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# Graduate Faculty Manual



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## INTRODUCTION

This *Graduate Faculty Manual* has been prepared to acquaint you with procedures and policies governing graduate programs, graduate faculty, and graduate student advisory (thesis) committees. The manual is the home of current policy pertaining to Graduate Faculty Status, By Laws of the Graduate Council, and Thesis or other Capstone Requirements.

### **Authority**

The *University Policy Manual* covers board policies and shared governance under the authority of the Board. The *Academic Affairs Manual* covers instructional, assessment, Comprehensive Faculty Evaluation System, online learning, and accreditation matters under the authority of the President.

The *Graduate Bulletin* is the authority for graduate curriculum and contains the most current academic calendar, student tuition and fee rates, as well as the academic rules and regulations pertaining to graduate students.

This *Graduate Faculty Manual* is subject to the authority of the Senior Vice President of Academic and Student Affairs. Any other documents of the Council are subject to the authority of the Director of Graduate Studies.

A *Graduate Student Handbook* will cover expectations of students, thesis style guidelines, capstone project guidelines, and research resources under the authority of the Director of Graduate Studies.

### **Amendments**

Amendments to this manual may be made at any regular meeting of the Council by a vote of two-thirds (2/3) of the members present and voting, provided that the amendments have been submitted in writing at the Council's previous regular meeting. Amendments take effect upon approval of the Senior Vice President.

### **Compiled from**

Policies of the Graduate Council (1999)  
Memo regarding Graduate Faculty Status (2009)  
Bylaws of the Graduate Council (2018)  
University of Alaska Fairbanks Graduate School Handbook (2016)

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## ROLES AND RESPONSIBILITIES

### Graduate Faculty

The membership of the Graduate Faculty at the University of Guam exemplifies the highest standards of teaching, scholarship, and service. Acceptance to the Graduate Faculty allows members to chair graduate thesis committees, teach graduate courses, and participate in meetings of their Graduate Program (*Policies*, 1999; 1020), as well as serve on Graduate Council.

There are five criteria for obtaining Graduate Faculty Status at the University of Guam (Whippy, 2008). The criteria of the Comprehensive Faculty Evaluation System should be used when reviewing faculty applications for graduate faculty standing. The faculty of individual programs may develop additional criteria or exceptions for membership in their programs. Those criteria should be approved by the appropriate academic dean and Director of Graduate Studies.

Graduate Faculty must:

1. *Be full-time or emeritus faculty or administrators of UOG.* Faculty at other institutions may participate in certain activities, subject to the approval of the graduate program coordinator and the appropriate Dean, as indicated below. Administrators must apply for membership into specific programs.
2. *Possess a terminal degree in an area of expertise relevant to the graduate program with which they are associated.* The current specifications for terminal degrees are found in the Academic Affairs Manual.
3. *Demonstrate the ability to teach at the graduate level.* This can be demonstrated through teaching 400-level courses, prior experience as a teaching assistant in graduate level courses, serving as a member of thesis committees, and co-teaching with a senior professor of record.
4. *Engage in current scholarship.* External, peer-reviewed publications are the highest standard of scholarship. All faculty should strive to maintain a current record of publication. In some disciplines, there may be other forms of professional activity, grant work, or institutional research projects that are equivalent to publications.
5. *Serve the graduate programs they are affiliated with.* This can be demonstrated by helping with program recruiting, organizing student symposiums or travel experiences, serving on editorial boards for journals associated with the program, or attending meetings as a non-voting member.

### Application and Review Process

Membership in the Graduate Faculty will be reviewed every three (3) years. The Director of Graduate Studies will issue a call for applications one semester prior to the expiration of the current cycle. The Graduate Council will review and approve the application and call. In order to be considered for membership of the Graduate Faculty, a faculty member must have the recommendation of the program faculty, as verified by the program coordinator, and the dean of the college or school in which the program resides. Graduate Faculty Status is conferred by the Director.

### **Teaching Graduate Courses without Graduate Faculty Status**

The appropriate School or College Dean may approve faculty to teach specific graduate courses with the recommendation of the graduate program faculty (*Policies*, 1999; 1030). These teaching assignments may include part-time faculty, limited-term faculty, and faculty on special appointments, such as a visiting professor or Professor of Practice.

A memo documenting this arrangement and the instructor's qualifications must be furnished to the Director. Approval to teach graduate courses does not constitute graduate faculty status. The Director will confirm graduate teaching appointments for those not listed as Graduate Faculty in the *Bulletin*.

### **Graduate Program Coordinators**

Program Coordinators (or Chairs) shall be responsible for regular meetings of the faculty, proposing teaching schedules, accepting applications for Graduate Faculty Status (as below) and communicating assessment matters.

- Work with faculty to ensure that degree programs have appropriate requirements and standards, including standards for thesis quality.
- Coordinate student learning outcomes assessment and academic program review.
- Serve as External Observer to thesis defense meetings
- Chair the Graduate Program Meeting
- Review and advise students in the completion of the Program Entrance Form, acting on the advice of the program's admissions committee.
- Review and approve Permission for Thesis Forms.
- Review applications for Graduate Faculty Status and ensure program input.
- Monitor graduate student progress.

### **Administration**

#### **Graduate Admissions**

Under the oversight of the University Registrar, Graduate Admissions shall enforce the academic rules in place, including admissions, advancement to candidacy, and graduation. The office will promptly process paperwork of graduate students and maintain student files.

#### **Director of Graduate Studies**

The Director shall coordinate graduate matters between college and school academic programs, Graduate Admissions Office, and RFK Library, which handles thesis and special project publication and archival.

- Work with programs, deans, and the Graduate Council to ensure that degree programs have appropriate requirements and standards, including standards for thesis quality.
- Review Policy for financial assistance programs for graduate students, and work to secure more resources for those programs.
- Be a resource for information and support to graduate students, programs, schools and colleges.
- Provide training opportunities for graduate students, faculty, and staff.
- Through Program Review, Assessment, and data available through the Office of Institutional Effectiveness, monitor graduate programs' quality and productivity, and assist in their improvement.

## **Deans**

The academic deans of the colleges, or schools, with graduate programs shall have oversight of the academic quality of their respective programs, including teaching assignment, approval of thesis manuscripts, course and program assessment, and program reviews.

- Review results of student learning outcomes assessment for graduate as well as undergraduate programs, and support programs in making needed improvements.
- Review and approve (if appropriate) program admission decisions.
- Review (or delegate a review of) sufficient portions of a thesis to see that a high standard of scholarship and writing quality are maintained.
- Review and approve (if appropriate) major academic decisions involving graduate students.

The Dean of Enrollment Management and Student Success (EMSS) will enforce academic policies such as academic suspension and matters of plagiarism at the graduate and undergraduate levels.

The Dean of University Libraries shall conduct a final check of theses to ensure that they meet requirements for style and format.

## **Graduate Council**

### **Purpose**

The Graduate Council (Council) is a Board of Regent-approved body of university governance that recognizes and collaborates with the other established bodies. The Council shall make recommendations to the Director of Graduate Studies (Director) concerning university-wide policies and academic rules affecting graduate programs, admissions and graduation requirements, and other matters which affect graduate programs not assigned to the various colleges and schools.

### **Membership**

#### *Criteria*

Membership is comprised of faculty, administrators, and graduate students. Faculty program coordinators of each program, or other designee, are full members of the Council. The RFK Library shall have a representative on the Council. Deans are non-voting guests of the Council.

#### *Student Representatives*

There will be two (2) graduate student representatives elected by the faculty membership of the graduate council at the beginning of each academic year for a one-year, voting, term. As much as possible, these students should represent different constituent groups, such as professional or research programs, those on financial assistance programs or not, and full- or part-time students.

