



GRADUATE STUDENT MANUAL

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Who's Who in the Materials Department

FACULTY

Professor	Joint Appt.	Area
* Tresa M. Pollock (Chair, ICMR Director)	—	Structural
* Michael L. Chabinyk (Associate Chair)	—	Macro/Biomolecular
* Guillermo C. Bazan (CPOS Director)	Chem	Macro/Biomolecular
Matthew R. Begley	ME	Structural
John Bowers (IEE/CEEM Director)	ECE	Electronic
Larry A. Coldren (OTC Director)	ECE	Electronic
* Steven P. DenBaars (SSLEC Co-director)	ECE	Electronic
* Craig Hawker (CNSI/DMI/MRL Director)	Chem	Macro/Biomolecular
Alan J. Heeger	Phys	Macro/Bio/Electronic
Jacob N. Israelachvili	ChE	Macro/Biomolecular
* Edward J. Kramer	ChE	Macro/Bio/Structural
* Carlos G. Levi (Dept. Graduate Advisor)	ME	Structural/Inorganic
* Robert M. McMeeking	ME	Structural
* Shuji Nakamura (SSLEC Co-director)	ECE	Electronic
Chris Palmstrøm	ECE	Electronic
Philip A. Pincus (BMSE Director)	Phys/BMSE	Macro/Biomolecular
* Cyrus R. Safinya	Phys/BMSE	Macro/Biomolecular
* Omar Saleh	BMSE	Macro/Biomolecular
* Ram Seshadri (MRL Co-Director)	Chem	Inorganic
Hyongsok (Tom) Soh (CSCBE Co-director)	ME/ChemE	Macro/Biomolecular
Rachel A. Segalman	Chem E	Macro/Biomolecular
* James S. Speck (ICWBS Director)	—	Electronic/Inorganic
* Susanne Stemmer	—	Inorganic/Electronic
Galen D. Stucky	Chem	Inorganic/Electronic
* Chris Van de Walle	—	Electronic
* Anton Van der Ven	—	Structural/Inorganic
Claude Weisbuch	—	Electronic
* Stephen D. Wilson	—	Inorganic
* Frank W. Zok (COEC Director)	—	Structural

* *Majority appointment in Materials*

Please see Departmental Website (www.materials.ucsb.edu) for Emeriti and Affiliated Faculty.

TECHNICAL STAFF

Rachel Behrens	Polymer Lab Manager
Brian Carralejo	Metal Organic Chemical Vapor Deposition Laboratory
Mark Cornish	Microscopy (SEM)/ Specimen Preparation
Mike Edwards	Computer Consultant
John English	Molecular Beam Epitaxy (MBE) Laboratory
Jerry Hu	Spectroscopy Lab Manager
Michael Iza	Metal Organic Chemical Vapor Deposition Laboratory
Budd Jamieson	Computer Consultant
Stephan Krämer	FIB, TEM and Microscopy
Youli Li	X-ray Lab Manager
Tom Mates	SIMS, XPS and Atom Probe
Peter Maxwell	Composites and Nanoindentation Labs
Deryck Stave	Structural Materials Processing Laboratory/ Ceramics Processing Lab/Sample Preparation
Amanda Strom	TEMPO Lab Manager
David Whitlatch	MOCVD

ADMINISTRATIVE STAFF

Dawn McTague	Management Services Officer
Mary E. Cummings	Associate Manager Contracts & Grants/ Payroll Personnel
Travis Dadigian	
Gabrielle Dunne	Assistant to Professors Kramer, Levi, Pollock, Van der Ven and Zok
Jocelyn Guzman	Acting Graduate Program Coordinator (GPC)*
Amanda Hart	Purchasing Coordinator
Tawny Hernandez	Financial Analyst
Aldir Lopez	Assistant to Professors Denbaars, Nakamura, Speck, Van de Walle and Weisbuch
Joanne McNie	Assistant to Professors Chabinye, Pincus, Safinya, Saleh, Stemmer and Seshadri
Tara Owens	Financial Manager, SSLEC
Yasmin Sharawy	Receptionist/Academic Personnel Coordinator
Yukina Warner	Corporate Programs Manager, SSLEC

* Please note the Graduate Program Coordinator is referred to in the Graduate Division literature as the Graduate Program Assistant.

Introduction

THE UC SYSTEM

The University of California was chartered as a land-grant college in 1868. Ten UC campuses are now situated throughout the state, in Berkeley, Davis, Irvine, Los Angeles, Merced, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz. Together, the campuses have over 190,000 faculty and staff members and a current enrollment of about 233,000 students. About one-fourth of UC students are studying at the graduate and professional level. The University also operates a variety of laboratories, agricultural field stations, extension offices, and other facilities. The University is the primary state-supported academic agency for research, and the pre-eminent system of public higher education in the country.

The ten UC campuses are governed by the Regents of the University of California, a corporate board of 26 members. The Regents in turn, delegate authority to the President, the Chancellor of each campus, and to the Academic Senate, which represents the faculty.

