

UCSB DEPARTMENT OF PHYSICS

Graduate Student Handbook 2009-2010



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Physics Department Graduate Student Handbook 2009-2010

The Physics Department Graduate Student Handbook is intended as an overview of the policies and procedures regarding graduate students in the Department and will answer the majority of questions you may have. However, as in all UCSB Departments, many policies and procedures are established and administered by the Graduate Council. For detailed information on policies regarding graduate students at UCSB, the Graduate Division Student Handbook should be consulted. The Graduate Division Student Handbook is available online at www.graddiv.ucsb.edu.

Student Handbook updated June 24, 2009

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**UCSB Physics Department
Graduate Student Handbook**

Introduction

Who's Who in the Physics Department

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Head Teaching Assistant:	Erik Perkins Building 407, Room 202 hta@physics.ucsb.edu
Physics Storeroom:	Daniel Stack, Supplies & Keys Broida 1301, x2747 dstack@physics.ucsb.edu David Prine, Purchasing Broida 1311, x2540 dprine@physics.ucsb.edu
Building Manager:	Mike Deal, Building/Office Maintenance Requests Broida 1301, x3701 deal@physics.ucsb.edu
Physics Computer Services (PCS):	Glenn Schiferl, Rick Barber and Jennifer Mehl Broida 5223, x8366 pcs@physics.ucsb.edu

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Relativity Astrophysics

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Relativity Astrophysics

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Important Locations in the Physics Department

	Room	Phone
Physics Administrative Offices:	Broida 3019	x3888
Physics Conference Room (Large)	Broida 3302	
Physics Conference Room (Small)	Broida 3340	
Faculty/Staff Mailboxes	Broida 3014	
Undergraduate/TA Study Room	Broida 1019	
Graduate Student Mailboxes	Broida 5207	
Graduate Student Copy Machines	Bldg. 407	
Graduate Student Computer Room	Broida 5207	
Community Science Center	Broida Room 1015	x1018
Physics Computing Services	Broida 5233	x8366
Physics Electronics Shop	Broida 2509	x2669
Physics Machine Shop	PSB-S 1719	x8638
Physics Storeroom	Broida 1301	x2747

First Year Student Orientation

Housing First priority is to secure housing. Visit the housing office located in the University Center for information on available community housing. The department may know of a few roommate openings from students finishing and leaving before the new quarter begins. You will probably be required to pay first and last months rent plus a cleaning deposit.

Fees Student fees, health insurance and tuition (for non-residents) will be paid by the department for all first year Ph.D. students. You are responsible for all other fees incurred. It is essential that you review your BARC statement each month for charges incurred that you will be responsible for. There is a fee deadline for all “now due” charges on your statement at the beginning of each quarter (the deadline date is printed in the *Schedule of Classes*). If you have any questions regarding your statement, please see the Staff Graduate Advisor or contact the Billing Office prior to this deadline. **NOTE:** A \$50.00 late fee will be charged to your account if there is a balance of \$2.00 or more after the “now due” deadline. TAs in their second year and beyond are responsible for the miscellaneous fees, currently amounting to \$214.43 per quarter (check Graduate Division website for any updates). This amount will be waived if the FAFSA is completed by the March 2nd deadline and Federal Work Study is accepted. The miscellaneous fees are paid for GSRs as a benefit of the appointment.

Fee Deferral For an additional \$10, you may defer your fees and pay over the course of the quarter. This is done through the Billing Office in the Student Affairs and Administrative Services Building (SAASB).

Registration Registering for classes is done on-line (GOLD). Instructions for registering for classes are located in the *Schedule of Classes*. When you receive your registration materials, check the deadline date, as you will be registering for next quarter’s classes during the current quarter. Please note that for Fall registration, the deadline is typically in mid-August. If you do not register for classes by the deadline, you will be assessed a \$50.00 late registration fee. **NOTE:** Graduate Students have until the **15th day of instruction** to add classes to their schedule without approval from the Graduate Division. After this deadline, schedule adjustment petitions are required to be sent to the Graduate Division.

Departmental requirements for first quarter of registration Graduate students are to be enrolled for a minimum of 12 units per quarter. **First year Ph.D. students** should enroll in the course schedule suggested by the graduate advisor.

New Student Orientation Meeting The Campus-wide and Physics Department orientations will be held during the week before classes begin for all new students on campus.

Miscellaneous Department Information

Employment If you are to be appointed as either a Graduate Student Researcher (GSR) or Teaching Assistant (TA), there are several forms that need to be filled out, including eligibility for employment in the U.S. which require that you present proof in the form of two identifications—Driver's License or Passport, Birth Certificate or Social Security card. Foreign students must provide visa information.

Your first paycheck will arrive the month following that for which your employment began. In Fall Quarter, this will be the first of November. Incoming students may make arrangements with the Graduate Advisor to have the first quarter salary divided over four months rather than three so that they may receive an early paycheck on October 1.

TA Loan: If you are appointed as a TA, you may apply for a TA loan up to the amount of your first month's salary beginning two weeks before classes start through the Office of Financial Aid. The loan will then be repayable in three installments by the end of the quarter (1/3 per month).

Offices: All graduate students will be assigned desk space either in an office or in the laboratory in which they are working. Keys will be assigned during the first week of classes.

Computer Accounts: Each student should have an email account set up. Please visit: <http://www.physics.ucsb.edu/~forms/>.

Mailboxes: Each student has a mailbox for messages and mail. Mail is delivered each morning, around 9:00-10:00 a.m. Incidentally, the outgoing mailboxes in the main office are for departmental use only. The campus mail service **will not** take personal mail and/or mail with stamps. Outgoing personal mail must be deposited in U.S. mail boxes or taken to the Post Office on the ground floor of the UCEN. U.S. mailboxes are located near the Coral Tree Café, the bus loop, and the Post Office.

Copy Machines: A copy machine is available in Building 407. You will need to use your TA or GSR code for all copies. Personal copies should be made at FedExKinkos, located in the UCEN, or at the library.

Computer Room: Computers and printers are available for your use 24 hours a day in the graduate student computer room located in Broida 5207. The door may be opened with your personal doorcode.

Storeroom Codes for TAs:

The storeroom is located in Broida 1301 (next to elevator lobby). Any supplies you charge out **MUST** be related to your TA assignment. The storeroom code for undergraduate courses is 07. The storeroom code for graduate courses is 0R.

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Academics

Outline of Academic Progress: Year 1

Quarterly

- ◆ Complete the core course requirements with a minimum grade of B
 - Classical Mechanics (Phys 205) or Galactic Dynamics (Phys 237). Physics 237 with a grade of B or better may be substituted for Physics 205 provided the student has demonstrated competency in Lagrangian Mechanics to the 205 instructor. If Physics 237 is used in this way as a substitution, it cannot be used as an elective.
 - Electromagnetic Theory (Phys 210A-B)
 - Quantum Mechanics (Phys 215A-B-C)
 - Statistical Mechanics (Phys 219)
- ◆ Enroll in the Graduate Seminar (Phys 260G) each quarter.
- ◆ Enroll in 12 units per quarter. *Do not drop below 12 units.*
- ◆ Complete an academic progress review with your faculty mentor each quarter. Submit your signed progress report to the Staff Graduate Advisor after each meeting.
- ◆ Explore different areas of research taking place in the Department by attending seminars in the 260 series, Special Topics, and brown bag lunches. Begin to focus on your field of interest and explore research opportunities with faculty in that field.
- ◆ Enroll in courses that contribute to meeting the following requirement before graduation:
Theoretical Students: 5 advanced graduate courses with a minimum grade of B. One of these courses should be in an area clearly distinct from your field.
Experimental Students: 3 advanced graduate courses with a minimum grade of B. One of these courses should be in an area clearly distinct from your field.
Courses taken to satisfy the core course requirements cannot be used to satisfy this advanced course elective requirement.

Fall

- ◆ Enroll in the Teaching Assistant Seminar (Phys 500) Fall Quarter. Be sure to sign attendance sheet for credit.
- ◆ Take steps to establish California residency; visit <http://www.registrar.ucsb.edu/> for instructions. Contact the Residence Deputy at (805)893-3033 or at regresid@sa.ucsb.edu.
- ◆ Register for Winter quarter during Fall.

