Cooperative Extension, Project Scientists, and Librarians.

6. Individuals from outside the University of California or employees of other campuses or laboratories of the University of California who serve in categories not mentioned above, with special expertise and qualifications. In this case, the Graduate Advisor should submit an External Committee Membership Application and a curriculum vitae indicating the appointee's affiliation and title, what degree they hold, and the prospective appointee's special expertise or qualifications that are not represented on the campus. All appointees must be advised by the graduate program that no stipend will be paid for such committee service.

   Committee members in this category are expected to serve on a one-time basis. Continuing service on advanced degree committees by external members requires an appropriate academic appointment (e.g. Adjunct Professor).

7. Individuals who do not have an eligible appointment under categories 1-5 and who the program anticipates will serve on multiple committees (unlike category 6) may serve on advanced degree committees provided they are:
   - Members of the student's graduate program and
   - Approved by the program as described in the program bylaws and the Dean of Graduate Studies to serve on advanced degree committees for that program.

   Given this approval, the individual is granted eligibility for 3 years, while they continue to have membership in the program.

   Eligibility to serve on advanced degree committees in one program does not confer eligibility to serve on committees in other graduate programs.

Committee members in this category must be approved by each graduate group or program separately and be reviewed by the program(s) every 3 years for continued eligibility to serve.

Individuals who hold postdoctoral scholar appointments or UC Davis nonacademic staff titles are not eligible to serve on advanced degree committees.

III. Committee Membership~~:~~

1. Doctoral Qualifying Exam Committees

   Doctoral Qualifying Exam committee membership is governed by the Graduate Council Policy on Doctoral Qualifying Examinations (GC2005-02)~~Graduate Council Policy on Doctoral Qualifying Examinations () ().~~.

2. Thesis and Dissertation Committees

   Thesis and dissertation committees are appointed for the purpose of passing judgment on the merits of the master's thesis, master's project report or capstone, or doctoral dissertation.

   In each committee, at least one member must be a member of the Davis Division of the Academic Senate. At least one committee member must be from the student's major program, although programs may establish higher limits in their degree requirements. The Chair of each thesis/dissertation committee must be from categories 1, 2, 3, 4, or 7 in the "Eligible Personnel" section above. Programs may establish more restrictive policies in their bylaws.

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~~Remote participation is defined as one member of a committee who is not physically present, but who is present via appropriate interactive voice technology; video may also be required, appropriate to the discipline and exam format (if there are whiteboard sessions, etc.). The remote participant must be able to interact with the student and the other committee members, and vice versa, in real time. The remote participant must have access to all the same examination materials as other committee members. A student may negate their approval for remote participation at any time prior to the examination, leading to rescheduling of the exam or reconstitution of a committee.~~

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- ~~It must be reasonable within the discipline that an examiner can participate remotely;~~
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In 1974, the Graduate Council adopted a policy stating that committee members are expected to read and comment on a thesis or dissertation within four weeks. Upon failure of a committee member to comply with the 4-week deadline, the Graduate Advisor may reconstitute the committee which will then be conveyed to the Dean of Graduate Studies for approval. However, this policy does not apply to summer periods for faculty holding 9 months appointments. It is expected that the graduate student, with cooperation of the committee, will coordinate the time lines for presentation of the dissertation to the reading committee in a manner such that all members of the reading committee can fulfill their responsibilities within the prescribed 4-week limit. In the case of a student who returns to campus following a lapse in registration or extended period on filing fee status and wishes to complete a thesis or dissertation, the reading committee should meet with the student to review the status of the work and determine an appropriate time line for completion.

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Policy on Service on Advanced Degree Committees

Approved – March 5, 1998
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March 27, 2024

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Graduate Council Clarification – Doctoral Qualifying Examinations Policy

During its meeting on March 22, 2024, Graduate Council (GC) approved minor revisions to the Doctoral Qualifying Examinations (QE) Policy (GC2005-02), revision 13. These revisions clarify the following:

1. **Reasonable accommodations for faculty:** GC received a question from a faculty member about hybrid exams in response to the statement in the policy that "Hybrid exams are not allowed and no exceptions to this policy will be considered" (p. 2). The minor revision to the policy clarifies that reasonable accommodations for faculty and students are decided through interactive processes, provides links to the appropriate resources, and states that faculty and students can conduct exams fully remotely due to reasonable accommodations. GC determined that fully remote exams are preferable to hybrid exams in terms of meeting the academic requirements of the QE while also maintaining accessibility for all participants.

2. **Emergency Plan options:** Graduate Studies requested clarification about whether the menu of Emergency Plan options that students and QE chairs pre-select can be combined and implemented at the same time (e.g., whether a QE could proceed with being fully remote and include an alternate committee member). GC determined that Emergency Plan options may only be implemented one at a time. GC's decision was guided by our concern that such combinations would further undermine the quality of the exam (as each option represents a second-best option, combinations were viewed as cumulatively compromising the QE) and could result in last-minute pressure being exerted on a student to proceed with taking a QE in less-than-ideal conditions.

The GC analyst will publish the QE policy revision to the GC Policies website. Questions for Graduate Council about these policy revisions should be forwarded to the GC analyst, Kelly Adams, at keaadams@ucdavis.edu.

Sincerely,

Jeffrey Schank
Chair, Graduate Council

c: Edwin Arevalo, Executive Director, Davis Division of the Academic Senate
Mary Vasquez, Associate Director, Davis Division of the Academic Senate
Karleigh Shepard, Communications Specialist, Davis Division of the Academic Senate
Jean-Pierre Delplanque, Vice Provost and Dean, Graduate Studies
Ellen Hartigan-O'Connor, Associate Dean for Graduate Students and Postdoctoral Scholars, Graduate Studies

Duncan Temple Lang, Associate Dean for Graduate Programs, Graduate Studies
Jasmine Bonite, Director of Policy and Programs, Graduate Studies

Enclosures:

1. Doctoral Qualifying Examinations (GC2005-02) – revision 13 (markup)
2. Doctoral Qualifying Examinations (GC2005-02) – revision 13 (clean)

UC DAVIS GRADUATE COUNCIL POLICY
Approved – June 9, 2005
Revision Dates – February 1, 2006; February 15, 2007; April 9, 2008; December 14, 2009; June 7, 2010; April 1, 2011; May 19, 2017; October 30, 2018; March 8, 2019; June 12, 2020; February 5, 2021; February 23, 2024
Revised – ~~February 23~~March 22, 2024

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Doctoral Qualifying Examinations

Contents

I. Introduction

Before advancing to candidacy for a doctoral degree, a student must have completed the following requirements:

1. met any deficiencies in their background training,
2. satisfied all requirements set by their major program, including any tests of a reading knowledge of foreign languages as required by the program,
3. maintained a minimum cumulative GPA of 3.0 in all coursework undertaken (not including those courses graded S or U)
4. passed a Qualifying Examination (QE) evaluated by a committee appointed to administer that examination.

The QE is the final step prior to advancement to candidacy. Before submitting the application for the QE to Graduate Studies for approval, requirements 1-3 must be satisfied (although the application and final requirements can be completed in the same quarter). Following the successful completion of the QE, each student should apply for advancement to candidacy for the doctoral degree before the start of the next quarter using the form provided by Graduate

Studies. Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B, or C; however, graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in their Graduate Council approved degree requirements.