#### *Duties*

Members are responsible for contributing to the ongoing development and maintenance of Graduate Studies, to include support of policy reviews and other tasks as requested by the Director. Members will vote on matters before the Council.

#### *Chairperson*

The Director serves as the chair and presiding officer at Council meetings. As such, the Director prepares the agenda for Council meetings and ensures that the agenda for the next

meeting and minutes from the previous meeting are made available to the Council one (1) week prior to meetings.

#### *Special Committees*

The Director may appoint and disband special committees or working groups at any time to carry out any necessary functions requiring additional input and consultation.

### **Meetings**

#### *Meeting Times and Locations*

The Council meets regularly during the academic year at a time and location set by the Director in consultation with Council members. Special meetings may be called at the discretion of the Director or by petition of at least three (3) program coordinators. At the Director's discretion, electronic meetings can be held in lieu of face-to-face meetings.

#### *Quorum*

For all scheduled Council meetings, both regular and special, a majority of currently certified program coordinators shall constitute a quorum. For voting purposes, proxies are accepted for routine council matters, but not in the case of university-wide academic rule proposals or when an electronic call for voting has been made.

#### *Parliamentary Procedure*

The rules contained in the current edition of *Robert's Rules of Order* shall govern Council meetings, standing committee meetings, and other committee meetings in all cases in which they are consistent with these Bylaws and any special rules of order the Council may adopt. Time limits for discussion shall be ten (10) minutes for each agenda item and two (2) minutes for each speaker.

## **PROGRAM QUALITY**

### **Curriculum Review**

The University of Guam has a comprehensive shared governance system. Curricular changes originate in the respective academic programs, are reviewed by the appropriate Academic Affairs or Curriculum Committees, and receive approval from their Dean.

Substantive changes (as defined in the UPM) to graduate programs are reviewed by the Graduate Curriculum Review Committee. The Faculty Senate provides review and input over all substantive changes to both the Undergraduate Catalog and the Graduate Bulletin. All curriculum modifications are approved under the authority of the Senior Vice President of Academic & Student Affairs.

In the case of University-wide academic rules and regulations, the Graduate Council makes recommendations to the Director of Graduate Studies. At the discretion of the Faculty Senate President, recommendations from Graduate Council may be reviewed by the Graduate Curriculum Review Committee or another Standing Committee, depending on the nature of the proposal.

### **Assessment**

The University of Guam is committed to the assessment of all the academic, administrative and co-curricular services, which it provides for its stakeholders. Assessment denotes the continuous collection and evaluation of data concerning the effectiveness of services in achieving their stated short-term and long-term goals.

#### **University Assessment Committee**

The University Assessment Committee accepts the responsibility for clarifying and communicating the University's goals and for using its resources to enable stakeholders to achieve their goals.

#### **Annual Assessment Inventory**

By October 1 of each year, each program shall submit to its Dean a status report. These annual progress reports can be used by the program unit as part of its program review report that is scheduled every five years. The intent of the progress report is not only to specify assessment plans, but also to report the *implementation* of the plans to include data collection and closing-the-loop activities.

#### **Institutional Graduate Learning Outcomes**

Graduate programs will align their program learning objectives and course learning objectives to the Institutional Graduate Learning Outcomes (IGLOs) rather than the undergraduate institutional learning outcomes. The IGLOs are published in the *Graduate Bulletin*.

Upon completion of their graduate degree, all students will be able to:

- 1) Demonstrate a mastery of critical skills, theories, methodologies, and other content knowledge at a level that will enable them to address fundamental questions in their primary area of study.



- 2) Plan, conduct, and complete a significant research or creative project, under the guidance and supervision of both internal and external advisors.
- 3) Master oral and written communication skills sufficient to publish and present work in their field.
- 4) Use the ethical principles of academia and their respective disciplines in coursework, fieldwork, and other appropriate situations.
- 5) Exemplify, through service, the value of their discipline to the academy and the community at large, interacting productively and professionally with people from diverse backgrounds.

### **Program Review**

The University of Guam is committed to high quality academic programs that serve its mission and meet or surpass accreditation standards. The University of Guam requires a regular academic quality review of all graduate programs conducted on a five-year cycle.

For this review each major program prepares a self-study of the curriculum, student outcomes, and supporting areas and resources such as the library, facilities, faculty resources, enrollment management resources, and budget. These self-studies are to conform to a common format and use data for program planning and evaluation supplied by the Office of Institutional Research. The self-study is reviewed at two levels, the College or School ("College") level and the University level before being forwarded to the Office of the Senior Vice President for Academic and Student Affairs for final approval.

Graduate Program Chairs/Coordinators are responsible to the Academic Dean for Graduate Program Reviews. Please see the Graduate Program Review Handbook for more information.

### **Capstone Activities**

Many master's programs require a significant capstone activity to allow students to demonstrate the ability to conduct scholarly or professional work in their field of study. Depending on the specific field of study, students may be required to complete one or more of the capstone activities below. Students who complete their capstone projects will demonstrate mastery of content as well as professional written and oral communication skills. See the list of Graduate Institutional Learning Outcomes (IGLOs) for more information.

Capstone activities are used by graduate programs to provide evidence of demonstrated student learning, competencies, and dispositions for the profession or further study. Many of these capstone activities are required for specialty accreditation purposes as well as during the university's annual assessment inventory.

### **Comprehensive Exams**

A comprehensive examination is designed to reveal the quality of the student's preparation for advanced work in the field and his or her ability to complete graduate work at the master's level. Programs note this requirement as a 697 course on the transcript. This course is graded P (pass) or F (fail). Some programs may also choose to use the grade designation HP (pass with

distinction). A student will not be able to graduate from the program until a passing score has been obtained. Records or copies of comprehensive exams will be maintained by individual colleges or schools. Examination deadlines are established by the respective academic deans. Student fees will not apply when the student registers only for a 697 course.

### **Internship**

A professional internship must include “real-world” experience involving a specific project, product, or set of projects and products to be agreed upon by the student and his or her advisory committee (including the workplace supervisor). At the completion of the semester-length project, a written report is prepared, modeled after that which would be expected by a private firm or government agency. Following review of the report, the student stands for an oral defense.

### **Portfolio Review**

A portfolio review includes artifacts demonstrating competency and mastery of several dimensions of a program’s learning outcomes. This Portfolio will adhere to program- or industry-prescribed standards. The review will be conducted as an interview between a student and faculty selected by the program, to discuss the student accomplishments as well as strengths and weaknesses of the work submitted.

### **Practicum**

A practicum is a supervised experience that demonstrates mastery of a program’s learning outcomes in line with appropriate research techniques and/or best professional practices as evidenced in research. Practicum projects may be individual or group endeavors.

### **Special Project**

The Special Project should offer evidence of subject research and must be presented in the writing style applicable to the subject area. Joint authorship is not permitted. The original copy of the project must be submitted to the appropriate Dean for approval before the end of the term or semester in which graduation is expected, and must meet the deadline specified in the Calendar. This copy is final and should need no correction. When approved, the project will be deposited in the R.F.K. Memorial Library.

### **Thesis**

The Master's Thesis offers evidence of substantial research and an adequate treatment of a well- defined subject. No mere essay or compilation of facts will be accepted. The thesis must be written on a subject related to the major and approved by the student's Graduate Program. Joint authorship is not permitted. Students planning to pursue doctoral study are strongly encouraged to complete a thesis project.

## **GRADUATE STUDENT ADVISEMENT**

Program Chairs and faculty who are serving as advisors have several considerations in what they should discuss with their students.