THE UCSB CAMPUS

The UCSB campus was established in 1944 and moved to its present location on the site of a former marine base in 1953. The 989 acre grounds include the main campus, the San Clemente, Santa Ynez and Storke apartments and the West campus. The student community of Isla Vista is surrounded by the UCSB campus and the Pacific Ocean.

Within its beautiful setting, the University of California, Santa Barbara is a major research institution offering undergraduate and graduate education in the arts, humanities, the social sciences, and science and technology. Large enough to have excellent facilities for study, research, and other creative activities, the campus is also small enough to foster close relationships among faculty and students. The total student population is about 21,700 of whom 3,000 are at the graduate level. The UCSB faculty numbers over 1,000 and includes five Nobel laureates, recipients of the National Medal of Science, members of the National Academy of Sciences, the National Academy of Engineering, the American Academy of Arts and Sciences, Fellows of the Royal Society of London and the Royal Academy of Engineering, numerous Guggenheim fellows, Fulbright scholars, and fellows of the National Endowments for the Arts and for the Humanities.

The UCSB campus has 6 academic units: the College of Creative Studies, the College of Engineering, the College of Letters and Sciences, the Gevirtz Graduate School of Education, the Donald Bren School of Environmental Science & Management and the Graduate Division.

THE COLLEGE OF ENGINEERING

The College of Engineering is the second largest undergraduate college at UCSB, including approximately 1350 undergraduate students and 750 graduate students. In recent years, the College has become one of the most dynamic engineering schools in the nation. It currently has a full-time, permanent faculty of 145 and consists of five degree-granting departments:

- Chemical Engineering
- Computer Science
- Electrical and Computer Engineering
- Materials (Graduate Only)
- Mechanical Engineering

Graduate students may also benefit from participating in the following multidisciplinary educational programs:

- Biomolecular Science and Engineering (BMSE)
- Computer Engineering Program (CE)
- Media Arts and Technology (MATP)
- Technology Management Program (TMP)

The College of Engineering is home to major funded Research Centers and Institutes, focused on Materials, some international in scope, including:

- California NanoSystems Institute (CNSI)
- Center for Multifunctional Materials and Structures (CMMS)
- Center for Polymers and Organic Solids (CPOS)
- Dow Materials Institute (DMI)
- Institute for Collaborative Biotechnologies (ICB)
- Institute for Energy Efficiency (IEE)
- Institute for Multiscale Materials Science (IMMS)
- Interdisciplinary Center for Wide Band-Gap Semiconductors
- International Center for Materials Research (ICMR) – an NSF-funded IMI
- Materials Research Laboratory (MRL) [—](#) an NSF-funded MRSEC
- Mitsubishi Chemical Center for Advanced Materials (MCCAM)
- Nanotech - UCSB Node of the National Nanofabrication Infrastructure Network (NNIN)
- Optoelectronics Technology Center (OTC)
- Solid State Lighting and Energy Center (SSLEC)
- SRC Nonclassical CMOS Research Center
- UCSB Nanofabrication Research Center

THE MATERIALS DEPARTMENT

The Materials Department at UCSB was established as a Graduate Program in 1985, and as an independent department in early 1987, building on existing research programs in the College of Engineering as well as the Physics and Chemistry Departments. The Department was conceptualized and built under two basic guidelines:

- to educate graduate students in advanced materials and
- to introduce them to novel ways of doing research in a collaborative, multidisciplinary environment.

For the purposes of the academic program the Department is organized into four distinct but interconnected areas specializing in Electronic/Photonic materials, Macro-/Biomolecular materials, Structural materials and Inorganic materials. Faculty, postdoctoral researchers, and students in the various specialties collaborate within and across these areas. Currently, the Materials Department has approximately 160 graduate students and 29 faculty members, many of who have joint appointments with other departments (page 4). In addition, approximately 40 postdoctoral associates and visiting researchers are affiliated with the department in any given year.

Graduate Program Information

PROGRAM OF STUDY

The Materials Department offers programs leading to the Ph.D. degree with specializations in the following major areas: Electronic/Photonic Materials (compound semiconductors, electronic oxides, quantum structures and optoelectronic materials); Inorganic Materials (ferroelectrics, thermoelectrics, battery/energy storage, optical, magnetic and strongly correlated materials); Macro/Biomolecular Materials (self-assembling polymers, biopolymers, biomembranes, and organic photovoltaics); and Structural Materials (materials for advanced energy and transportation systems, lightweight and threat protection structures, mechanics of functional and biological systems).

