

TABLE OF CONTENTS

Introduction	
Welcome from the Chair and Associate Chair	3
Welcome from the Student Services Staff	4
Department Facilities	5
Faculty Research Interests	6
Staff Responsibilities	10
AXESS and Registration Issues	11
Department and University Computer Resources	13
Campus Communication	13
University Resources	14
Transportation Issues	16
Building Issues and Resources	16
Academic Issues	
The Honor Code	19
Advisors	19
Registrar's Office	20
Deadlines	21
Grades	22
English Requirements	23
Graduation	23
The Graduate Degree Programs	
Co-Terminal Degrees	25
The M.S. Degree	26
The Honors Cooperative Program	27
Petition to the Ph.D. Program	27
The Engineer's Degree	28
The Doctor of Philosophy Degree	28
Oral Qualifying Exam	30
Candidacy	32

Research Dissertation	33
Oral Dissertation Defense Examination	34
Participation in Teaching	35
Forms	
Academic Program and Progress Forms	37
Special Circumstances Forms	38
Registrar's Office Special Circumstances Forms	39
Department Only Forms	40
Financial and Non-Academic Forms	41
Financial Information	
Getting Paid	43
Individual Tax Payer Identification Number	43
Social Security Number	43
Two Kinds of Pay	43
Fellowships	43
Employee Payroll	43
Fellowship Regulations	44
Research Assistantship Responsibilities	44
Course Assistants	45
Course Loads	45
Student Appointments	46
Your University Bill	46
Working Elsewhere - US Citizens	46
Working Elsewhere - International Students	47
Stanford Policies	
The Honor Code	48
The Fundamental Standard	49
The Policy on Campus Disruption	50
Smoke-Free Environment	51
Controlled Substances and Alcohol	52
Sexual Harassment	57



STANFORD UNIVERSITY
STANFORD, CALIFORNIA 94305-2205

DEPARTMENT OF MATERIALS SCIENCE AND ENGINEERING

September 2007

Dear Student in Materials Science and Engineering:

Welcome to the 2007-2008 academic year at Stanford University and the Department of Materials Science and Engineering.

The faculty and staff are here to help you develop the technical background and intellectual agility for a productive and rewarding lifetime career. Along the way you will establish relationships and make lifelong friends among the Stanford's culturally diverse and talented population. We hope that this process is, if not painless, at least rewarding.

We encourage you to try a variety of classes and explore new areas. Your first year is also an important time to identify that area of research that will ignite your interest and become the focus for your ultimate degree. You should make an effort to get to know the faculty, their research interests and group style. Although you have each been assigned an academic advisor, finding a faculty group for your research home should be one of your highest priorities.

It is our hope that your experiences at Stanford will contribute appreciably not only to your technical excellence but also to your understanding of what it means to relate personally to a variety of other individuals. The faculty and staff are ready to be of service to you in this pursuit.

Robert Sinclair
Chair

Reinhold H. Dauskardt
Associate Chair

Dear New Student,

We are very glad you have chosen to attend Stanford!

This handbook has been prepared in the hope that it will be of continuing help to you during your study at Stanford. It discusses the various requirements, rules, practices and procedures that are necessary for you to navigate the University, School of Engineering and department bureaucracy toward your degree. It is the responsibility of both the faculty and the Student Services Staff to make sure that a Stanford graduate degree is meaningful and significant. These rules and procedures are designed to facilitate that goal as well as meet the various University rules that apply to students at Stanford and in this department.

The information given in this handbook should be considered supplementary to, but not replacing, that which is contained in the official University publications, particularly the Stanford Bulletin which you should pick up from our office. In event of significant differences, the Stanford Bulletin takes precedence unless explicitly noted otherwise in the text of this handbook. Please contact the Materials Science Student Services Office with any questions.

It is also important that you check other resources such as the Graduate Student Handbook to help you understand all of the University policies. This is available on the web. The web has many resources and is available at any time to help answer questions you may have.

The staff of the department stand ready to help you in any way we can while still allowing you to maintain responsibility for your academic progress and direction.

On behalf of the staff, we appreciate having you among us and wish you success in your studies at Stanford.

Fi Verplanke
Student Services Manager

Doris Chan
Student Services Coordinator

DEPARTMENT AND ITS FACILITIES

The Department of Materials Science and Engineering is concerned with the relation between the structure, processing and properties of materials. One important goal of this work involves the development of processes for altering the structure of materials and thereby controlling their properties. This field brings together, in a unified discipline, developments in Physics, Chemistry and Biology that are applied to modern materials of technological, engineering and scientific significance. Materials scientists and engineers utilize a distinctive suite of characterization techniques that probe materials structure down to the atomic level. Moreover, our faculty is becoming increasingly involved with nano-technology, energy related materials and bio-chemical processing. Research is often done in interdisciplinary teams within the department and in collaboration with scientists and engineers from other departments at Stanford and institutions outside Stanford University.

Students can earn a Bachelor of Science, a coterminal B.S./M.S., a Master of Science, Engineer or Doctor of Philosophy degree. In a typical year there are approximately 15 undergraduate and 150 graduate students. The high number of graduate students reflects the emphasis that the department has on research. Most students are advised by one of the professors with a primary appointment in the department or the professors who have courtesy appointments in the department. A few students are advised by some of the more than 60 professors who do materials research in other departments at Stanford University. Many students collaborate with these professors, who are part of a very strong community studying materials science and engineering at Stanford.

