



Dissertation Defense Handbook

INTRODUCTION

This handbook is intended to provide important information and guidance for successful completion, processing, and submission of your dissertation. It includes direction and policies from both the Sue & Bill Gross School of Nursing and Graduate Division. All pertinent policies and forms are included.

After successfully advancing to candidacy, PhD students should enroll in up to 12 units of Nur Sci 296 Dissertation Writing and Research under their Chair every quarter until graduation. If other cognate courses are still being taken, be sure total units, including Nur Sci 296 units, add up to 12 units to maintain full-time status. There is no need to enroll in Nur Sci 298/299 courses after you advance to candidacy.

The general process after advancing to candidacy is to complete the dissertation, submit the internal SON dissertation defense form (Appendix A), contact the Doctoral Programs Manager to initiate PhD Form 2 on DocuSign (Appendix B), defend the dissertation, submit dissertation through the library following proper guidelines, complete the UCI Grad Exit Survey, and sign and submit PhD Form 2.

CLARIFYING THE THREE-MANUSCRIPT OPTION VS. TRADITIONAL MONOGRAPH DISSERTATION THESIS

PhD students, in collaboration with their dissertation committee, will decide which format the final dissertation will take; either the traditional dissertation thesis or the three-manuscript dissertation. This decision should be made in consultation with the Dissertation Committee prior to the proposal defense. If the format of the dissertation changes (i.e., from monograph to three manuscript or vice versa), the student must obtain approval from the Committee for the change. The formats differ only with respect to organization of the dissertation; the extent of the research conducted is the same for both formats. The table below summarizes the difference between the two options. The traditional dissertation consists of 5 chapters including the introduction, literature review, conceptual framework, methodology, results, conclusion/implications. The three-manuscript option still requires a ‘dissertation document.’ The difference is that several of the chapters of this option will be the manuscripts and/or published papers inserted into the appropriate sections (see Table 1 below).

The organization of the two formats (monograph or manuscript) is summarized in the Table below. In either format, the text must conform to the Theses and Dissertation Guide of the Graduate School with respect to font size, line spacing, margin sizes, paper type, binding, number of copies, etc. Dissertations are usually done in APA format (except where this format differs from the Theses and Dissertation Guide), but occasionally the dissertation committee may approve an alternate format if more appropriate

to the student’s area of research. No matter which option is chosen, the final dissertation document will need to be submitted to Graduate Division in the appropriate format (See section **ELECTRONIC DISSERTATION SUBMISSION INSTRUCTIONS**).

TABLE 1. SUMMARY OF DISSERTATION FORMAT FOR MONOGRAPH AND THREE MANUSCRIPT OPTIONS		
Dissertation element	Traditional Monograph Option	Three Manuscript Option
Abstract	Yes	Yes
Dissertation committee approval page	Yes	Yes
Dedication, acknowledgements, preface	Optional	Optional
Table of contents, with page references	Yes	Yes
List of tables, with titles and page references	If applicable; one list following table of contents	If applicable; each chapter may have its own list
List of figures or illustrations, with titles and page references	If applicable; one list following table of contents	If applicable; each chapter may have its own list and is identified in the dissertation's table of contents
List of abbreviations (and symbols)	If used extensively; one list following table of contents	If used extensively; each chapter may have its own list and is identified in the dissertation's table of contents
Introduction/Background Aims Methods Results Discussion Tables Figures or Illustrations	Chapters 1-3 presenting the introduction, literature review, purpose statement, and research questions or hypotheses A methods chapter One or more results chapters A discussion and conclusions chapter	Chapter 1: Proposal Chapters 2-4: Published reprint or publishable manuscripts following Grad Div formatting requirements. If publishable manuscript, tables and figures should follow text and references Chapter 5: Synthesis of dissertation
Appendices (if applicable)	Additional materials, including tools such as surveys, decision trees, case report forms, data tables, etc.	At the request of the Committee, expanded content or appendices may be required for manuscript chapters
Bibliography/References	At the end of each chapter or at the end of the dissertation	At the end of each chapter and is identified in the dissertation's table of contents

When To Decide

The dissertation option should be decided at the time directly after the student advances to candidacy and finalizes their dissertation committee. This includes a preliminary understanding about what will constitute the three manuscripts.

Form-Content of Three Manuscript Dissertation Option

There is no strict requirement for the content of the three manuscripts, but it is expected they will follow the form of the traditional dissertation thesis as summarized in Table 1. For example, Paper 1 could report a systematic literature review on the topic of interest, Paper 2 could report on a novel conceptual framework that delineates the concepts involved in the dissertation research, their relationships to each other and their operationalization within a research study, and Paper 3 could report on the findings of the dissertation research.

