

## **Graduate Student Guidelines**

### **UCSB Department of Linguistics**

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#### Priority of policy statements

While the UCSB catalog is a general reference on the programs and policies of the department, specific documents distributed after the publication of the catalog (such as these Guidelines and the Advising Forms) constitute the most recent statements of policy and supersede the catalog where the two differ.

Note that Graduate Division policy only specifies a minimum set of requirements for the Ph.D., recognizing that each department will also institute its own requirements. As with all UCSB departments, the Linguistics Department requirements are above and beyond the minimal ones set by the Graduate Division.

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In addition to the description of the Linguistics Ph.D. program in the UCSB catalog and the UCSB Graduate Student's Handbook, the departmental guidelines discussed below may help you in planning your Ph.D. course of study, in understanding what the Department expects of you, and in visualizing your progress in the Ph.D. program.

## **Committees and Guidance**

### **The Graduate Advisor**

The Graduate Advisor, a faculty member nominated by the Department Chair but appointed by the Dean of the Graduate Division, acts on behalf of the Graduate Council and acts as an interface among the Graduate Division, the department, and students. The Graduate Advisor, along with the Committee Chair, is responsible for academic advising on a quarterly basis. The advisor keeps regular office hours and is available for consultation.

### **Advising Committees**

From your entrance into the department until you receive your Ph.D., you must have an Advising Committee. The Advising Committee advises you regarding your coursework, helps you track your progress through the various requirements of the program, and oversees the development and writing of your M.A. thesis and dissertation. The Chair of this committee approves your registration form each quarter. It is important to stay in close touch with your committee during your entire graduate career.

All committees expire at the beginning of each academic year, with the exception of M.A. and Ph.D. Committees officially registered with the Graduate Division. By the end of October each student must complete a new Committee Form which can be obtained from the Graduate Program Assistant. You may decide that you wish to maintain the same committee, or you may choose a new one, based on your evolving interests and plans. Each November the faculty will review the committee membership for each graduate student. Students without committees will be contacted at this time. If a student is on approved leave or conducting research in the field, then the existing committee remains intact until the student returns to campus. At that time it may be necessary to form a new committee, unless the existing committee is registered with the Graduate Division.

It is important to retain some continuity throughout your graduate career, particularly during the later stages. The committee administering your oral comprehensive examination should include at least one faculty member who has been following your career in your primary or secondary areas of interest, working with you in independent study, on the thesis, on the publishable paper, and/or dissertation preparation. Once M.A. Thesis and Ph.D. Dissertation Committees have been established, they should be changed only if circumstances warrant it, and only after extensive consultation with your Chair.

### **Provisional Guidance Committee**

Your first committee, called the Provisional Guidance Committee, consists of two members and is appointed by the faculty on the basis of your interests as stated in your graduate application. By the beginning of your second year, you must form a regular Advising Committee with members of your choosing. This committee may have the same make-up as your Provisional Guidance Committee, or you may select new members.

Post-M.A. students can move from having a Provisional Guidance Committee to a Doctoral Committee at any time during their first year, for example, if they wish to submit a publishable paper for consideration.

### **M.A. Committee**

If you are in the M.A. program, but are not yet ready to write an M.A. thesis, your Advising Committee consists of two faculty members. You should establish an M.A. Thesis Committee as soon as your research area has been determined.

If you are writing an M.A. thesis, your Advising Committee must consist of three faculty members to be registered with the Graduate Division by completion of Master's Form 1, which can be obtained from the Graduate Program Assistant. The Committee Chair must be a member of the Linguistics Department. The other two members are typically Linguistics Department faculty, but the department may approve an outside member by petition if the thesis topic warrants this. The Graduate Division requires that all three members be UC ladder faculty. During the fall quarter following the completion of your M.A. thesis, you must choose a new Advising Committee; this committee may have the same or a different roster of faculty members.

### **Doctoral Committee and ad hoc Publishable Paper Committee**

As soon as feasible after the completion of the MA (or an MA equivalency), you should form a Doctoral Committee, which is officially recognized by the department but not by the Graduate Division. The doctoral committee should consist of at least three members, at least two of which should be faculty in the Linguistics Department. During the stage of the writing of the publishable paper, a student will also constitute an ad hoc Publishable Paper Committee, whose overlap with the Doctoral Committee must depend on the relationship between the publishable paper topic and the dissertation topic. The Publishable Paper Committee consists of three members, at least two of whom must be from the Linguistics Department. In order to facilitate continuity in the student's program, there must be at least one faculty member, typically the chair, serving on both the Publishable Paper Committee and the Doctoral Committee.

If you enter with an M.A. from another institution, you should shift from your Provisional Guidance Committee to a Doctoral Committee as soon as possible during your first year.

### **Dissertation Committee**

When you are ready to choose a topic for your Ph.D. dissertation, you must establish an official Dissertation Committee. If this committee is different from the committee that administered your General Qualifying Exam, then these differences need to be registered with the Graduate Division by completion of Form I-A, which you can obtain from the Graduate Program Assistant. The Dissertation Committee must be approved by the Department Chair, then officially appointed by the Graduate Division Dean.

The chair of the Dissertation Committee should be the person most appropriate for your dissertation area. Department policy discourages co-chairs in general.

The following policies are relevant to the make-up and workings of this committee:

#### *Composition*

Dissertation Committees must have at least four members, all of whom read and approve the prospectus and read and sign the dissertation. At least three of these members must be UC faculty (which includes emeriti), and must be present at the prospectus exam. At least two of the four members must be from within the Department of Linguistics. At least one member must be from outside the Department of Linguistics. The make-up of the committee must be approved by the Dissertation Committee Chair, who must be a member of the Department of Linguistics. A Dissertation Committee of four is recommended; if a student wishes to have a larger committee, s/he may petition the department faculty for approval.