- Describe the thesis or other capstone project topics (in general) that are consistent with the funding source (if any) and advisor expertise.
- Ensure that the student understands the program expectations, including comprehensive exam, thesis or other capstone experiences.
- If the student is accepted to the program or research project with funding, be very clear about the duration of support and the options for subsequent funding when the funding offer is made. If any substantive changes occur, let the student know as soon as possible.
- Provide a detailed description of the duties that will be required of an research or teaching assistant, especially any unusual requirements, such as field work, shipboard work or diving, off-island travel, hazardous materials or activities, or intense work schedules.
- If the student's funding source will place any restrictions on publication, fully inform in writing the student of those limits.

### **Responding to Poor Academic Performance**

Students cannot advance to candidacy or graduate with a GPA below 3.0. However, if the problem is due solely to a "C" grade in only one or two courses, then the student may be able to retake the course(s) or take one or two other courses to raise the GPA to a 3.0 or above. The program will be notified each semester of students whose GPA is below 3.0.

Graduate students can be dismissed from their graduate program on the recommendation of the program chair and the school or college dean to the Director of Graduate Studies. This step is normally reserved for cases when there is little likelihood of the student being able to improve the GPA or complete other requirements for the degree.

If a graduate student wants to appeal a course grade or an academic decision (e.g., failure of a comprehensive examination or thesis or project defense, or a dismissal), he or she must follow the *Student Handbook* appeal process.

### **FERPA**

The Family Educational Rights and Privacy Act (FERPA) requires that UOG and all of its employees keep student records confidential. This applies to any written record of student performance, including grades (either for assignments or courses) and graduate studies forms like the Permission for Capstone Project and Completion of Thesis forms. Even accidental release of information is against the regulation if it occurs because faculty or staff failed to exercise due care. For example, do not leave student records in places where they can be easily viewed by others, i.e., unattended computer displays, open files on the top of your desk, stacks of graded papers in hallways, grade sheets posted on your office door, etc. It's also forbidden to disclose the contents of records verbally, even though the record itself is not released. The rules apply even if parents, spouses, siblings, close friends, or employers of the student request the information, unless of course the student has given express written permission for the release of records or information. It is permitted to share or discuss student records with University faculty and staff and administrators if there is a legitimate educational reason for doing so.

A current or former student's request for a reference constitutes permission for you to discuss your knowledge of the person's qualifications, which might include (for example) grades in courses you taught, but it does not include permission to print the student's transcript or make copies of other student records and attach them to the reference.

It can be a particularly awkward situation when a student's friends or relatives hover in the hallway waiting for the result of an oral comprehensive examination or thesis defense. In the case of a pass, it's highly unlikely that anyone will mind if the good news is announced, but fails are a touchier situation. If you do encounter someone who asks about an exam result, if it was a fail it's best to say, "I'm sorry. You'll need to discuss that with John [the student]". The person is likely to infer bad news from that statement, but it doesn't actually reveal any confidential information.

A faculty member's discussing his or her individual opinion of a student is not a violation of FERPA, but in some circumstances this can be inappropriate and unprofessional. Of course it is not a problem to say something like, "Ellen's thesis project is going well. She's resolved that contamination problem." Negative information, like "Bob is quite a bit behind schedule with the data report; I'll be talking with him about it tomorrow," can also be acceptable. For example, you should respond accurately if you are answering another student, who needs to see Bob's results in connection with a collaborative research project. On the other hand, most would agree that the following answer is inappropriate: "Bob is a slug. I am tired of trying to work with him. He is never going to get that report done as far as I can see." Faculty members often consider their graduate students to be friends and colleagues, and that is mostly a good thing, but it is best to exercise considerable restraint in discussing other students' faults with them.

### **Discrimination / Title IX / ADA**

Students and employees are protected from discrimination based on race, religion, color, national origin, citizenship, age, sex, disability, marital status, changes in marital status, pregnancy, childbirth or related medical conditions or parenthood.

If a student thinks they have been the subject of discrimination by a UOG employee (including faculty) they can contact the dean of their school or college, the Director of Graduate Studies, or they can contact the Title IX Coordinator / EEO Director directly.

## **Financial Support and Other Resources**

### **Stanford and PLUS Loans**

The only type of federal financial aid available to graduate students is loans. U.S. DOE requires that these loans only support students enrolled in specific master's-degree or teaching certificate programs. Students with questions should be directed to the Financial Aid Office.

### **Research and Teaching Assistantship Program (RTAP)**

RTAP participants receive a stipend, health insurance; a tuition award based on workload and in some cases may include payment of fees. RTAP support is provided by grants/contracts and includes a tuition payment for no more than 12 credits during each semester if the workload is 15-20 hours per week. Teaching Assistantships may involve teaching courses, leading a discussion section, supervising a laboratory, grading papers, or meeting with students. Research Assistantships are most common in STEM fields, but can be available in other fields as well. Research assistants work in laboratories and other settings to assist faculty on research projects related to the student's course of study.

### **Graduate Teaching Instructors**

Graduate students in English may, after completing the EN610 and EN650 course sequence, teach composition courses at the University of Guam. The Division of English and Applied Linguistics maintains strict protocols for achieving this status. These are teaching assignments, subject to the approval of the dean, and all other rules for part-time instructors at UOG.

### **Mary Spencer Micronesian Studies Scholarship**

Dr. Mary Spencer, Dean Emerita of the University of Guam's College of Liberal Arts and Social Sciences, sponsors a \$500 annual scholarship for students in the Micronesian Studies program. Recipients must be full-time students in good standing, maintain a GPA of at least 3.0, and be a resident of Guam, the Freely Associated States (Republic of the Marshall Islands; Federated States of Micronesia; Republic of Palau), or the Commonwealth of the Northern Marianas Islands. Applicants must submit at least one letter of recommendation.

### **William Marmie Micronesian Studies Scholarship**

Dr. William Marmie sponsors a \$500 annual scholarship open to students in the Micronesian Studies program at the University of Guam. Recipients must be full- or part-time students in good standing, maintain a GPA of at least 3.0, and be a resident of Guam, the Freely Associated States (Republic of the Marshall Islands; Federated States of Micronesia; Republic of Palau), or the Commonwealth of the Northern Marianas Islands. Applicants must submit at least one letter of recommendation.

### **Master's Thesis Research Supplemental Grants in Community Coastal Development**

UOG SeaGrant provides graduate students research support that enhances their knowledge and capacity of Guam coastal users and coastal user groups, with the long-term goal of equipping Guam coastal user groups with the knowledge and tools needed to make sound, sustainable land use and coastal resource decisions. Students may apply for up to \$5,000 in funding to support research activities, including costs related to materials and supplies, travel, professional development or training, and stipends to support modest living expenses.

### **TEACH Grant**

The federal TEACH Grant is available to UOG education majors. The grant amount is up to \$4000 annually and is not based on financial need. Students who receive a federal TEACH Grant must complete a service obligation by serving as a highly-qualified teacher in a designated high-need field at a low-income school for four years within eight years of completing a TEACH Grant eligible program. Failure to complete teaching service will result in the TEACH Grant being converted to an unsubsidized Stafford loan with retroactive interest.

### **Yamashita Educators Corp**

This Government of Guam Yamashita Educators Corp scholarship program is aimed at supporting the training of teachers by providing payment of tuition and fees, a textbook allowance of up to \$350 per regular semester and up to \$150 for summer session, and a monthly stipend. Applicants must be a bona fide resident of Guam for at least one (1) year immediately preceding award of the assistance AND either a citizen of the United States or a permanent resident alien, have been admitted to the School of Education at the University of Guam; be pursuing a teaching degree in a high needs field as defined by the Guam Department of Education; agree to practice education in a public school funded by the government of Guam in areas of need upon graduation and certification to practice on Guam. The repayment obligation is to be employed for a period of two (2) years for every academic year of scholarship received by the recipient, the semester immediately upon conferral of degree. Any loan found to be forfeited shall be immediately due and payable monetarily.