Winter

- ◆ Domestic students must complete the Free Application for Federal Student Aid (FAFSA) by March 2.
- ◆ Apply to Graduate Division for Continuing Student Central Fellowships. Deadline: April 1st. For more information, check: <http://www.graddiv.ucsb.edu/financial/cont.htm>.
- ◆ Register for Spring quarter during Winter
- ◆ Submit the Petition for Resident Classification to the Registrar's Office to ensure classification as a California resident before the start of Fall Quarter.

Summer

- ◆ Register for Fall.
- ◆ Accept Federal Work Study from the Financial Aid Office for the next academic year; pick up the acceptance letter from Financial Aid Office and bring to the Physics Department Graduate Office. Doing this will allow the Department to pay for your miscellaneous fees for the next year, even if you apply for work study and don't receive it.
- ◆ Take steps to establish Reclassification Residency Procedure by the end of Spring Quarter to become a California resident for Fall Quarter. Go to: <http://www.registrar.ucsb.edu/downloads/resident-reclass.pdf>.

Outline of Academic Progress: Year 2

Quarterly

- ◆ Complete an academic progress review with your faculty mentor or research advisor each quarter. Submit your signed progress report to the Staff Graduate Advisor after each meeting
- ◆ Enroll in 12 units per quarter. *Do not drop below 12 units.*
- ◆ Continue to enroll in courses that will meet the following course requirements:
Theoretical Students: 5 advanced graduate courses with a minimum grade of B. One of these courses should be in an area clearly distinct from your field.
Experimental Students: 3 advanced graduate courses with a minimum grade of B. One of these courses should be in an area clearly distinct from your field.
- ◆ Complete any core course requirements that were not met with a minimum grade of B in year one

Fall

- ◆ Begin the process of finding a research advisor. Continue to explore research opportunities in the Department and to enroll in the Graduate Seminar (Phys 260G) for information on current topics of research

Winter

- ◆ Domestic students must complete the Free Application for Federal Student Aid (FAFSA) by March 2
- ◆ Apply to Graduate Division for Continuing Student Central Fellowships. Deadline: April 1st. For more information, check: <http://www.graddiv.ucsb.edu/financial/cont.htm>.

Spring

- ◆ Review procedure for advancing to candidacy next Winter.

Summer

- ◆ Accept Federal Work Study from the Financial Aid Office for the next academic year; pick up the acceptance letter from Financial Aid Office and bring to the Physics Department Graduate Office.
- ◆ Register for Fall.

Outline of Academic Progress: Year 3

Quarterly

- ◆ Complete an academic progress review with your faculty mentor or research advisor each quarter. Submit your signed progress report to the Staff Graduate Advisor after each meeting.
- ◆ Continue to enroll in courses that will meet the following requirements:
Theoretical Students: 5 advanced graduate courses with a minimum grade of B. One of these courses should be in an area clearly distinct from your field.
Experimental Students: 3 advanced graduate courses with a minimum grade of B. One of these courses should be in an area clearly distinct from your field.
- ◆ By the end of the third year you should be established with a research advisor.

Fall

- ◆ *Prepare to Advance to Candidacy by the end of Winter Quarter. Notify the Department of your intention to do so, in order to help reserve a conference room and assign a Wiseperson. Ask the Department for the list of Wisepersons.*

Winter

- ◆ Domestic students must complete the Free Application for Federal Student Aid (FAFSA) by March 2.
- ◆ Apply to Graduate Division for Continuing Student Central Fellowships. Deadline: April 1st. For more information, check: <http://www.graddiv.ucsb.edu/financial/cont.htm>.
- ◆ Advance to Candidacy by the end of Winter Quarter.
- ◆ Once Advanced, notify the department that pays you that you have advanced and are eligible for a raise in salary.

Summer

- ◆ Register for Fall.
- ◆ Accept Federal Work Study from the Financial Aid Office for the next academic year; pick up the acceptance letter from Financial Aid Office and bring to the Physics Department Graduate Office.

Outline of Academic Progress: Year 3

- ◆ By the fourth year you should have a research advisor and the majority of your course units will be in Phys 596 (Advanced Reading & Research) or Phys 599 (Dissertation Preparation). (Physics 599 is reserved for a quarter or two before defending. It has a unit limit).
- ◆ The fourth year is the last year the Physics Department will guarantee funding through Departmental funds. The assumption is that by the fourth year all students will have secured a research advisor who will support them in the final years of study as a Graduate Student Researcher (GSR).
- ◆ The final period of graduate study should be directed toward individual research and the preparation of your dissertation.

Winter

- ◆ Domestic students must complete the Free Application for Federal Student Aid (FAFSA) by March 2.
- ◆ Apply to Graduate Division for Continuing Student Central Fellowships. Deadline: April 1st. For more information, check: <http://www.graddiv.ucsb.edu/financial/cont.htm>.

Faculty Mentors

At the beginning of the first year, students are assigned to a faculty mentor who will serve as the student's advisor until an official research advisor is selected. The role of the faculty mentor is to offer guidance on course selection, advancement to candidacy, selecting a research advisor, and any issues that affect the student's academic progress.

Students must meet with their faculty mentor at the beginning of each quarter to complete an academic program review. During the initial review, an academic review form will be completed that lists what tasks should be completed by the student in order for the student to complete the current phase of graduate training. During the first and second years, this would include completing the core courses, enrolling in elective courses, participating in graduate seminar, and beginning the process of deciding upon an area of research and finding a research advisor. A timetable for completion of each task agreed upon by the student and mentor is provided on the form. In future meetings, the faculty mentor will write an assessment that includes a brief account of the student's progress, and if they have not moved forward an explanation of why, and whether any particular problems or other considerations should be noted.

Once the form has been completed, it will be passed to the Faculty Graduate Advisor who will then complete a brief assessment of the report and the student's progress. These reports are forwarded to the Staff Graduate Advisor, and if requested, to Graduate Division where they will be reviewed by the Graduate Deans and a copy kept in the student's permanent record.

The mentoring and reporting process will be repeated each quarter until the student has advanced to candidacy and secured an official advisor.

Registration and Coursework

Graduate Student Status/GPA Requirement

Maintaining graduate student status includes paying all fees, registering each quarter, maintaining an overall GPA of **3.0** and maintaining timelines set by the department and Graduate Division for obtaining a research advisor, advancing to candidacy, and graduation. Failure to maintain academic standards results in probation or dismissal; failure to pay fees and register (unless on approved leave of absence) results in lapse of status as a graduate student. Only work taken when in good standing as a graduate student may be counted toward a graduate degree.

Have you:

- Registered for 12 units?
- Paid all necessary fees?
- Maintained a G.P.A. of 3.0 or higher?
- Made significant progress?

Students who fail to pay fees and register for classes by the third week of classes each quarter lapse status as graduate students and must either petition for reinstatement (\$20) or reapply for admission (\$60). For details, see the following section on petitions in this handbook and the Graduate Division Student Handbook.

Registration as a graduate student in the Spring Quarter maintains graduate student status until the beginning of Fall Quarter. A student who registered in spring may therefore take examinations or file a dissertation during Summer without additional fees. A student who did **not** register Spring Quarter will owe a filing fee to take the terminal master's examination or file a thesis dissertation. If a student who did not register for Spring Quarter wishes to take their Candidacy Exam during the Summer, they must register for Summer Sessions and pay all Summer Sessions fees. Go to: www.summer.ucsb.edu.

Registration and Full-time Status

For purposes of reporting graduate enrollment to UC Systemwide, registration in 12 units is considered full-time status. Since resources come to the campus based on the 12 unit formula, **students are required to be enrolled for a minimum of 12 units each quarter. Students may not drop below 12 units.** If there are extenuating circumstances, please contact the Staff Graduate Advisor.

There is no upper limit on the number of units a graduate student may take in their graduate courses, but it is recommended that students not exceed 12 units per quarter when employed. It is advised that students (except those advanced to candidacy) take at least one 200-level course per quarter. Almost all the 500-level courses will be graded S/U only. There is no upper limit to the number of 500-level units students may take.

Part-Time Graduate Status

At present there is no provision for part-time graduate status: *All graduate students are assessed full fees no matter how many units they take.* Students who are physically elsewhere are considered "in residence" at UCSB if they pay fees and register for classes. Students doing

research outside the state of California may be eligible for fee reductions through “in absentia registration.” Please see Graduate Division for more information on “in absentia” regulations.