#### *More information relevant to outside members*

Adjunct Faculty (linguists off campus who have been officially invited to be 'adjunct members' of our department, as described in the catalogue), Affiliated Faculty (UCSB faculty outside the Linguistics Department who have been officially invited to be 'affiliated' members of our department), and all other UCSB faculty outside the Department of Linguistics are considered by the UCSB Graduate Division to be eligible only as 'outside' committee members.

An outside member may serve as co-chair under the condition that the committee agrees that (a) special expertise is needed for the student's dissertation from outside the department, and (b) the outside person's role will be substantial enough to warrant the title of Co-chair. This person would count as one 'outside' member.

A general statement regarding department policy concerning the role and responsibilities of outside members is attached as an appendix to these guidelines, and should be provided to any first-time outside member by the student.

## **Progress to Degree**

### **Time to Degree**

We expect that the Ph.D. degree will take approximately 5-6 years to complete; the first two years will be spent completing the Master's program. The Graduate Division has set the time limit for Advancement to Candidacy as four years from the time a student enters the program. Students who fail to make timely progress on their work toward degree are in danger of being placed on academic probation. Students on probation are not eligible for TA-ships and other financial support. More information on academic probation is available from the Graduate Program Assistant and the Graduate Division.

### **Courses and courseload**

#### **Registration**

Near the end of each quarter, you will be given a departmental registration form. You should make an appointment to sit down and discuss the next quarter's schedule with your Committee Chair; the form is then filled out and signed by your Committee Chair, then the Graduate Advisor. These forms are to be returned to the Graduate Program Assistant prior to registration for the next quarter's classes. Any subsequent changes must also be discussed with, and approved by, your Committee Chair and the Graduate Advisor.

The normal courseload is 12 units each quarter. It is important that every fulltime student be registered for at least 12. In addition to regular courses and seminars, you may need or want to take the following:

-Ling. 271 (Research Orientation): All first-year students are required to take Ling. 271 (2 units) during Fall quarter.

-Ling. 272 (Linguistics Colloquium): You may register for Ling. 272 for 2 units if you attend the colloquia, or for 4 units if you present a full-length colloquium. The faculty Colloquium Organizer should be listed as instructor of record. Attendance will be monitored informally.

-Ling. 297: This course is for graduate students who wish to take an undergraduate course for graduate credit (with extra work).

-Ling. 500: You must register for Ling. 500 (4 units) during any quarter in which you are a TA (Teaching Assistant). The instructor for the course for which you are a TA (if the course is taught by a regular faculty member) or the Graduate Advisor (if the course is taught by a graduate student Teaching Associate) should be listed as the Instructor.

-Ling. 505 (Teaching Assistant Seminar): TA Training Seminar (1 unit), usually offered only during Spring quarter.

-Ling. 591 (Research in Linguistics): RA's (Research Assistants) may register for 591 for up to 4 units. Your Committee Chair or the principal investigator on the grant is to be listed as the Instructor for this course.

-Ling. 596 (Directed Readings): The directed readings course represents a serious commitment to independent work and consultation with a faculty member. This course is reserved for advanced research on a specific topic on which you have already done the appropriate foundational work, and for which there is no regular course available. Where possible you should take any regular courses in preparation for this. Normally you may take a maximum of one 596

per quarter.

-Ling. 598: M.A. Thesis preparation.

-Ling. 599: Ph.D. Dissertation preparation.

### **Courses outside the Department**

Graduate courses outside the department may be considered for counting toward your Ph.D. course requirements. Advice should be sought from your committee. The department will then consider a written petition justifying your request. Courses include those offered through the Intercampus Exchange Program for Graduate Students.

### **Department Colloquia**

All students are expected to attend the colloquia regularly, whether or not they are enrolled for Ling. 272. Regular attendance serves to provide exposure to a variety of viewpoints and subjects that may not otherwise be available, as well as to a higher level of academic discourse than is found in most classes. It thus constitutes an important part of the graduate program.

### **Grading and Evaluation**

#### *Grading*

Only courses taken for a letter grade may count toward the degree. Students should avoid asking for Incompletes, and instructors have the right to deny such requests. Students taking incompletes must fill out an Incomplete Petition prior to the time when grades are submitted. In any course undertaken by a graduate student, the "I" (Incomplete) grade will automatically revert to a failing grade unless the work is completed and a grade reported to the Registrar by the end of the subsequent quarter. Students are reminded that if they have 12 or more units of unfinished coursework, they will be placed on academic probation after first receiving an advisory letter. This will render the student ineligible for financial support. In addition, students must remove all unfinished coursework before a graduate degree can be awarded.

#### *Auditing*

Sitting in on courses without being enrolled is discouraged. If you wish to attend a course but do not have time to complete the normal workload, you should enroll for the course on an S/U basis. Students so enrolled will be expected to attend the class regularly and to participate fully in the assigned reading and discussion. Other course expectations should be discussed with the instructor at the beginning of the term.

#### *Faculty Review of Student Progress*

In addition to completing the graduate program requirements in a timely manner, students are expected to demonstrate the ability to do the following independently:

- 1) master the basic literature in the field and evaluate it critically
- 2) formulate research questions
- 3) identify relevant data and analytic methodology for addressing these questions
- 4) understand, synthesize, and apply pertinent literature to these questions
- 5) write clearly.

At the end of each academic year, the faculty holds a meeting during which each graduate student's progress toward these goals is discussed and assessed. Student progress may also be discussed among faculty at other points in the year as well. The purpose of these discussions is to encourage good work, to spot problems, and to evaluate chances of successful completion. At the end of the year, you will receive a letter notifying you of the faculty's assessment of your progress. Students deemed to be experiencing difficulties, and those on probation or making inadequate progress, will receive clear explanations of perceived problems, along with specific recommendations to remedy deficiencies in a specific amount of time. The faculty takes this individual evaluation seriously, as should students.

In addition, the faculty discusses each graduate student's progress in the program at the end of each quarter. If a student has not met the academic targets or deadlines specified in the end-of-year letter, the student's advisor will

meet with him/her to discuss the situation.

