



ADVANCEMENT TO CANDIDACY FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

STUDENT

Please complete this form only after you have passed the Qualifying Exam. Obtain the required signatures and complete the Conflict of Interest form on page 2 of this packet. You must pay the Advancement to Candidacy fee at the Cashier's Office before submitting this completed form to the Graduate Division. The cashier will stamp this form to indicate receipt of payment. This completed form, including the cashier's stamp indicating payment and a completed Conflict of Interest form, constitutes an application for advancement to candidacy. The student's official date of advancement is the day this completed Ph.D. form is received by Graduate Division. *Cashier Code-Form phd*

NOTE: \$90 Candidacy Fee must be paid at the Cashier's Office before this form is presented to the Graduate Division Dean. Fee subject to change without notice.

LAST NAME	FIRST NAME	MIDDLE NAME	STUDENT ID#
ADDRESS	CITY	STATE/ZIP CODE	PHONE NUMBER
MAJOR		E-MAIL ADDRESS	

Date Qualifying examination passed: _____

All requirements including dissertation to be completed by: Fall Spring Summer Year: _____

Proposed Dissertation Title: _____

Candidate Signature: _____ Date: _____

Recommended Doctoral Committee: Once approved by the Dean of Graduate Division, a change to committee members requires submission of a Petition for Reconstitution of Committee Membership prior to submission of the dissertation to Graduate Division.

Name (First, Middle Initial, Last)	Academic Title (Prof., Assoc. Prof., etc)	Signature	Academic Unit
, Chair			

If you opt for an additional member, s/he must also read and sign your dissertation (s/he is not intended as a substitute).

Additional member _____

DEPARTMENT APPROVALS:

Graduate Advisor (print & sign): _____ Date: _____

Doctoral Committee Chair (print & sign): _____ Date: _____

Graduate Group Chair (print & sign): _____ Date: _____

CASHIER'S OFFICE ONLY: Fee Paid: _____ Date: _____

GRADUATE DIVISION USE ONLY:

Fee Paid:	Semesters in Residency:
GPA:	Semester of Matriculation:
Registered/Filing Fee	Deficiencies

Approved: _____
 Graduate Division Dean (signature) _____ Date _____

STATEMENT ON CONFLICT OF INTEREST FORM

This form must be completed, signed and submitted with the Candidacy for the Degree of Doctor of Philosophy. The complete policy and implementation procedures are described on the Office of the President website (<http://www.ucop.edu/services/conflictinterest.html>). If a conflict of interest related to this policy is identified, you must follow these procedures to ensure the integrity of the process.

Your signature is required prior to submission of this form to Graduate Division. It will signify that you have read -- and where warranted, have complied with -- the policy. If you have any questions, please contact the Graduate Division.

UC Merced's policy on Conflict of Interest and Graduate Education deals with any financial conflict of interest as defined in Section VII.E of the preliminary Graduate Advisor's Handbook (GAH).

The University wishes to encourage intellectual activity that benefits the academic interests of the student, society, and the institution, and at the same time protects the integrity of the academic and research experience. The purpose of this policy, therefore, is to establish a mechanism to protect the academic interests of graduate students in the event that the financial interest on the part of a Faculty Mentor/Thesis/Dissertation Advisor relating to a project on which the student is [may be] working raises a conflict of interest issue that may have the potential to harm the academic interests of the graduate student.

A financial interest in an outside entity is not inherently harmful; however, when a financial conflict of interest becomes apparent, the academic unit should immediately conduct informal inquiries into the nature of the interest and the potential to harm the academic interests of the student. In the event the financial interest is found to create a conflict of interest that is potentially harmful to the academic interests of the student, the policy and procedures described in the policy statement on the website noted above must be considered in conjunction with the Academic Senate - Merced Division Regulations governing graduate student committee.

Potential Areas of Impact on the Academic Interests of the Graduate Student A conflict of interest situation could potentially impact the student's academic interests in several areas. These would include, but are not limited to, actions related to improved or diminished career development opportunities, free exchange of information among students and faculty, and delays in the publication of a thesis or dissertation. It could also have the potential to impact on a student's financial interests.

Scenarios for Potential Conflict of Interest Situations Conflict of interest issues are not necessarily tied to sponsored projects -- i.e., funded projects -- nor are they necessarily related to late-stage research or commercial products. A potentially harmful conflict of interest could arise from a faculty member having a financial interest in a project on which his or her student is working, whether the project is sponsored or unsponsored. The project in question could be a textbook, software, scientific or engineering innovation, or basic/applied research that would harm/benefit the company's interest. The key issue is whether that outside financial interest may have the potential to influence the Faculty Mentor/Thesis/Dissertation Advisor to make a decision that could harm the academic interests of the student. Three sample scenarios for identifying financial interests that may have such conflict of interest potential are described below.

- A faculty member has a personal consulting agreement with a private company that provides research support for a project through the university. The faculty member is advising a student who is also working on that project. The student wishes to publish her dissertation in a related area, but the outside entity requires the student to withhold publication and delay graduation until the research is complete.
- A faculty member owns stock in an outside entity that may or may not be supporting research on which the faculty is working, but which stands to benefit from that research. The faculty member directs the student, who is also working on this research, to delay publication of his/her dissertation, and graduation, until the faculty member can complete his research.
- A faculty member establishes a company that stands to benefit financially from a research or other project. The company is also supporting the Faculty member's research in this area at the university laboratory. The faculty member pressures a student to work on the research project of interest to his/her company.

What is the optimum time to report a conflict of interest? A conflict of interest issue may be raised at any time. It is the responsibility of the faculty member, however, to notify the departmental representative and the student of personal financial interests that could lead to a conflict of interest at the time that the student is considering a thesis or dissertation topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first.

Who can identify and report a conflict of interest? The graduate student, the Faculty Mentor/Thesis/Dissertation Advisor, a Departmental Representative (either the Faculty Graduate Advisor or Departmental Chair), or the campus Conflict of Interest Oversight Committee (COIOC) can initiate the procedures to deal with the perceived conflict of interest.

Please indicate below whether a conflict of interest has been identified, and then sign and date the form as indicated.

A financial conflict of interest that may be harmful to the academic interests of the student has has not been identified. If a conflict has been identified and deemed potentially harmful to the student (1) I/we have followed procedures to appoint an Oversight Member to the committee and (2) I/we understand that the final exam cannot be given until an Oversight Member has been appointed.

Graduate Advisor/Date

Graduate Group Chair/Date

Graduate Student/Date