Course Units and Employment

All students *must* be enrolled in 12 units per quarter. Students who drop below this minimum are subject to being placed on Academic Probation, and may be required to pay back fees.

In addition, students who are employed as Academic Student Employees (GSRs, TAs, or Graders) and drop below 12 units may lose their employment and the benefits of that appointment including the payment of health insurance, fees, and in some cases, tuition. Graduate Division and the Department do periodic unit checks throughout the academic year. Student employees who have fallen below 12 units will be notified that they must immediately register for additional courses to bring them to the required minimum. If a student drops below 12 units, does not increase their course load, and continues to work, they will be subject to repayment of the salary earned as well as the cost of health insurance, fees, and tuition (if applicable) for the quarter.

For employed students enrolled in just 12 units, it is particularly important to receive a passing grade. If an employed student is enrolled in 12 units and wishes to drop a class toward the end of the quarter due to poor grades or any other reason, they may not drop the course if doing so will bring them below 12 units.

Leaves of Absence

Continuous registration is expected of all graduate students. Leaves of Absence may be granted under special circumstances, and must be approved by the Faculty Graduate Advisor, prior to petitioning Graduate Division. Complete information on the types of leaves of absence and the ramifications of taking a leave will be found in the Graduate Division Student Handbook. Go to: <http://www.graddiv.ucsb.edu/academic/petitions/LOA.htm>.

Department Requirements for Registration

Graduate students are to be enrolled for a minimum of 12 units per quarter. **First year Ph.D. students** must enroll in the course schedule suggested by the graduate advisor except in special circumstances. After the first quarter, the 12 units may be made up of core courses, other academic courses, 596 (Directed reading and research) or 599 units (thesis/dissertation research and preparation) as to maintain full-time status. Be sure to use your research advisor’s instructor number listed in the *Schedule of Classes* to register for courses requiring instructor numbers and 500 level courses. All first year students must register for the Physics seminar course, Physics 260G every quarter.

Miscellaneous Registration Information- All information, including deadlines, is listed in the front of the *Schedule of Classes* available from the bookstore or online at <http://www.registrar.ucsb.edu/soc.htm>; please refer to it often.

- Continuing students register in the middle of the current quarter for the following quarter (including Fall). For Fall, the deadline is usually in August.
- **New students and those returning from a leave of absence register shortly before the quarter begins.**

Fees need not be paid until the first day of classes. Don't forget to register! Students who do not register by the deadline will be assessed a \$50 late registration fee.

- Schedule adjustment takes place during the first week of the quarter. Students may add and drop courses without a fee. Graduate Students have until the **15th day of instruction** to add classes to their schedule without approval from the Graduate Division. After this deadline, Schedule Adjustment Petitions signed by the Dept. Chair, Instructor, and Faculty Graduate Advisor are required to be sent to the Graduate Division and you will be assessed a \$3.00 fee per course added and/or dropped. Forms are available in the Registrar's Office.
- Classes may be added and dropped via GOLD by using add approval codes that are issued by instructors. If approval codes are not available, add petitions can be picked up from the department office. Petitions are to be taken to the Registrar's Office once approval has been given to add by the instructor, and the Graduate Advisor. If after the deadline, Graduate Division approval is required.

Petitions

Leaves of absence - \$20.00 Students leave school for all kinds of reasons and for varying lengths of time. Those who seek and receive approved leaves of absence are guaranteed that their departments will take them back when they are ready to return. Those who simply drop out will have to reapply and be evaluated with the new applicants, should they decide to return and register.

Continuous registration is expected of all graduate students. Leaves of Absence may be granted under special circumstances, and must be approved by the Faculty Graduate Advisor, prior to petitioning Graduate Division.

Students should think carefully about the timing of leave requests. A “student” is one who pays fees and registers. Persons on leave are not, technically speaking, students. Student loans, visas, university housing, access to career and counseling services, student health, financial aid, etc., are either unavailable or available only on fee-for-service bases to unregistered persons. See Graduate Division Student Handbook for ramifications of taking a leave. Go to: <http://graddiv.ucsb.edu/academic/petitions/LOA.htm>.

Returning from leave To return from a leave of absence, the student notifies the Department and Graduate Division in writing of his/her intent to return approximately 4 weeks before the beginning of the quarter in which s/he wishes to register. This action triggers the preparation of registration and billing materials. To register, students returning from leave follow instructions for “new and returning” students in the *Schedule of Classes*.

Reinstatement from lapsed status - \$20.00 Students who fail to pay fees and/or to register by the third week of the quarter lose student status. They may petition for reinstatement if their lapse was for three quarters or less. For lapses of longer than three quarters, students must reapply for admission. Re-application is not a guarantee of re-admission. Graduate advisors will evaluate a reinstatement petition with the same care they give new applications. Petitions for reinstatement are available at: <http://graddiv.ucsb.edu/forms/acad/pdf/Reinstatement.pdf>.

Withdrawal Leaving the university after the quarter begins constitutes “withdrawal.” Students must file a withdrawal petition with the Registrar, otherwise all the classes in which they registered will be recorded as “F” grades. In emergencies, when students cannot process petitions for themselves, the Dean of Students Office will handle withdrawals. Call extension 3176. Early in the quarter, speed is important to assure maximum refund of fees. If a student intends to return to UCSB in subsequent quarters, s/he can file a leave of absence petition to make returning easier. Contact Academic Affairs, extension 2559, in the Graduate Division to discuss timing and strategies.

Drop/add and change of grading option - \$3.00 Adjustments to a student’s schedule are made by GOLD, or by petitions which originate in the Registrar’s office. During approximately the first week of classes, schedule adjustments are made without charge. After the 15th day, the fee applies.

Graduate students may petition to change grading options or to drop classes up until the last day of classes. Classes may be added until the 15th day of instruction. From those deadlines until

grades are posted, students may still petition but must seek the Dean of Graduate Division's approval in addition to the usual approvals. Once grades are posted, retroactive changes to the permanent record require Graduate Council approval.

Incompletes Students must file a petition in the Registrar's office to receive an Incomplete grade. If this petition is not on file, and an instructor submits an "I" grade, the Registrar's computer will enter the grade as "F." Automatic F's are permanent scars on the student's record and should be avoided when possible. Submitting no grade at all will result in a blank space on the transcript, but not in an I or an F. After one quarter, a NC turns to an F or U.

Incompletes convert to F's at the end of the quarter following the original class, unless the instructor submits a grade to the Registrar. An instructor may extend the I for additional quarters by requesting the extension in writing directly to the Registrar's office.

Degrees are not awarded to students carrying Incompletes. When a student lifts an Incomplete while on leave or during summer, without registering again, the Graduate Division is unaware that they should initiate another degree check. Students who are through with course work, but carrying Incompletes, must inform the Graduate Division when they wish another degree check to be carried out.

UCSB Extension credit - \$20.00 Only Extension courses approved in advance and taken while a student is in graduate standing will be accepted for graduate credit. The student must petition before enrollment for approval, and then petition again for transfer of credit when the class is completed. The second petition must be accompanied by an Extension transcript showing the grade earned. The second petition will be processed without additional fees.

Transfer of credit - \$20.00 Upper division and graduate courses may be transferred to UCSB if the student was in a graduate program when the courses were completed. With approval from the Physics Department and the Graduate Division, up to 8 quarter units of credits for courses completed with a grade of B or better may be transferred from an accredited college other than another branch of the University of California. Up to 12 quarter units may be transferred from another UC campus. Such transferred units will be treated as Pass/Not Pass, upper division units, and will not be computed into the UCSB grade point average. Units counted for a degree awarded by another institution are not transferable.

No credit will be allowed for any course taken as an undergraduate or as a graduate in non-degree status, nor will credit toward an advanced degree be given for courses completed in a teaching credential or translator-interpreter program before the student was admitted to a degree program.

After students have been in residence at UCSB for at least one quarter, they may petition to transfer credit under the limitations described above. Before approving a transfer of credit, the Graduate Advisor should be satisfied that the courses being transferred, particularly if they are substitutions for required or core courses, are in fact equivalent to the department's own offerings.

Intercampus Exchange Program for Graduate Students (IEPGS)

Occasionally UCSB graduate students wish to study temporarily on another UC campus. If a student desires to take a course not offered at UCSB, wishes to study under the guidance of a specialist in residence at another UC campus, or needs to have continuing access to library holdings or facilities not available at UCSB, s/he may apply to the Intercampus Exchange Program. Approvals are required from the department chairs and the graduate deans on both campuses. Applications are available in the Graduate Division.