No paper of the three manuscript option should be submitted to a journal for review until after the student has advanced to candidacy. Manuscripts published before this time are allowed and even encouraged (for example systematic reviews of measurement instruments, or concept analyses) but they do not qualify for the three manuscript option. On occasion, a paper may have been published prior to submission of the final dissertation, in which case the published version may be included in lieu of a typescript if it meets the UCI Graduate Division formatting requirements and approval of the Committee. Although “publishability” is not necessary for acceptance of the dissertation, the fact that a paper has been published in a peer-reviewed journal does not, in itself, make it acceptable for the purposes of the dissertation. The committee may require expanded content to be included in the appendices (e.g. expanded literature review, methodology, results, any tools or techniques such as decision models, data collection forms, code books, etc.), if not fully described in the manuscript. If a manuscript has been published prior to completing the dissertation, the student must obtain a signed waiver from the copyright owner (usually the publisher) and submit this to Graduate Division with the final dissertation.

Each paper should be considered as a stand-alone manuscript with typical journal word lengths, typically anywhere from 3500-10,000 words, depending on journal type. All three papers together should comprise a cohesive body of work that demonstrates the scholarly trajectory of the dissertation effort, from conceptualization to findings and implications.

Three Manuscript Publication Requirements

At least one manuscript should be accepted for publication at the time of the dissertation defense in a journal listed in Journal Citation Reports (to ensure publication in a valid, nonpredatory journal). The other two papers can be in preparation, in submission, or accepted for publication at the time of the dissertation defense. If the paper is in ‘in preparation’ stage, it should conform to all journal standards when placed into the dissertation document and list the journal(s) it is targeted for submission to. For example, the paper should have a title, an abstract, and a structured body including introduction, methods, results, and implications as relevant. Papers ‘in submission’ should be included in the dissertation document exactly as they were submitted to the journal, with a note about which journal it was submitted to. Accepted or published papers can be submitted in the format they were accepted with a note about when and to what journal it was accepted. Do not submit the final formatted PDF of the paper by the publisher as this would constitute copyright infringement.

Authorship: The dissertation must be the intellectual work and primary responsibility of the student. The student will be responsible for writing of the manuscript(s) and be either sole author or first author if co-authors are included for all the manuscripts. If the publication option will include co-authors, the student should discuss publication order and credit prior to submission with co-authors and Dissertation

Committee. According to the International Committee of Medical Journal Editors, the Authorship credit should be based on 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; 2) drafting the article or revising it critically for important intellectual content; and 3) final approval of the version to be published. All authors should meet conditions 1, 2, and 3 to be included. Because the relative contributions of co-authors may change over the course of a project and across manuscripts, this can be revisited as appropriate prior to actual manuscript submission. All authors must review and approve the manuscript prior to submission.

SELECTING A DOCTORAL COMMITTEE

During the PhD Advancement to Candidacy process, students are required to notate which faculty members will be serving as both Advancement to Candidacy committee members, as well as Dissertation Committee members. The Dissertation committee should consist of at least 3 members – the chair, which should be senate faculty from the School of Nursing, as well as two other senate faculty members, at least one of which is from the School of Nursing. It is strongly recommended that students include as one of their three members a senate faculty member from outside the SON.

DOCTORAL COMMITTEE REQUIREMENTS

From UCI senate regulations 905-935:

Chair

- Hold primary of joint academic appointment in academic unit supervising the doctoral program
- No exceptions

Members

- 2 additional voting members of UC academic Senate
- Equivalent standing members by exception only
- Majority should be affiliated with the program/unit
- At least one of the two additional members must hold primary appointment in the student's department/academic unit

Appointment Procedures

- Members approved by academic unit chair or designee
- Exceptions are approved by Dean of Graduate Division

IMPORTANT DEADLINES

Students must adhere to the [Filing Deadlines](#) set by Graduate Division to assure that their degree is conferred in the quarter they plan to defend. In order for final paperwork to be processed, PhD Form II (Appendix B) and checklist requirements (Appendix C) must be submitted by the expected graduation quarter's deadline.

DISSERTATION DEFENSE PROCEDURES

When the student and the committee have decided that it is time to defend the dissertation, there are a number of procedures with which to comply.

First, the student must complete their dissertation document in either format (traditional monograph or three-manuscript option, see Table 1). It is recommended to put the effort into formatting it according to UCI Library Guidelines at this time, because the effort is extensive and may delay final degree completion if not done.

Second, students must complete the SON dissertation defense form (see Appendix A). They must have this form completed and signed before sending their dissertation to their committee for feedback.