**Pedro “Doc” Sanchez Professional Scholarship**

The Pedro "Doc" Sanchez Professional Scholarship for Career Employees of the Government of Guam shall be available to all classified government employees who belong to the career service of the Government of Guam, including the Judiciary, who desire undergraduate studies in public administration, or in other undergraduate degree programs offered at the School of Business and Public Administration, or who wish to enroll in the graduate M.P.A. or P.M.B.A. programs offered at the School of Business and Public Administration. Recipients are required to major in any undergraduate degree offered by the School of Business and Public Administration, College of Natural and Applied Sciences and the College of Liberal Arts and Social Sciences and graduate degrees in business or public administration. Recipients not majoring in public administration must minor in public administration.

Applicants must be a classified government of Guam employees with a minimum of two (2) years of classified service beyond the probationary period, prior to commencing studies under the scholarship. Most applicants must submit two letters of recommendation: (1) a letter from any government, education, or community leader on Guam (preferably from leaders who have direct knowledge of your work and academic capabilities as an employee within the Government of Guam) and (2) from your supervisor, department, or agency Director. An additional letter is required for autonomous agency applicants, from your Agency Director and/or Finance Officer indicating the financial support of tuition/fees and books, should you get selected to be a Pedro “DOC” Sanchez recipient.

Recipients will receive payment of tuition and fees, an allowance of up to three hundred fifty (\$350) per regular semester, and up to one hundred fifty dollars (\$150) per summer semester for textbooks, and a monthly stipend. The Repayment Obligation is to be employed for a period of two (2) years for every academic year of scholarship received by the recipient, the semester immediately upon conferral of degree. Any loan found to be forfeited shall be immediately due and payable monetarily.

## ACADEMIC INTEGRITY

### **Institutional Research Board**

All projects which involve human subjects and which are conducted at or sponsored by the University, regardless of the absence or presence of support, and regardless of who else may have revised them, must receive prior approval from the Institutional Review Board (IRB).

### **Institutional Animal Care and Use Committee**

The University also adheres to the standards for protecting animal research subjects promulgated by the National Science Foundation, the National Institute of Health, and the U.S. Department of Agriculture. Any research conducted on animals must receive the approval of the Institutional Animal Care and Use Committee.

### **Intellectual Property**

The University defines intellectual property as: Copyrightable Creative and Course Content and Patentable Inventions such as: tangible research materials, computer software, and any unique or novel innovation in the technical arts or any new and useful improvements thereof, including methods or processes for creating an object or result (a way of doing or making things), machines, devices, products of manufacture, product designs, or composition, layout designs for printed circuit boards or integrated circuits, compositions of matter, materials, any variety of plant, and any know-how essential to the practice or enablement of such innovations and improvements, whether or not patentable or patented.

A Creator who is a Student, and not also Personnel, may retain ownership rights to Intellectual Property Created through no more than Incidental Use of UOG resources, subject to those restrictions that may be required by an external sponsor, if any. A Student shall own the copyright to his or her thesis unless an agreement supporting the underlying work specifies otherwise. Under all circumstances, UOG shall have an unrestricted royalty-free license to reproduce and disseminate Student theses.

For Students who conduct a thesis project that is tied to a faculty member's ongoing research/outreach (through a funded project, grant, or contract) authorship of publications generated as a result of this research/outreach may be subject to institutional and Principle Investigator (PI) prerogative, as well as conditions established by the funding agency. Any thesis project that is supported fully, or in part, by institutional and/or federal funds is subject to joint authorship and other conditions. Prior to embarking upon a thesis that is fully, or in part, funded by UOG and or federal grant funds, considerations regarding authorship and other conditions must be agreed upon in writing by the Office of Research and Sponsored Programs, the PI/Thesis Chair, Dean, and the Student.

Students are strongly encouraged to publish their thesis research. However, there may be occasions when a Student who conducts independent research, without any funding from UOG or through federal funds, is not interested in publishing their own research findings. In this case, a Student may, in writing, grant permission to their faculty chair and/or other committee member(s) to publish findings from the research project/thesis. The resulting publication(s) must acknowledge the Student.

## **Addressing Research Problems**

The specific examples below can't include all of the problems a faculty member may face in helping a student to complete a thesis or special project. Here we try to cover common problems and a few rare, but serious problems, and the initial solutions that can be tried. However, both students and faculty members vary, and we understand that some situations are very difficult to resolve. In general, if you don't know what to do in a particular case, ask your program chair. If they don't resolve the problem, you can talk with the dean with academic oversight of the program or with the Director of Graduate Studies.

If your student is not making any (or much) progress you need to meet with the student regularly and frequently, and work with him or her to identify and remove barriers to progress. In consultation with the student, set a written schedule and require biweekly or monthly progress reports (or partial drafts, if at the thesis writing stage). It's usually best not to take a punitive approach as this can kill a student's enthusiasm and motivation.

However, in severe cases, especially when external deadlines loom, it may be necessary to specify consequences, such as a withdrawal of funding, or even dismissal, if the schedule is not met. If matters get to this stage, the consequences should be a collective decision of the entire committee, and the student should be provided with an explicit written warning.

### **Your student is not working hard enough**

First, make sure your requirements for student effort are reasonable. Yes, graduate students must work hard. However, early in their programs students must juggle the demands of their classes with research requirements. Throughout their programs, most students do better if they have some free time to relax and unwind.

It's important to meet with the student and ask, "Why?" Once the problem is identified, it is usually easier to come up with solutions. Think about the working environment. There may be problems a student is reluctant to admit to you, e.g., personality conflicts within your research group.

Finally, the student may have personal or family problems that limit work time. If there are serious problems it may be best for the student to take a leave of absence until they can be resolved. Most advisors try to accommodate students who must take up to several weeks off for illness or serious family emergencies. However, if a student is unable to meet the requirements of an RA over longer periods, it may be impossible to continue the assistantship.

### **You suspect mental health concerns**

If it seems that the student has a serious mental health problem or is abusing drugs or alcohol, then the Isa Psychological Service Center or the Student Counseling Office may be able to help. Most faculty members do not have the skills to address such problems and should avoid trying to fill the role of a professional counselor.

### **Your student is overly dependent on you for directions**

This is often the case, initially. Break up large tasks into smaller, easier parts, but allow and expect the student to take the initiative on those. Gradually increase the length and complexity of tasks. In some (extreme) cases, insist that the student solve some problems: "I know you can handle that yourself. Go ahead."



### **Your student is overly sensitive**

Your student does not respond well to criticism, i.e., takes offense or does not improve: Nobody likes to be criticized, and it is difficult to criticize constructively. Consider the following approach:

- Allot sufficient time for the meeting, without interruptions, and when neither of you is likely to be tired, hungry, or unusually cranky.
- Avoid criticizing in front of others, except that sometimes-advisory committees need to work as a group.
- Do not criticize the person (as opposed to their work) or use vague, general criticisms like “You are the worst student I have ever had”, or “You are just terrible at lab work”.
- Keep criticisms specific to a few issues that need improvement. If there are many such issues, prioritize and save some for later.
- Offer specific instructions for improvement (if appropriate) or ask the student for an improvement plan.
- Praise as well as criticize. Don’t criticize at every encounter (the 80/20 rule works for No Criticism/Criticism, too).
- Be calm and courteous, even if the student is defensive.
- Listen carefully to the student’s response or explanation. Agree or disagree, but avoid being drawn into an argument.
- If the discussion is no longer constructive, end it, but offer an appointment for later.

### **Your student avoids you**

Again the question is, “Why?” The student may be reluctant to tell you about a lack of progress, he or she may fear criticism (especially if you have been frankly critical in the past), or you may be too busy (or seem so to the student). Of course the student has responsibility to stay in touch with you, but it can be very helpful if you make the extra effort to initiate contact (try an intermediary if the student won’t talk to you). Advisors do have the authority to require student attendance at reasonably scheduled meetings. If the student fails to attend such meetings, and fails to return phone calls and emails, it can be grounds for an unsatisfactory progress report and ultimately, dismissal. Be absolutely certain you use current contact information.