Separate applications are required for each quarter and must be filed with the Graduate Division at least four weeks before the beginning of the quarter in which the student wishes to make the exchange.

The student pays fees at UCSB and files registration materials at both campuses. This procedure maintains academic residence at UCSB even though the student is not physically present. Classes taken on the other campus appear on the UCSB transcript, and are figured into the UCSB grade point average. Ordinarily, the Graduate Division will not approve an intercampus exchange petition until the student has completed at least one quarter satisfactorily on this campus. Go to: <http://graddiv.ucsb.edu/academic/petitions/intercampusexchange.htm> for more information.

Degree Requirements

Ph.D. Degree:

- Satisfy Departmental advancement to candidacy procedures including core course requirement and electives. (See the following section on Advancement to Candidacy in the Physics Department)
- Pass Candidacy exam – proposal and defense of dissertation topic (See Advancement to Candidacy Procedure).
- Submit and orally defend the dissertation.
- Student must be registered and in residence for six quarters to satisfy residency requirement.
- Ph.D. Committee: Minimum of three ladder faculty from the Physics department. One will be the committee chair, one should be in the same field of research as the student and the chair, and the third should be from outside the student's direct area of research. Additional members from the department or from other disciplines may be added at the department or student's discretion. The chair will usually be the advisor of the dissertation research. This committee should be named in advance of the oral candidacy examination. For any questions, please contact extension 4646.

The Faculty Graduate Advisor approves committee nominations. The Chair must approve any changes to the committee, and a committee change petition is sent to Graduate Division. It is to the student's advantage to make sure that his/her committee forms are current, since the Graduate Division will not award a degree when the dissertation signature pages bear names different from the committee of record.

Advancing to Ph.D. Candidacy

The Department regulates advancement to candidacy. When a Ph.D. candidate completes his/her oral candidacy examination, (NOTE: STUDENTS MUST BE REGISTERED DURING THE QUARTER THAT THE CANDIDACY EXAM IS TAKEN UNLESS TAKEN SUMMER QUARTER), the Ph.D. form II is completed by the Staff Graduate Advisor and forwarded to the Graduate Division.

The student must have registered three consecutive quarters to be eligible for advancement, have a GPA of at least 3.0, no incomplete grades and satisfy the Department advancement requirements. The student pays a \$90 advancement to candidacy fee to the BARC Office (SAASB 1212) and brings the receipt to the Graduate Division, the student is formally advanced to candidacy. Note that the student does not advance until the fee is paid.

Steps to Ph.D. Candidacy

- Establish communication
- Notify Department and get a Wiseperson
- Reserve Conference rooms
- Pay advancement fee

Meetings with Exam Committee:

To encourage frequent contacts between a student and their dissertation committee, once a student successfully completes the candidacy exam, they should meet with their dissertation committee at least once each academic year.

Advancement to candidacy has several benefits:

1. The candidate is eligible for faculty privileges at the library. To receive a new library card, the candidate takes a validated receipt from the Graduate Division to the library.
2. Candidates appointed as a GSR are automatically eligible for an increase in GSR salary from step 4 (currently \$1,743 per month) to step 5 (currently \$1,859 per month for a 49.99% appointment). TAs and students on fellowship support are not eligible for an increase in pay.
3. Beginning the quarter following advancement to candidacy, foreign students will receive a 100% reduction of the nonresident tuition for nine quarters. If the degree is not completed by the end of the ninth quarter, nonresident tuition will again be assessed at the full rate.

Normative time to Degree:

Normative time is the number of twelve-month years which a department's faculty consider to be a reasonable time for completion of a particular Ph.D. program by a full-time student who matriculates with no deficiencies. Normative time in Physics is 6 years. Normative time, however, is a departmental statement of ideals, not actual averages or individual possibilities. For this reason, some students will advance to candidacy and/or graduate before the normative time, and some will take longer. Students who require more time to advance or graduate will need to petition the Department for an extension to the degree deadline.

Degree Deadlines:

Please note that departmental normative time differs from the Graduate Division degree deadline. **The Physics Department degree deadlines are three years for advancement to candidacy and six years for Ph.D.** The Graduate Division degree deadlines are seven years for Ph.D. and four years for advancement to candidacy in every department. Students who exceed departmental degree deadlines may petition the Faculty Graduate Advisor for an extension. Departmental extensions are granted on a quarterly basis and must be approved by the student's research advisor, the Faculty Graduate Advisor, and the Department Chair. If the Department extends the student's deadline for three quarters and the student has still not advanced or

graduated, they are then at the Graduate Division deadline to degree and must petition the Graduate Council for an extension.

Probation and Dismissal Only the Dean of Graduate Division may dismiss a student from graduate standing. This is done on the recommendation of departmental faculty. Graduate students are required to maintain a minimum grade point average of 3.0 in all upper division and graduate courses. In addition, students are required to make continual progress towards the degree. Probation is intended to provide students whose performance is less than satisfactory a period of time in which to make up their deficiencies. The department and Graduate Division will notify students who are being placed on Academic Probation. The department will provide written notice to the student indicating the work which the student must complete in order to attain minimum standards, and set a reasonable time limit within which work must be completed.

The consequences of Academic Probation include loss of academic student employment and the corresponding benefits of that employment (payment of fees and health insurance).

Selecting a Research Advisor

The choice of a Research Advisor is one of the most important decisions you will make as a graduate student. The decision should be made by the third year, and it is reasonable to devote significant thought to who your advisor will be.

There are three formal mechanisms in Physics for distribution of research information: The Departmental website, the seminar series, in particular the Graduate Seminar 260G, and the special topics seminars and brown bag lunches coordinated by research groups and the Faculty Graduate Advisor.

The 260G series of short, informal talks are designed for the faculty to inform graduate students about their respective research. First year students are required to attend Graduate Seminar (260G) because this is perhaps the only time students will be able to obtain a comprehensive idea of the overall breadth and activity of the work in the Physics Department.

Following these seminars, it is in the student's best interest to meet individually with each faculty member to discuss projects and areas of research. It is also a good idea to attend the department colloquiums to find out more about research groups at UCSB. Meeting the faculty and attending seminars is essential to selecting a Faculty Advisor.

Advancing to Candidacy in the Physics Department

Physics graduate students must advance to candidacy by the end of Winter Quarter of their third year. A description of what the advancement exam entails and how to prepare for it follows. The Ph.D. program is structured such that your basic coursework will be completed in the first two years, giving you the foundation necessary to focus on directed research in your field beginning in year three. Keep in mind that the objective of the advancement exam is not a measure of your research; the purpose is to determine whether you have gained sufficient knowledge of your particular field to *begin* research.

Advancement Exam Deadline:

All students must take the exam by the end of Winter Quarter of the third year. If the exam is not passed, it must be retaken by the end of Spring Quarter of the third year. Students who do not take the exam on schedule and have not received an extension are subject to withdrawal of financial support by the department, or dismissal from the program on the grounds of not making adequate progress toward the degree. Students who fail the exam for the second time will be dismissed from the program on the same grounds.

If a student fails the exam, the advancement committee must provide a written account of what they found to be lacking, along with suggestions for how to remedy the problems. The student must then retake the exam by the end of spring quarter of the third year. Failing the exam the first time should not be considered detrimental to the student's career and the result will not be reported to Graduate Division. The Department will simply require that the student retake the exam by spring and give encouragement and guidance for the second try.

Contact Jennifer Farrar at extension 4646 to schedule the exam and prepare the forms.

Extension to ATC Exam Deadline:

An extension to the Winter quarter deadline may be granted due to personal, medical or family circumstances, or to an approved research related absence that sets the student back in their academic progress. The Faculty Graduate Advisor and the faculty mentor/research advisor must be informed of the circumstance when it arises and grant the extension in a written academic progress report outlining the extended advancement timeline.

The Nature of the Exam:

Students should be able to discuss the key questions that need to be addressed in their field and propose a possible line of research. To ensure that the student and the committee agree on what constitutes an acceptably broad definition of *field*, the student will submit a brief synopsis of his/her presentation at the time the exam is scheduled. The synopsis must be approved by both the chair of the committee and the Wiseperson assigned to the exam.