This policy describes the requirements that Graduate Council has established for all QEs. All QEs must comply with these requirements. Graduate faculty who serve on QE committees are responsible for conducting QEs according to policy. **If a QE does not follow policy, the outcome may be nullified.**

II. Purpose and Essential Characteristics

The primary purpose of the QE is to validate that the student is academically qualified to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required for a doctoral degree. The QE must evaluate the student's breadth and depth of knowledge in the field and must not focus exclusively on the proposed dissertation research.

During a QE, it is Graduate Council's expectation that students focus solely on successfully passing a challenging academic examination. Therefore, it is important for programs to remember that neither the program nor the QE committee may impose any expectation that the student will provide refreshments before, during, or after an examination.

All QEs must have the following essential characteristics:

1. **Be conducted in-person except for emergencies or due to approved accommodations.** Graduate Council has determined that the default mode for QEs is in-person except in cases of emergency or due to approved accommodations (see Emergency Plan and Special Considerations for Students with Disabilities). Graduate Council considers the in-person experience to be significantly better in ensuring that all participants remain actively engaged during a QE. For these reasons, at most **1 member** (never the QE chair or student) may participate remotely without the need for an exception if approved by the QE committee chair and student. Graduate Council limits the number of remote participants to 1 member due to the poorer interactive experience that hybrid exams offer and the increased technical challenges they can present. For the purpose of this policy, hybrid exams are defined as exams in which more than one committee member is remote and the rest of the committee is in person. ~~Hybrid exams are not allowed and no exceptions to this policy will be considered.~~Hybrid exams are not allowed (reasonable accommodations for faculty and students are determined through interactive processes and may be met by changing the exam to be fully remote).

2. **Be interactive.** In a QE, all examiners must be able to ask questions, hear the student's answers, and then follow up with another question or comment in response to the student's initial reply. Committee members, individually and collectively, must be able to engage in a discourse with the student on topics relevant to the student's area of competence.

3. **Be a group activity.** To optimize the examination process and evaluation of the student, the committee must collectively: 1) experience the discourse with a student, 2) evaluate the student's performance, 3) determine the length and content of the examination, and 4) moderate the demeanor of the student and the members of the committee.

4. **Be broadly structured.** Based on the student's **past academic**, **research**, and **scholarly record** and **performance on the examination**, the student must broadly demonstrate sufficient competence in the selected disciplinary area, which must go beyond the limited area of scholarship associated with a dissertation topic. Further, the student must demonstrate the capability for integration and utilization of knowledge and skills that are critical for independent and creative research, thereby qualifying them for advancement to the research-intensive phase of doctoral education.

III. Committee Membership

Service on QE committees is a regular responsibility of all full-time UC Davis faculty. Those who agree to serve are expected to be flexible with their schedules to accommodate the interests of the student in scheduling the examination in a timely manner and to participate fully in the process.

While the form and content of QEs differ across programs, Graduate Council emphasizes that the composition of a QE committee must prioritize membership that can evaluate the academic readiness of the student to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required to earn a doctoral degree at UC Davis. QE committee members must be able to assess both breadth and depth of knowledge during the examination. Care should be exercised by programs and students when constituting QE committees to minimize conflicts of interest and promote equitable evaluation.

A. Minimum Eligibility Requirements

The following summarizes the minimum eligibility requirements for QE committees. Programs may establish more restrictive eligibility requirements in their bylaws.

1. UC Academic Senate members (including Academic Senate members at other UC campuses) are automatically eligible to serve on QE committees.

2. UC Davis Academic Federation members are eligible to serve on QE committees for graduate programs in which they are members.

3. Individuals who hold postdoctoral scholar appointments or UC Davis nonacademic staff titles are ineligible to serve.

4. Any member of a QE committee must hold a degree at least equivalent to the degree objective of the student.

5. Faculty members outside of the University of California and scholars outside of academia may be eligible to serve by exception. See External Committee Member Exceptions.

B. Composition Criteria

All members of the QE committee must meet the Minimum Eligibility Requirements stated above. Depending upon the program's degree requirements, the intended Chair of the Dissertation Committee (commonly known as the Major Professor) may be a member of the QE committee but may not serve as its Chair.

The following criteria govern the composition of QE committees:

1. The QE committee must include **4 or 5 members**, as specified in the program's degree requirements. The required number of QE committee members must apply to all students in the program.

2. The Chair of the QE committee must be a member of the student's graduate program and either a UC Davis Division Academic Senate member or a UC Davis Academic Federation member.

3. At least **3 members** must be members of the student's graduate program.

4. At least **3 members** must be members of the Academic Senate of the University of California.

5. At least **1 member** must not be a member of the student's graduate program and affiliated with the student's research, except in cases when the program has an approved exception (see Blanket Exceptions). This requirement is to ensure that a breadth of knowledge is tested and to provide external oversight.

6. In cases where a student is completing a Designated Emphasis (DE), at least **1 member** must be affiliated with the DE (see GC1988-01: Designated Emphasis Policy and Proposal Guidelines) to ensure examination of DE topics. If no committee member can serve in that role, an additional committee member must be appointed. A student or program may petition Graduate Studies for 1 additional member beyond the number required by the program (see Exceptions to Committee Constitution).

7. At most **2 members** of a 5-person committee or **1 member** of a 4-person committee may be non-Senate faculty.

8. No more than **1 member** may be a faculty member outside the University of California or a scholar outside academia who has been approved to serve by exception (see External Committee Member Exceptions).

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The student's graduate program will suggest the names of persons to be included on QE committees, but appointments are made by the Dean of Graduate Studies, who will advise all parties concerned. A list of the suggested QE Chair and committee members must be indicated on the student's QE application and must be submitted to Graduate Studies at least 30 days prior to the date of the exam.

If the program wishes to suggest changes to the committee membership after the student's QE application has been approved by Graduate Studies, the program must submit a Reconstitution of Committee Member Request to Graduate Studies for approval. Requests for committee reconstitution can be made prior to a first or second QE.

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Though committee exceptions may be requested, Graduate Council underscores that exceptions should be rare and should only be requested if they are academically justifiable. For example, an external member exception request may be justified if there are no UC Academic Senate members (this includes faculty on other UC campuses) who possess the specific expertise required to examine a student in a particular area. It is not appropriate to request exceptions to professionally network or for other non-academic reasons that are unrelated to the purpose of the QE.

1. **Committee Constitution Exceptions**

   Requests for any exceptions to the constitution of QE committees must be submitted to Graduate Studies for review and approval. Unless Graduate Council has approved new degree requirements that specifically state that the program requires only 4 members on a QE committee, no exceptions to the minimum 5 members will be approved for said program.

2. **External Committee Member Exceptions**

   Requests to appoint a faculty member from another university (outside of the UC system) or scholar from outside academia must be submitted to Graduate Studies according to the instructions provided in the External Committee Membership Application. If this application is approved by Graduate Studies, the external committee member must be advised by the graduate program that no stipend will be paid for committee service. Committee members in this category are expected to serve on a **one-time basis**. Continuing service on QE committees by external members requires an appropriate academic appointment (e.g., Adjunct Professor).