### **Your student does poor quality research work**

The best approach to this depends on the reason. Many new graduate students have very little practical research training or experience. They may not know how to keep good records or carry out many of the specific tasks you expect of them. In this case the student needs additional instruction on expectations or techniques. On the other hand, perhaps you have not allowed sufficient time to do quality work. Perhaps the student needs a little less time pressure. Another possibility is that the student needs more supervision. For example, a student who knows that you will look through his or her lab notebook every Friday may be more likely to keep a neat, complete, and up-to-date notebook.

### **Your student writes very badly**

It’s best to try to deal with this early in a student’s program, because it will be painful to both of you if writing is still a serious problem when the thesis or project must be completed. Many students would benefit from a formal course or courses in writing, e.g., EN 314 Technical Writing. Students also benefit from practice; you may want to require a student with weaker writing skills to submit written progress reports on his or her research. The Writing Center may be available to help with written assignments and, in a limited way, with thesis writing. Please contact the Director of Graduate Studies to make arrangements with the Writing Center if you wish to refer a graduate student. (Writing Center resources do not extend to editing entire theses). In some cases, a student may need to hire an editor to produce a well-written final thesis. Often the least expensive editor is another graduate student in the same program.

**Your student is not complying with research ethical or regulatory requirements**

As PI or co-author, you may be held responsible. Hence, this cannot be overlooked. To prevent serious problems, appropriate training is important. UOG's Office of Research and Sponsored Programs offers on-line training in several important areas, as well as seminars and workshops. However, if your student needs specialized training for compliance, it may be necessary for you to seek and pay for (through your grant or contract) training outside UOG.

**APPENDIX A**  
**FACULTY FORMS**

**APPLICATION FOR GRADUATE FACULTY STATUS****Faculty Name:** \_\_\_\_\_**Degree (level and discipline):** \_\_\_\_\_**Graduate Program (one per form):** \_\_\_\_\_**Instruction at the graduate level:**

*Please list graduate-level courses taught over the preceding three years (including 400/G courses).*

**Course****Term****Advising at the graduate level:**

*Please list the names of graduate students for whom you served as the major advisor for the preceding three years.*

**Scholarship (discovery, integration, teaching, and/or application):**

*Please list citations for the preceding three years.*

*External-Peer-Reviewed Publications*

*Paper Presentations at Conferences with Refereed Abstract Submissions*

*Invited Presentations to Conferences and Meetings*

*Other Publications or Presentations*

**Service to the graduate program:**

*Please list service on thesis and special project committees as well as other service to the graduate program for the preceding three years.*

**Signature of Faculty\*** \_\_\_\_\_ **Date:** \_\_\_\_\_

*\*This signature also authorizes the Dean with oversight of the graduate program to access your personnel files to verify the information that you have submitted.*

**APPROVALS**

| UNIT                         | SIGNATURE | DATE  |
|------------------------------|-----------|-------|
| Graduate Program Chair       | _____     | _____ |
| Dean                         | _____     | _____ |
| Director of Graduate Studies | _____     | _____ |

**Entered into Graduate Bulletin:** \_\_\_\_\_ **(Initial)** \_\_\_\_\_ **(Date)**

## THESIS DEFENSE EXTERNAL OBSERVER'S REPORT

|  |                          |   |                            |  |                           |
|--|--------------------------|---|----------------------------|--|---------------------------|
| <b>Observer:</b>                                   |                          |   |                            |  |                           |
| <b>Graduate Program</b>                            |                          |   |                            |  |                           |
| <b>College of Liberal Arts and Social Sciences</b> |                          |   | <b>School of Education</b> |  |                           |
|  | MS Clinical Psychology   |   | MA Counseling              |  | M.Ed. Special Education   |
|  | MA English               |   | MA Teaching                |  | M.Ed. Admin & Supervision |
|  | MA Micronesian Studies   |   | M.Ed. Reading              |  | M.Ed. Secondary Education |
| <b>College of Natural and Applied Sciences</b>     |                          |   | M.Ed. TESOL                |  |                           |
|  | MS Biology               | <b>School of Business and Public Administration</b> |                            |  |                           |
|  | MS Environmental Science |   | MPA                        |  |                           |
|  | MS SAFNR                 |   | PMBA                       |  |                           |

### Thesis Defense Information

|                          |  |  |   |  |  |
|--------------------------|--|--|---|--|--|
| <b>Student</b>           |  |  |   |  |  |
| <b>Faculty Chair</b>     |  |  |   |  |  |
| <b>Committee Members</b> |  |  |   |  |  |
|                          |  |  |   |  |  |
| <b>Location</b>          |  |  | <b>Date</b>                             |  |  |
| <b>Start Time</b>        |  |  | <b>End Time (after Q&amp;A session)</b> |  |  |

|                            |                          |      |                          |       |                          |  |
|----------------------------|--------------------------|------|--------------------------|-------|--------------------------|--|
| <b>Attendance</b>          | <input type="checkbox"/> | 5-10 | <input type="checkbox"/> | 10-20 | <input type="checkbox"/> | More than 20 (Note: Include everyone.) |
| <b>Any Notable Guests:</b> |                          |      |                          |       |                          |  |
|                            |                          |      |                          |       |                          |  |

### Part II: Observations about the Presentation

|  |   |
|--|---|
| <b>Length of Presentation</b> - How much time did the student use to present the student's thesis project? | <div style="text-align: center;"> <b>Professionalism of the Presentation</b><br/>           (Scale of 1=Poor to 10=Excellent)         </div> <div style="border: 1px solid black; width: 100%; height: 40px; margin-top: 5px;"></div> |
| <b>Length of Q&amp;A Session</b> - How much time was used for the Q&A Session?                             | <b>Comments:</b>  |

**How was Q&A session handled?** For example: Describe the rotation of questions posed by the committee. Did the Chair open Q&A up for the audience in attendance?

**Was the defense appropriately rigorous?** Provide specific examples about the rigor of the defense (or the lack thereof).

**Were issues about the manuscript discussed in the meeting?** Include information about when issues about the manuscript were discussed during the defense, e.g., during the Q&A Session only, during the student's presentation.

### **Part III: Observations About Improvement Opportunities**

**What suggestions for improvement could be made to the program?** Provide specific recommendations based on evidence observed during the defense.

**What ideas for improvement could be taken back to your own program?** What lessons from the defense would you recommend adopting for your graduate program?

**Please provide additional comments/reflections on topics that are not addressed in these questions. Use a separate sheet and please attach to this report.**

**Please submit reports to the Director of Graduate Studies within five business days of the defense.**

**Please indicate if you would like to share your comments with the committee chair.**



**APPENDIX B**  
**STUDENT FORMS**

- 1. Application for Graduate Status**
  - a. Includes two letters of recommendation.
  - b. Includes statements of goals, accomplishments, and reasons.
  
- 2. Program Entry Form**
  - a. Must be completed in first semester.
  - b. Allows a student to enter a program for financial aid purposes.
  - c. Requires a student to meet with the program chair.
  - d. Allows the program to admit conditionally or fully.
  - e. Sets the student's *Bulletin* year.
  
- 3. Contract Change Form**
  - a. Allows the student to declare elective courses and emphasis of study.
  - b. Allows the student to make declaration of thesis, non-thesis, or other option.
  - c. Allows the student to itemize courses for transfer.
  - d. Requires the student to meet with the program chair.
  - e. Can modify the *Bulletin* year, at program chair's discretion.
  