Third, the student sends their dissertation to the committee for feedback. The committee must be allowed a minimum of two weeks to provide feedback and give back to the student. The student is expected to address all relevant feedback in the oral examination phase of the dissertation defense.

Fourth, the student and committee arrange for a date for the final oral dissertation defense examination. During this exam the student presents a brief overview of study, details of the findings, limitations, conclusions, and implications. The committee must decide after the oral examination whether the student has passed or not. Traditionally the student leaves the setting so the committee can debate and is ushered back into the setting when the decision has been made.

If the student passes the exam, the student should immediately contact Student Affairs to begin the process of signing the PhD Form II (see Appendix B).

COMPLETION OF REQUIRED FORMS

Prior To Dissertation Proposal Defense – SON Dissertation Defense Form (Appendix A)

Once a student is ready to defend their dissertation, they should complete the internal School of Nursing Dissertation Defense Form at least 2 weeks prior to the planned dissertation defense date for approval. This PhD Dissertation Defense form should be signed by the student, faculty advisor and committee members, and should be submitted at least two weeks in advance to the Doctoral Programs Manager and signed by the PhD program Director. Once approved, the dissertation defense must be publicized. If the student wants to publicize their dissertation defense to the public, they can send a flyer to the Doctoral Programs Manager for distribution to the School of Nursing students, faculty, and staff. Otherwise, they can choose to print and post fliers, or disseminate in another way approved by their chair. If room reservations or other accommodations need to be made, the student should also contact the Doctoral Programs Manager.

UCI Graduate Division PhD Form II (Appendix B)

Once the internal SON Dissertation Defense form is approved, you will need to contact the Doctoral Programs Manager to initiate the Graduate Division PhD Form II for final degree paperwork via DocuSign. The form will route to dissertation committee members for signatures. After passing your dissertation defense, you must ensure your entire committee signs PhD Form II prior to the final degree paperwork deadline as it needs to be signed and submitted to the Graduate Division by this date. Final degree paperwork deadlines can be found on Graduate Division's [website](#). Make sure to review the PhD Form II prior to your defense to learn how to file your dissertation with the library.

ELECTRONIC DISSERTATION SUBMISSION INSTRUCTIONS

It is very important to make sure your dissertation is formatted correctly, according to UCI Library Guidelines. The Library offers pre-submission critiques that students can take advantage of before officially submitting their dissertation to ensure formatting guidelines are met. The electronic version of the doctoral dissertation must follow all formatting requirements set forth in the [manual](#). It is the responsibility of the student to ensure that the thesis/dissertation appears as originally intended when it is accessed or printed. You may also find more information on the [UCI Libraries website](#).

The thesis/dissertation must be submitted as a single electronic Portable Document Format (PDF) file. If the original thesis/dissertation is a Microsoft Word or RTF file, you will be able to convert the thesis/dissertation to a PDF at the [UCI Thesis/Dissertation Submission Site](#). If the doctoral dissertation is not in Microsoft Word, RTF, or PDF - e.g. LaTeX or WordPerfect - it must be converted to PDF before the student uses the Submission Site. Certain types of fonts and graphics work better with PDF, and special attention should be paid to creating equations for PDF conversions. Optional supplemental files (images, video, audio) that are an integral part of the thesis/dissertation but not part of the full text may also be submitted electronically.

Step by step instructions:

1. Convert your manuscript into a PDF.
2. Create an account at [ProQuest - Electronic Thesis and Dissertation](#) and follow the steps to submit.
3. Ensure that all provided information (email address, degree title, name, etc.) is accurate and spelled correctly.
4. Wait for the acceptance email. You will need to print out this email and turn it in to Graduate Division as part of your final paperwork package (**Please note:** it may take up to 2 business days to receive this email. UCI Libraries cannot rush or expedite any reviews.)

Please review thoroughly the [directions](#) and [FAQs](#) provided by the UCI Libraries. You can also email gradthesis@uci.edu if you have any questions about formatting and submission. It may take up to 2 business days to receive a response to a Proquest submission, so it is highly encouraged to submit your dissertation through ProQuest at least 3 business days before the filing deadline to ensure everything is approved and received on time by Graduate Division's filing deadline.

PUBLIC ACCESS TO THE DISSERTATION

In accordance with UC and UCI policy, all approved these/dissertation manuscripts automatically become available for public access and circulation as part of the UCI Libraries collections.

If you plan to publish your work elsewhere, you can request that ProQuest or the UCI Libraries withhold your manuscript for a period of 6 months or 1-6 years via an embargo request. This means that your manuscript will not be published online through eScholarship or ProQuest in their databases until after the embargo period concludes.