3. **Blanket Exceptions**

   Graduate programs can request a blanket exception to the policy of including a member outside the program on each student's QE. Requests should be addressed to the Chair of the Graduate Council, c/o the Graduate Council

Analyst. Requests will be reviewed and either approved or denied by the Graduate Council's Administrative Committee.

Requests for the Blanket Exception must include the following:

1) **A faculty member list sorted by departmental affiliation.**

2) **A statement guaranteeing the program will recommend appropriate QE committee compositions.** Appropriate compositions are those that are not drawn from a single department and ensure that a student's breadth of knowledge will be examined. The Graduate Academic Advisor will make certain that each committee is appropriately composed before signing the Application for Qualifying Exam, and students should be advised accordingly.

3) **Clear justification for the blanket exception.** One possible justification for such a request is that the membership of a large program is not dominated by any single department, but instead draws a super-majority of its members from many different departments. If the program is dominated by a single department, blanket exceptions will not be granted.

If a program revises its degree requirements to change from 5 to 4 required committee members, it must file a new request for a blanket exception. When a program having a blanket exception submits the QE Application to the Dean of Graduate Studies, each member should be listed with their home department (and not the name of the program) so that the appropriate committee makeup can be assessed.

IV. QE Chair Responsibilities

The primary responsibilities of the QE Chair are to facilitate the work of the committee and to ensure that the examination is conducted fairly and in accordance with any academic accommodations that may be in place (see Special Considerations for Students with Disabilities).

A. Before the Examination

Before the examination, the Chair must meet with the student to discuss scheduling, procedures, format, and general exam content. The Chair must provide the student with clear written guidelines on these matters. The QE Chair must also discuss the procedures, format, general exam content, and evaluation expectations with the other members of the committee, as well as the approved Emergency Plan. Should an emergency occur, the QE Chair is responsible for implementing the Emergency Plan or assisting with rescheduling the QE.

B. During the Examination

At the start of the examination, the Chair should attempt to put the student at ease

so that they can focus on the content of the examination. The Chair should also ensure that the examination conforms to the approved format and general norms of the program, and that the examination addresses both breadth and depth of knowledge. The Chair must ensure that the QE adheres to the expected schedule during the examination.

C. After the Examination

Following the examination, the Chair should facilitate the discussion among the committee members, ensure that the committee makes every reasonable effort to reach a unanimous conclusion, inform the student of the result at the conclusion of the exam, and file the committee report with Graduate Studies within 72 hours.

V. Timing

Graduate programs may define a window of time during the program of study that is appropriate for QEs. The QE can be scheduled in the same quarter that the student completes all courses and other program degree requirements. If that is the case, the Graduate Advisor must not submit the Advancement to Candidacy form until it can be verified by Graduate Studies that the student has passed the courses and satisfied all program requirements. The student must be in active status (e.g., not on PELP) when taking their QE.

VI. Process

The QE must include an oral examination of approximately 2-3 hours in length, with the student and entire committee present, and the decision-making process immediately following. Non-voting faculty observers may be invited with the unanimous consent of the committee and student. **All members of the examination committee are expected to be present during the entire examination.** See Emergency Plan below for the procedures to follow in the event that one or more committee members are unexpectedly absent from the examination.

If a written examination is administered before the oral as part of the QE, it must be evaluated by the same committee members as the subsequent oral component. Committee members may individually meet with the candidate in advance of the oral component. Any additional information must be available to all committee members at the time of the oral QE for discussion within the evaluation of the oral component.

VII. Emergency Plan

Prior to submitting the QE Application, the student must discuss the Emergency Plan section on the application form with their QE chair. **Students must understand that if they do not select any of the emergency options available and an emergency occurs, then the QE must be rescheduled (see Rescheduling the QE).** Graduate Council stresses, however, that the student must never be pressured into selecting any of the Emergency Plan options that are available.

For the purpose of this policy, an emergency is defined as a **last-minute, unanticipated event** such as a sudden sickness or accident that prevents the QE committee from meeting in

person on the scheduled date and time or prevents one committee member (never the student or chair) from participating in the QE. In no circumstance may the options in an Emergency Plan be used for reasons of convenience or other situations not constituting a genuine emergency. Moreover, as each Emergency Plan option is intended to 1) serve as a backup for the preferred exam mode, date/time, and committee constitution and 2) reduce last-minute decision-making (which may lead to suboptimal exam conditions for the student), options may only be implemented one at a time (i.e., either the exam is fully remote, moved to a pre-scheduled backup time, **or** proceeds as scheduled with the alternate member) and may not be combined.

The following options are available to students to select as part of their Emergency Plan:

A. Changing to a Fully Remote Exam if an Emergency Occurs
B. Moving the Exam to a Pre-Scheduled Backup Date/Time
C. Reconstituting the Committee with a Pre-Determined Backup Member

A. Changing to a Fully Remote Exam if an Emergency Occurs

If students want to have the option to move to a fully remote exam available in cases of emergency, they must select this option as part of their Emergency Plan on the QE Application.

The following conditions must be met in order for an exam to be conducted fully remotely. **The QE Chair is responsible for ensuring all conditions are met, implementing the change of exam mode, and reporting this change on the final QE Report.** The QE Chair does not need to get approval from Graduate Studies in advance of changing the exam mode, provided that the student has approved this emergency option on their QE Application.

1. **Conditions for Fully Remote Exams**

    1) An emergency prevents the committee from meeting in-person, but all committee members and the student can still participate remotely.
    2) The student has approved the fully remote exam mode as an option for their Emergency Plan on their QE Application. In approving this option, the student acknowledges that they will be prepared to present any material remotely if needed.
    3) Except for the in-person requirement, the QE can fulfill the Purpose and Essential Characteristics of the exam in a fully remote format.
    4) All participants are familiar with the technology being used to conduct the exam remotely. Except for unavoidable technical issues, videos must be enabled and distractions minimized to replicate the experience of an in-person exam to the extent possible.
    5) The student is comfortable with the technology and understands how to interact with QE committee members successfully.

B. Moving the Exam to a Pre-Scheduled Backup Date/Time

A student may opt to move the QE to a pre-scheduled backup date/time in their Emergency Plan. This backup exam must be in-person except if the student pre-approved moving the exam to fully remote or if there are approved accommodations for a different exam mode (see Special Considerations for Students with Disabilities).

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the backup exam date/time. **The QE Chair is responsible for notifying members if the exam needs to move to the backup date/time and reporting this change on the final QE Report.**

C. Reconstituting the Committee with a Pre-Determined Alternate Program Member

A student may opt to reconstitute the QE committee with a pre-determined alternate faculty member from their graduate program. This alternate program member can substitute for another member (never the QE Chair) in their Emergency Plan. This alternate member must be from the same graduate program as the student and agree to be available to meet at the scheduled date/time. Since no more than 1 member of a QE committee may participate remotely if the exam is held in-person, this alternate member must be able to meet in person if the QE committee already has a remote member. Moreover, since the alternate member must be from the same program as the student, this member will not be able to serve as a substitute for the "outside" member.