### **Academic Probation**

Students may be placed on academic probation if they fail to meet minimum standards of performance in their academic work. Specific grounds for academic probation include (but are not limited to) failure to make timely progress on academic milestones and failure to maintain the minimum required grade point average (GPA). While the Graduate Division sets the minimum GPA at 3.0, the Linguistics Department sets the higher standard of 3.7 to avoid academic probation.

### **Language Requirements**

There are two language requirements in the graduate program, one at the M.A. level and one at the Ph.D. level. You should consult with your committee soon after you begin your graduate program to discuss how you will fulfill these requirements. A student entering with an M.A. may request that a previous language exam count for the UCSB Ph.D. language requirements. The full statement of policy on the Foreign Language Requirement is as follows:

Students must demonstrate knowledge of one research language before receiving an M.A. and the second language before advancing to candidacy. A research language is a foreign language with a substantial relevant literature on general linguistics. At present, French, German, Spanish, Russian, Mandarin, Japanese, and Korean qualify automatically. If a substantial literature exists in a different language, on an area of linguistics pertinent to a student's particular area of research, the student may petition the faculty for permission to use this language to fulfill one of the language requirements. Students who are native speakers of a language other than English may count English as one of their foreign languages. No exam of the student's proficiency in English is necessary.

Knowledge of the language can be demonstrated by one of the following methods of examination within the student's area of interest:

1. English translation of a 500-word passage, chosen by the examiner, to be produced within one and a half hours with the aid of a dictionary and with no more than eight points of erroneous comprehension (2 points for each major error significantly affecting meaning, 1 point for each minor error). The faculty member in charge of exams for a particular language will specify a sample of material comparable to what can be expected on the exam. Translation exams may be taken in May or October, on a date to be set by the examiner.

2. a 4-6-page double-spaced (1000-1500 words) English summary, written over a single weekend, of a substantial linguistic article chosen by the examiner. Summary exams may be taken in May or October, on a date to be set by the examiner

3. a research paper that not only independently fulfills a course or degree requirement but also contains copious references to linguistic literature in the foreign language of interest, with the understanding that the works referred to shall be lent to the examiner for verification.

A student may petition to substitute a contact language for one of the two foreign languages required. A contact language is one to be used as a medium of communication for work on the language in the field. It may or may not be the same as the language under study. Knowledge of this language can be demonstrated by

1. a conversation showing ability to use the language for research purposes
2. an audio or video recording of a fieldwork session in which the student can be observed to be successful in using the language effectively as a contact language.

Whichever type of examination is chosen, the student should realize that its acceptance depends on the availability of a qualified person to judge the result. It is the student's responsibility to find such a person if one has not already been designated by the department.

Students planning to take an exam should fill out a language exam application form at least two weeks before the exam is to be given, and submit it to the faculty member administering the exams for that language. A student who fails a foreign language exam must wait three months before taking it again.

## **The Practical Phonetics Exam**

Students must demonstrate proficiency in the production and perception of the sounds of the International Phonetic Alphabet before receiving an M.A. Proficiency will be determined by an oral exam administered by a faculty member during fall quarter of each year.

## **The M.A. Program**

### **Students entering without an M.A.**

Coursework and requirements for students entering without an M.A. can be found in the Requirements Checklist and Schedule Planner forms appended to this document.

### **“Slash” Courses**

If you are entering without an M.A., you will meet with department faculty to see whether you need any “slash” courses to prepare for your graduate program. “Slash” courses are defined by the campus registrar as courses in which both graduate and undergraduate students may enroll. The undergraduate and graduate courses have different numbers for the two levels, with a separate discussion session for graduate students. For the graduate program in linguistics, “slash” courses are considered to be essential preparation for work at the graduate level. Certain courses may be required as prerequisites to M.A.-level courses. As of Fall 1996, “slash” courses will not count towards course requirements for the M.A. degree, with the exceptions of Linguistics 208 and 237.

### **The M.A. Thesis**

The M.A. thesis is a significant document representing original research, usually written during the second year. You should choose your thesis topic in consultation with your Committee Chair, who will advise you about committee make-up. The thesis may be primarily descriptive in nature, or it may take the form of a publishable paper, with a sound empirical basis and clear argumentation leading to a specific theoretical point. It should be approximately 30 to 40 pages in length, double-spaced. If you feel that there are good reasons for making it longer, you may petition your Thesis Committee through the Committee Chair. You should stay in close contact with your Committee during the planning, research and writing of the thesis. A few guidelines on formatting and glossing are given below in the discussion of the Ph.D. dissertation. Upon completion, a copy of the thesis must be given to the department library.

You should allow at least 6 weeks between the time your Chair agrees that the thesis as a whole is ready for distribution to the other committee members and the time you expect to file. This will allow two weeks for your committee to read your thesis and two weeks for you to revise it, with an additional two weeks in case further revisions are necessary.

### **Students entering with an M.A.**

Coursework and requirements for students entering with an M.A. can be found in the Requirements Checklist and Schedule Planner forms appended to this document.

### **M.A.-level Courses and Equivalencies**

If you already hold an M.A. degree, your Provisional Guidance Committee will counsel you concerning any M.A.-level courses which will be required in view of your previous training. You should anticipate that you may have a few such courses to complete, since UCSB courses may differ in content from those taken elsewhere, even if the titles are the same.

### **Submission of the M.A. Thesis for Review**

You may submit your M.A. thesis to the Department for consideration as equivalent to a UCSB linguistics thesis. A



thesis will be deemed equivalent if it is judged to be comparable in scope, quality, and originality to an M.A. thesis produced in Linguistics at UCSB. You can arrange to have a thesis considered by giving a copy of your thesis to the Department Chair, specifying that you want to have it reviewed. You should plan to do this as soon as possible after starting your UCSB graduate work. Two evaluators appropriate to the area of the thesis will be appointed by the Department Chair. If the thesis is approved, you will be eligible for the Screening Review once all M.A.-level courses and other requirements have been met. If it is not approved, you will be advised about revising it or submitting a thesis equivalent. In either case, your M.A. degree is intact; you will not be receiving another M.A. degree from UCSB, and you will continue to take the courses you need for the Ph.D.