Upon extraordinary circumstances (such as high legal or safety risk to the graduate student), an extended embargo may be granted for as long as such extraordinary circumstances exist pursuant to Section IV of the [UC Policy on Open Access for Theses and Dissertations](#). To do so, the student must submit a memo explaining the request via email attachment to the Graduate Dean at grad@uci.edu, including "Extended Embargo Request" in the subject line.

You can request an embargo in Proquest under [PQ Publishing Options](#).

DEGREE COMPLETION

After successfully defending your dissertation, you then must submit your dissertation and all final degree paperwork by the degree [deadline](#) for the quarter. Submitting your final degree packet starts your final degree check. Additional final degree submission forms, a step by step manual as well as a submission instructions flow chart can be found at the appropriate link below:

- [Thesis/Dissertation Electronic Submission](#)

The advance degree manuscript is expected to be submitted by the deadline in the quarter in which the degree is to be conferred. Those students who complete requirements and submit dissertations after the current quarter's deadline and prior to the start of the subsequent quarter will earn a degree for the following quarter but will not be required to pay fees for that quarter (degree no fee). In such cases, to avoid payment of fees, the manuscript, all forms and degree paperwork must be submitted prior to the first day of the quarter in which the degree is to be earned.

Additionally, with the degree no fee option, it is a requirement for students to be enrolled or on filing fee the quarter before in order to qualify for this option. Students coming off a leave of absence do not qualify for the degree no fee option. The regular degree deadlines are published on the Graduate Division website each quarter, for the degree, no fee deadlines please contact your department.

FILING FEE STATUS

UCI's Academic Senate policy on Filing Fee status applies to students who have completed all requirements for a terminal Master's or Doctoral degree and are ready for the formal submission of their thesis or dissertation, or the final, formal examination. The Filing Fee may be paid in lieu of registration for only one academic quarter or summer during the student's entire graduate career, irrespective of how many graduate programs students enroll in. Students applying for Filing Fee status must be registered in the preceding academic session. A Filing Fee will not be accepted immediately following an academic LOA.

Establishing Eligibility for Filing Fee Status:

To establish eligibility to pay the Filing Fee, the student must submit a Graduate Division [Filing Fee Petition](#). Please contact the Doctoral Programs Manager to initiate the Graduate Division Filing Fee via DocuSign. The petition must be approved by the departmental Faculty Graduate Advisor and the Chair of the thesis or doctoral committee and must certify that all other requirements for the degree have been met.

International students, in addition, must secure approval from the International Center to go on Filing Fee status. It is important that applications for Filing Fee be submitted to the Graduate Dean prior to or at the very beginning of the quarter.

In order to complete and submit the Filing Fee Petition, students must pay the [required fee](#). Once the required fee has been paid students will receive an electronic receipt, please upload the receipt via the attachment icon to your DocuSign form or, if you are emailing the form directly to Graduate Division, please also attached the electronic receipt for the form to be complete. Please note, without proof of payment the form is considered incomplete and cannot be processed.

APPENDICES

Appendix A:



Dissertation Defense Committee Recommendation Form

This form should be submitted to gnsao@uci.edu at least 2 weeks prior to the planned dissertation defense date for approval.

Student Information

Name:

Date:

Program and Degree:

Email address:

Dissertation Information

Planned Dissertation Defense Date:

Dissertation Title:

Study Topic:

Brief Summary:

Dissertation ChairFaculty Name: **Committee Member**Faculty Name: Faculty Name: Faculty Name: Faculty Name: Faculty Name:

Student: I verify that I have already submitted all materials to my entire committee for their review.

Graduate Student Signature:

Date:

Faculty Advisor: I agree to give the committee at least two weeks to read and give any feedback to me as faculty advisor about the student's readiness to defend.

Faculty Advisor Signature:

Date:

Program Director Signature:

Date:

Appendix B:

DocuSign Envelope ID: C4B09BEA-A14A-4600-9CDC-3BE965157929

PH. D. FORM II / SIGNATURE PAGE REPORT ON FINAL EXAMINATION FOR THE PH.D. DEGREE

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STUDENT

Please complete this section. Please note, by submitting this form, you confirm that the work presented in the dissertation/thesis is your own. Where information has been derived from other sources, you confirm that this has been indicated in the dissertation/thesis.

Student Name: _____
First Last Middle

Student ID Number: _____

Student e-mail address: _____

Name of Degree: Ph.D. in _____

Title of Dissertation: _____

Date of Dissertation Defense: _____

DOCTORAL COMMITTEE

Please complete this section.

The doctoral committee is pleased to report upon the candidate's final examination. Our recommendation is that the degree of Doctor of Philosophy is approved and is acceptable in quality and form for publication on microfilm and digital formats.