The Thomas F. Peterson Engineering Laboratory houses equipment for optical, scanning, and transmission electron microscopy, x-ray diffraction, metallography, wet chemistry, mechanical testing of bulk and thin film materials, UHV sputter deposition, electrical and magnetic measurements, vacuum annealing treatments and metal forming. The Geballe Laboratory for Advanced Materials (McCullough Building) houses equipment for electrical, magnetic and optical measurements, fabrication of metal-organic chemical vapor disposition, bulk crystal growth, scanning probe microscopy, scanning electron microscopy, transmission electron microscopy, electron microprobe, x-ray photoelectron spectroscopy, and x-ray diffraction. The Center for Research on Information Storage Materials (CRISM) is also located in the McCullough Building. Students frequently use the Stanford Synchrotron Laboratory (SSRL), the clean room facilities in the Center of Integrated Systems (CIS) and the labs of collaborators in other departments at Stanford University.

The Faculty and Their Areas of Research

David M. Barnett, Professor - Materials Science and Engineering and Mechanical Engineering; [Ph.D. (Materials Science), Stanford University, 1967.] Dislocation mechanics, elastic waves in anisotropic solids.

(650) 723-4143, Building 550, Room 550K, E-Mail: barnett@stanford.edu

**Arthur I. Bienenstock*, Professor - Applied Physics and Materials Science and Engineering; [Ph.D. (Applied Physics), Harvard University, 1962.] Diffraction phenomena, amorphous solids and synchrotron radiation.

(650) 724-6866, McCullough Building, Room 337, E-Mail: arthur.bienenstock@stanford.edu

**John C. Bravman*, Vice Provost of Undergraduate Education, Bing Centennial Professor, - Materials Science and Engineering, Chair Center for Materials Research, Dean of Freshman Sophomore College; [Ph.D. (Materials Science & Engineering), Stanford University, 1985.] Semiconductor materials processing, thin film mechanical properties.

(650) 723-3698, Building 550, Room 550I, E-Mail: bravman@stanford.edu

Mark L. Brongersma, Assistant Professor - Materials Science and Engineering; [Ph.D. (Materials Science), FOM Institute, The Netherlands, 1999.] Nanoscale electronics and photonics, explores materials and structures for use in nanoelectronic and nanophotonic devices, development and design of nanoparticle based memories and subwavelength-scale waveguides

(650) 726-2152, McCullough Building, Room 349, E-Mail: brongersma@stanford.edu

Bruce M. Clemens, Professor - Materials Science and Engineering; [Ph.D. (Applied Physics), California Institute of Technology, 1982.] Metal thin films, superlattices, interfaces, interface reactions, metastable phases, magnetic materials, x-ray diffraction.

(650) 725-7455, Building 550, Room 551B, E-Mail: clemens@soe.stanford.edu

Yi Cui, Assistant Professor - Materials Science and Engineering; [Ph.D. (Chemistry), Harvard University, 2002.] Nanoscale phenomena; Nanocrystal and nanowire synthesis and self-assembly; Electron transport in nanomaterials and at the nanointerfaces; Electronic devices and sensors.

(650) 723-4613, McCullough Building, Room 343, E-mail: yicui@stanford.edu

Reinhold H. Dauskardt, Associate Chair, Professor - Materials Science and Engineering; [Ph.D. (Materials Science), Combined: UC-Berkeley & Wits University (South Africa), 1988.] Microstructure and mechanical behavior of materials. Fracture, fatigue, and environmentally-assisted failure in metals, ceramics, composites and bio-materials.

(650) 725-0679, Building 550, Room 550G, E-Mail: dauskardt@stanford.edu

Seung Min J. Han, Acting Assistant Professor - Materials Science and Engineering; [Ph.D. (Materials Science), Stanford University, 2006]. Mechanical behavior of thin films and small scale structures. Nanoindentation of thin film on substrate systems. Microcompression of submicron sized structures.

(650) 723-1284, Building 550, Room 550J, E-mail: smhan@stanford.edu

Sarah C. Heilshorn, Assistant Professor - Materials Science and Engineering; [Ph.D. (Chemical Engineering), Caltech, 2004]. Molecular-level design of self-assembling materials. Biomaterials for regenerative medicine and tissue engineering.
(650) 723-3763, McCullough Building, Room 246, E-Mail: heilshorn@stanford.edu

Michael D. McGehee, Associate Professor - Materials Science and Engineering; [Ph.D. (Materials Science), University of California – Santa Barbara, 1999] The electrical and optical properties of nanocomposites made of semiconducting polymers, rare earth complexes, nanowires, and self-assembled mesoporous metal oxides. The incorporation of light-emitting polymers into photonic crystals.
(650) 736-0307, McCullough Building, Room 215, E-Mail: mmcgehee@stanford.edu

Paul McIntyre, Associate Professor - Materials Science and Engineering; [Sc.D. (Ceramics) Massachusetts Institute of Technology, 1993.] Diffusion, chemical reactions, and phase transitions in thin films and coating; materials processing; ceramics.
(650) 725-9806, McCullough Building, Room 243, E-Mail: pcm1@stanford.edu