Students will be evaluated on:

- a) whether the presentation addresses the underlying physics issues of the field and shows a reasonable understanding of the important problems;
- b) whether the student is able to respond adequately to questions from the committee. Students must do well in both areas in order to pass.

The Advancement Committee:

The committee should consist of three Physics faculty members: the research advisor who serves as Committee Chair, and two other faculty members, one of whom should be outside the student's area of research. In addition, a Wiseperson must be selected to be present at the exam. Contact Jennifer Farrar at extension 4646 for a list of Wisepersons available. After these primary members, the student may choose to add additional members either from Physics or another department.

Be sure to allow for time to get an exception from the Graduate Division, if your committee does not have three ladder faculty members, or does not meet the above requirements. Contact Jennifer about details.

The committee that administers the exam will (normally) be the same committee that guides the student's research and administers the final dissertation defense. At the time of the advancement to candidacy exam, the committee will either approve the dissertation topic, or, if there is not enough information to do that, the committee will arrange for a future committee meeting to decide the question. This would most likely happen in cases where the student does not yet have a thesis advisor at the time of taking the exam.

The Role of the Wiseperson:

A Wiseperson is present at every exam to ensure the appropriate level of difficulty. The Wiseperson asks questions as any other committee member and advises the committee on how the student compares with others who have been examined. The Wiseperson can require the exam to be redone if he/she feels that the exam does not conform to the guidelines given above. You may choose not to have a Wiseperson present.

Master of Arts Degree in Physics

Current graduate students are eligible for the MA degree when they have met the following requirements:

- Passed the Advancement to Candidacy Exam
- Completed the core course requirements with a minimum grade of B
- Completed a minimum of 36 units in graduate level physics courses. These may include core course units, and 12 of the 36 units may be from 596 (directed reading and research) or 599 (dissertation preparation) courses.

When the above requirements have been met, students should complete the Graduate Student Petition indicating they wish to add the Master's Degree objective and remain in the Ph.D. objective. The Graduate Student Petition is available at:

<http://www.graddiv.ucsb.edu/forms/acad/pdf/GradPetition.pdf>. A \$20 petition fee must be paid to the Billing Office (this is in addition to the \$90 advancement to candidacy fee) and the receipt and completed petition taken to Graduate Division. There is an additional \$2.00 charge for mailing the Master's diploma. If you apply for a MA degree, please notify the Department Graduate Advisor (extension 4646) so that she can be sure the process completes.

Terminal Master's Degree

Students who decide not to complete the Ph.D. program may leave with the terminal Master's degree in Physics upon completing the following requirements:

- Passed the Oral Master's Exam
- Completed the core course requirements with a minimum grade of B
- Completed a minimum of 36 units in graduate level physics courses, with a minimum of 32 units of graduate-level courses. These may include core course units, and 12 of the 36 units may be from 596 (directed reading and research) or 599 (dissertation preparation) courses.

The oral master's exam is similar to the advancement to candidacy exam in the sense that students must have a committee of three Physics Department faculty members, one of whom will chair the committee. A Wiseperson is not necessary, but one will be assigned at the student's request. The object of the Master's exam is to establish that the student has acquired sufficient knowledge of the material covered in the core graduate courses. While the purpose of the advancement exam is to determine whether the student has sufficient knowledge of physics to begin research in a particular area, the objective of the master's exam is to ensure that the student will leave the program with a solid understanding of the material covered in the following areas: Statistical Mechanics, Classical Mechanics, Quantum Mechanics, Electromagnetic Theory. The master's exam lasts for approximately 1.5 hours and students should be prepared to answer questions and give examples on these subjects.

Students who take the terminal master's degree must complete the Graduate Student Petition indicating they are adding the master's degree and removing the Ph.D. objective. They must then pay a \$20 petition fee to the Billing Office, and an additional \$2.00 for mailing of the diploma.

In either of the above cases, the master's degree will not be awarded to students who have an "I", "U", "NG" or "NR" on their transcript. Any course with an I or U grade must have a grade assigned or, if allowable, dropped, before the degree may be awarded.

Graduation Requirements for Ph.D.

Unit Requirement:

Ph.D. students are expected to complete a minimum of 36 units of graduate course work which consists of an appropriate plan to study outlined between student and advisor, as well as completing the core course requirement.

Language Requirement:

Foreign Students must satisfy the requirements for English as a Second Language (There is no foreign language requirement).

Complete the Following Procedures:

- Maintain all departmental timelines including securing a research advisor, advancing to candidacy, and writing and defending the dissertation
- Satisfactory performance in Candidacy exam taken no later than Winter Quarter of the third year.
- Must meet with dissertation committee at least once per academic year after advancing to candidacy.
- Satisfy course requirements (Core plus additional 12 units).
- Satisfactorily complete and orally defend a written dissertation.

Residency Requirement:

Students must be registered and in residence for six quarters, three consecutive quarters prior to advancing to candidacy.

Finishing

Degree checks

Ph.D. The Graduate Division initiates degree checks for Ph.D. students when the student turns in a dissertation and/or when the department notifies them on Ph.D. form III that a student has either defended the dissertation.

Incompletes Except for “thesis preparation” or “dissertation preparation” units, which are obviously completed when the document is accepted, *no Incomplete grade may appear on the transcript of a graduate degree award*. Lifting Incompletes in future quarters sometimes causes problems with fees, and will not automatically trigger a second degree check. Students with Incompletes must persist until they are sure the degree is awarded, since at present there is no fail-safe mechanism to initiate another degree check.

Fee status A student must be in fee relationship (i.e., either registered or paying the filing fee) with the university the quarter s/he finishes all degree requirements. Fees paid for one quarter cover activities undertaken until the next quarter begins. Payment of Spring fees cover summer up until Fall quarter begins.

Degree status Degrees are granted four times a year, the last day of each quarter including summer session. The student must have finished all requirements by the final day of the quarter in order to get a degree dated that quarter. A dissertation filed between quarters (in late August, or during Christmas break, for example) will not cost the student additional fees if s/he was enrolled the previous quarter; but the degree will be dated as of the end of the next quarter.

Thesis and dissertation preparation Acceptable format for theses and dissertation is outlined in a filing handbook available online at the Graduate Division website (www.graddiv.ucsb.edu). The critical elements are paper quality, margin size, and page numbering. The abstract should be no longer than 350 words to fit into Dissertation Abstracts International. Please make an appointment with the Graduate Division for any formatting questions. Call x2277 to make an appointment.

In the Graduate Division, doctoral students must complete and sign both an agreement to microfilm with University Microfilms International, and a Survey of Earned Doctorates for the National Research Council.

If the student wishes University Microfilms International to serve as his/her representative in registering copyright of the dissertation with the Library of Congress, the student must provide a \$20 cashier’s check or money order (no personal checks) made payable to UMI. This procedure is optional.

In 1986 University Microfilms reminded us, that changes in the copyright laws and in legal definitions of “fair use” of other authors’ words mean that students should get written permission from publishers and/or authors if they quote extensively from published works. For more information on this topic, consult the Chicago Manual of Style sections on fair use.

Deadline problems Students who are pushing hard to file a thesis or dissertation by the end of a particular quarter should be encouraged to take samples of their manuscript to the Graduate

Division ahead of time to be sure the format is acceptable and the print dark enough to microfilm well. They should also call ahead to ascertain whether a dissertation advisor will be available on the day they intend to file.

Students who miss the end-of-the-quarter filing deadline by even a day will be placed on the next quarter's degree list. If requested, the Graduate Division will provide a letter certifying the actual date of completion of requirements and guaranteeing award as of the next date.

Graduation ceremony The Graduate Division's graduation ceremony is one of seven coordinated by representatives of the colleges and the Chancellor's office. Students are eligible to participate or "walk" in the June ceremony even if they have not yet completed all of the requirements for the degree, provided that both they and their departments really expect them to complete all requirements within the near future. Ph.D. students are traditionally presented by their advisors.

Diplomas and transcripts After the Graduate Division finishes a degree check, it notifies the Registrar, who posts the degree to the transcript and orders diplomas. Degree checks and posting take 6-8 weeks from the end of the quarter. Students wishing to order transcripts which show the degree awarded should mark their order form "hold for posting of degree."