Each signature below indicates that the respective committee member recommends that the degree of Doctor of Philosophy be conferred and **acknowledges that they have advised the student on appropriate embargo times for his/her dissertation** (please type your name, Academic Unit, and sign where indicated).¹ This form serves as the official signature page for the dissertation.

	<u>Name (please print)</u>	<u>Academic Unit</u>	<u>Signature</u>
Committee Chair	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

¹ Note: Most candidates have only three committee members. The additional signature spaces are to be used only for those candidates who have more than three dissertation committee members.

Department Chair/Graduate Advisor (sign)	Date	Associate Dean (sign)	Date
		(Required for: Biological Sciences, Engineering, Humanities, ICS, Medicine, Social Ecology & Social Sciences)	

Form continued on next page ...

Form preparer
signature:

DISSERTATION RELEASE FORM

REQUIRED: CONSENT AND RELEASE

I authorize UC Irvine to release my dissertation PDF to the UC Irvine Library, ProQuest/UMI and eScholarship and have it be made available to the public electronically through the library catalog as soon as is feasible after my dissertation has been filed.

In addition to my approval of the copyright agreement with Proquest/UMI, I hereby grant a nonexclusive, worldwide, royalty-free copyright license to The Regents of the University of California ("University") to reproduce, distribute, and display my dissertation/thesis at the University of California, Irvine ("the Work"), including: (i) the right to distribute the Work in whole or in part in all forms of media, now known or hereafter created, including display on the internet and through databases containing other works; and (ii) to electronically store, archive, copy and or convert the Work for preservation purposes. The Regents will credit me as the author of the Work. I represent and warrant that the Work: (a) is my original work and that I have full power to enter into this agreement; (b) does not infringe the copyright, intellectual property rights, or privacy rights of another; (c) contains no material which is obscene, libelous, or defamatory; and (d) I have not made, and will not hereafter make, any contract or commitment contrary to the terms of this Agreement or in derogation of the license granted to the University hereunder. I release and forever discharge the University and its officers, agents, and employees from any and all claims and demands arising out of or in connection with the use, display, and distribution of the Work.

I declare I have read the above, fully understand its meaning and effect, and freely and voluntarily agree to be bound by it

Signature of Student

Print Name

Date

OPTIONAL: EMBARGO OF DISSERTATION

Complete this section ONLY if an embargo is being requested.

Occasionally, there are unusual circumstances under which you may want to withhold your dissertation from publication. Such circumstances include:

1. The disclosure of patentable rights in the work before a patent can be granted
2. Similar disclosures detrimental to the rights of the author
3. Disclosures of facts about persons or institutions before professional ethics would permit such disclosures

To request that your dissertation be withheld for substantiated circumstances of the kind listed above, select the time frame that the dissertation be withheld from publication and sign below. The right to an embargo rests with the student however; you should consult with your dissertation committee members for advice.

I would like my dissertation to be withheld for:

Embargo Period: ☐ Six Months ☐ One Year ☐ Two Years ☐ Three Years ☐ Four Years
☐ Five Years ☐ Six Years

Signature of Student

Print Name

Date

Form continued on next page ...

IMPORTANT INFORMATION REGARDING NEXT STEPS POST SUBMISSION



What happens after you submit your final degree paperwork to the Graduate Division?

What now?

- 1) Be aware there is a processing period for the final degree paperwork. Submission of the final degree paperwork does not automatically mean that the degree is officially conferred. In general, the degree conferral process takes 14 business days as a degree audit and grade check must be completed first.
- 2) During the degree processing time, your registration fees for the following quarter will most likely be assessed. Since you have graduated and will not register the following quarter, you can:
 - Ignore the emails from the Registrar regarding registration fees. The emails will stop after the 4th week of the following quarter and the registration fees for following quarter will be removed. **OR**
 - You can contact the Registrar's Office and ask that you be "de-assessed" for the following quarter as you have graduated. De-assessed means the registration assessment/fees for the quarter will be removed
- 3) If you requested a degree certification notification, the e-mail notification will be provided after the final degree paperwork has been reviewed, vetted, and the degree conferred. The notification will be provided as soon as possible and before the degree is posted to the final transcript.
- 4) It is recommended that you go to the Registrar's website to update your email address and mailing address information in "*Student Access*". Any and all future communication from the university will go to the mailing and email address that is on file with the university.
- 5) Degrees are posted on official transcripts approximately six to seven weeks after the end of the quarter in which they are awarded.
- 6) Diplomas, issues by the Registrar's Office are typically available four months after the end of the quarter in which the student graduated.
- 7) Please direct all questions regarding the diploma and official transcript to the Registrar's Office at registrar@uci.edu

☐ **Yes, I have read the above information and understand by hitting the FINISH button; my final degree paperwork will be directed to the Graduate Division for review.**

PH. D. FORM II / SIGNATURE PAGE
REPORT ON FINAL EXAMINATION FOR THE PH.D. DEGREE

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**GRADUATE
DIVISION**

To be completed by Graduate Division only.