The curriculum in each area has the flexibility needed to provide multidisciplinary educational opportunities in the field of advanced materials, encompassing topics such as optoelectronic devices, semiconductor oxides, biomolecular systems and high temperature composites. Materials synthesis, processing and characterization feature prominently with courses in the processing of semiconductor materials, polymers and organic materials, alloys, ceramics, composites, as well as advanced topics in electron microscopy, spectroscopy and structural tomography. Programs of study and research are individually tailored to accommodate research needs and student interest. Multidisciplinary education is strongly encouraged by means of joint faculty supervision of research and by the selection of courses. Students are also encouraged to cross over traditional boundaries into other departments on campus (for example, Electrical and Computer Engineering, Mechanical Engineering, Chemical Engineering, Biological Sciences, Chemistry and Biochemistry, and Physics) through collaboration and taking courses in those departments as appropriate. There is no foreign language requirement but all students are encouraged to explore opportunities for international research experiences at one of our collaborating institutions.

The Materials Department does not require completion of an M.S. degree before advancing to the Ph.D. Students interested in terminating their studies at the M.S. level should read the corresponding section of this manual below.

ADVISING AND ACADEMIC AFFAIRS

Decisions regarding the M.S./Ph.D. program and graduate student affairs reside with the Academic Affairs Committee. This committee consists of four faculty members, including the Departmental Graduate Advisor and the Department Chair. The committee is responsible for approving examination and dissertation committees upon consultation with the student and research advisors. The committee is also responsible for reviewing all petitions regarding examinations and credit for courses taken elsewhere. It is also the focus for discussions and recommendations concerning improvements in the graduate curriculum and examination procedures.

Each student must select a research advisor **within the first quarter of enrollment**, preferably earlier, based on mutual research interests and availability of research assistantships. Joint research advising by two faculty members is strongly encouraged to ensure that research programs have a strong multidisciplinary character.

UCSB'S GRADUATE HANDBOOK

Because the Materials Graduate Program is designed primarily for doctoral students, this document focuses on the specific degree requirements for the Ph.D. degree. A brief description of the M.S. Program is given below for students interested in terminating at this level. (There is a separate manual for students in the BS/MS track, which is only available to UCSB undergraduates in the Electrical, Chemical and Mechanical Engineering BS programs, as well as to BS/BA students in Chemistry/Biochemistry.) Additional relevant information can be found in the UCSB Graduate Policies and Procedures Handbook, available online at www.graddiv.ucsb.edu/handbook/.

MASTER'S PROGRAM

Completion of an M.S. degree on the way to the Ph.D. is neither required nor encouraged, unless there are special circumstances like a change in research topic. Students who elect this path must follow Plan 1 (below) achieve a 3.5 grade-point average in their coursework and pass the preliminary examination as described on the "Ph.D. Program" section below. Students wishing to terminate their studies with a Master's Degree may choose from the two Plans of Study below. All students in the BS/MS program must follow Plan 2 for the M.S. degree.

Plan 1.

Students in this plan are required to (1) complete 42 units including 27 units of formal coursework, of which a minimum of 21 units must be approved 200 level courses (200-289), at most 6 units of approved advanced undergraduate courses not used already for credit toward a previous degree, 3 units of seminars (Matrl 290) and 12 units of thesis research (Matrl 598), and (2) submit an acceptable thesis based on original research. There is no oral defense of the M.S. thesis, but the thesis must be approved by a committee of three faculty members, including the student's advisor. At least one committee member must have a majority appointment in Materials, and one must have a non-zero appointment in Materials.

Plan 2.

Students in this plan are required to (1) complete 42 units of coursework including a minimum of 27 units from approved 200 level courses (200-289), at most 6 units of approved advanced undergraduate courses not used already for credit toward a previous or concurrent¹ degree, no fewer than 3 and no more than 6 units of independent studies or research (Matrl 596), and 3 units of seminars (Matrl 290), and (2) submit an acceptable engineering report based on the independent studies. The report must be approved by a committee of two faculty members, including the student's advisor. At least one member of the committee must have a majority appointment in Materials.

Appropriate course tracks for use in planning a program of study are presented in a subsequent section. Further details are also available from the Materials Graduate Affairs Office.

¹ Students in the BS/MS programs cannot use any courses toward both the BS and the MS degree.

PH.D. PROGRAM

Students are expected to complete the Ph.D. program within five years after entry at the Bachelor's level and within four years after entry at the Master's level.

Students admitted with a Bachelor's degree are required to complete a minimum of 72 units of academic work structured in the following manner: 42 units of 200-level courses (excluding seminars and independent study), 15 units of seminars (Matrl 290) and/or independent studies, and 15 units of dissertation research (Matrl 599). Up to 8 units of upper division undergraduate courses may be taken for credit toward the 200 level course requirements with prior approval of the student's advisor. Students entering with a M.S. degree may petition to waive certain unit requirements for the Ph.D. (up to 15 units of 200-level courses and a possible six units of seminars) deemed to have been fulfilled by Master's studies elsewhere. However, students are required to enroll in one (and only one) unit of seminar (Matrl 290) for every quarter of residence they spend at UCSB, even if they have exceeded the unit requirement.