As part of the degree check process, Graduate Division notifies the student through GOLD of the degree awarded and sends an order form by which the student can inform the Registrar where to send the diploma when it arrives, several months into the future. There is a \$2.00 fee for postage. Students who are staying in the Santa Barbara area may pick up their diplomas in person from the Registrar's office.

**UCSB Physics Department
Graduate Student Handbook**

Finances

Tuition, Fees and Health Insurance

Tuition: Domestic Students (Citizens and Permanent Residents of the US)

All students who are not California residents are charged tuition, currently \$4,898 per quarter. In most cases, the Physics Department provides a one-year tuition fellowship to first year graduate students who do not have an external tuition fellowship. It is expected that first year domestic students will take the necessary steps to establish California residency during their first year so that they will not be charged tuition in following years. The Department will not pay tuition for domestic students beyond the first year. Students with central fellowships from the UC Regents and from government agencies such as NSF and NDSEG should be aware that these fellowships also will not pay tuition for domestic students after the first year, and that some fellowships have a cap on the amount of fees they will cover. Check your fellowship for details.

Domestic students must begin to establish California residency as soon as they arrive in Santa Barbara and follow the procedures for establishing California residency outlined on the Registrar's Office webpage (www.registrar.ucsb.edu). These steps include, but are not limited to:

- Continuous residence in California for one year
- Registering vehicles in California
- Applying for California drivers license / ID Card
- Applying for California voter registration
- Paying California state taxes
- Establishing a bank account in California
- Establishing a permanent residence in California as evidenced by a California address on all documents including educational and employment records, utility bills, bank statements, vehicle registration records, etc.

In the spring quarter preceding the 2nd year domestic students must complete the application for residency, which is available on the Registrar's website, and submit it to the Residency Office by the application deadline in early September. Please contact x3033 about for more information.

Tuition: International Students

In most cases, international students who do not have an external tuition fellowship are awarded a first year tuition fellowship with eligibility for renewal until the Winter Quarter of the third year. International students are not eligible for California residency and will continue to be charged tuition throughout graduate school. However, upon advancement to candidacy, the tuition for international students will be reduced by 75% for three years provided the student maintains continuous enrollment and 100% progress toward the Ph.D. degree.

International students who advance to candidacy by the Departmental advancement deadline of Winter quarter of the third year are eligible for a departmental fellowship that will pay their reduced tuition for the next three years, provided the student continues to make satisfactory academic progress. **For this reason, it is particularly important that international students are aware of the Departmental advancement to candidacy deadline and that they take steps to ensure that they have advanced by the winter quarter of the third year.** The Department will not pay the full tuition for an international student beyond the winter quarter of the third year except in extraordinary circumstances.

Fees: Domestic and International Students

All students are assessed fees (which are separate from tuition). The fees are itemized in the quarterly *Schedule of Classes*.

Fees and TAs:

Students employed as a TA at 25% or more will have the educational and registration fees paid for them as a benefit of the TA appointment. The fees remaining after the educational and registration fees are the miscellaneous campus based fees, which are listed in the *Schedule of Classes* and currently amount to \$214.43 per quarter. In most cases, the Department will award a fee fellowship to first year students employed as TAs to cover the miscellaneous fees if they have filled out the FAFSA by the March 2nd deadline of the year before. From the second year and beyond, TAs pay the miscellaneous fees unless they complete the FAFSA.

Fees and GSRs:

Students employed as a GSR at 35% or more will have all fees (educational, registration and miscellaneous) paid for them as a benefit of the GSR appointment.

Health Insurance:

All students must have evidence of being covered by Health Insurance while enrolled at UCSB. Upon enrollment, graduate students will be covered by the Graduate Student Health Insurance Plan (GSHIP) offered through UCSB Student Health and charged the health insurance fee (currently \$719.00/quarter) on their billing statement. **If a student maintains insurance from another provider, they must provide the UCSB Health Insurance office evidence of the other insurance and sign a GSHIP waiver form every quarter.**

Students employed as a TA at 25% or more or a GSR at 35% or more who do not have an external fellowship which covers the cost of health insurance will have the GSHIP health insurance paid for them as a benefit of their student employment. Students who choose to maintain another insurance provider and waive the GSHIP will not be reimbursed for the cost of their other health insurance; they will simply have chosen to decline the GSHIP benefit.

GSHIP is automatically paid for TAs and GSRs at the beginning of each quarter. Spring quarter health insurance covers students throughout the spring and summer quarters provided the student was enrolled in a minimum of 12 units and was employed as a TA or GSR during spring quarter.

Students who lapse registration status are at risk of losing their health insurance coverage for the quarter during which the lapse occurred.

GSHIP coverage is as follows. Please check the *Schedule of Classes* for exact dates:

Fall GSHIP:	First day of Fall quarter through last day of Fall quarter
Winter GSHIP:	First day of Winter quarter through last day of Winter quarter
Spring GSHIP:	First day of Spring quarter through last day of Summer quarter

For specific information on health insurance coverage, please contact the Student Health Office located in Bldg. 588 or visit: <http://studenthealth.sa.ucsb.edu/>. Email: insurance@sa.ucsb.edu. Phone: 893-5361.

Graduate Student Employment

The Physics Department guarantees employment to all students who are not on fellowship through their fourth year, provided the student is making satisfactory academic progress. The Department makes every effort to employ students in their fifth year and beyond, but does not guarantee employment as it is assumed that by the 5th year all students will either be employed on their research advisor's grant as a Graduate Student Researcher, or have secured external grant or fellowship funding.

Students who are making satisfactory academic progress are:

- Maintaining a minimum 3.0 GPA.
- On track to complete the Departmental and Graduate Division requirements in a timely manner. These include:
- Completion of the core courses within the first two years with a minimum grade of B
- Foreign Students: passing the written and oral English Language Placement Exams by the end of the first year.
- Securing a research advisor and advancing to candidacy by the winter quarter of the 3rd year
- Completion of the elective course requirements (3 for experimentalists, 5 for theorists) within the first 5 years with a minimum grade of B (no S/U grades will be permitted unless that is the only grading option for the approved elective).
- Successfully defending the written dissertation by the 7th year of graduate study.

Satisfactory TA Evaluations

Another condition of the TA appointment is satisfactory TA evaluations. Students should always review their TA evaluations at the end of each quarter. Evaluations are kept in the main office and available for review there. Students will receive a copy of their ESCI scores in their mailbox at the end of each quarter, and may request a personal photocopy of their written evaluations from the Staff Graduate Advisor.

Students who receive consistently negative evaluations will be asked to review the comments and take steps to address the problems. If the student continues to receive negative evaluations the following quarter, the Department may require them to attend TA training again the following Fall quarter and/or may not employ the student as a TA for the Department in following quarters.

Academic Student Employee Maximum Working Hours

Academic Student Employees (GSRs and TAs) may not exceed 50% time during the academic year. In special circumstances, domestic students may petition the Department to work up to 75% time maximum for one quarter. **International students may not exceed 50% during the academic year for any reason.** All students may work up to 100% time during summer (July 1-September 30) and during Winter break.

Salaries and Benefits: Teaching Assistants (TAs)

TAs are hired by the Department and supervised by the Head TA and the Staff Graduate Advisor. TAs are generally hired in 50% appointments (20 hours/week), but occasionally are placed in one 25% appointment (10 hours/week) or two 25% appointments for a total of 50%. The salary for a 50% TA is currently \$1,821.22/month or \$5,463.66/quarter.

The benefits of a TA appointment include:

- Payment of Health Insurance
- Payment of Educational and Registration Fees

Students employed as a TA are responsible only for the miscellaneous fees, which currently amount to \$214.43/quarter.

Salary and Benefits: Graduate Student Researcher (GSR)

GSRs are hired by a faculty member (usually the student's Research Advisor) and are supervised by that person. GSRs are generally hired in 49.99% appointments (20 hours/week). The salary for an unadvanced student working as a 49.99% GSR is currently \$1,743/month. The salary for an advanced student working as a 49.99% GSR is currently \$ 1,859/month. Unadvanced students working as a GSR who advance to candidacy during the GSR appointment will receive the salary increase effective the 1st of the month following their successful advancement to candidacy.