Nicholas A. Melosh, Assistant Professor - Materials Science and Engineering; [Ph.D. (Materials Science), UC Santa Barbara, 2001]. Molecular characterization and actuation based on nanoscale components. Device structures for biomolecular detection and dynamic control of self-assembly.
(650) 724-3679, McCullough Building, Room 223, E-Mail: nmelosh@stanford.edu

Friedrich B. Prinz, Professor - Mechanical Engineering and Materials Science and Engineering, Rodney H. Adams Professor of Engineering; [Ph.D. (Physics), University of Vienna - Austria, 1975.] Rapid prototyping via thermal spray deposition, geometric modeling, manufacturing systems.
(650) 723-0084, Building 530, Room 220, E-Mail: fbp@cdr.stanford.edu

Alberto Salleo, Assistant Professor – Materials Science and Engineering; [Ph.D. (Materials Science), UC Berkeley, 2001]. Novel materials and processing techniques for large-area and flexible electronic/photonic devices. Ultra-fast laser processing for electronics, photonics and biotechnology. (650) 725-1025, McCullough Building, Room 239, Email: asalleo@stanford.edu

Robert Sinclair, Chair, Professor - Materials Science and Engineering; [Ph.D. (Materials Science), Cambridge University, 1972.] High resolution electron microscopy, interface structure and phase reactions in solids, magnetic materials.
(650) 723-1102, Building 550, Room 550L, E-Mail: bobsinc@stanford.edu

Shan X. Wang, Professor - Electrical Engineering and Materials Science and Engineering; [Ph.D. (Electrical Engineering), Carnegie-Mellon University, 1993.] Growth and characterization of magnetic materials. Design and fabrication of devices for information storage.
(650) 723-8671, McCullough Building, Room 351, E-Mail: sxwang@ee.stanford.edu

(* Less likely to accept new students due to other administrative commitments)

Professors by Courtesy

Stacy Bent, Professor - Chemical Engineering and by Courtesy Materials Science and Engineering, by Courtesy Chemistry, by Courtesy Electrical Engineering; [Ph.D. (Chemistry), Stanford University, 1992.] Semiconductor Processing and surface reactivity, modification of semiconductor surfaces, scanning tunneling microscopy of organic monolayers, amorphous semiconductors, probing radicals in materials processing, microcontact printing for retinal implantation

(650) 723-0385, Stauffer III Building, Room 215, E-Mail: Stacey@chemeng.stanford.edu

Ian Fisher, Associate Professor - Applied Physics and by Courtesy, Materials Science and Engineering; [Ph.D. (Physics), University of Cambridge, UK, 1996.] Magnetism and correlated electrons in new or exotic materials. Focus on the design, growth and characterization of single crystals and quasicrystals to enable the study of various magnetic and electronic ground states and phase transitions. Particular interest in designing systems that preserve at least some magnetic entropy to low temperatures.

(650) 723-5821, McCulloch Building, Room 359, E-Mail: irfisher@stanford.edu

Curtis W. Frank, Professor - Chemical Engineering and by Courtesy, Materials Science and Engineering; [Ph.D. (Chemical Engineering), University of Illinois, 1972.] Polymer physics and interface science, ultrathin organic films, polymer photophysics.

(650) 723-4573, Stauffer III Building, Room 105, E-Mail: curt@chemeng.stanford.edu

James S. Harris, Professor - Electrical Engineering and by Courtesy, Materials Science and Engineering, James and Eleanor Chesebrough Professor of Engineering, Director of the Solid State Labs; [Ph.D. (Electrical Engineering), Stanford University, 1969.] Molecular beam epitaxy and quantum well structures for electronic, optoelectronic and non-linear optical devices.

(650) 723-9775, CIS-X Building, Room 328, E-Mail: harris@snowmass.stanford.edu

Harindran Manoharan, Assistant Professor - Physics and by Courtesy, Materials Science and Engineering; [Ph.D. (Electrical Engineering), Princeton University, 1997.] Nanoassembly using atomic and molecular manipulation, studies of isolated and interacting magnetic moments, local probes of correlated electrons in reduced dimensions, local response of novel superconductors, exploring new paradigms in computation, atomic and molecular electronics, organic molecules and life structure.

(650) 723-7263, McCulloch Building, Room 348, E-Mail: hari@physics.stanford.edu

Yoshio Nishi, Professor (Research) - Electrical Engineering and by Courtesy, Materials Science and Engineering, Director of Research, Center for Integrated Systems, Director, Stanford Nanofabrication Facility [Ph.D. (Electrical Engineering), University of Tokyo, 1973] Nanoelectronic Devices and Materials

(650) 723-9508, CIS Building, Room 103, E-Mail: nishiy@stanford.edu

James D. Plummer, Professor - Electrical Engineering and by Courtesy to Materials Science and Engineering; Dean, School of Engineering; John M. Fluke Professor, Director - Stanford Nanofabrication Facility; [Ph.D. (Electrical Engineering), Stanford University, 1971.] Semiconductor materials and devices, primarily silicon. Computer modeling of fabrication technology and device physics.