- 4. Permission for Capstone Project Form**
  - a. Establishes a thesis committee.
  - b. Allows student and chair to acknowledge responsibilities.
  - c. Allows student to state research parameters.
  - d. Requires program chair and dean to approve committee.
  - e. Should be completed before 3 credits have been completed or at proposal defense, whichever occurs first.
  
- 5. Completion of Thesis Form**
  - a. Documents completion of thesis.
  - b. Changes all applicable 695 credits to P.
  - c. Replaces signature page in thesis documents.
  
- 6. Application to Graduate**
  - a. Completed prior to last semester.
  - b. Provides a degree audit – often reveals need for change of contract.



Graduate Admissions Office

## GRADUATE PROGRAM ENTRY FORM

**Please Note:** This form is strictly for applicants who already submitted admission requirements to Graduate Admissions Office.

**NOTE:** In the event you do not submit this requirement, a registration restriction will be placed in your student account that will prevent you from registering for any course. Make sure to submit ALL graduate admission requirements to prevent any delay in registration.

|  |                        |
|--|------------------------|
| FULL NAME (PLEASE PRINT)   | SSN/ID#                |
| GUAM MAILING ADDRESS   | PERMANENT HOME ADDRESS |
| PHONE:   | WORK:                  |
| CELL:  | EMAIL:                 |
| I WISH TO TAKE (STATE GRADUATE DEGREE PROGRAM YOU INTEND TO PURSUE)  |                        |
| STUDENT'S SIGNATURE<br><b>X</b>  | DATE                   |
| <b>FOR OFFICIAL USE</b>  |                        |
| <p><b>Recommendation by the Program Chair</b></p> <p> <input type="checkbox"/> Full Acceptance*         <input type="checkbox"/> Conditional Acceptance (for up to 12 credits)         <input type="checkbox"/> Not Accepted       </p> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 60%; border-bottom: 1px solid black;"></div> <div style="width: 35%; text-align: right;">Program Chair's Name &amp; Signature</div> <div style="width: 5%; text-align: right;">Date</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 60%; border-bottom: 1px solid black;"></div> <div style="width: 35%; text-align: right;">Dean's Name &amp; Signature</div> <div style="width: 5%; text-align: right;">Date</div> </div> <p style="font-size: small; margin-top: 5px;">*Dean's signature is required if you are fully accepted into the graduate program</p> |                        |
| EVALUATION REMARKS:  |                        |



Graduate Admissions Office

### PERMISSION FOR INDIVIDUAL CAPSTONE PROJECT

|                          |            |
|--------------------------|------------|
| FULL NAME (PLEASE PRINT) | UOG ID NO. |
| PHONE:                   | WORK:      |
| CELL:                    | EMAIL:     |

|                                 |  |   |  |
|---------------------------------|--|---|--|
| <input type="checkbox"/> THESIS | <input type="checkbox"/> INTERNSHIP WITH REPORT (EV) | <input type="checkbox"/> CREATIVE THESIS (EN) | <input type="checkbox"/> PORTFOLIO REVIEW (EN) |
|                                 | <input type="checkbox"/> RESEARCH PAPER (EV)         | <input type="checkbox"/> JOURNAL ARTICLE (EN) | <input type="checkbox"/> SPECIAL PROJECT       |

|   |                                   |
|---|-----------------------------------|
| PROPOSED TITLE OR TOPIC (SUBJECT TO CHANGE) _____               |                                   |
| IDENTIFY STYLE MANUAL OR JOURNAL TO USE FOR THIS PROJECT _____  |                                   |
| WILL THE RESEARCH DESIGN INVOLVE HUMAN SUBJECTS?                | Y      N                          |
| WILL THE RESEARCH DESIGN INVOLVE VERTEBRATE ANIMAL SUBJECTS?    | Y      N                          |
| ARE THERE EXTERNAL FUNDS TO BE USED RELATED TO THE PROJECT?     | Y      N                          |
| GOAL FOR PROPOSAL DEFENSE DATE (N/A FOR SPECIAL PROJECTS) _____ | GOAL FOR FINAL DEFENSE DATE _____ |

| ADVISORY COMMITTEE           | NAME  | POSITION | SIGNATURE |
|------------------------------|-------|----------|-----------|
| CHAIR                        | _____ | _____    | _____     |
| MEMBER                       | _____ | _____    | _____     |
| MEMBER                       | _____ | _____    | _____     |
| ADDITIONAL MEMBER (OPTIONAL) | _____ | _____    | _____     |
| ADDITIONAL MEMBER (OPTIONAL) | _____ | _____    | _____     |

|   |  |
|---|--|
| <b>STUDENT ACKNOWLEDGMENTS:</b><br>I, the undersigned, understand that I am responsible for: <ol style="list-style-type: none"> <li>1. arranging for meetings with my chair at least once a semester</li> <li>2. attempting to set and meet deadlines and timelines</li> <li>3. maintaining enrollment in 695 credits until the thesis is completed or terminated, if attempting a thesis</li> <li>4. applying for appropriate IRB or IACUC review, as appropriate</li> <li>5. applying to graduate prior to my final semester</li> </ol><br>_____<br>Student's Signature | <b>CHAIR ACKNOWLEDGMENTS:</b><br>I, the undersigned, confirm that I am reasonably available for: <ol style="list-style-type: none"> <li>1. meeting with my student whenever needed</li> <li>2. guiding my student's deadlines and timelines</li> <li>3. providing feedback in a timely manner</li> <li>4. sponsoring the IRB or IACUC review</li> <li>5. evaluate if enough progress has been shown to merit IP grade</li> </ol><br>_____<br>Chair's Signature |
|---|--|

|       |   |
|-------|---|
| _____ | <b>GRADUATE PROGRAM CHAIR</b><br>My signature indicates that this student is a Candidate in our program, the faculty on the advisory committee are acceptable to the program, and that the project parameters indicated above are appropriate to our program. |
| _____ | <b>ACADEMIC DEAN</b><br>Approval for Thesis/ Special Project to Proceed   |

**Approved copy of this form to be forwarded to Graduate Admissions for records purposes.**

University Dr., Mangilao, Guam 96913 Tel. (671) 735.2205 Fax. (671) 735.2203  
 A Land Grant Institution accredited by the Western Association of Schools and Colleges  
 An Equal Opportunity Employer and Service Provider



Graduate Admissions Office

## CHANGE IN DEGREE PROGRAM REQUIREMENTS

STUDENT \_\_\_\_\_ STUDENT ID# \_\_\_\_\_ EMAIL: \_\_\_\_\_

Please make the following change(s) to the student's current Program Degree Requirements:

**1. CHANGE IN BULLETIN YEAR**

From: \_\_\_\_\_

To: \_\_\_\_\_

**2. COURSE CHANGE(S)**

*Please indicate what requirement category the change(s) applies (core courses, area of specialization, capstone, pedagogical knowledge, electives, etc.)*

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

Drop: \_\_\_\_\_ Credit: \_\_\_\_\_ Category \_\_\_\_\_

Add: \_\_\_\_\_ Credit: \_\_\_\_\_

**Action by the Program Chair**

Approved

Disapproved

\_\_\_\_\_  
Program Chair's Name & Signature Date

**Action by College Dean**

Approved

Disapproved

\_\_\_\_\_  
Dean's Name & Signature Date

**Action by the Registrar**

Approved

Disapproved

\_\_\_\_\_  
Registrar's Name & Signature Date



Graduate Admissions Office

### TRANSFER CREDIT REQUEST (GRADUATE)

**Instructions:**

1. Complete and sign this form; make sure to get all required approval and signatures.
2. Attach supporting document(s) that pertains to the course(s) you are requesting to transfer (e.g. Course Description, syllabus, copy of transcript, etc.) before submitting to the respective Program Chair and Academic Dean for their approval and signatures.
3. Submit completed form to Graduate Admissions Office for Registrar's signature and processing
4. Make sure to get a copy for your own file