The benefits of a GSR appointment include:

- Payment of Health Insurance
- Payment of all fees
- Payment of tuition (for international students)

Departmental Employment for students in their 5th year and beyond:

In the event the Department does not have enough TA positions available in any given quarter to employ all the students requesting a TA appointment, the appointments will be made in the following order:

1. First through fourth year students without fellowships or other sources of funding
2. Fifth year plus students without fellowships or other sources of funding
3. Physics students with fellowship funding (provided the fellowship allows employment)
4. Graduate students from other departments who have participated in TA training

All Academic Student Employees (GSRs, TAs, Graders) MUST be enrolled in a minimum of 12 units per quarter in order to maintain employment.

Central Fellowships and Other Funding

(Additional information on central fellowships may be found on the Graduate Division web page at: <http://www.graddiv.ucsb.edu/financial/cont.htm>)

FELLOWSHIPS:

Graduate Opportunity Fellowships (GOF):

Eligibility Both new and continuing Ph.D. nominees should make a contribution to the graduate population in the department in at least one of the following way: low family socio-economic status; experience of a condition impeding advancement to graduate study, such as the absence of a family member who had attended college; educational disadvantages such as matriculation in a school or schools with poor financial or curricular support; having a physical or mental special need; unusual or varied life experiences; fluency in other languages; academic research interests focusing on cultural societal or educational problems as they affect educationally underrepresented segments of society; or evidence of an intention to use the doctoral degree toward serving underrepresented segments of society.

Criteria for award. Students should have a GPA of 3.6 or above, and satisfactory progress toward the degree.

Support package Stipend of \$16,000, plus fees and health insurance. This one-year fellowship may be renewed once but renewal is not guaranteed.

Deadline Students apply to the department by January 31. The Department forwards the nomination packet to Graduate Division by February 8.

Graduate Research Mentorship Program (GRMP): 1-year of Graduate Division support.

Eligibility: Continuing U.S. citizens and permanent resident Ph.D. or M.F.A. students who are not receiving other central fellowship support. Applicants should make a contribution to the graduate population in the nominating department in at least one of the following ways: low family socio-economic status; experience of a condition impeding advancement to graduate study, such as the absence of a family member who had attended college; educational disadvantages such as matriculation in a school or schools with poor financial or curricular support; having a physical or mental special need; unusual or varied life experiences; fluency in other languages; academic research interests focusing on cultural societal or educational problems as they affect educationally underrepresented segments of society; or evidence of an intention to use the doctoral degree toward serving underrepresented segments of society. Applicants must demonstrate interest in and promise as candidates for faculty appointments.

Criteria: To receive this award, students must not be receiving any other fellowship support. A student may receive the GRMP no more than twice during their academic career at UCSB and must re-apply since this is not an automatically renewable award.

Support package Stipend of \$16,000, plus fees and health insurance.

Application deadline: Refer to the Graduate Division program guidelines for application information.

March 20.

President's Dissertation-Year Fellowships:

Eligibility This fellowship is funded by the Office of the President and is designed for meritorious domestic students who plan careers in academia. Applicants should make a contribution to the graduate population in the nominating department in at least one of the following way: low family socio-economic status; experience of a condition impeding advancement to graduate study, such as the absence of a family member who had attended college; educational disadvantages such as matriculation in a school or schools with poor financial or curricular support; having a physical or mental special need; unusual or varied life experiences; fluency in other languages; academic research interests focusing on cultural societal or educational problems as they affect educationally underrepresented segments of society; or evidence of an intention to use the doctoral degree toward serving underrepresented segments of society.

Criteria Students must be advanced to candidacy at the time they apply, and are expected to complete their degree within the fellowship period. Dissertation advisors must encourage completion of the degree during the tenure of this fellowship.

Support package A \$16,000 academic year stipend, payment of fess and health insurance and \$500 for research expenses in the student's final year of study. Students are also required to present their research at another UC campus; travel funds are provided for this purpose.

Nomination Procedure The dissertation advisor nominates the student with a letter that details the student's ability to set and meet a reasonable timetable for completing the dissertation and the overall attributes which make the candidate worthy of this award. The nomination should contain:

- A dissertation abstract approved and signed by the entire committee.
- A 3-4 page lucid narrative describing the dissertation research for a general audience. This should include a detailed plan of work or timetable.
- The student's updated curriculum vitae.
- Two letters of recommendation from faculty other than the dissertation advisor.

Deadline March 20; awards are announced in April

Graduate Division Dissertation Awards: 1 quarter of Graduate Division support.

Eligibility: Continuing international and domestic students. Students receiving a dissertation award are not allowed to have student employment during the quarter they receive this award. This is a one-time award. Students who have four-year recruitment fellowships are not eligible for this award during the four years of the award.

Criteria: Awarded to graduate students who have advanced to candidacy and are in the final stages of writing the dissertation.

Support: Payment of in-state fees and health insurance plus \$3,000 stipend for one quarter.

Application and Deadline: March 20.

Taxation of Graduate Fellowships and Assistantships

(This information is copied from the Graduate Division's website and further information may be found there at <http://www.graddiv.ucsb.edu/financial/Taxmemo>)

This information re-issues the general discussion of the federal and California state tax status of common sources of graduate student income issued last year. It is not meant to be a substitute for professional tax advice regarding specific individual problems. Since UCSB departmental and central administrative staff may advise individual students on these matters, students should review available tax materials and make their own decisions about reporting of income, excluding income from taxation, and filing required tax forms. The federal Internal Revenue Service can be reached at 800-829-1040.

This tax information reflects taxation policy outlined in the 1986 Tax Reform Act.

Tax Status of Common Types of Graduate Student Income

A. Merit-Based Support

1. Fellowships and Scholarships for Ph.D. and Master's Students

Funds used for tuition, fees, books and course-related expenses are not taxable income. Stipends used for other purposes are taxable income. Thus a student receiving a fellowship which includes a stipend, the payment of fees, and tuition, will pay taxes only on the stipend. A student receiving only a stipend will subtract the amounts used from the stipend to pay fees and tuition and pay taxes on the remainder. Fellowships providing funds for graduate student research expenses are taxable. Humanities/Social Science Research Grant and Science/Engineering Research Grant stipends, for example, are taxable; Refer to IRS Publication 508 for information on deductible expenses. Nonresident tuition fellowships, fee-paying fellowships, employee fee offsets payments are not taxable.

2. Traineeships (such as Sea Grant Trainees)

Like fellowships, stipends are taxable. Income used for the payment of tuition, fees, books, and course-related expenses is not taxable.

3. Employment

All salaries are taxable income. The amount the student pays from earnings for fees, tuition, books, etc. may not be excluded.

4. Grants for Travel to Scholarly Meetings

Not taxable. The Graduate Council's Travel Grant is not taxable (except when travel is not accounted for per University Travel Accounting's requirements and deadlines).

B. Need-Based Financial Aid

1. **Loans** are not considered income since they have to be repaid. Loans, therefore, are not reported to the IRS, are not shown as income on tax returns, and are not taxable.

2. Grants-in-aid awarded by Financial Aid Office are taxable with the exception of that part of aid used for required tuition and fees, books, supplies, and equipment required for courses of instruction.
3. Work/Study awards are considered wages and therefore the entire amounts is taxable income.

Reporting and Withholding

1. Employment All gross earnings are reported to both the federal and state tax services. You should have received a W-2 form, Statement of Earnings, from the UCSB Payroll office by January 31. The W-2 reflects your total gross salary income from January 1 through December 31 and the total amount of federal and state taxes and DCP contributions withheld from your paychecks. This information is also reported to the IRS and the State of California. You may call the Payroll Office at x3792 (A-L) or x8513 (M-Z) concerning lost W-2s.