(650) 725-3606, CIS-X Building, Room 330, E-Mail: plummer@ee.stanford.edu

Krishna Saraswat, Rickey/Nielsen Professor in the School of Engineering, Professor of Electrical Engineering and Professor of Materials Science & Engineering (by courtesy). [Ph.D. (Electrical Engineering) Stanford University, 1974]. New and innovative materials, structures, and process technology of silicon, germanium and III-V devices and interconnects for nanoelectronics.

(650) 725-3610, CISX Room 326, E-Mail: saraswat@stanford.edu

Jonathan F. Stebbins, Professor - Geological and Environmental Sciences and by Courtesy, Materials Science and Engineering, Associate Dean for Academic Affairs - School of Earth Sciences; [Ph.D. (Geology), University of California - Berkeley, 1983.] Nuclear magnetic resonance, structure and dynamics of oxide liquids, glasses, and crystals.

(650) 723-1140, Green Earth Sciences Building, Room 259, E-Mail: stebbins@pangea.stanford.edu

Joachim Stöhr, Professor - Stanford Synchrotron Radiation Laboratory and by Courtesy to Materials Science and Engineering; Deputy Associate Director of the Stanford Linear Accelerator Center; [Ph.D. (Physics), Technical University of Munich, Germany, 1974] Development of soft x-ray techniques, mainly spectroscopy and imaging. Studies of magnetic materials, nanostructures and their dynamics.

(650) 926-2570, SSRL, Bldg. 137, Room 313, E-Mail: stohr@slac.stanford.edu, Web: <http://www-ssrl.slac.stanford.edu/stohr/index.htm>

Active Emeritus Professors

Robert S. Feigelson, Professor Emeritus (Research) - Materials Science and Engineering; [Ph.D. (Materials Science & Engineering), Stanford University, 1974.] Crystal growth of biological, electronic, optical, and superconducting materials.

(650) 723-4007, McCullough Building, Room 248, E-Mail: feigel@soe.stanford.edu

Theodore H. Geballe, Professor Emeritus - Materials Science and Engineering and Applied Physics; [Ph.D. (Physical Chemistry), University of California at Berkeley, 1949.] Condensed matter, and superconducting and magnetic oxides.

(650) 723-0215, McCullough Building, Room 358, E-Mail: geballe@stanford.edu

Stig B. Hagstrom, Professor Emeritus - Materials Science and Engineering; [Ph.D. (Physics), University of Uppsala, Sweden, 1961.] Surface sciences using electron spectroscopy, thin film deposition processes.

(650) 723-2617, Building 550, Room 551G, E-Mail: hagstrom@stanford.edu

William D. Nix, Professor Emeritus - Materials Science and Engineering, Lee Otterson Professor of Engineering; [Ph.D. (Materials Science), Stanford University, 1963.] Dislocation mechanics, mechanical behavior of solids in bulk and thin film form.

(650) 725-2605, Building 550, Room 550H, E-Mail: nix@soe.stanford.edu

Robert L. White, Professor Emeritus - Electrical Engineering and Materials Science and Engineering, Director - Center for Research on Information Storage Materials; [Ph.D. (Physics), Columbia University, 1954.] Magnetism, especially thin films and multilayers, origins of magnetic anisotropy, magneto-transport properties such as magnetoresistance and giant magnetoresistance, magnetic media for data storage, especially lithographically patterned media, influence of microstructure in thin films upon magnetic properties.

(650) 723-4431, McCullough Building, Room 341, E-Mail: white@ee.stanford.edu

STAFF

Jane Edwards, *Department Manager* – Building 550, Room 551D, 723-2615, jane.edwards@stanford.edu

Handles all administrative financial functions in the department including hourly pay matters, as well as managing all of the administrative issues related to the building. If you need to purchase anything or get reimbursed for anything, Jane can provide you with information. If you have a problem with phones, see Jane.

Fi Verplanke, *Student Services Manager* – Building 550, Room 551F, 724-6784, verplanke@stanford.edu

Oversees all student services functions. Concentrates on student RA and fellowship pay, academic progress, and coordinating admissions processes. Manages all the administrative steps of student progress toward graduation as well as coordinating academically related information from faculty. If you have any questions about what to do next in your degree program, deadlines, processes, questions about what to take, how the department works academically, or where your financial support is, see Fi.

Billie Kader, *Department Administrative Associate* – Building 550, Room 551A, 723-2534, bkader@stanford.edu

Handles general department coordination, mail distribution, package delivery, keys, department purchasing card, orders supplies, supports the department Chair and the faculty in the Peterson Building. If you have problems with the plumbing, lights, the copy machine or other general building issues, see Billie.

Doris Chan, *Student Services Coordinator* – Building 550, Room 551E, 725-2648, dschan@stanford.edu

Handles University room scheduling requests, special classroom equipment orders, coordinates admissions files, handles Postdoc appointments, coordinates textbook orders, course schedule and bulletin publication, lab safety training, MSE Newsletter publication and applicant special visitations. If you have a question about the colloquium schedule or set up/clean up duties, course schedules, undergraduate requirements or safety training procedures, see Doris.