All Ph.D. students are required to complete the following series of core courses in the appropriate sequence:

Matrl 200A – Thermodynamic Foundation of Materials

Matrl 200B – Electronic & Atomic Structure of Materials (Prerequisite: Matrl 200A)

Matrl 200C – Structure Evolution (Prerequisite: Matrl 200A)

In preparation for more advanced and specialized courses within their area of specialization, students are strongly encouraged to complete this core course sequence during their first year of study. (These courses may not be waived). A minimum grade of B in each of these courses is required prior to taking the Qualifying Examination (described below).

Incoming students are expected to design a proposed program of study suitable to their interests and research field with the assistance of their advisor and submit it for approval to the Academic Affairs Committee *within the first two quarters of residence*. The study plan must be endorsed by the student's faculty advisor and approved by the department graduate advisor, although it may be modified during the course of the student's program. (Modifications may be subject to approval by the Academic Affairs Committee. The student should consult the Graduate Program Coordinator in the Materials Department Office for questions in that regard.) *Important: When taking cross-listed courses students must include the Materials course number in the study plan and enroll under the MATRL course number.*

In developing an appropriate interdisciplinary course of study, Ph.D. students are expected to take both the available courses in their major area of interest as well as courses designed to broaden their knowledge of other materials. Most courses will be selected from the main sequence of courses (offered every year) from one of the four principal areas of emphasis in the Department. Students should also capitalize on the opportunity to take any general or more specialized courses offered on a less frequent basis. Students should consult the appropriate Course track for their major from the following pages in planning a program of study.

ELECTRONIC/PHOTONIC MATERIALS COURSE TRACK

Please note course offerings may change from year to year.

Course Number	Course Title	Units
Main Sequence Courses:		
206A-B	Fundamentals of Electronic Solids I, II	4
211A	Engineering Quantum Mechanics	4
215A-B-C	Semiconductor Device Processing (215A is <i>required for authorization to work independently in clean room.</i>)	4
General Courses:		
209A	Crystallography and Diffraction Fundamentals	3
209B	X-Ray Diffraction	3
209C	Electron Microscopy	3
219	Phase Transformations	3
228	Computational Materials	3
279	First-Principles Calculations for Materials	3
281	Technical Communication and Presentation Design	3
Specialized Courses:		
204	Introduction to Magnetism and Magnetic Materials	3
205	Wide-Band Gap Materials	3
211B	Engineering Quantum Mechanics II	4
216	Defects in Semiconductors	3
217	Molecular Beam Epitaxy & Band Gap Engineering	3
224	Optical and Luminescent Materials	3
226	Electrical and Functional Crystals and Ceramics	3
227	Metal Organic Chemical Vapor Deposition	3
263	Thin Films and Multilayers	3
288AA-ZZ	Special Topics in Electronic Materials	3
Background Courses:		
162A	Quantum Description of Electronic Materials	4
162B	Fundamentals of Solid State	4
ECE 162C	Optoelectrical Materials and Devices	4

INORGANIC MATERIALS COURSE TRACK

Please note course offerings may change from year to year.

Course Number	Course Title	Units
Main Sequence Courses:		
209A	Crystallography and Diffraction Fundamentals	3
218	Introduction to Inorganic Materials	3
274	Solid State Inorganic Materials	3
General Courses:		
209B	X-Ray Diffraction	3
209C	Electron Microscopy	3
219	Phase Transformations	3
222A	Colloids & Interfaces	3
228	Computational Materials	3
264	Hydrogen in Materials	3
265	Nanophase and Nanoparticulate Materials	3
281	Technical Communication and Presentation Design	3
Specialized Courses:		
204	Introduction to Magnetism and Magnetic Materials	3
ChE 216A	Intro. To Magnetic Resonance Spectroscopy Tech.	3
224	Optical and Luminescent Materials	3
226	Electrical and Functional Crystals and Ceramics	3
251A	Processing of Inorganic Materials	3
286AA-ZZ	Special Topics in Inorganic Materials	3
Background Courses:		
Chem 175	Physical Inorganic Chemistry	3

MACROMOLECULAR/BIOMOLECULAR MATERIALS COURSE TRACK

Please note course offerings may change from year to year.

Course Number	Course Title	Units
Main Sequence Courses:		
271A	Synthesis of Macromolecules	3
271B	Structure and Characterization of Complex Fluids	3
271C	Properties of Macromolecules	3
General Courses:		
214	Advanced Topics in Equilibrium Statistical Mechanics	3
222A	Colloids and Interfaces	3
228	Computational Materials	3
253	Liquid Crystal Materials	4
273	Experimental Techniques in Macromolecular Materials	3
281	Technical Communication and Presentation Design	3
Specialized Courses:		
253	Liquid Crystal Materials	4
272	Mechanical Force and Biomolecules	3
276A	Biomolecular Materials I: Structure & Function	3
276B	Biomolecular Materials II: Applications	3
277	Synthesis of Biomolecular Materials	3
278	Interactions in Biomolecular Complexes	3
280A	Synthesis and Electronic Structures of Conjugated Polymers	3
280B	Organic Electronic Devices	3
280C	Fabrication and Measurement of Devices with Soft Matter	3
284	Synthetic Chemistry of Macromolecules	3
287AA-ZZ	Special Topics in Macromolecular Materials	3
Background Courses:		
ChE 102	Biomaterials and Biosurfaces	3
135	Biophysics and Biomolecular Materials	3
160	Introduction to Polymer Science	3
ChE 225	Principles of Bioengineering	3

STRUCTURAL MATERIALS COURSE TRACK

Please note course offerings may change from year to year.