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the name and signature of the backup QE member. **The QE Chair is responsible for determining whether the committee with the alternate member meets the committee composition requirements and the program's degree requirements; otherwise, the QE must be rescheduled.** If the QE chair determines the committee meets the committee composition requirements and the Program's degree requirements, **the QE Chair is then responsible for notifying the alternate member of the exam details and reporting this membership change on the final QE Report**.

VIII. Rescheduling the QE

If an emergency arises that prevents the QE from being conducted as scheduled and no Emergency Plan options have been selected by the student, then the QE must be rescheduled. The QE Chair must be the point of contact for the committee and must assist the student with rescheduling the exam in a timely manner. A new QE committee form **does not** need to be submitted to Graduate Studies if an exam is rescheduled. However, a student can choose to submit a new QE committee form if they have changed their committee and/or would like to add, delete, or otherwise change their Emergency Plan options. All rescheduled QEs must be reported and explained on the QE Report form.

IX. Special Considerations for Students with Disabilities

Graduate Council recognizes that students with disabilities may need appropriate accommodations to avoid being disadvantaged when taking the QE. Requests for academic

accommodations must be made well in advance of the date of the first sitting for the QE (not less than 1 month and preferably 2 months). **It is the student's responsibility to register and initiate such requests through the Student Disability Center (SDC) as accommodations cannot be granted retroactively.** The process for requesting accommodations is an interactive one between the student, program, and SDC. Faculty and students are advised to consult with SDC if they have questions regarding the accommodation process.

When accommodations are deemed appropriate by the SDC, they must preserve the Purpose and Essential Characteristics of the QE as described in this policy, with exceptions allowed to the in-person requirement. **Graduate Council defers decisions on exceptions to the in-person requirement to the SDC and the program.**

The QE Chair must ensure that they understand the accommodations being requested, consult with the SDC as needed, and implement the accommodations for the QE.

X. Outcomes

The QE committee members must endeavor to reach a unanimous decision as to the qualifications of the student for the successful completion of a doctoral program. The QE committee must include in their evaluations of the student such factors as relevant components of the previous academic record, performance on specific parts of the qualifying examination, and an overall evaluation of the student's performance and potential for scholarly research as indicated during the examination.

In all cases for both first and second exams, the QE Chair is responsible for informing the student orally of the outcome of the exam at the time of the exam and is responsible for reporting the result and supplying other information to Graduate Studies as required by this policy statement. QE reports must be filed within 72 hours of the completion of the examination. The Dean of Graduate Studies will inform the student in writing of the outcome of the exam.

A. First Qualifying Exam

1. **Pass** – no conditions may be appended to this decision.

2. **Retake** – the QE Report must specify whether the student is required to retake all or part of the examination, list any additional requirements, and state the expected timeline for completion of requirements before retaking all or part of the exam. The QE Chair must include in its report a specific statement, agreed to by all members of the committee, explaining their decision. The student should meet with their Graduate Advisor and QE Chair to discuss the first exam and address any questions they may have about the retake. Graduate Studies will also inform students in writing that they will need to retake their exam.

   Fail – expected to be extremely rare on the first QE. **Fail** outcomes on the first QE will automatically be referred to the Administrative Committee of Graduate Council (GCAC) to review since, technically, a unanimous committee is making a

recommendation to the GCAC (see Davis Division Regulation 520). The GCAC is only authorized to change the outcome of a unanimous committee recommendation for cause, which can include, but is not limited to, procedural error (e.g., failure to follow Graduate Council policies, failure to follow program's degree requirements, etc.), probable bias, and specific mitigating circumstances. Questions of academic judgement are excluded from GCAC's consideration.

Graduate Studies will initiate this referral to GCAC upon receipt of the QE Report indicating the **Fail** outcome. The QE Report must include a statement from the QE Chair that explains why the student is unlikely to pass the QE if given a second attempt. This statement must reflect the views of the entire committee and not just the QE Chair. A student may also submit a statement for the GCAC's consideration. Any statements alleging bias or other reportable conduct will be referred to the appropriate office for further investigation.

B. Second Qualifying Exam (Retake)

The second QE will be given if the student receives a **Retake** on the first QE. The QE Chair is responsible for clearly communicating and writing on the QE Report the requirements for the second QE, including the form it will take (e.g., oral presentation, revision of written material, etc.) and the content it will cover. The second QE should be designed to address the deficiencies identified in the first QE. In some cases, this will be exclusively an oral examination; in others, the student may be asked to re-write the written portion of the first exam or write additional papers. If the student is required to retake an oral examination or present information to the committee, the exam mode must be in person except in cases of emergency or due to approved accommodations.

The committee may not defer its evaluation to a third party, e.g., by asking the student to take a class or serve as a Teaching Assistant in lieu of a second QE. Whatever form the examination takes, the committee must meet as a whole and discuss the outcome of the first and second QE. The student's performance on the QE should be assessed holistically, which means that the QE committee should evaluate the candidate's performance on the first and second exams and not decide the outcome just on the performance on the second exam alone.

Only one retake of the QE is allowed and at the conclusion of the retake, the committee may only vote **Pass** or **Fail**. If the student receives a **Fail** on the retake, they will automatically be recommended for disqualification from the graduate program to Graduate Studies (see GS2005-01: Disqualification and Appeal Policy).

C. Non-unanimous Committee Decisions

If, after due deliberation, it becomes evident that the QE committee cannot reach a unanimous decision, the QE Chair must inform the student that the committee is divided.

QE Chairs of divided committees shall be especially careful to inform the student

that:

- both the majority and minority are making recommendations,
- the recommendations will be subject to further review, and
- the Graduate Council Administrative Committee (GCAC) will make the decision as to the outcome.

The QE Chair must also notify the Dean of Graduate Studies that the committee is divided and must forward to the Dean separate written reports (unsigned) from the majority and minority of the committee with their specific evaluations of the student's performance on the examination and recommendations for further action by the GCAC.

The Dean will forward information from the committee to the GCAC for review and to make a final decision. The GCAC may, at their discretion, request individual statements from members of the examining committee and will consider a written statement from the student if one is submitted. While the discussions of the QE committee are confidential, student records, such as written reports from QE members, are by law available to the student. Any allegations of bias or other reportable conduct will be referred to the appropriate office to investigate accordingly.

UC DAVIS GRADUATE COUNCIL POLICY
Approved – June 9, 2005
Revision Dates – February 1, 2006; February 15, 2007; April 9, 2008; December 14, 2009; June 7, 2010; April 1, 2011; May 19, 2017; October 30, 2018; March 8, 2019; June 12, 2020; February 5, 2021; February 23, 2024
Revised – March 22, 2024

Doctoral Qualifying Examinations

Contents

I. Introduction

Before advancing to candidacy for a doctoral degree, a student must have completed the following requirements:

1. met any deficiencies in their background training,
2. satisfied all requirements set by their major program, including any tests of a reading knowledge of foreign languages as required by the program,
3. maintained a minimum cumulative GPA of 3.0 in all coursework undertaken (not including those courses graded S or U)
4. passed a Qualifying Examination (QE) evaluated by a committee appointed to administer that examination.