Christina Konjevich, *Administrative Associate* – McCullough Building, Room 333, 723-0698, konjevic@stanford.edu

Handles administrative support for the Mat Sci faculty on the third floor of the McCullough Building and the CRISM program. If you are in the research group of one of these faculty members, see Christina to coordinate your pay, reimbursements, etc.

Elies McKone, *Administrative Associate* – McCullough Building, Room 250, 723-3183, evmckone@stanford.edu

Handles administrative support for the Mat Sci faculty on the second floor of the McCullough Building. If you are in the research group of one of these faculty members, see Elies to coordinate your pay, reimbursements, etc.

GETTING ORIENTED

MISCELLANEOUS INFORMATION

AXESS and REGISTRATION ISSUES

AXESS

AXESS is the computerized registration system used to submit a study list (aka "register"); change your address; request transcripts; apply for graduation; check completion of milestones, or academic status; check your bill, arrange direct deposit of checks, arrange for payroll reduction to cover your housing and other fees; and see publicly available information such as housing resources, library information, etc. AXESS is available on the Web and has instructions for how and when to complete various AXESS tasks. You can use the Web for more information on AXESS. Please pay attention to the deadlines on AXESS to avoid late fees or other unpleasant consequences.

You must keep your address, phone and e-mail information up-to-date in AXESS. This is the source everyone at Stanford uses to put you on class notification lists, send you e-mails or letters, and find you in general. All University offices use the contact information in AXESS, and checks are mailed to your current AXESS mailing address. NOTE: If you do not have an office location or day phone, please enter your home phone into the space for an office phone number and type "No Office - Mat Sci Eng" in the office location section. Please avoid leaving either of these spaces blank, or with the default entry. The e-mail address is especially important as it is now the most widely used form of communication for sharing important information throughout the University and the department.

Units and Tuition

The issues of units and tuition amounts can be confusing. For purposes of being considered a full-time student - for such things as delaying student loan payments or for Homeland Security regulations - 8 units is the minimum you can take and have it be considered a full-time graduate load.

Graduate students funded by the department or the School or on outside fellowships are generally funded for the 8-10 unit tuition rate, and this should be the default amount in our software system. The tuition for 8-10 units for Engineering students this year is \$8040. Make sure you are in the system for this rate - unless you have an outside fellowship (i.e. NDSEG) that provides a maximum tuition allowance and you register for additional units of course work. Students funded from their own funds or another outside source need to talk to their advisors to see how many units are recommended. If you are doing a course work only degree, you may be able to handle an additional course or two, and it may work to your advantage to pay the maximum tuition, take more units, and complete your degree more quickly. You must take at least 8 units as Stanford University only allows full time study.

For purposes of working, especially on-campus as a 50% RA or CA, the 8-10 units is considered half time. In such instances, the 50% appointment as an RA or CA is considered half time work by the University, and in this case, 8-10 units is considered the maximum amount

of course work a student can handle while working half time (i.e. 20 hours per week). In addition to the 20 hours of work on the research project or as a course assistant, the student is expected to study for courses and/or pursue his or her own research to meet degree requirements. Occasionally, students receive 25% appointments that require 10 hours of work per week. We may sometimes use a 15% course assistant appointment to do grading.

If you are receiving an SGF fellowship, or one of many outside fellowships, you can only take 8-10 units of course work because that is the amount of tuition provided, and it is considered a full-time load with time for you to pursue your research interests.

Because one of the requirements established by the University for graduation is a certain number of “residency units” and because you will achieve your residency requirement more quickly by taking 10 units per quarter rather than 8 units, for the same amount of tuition payment, we strongly encourage you to take 10 units per quarter. This may affect the amount of tuition that needs to be paid later in your graduate career.

Study List

Within two weeks of when the quarter begins, you must submit a study list. The study list tells the University and the department exactly what courses you will be taking in a given quarter. Pay attention to the deadline! There are very serious consequences to missing these deadlines such as fines, not being able to obtain the health care subsidy, or your pay. In order to register, you will have to provide the information about the course that is given in the Stanford University Time Schedule - that is, the complete course designation. The list of courses will be displayed in AXESS. Discuss your plans for what courses you will take with your advisor BEFORE the quarter begins (or certainly within the first week of the quarter at the latest). Courses move quickly at Stanford and starting in a graduate class the third week of the quarter puts you behind, even though it is allowed by University policy.

The PeopleSoft system demands that you register for courses in a given “career”. Make sure you are using the correct degree – graduate or undergraduate. This is especially important for Co-terminal students pursuing two degrees at once. You will need to submit separate study lists for your undergraduate degree and your graduate degree. Pay attention to this.

DO NOT WAIT until the very last minute to submit things in AXESS. The system is limited as to how many people can be on it at one time. It is not always fast. The Academic Standing Office has made it VERY clear to staff that they will not be sympathetic to allowing late changes in study lists, etc. because students waited until the last minute and could not get on the system, or because students did not take the time to learn how to use it to register correctly. The department staff and faculty have no ability to influence or change those decisions made by the Registrar’s office staff or make exceptions to their rules.

Faculty Designations

When registering for any type of independent study, research, TGR, teaching participation, or the Practical Training Internship course, you must use the correct faculty name. Grade lists for faculty to complete are based upon you registering for such research or independent study with that faculty member. If you do not show up on the grade list, you will not receive credit for the course.