### **M.A. Thesis Equivalents**

If you entered with an M.A. degree, but either i) a thesis was not produced as part of your previous M.A. program, or ii) your submitted thesis was judged not equivalent to a thesis in linguistics from UCSB, you will be required to write a thesis-equivalent paper. The goal of the thesis equivalent is to give students experience in engaging in original work and to give the faculty an opportunity to assess students' ability to perform dissertation-level research. An M.A. thesis equivalent should either be comparable to a UCSB Master's thesis in linguistics (see above), or to a substantial paper of publishable quality. Students are encouraged to complete this project in the first year of their program if possible. They should be in close touch with their advising committees throughout the research and writing process.

## **The Ph.D. Program**

### **The Screening Review**

The screening review is normally held in October of the student's third year in the program, and no later than January of the third year. Under exceptional circumstances, a student may petition the department faculty for an extension of the deadline. Based on the screening review, the faculty will either pass the student, thereby admitting him or her into the doctoral program, or fail the student. A student who fails the screening review will be placed on probation, with clearly stated expectations regarding standards that must be met within a specified time period, normally within three months following the screening review. If at the end of the specified time the faculty determines that the student has given evidence of having met the specified standards, he or she will be allowed to repeat the screening review a second time, at the next available opportunity. If the student does not provide evidence of having met the specified standards, or if the student fails the second screening review, he or she will be dismissed from the program. Students may repeat the screening review no more than once.

By the time of the screening review, it is expected that students will have fulfilled the following requirements:

1. Completed or been exempted from all M.A.-level courses; and
2. Completed or been exempted from the M.A. language exam; and
3. Had the M.A. thesis or thesis equivalent accepted by the appropriate committee; and
4. Completed all Incompletes and fulfilled the UCSB residency requirement.

Passing the screening review is contingent upon faculty assessment of the M.A. thesis or thesis equivalent, all M.A.-level course work, and your potential for independent research.

### **The Publishable Paper**

After completion of the M.A. thesis or thesis equivalent, and before the Qualifying Examination, students must produce one paper of high quality suitable for publication in a major refereed journal. Topics for publishable papers frequently though not necessarily emerge from course papers or seminar papers. The paper must be on a different topic than the M.A. thesis or thesis equivalent. The publishable paper is done under the guidance of an ad hoc, three-person committee, chaired by the faculty member with the greatest expertise on the topic. In consultation with this ad hoc committee, the student should choose a journal that would be an appropriate outlet for the paper, and write and format accordingly.

After your Chair has approved your plans for your first publishable paper, and you have produced a draft that your Chair feels is ready, s/he will tell you that your paper can be distributed to the other members of your committee. You should allow at least 6 weeks between the time your Chair agrees that your paper is ready for distribution to the other committee members and the time you would like to schedule your oral examination. This will allow two weeks for your committee to read your paper and two weeks for you to revise it, with an additional two weeks in case further revisions are necessary. When your publishable paper has been approved by your committee, the oral examination can be scheduled. It is your responsibility to produce a paper of acceptable quality prior to the exam. Some students may take longer than six weeks to produce suitable revisions. In other cases, extensive revisions may not be necessary and the examination can take place shortly after the paper is circulated. The faculty are committed to returning drafts of publishable papers within the specified two week period; if a faculty member has not returned your paper to you in that time period, feel free to ask other committee members, the Graduate Advisor, or the Department Chair to contact the faculty member. In the case of a revised draft of a paper, committee members have 2 weeks to read and respond to the draft or they forfeit their right to either require further revisions or to reject the paper.

Post-M.A. students who wish to submit a publishable paper for consideration during their first year must first officially change their Provisional Guidance Committee to a Doctoral Committee including an ad hoc Publishable Paper Committee.

## The Qualifying Examination

The oral Qualifying Examination will consist of a discussion among you and your advising committee members on general linguistics. Preparation for this discussion begins with your first linguistics course and continues throughout your graduate career. The Oral Qualifying Exam should be taken by the end of winter quarter of the fourth year, upon completion of all doctoral coursework and acceptance of the publishable paper. The second of the foreign language exams is also typically taken prior to the oral qualifying exam.

The Qualifying Exam should be scheduled to allow for 2 hours, with about 100 minutes devoted to the examination and the remaining time to committee consultation. The maximum number of times this exam can be taken is two.

Three members of the student's doctoral committee will conduct the examination; these must be faculty members who are internal to the department. In the usual case, the doctoral committee will consist of faculty members oriented to the dissertation area. At the completion of the Qualifying Examination, the Committee Chair asks that all committee members sign Ph.D. Form II then gives it to the Graduate Program Assistant for processing.

The exam is intended to broadly examine the student's knowledge in both general linguistics and in the student's dominant area(s). The student's performance should demonstrate that the student is comfortable discussing a broad range of topics in linguistics, can think independently about issues, has integrated knowledge from various subfields, and has thought through the place of his or her research and specialties within the field of linguistics as a whole.

The main body of questions will be taken from the range of topics covered in the MA curriculum. The exam will also include some questions based on the area(s) of student specialization. Students should meet with each committee member prior to the exam to discuss their prior coursework and independent research. The chair of the student's doctoral committee will coordinate with the other committee members prior to the exam, in order to ensure that the questions planned for the exam provide adequate areal coverage.