**NOTE:** A maximum of 9 credits may be transferred into a program (1 quarter hours = 2/3 semester hours). Grades below "B" are not transferrable as a graduate credit.

|   |         |         |        |            |
|---|---------|---------|--------|------------|
| FULL NAME (PLEASE PRINT)  |         | SSN/ID# |        |            |
| PHONE:  | WORK:   | CELL:   | EMAIL: |            |
| DEGREE PROGRAM:   |         |         |        |            |
| TRANSFER COURSE   | COLLEGE | CREDIT  | GRADE  | UOG COURSE |
| _____   | _____   | _____   | _____  | _____      |
| _____   | _____   | _____   | _____  | _____      |
| _____   | _____   | _____   | _____  | _____      |
| STUDENT'S SIGNATURE   |         | DATE    |        |            |
| X   |         |         |        |            |
| <b>FOR OFFICIAL USE</b>   |         |         |        |            |
| <p><b>Action by the Program Chair</b></p> <p><input type="checkbox"/> Approved</p> <p><input type="checkbox"/> Disapproved</p> <p style="text-align: right;">_____</p> <p style="text-align: right;">Program Chair's Name &amp; Signature                      Date</p><br><p><b>Action by College Dean</b></p> <p><input type="checkbox"/> Approved</p> <p><input type="checkbox"/> Disapproved</p> <p style="text-align: right;">_____</p> <p style="text-align: right;">Dean's Name &amp; Signature                      Date</p><br><p><b>Action by the Registrar</b></p> <p><input type="checkbox"/> Approved</p> <p><input type="checkbox"/> Disapproved</p> <p style="text-align: right;">_____</p> <p style="text-align: right;">Registrar's Name &amp; Signature                      Date</p> |         |         |        |            |

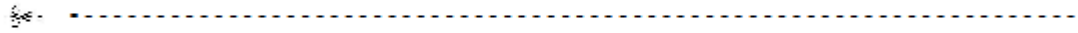
**THESIS/ SPECIAL PROJECT COMPLETION FORM**  
GS-TSP-1 (10/26/17)



|                          |  |                  |  |
|--------------------------|--|------------------|--|
| FULL NAME (PLEASE PRINT) |  | SSN/UC ID#       |  |
| EMAIL ADDRESS            |  | TELEPHONE NUMBER |  |

**APPROVED BY**

|                                 |                    |      |
|---------------------------------|--------------------|------|
| COMMITTEE SIGNATURE             | PRINT NAME LEGIBLY | DATE |
| COMMITTEE MEMBER'S SIGNATURE    | PRINT NAME LEGIBLY | DATE |
| COMMITTEE MEMBER'S SIGNATURE    | PRINT NAME LEGIBLY | DATE |
| COMMITTEE MEMBER'S SIGNATURE    | PRINT NAME LEGIBLY | DATE |
| COLLEGE/SCHOOL DEAN'S SIGNATURE | PRINT NAME LEGIBLE | DATE |



**THESIS/ SPECIAL PROJECT COMPLETION FORM**  
GS-TSP-1 (10/26/17)



|                          |  |                  |  |
|--------------------------|--|------------------|--|
| FULL NAME (PLEASE PRINT) |  | SSN/UC ID#       |  |
| EMAIL ADDRESS            |  | TELEPHONE NUMBER |  |

**APPROVED BY**

|                                 |                    |      |
|---------------------------------|--------------------|------|
| COMMITTEE SIGNATURE             | PRINT NAME LEGIBLY | DATE |
| COMMITTEE MEMBER'S SIGNATURE    | PRINT NAME LEGIBLY | DATE |
| COMMITTEE MEMBER'S SIGNATURE    | PRINT NAME LEGIBLY | DATE |
| COMMITTEE MEMBER'S SIGNATURE    | PRINT NAME LEGIBLY | DATE |
| COLLEGE/SCHOOL DEAN'S SIGNATURE | PRINT NAME LEGIBLE | DATE |

## APPENDIX C

### THESIS GUIDELINES

#### Committee Guidelines

At least one semester prior to completion of the degree, depending on the expectations of a specific program, a committee shall be formed consisting of a chairperson and at least two additional members, one of whom will be from outside the faculty of the area of the student's major. The function of the thesis committee is to guide each student in his/her research; thus, the committee, knowledgeable in the subject area, is primarily responsible for insuring that the content of the thesis is credible and that it is presented in the proper format.

Students will complete the Application for Thesis/Special Project to formalize the committee, including the chair. After this form has been approved, changes in committee chair may be initiated by students only upon approval of the Director of Graduate Studies. Other members of the committee can be changed to fit the needs of the project as it evolves, if the student and chair are in agreement.

#### Membership

Thesis committee members must be approved by the graduate program and the academic dean following these guidelines on the Permission for Thesis/Special Project Form. Exceptions must have the approval of the Director of Graduate Studies.

- The committee will consist of at least three, and no more than five, members.
- The Chair of the thesis committee must have graduate faculty status in the graduate program.
- One member of the committee must hold graduate faculty status in a different graduate program/discipline
- The other member(s) of the committee may or may not have graduate faculty status, but should have substantial expertise related to the research project.
- Retired and/or Emeritus faculty, faculty from other universities, and other professionals may serve on the committee.

#### Responsibilities

The thesis committee, most especially the committee chair, supervises the student's research project, culminating in a public defense of the project. The role of the committee is to assist with research issues that fall within the committee member's special area(s) of expertise. This includes a review of the research or project design and providing suggestions for improvement.

- Review and approve the Permission for Thesis/Special Project Form.
- Attend committee meetings and carefully review the student's materials
- Thoroughly review the thesis or project before the defense and see that a high standard of scholarship and writing quality are maintained throughout.
- Participate in the public defense of the thesis/project.
- Review the thesis/project before the final version is submitted to the academic dean to ensure that required corrections have been made.
- Sign the Completion of Thesis form

### **Committee Chair**

The committee chair is the supervising faculty member, who will assist the student in designing his or her research. The chair helps the student revise the design as needed based on the early results and other developments and meets frequently with the student to follow progress and assist with problems that arise with the research.

- Review and approve the Permission for Thesis/Special Project Form.
- Ensure that the student has obtained the required research approvals.
- Work with the student to set realistic timelines for completion of the thesis/project, and provide guidance and support towards meeting that timeline.
- Review drafts of the thesis or project, or portions thereof, in a timely manner. In ordinary circumstances, two to three weeks should be sufficient for a response. A variety of factors can result in longer review times, including other commitments and poor technical or writing quality of the draft. However, the faculty member should communicate these special circumstances to the student promptly and tell them when the review will be completed.
- Thoroughly review the final draft of the thesis/project before the defense. In addition to reviewing the content, see that a high standard of writing quality is maintained throughout the thesis/project.
- Chair the public defense of the thesis/project, and announce the committee's determination at the conclusion of the defense.
- Carefully review the thesis/project before it is submitted to the academic dean and confirm that all the changes required by the committee after the defense have been incorporated.
- Ensure that the student disseminates the defense announcement and public reading drafts to the university community via the Director of Graduate Studies.
- Make certain that the thesis/project, when in final form, conforms to the format and style requirements of the field of study, program, and University of Guam.

### **Review Process**

Following the review of the committee, the academic dean will approve the thesis for submission to the university library system. The Director of Graduate Studies will provide guidance to committee members, clarifications on procedural questions and style concerns, and arbitrate intellectual property concerns arising from student research.