The QE is the final step prior to advancement to candidacy. Before submitting the application for the QE to Graduate Studies for approval, requirements 1-3 must be satisfied (although the application and final requirements can be completed in the same quarter). Following the successful completion of the QE, each student should apply for advancement to candidacy for the doctoral degree before the start of the next quarter using the form provided by Graduate

Studies. Once the student has advanced to candidacy, the graduate program may not impose any additional requirements other than those specified under Plans A, B, or C; however, graduate programs may require reasonable evidence of successful progress in the dissertation research (not including coursework), as specified in their Graduate Council approved degree requirements.

This policy describes the requirements that Graduate Council has established for all QEs. All QEs must comply with these requirements. Graduate faculty who serve on QE committees are responsible for conducting QEs according to policy. **If a QE does not follow policy, the outcome may be nullified.**

II. Purpose and Essential Characteristics

The primary purpose of the QE is to validate that the student is academically qualified to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required for a doctoral degree. The QE must evaluate the student's breadth and depth of knowledge in the field and must not focus exclusively on the proposed dissertation research.

During a QE, it is Graduate Council's expectation that students focus solely on successfully passing a challenging academic examination. Therefore, it is important for programs to remember that neither the program nor the QE committee may impose any expectation that the student will provide refreshments before, during, or after an examination.

All QEs must have the following essential characteristics:

1. **Be conducted in-person except for emergencies or due to approved accommodations.** Graduate Council has determined that the default mode for QEs is in-person except in cases of emergency or due to approved accommodations (see Emergency Plan and Special Considerations for Students with Disabilities). Graduate Council considers the in-person experience to be significantly better in ensuring that all participants remain actively engaged during a QE. For these reasons, at most **1 member** (never the QE chair or student) may participate remotely without the need for an exception if approved by the QE committee chair and student. Graduate Council limits the number of remote participants to 1 member due to the poorer interactive experience that hybrid exams offer and the increased technical challenges they can present. For the purpose of this policy, hybrid exams are defined as exams in which more than one committee member is remote and the rest of the committee is in person. Hybrid exams are not allowed (reasonable accommodations for faculty and students are determined through interactive processes and may be met by changing the exam to be fully remote).

2. **Be interactive.** In a QE, all examiners must be able to ask questions, hear the student's answers, and then follow up with another question or comment in response to the student's initial reply. Committee members, individually and collectively, must be able to engage in a discourse with the student on topics relevant to the student's area of competence.

3. **Be a group activity.** To optimize the examination process and evaluation of the student, the committee must collectively: 1) experience the discourse with a student, 2) evaluate the student's performance, 3) determine the length and content of the examination, and 4) moderate the demeanor of the student and the members of the committee.

4. **Be broadly structured.** Based on the student's **past academic**, **research**, and **scholarly record** and **performance on the examination**, the student must broadly demonstrate sufficient competence in the selected disciplinary area, which must go beyond the limited area of scholarship associated with a dissertation topic. Further, the student must demonstrate the capability for integration and utilization of knowledge and skills that are critical for independent and creative research, thereby qualifying them for advancement to the research-intensive phase of doctoral education.

III. Committee Membership

Service on QE committees is a regular responsibility of all full-time UC Davis faculty. Those who agree to serve are expected to be flexible with their schedules to accommodate the interests of the student in scheduling the examination in a timely manner and to participate fully in the process.

While the form and content of QEs differ across programs, Graduate Council emphasizes that the composition of a QE committee must prioritize membership that can evaluate the academic readiness of the student to conceptualize a research topic, undertake scholarly research, and successfully produce the dissertation required to earn a doctoral degree at UC Davis. QE committee members must be able to assess both breadth and depth of knowledge during the examination. Care should be exercised by programs and students when constituting QE committees to minimize conflicts of interest and promote equitable evaluation.

A. Minimum Eligibility Requirements

The following summarizes the minimum eligibility requirements for QE committees. Programs may establish more restrictive eligibility requirements in their bylaws.

1. UC Academic Senate members (including Academic Senate members at other UC campuses) are automatically eligible to serve on QE committees.

2. UC Davis Academic Federation members are eligible to serve on QE committees for graduate programs in which they are members.

3. Individuals who hold postdoctoral scholar appointments or UC Davis nonacademic staff titles are ineligible to serve.

4. Any member of a QE committee must hold a degree at least equivalent to the degree objective of the student.

5. Faculty members outside of the University of California and scholars outside of

academia may be eligible to serve by exception. See External Committee Member Exceptions.

B. Composition Criteria

All members of the QE committee must meet the Minimum Eligibility Requirements stated above. Depending upon the program's degree requirements, the intended Chair of the Dissertation Committee (commonly known as the Major Professor) may be a member of the QE committee but may not serve as its Chair.

The following criteria govern the composition of QE committees:

1. The QE committee must include **4 or 5 members**, as specified in the program's degree requirements. The required number of QE committee members must apply to all students in the program.

2. The Chair of the QE committee must be a member of the student's graduate program and either a UC Davis Division Academic Senate member or a UC Davis Academic Federation member.

3. At least **3 members** must be members of the student's graduate program.

4. At least **3 members** must be members of the Academic Senate of the University of California.

5. At least **1 member** must not be a member of the student's graduate program and affiliated with the student's research, except in cases when the program has an approved exception (see Blanket Exceptions). This requirement is to ensure that a breadth of knowledge is tested and to provide external oversight.

6. In cases where a student is completing a Designated Emphasis (DE), at least **1 member** must be affiliated with the DE (see GC1988-01: Designated Emphasis Policy and Proposal Guidelines) to ensure examination of DE topics. If no committee member can serve in that role, an additional committee member must be appointed. A student or program may petition Graduate Studies for 1 additional member beyond the number required by the program (see Exceptions to Committee Constitution).

7. At most **2 members** of a 5-person committee or **1 member** of a 4-person committee may be non-Senate faculty.

8. No more than **1 member** may be a faculty member outside the University of California or a scholar outside academia who has been approved to serve by exception (see External Committee Member Exceptions).

C. Appointment Process

The student's graduate program will suggest the names of persons to be included on

QE committees, but appointments are made by the Dean of Graduate Studies, who will advise all parties concerned. A list of the suggested QE Chair and committee members must be indicated on the student's QE application and must be submitted to Graduate Studies at least 30 days prior to the date of the exam.

If the program wishes to suggest changes to the committee membership after the student's QE application has been approved by Graduate Studies, the program must submit a Reconstitution of Committee Member Request to Graduate Studies for approval. Requests for committee reconstitution can be made prior to a first or second QE.

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Though committee exceptions may be requested, Graduate Council underscores that exceptions should be rare and should only be requested if they are academically justifiable. For example, an external member exception request may be justified if there are no UC Academic Senate members (this includes faculty on other UC campuses) who possess the specific expertise required to examine a student in a particular area. It is not appropriate to request exceptions to professionally network or for other non-academic reasons that are unrelated to the purpose of the QE.

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3. Blanket Exceptions

Graduate programs can request a blanket exception to the policy of including a member outside the program on each student's QE. Requests should be addressed to the Chair of the Graduate Council, c/o the Graduate Council Analyst. Requests will be reviewed and either approved or denied by the

Graduate Council's Administrative Committee.