For these faculty specific courses, the faculty names will pop up in AXESS if you have the proper box checked on the screen. You must choose the box on the screen that requests a faculty list before you start the process of choosing the course. Choose the name that corresponds to the name of the professor who is supervising your research or teaching. These faculty members must be approved by the department in order to appear on the list (not all the

faculty of the University are available – only the ones who work with our students). Make sure you have chosen the correct person's name. If the name does not appear in AXESS, see the student services staff. Both the Time Schedule and AXESS will tell you that a faculty name is required.

DEPARTMENT and UNIVERSITY COMPUTER RESOURCES

The Department of Materials Science and Engineering maintains computers in the student resource center, room 550B for students in the department to use. Computers are also available in Sweet Hall, Terman, in the library and in the registrar's office (just for quick registration issues). Each research group in the department maintains computers for the use of the students doing research in that group and on those related projects.

University rules require that all software installed on any campus computer be a licensed copy and that no software be copied from University computers to be used on another computer. Violations of these rules are considered violations of the Honor Code and will be investigated and treated as such.

We ask that you do not install software on the department machines. We also ask that you limit the use of department computers and printers to students who are members of the department - the department resources are not for anyone in the University to use. Academic use takes priority over recreational or personal use (e.g. web surfing, personal e-mail, etc.) It is also important to be considerate of others at crunch times in the year so that everyone has a chance to finish assigned work and make use of the available resources. You may politely preempt a recreational or personal user if you need the computer for serious work. We assume cooperation from all of you in helping to make things work smoothly.

CAMPUS COMMUNICATION

E-Mail and Electronic Information

The University urges all students to establish an e-mail account prior to arriving or within the first week of arriving on campus at the latest. You should have received information about how to establish a SUnet ID and account in your registration packet. It is crucial to enter the data on the student AXESS system as soon as possible. The system is user-friendly, but if help is needed, it can be reached at TEL: 5-8181, or from the main information windows of the Registrar's Office. Please remember to enter information into each of the fields even if it is duplicated, because each field serves a separate purpose.

We expect you to maintain up-to-date e-mail and mailing addresses in the "Address" portion of the student AXESS system. Graduate students are also required to enter their office location and (daytime) phone number. Both the department and the University will use this information to communicate with you.

You can send a message to all students in this department by typing "mse-students@lists.Stanford.edu". It is used often to notify everyone of department events, reminders, colloquium notices, job listings, and to generally communicate. We must have your email address to put you on this list and send you personal notes about things you need to do.

Department Mail

Mat Sci Student mailboxes are located in the Student Resource Center, room 550B. These are not private mailboxes and are grouped by letters in the alphabet of your last name. They are not widely used. The department does not sort and distribute personal mail. With 160+ active students, plus those who are away or recent graduates, it is simply impossible for us to manage student mail. For this reason, **please do not use the department as a mailing address for any personal mail at all, not even as a temporary measure.** Please be aware that once mail is sent to the department, the post office here will never forward it even if you file a change-of-address card. (Mail will only be forwarded by the post office from a former personal address.) To receive mail on campus, we strongly recommend that you take advantage of the campus PO Box service available through the Registrar's office. The post office is located in White Plaza next to the bookstore. We ask that you respect the mail rules.

World Wide Web (WWW)

Along with the e-mail communication system, the world wide web provides a valuable, current resource for the student community. The Stanford Home Page is useful for all Stanford students. It contains information pertaining to admissions, courses, faculty, staff, research, activities, policies, procedures, and other important aspects of the academic life of the University. Students will also find current copies of the Stanford Bulletin and the quarterly Time Schedules on-line.

The search function at the top of the left hand side of the Stanford home page helps you locate most things you will need if they are not readily apparent in the list at the left. Students will most often want the listings under "academic programs" or "students". The bottom of the page has a tab called "directory" which allows you to look up anyone at Stanford to find a phone number or e-mail address. There is also an alphabet listing near the middle of the top of the page that can be used instead of the search function. You will find most things you need relatively easily on the web. All Schools and departments maintain their own site in addition to the University site. The department has a home page that reflects information pertinent to Materials Science and Engineering.

UNIVERSITY RESOURCES

Libraries

Information concerning both procedures and regulations governing use of the University Library System can be obtained from the Office of the Main Library. Lending practices vary significantly from one branch library to another. Among the branch libraries of interest to students in the Department of Materials Science and Engineering are:

Engineering Library - second floor of the Terman Engineering Center.

Swain Chemistry Library - in the Keck building.

Physics Library - third floor of the Varian Physics Building.

Branner Earth Science Library - second floor of the Mitchell Earth Science Building.

Library Orientations are provided by all libraries at the beginning of the year - there is a flyer in your binder about where and when for the Engineering Library. We encourage you to attend one of these sessions to familiarize yourself with the system here at Stanford. Further information can be found on the library web site.

Career Development Center

The Career Development Center is located at 563 Salvatierra Walk, (650) 723-3963. Throughout the year, the C.D.C. presents a series of programs designed to give students the chance to become more aware of career options open to them. Career counseling is available as well as practice interviewing sessions.