Requirements fulfilled: ☐ Language ☐ Date Advanced to Candidacy _____
☐ Residency ☐ Dissertation Approved

The candidate has satisfied all of the program requirements for the Doctor of Philosophy in _____

It is recommended that the degree be conferred as of (check one): ☐ Fall ☐ Winter ☐ Spring ☐ Summer _____
(year)

Dean of the Graduate Division (or designate) Date

**BACKGROUND INFORMATION FOR COMPLETING
PH.D. FORM II**

NOTE: Much of the text below is adapted from UCI's Graduate Policies & Procedures Handbook:

<https://www.grad.uci.edu/forms/academics/Graduate-Policies-and-Procedures.pdf>

FINAL EXAMINATION

If a final examination is required by the graduate program, the Doctoral Committee supervises that examination, the focus of which is the content of the doctoral dissertation. Ordinarily, the final examination will be given just prior to the completion of the dissertation and while the student is in residence during a regular academic session, and will be open to all members of the academic community. Administration of the final examination is subject to the policies of the Graduate council governing critical examinations. This policy is outlined in Section VI, C, of the *UCI Graduate Policies & Procedures Handbook*.

Report on the Final Examination: Ph.D. Form II

Upon completion of the final examination (if required) and approval of the dissertation, the Doctoral Committee recommends, by submission of Ph.D. Form II (i.e., the attached form), the conferral of the Ph.D. degree subject to final submission of the approved dissertation for deposit in the University Archives, or by on-line submission to the Proquest website.

DISSERTATION

The submission of the dissertation is the last step in the program leading to the award of an advanced degree. All dissertations submitted in fulfillment of the requirements for advanced degrees at UCI must conform to certain University regulations and specifications with regard to format and method of preparation.

The UCI Thesis and Dissertation Manual for writing and submitting dissertations is available at <http://etd.lib.uci.edu/electronic/tdmanual>. Students are encouraged to attend quarterly information sessions that discuss manuscript preparation and filing procedures.

The Doctoral Committee certifies that the completed dissertation is satisfactory through the official original or electronic signatures of all committee members on the signature page of the completed dissertation. The doctoral Committee Chair is responsible for the content and final presentation of the manuscript.

a. How to File the Dissertation

Paper Submission <https://etd.lib.uci.edu/paper/td5#5.3#5.3>

After the dissertation has been approved by the committee, two copies are submitted with the appropriate formats to Special Collection and Archives (gradthesis@uci.edu) in the Langson Library. The librarian will briefly check to make sure certain aspects of the manuscript are complete and prepared correctly according to the *UCI Thesis and Dissertation Manual* and include verification of the appropriate paper type, margins, and pagination. In addition to the paper submission, students must submit all required forms to the Graduate Division via their DocuSign submission, by 5pm on the filing deadline to complete the dissertation submission process.

Electronic Submission

After the dissertation has been approved by the committee, the doctoral dissertation must be submitted as a single electronic Portable Document (PDF) file at the UCI Dissertation Submission Site at www.etdadmin.com/uci. Website administrators will review the file to make sure certain aspects are complete and prepared correctly according to the UCI Thesis and Dissertation Manual; students will be notified of any changes that need to be made as well as final approval. In addition to the on-line submission, students must submit all required forms to the Graduate Division via their DocuSign submission, by 5pm on the filing deadline to complete the dissertation submission process.

b. Deadline for Filing the Dissertation

The advance degree manuscript is expected to be submitted by the deadline in the quarter in which the degree is to be conferred. Friday of the tenth week of classes is the deadline for submitting theses and dissertations during each quarter. Those students who complete requirements and submit dissertations after the end of the tenth week of classes and prior to the start of the subsequent quarter will earn a degree for the following quarter, but will not be required to pay fees for that quarter. In such cases, to avoid payment of fees, the manuscript, all forms and degree paperwork must be submitted prior to the first day of the quarter in which the degree is to be earned. Additionally, with the degree no fee option, it is a requirement for students to be enrolled or on filing fee the quarter before in order to qualify for this option. Students coming off a leave of absence do not qualify for the degree no fee option. The regular degree deadlines are published on the Graduate Division website (<https://www.grad.uci.edu/academics/filing-deadlines.php>) each quarter, for the degree, no fee deadlines please contact your department.

c. Public Access to the Dissertation

In accordance with UC and UCI policy, all approved these/dissertation manuscripts automatically become available for public access and circulation as part of the UCI Libraries collections.