Requests for the Blanket Exception must include the following:

1) **A faculty member list sorted by departmental affiliation.**

2) **A statement guaranteeing the program will recommend appropriate QE committee compositions.** Appropriate compositions are those that are not drawn from a single department and ensure that a student's breadth of knowledge will be examined. The Graduate Academic Advisor will make certain that each committee is appropriately composed before signing the Application for Qualifying Exam, and students should be advised accordingly.

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The primary responsibilities of the QE Chair are to facilitate the work of the committee and to ensure that the examination is conducted fairly and in accordance with any academic accommodations that may be in place (see Special Considerations for Students with Disabilities).

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Before the examination, the Chair must meet with the student to discuss scheduling, procedures, format, and general exam content. The Chair must provide the student with clear written guidelines on these matters. The QE Chair must also discuss the procedures, format, general exam content, and evaluation expectations with the other members of the committee, as well as the approved Emergency Plan. Should an emergency occur, the QE Chair is responsible for implementing the Emergency Plan or assisting with rescheduling the QE.

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At the start of the examination, the Chair should attempt to put the student at ease so that they can focus on the content of the examination. The Chair should also

ensure that the examination conforms to the approved format and general norms of the program, and that the examination addresses both breadth and depth of knowledge. The Chair must ensure that the QE adheres to the expected schedule during the examination.

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Following the examination, the Chair should facilitate the discussion among the committee members, ensure that the committee makes every reasonable effort to reach a unanimous conclusion, inform the student of the result at the conclusion of the exam, and file the committee report with Graduate Studies within 72 hours.

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Graduate programs may define a window of time during the program of study that is appropriate for QEs. The QE can be scheduled in the same quarter that the student completes all courses and other program degree requirements. If that is the case, the Graduate Advisor must not submit the Advancement to Candidacy form until it can be verified by Graduate Studies that the student has passed the courses and satisfied all program requirements. The student must be in active status (e.g., not on PELP) when taking their QE.

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For the purpose of this policy, an emergency is defined as a **last-minute, unanticipated event** such as a sudden sickness or accident that prevents the QE committee from meeting in person on the scheduled date and time or prevents one committee member (never the student

or chair) from participating in the QE. In no circumstance may the options in an Emergency Plan be used for reasons of convenience or other situations not constituting a genuine emergency. Moreover, as each Emergency Plan option is intended to 1) serve as a backup for the preferred exam mode, date/time, and committee constitution and 2) reduce last-minute decision-making (which may lead to suboptimal exam conditions for the student), options may only be implemented one at a time (i.e., either the exam is fully remote, moved to a pre-scheduled backup time, **or** proceeds as scheduled with the alternate member) and may not be combined.

The following options are available to students to select as part of their Emergency Plan:

A. Changing to a Fully Remote Exam if an Emergency Occurs
B. Moving the Exam to a Pre-Scheduled Backup Date/Time
C. Reconstituting the Committee with a Pre-Determined Backup Member

A. Changing to a Fully Remote Exam if an Emergency Occurs

If students want to have the option to move to a fully remote exam available in cases of emergency, they must select this option as part of their Emergency Plan on the QE Application.

The following conditions must be met in order for an exam to be conducted fully remotely. **The QE Chair is responsible for ensuring all conditions are met, implementing the change of exam mode, and reporting this change on the final QE Report.** The QE Chair does not need to get approval from Graduate Studies in advance of changing the exam mode, provided that the student has approved this emergency option on their QE Application.

1. **Conditions for Fully Remote Exams**

    1) An emergency prevents the committee from meeting in-person, but all committee members and the student can still participate remotely.
    2) The student has approved the fully remote exam mode as an option for their Emergency Plan on their QE Application. In approving this option, the student acknowledges that they will be prepared to present any material remotely if needed.
    3) Except for the in-person requirement, the QE can fulfill the Purpose and Essential Characteristics of the exam in a fully remote format.
    4) All participants are familiar with the technology being used to conduct the exam remotely. Except for unavoidable technical issues, videos must be enabled and distractions minimized to replicate the experience of an in-person exam to the extent possible.
    5) The student is comfortable with the technology and understands how to interact with QE committee members successfully.

B. Moving the Exam to a Pre-Scheduled Backup Date/Time

A student may opt to move the QE to a pre-scheduled backup date/time in their

Emergency Plan. This backup exam must be in-person except if the student pre-approved moving the exam to fully remote or if there are approved accommodations for a different exam mode (see Special Considerations for Students with Disabilities).

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the backup exam date/time. **The QE Chair is responsible for notifying members if the exam needs to move to the backup date/time and reporting this change on the final QE Report.**

C. Reconstituting the Committee with a Pre-Determined Alternate Program Member

A student may opt to reconstitute the QE committee with a pre-determined alternate faculty member from their graduate program. This alternate program member can substitute for another member (never the QE Chair) in their Emergency Plan. This alternate member must be from the same graduate program as the student and agree to be available to meet at the scheduled date/time. Since no more than 1 member of a QE committee may participate remotely if the exam is held in-person, this alternate member must be able to meet in person if the QE committee already has a remote member. Moreover, since the alternate member must be from the same program as the student, this member will not be able to serve as a substitute for the "outside" member.

In order for this option to be part of the student's Emergency Plan, the student must select this option on the QE Application and provide the name and signature of the backup QE member. **The QE Chair is responsible for determining whether the committee with the alternate member meets the committee composition requirements and the program's degree requirements; otherwise, the QE must be rescheduled.** If the QE chair determines the committee meets the committee composition requirements and the Program's degree requirements, **the QE Chair is then responsible for notifying the alternate member of the exam details and reporting this membership change on the final QE Report**.

VIII. Rescheduling the QE

If an emergency arises that prevents the QE from being conducted as scheduled and no Emergency Plan options have been selected by the student, then the QE must be rescheduled. The QE Chair must be the point of contact for the committee and must assist the student with rescheduling the exam in a timely manner. A new QE committee form **does not** need to be submitted to Graduate Studies if an exam is rescheduled. However, a student can choose to submit a new QE committee form if they have changed their committee and/or would like to add, delete, or otherwise change their Emergency Plan options. All rescheduled QEs must be reported and explained on the QE Report form.

IX. Special Considerations for Students with Disabilities

Graduate Council recognizes that students with disabilities may need appropriate accommodations to avoid being disadvantaged when taking the QE. Requests for academic accommodations must be made well in advance of the date of the first sitting for the QE (not

less than 1 month and preferably 2 months). **It is the student's responsibility to register and initiate such requests through the Student Disability Center (SDC) as accommodations cannot be granted retroactively.** The process for requesting accommodations is an interactive one between the student, program, and SDC. Faculty and students are advised to consult with SDC if they have questions regarding the accommodation process.

When accommodations are deemed appropriate by the SDC, they must preserve the Purpose and Essential Characteristics of the QE as described in this policy, with exceptions allowed to the in-person requirement. **Graduate Council defers decisions on exceptions to the in-person requirement to the SDC and the program.**

The QE Chair must ensure that they understand the accommodations being requested, consult with the SDC as needed, and implement the accommodations for the QE.