Course Number	Course Title	Units
Main Sequence Courses:		
207	Mechanics of Materials	3
220	Mechanical Behavior of Materials	3
234	Fracture Mechanics	3
General Courses:		
209A	Crystallography and Diffraction Fundamentals	3
209B	X-Ray Diffraction	3
209C	Electron Microscopy	3
219	Phase Transformations	3
228	Computational Materials	3
281	Technical Communication and Presentation Design	3
Specialized Courses:		
230	Elasticity and Plasticity	3
240	Finite Element Structural Analysis	3
251A	Processing of Inorganic Materials	3
261	Composite Materials	3
263	Thin Films and Multilayers	3
289AA-ZZ	Special Topics in Structural Materials	3

Registration Information

Registration is completed on the web via the GOLD system. Complete instructions on this process can be found in the Schedule of Classes, which is available online at www.registrar.ucsb.edu. The Office of the Registrar will assess a *\$50 late registration fee* to students who register after the deadline. (*This fee will not be covered by the department.*) In addition to required or elective courses needed for their program of study, students must register for one unit of Matrl 290 (under their academic advisor's code) every academic quarter in residency in order to receive credit for attending group meetings and seminars. Students must check with their academic advisor the appropriate requirements for earning the credit in Matrl 290 – see additional information under Special Preparation for Teaching.) Students must also enroll in at least one unit of either Matrl 598 or Matrl 599 every academic quarter after having selected an advisor and having begun research. The number of units in Matrl 598 or Matrl 599 should be selected to bring the quarter total to at least 12 units. Students should register for Matrl 598 until they have advanced to candidacy (by passing the qualifying examination), after which they register for Matrl 599. Also, while serving as teaching assistants, students must register for Matrl 501 under the instructor in charge of the class (see below).

Foreign Language and Minors

There are no formal requirements regarding either foreign languages or minors. However, Ph.D. students are encouraged to incorporate courses from outside their area of specialization into their curriculum in order to broaden their knowledge of the materials field. They are also encouraged to take advantage of courses offered under specialized emphases, as appropriate to their major (e.g. Bioengineering), or certificate programs such as the Technology Management Program. Note, however, that courses used toward an emphasis or a certificate may not be counted toward the course requirements for the Materials Ph.D. or M.Sc. Students having a particular interest in strengthening their background in foreign languages may pursue the necessary coursework to fulfill that interest, but these units may not be used to satisfy the course requirements for the Ph.D. It is strongly recommended you consult the Graduate Program Coordinator (GPC) before you take courses not included in your study plan to ascertain whether they would count toward your unit requirements, and file an amended study plan as appropriate.

Special Preparation for Teaching

All Ph.D. students are required to act as Teaching Assistants for *at least one quarter* while in residence at UCSB (usually during the first year), in either Materials courses or within departments providing courses consistent with the student's undergraduate background. To receive credit for the required teaching, students *must register for Matrl 501* under the instructor in charge of the class *while serving as Teaching Assistants*. (2 units for 25%TA, 4 units for 50%TA. These units would not be counted towards the 72 units of academic work required for graduation). Teaching Assistants supervise labs, conduct recitation, tutor undergraduate students and give seminars. Because this is a requirement of the program, students' stipends will remain *unchanged* while serving as Teaching Assistants.

Students are also required to present research seminars, thereby ensuring that experience be gained in organizing and presenting lectures. Seminars are required at the group level (about one per quarter), the program level (one per year) and at conferences. Such activities enable students to improve the skills necessary for the subsequent pursuit of teaching opportunities.

MONITORING STUDENT PROGRESS THROUGH THE PHD PROGRAM

The Materials Department has the following system of annual assessments to monitor the student's progress through the Ph.D. program.

Start of Year 2	Preliminary Examination
Start of Year 3	Qualifying Examination (Advancement to Candidacy)
Start of Years 4, 5, ...	Annual Progress Assessments
End of Program	Dissertation defense

With the exception of the Dissertation defense, all assessments are to be performed by a faculty committee within ± 2 months of each anniversary of the student's entrance into the Department (typically between August and November of each year). All assessments are to include a written document (described below for each case), an oral presentation and a period of questions and discussion, after which the committee will render its assessment of the student's progress and make recommendations for future actions. Students must deliver a copy of their written document to the Graduate Program Coordinator (GPC) for the departmental records at the same time the document is delivered to the committee, and consult with the GPC regarding the filing of any necessary paperwork for each stage.