### **External Observers**

The Director will assign an external observer to be present at each defense. The observer is not a voting member of the committee. The role of the observer is to assess whether the exam was fair and rigorous. However, the observer is not expected to be an expert in the student's field or on the specific thesis topic. Members of the Graduate Council or the Graduate Curriculum Review Committee shall first be approached to observe a defense, but anyone with graduate faculty status may provide an observation. External observers shall submit an observation report to the director.

### **Dean**

The role of the academic dean is to ensure the integrity of the research and compliance to institutional research standards. The Dean will review (or delegate a review of) sufficient portions of a thesis to see that a high standard of scholarship and writing quality are maintained. A thesis may be rejected on the basis of content if there is evidence that the research was carried out in a negligent manner.



**University Libraries**

Through the RFK Library submission portal, the library will accept the student's final documents and shall conduct a final check to ensure that they meet requirements for style and format.

**Manuscript Requirements**

It is the responsibility of each graduate student to follow these requirements for the preparation and presentation of the thesis and to follow additional practices of his/her specific programs. If the stated requirements are not met, the thesis will not be accepted by the thesis committee and the respective dean until the necessary corrections have been made.

**Intellectual Property**

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Students will follow the style guide prescribed by their chair, following conventions of professional journals in the discipline. The most commonly-used style guides are set forth by the American Psychological Association (for the social sciences, including education), the Modern Language Association (for composition, literature, linguistics), Chicago or Turabian (for the humanities), and Council of Biology Editors or Council of Science Editors style manuals in the sciences.

**Formatting**

The University of Guam will make no changes to the formatting of a submitted thesis; the manuscript is the responsibility of the author. The final copy must be correct in spelling, punctuation, and format. Any variations to the requirements below must be approved in advance by the Director of Graduate Studies.

*Format*

The University of Guam no longer accepts hard copy thesis submissions. The final thesis submission will be made by a portable document format file (PDF). This should be generated by the word processing program rather than scanned.

*Font*

The text must be a 12-point font, such as Times New Roman. The text should be double-spaced, but extended quotations should be single-spaced and indented from each margin. Students should follow their style manual for indentation and justification.

### *Pagination*

Students should follow their style manual for headers and pagination. The page numbers of the document must be consistent to the PDF page numbers, so that readers can be referred to the correct page without confusion. Consequently, the title page, abstract, and table of contents can no longer be numbered with small roman numerals. The title page should be unnumbered, and numbering should begin on the abstract page, as page 2. Pagination must be continuous throughout the remainder of thesis.

### **Arrangement of Materials**

A thesis should have a structure that is consistent with general academic standards. The components of the work should be arranged in a logical way. The various sections of the thesis should be presented in the order and manner shown below.

1. *Title Page*. A model of the required format can be found on page 37.
2. *Abstract*. The Abstract is placed after the title page. The abstract must be between 100 to 500 words, and should be informative rather than indicative. The abstract should include keywords appropriate for a search engine. A model can be found on page 38.
3. *Acknowledgements (if any)*. Briefly acknowledge those individuals who helped you in your research or writing. Students may use the space to express their appreciation to thesis committee members, people who assisted in data collection or analysis, any sources of funding (including travel) that was obtained to conduct the research.
4. *Table of Contents*. Each thesis must have a table of contents which lists the chapter headings and the principal subheadings. The listing of headings and subheadings must be identical to that found in the text.
5. *List of Tables (if any)*. The listings must be identical to the first sentence of each of the table captions in the text. Each table should be positioned after the page on which it is first cited. In all disciplines, except for Biology, short tables can appear on the same page with the typed text. All tables included in the thesis must be cited in the text in consecutive numerical order.
6. *List of Figures (if any)*. The listing must be identical to the first sentence of each figure captions found in the text. Graphs, illustrations, diagrams, and photographs should be labeled as figures and numbered consecutively with Arabic numerals. All figures must be cited in the text and the figure page positioned after the page on which it is first cited.
7. *Text*. This is the bulk of the manuscript, divided appropriately into chapters and sections as guided by the thesis committee. Tables and figures are included in this section. If footnotes are used, they must be in accordance with the format in the prescribed manuals of style. In general, footnotes are discouraged, except in instances in which they provide significant clarity and perspective to the main text.
8. *References, References Cited, Literature Cited, or Bibliography*. All references cited in the text must be listed in this section. If you use the headings "References Cited," all references listed in this section must also be cited in the text, including references in the captions of the tables, figures, and plates.

9. *Appendices (if any)*. Appendices allow for the inclusion of detail information that would be distracting in the main body of the paper. Examples of items appropriate in an appendix are include mathematical proofs, lists of words, the questionnaire used in the research, a detailed description of an apparatus used in the research, etc. Please consult the appropriate style manual for information on formatting and conventions appropriate for appendices.

### **Submission Procedures**

The oral examination or thesis defense will be given at least one (1) week before the last day of classes in the term in which the degree is to be conferred, with all the members of the candidate's committee present. All oral examinations will be open to the University community, unless approved by the academic dean and director.

The defense must be announced to the campus community, as directed by the thesis chair, at least one week before the day of the final defense. A copy of this notice must be sent to [thesis@triton.uog.edu](mailto:thesis@triton.uog.edu) along with a PDF reading copy of the thesis manuscript.

The final version of the thesis must be uploaded by the last day of classes so that the grades can be recorded and thesis completion can be appropriately indicated on transcripts. The thesis will be uploaded to the RFK Library Repository Site, and the library will forward the electronic copy of the thesis to the bindery for printing. Students will enter the bibliographical data for their thesis and upload the following:

- PDF copy of the thesis manuscript
- Receipt of payment for the \$50 binding fee
- Intellectual Property Authorization
- Completion of Thesis Form
- IRB or IACUC approval letters, as appropriate

Deadlines are shown in the academic calendar of the current *Graduate Bulletin* for the last dates to announce a defense, hold a defense meeting, and upload the final, approved thesis document.

### **Grading Standards**

The standard thesis credit requirement is a minimum of six credit-hours. Depending on program requirements, these may be completed in one semester or more. Students are required to register for at least one thesis credit hour in each semester after all other degree coursework requirements have been completed and before submission of the thesis, as well as in the final semester when graduating.

The Thesis Committee Chair will submit a grade of "IP" when satisfactory progress has been made at the end of any semester in which the student is enrolled, until the defense has been passed. If the student has not made satisfactory progress, the grade of "NP" (no progress) should be recorded. An "NP" grade may affect a student's academic status and financial aid standings.

A passed thesis will convert all previous 695 course grades to "P" (pass). Should the student's performance be judged unsatisfactory, he or she may be permitted to repeat the examination but only if this is recommended by the committee and approved by the Academic Dean. At least three (3) months must elapse before re-examination.

**SAMPLE TITLE PAGE**

*(Note: 4 lines spaces between each block of information)*

TAXONOMIC TREATMENT OF THE GENUS  
GRACILARIA (RHODOPHYTA) IN THE MICRONESIA

BY

MARIA ANN CRUZ

A thesis submitted in partial fulfillment of the  
requirements for the degree of

MASTER OF SCIENCE  
IN  
BIOLOGY

SUPERVISORY COMMITTEE

Dr. Alpha Prime, Chair

Dr. Same Discipline

Dr. Another Discipline

Dr. Another University

Ms. Professional Content Specialist

UNIVERSITY OF GUAM

MAY 2019

**SAMPLE ABSTRACT****Abstract**

Begin the text of the abstract on this line and double space throughout. Normally, state the problem or hypotheses, the approach or methodology, and the principal and noteworthy findings or conclusions. Be brief and factual, but use complete sentences. Do not exceed 500 words; 100 may do. If necessary, the abstract may continue on a second page. Margins are the same as in the thesis. Remember that an abstract should be informative.

**Keywords:** *three to six, not capitalized, italicized words that would be appropriate for a search engine.*

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(To be signed, scanned, and uploaded as a separate document.)

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