Exam questions are designed in order to elicit in-depth discussion of a topic. Typically, the discussion begins with a relatively basic question and then the conversation develops to encompass broader themes. Where possible, students should relate the discussion to their own work or data. Students are encouraged to bring up particular linguistic examples appropriate for the question. **The student may not consult notes or other materials during the exam.**

At the end of the exam, each committee member will rank in writing the student's performance with respect to each of the following criteria, using a scale of 0-2 (0 = unacceptable; 1 = acceptable (the default score); 2 = truly exceptional):

- Accuracy, specificity, and relevance of responses
- Breadth of knowledge and ability to synthesize across areas

- Depth of understanding, including the ability to ground the discussion in theoretical context
- Creative and independent thinking, including the ability to contextualize the student's research and specializations within the field of linguistics as a whole
- Clarity of thought and expression

The committee will then discuss each criterion separately, compare their evaluations, and as a committee vote on a single numerical score for each criterion. These scores will then be added to determine the final exam score, which will fall between 0 and 10.

- A score of 0 on any criterion will result in a grade of Fail, regardless of scores on other criteria.
- A score of 5 or above will result in a grade of Pass.
- A score of 9 or 10 will result in a grade of Pass with Distinction.

The score will be used by the committee for its own assessment of the student's performance and will not be divulged to the student. However, the chair of the student's committee will meet with the student after the exam and provide an evaluation of the student's performance in each of these areas.

### **Advancement to Candidacy**

After successfully completing the Qualifying Examination, all requirements discussed above, and the residency requirement stipulating that students must be registered for three consecutive quarters, the student advances to candidacy upon the filing of Ph.D. Form II with the Graduate Division via the Graduate Program Assistant, and upon payment of the Advancement to Candidacy Fee.

### **Candidate of Philosophy Degree**

Some students may find it useful to obtain the C. Phil. degree, which indicates successful advancement to candidacy. These students must submit a Graduate Student Petition along with a statement from the Department Chair confirming the fact that all requirements for advancement have been met. The petition must be submitted within one year of advancement.

### **Dissertation Topic**

The department advises against pursuing the same topic for your M.A. thesis and your Ph.D. dissertation, but it does not have an absolute policy. You should consult your committee if you wish to discuss this issue. Expansion and revision of an M.A. thesis is not normally an acceptable dissertation.

### **Prospectus**

The prospectus is a document that outlines what you plan to do for your dissertation. It is written in consultation with your Ph.D. Committee Chair, who will guide you on what it should contain according to your particular dissertation topic. The prospectus should formulate your plans for carrying out the dissertation and should demonstrate to your committee that you are ready to write your dissertation. Typically, it will be 15-30 pages long double-spaced, and will outline previous literature on the topic, show why your study is needed, present hypotheses, and give illustrations of the kind of evidence (in some cases in the form of a pilot study), that shows the type of support you will provide for your hypotheses. If your dissertation is a linguistic description, the prospectus will present an outline of the topics you will treat and examples of the sorts of analyses you will offer. The prospectus should be clear and well-organized. When it has been approved by your Dissertation Committee, your Committee Chair will advise you that you are ready for your Prospectus Defense. During this time, you should be in close contact with your Committee, especially the Chair.

The prospectus usually requires several drafts. From the time when the Committee Chair agrees that the prospectus is ready to show to the other committee members, you should allow at least 6 weeks before you plan your Defense.

1. Allow at least two weeks for the other committee members to read your prospectus. After two weeks, the Committee Chair will contact each member to see whether any thinks the prospectus calls for revision.
2. Allow yourself at least two weeks to make these revisions.
3. Allow the committee another two weeks to read the revisions.

It is crucial that you work out the timing of your Prospectus Defense carefully with your committee, particularly if you are planning international travel. You will want to check with each committee member to be certain that the proposed timing will mesh with their schedules. Faculty are not officially “on duty” during the summer.

### **Prospectus Defense**

After your prospectus has been written, and any revisions required by the committee have been completed, there will be a two-hour oral examination based on your prospectus in which you will be expected to answer questions about your dissertation research and plans. The Prospectus Defense should be scheduled to allow 2½ hours for examining and committee consultation.

Agreement from the committee that the prospectus is ready for the Prospectus Defense does not guarantee that the prospectus will be approved by the committee at the Defense. You will want to consider the possibility that the committee will ask that the prospectus be revised after the Prospectus Defense (and possibly that the Prospectus Defense be re-taken).

### **Doctoral Colloquium**

The Doctoral Colloquium is one of the requirements for the Ph.D.; it is your responsibility to speak with the faculty Colloquium Director at least several months in advance of the time you would like to give your colloquium, in order to schedule a time. The Doctoral Colloquium must be given after the Prospectus Defense and at a late stage in the writing of the dissertation. The exact content of the colloquium should be worked out in consultation with your dissertation Committee Chair, but it must be based on the dissertation research. Students living overseas and thus for whom it would be a financial hardship to return may petition to fulfill this requirement by other means.

### **Dissertation Defense**

The Dissertation Defense is the last Ph.D. requirement, scheduled after the dissertation has been completed and all Committee members have read and approved it. By tradition, defenses are open to anyone the candidate wishes to invite, including family members, as well as to anyone who wishes to attend. All UCSB members of the Dissertation Committee are required to attend. The student presents the major findings of the dissertation, and the Committee is free to ask for discussion on the points raised in the presentation. The format of the defense will vary according to the dissertation topic and should be discussed in depth with the Dissertation Committee Chair.

Under exceptional circumstances of economic hardship caused by long-distance travel, a student may petition to substitute a written defense for the standard oral defense. The written defense consists of responses to questions submitted by the Committee.

Following a successful Dissertation Defense, Form III should be filed with the Graduate Division. It must be signed by all members of the Dissertation Committee, but the Committee Chair may sign on behalf of outside members of the committee, who need not be present at the defense. Outside members not present at the Defense must, however, have agreed to abide by the will of the committee members present.

All members of the Dissertation Committee, including outside members, must personally sign the title page of the dissertation, which must be on 100% cotton paper like the dissertation. The student should allow time for outside members to receive, sign, and return multiple copies of the title page.