The general guidelines for all written documents prepared by the students for the assessments are 12 pt font, 1" margins on all sides, 1.5 lines spacing. A cover page is required, including the title, type of assessment, name of student, names of the committee, date, time and place of the exam and an abstract. The text should comprise 10 pages maximum, not counting the cover. *References and figures are to be placed after the text* and are not included in the number of pages of text specified for the corresponding document. (For theses and dissertations the students must follow the guidelines specified by the Graduate Division.)

Preliminary Examination

The Preliminary Examination is administered 10-14 months after the student's entrance into the program. *Students who do not meet this deadline may be placed on academic probation and may become ineligible for financial support.* Students entering with a M.Sc. may petition to take the examination earlier if they feel prepared for it.

The examination committee consists of three faculty members from the student's major field, including the student's advisor. At least two of the members must be ladder faculty with a non-zero percent appointment in Materials, and *preferably* at least one should be a majority appointment. One member of the committee, other than the advisor, will serve as Chair of the Preliminary Examination committee. The committee members are selected by the student in consultation with his/her advisor and are subject to approval by the Academic Affairs Committee. The names of the committee members should be submitted to the Departmental office at least 3 months prior to the examination. If the committee changes because of scheduling conflicts the student must notify the Graduate Program Coordinator immediately and ensure the new committee is approved before the examination.

Students with a GPA of 3.5 or better in the graduate program at UCSB are automatically eligible to take the examination. Students with a GPA above 3.2 may petition for a waiver of the 3.5 GPA requirement. The petition must be filed with the Graduate Program Coordinator and is evaluated by the Departmental Graduate Advisor (and the Academic Affairs committee if the

circumstances require it) in consultation with the student's advisor. Each student may have two opportunities to pass the Preliminary Examination. Students who fail the examination in the first opportunity must take it again within a 2-4 month period from the first exam. Students with a GPA less than 3.2 at the end of their first year are ineligible to take the Preliminary Examination unless they can increase their GPA to 3.2 within the next academic quarter, at which point they may petition the Department for an opportunity to take the exam, with prior consent of their academic/research advisor.

The Preliminary examination is intended to assess whether the student has the fundamental knowledge, intellectual maturity and degree of understanding of his/her major field and prospective research topic to be able to write a dissertation proposal successfully over the course of the following year. At least 3 months prior to the examination date the student's advisor will assign the student a specific topic relevant to his/her intended research project. The student will research the literature on the assigned topic, identify key outstanding issues and/or research opportunities, propose ideas on how to address these issues and/or exploit the opportunities, and outline a tentative research plan. The student is expected to prepare a short document (*10 pages of text maximum*, plus a minimum number of figures and suitable references after the text) summarizing his/her findings and ideas. The document must be submitted to the committee and the Departmental Graduate Office *at least one week before the examination date*.

On the day of the examination the Graduate Program Coordinator will bring the documentation for the exam to the examination room and ascertain the committee is properly constituted. Afterward the examination will proceed. The student will present a 30-40 min seminar outlining his/her findings, ideas and prospective research plan. After the presentation, the committee will probe the student's understanding of the subject, his/her knowledge of the fundamentals of materials science relevant to the problem, and his/her ability to think soundly and creatively. It is also expected that by this point in time the student should have had some initial research experiences and be able to relate those to the literature he/she has researched. However, the preliminary examination is not intended to focus on the student's preliminary research. After the examination the committee may render one of the following decisions, with recommendations for future action or corrective measures as appropriate:

- (i) Advance to the Qualifying Examination without reservations.
- (ii) Advance to the Qualifying Examination with a warning of deficiencies in the student's background or understanding that need to be corrected (e.g. by taking additional courses, independent reading, etc.) by the time of the Qualifying Examination.
- (iii) Requirement that the student takes the Preliminary Examination again before he/she is allowed to advance to the Qualifying Examination. This second exam must take place within a 2-4 month period following the first one. Failure to advance after the second exam requires the student to leave the program, with the option of completing an MS degree.
- (iv) Recommendation that the student finishes at the MS level, with an allowance of one year to finish the requirements for that degree.

Qualifying Examination (Advancement to Candidacy)

The Qualifying Examination is administered 22-26 months after the student's entrance into the program. *Students who do not meet this deadline may be placed on academic probation and may become ineligible for financial support.*

The examination committee consists of at least four faculty: three having more than a 0% appointment in the Materials Department (at least one of them preferably with a majority appointment in Materials) and one with no more than a 0% appointment in the Materials Department. One member of the committee, other than the advisor, will serve as Chair of the Qualifying Examination committee. Members of the examination committee are nominated by the student and research advisor at least 3 months prior to the examination and must be approved by the Academic Affairs Committee. The examination committee typically becomes the dissertation committee.