Any Stanford student or alum who has completed or expects to complete his or her degree within the current academic year may establish a permanent placement file. The placement file consists of a resume and letters of reference. The file is mailed as you direct in support of an application for employment or admission to graduate school. The representatives of several hundred industrial, government, business and institutional employers hold interviews on campus each year. Information regarding companies that recruit, as well as many others, is available at the C.D.C.

Bechtel International Center

Foreign students are well served by the Bechtel International Center. They have the most up-to-date information about Department of Homeland Security rules and regulations and are there to help you navigate these very complex laws. Please make sure to obtain information from them BEFORE you leave the country - even to present a paper for a day, BEFORE your visa expires, BEFORE you take any kind of summer job whatsoever, BEFORE you change your degree level or department, BEFORE you seek a job following graduation. The rules about these things are complex and changeable and department staff cannot always keep up with all of the variations of circumstances. It is much easier to figure out how to approach something before it happens than try to fix it afterwards. With regard to immigration issues, these are US government laws - not department or University issues. Making mistakes can be extremely costly including forcing you to leave the country - so don't take chances here. Laws and enforcement of them are tightening, so pay attention.

Bechtel also offers an excellent orientation program, good examples of letters and other things you might need produced or signed in the department, tax workshops and programs for spouses. It is your best source of information and also provides excellent social support for you and your family. Be sure to become familiar with their resources and the staff.

Banking

There is a Wells Fargo Bank office and a Stanford Federal Credit Union (SFCU) office located on the second floor of Tresidder. ATMs for Wells Fargo Bank, SFCU, and Bank of America are located on the second floor of Tresidder and a generic ATM is located in the Stanford Bookstore. You will need to open a checking account in order to manage your finances. It is not a good idea to carry lots of cash around with you. You will need an individual tax ID number or a social security number and your Stanford ID (or passport) to open an account and also some money or a check to deposit. Both banks offer electronic banking and bill paying services as well as credit cards to students.

Wells Fargo offers a variety of accounts with costs that vary depending upon the amount of money you can keep in the bank. The advantage of Wells Fargo is that there are more branches around the entire state, as well as some other states, and more ATM's including in Safeway grocery stores, and they have longer banking hours than the credit union and some Saturday hours.

The Stanford Credit Union is located only on campus, though it has branches across from Escondido Village on Pampas Lane, at the hospital and at Tresidder Union. You can open a checking account for a one time \$5.00 membership fee. You must have proof that you are eligible, which your Stanford ID card will provide. The credit union also has a variety of types of

accounts with varying fees depending on the services you use and the amount you can maintain in the bank. It is generally less expensive than Wells Fargo, but their ATM's are only on campus and the bank is not open on Saturday at all. Once you have your accounts opened, you can do most of your banking by ATM. You actually can use other ATM's to get money from your account, but depending on the type of account you have, you must pay a small fee for using the machine.

TRANSPORTATION ISSUES

Parking

A fee must be paid for all automobile or motorcycle parking on campus. Parking regulations are strictly enforced. You can obtain information concerning eligibility for permits, purchase parking permits, pick up public transportation maps and schedules as well as bike route maps in the Transportation Program office on Bonair Siding. If you're living off-campus, there is a great program through this office called Clean Air Credits through which the University will pay you to not buy a parking permit. CalTrain runs between San Francisco and Gilroy. The closest CalTrain stations are the Palo Alto station off Palm Dr. and the California Ave. station off California Ave in Palo Alto. Minimum use of automobiles on campus is encouraged.

Bicycling

It is law that you must register your bike. Register your bike in the Transportation Program office on Bonair Siding. Lock your bike with a good heavy-duty lock ... many bikes have been stolen on campus. Bikes are allowed on CalTrain and the Marguerite shuttle. There is a local bike coalition list you can subscribe to by e-mailing bike-coalition@lists then entering "subscribe" in the body of the message. You are now in one of the most beautiful road and off-road riding areas in California ... take advantage of it.

Marguerite Shuttle

The Marguerite Shuttle is a system of buses that go around the campus, to the train station in Palo Alto off University Ave. and to the train station in Palo Alto off California Ave. all from 6:00 am to midnight. It also goes to Downtown Palo Alto over the extended lunch hour, to Town and Country Village and the Stanford Shopping Center. There are some special weekend runs to movie theaters and runs to the shopping center in Mountain View that has less costly stores for home needs. Schedules and maps are available in the Transportation Office on Bonair Siding and on the buses. Alternatively, check the transportation office web site.

BUILDING ISSUES AND RESOURCES

Keys

Students may obtain keys from the Department Administrative Assistant in Room 551A for the outside doors of the Peterson Building, specific rooms or laboratories to which they require access, and rooms and laboratories assigned to them in the McCullough Building. All health & safety requirements must be met first, and a refundable key deposit of \$20.00 per key is required. Students who are issued keys are expected to observe and enforce department security policies and procedures at all times. Keys are to be turned in when you leave - not passed along to other students - and you will get your \$20.00 back!

Locked Building

We maintain a locked building after 5:00 p.m. and on weekends. It is for your own safety and security. It is less likely things will disappear if the building is kept locked and less likely some unknown person will be roaming the halls. We ask that you do NOT prop open the doors when the building is locked. Remember your keys. Try to make sure your office is also locked when you leave for the day or for long periods of time. Many people do roam around the campus who

do not belong here. It is also important to close and lock your windows at the end of the day and over the weekend. Break ins have occurred, and things have been taken from offices in many buildings on campus.