### **Graduation**

Following a successful Dissertation Defense, completion of any revisions suggested for the dissertation, and filing of Form III with the Graduate Division, students are eligible to walk at graduation ceremonies. Under exceptional circumstances, a student who has nearly finished by the time of graduation at the end of spring quarter and whose Committee is convinced that he or she will have completed all requirements before the beginning of the following fall quarter may participate in the ceremonies.

### **Thesis and Dissertation Format**

The department has no policy on the format of the M.A. thesis or the Ph.D. dissertation apart from the Graduate

Division Guidelines. The formatting specified in the LSA Style Sheet should be considered the unmarked option, but you should consult your committee if you have questions about this. For interlinear glossing, you may wish to consult an article by Christian Lehman (1982): Directions for interlinear morphemic translations. *Folia Linguistica* 16: 199-224. A copy of this article is in the department Graduate files under 'Glossing', and may be photocopied.

The department requires that a copy of each Master's thesis and Ph.D. dissertation be placed in the departmental library.

## **Miscellaneous**

### **Leave of Absence**

A student may request a leave of absence for medical/health difficulties; pregnancy and/or parenting needs; family emergencies; military duty; research leave; or thesis/dissertation leave. Students should contact the Graduate Advisor or Graduate Program Assistant for more information. Students with central fellowships must comply with the Graduate Division's Request for Change in Fellowship Schedule as part of the petition process.

### **Lapsed Status**

If a student does not register for courses and is not on approved leave, the student is considered to have "lapsed". Quarters during which students have lapsed status do count in the computation of normative time. If the student has an approved leave of absence, apart from an in absentia leave, the normative time clock stops. Please refer to the Graduate Division regulations for "in absentia leave" requiring partial payment of fees and full health insurance.

### **Availability of Faculty during Summer Term**

Students should recognize that faculty rely heavily on the summer to conduct research, write papers, prepare for classes, and take care of personal needs. Language exams, qualifying exams, and prospectus meetings should not be scheduled during the summer. Students should respect the needs of the faculty and not expect them to be available during the summer.

### **Ombuds**

If a student has a grievance regarding the actions of a faculty member or some other problem, he or she should discuss it with one of the two ombuds in the department, these being the Chair and the Graduate Advisor. The ombuds will decide upon appropriate action to address the grievance.

The Graduate Division has formulated steps to resolve disputes between students and their committees. Contact the Graduate Division for more information.

In conjunction with the following sections on Financial Support, please review the Graduate Division Guidelines <http://www.graddiv.ucsb.edu>

## **Financial Support**

**The following information is intended to inform linguistics students about types of financial support available for their graduate studies, and the application and allocation processes. There is a great range in options for support, and the details of how money is allocated and how it is dispersed vary greatly. For that reason, this document does not attempt to present that information fully. Instead, students should consult the appropriate officer in the agency dispensing the money for these details. That might be the Graduate Program Assistant or Business Officer of the Department of Linguistics, the Financial Advisor at the Graduate Division, people**

at the Office of Financial Aid or the Office of the Registrar, or officers of organizations dispensing scholarships. Students should note that most forms of financial aid are subject to federal income tax. For further information, students should consult the Graduate Division website, the US Internal Revenue Service website, or a professional tax consultant.

## Types of Support Available

### a. For entering students

Students who have been accepted for admission into the program may be nominated for campus-wide (“Central”) fellowships, given offers of support from the department, or given no offer of financial support. Any offer of support given is listed in detail in a support letter; this is a legally binding document and commits the department and the university to the support detailed. Entering students, including those with or without financial support, are strongly encouraged to apply for Jacob Javits and NSF fellowships, which have application deadlines in early October.

#### i. *Campus-wide fellowships*

Campus-wide fellowships offer a student from one to six years of support. Multi-year packages generally offer a combination of types of support, such that some years the student is given a fellowship stipend and focuses purely on his or her studies, and other years the student works as a Teaching Assistant (TA) or Research Assistant (RA) for the department. The details of the support packages vary depending on which particular fellowship is awarded; students should read their fellowship letter for details pertinent to their own cases.

#### ii. *Block grants*

Each year the department receives a “block grant” from the Graduate Division, which is essentially a block of money to be spent on graduate student support at the discretion of the department. Often this money is offered to incoming students to help defray expenses for their first year, especially out-of-state tuition. It is generally dispersed in lump-sum payments at the beginning of the quarter.

#### iii. *TA-ships and RA-ships*

Generally, TA-ships are not offered to incoming students for their first year in the program, because most students will not have taken Linguistics 505, TA-training, or its equivalent, prior to enrolling. Also, the faculty prefer to observe students’ academic background and competence prior to assigning them positions as TA’s. Occasionally TA-ships become available which may be offered to first-year students who have completed 505, if the faculty feels the student has adequate preparation for the position. TA-ships pay partial fees, health insurance and a salary disbursed on a monthly basis. TA-ships are awarded contingent on funds being received from the College of Letters and Science, and may be revoked if a course is cancelled or funds are otherwise not forthcoming.

### b. For continuing students

Continuing students have a wide range of funding options available.

#### i. *Campus-wide fellowships*

Many continuing students are supported by the multi-year campus-wide “Central” fellowships awarded during the recruitment process. Additionally, each year the faculty nominates students for single-year fellowships offered by the Graduate Division which supply partial fees, health insurance and a stipend.