Pre-requisites for the Qualifying Examination include: (i) successful completion of the Preliminary Examination; (ii) completion of the Materials Department core courses (200A, B, C) with a minimum of B in each one of them; and (iii) a minimum 3.5 GPA in the graduate program at UCSB. Students with a GPA above 3.2 may petition the Academic Affairs Committee for a waiver of the 3.5 GPA requirement. Students with a GPA below 3.2 are not eligible to advance to candidacy.

The purpose of the qualifying examination is to assess whether the individual has acquired the requisite understanding of his intended research topic and critical thinking ability to elaborate and execute a sound research plan for his/her dissertation. Some preliminary research is required to elaborate the dissertation proposal, but the exam is not intended to evaluate a project that is well past the planning point.

The examinee must submit a formal dissertation proposal (maximum 10 pages of text plus a sensible number of figures and a substantial list of references both placed after the text) that summarizes the intended research problem, the research approach, results to date, and future directions. This proposal should be submitted to the examination committee and the Department *at least two weeks before the examination.* (Failure to deliver the thesis proposal to the committee on time may result in postponement of the examination.)

On the day of the examination the Graduate Program Coordinator will bring the documentation for the exam to the examination room and ascertain the committee is properly constituted. Afterward the examination will proceed. The format of the examination includes a 40-45 min presentation of the dissertation proposal by the student, during which time only questions of clarification will be allowed. The presentation will be followed by questions from the committee for a period of approximately 60 min. A decision will be rendered by the committee at the end of the examination, with one of the following recommendations:

- i) Advance to Candidacy without reservations.
- ii) Advance to Candidacy with reservations, which should be re-evaluated in the subsequent annual assessment.
- iii) Requirement that the student takes the examination again before he/she is allowed to advance to Candidacy. This second exam must take place within a 6 month period following the first one. Failure to advance to candidacy after the second exam requires the student to leave the program, with the option of completing an MS degree.

Annual Progress Assessments

After advancement to candidacy, each student is required to report his/her progress to the dissertation committee at least once a year on a formal basis (*i.e.* 36±2, 48±2 and, if needed, 60±2 months after the student's entrance into the program). *Students who do not meet this deadline may be placed on academic probation and may become ineligible for financial support.*

The student is expected to prepare a short written progress report for the committee, deliver it to the members and meet with them for an oral presentation of the progress report and discussion of his/her progress, research findings and ideas for the remaining work. (Alternatively, the student may provide a draft of a paper submitted for publication in lieu of the document, as example of his/her progress, with a brief summary of accomplishments during the previous year.) The committee will assess the progress and provide advice to the student on problems that may hinder the completion of the dissertation on a timely basis. If the student is not progressing satisfactorily toward completing his/her degree, the committee may recommend that the student be put on probation (e.g. by giving incomplete or unsatisfactory grades in the thesis units) and, if the problem is not corrected, recommend that the student finishes with an MS degree after completing the appropriate requirements.

Dissertation Defense

The purpose of the dissertation defense is to ascertain that the student has completed a coherent, original body of research on his/her chosen topic that represents a significant contribution to the literature, and is able to defend the results and conclusions in front of a knowledgeable public. The student should notify the Graduate Program Coordinator of the impending defense two months in advance of the proposed date so the GPC can assist with the preparation of the UCSB Graduate Division documentation for the defense. (Students must not do this independently. Please remember that the instructions for filing require the student to ensure that he/she *has fulfilled all departmental degree requirements*. You must ascertain this by *meeting with the GPC before you schedule your defense*.) The student must provide copies of the dissertation draft to the dissertation committee (as constituted for the Qualifying Examination) and the Department via the GPC. The dissertation draft should be submitted *four weeks prior to the intended date of the dissertation defense* to allow sufficient time for the examination committee to read it and comment on it. (Failure to deliver the dissertation draft to the committee or the Department on time may result in postponement of the defense. The draft may be submitted as a single electronic file but individual committee members may require the student to submit a paper copy). At the time the dissertation draft is delivered to the department the student must also submit the title and abstract of the dissertation, as well as the date and place of the defense, which must be advertised officially by the Department to ensure opportunity for attendance by interested people.

The committee must ascertain the suitability of the draft and provide comments and recommendations for amendments to the dissertation. In cases where concerns are identified the committee may request the candidate to address these issues and submit a revised draft of the dissertation prior to the date of the defense or before the final version of the dissertation is approved for filing. Once the dissertation draft is deemed suitable by the committee permission is granted for the candidate to present a formal defense of the dissertation, which should be done in a public seminar.

The seminar must be attended by the entire dissertation committee, which will be chaired by the student's advisor. Arrangements for electronic participation of a committee member absent from campus because of travel are allowed, but the department must be notified in advance of such arrangements. Any attendee at the defense can question the candidate. However, the committee chair has the authority to terminate inappropriate questioning. After public discussion is concluded, the audience will be asked to leave the room and the committee will continue the examination of the candidate in private. After the examination, the committee will deliberate and render a decision on whether the candidate has earned the Ph.D. degree. As noted earlier, the committee may require amendments to the dissertation before signing the approval page.