X. Outcomes

The QE committee members must endeavor to reach a unanimous decision as to the qualifications of the student for the successful completion of a doctoral program. The QE committee must include in their evaluations of the student such factors as relevant components of the previous academic record, performance on specific parts of the qualifying examination, and an overall evaluation of the student's performance and potential for scholarly research as indicated during the examination.

In all cases for both first and second exams, the QE Chair is responsible for informing the student orally of the outcome of the exam at the time of the exam and is responsible for reporting the result and supplying other information to Graduate Studies as required by this policy statement. QE reports must be filed within 72 hours of the completion of the examination. The Dean of Graduate Studies will inform the student in writing of the outcome of the exam.

A. First Qualifying Exam

1. **Pass** – no conditions may be appended to this decision.

2. **Retake** – the QE Report must specify whether the student is required to retake all or part of the examination, list any additional requirements, and state the expected timeline for completion of requirements before retaking all or part of the exam. The QE Chair must include in its report a specific statement, agreed to by all members of the committee, explaining their decision. The student should meet with their Graduate Advisor and QE Chair to discuss the first exam and address any questions they may have about the retake. Graduate Studies will also inform students in writing that they will need to retake their exam.

   Fail – expected to be extremely rare on the first QE. **Fail** outcomes on the first QE will automatically be referred to the Administrative Committee of Graduate Council (GCAC) to review since, technically, a unanimous committee is making a recommendation to the GCAC (see Davis Division Regulation 520). The GCAC is

only authorized to change the outcome of a unanimous committee recommendation for cause, which can include, but is not limited to, procedural error (e.g., failure to follow Graduate Council policies, failure to follow program's degree requirements, etc.), probable bias, and specific mitigating circumstances. Questions of academic judgement are excluded from GCAC's consideration.

Graduate Studies will initiate this referral to GCAC upon receipt of the QE Report indicating the **Fail** outcome. The QE Report must include a statement from the QE Chair that explains why the student is unlikely to pass the QE if given a second attempt. This statement must reflect the views of the entire committee and not just the QE Chair. A student may also submit a statement for the GCAC's consideration. Any statements alleging bias or other reportable conduct will be referred to the appropriate office for further investigation.

B. Second Qualifying Exam (Retake)

The second QE will be given if the student receives a **Retake** on the first QE. The QE Chair is responsible for clearly communicating and writing on the QE Report the requirements for the second QE, including the form it will take (e.g., oral presentation, revision of written material, etc.) and the content it will cover. The second QE should be designed to address the deficiencies identified in the first QE. In some cases, this will be exclusively an oral examination; in others, the student may be asked to re-write the written portion of the first exam or write additional papers. If the student is required to retake an oral examination or present information to the committee, the exam mode must be in person except in cases of emergency or due to approved accommodations.

The committee may not defer its evaluation to a third party, e.g., by asking the student to take a class or serve as a Teaching Assistant in lieu of a second QE. Whatever form the examination takes, the committee must meet as a whole and discuss the outcome of the first and second QE. The student's performance on the QE should be assessed holistically, which means that the QE committee should evaluate the candidate's performance on the first and second exams and not decide the outcome just on the performance on the second exam alone.

Only one retake of the QE is allowed and at the conclusion of the retake, the committee may only vote **Pass** or **Fail**. If the student receives a **Fail** on the retake, they will automatically be recommended for disqualification from the graduate program to Graduate Studies (see GS2005-01: Disqualification and Appeal Policy).

C. Non-unanimous Committee Decisions

If, after due deliberation, it becomes evident that the QE committee cannot reach a unanimous decision, the QE Chair must inform the student that the committee is divided.

QE Chairs of divided committees shall be especially careful to inform the student that:

- both the majority and minority are making recommendations,
- the recommendations will be subject to further review, and
- the Graduate Council Administrative Committee (GCAC) will make the decision as to the outcome.

The QE Chair must also notify the Dean of Graduate Studies that the committee is divided and must forward to the Dean separate written reports (unsigned) from the majority and minority of the committee with their specific evaluations of the student's performance on the examination and recommendations for further action by the GCAC.

The Dean will forward information from the committee to the GCAC for review and to make a final decision. The GCAC may, at their discretion, request individual statements from members of the examining committee and will consider a written statement from the student if one is submitted. While the discussions of the QE committee are confidential, student records, such as written reports from QE members, are by law available to the student. Any allegations of bias or other reportable conduct will be referred to the appropriate office to investigate accordingly.

Undergraduate and General Education Program Review Schedule
Approved March 2024

Interim Review Due Dates:	
January 15, 2025	Human Biology
January 15, 2026	Agricultural and Environmental Technology
January 15, 2026	Data Science
January 15, 2026	Systems and Synthetic Biology
January 30, 2026	Biotechnology
January 30, 2026	Theatre and Dance
January 30, 2029	Business

Academic year of next review	Cluster	College/School	Undergraduate Programs (majors and minors) - Reviewed by UIPRC	Subject Codes with GE literacies - Reviewed by GEC
			Agricultural and Environmental Technology (no review in 2022-23)	
			Biotechnology	BIT
			Environmental Horticulture and Urban Forestry	ENH
			Ecological Management and Restoration	
			International Agricultural Development	IAD
			Plant Sciences	PLS
			Sustainable Agriculture and Food Systems	SAF
2029-30	**1**	CAES	Sustainable Environmental Design	
			Molecular and Medical Microbiology	MIC
2029-30	**1**	CBS	Plant Biology	PLB
			Art History	AHI
			Art Studio	ART
			Cinema and Digital Media	CDM, CTS, FMS, TCS
			Design	DES
				HUM
			Music *This review deferred to 23-24	MUS
2029-30	**1**	L&S	Theatre and Dance	DRA
2029-30	**1**	SOM	Public Health Sciences minor	SPH
			Atmospheric Science	ATM
			Environmental Toxicology	ETX
2023-24	**2**	CAES	Hydrology	HYD, SSC
			Biochemistry and Molecular Biology	MCB
			Cell Biology	
			Genetics and Genomics	
2023-24	**2**	CBS	Systems and Synthetic Biology (no review in 23-24)	
			Chemistry (all four Chemistry programs reviewed together)	CHE
			-- Applied Chemistry	
			-- Chemical Physics	
			-- Chemistry	
			-- Pharmaceutical Chemistry	
			Computer Science	
			Data Science (no review in 2023-24)	
			Geology	GEL
			Mathematics (all four Mathematics programs reviewed together)	MAT
			-- Applied Mathematics	
			-- Mathematics	
			-- Mathematical and Scientific Computation	
			-- Mathematical Analytics and Operations Research	
			Physics (both Physics majors reviewed together)	PHY
			-- Applied Physics	AST
			-- Physics	
2023-24	**2**	L&S	Statistics	STA
2023-24	**2**	SOM	(none)	HPH
			Agricultural and Environmental Education	AED
			Contemporary Leadership minor (SAP)	
2024-25	**3**	CAES	Science and Society minor (SAP)	SAS
			Anthropology	ANT
			Cognitive Science	CGS
			Communication	CMN
			East Asian Studies	EAS
			History	HIS
			Global Studies minor (SAP)	
			Jewish Studies minor	JST
			Linguistics	LIN
			Middle East/South Asia Studies	ARB, HEB, HIN, MSA, PER, PUN
			Philosophy	PHI
			Science and Technology Studies	STS
2024-25	**3**	L&S		WAS