#### ii. *Extramural scholarships and fellowships*

There are many extramural scholarships and fellowships available. Every student has a responsibility to investigate appropriate opportunities. Students should use “The \$ource”, to be found on the Graduate Division’s website, as a good initial starting point for identifying possible extramural sources of support. Students are welcome to bring scholarship applications to their advising committees for advice on writing the application, and for letters of recommendation. Occasional workshops on grant writing are offered by the Graduate Division and other agencies.

iii. *Block grants*

Each year the department receives a “block grant” from the Graduate Division, which is essentially a block of money to be spent on graduate student support at the discretion of the department. Often this money is offered to incoming students as part of their recruitment packages to help defray expenses for their first year. Money which remains after recruitment allocations is dispersed among continuing students. This money is generally distributed as lump-sum payments at the beginning of the quarter.

iv. *Fee fellowships*

In addition to block grants, the department also receives a certain number of fee fellowships from the Graduate Division. These fellowships are need-based. To be awarded a fee fellowship, a student must have filed a FAFSA by the March deadline. These fellowships may be used to pay full fees or to supplement the partial fees paid by TA-ships and RA-ships. Fee fellowships are sometimes combined with Block Grant allocations.

v. *TA-ships in Linguistics*

Each year the department is given a certain number of TA positions to help with instruction in undergraduate linguistics courses. The duties of TAs vary with the course, but generally include some combination of grading, holding discussion sections, holding office hours, and attending lectures. These appointments are generally made at the “.17 FTE (Full-time equivalent)” or 50% level (20 hours/week), although a few courses have “.08 FTE” or 25% TA-ships (10 hours/week). Before assuming a TA appointment, all students must complete Linguistics 505, TA-training, or an equivalent course, or have an established record of excellent teaching from another university. The Graduate Division has established that the total number of TA-ships/Associateships that can be awarded to any one student over the course of their graduate career is 12. Exceptions to this policy may be submitted to the Graduate Division for approval.

In order to serve as a TA for most upper-division courses, a student must have completed coursework in the subject area prior to the beginning of the quarter of the TA-ship. Students who excel in the subject area, or who have chosen it as the focus of their M.A.- or Ph.D.-level research, are given priority of assignment. The following courses (or their equivalents) which are prerequisite for TA-ships are listed below. Courses which are recommended, but not prerequisite, are given in parentheses.

<u>To TA courses:</u>	<u>Prerequisites required</u>
109	209, 234
111	211, 235
113	(225)
115	215, (236)
137	(237)
170	(227)
185	Advanced training in ecology or ethology or auditing the course

vi. *Teaching Associateships*

Teaching Associateships differ from TA-ships in that Teaching Associates have full responsibility for a course, including the design of the course, the lectures, and the grading, while TA’s work to assist a faculty member who has these responsibilities. Teaching Associates always work in consultation with a faculty member. To receive a position as an Associate, a student must have previous experience in the course as a TA, or, if the course does not normally have TAs, the student must have an extensive background in the subject area. All Associates must also have taken 505, or its equivalent, or have an established teaching record. In addition, Associates must have completed a Master’s degree prior to appointment. Appointment of Associates must be approved by the Graduate Dean, acting upon recommendations from the department. In general, Teaching Associates do not teach upper-division courses, although exceptions to this policy may be requested of the Dean of the Graduate Division.

vii. *TA-ships in ESL*

In addition to TA-ships available in Linguistics, there are times when TA-ships are available in the ESL

(English as a Second Language) program. Students who wish to teach in this program must have native or near-native fluency in English. They must also take Linguistics 504 prior to their appointment, and 505 during the quarter of their appointment. These courses provide students with the training necessary to teach English as a Second Language. Linguistics 239 (TESL/TESOL) is also recommended. All ESL appointments are made in consultation with the Academic Director of the ESL Program.

*viii. GSR Appointments (RA-ships)*

Often, faculty members holding extramural grants will be in a position to hire Research Assistants. These appointments generally pay fees, health insurance, out-of-state tuition and a stipend, and generally require 20 hours/week of work.

*ix. Other departmental positions*

A number of part-time casual staff positions are also available within the department which offer an hourly wage, such as the library representative and the equipment manager. In addition, faculty members may hire students to work on Academic Senate grants, instructional development grants, etc., on an hourly basis. Other positions within the department may occasionally become available.

*x. Other employment outside the department*

Finally, students are encouraged to seek employment outside the department. TA-ships are often available in other departments (e.g. language departments, Black Studies). Students should have their teaching evaluations from other departments copied and retained in our department for a complete teaching file. Some students work as tutors, or as note-takers for A.S. Notetaking. A wide array of jobs is available both on and off campus.

*xi. Need-based financial support*

Need-based loans and work-study awards are available to citizens and permanent residents of the U.S.A. through the Financial Aid Office. To be eligible for such support, students must file a FAFSA each spring (generally the deadline is in early March). Students should refer to materials from the Financial Aid Office for more information.

Students who are not legal residents of the State of California are required to pay tuition, as well as fees. The amount of out-of-state tuition is approximately \$15,000 per year. Many sources of financial aid do not cover this expense, and so tuition is usually the responsibility of the individual student. Occasionally the Linguistics Department will offer block grant money to cover some of a student's tuition. *Students who are U.S. citizens or permanent residents but who hold legal residency in another state may establish residency in California after one year of living here. Students who do so will not need to pay tuition after their first year in the program. Students should consult the Financial Aid Office for information about how to establish California residency and begin the process as soon as they move to California.*

### **Applying for Support**

All US citizens and permanent residents requesting financial support must fill out a FAFSA (National Financial Aid Application Form) every year. The deadline for submission of these forms is generally around March 2<sup>nd</sup>. They are available through the Office of Financial Aid and online.

The Department of Linguistics also requires all continuing students to fill out a "Continuing Graduate Student Support Request Form" (also known as "the goldenrod form"). Generally these are returned to the Graduate Program Assistant in early or mid March. On these forms, students are requested to specify the quarters for which they need support, any support which has already been promised or applied for, and the types of support they would like to receive. Students should feel free to specify particular teaching assignments that they would especially like or dislike.

### **Priorities for Distribution of Support**

1. The department's first priority is to honor all commitments made to students as part of the recruitment process. These students are thus given priority in the disbursement of TA-ships, RA-ships, fee fellowships and block grant funds.