Appendix C:

DocuSign Envelope ID: C4B09BEA-A14A-4600-9CDC-3BE965157929

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PH.D. DISSERTATION SUBMISSION CHECKLIST

ELECTRONIC FILING

Students must submit **all** of the required documents listed below to the Graduate Division by **5pm** on the filing deadline in order to complete the dissertation submission process and meet the final degree deadline.

Submission Date: Quarter: _____ Year: _____
Name of Candidate: Last: _____ First: _____

REQUIRED

- ☐ **Ph.D. Submission Checklist**

- ☐ **Ph.D. Form II/Signature Page Report on Final Examination for the Ph.D. Degree:**
Serves as original signature page.

- ☐ **Final confirmation e-mail from ProQuest/ ETD website (Attach)**

- ☐ **Survey of Earned Doctorates completion confirmation e-mail:**
Upon completing the survey, students enter their e-mail address to which a confirmation e-mail is sent. Attach the confirmation e-mail here. (Attach) <https://sed-ncses.org>

- ☐ **UCI Ph.D. Exit Survey:** (Attach) https://uci.co1.qualtrics.com/jfe/form/SV_1HV1cF7D9e3XeD4

- ☐ **Student Status Verification:**
By checking here, you confirm that you are registered in classes or have an approved filing fee petition for the quarter you plan to earn the degree

OPTIONAL

- ☐ **Request Degree Certification Notification:**
By checking here, you request a courtesy degree certification notification e-mail. When all degree requirements have been cleared by Graduate Division staff, the e-mails will be sent to student's UCI e-mail account. This notification is for personal use, or for direct transmission to another educational institution or employer.

- ☐ **Select your UCI e-mail account preference in order to stay connected with UCI as an Alumni:**
<https://www.oit.uci.edu/help/alumni/>

Appendix D:

Submit materials to:

Graduate Division
grad@uci.edu



FALL, WINTER, SPRING FILING FEE PETITION FOR GRADUATE STUDENTS

BACKGROUND INFORMATION FOR COMPLETING FILING FEE PETITION

NOTE: Much of the text below is adapted from UCI's *Graduate Policies & Procedures Handbook*: <https://grad.uci.edu/forms/academics/Graduate-Policies-and-Procedures.pdf>

FILING FEES: FREQUENTLY ASKED QUESTIONS

Who is eligible for a Filing Fee Quarter?

Under certain circumstances, you may be eligible to pay a "Filing Fee" if approved by your academic unit and the Dean of the Graduate Division. In general, the Filing Fee option only applies to students who have completed all requirements for a Master's, or Ph.D. degree except for their "official" submission of a thesis or dissertation to the Special Collections University Archives, or the final formal examination (e.g., the comprehensive examination for Master's candidates). However, prior to the beginning of the "filing fee" quarter ALL other requirements for the degree must have been met by the student, including advancement to candidacy. This means, for example, that you are not eligible for Filing Fee Status if you currently have incomplete grades (NR, I) in courses that you need to fulfill your degree requirements.

How much is the filing fee for my last quarter at UCI?

The "filing fee" is a reduced fee paid in lieu of other student fees. It is equal to one-half of the student services. The fee must be paid on-line and the receipt uploaded to the Filing Fee DocuSign form before the completed "Filing Fee Petition" is routed to the Graduate Division. Students who pay the filing fee cannot enroll in any courses.

What do I need to do to request approval for a reduced filing fee quarter?

If a student is eligible to use the Filing Fee option, the student must obtain the signature of the Department Chair or Graduate Advisor and the Chair of their thesis or doctoral committee. Only students in Biological Sciences, Engineering, Humanities, Medicine, Social Ecology, Social Science, and ICS need to obtain the signature of the school's Associate Dean. After the fee is paid on-line and the receipt uploaded to the DocuSign form, the completed form is routed to the Graduate Division. International Students must obtain approval to go on Filing Fee status from the International Center.

What if I realize I don't qualify for filing fee status?

If a student has paid the Filing Fee, and subsequently must consult with the thesis or doctoral committee about substantial changes, do additional research, or make other use of University resources, that student must register and pay the full fees.

While on Filing Fee status a student may not:

1. Use any University facilities (i.e., Health Center, Housing, library, ARC, laboratories, desk space). However, a student may purchase a library card (call Circulation, ext. 46842) and/or health insurance (Student Health Services, ext. 49415);
2. Make demands upon faculty other than the time involved in the final reading of the thesis/dissertation or in holding final exams;
3. Receive a fellowship or financial aid;
4. Take course work of any kind;
5. Hold any University academic or student appointment.