2. Fellowships, Scholarships, and Traineeships

Federal and state reporting and withholding requirements divide students into three groups of graduate student taxpayers:

a) US citizens and nationals who are residents of the state of California

The university is not required either to withhold federal or California state tax or to report fellowship income to the IRS or state tax service for this group of graduate students. Individuals are required to report this income themselves and to make arrangements with the IRS and state tax services to make estimated quarterly tax payments on fellowship income. The Federal Form 1040-ES and State Form 540ES, which are used for filing estimated taxes, are available from the IRS and state tax services.

b) US citizens and nationals who are not residents of California

The university is required to withhold state tax (not federal) on fellowship stipends at a flat 7% rate for this category of graduate students. (The California state withholding tax of 7% is taken on fellowship stipends on any amount greater than \$3000 per quarter.) Whenever withholding is required, reporting is required. The university reports fellowship income to the state government for domestic nonresidents of California on a Form 592B will be produced unless state taxes were withheld. The university is not required to report this income to the IRS. Individuals are required to report this income to the IRS. You should have received the 592BB statement by 1/31/2006.

c.) Nonresidents aliens (International students)

The university is required to withhold federal taxes at a flat 14% rate and state taxes at 7% for all nonresidents aliens unless the student's country of origin has a tax treaty with the United States. Those countries with tax treaties that allow foreign nationals to exclude fellowship income from the U.S. from the payment of federal tax are:

Austria, Belgium*, China (PRC), Cyprus, Czech Rep.*. Egypt, France*, Germany, Iceland*, Indonesia*, Israel*, Japan*, Kazakhstan*, Korea (ROK)*, Morocco*, Netherlands (up to 3yrs.), Norway*, Philippines*, Poland*, Portugal*, Romania*, Russia*, Slovak Rep.*, Spain, Thailand*, Trinidad & Tobago*, Tunisia*, and the Commonwealth of Independent States 9up to \$10,000/year)*.
*Exemption for up to 5 years only

This treaty listing will be updated periodically as new treaties are ratified.

Although federal income tax has not been withheld from fellowship stipends for graduate students from the above listed countries, the required 7% state income tax has been withheld from fellowship stipends for all foreign nationals. (The state withholding tax 7% is taken on fellowship stipends on any amount greater than \$3000 per quarter.) International students from all other countries have had 14% withheld for federal tax and 7% as required for state tax from fellowship stipends.

For all international students, whether there is withholding by the university or not, U.S. fellowship stipend income for 1998 is reported to the federal tax service. This is reported on the Form 1042S. With state withholding, the university reports the income and withholding on the Form 592B. With both federal and state reportings, Accounting provides copies to the student. For 1998 reporting, you should have received the Form 592B by January 31st and the Form 1042S by mid-March.

For 2005, Accounting Office also provided on the 1042S statement, data for international students who received fee, insurance and/or nonresident tuition payments made directly to BARC accounts in 2006 by UCSB. These payments were designated "TAX EXEMPT" (not subject to tax). The exempt code on the 1042S statement is "2".

UCSB Accounting Office requires that each international student receiving U.S. fellowship stipend complete a tax-related form at the Accounting Office upon the first disbursement of the fellowship.

For questions concerning lost 592B statements, you may contact Accounting Office, at x2219, or for questions concerning lost 1042S statements, you may call x3929.

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International Students

International Students

ENGLISH AS A SECOND LANGUAGE (ESL) REQUIREMENTS

ESL policies—An Overview

The Graduate Council's policy for students for whom English is not the native language states that they must satisfy proficiency requirements in spoken and written English for the purposes of research and communication with colleagues before they will be awarded a degree at UCSB.

TA Language Evaluation

International and permanent resident TA's for whom English is not the first language must be tested for language proficiency before being allowed to head a section. A faculty member from the academic department and the Director of the ESL program will evaluate English language proficiency. The prospective TA will make a 5-10 minute presentation on an academic topic assigned in advance by the Physics department. The evaluators will assess the student's ability to explain academic concepts, and to understand and answer questions of the type undergraduates pose in class.

Only students who demonstrate acceptable spoken proficiency in the English language evaluation will be eligible for classroom teaching responsibilities. TAs who fail the language evaluation will be assigned to alternate, non-teaching responsibilities, as well as be assigned the appropriate ESL class. Contact ESL at x7258 for more information.

Departmental Cooperation and ESL Compliance

Academic departments help the Graduate Dean in monitoring these aspects of ESL policy:

- All new international graduate students are required to take the English Language Placement Exam (ELPE) at the beginning of the quarter they first enroll at UCSB. Based on their performance on the ELPE, they will be placed in the appropriate Linguistics class (Ling 1, 2, 3G), or exempted out of ESL.
- Students who fail to take the ELPE are considered delinquent and will have their registration blocked for future quarters until they take the ELPE.
- Continuing international students who need additional ESL coursework must register in the appropriate ESL classes.
- Attendance in ESL classes is required. Students not attending their assigned ESL classes during the first week of classes (and the remainder of the quarter) will be considered delinquent. Students who are delinquent will be removed from their current teaching assignment, and remain ineligible for rehire until it is proven they are attending their assigned classes.

- Students are expected to complete the ESL course progression (Ling 1, English Skills Review; Ling 2, ESL Writing Skills Practicum; ESL Graduate Writing) within three quarters.
- Students required to enroll in Ling 1 or Ling 2 should be advised to limit their non-ESL course load to no more than 8 units, while students required to take Ling 3G should be advised to take no more than 12 non-ESL units. Students with poor English skills may take longer than usual to complete their degrees.
- Linguistics 4, ESL Self-Paced Tutorial class, was initiated to avoid scheduling conflicts involving ESL classes and to allow academic departments the option of asking a student who is having trouble speaking or writing English to obtain additional assistance. Departments may recommend that students needing extra help sign up for this class when it is offered.
- If university ESL requirements are not met, Graduate Division will enforce one or more of the following options: withholding of RA-ships; withholding of degrees; blocking of registration for future quarters and/or blocking advancement to candidacy.

Office of International Students and Scholars

The Office of International Students and Scholars has counselors available to assist and advise international students in many areas, including:

- Housing
- Visas and immigration matters
- Financial aid
- Cross-cultural programs
- English conversation classes

Financial Aid:

Non-immigrant students may apply for President's Work Study through the Office of International Students after three quarters of enrollment on campus.

Foreign Student Tuition Statement:

In most cases, international students who do not have an external tuition fellowship are awarded a first year tuition fellowship with eligibility for renewal until the Winter Quarter of the third year. International students are not eligible for California residency and will continue to be charged tuition throughout graduate school. However, upon advancement to candidacy, the tuition for international students will be reduced by 75% for three years provided the student maintains continuous enrollment.

International students who advance to candidacy by the Departmental advancement deadline of Winter quarter of the third year are eligible for a departmental fellowship that will pay their reduced tuition for the next three years provided the student continues to make satisfactory

academic progress. **For this reason, it is particularly important for international students to be aware of the Departmental advancement to candidacy deadline and take steps to ensure that they have advanced by the winter quarter of the third year.** The Department will not pay the full tuition for an international student beyond the winter quarter of the third year except in extraordinary circumstances.

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Additional Resources for Graduate Students

Additional Resources for Graduate Students

- Graduate Division: 3117 Cheadle Hall. Phone: 893-2277
Web: www.graddiv.ucsb.edu
Graduate Division is located on the 3rd floor of Cheadle Hall and provides a number of services for graduate students. All forms and petitions used by graduate students are available in their office and some are available on their website. Students with specific questions regarding campus wide or external fellowships should contact Graduate Division for advice. Completed dissertations are filed at Graduate Division, and there are advisors there who will review the dissertation prior to filing to ensure the formatting is correct. A copy of the Graduate Division Student Handbook and an overview of the services provided are on their website.

- Graduate Division Graduate Student Handbook:
<http://www.graddiv.ucsb.edu/academic/handbook/>

- Graduate Student Association (GSA): 2502 University Center. Phone 893-3824
Web: www.gsa.ucsb.edu

- Student Health Services: Bldg 588. Phone 893-5361.
Web: <http://www.sa.ucsb.edu/studenthealth/index.asp>

- Office of International Students and Scholars: Student Resource Building, 3rd Floor.
Phone 893-2929.
Web: www.oiss.ucsb.edu

- Counseling and Career Services: Bldg 599. Phone 893-4411
Web: <http://career.ucsb.edu/>

- Ombuds Office: 1205K Girvetz Hall. Phone 893-3285
Web: www.ombuds.ucsb.edu

- Disabled Students Program: 2120 Student Resource Building. Phone 893-2668
Web: www.sa.ucsb.edu/dsp

- Housing and Residential Services: 1501 Residential Services Bldg. Phone 893-2760
Web: www.housing.ucsb.edu

- Sexual Harassment Complaint Resolution Office: 2121 Cheadle Hall. Phone 893-2546
Web: www.ucsbuxa.ucsb.edu/sex-harass-complaints

- Short Term Loans and Check Disbursement: Billing Office 1212 SAASB. Phone 893-2155
Web: <http://www.busserv.ucsb.edu/barc/Billing/Billing.htm>