Undergraduate and General Education Program Review Schedule
Approved March 2024

Academic year of next review	Cluster	College/School	Undergraduate Programs (majors and minors) - Reviewed by UIPRC	Subject Codes with GE literacies - Reviewed by GEC
			Clinical Nutrition (externally accredited)	
			Community and Regional Development	CRD
			Human Development	HDE
			Managerial Economics	ARE
2025-26	4	CAES	Landscape Architecture (externally accredited)	LDA
				ENG
			Aerospace Science and Engineering (externally accredited)	EAE
			Biochemical Engineering (externally accredited)	
			Biological Systems Engineering (externally accredited)	ABT, EBS, FPS, TAE, TXC
			Agricultural and Environmental Technology	
			Biomedical Engineering (externally accredited)	BIM
			Chemical Engineering (externally accredited)	ECH
			Civil Engineering (externally accredited)	ECI
			Computer Engineering (externally accredited)	EEC
			Computer Science and Engineering (externally accredited)	ECS
			Electrical Engineering (externally accredited)	
			Environmental Engineering (externally accredited)	
			Materials Science and Engineering (externally accredited)	EMS
2025-26	4	COE	Mechanical Engineering (externally accredited)	EME
2025-26	4	CAES/L&S/CBS	Marine and Coastal Science	
			Business (no review in 2025-26)	
			Accounting minor	
2025-26	4	GSM	Technology Management minor	MGB, MGP, MGT
			Economics	ECN
			Psychology	PSC
			Sociology	SOC
			Political Science	POL
2025-26	4	L&S	International Relations	IRE
2025-26	4	SOE	Education minor	EDU
			Environmental Policy Analysis and Planning	ESP
			Environmental Science and Management	ESM
2026-27	5	CAES	Global Disease Biology	GDB
2026-27	5	CBS	Evolution, Ecology and Biodiversity	EVE
			African American and African Studies	AAS
			American Studies	AMS
			Asian American Studies	ASA
			Chicana/Chicano Studies	CHI
			Native American Studies	NAS
			Gender, Sexuality and Women's Studies	GSW, WMS
			Latin American Hemispheric Studies minor	
2026-27	5	L&S	Social and Ethnic Relations minor	
2026-27	5	SOVM	(none)	VMB, PMI
			Food Science	FST
			Nutrition Science	NUT
2027-28	6	CAES	Viticulture and Enology	VEN
			Biological Sciences	BIS
2027-28	6	CBS	Quantitative Biology and Bioinformatics minor	
			Comparative Literature	COM
			English	ENL
			Human Rights minor	HMR
			Medieval and Early Modern Studies	MST
			Religious Studies	RST
			University Writing Program	UWP
2027-28	6	L&S		CRI, HNR, IST
			Animal Biology	ABI
			Animal Science	ANG, ANS, AVS
			Animal Science and Management	
			Entomology	ENT
			Wildlife, Fish and Conservation Biology	WFC
2028-29	7	CAES		NEM and PLP
			Human Biology	
2028-29	7	CBS	Neurobiology, Physiology and Behavior	EXB, NPB
			Chinese	CHN
			Classical Civilization	CLA, GRK, LAT
			French	FRE
			German	GER
			Italian	ITA
			Japanese	JPN
			Russian	RUS
2028-29	7	L&S	Spanish	POR, SPA

Note: Due to the COVID-19 pandemic, no program reviews were held in 2020-21.

March 22, 2024

Graduate Council Guidance
Summer and Academic Year Expectations

Graduate Council has received questions regarding what academic expectations are appropriate to establish for students in the summer, especially given that students are not normally enrolled in research (299) units. Graduate Council affirms that all graduate academic effort should be viewed holistically in the context of a program's degree requirements and that many of the activities that students undertake to successfully complete a dissertation are not tied to enrollment in research units. Some programs may require that students advance to doctoral candidacy before a specific quarter, which may entail scheduling Qualifying Exams (QEs) in the summer; other programs may encourage students to make progress on publications or dissertation writing. Some students may have fieldwork that can only be completed in summer, or they may choose to attend a conference. Summer should be emphasized as an opportunity for students to devote the effort needed to make progress on their degree requirements. To reiterate guidance provided by the Coordinating Committee on Graduate Affairs (CCGA), "academic effort is undertaken in pursuit of defined academic goals and expectations that are not always associated with defined periods of time or specified sets of activities."

Graduate Council does not see a need to change these longstanding practices that help students maintain satisfactory progress and enable them to develop the skills required to excel in academia and beyond. Student effort made at any time of year ultimately contributes to the successful completion of the graduate degree or dissertation. However, Graduate Council shares the following reminders to assist faculty and students with clarifying expectations for effort during the summer and the academic year:

Academic Progress During the Summer:

- General academic progress, including effort during the summer, can be evaluated as part of the annual Student Progress Assessment (SPA) process.
- Expectations for academic progress during the summer are program specific. These expectations can include making progress on degree requirements such as taking preliminary examinations, conducting field research, thesis writing, or making progress on academic achievements required for career success, such as working on publications and conference presentations.
- Summer academic activities are determined by the student, faculty mentor, and program. Unlike policy-guided academic progress in courses such as 299s, a student's summer academic activities are mutually agreed upon by the student and faculty member in the context of how the program or discipline approaches mentoring and research in the summer. Mutual agreement is necessary because, just as students do not typically enroll in 299 courses during the summer, faculty in 9-month appointments are not always compensated for summer activities. Academic progress during the summer is not course-based, but programs can still expect students to make progress on their degree requirements (e.g., conduct field research, thesis writing, etc.) and their academic achievements (e.g., publications, conference presentations, etc.) over the summer.
- Formal evaluations of 299 progress should be limited to the academic goals and activities established for that quarter and should not include summer expectations/activities.

Academic Progress During the Academic Year:

When considering the balance of effort spent on GSR-related work versus 299-related research and other activities, in addition to the guidance Graduate Council has already provided, the following principles should be considered. It is important to note that expectations associated with 299 units might not always cover all efforts students choose to make toward successfully completing a thesis and their graduate degree requirements.

- Effort should be balanced over the quarter, not necessarily day to day or week to week.
- Based upon the Carnegie rule, 299 units are associated with an expected 3 hours/unit per week of academic effort.

The following guidelines from CCGA's Interim Guidance on Directed Studies Courses (7 August 2023) are also important to consider:

i) The definition and clarification of the expectations in terms of scheduled time for graduate students taking 299 courses is **at the discretion of faculty members.**

ii) At the beginning of each term, faculty should clearly describe to their graduate students the expectations for their academic progress as part of a 299 course.

iii) Underlying statement (ii) is the recognition that while activities performed for academic goals and expectations may be similar or even the same as activities performed for employment, their purposes are different, and the standards by which these activities must be measured are different. While employment is performed as service for defined periods of time or for specified sets of activities, academic effort is undertaken in pursuit of defined academic goals and expectations that are not always associated with defined periods of time or specified sets of activities.