Additional Information:

1. The Filing Fee may be paid in lieu of registration for **only one** academic quarter.
2. The student applying for Filing Fees status must have been registered in the preceding academic quarter. A Filing Fee will not be accepted following readmission, and leave of absence.
3. The Filing Fee option preserves the student's candidacy status with the University; however, the student is NOT considered a full-time registered student by the University. The student should be aware that many loan agencies do not recognize the student as being enrolled while on filing fee status, and may require earlier repayment of student loans.

4. International visa restrictions may preclude Filing Fee status for students who are not citizens or permanent residents of the United States. You should verify your eligibility for Filing Fee status via the International Center well in advance of need. If you are eligible, you need to have International Center acknowledge your eligibility on the Filing Fee Petition
5. Students who plan to continue graduate study toward the Ph.D. without interruption of graduate status are ineligible for Filing Fee status for a Master's degree, i.e., students can assume Filing Fee status for only one quarter during their entire graduate career at UCI.
6. If all degree requirements are not completed during the quarter for which a Filing Fee was paid, the student must subsequently register and pay all applicable fees in full for any subsequent quarter. In order to do so, the student must notify the Registrar's or the Graduate Division to assess fees. *International students are expected to complete all degree requirements and submit the degree by the end of your Filing Fee quarter, extension of your visa document will not be possible.

Information for International Students:

Due to visa regulations international students in F-1 or J-1 visa status must obtain approval to go on Filing Fee from the International Center (IC). The approval is based on the fact that the Filing Fee quarter will be your last quarter. Your SEVIS record will be updated and a new I-20 or DS-2019 will be issued to reflect this new end date. International students are expected to complete all degree requirements and submit the degree by the end of your Filing Fee quarter, extension of your visa document will not be possible. For additional information, please contact the International Center at (949) 824-7249.

Students on visas other than F-1 or J-1 do not need to get approval from the International Center.

General Policy on Filing Fees

UCI's Academic Senate policy on filing fees applies to students who have completed all requirements for a terminal Master's degree or a Doctoral degree and are ready for the formal submission of their thesis or dissertation, or the final, formal examination. The filing fee status can be used for **one quarter only** during the student's entire graduate training. Students applying for Filing Fee status must have been registered in the preceding academic session. A filing fee will not be accepted immediately following an academic leave of absence.

a) *Procedures for Establishing Eligibility for Filing Fee Status*

To establish eligibility to pay the filing fee, the student must submit a Filing Fee Petition. The Petition must be approved by the departmental Faculty Graduate Advisor and the Chair of the thesis or doctoral committee and must certify that all other requirements for the degree have been met. Students in the Schools of Biological Sciences, Engineering, Humanities, Medicine, Social Sciences, Social Ecology, or ICS also need to obtain the signature of their Associate Dean for Graduate Affairs. (Students must consult their department for any changes in their school's requirements). International Students, in addition, must have International Center acknowledge your eligibility by completing the "International Center" section of the Filing Fee Petition. It is important that applications for Filing Fee be submitted to the Dean of the Graduate Division at the very beginning of the quarter for which approval is sought so that a student whose application is not approved will be able to enroll prior to the budgetary deadline.

DocuSign forms links are available on the Graduate Division website. The form should be initiated, signed by all required to then the student should pay the filing fee on-line which is one-half of the student services fee (the Registrar will list the current fee information at <http://www.reg.uci.edu/fees/>). The form should then be routed to the Graduate Division for final approval/processing.

b) *Limitations on Use of University Services while on filing Fee Status*

While on filing fee status a student may seek faculty involvement for a final reading of his or her dissertation or thesis. A student may also take the final oral examination. However, students may not pay the filing fee if they are still doing research or if any other use of University facilities or faculty time is anticipated. Additional restrictions while on filing fee status include the following:

1. Loss of eligibility for University administered financial assistance.
2. Loss of student services such as health services, including health insurance (GSHIP). Students may, however, arrange to self-pay.
3. Loss of student housing or library privileges. Students are encouraged to contact the Housing Office and Library for more information.
4. Loss of eligibility status for UCI academic or student appointments.
5. Loss of eligibility in most cases for deferment of student loan repayment obligations. It is the responsibility of the student to contact their loan agency to verify their loan status before applying for filing fee status.

If, after paying the filing fee, the student should find it necessary to use the educational facilities of the University in any way other than those described in this section, the student must register and pay all applicable fees under full-time status.