Once the candidate has passed his/her dissertation defense and made the amendments requested by the committee, the last requirement is to file the dissertation with the Graduate Division. A Guide to Filing Theses and Dissertations is available on the Graduate Division web page (<http://www.graddiv.ucsb.edu/academic/Filing-Your-Thesis-Dissertation-DMA-Document/completing-the-filing-process>). Concurrent with filing the dissertation with the Graduate Division, the student must submit to the Graduate Program Coordinator the same electronic file containing the final version of the dissertation and two paper copies of the signature page with original signatures. The department will print and bind two hard copies of the dissertation. One copy will be kept in the departmental collection for archival purposes, and the other will be returned to the student after binding.

Other Important Procedures

LAB SAFETY POLICY

It is **mandatory** that all new Graduate Students attend the EH&S live lab safety course that is typically scheduled on the Wednesday before instruction begins. If you arrive on campus before attending the live lab safety course, you must take the online lab safety course before entering any UCSB lab and/or office space located in a lab.

The online lab safety course is available at <http://ehs.cnsi.ucsb.edu/Visitors.htm>.

It is also mandated by the Materials Department that you retake the EH&S online lab safety course per year at <http://learningcenter.ucsb.edu/default.aspx>. Individual laboratories require additional safety training procedures that must be completed before the student is allowed access to the lab and use of the equipment. Students should consult with the technical staff person in charge of the lab (or the faculty advisor for individual labs) to ensure they have met all the safety training requirements. Access to laboratories not only requires lab safety training, but also personal lab safety equipment. You will be issued laboratory safety items, e.g. laboratory coats, eye protection, and other items, based on the specific needs for the laboratories for which you have been approved to access.

ELECTRONIC KEY CARD ACCESS

Access cards are required for several Materials/SSLEC office spaces and labs. If it is determined that students will need access to these spaces, an order form can be obtained from the Materials Office Receptionist in EII, Room 1355. Once a student has been issued a card from the UCEN, they will need to return to the reception area to begin the access approval process. Access is

determined individually based on research discipline and office location. Students must meet all the training and safety requirements before they are allowed use of the labs, even if they have been issued a key card.

COMPUTING FACILITIES

Computers are located in all Materials Department student offices. Additionally, students are allowed to bring in personal laptops and workstations for use on Materials networks. To register a computer for network access, fill out the online IP address request form at:

http://www.materials.ucsb.edu/request_ip.php

Please be aware that system and network security is strictly enforced. The departments Computing and Network Security Policy can be found at:

http://www.materials.ucsb.edu/policies/computer_security.php

All students are eligible for College of Engineering email accounts through the Engineering Computing Infrastructure (ECI). To open an account, please follow the link below.

<https://accounts.engr.ucsb.edu/create>

The Department employs a full-time system administrator, Budd Jamieson, and a part-time system administrator, Mike Edwards, to maintain computers and answer any questions about the computing services. For computing and network assistance, please email

mats-help@engineering.ucsb.edu

ON-LINE RESOURCES

The Materials Department Web Site (www.materials.ucsb.edu) is a valuable source of departmental and university information. At the web site, you will find:

- Quarterly schedule of Materials courses
- Listings of Materials personnel (faculty, staff and students) with email addresses
- Links to faculty web pages
- List of available facilities within the department
- List of related research centers and groups (with links to their web pages)
- Electronic lab access via Access Card
- Health and safety information, including the Department Emergency Plan, Lab Safety Manuals, and links to important MSDS information and EH&S sites
- Travel policies and procedures manual

Please note that some facilities and other useful information are available under one of the various materials research centers with which the Department faculty are affiliated, e.g. MRL, CNSI, SSLEC, etc. Check those pages online for specific information on facilities and support available there.

Campus Map



**ACKNOWLEDGMENT OF HAVING READ
GRADUATE STUDENT MANUAL**

(Print this page, sign it after reading the manual and turn it in to the Graduate Program Coordinator)

I, _____ acknowledge that I have carefully read and understood the contents of the Graduate Student Manual for the Materials Department (Edition Fall 2014). I understand my first point of contact for any questions regarding the Graduate Manual or the Materials Graduate Program is the Graduate Program Coordinator* in the Materials Department, who may refer me to the Graduate Advisor** in the Materials Department.

Signature

Date

After having read and signed this page, it must be turned into the Graduate Program Coordinator the Materials Department by the end of the first quarter of your residency.

* The current Graduate Program Coordinator (Acting) is Ms. Jocelyn Guzman. Please note this person is referred to as Graduate Program Assistant in the Graduate Division literature.

** The current Graduate Advisor is Prof. Carlos G. Levi