2. Principal Investigators holding intramural or extramural grants choose which students they will support as RA's.
3. Teaching Associates are chosen on the basis of their teaching records, academic backgrounds and appropriateness for the course to be taught.
4. The department will select students to fill all other positions and will try to allocate these in the fairest way possible, taking into consideration student qualifications and other relevant criteria, plus their particular requests on the goldenrod forms, and in consultation with the ESL Academic Coordinator.

The following general assumptions apply:

- a. Taking into account the value of the teaching experience to the student, the department will try to make it possible for every student who wants to be a TA for a linguistics course to have that opportunity at least once.

NOTE: Good teaching evaluations can affect a TA's priority for reappointment positively, especially for Teaching Associates. By the same token, bad teaching evaluations for a TA can affect his/her priority for reappointment negatively, and can cause a previously offered future TA-ship to be re-assigned.

- b. All qualified students are urged to be trained for and serve as ESL TAs; this can provide valuable experience and enhance one's CV.
- c. Students who find opportunities for employment outside the department are encouraged to take them, subject to the considerations in (a) and (b). For example, a student who can teach Japanese or French, or who has a good job working with computers on campus, helps maximize the number of students who can receive financial support.

### **Criteria for Support**

The faculty considers and balances all of the following criteria during the process of allocating financial support:

- Students who are on academic probation because they have exceeded the time limit either for advancement to candidacy or for completion of a degree may not hold a position as a TA, Associate or RA. They are also not eligible for Continuing Student Fellowships, Block Grants, or Fee Fellowships.
- Students with records of outstanding performance and productivity in course work, independent research, and publication are given high priority.
- Students with excellent records in previous departmental appointments are given high priority. Students with poor records in previous department jobs are given low priority.
- Students who have received many quarters of financial support from the department over the course of their graduate career will be given lower priority than students who are relatively new in the program and who have received little support despite good qualifications.

Note that these criteria do not include any assessment of financial need, but are based entirely on merit. Students whose education is being funded by a relative, for example, are just as eligible for TA-ships as those with no such support.

Changes in support allocation occur regularly throughout the academic year. For example, a student might give up a TA-ship or RA-ship to take a temporary teaching position or fellowship. This opens up TA-ships and RA-ships which become available to other students. These positions are re-assigned to other students based on the same criteria listed above. Such appointments are made by the Department Chair, in consultation with faculty, if convenient.

### **Notification of Support**

Each student who has been awarded support by the department receives a department letter specifying the details of the support offer at the end of the spring quarter. Students are then asked to accept or decline the award in writing. Any subsequent changes to a student's support package are made in a revised award letter, and must also be accepted or declined either orally or in writing.

### **Teaching in the Department**

#### **TA responsibilities**

TA responsibilities may include the following:

- (a) assisting the faculty member in the preparation of course materials;
- (b) creating and/or maintaining the class website;
- (c) teaching discussion sections;
- (d) reading and grading student papers and examinations;
- (e) acting as a liaison between professor and students;
- (f) holding office hours;
- (g) giving a lecture in the course;
- (h) proctoring examinations;
- (i) maintaining a grading spreadsheet

#### **Responsibilities not appropriate for TAs.**

TAs may assist the faculty member in, but are not to be given sole responsibility for:

- (a) the instructional content of any course;
- (b) the selection of student assignments;
- (c) the planning of examinations;
- (d) determining course grades.

#### **TA-Faculty Mentor meetings**

The frequency and duration of meetings shall be determined by the faculty mentor, as he or she deems appropriate and necessary for effective course progress.

#### **Faculty Mentor and Evaluation**

The faculty member should arrange with each TA for at least one visit to his or her discussion section, informing the TA in advance when the visit will occur. The faculty member should then meet with the TA to discuss his or her performance, and these comments will be formalized in a letter of evaluation to be placed in the TA's file.

#### **Discussion Sections**

TAs should be provided with enough information to be confident and secure with the content, emphasis, and presentation of the material.

#### **Grading**

TAs should be provided with keys to the exams and detailed guidelines with respect to assignment of points and possible conflicting analyses. Attention should be paid to maintaining uniformity among graders and minimizing student complaints of grader bias. Grades should be logged in a format agreed upon by the instructor.

#### **Problem Resolution**

If problems arise concerning the roles or responsibilities of supervising faculty and TAs, the parties involved should meet with each other to discuss the problem and its resolution. If this meeting does not result in a resolution, the TA or faculty member should consult with the Graduate Advisor or the Department Chair.

#### **Academic dishonesty**

In the case of suspected cheating, UCSB guidelines prevail.

## **Selection of TAs**

Each March, students complete a Goldenrod form in which they indicate their desired TAs and the quarters for which support is needed. The faculty attempts to satisfy these preferences to the extent possible. Notification of awards may be expected in early June.

The criteria for TA selection are a) outstanding performance and productivity in course work, independent research, and publications; b) satisfactory progress towards degree; c) satisfactory work record in previous department positions; d) the ability to teach undergraduates; and e) the relevance of a given course to the graduate student's stated study focus. A required one-quarter Linguistics TA Training course, Linguistics 505, is offered each Spring so that students are prepared to teach the following academic year.

Graduate students who are not native speakers of English are required by the Graduate Division to pass a spoken English language exam before they can become a TA.

The Linguistics Department may also offer ESL TAs when funding permits. ESL TAs are typically in charge of their classrooms. Choosing ESL TAs is the responsibility of the Academic Coordinator of the ESL Program. Native or native-like speakers of English will be given priority. There is a required ESL TA training course which must be completed prior to taking on an ESL TAship.

Since a TAship is viewed as part of a student's professional training, if rank and qualifications are considered equal, preference will be given to the student who has TAed fewer courses. The goal is for every eligible student to have at least one quarter of TA experience.

Re-appointments will be based on past performance as a TA and funding availability.

## **APPENDICES**

**Requirements Checklist**

**Schedule Planner**

**Guidelines for Outside Member of PhD Committee**