Photocopying

Equipment is available at several locations on campus for photocopying materials. In Building 550, a photocopying center is maintained in Room 552A. Use of the photocopier is monitored through the input of a code number. Students may, with prior authorization, have accounts that are charged to their advisor's research account. Personal copying is not permitted on the Bldg. 550 photocopier. Most students use either the Terman Engineering Library or the Branner Earth Sciences Library in the Mitchell Building to do personal copying. Funds can be placed on your Stanford ID card for this purpose.

Research Supply Purchasing

Purchase requests are processed through the departments and/or centers that handle the accounts funding the purchase. Be aware that if you are working with a faculty member in another department, their administrative procedures for ordering materials may differ from the Department of Materials Science and Engineering.

All expenditures to be charged to a research account within the department require the approval of the student's research advisor and of Engineering Research Administration (located on the first floor of the Durand Building) or GLAM (located in the McCullough Building) depending on the funding source. If the purchase is related to teaching or unrestricted accounts, the responsible faculty member and the Department Manager must approve it.

Most purchasing is done via the Stanford on-line purchasing and reimbursement system. Please obtain information from how to use the system from an advanced student in your research group and from Jane Edwards who has instructions.

Materials and services from various stores and shops on campus are normally handled by the use of hard-copy Interdepartmental Requisitions (otherwise known as "SU-13's"). Many on- and off-campus services are also available via the use of the departmental credit card and petty cash reimbursement for out-of-pocket expenses. Please see the Department Manager or Department Administrative Associate for more information on these options. Approvals for these are necessary in the same way as for purchase requisitions described above.

Building Problems

Too hot? Too cold? Lights out? Window or door problems? Rest room problems? Report any general building problems to the Department Administrative Associate or to the Department Manager. Don't assume that someone has already reported the problem.

Office Space

Students in Materials Science and Engineering are not given office space until they join a research group and are assigned a place by their research advisor. For issues concerning the furniture, space or equipment in your office or lab area, see your research advisor.

Building Maintenance

Periodically, we will have fire drills, sprinkler system tests, chilled water or fume hood shutdowns, carpet or floor cleaning, etc. You will be notified when these are scheduled. It is important to take the appropriate actions when you are notified, or when an alarm sounds.

Smoking

University regulations and State of California law prohibit smoking in all buildings, including offices, hallways, and lavatories. Any smoking must be done at least 30 feet away from a building. You will find that California is very hard on smokers. There are also restrictions in crowded outdoor situations. The only place you can smoke undisturbed is in your own car or your own home (not in your dorm room, and often not even in a room in a house shared with others).

Telephones

The Stanford community and some of the surrounding areas are in area code 650. Telephones are available in various laboratories and offices, and on the mezzanine of the Peterson Building. Phones on the University system have prefixes of either 723, 724, 725, or 497. These numbers may be reached by dialing 3, 4, 5, or 7 followed by the last four digits. Off-campus numbers are reached by first dialing 9, then the entire seven digits if it is in the same area code. Outside the 650 area code, you must dial 9, then 1, then the area code, and then the full seven-digit number. Long distance calls can only be made from campus phones using a personal or Stanford resident long-distance access code. All charges will appear on personal phone bills. Some numbers in the 415, 408 and 510 area codes are still within the local dialing area, and may be reached without an access code. Essential work related long-distance calls may be made after receiving your advisor's consent and receiving an access code from your advisor. The code number is assigned to a particular research project and the call will be billed to the account number associated with the project. This code number should NEVER be used for personal calls or be made available to anyone else.

FAX

A fax machine is located in the department mailroom, room 551C. Instructions on how to send local and long distance Faxes are posted on the bulletin board near the fax machine. You must have a long distance code to use the FAX machine for long distance numbers. Faxes received for students are placed in the box underneath the FAX machine. Please check this box periodically if you are expecting a FAX. You will NOT be notified that one has arrived - this is your responsibility.

Refrigerator, Microwave

Room 555I contains a desks, couches, a dartboard, a refrigerator and a microwave for student use. Please toss out your old food from the refrigerator so that there is room for everyone's fresh lunch, and clean up the microwave if your food overflows. Remember, no metal or foil in the microwave - it will destroy the functioning of the machine. There is also a microwave in the lounge area on the third floor of the McCullough Building for those who have offices there. There is a soda machine in the student resource room, room as well as several other places on campus - most buildings have a soda machine somewhere.

Food

There are several places to obtain a wide variety of food on campus, especially for lunch. Snack bars exist in several buildings such as Terman, the Psychology Building, the GSB, Cubberley Education Building, Electrical Engineering, the Cantor Museum, as well as the several food options connected to Tresidder. Food options for dinner are considerably more limited. Have some older students show you to the best places to eat if you wish to purchase lunch or grab a snack.

Academic Information

General Academic Issues

EXPECTATIONS

The Fundamental Standard - The Honor Code

Stanford University has the distinction of maintaining an operation based on the Honor Code since 1921. It is expected that all aspects of student conduct will be in accordance with the Fundamental Standard and the Honor Code described in the University's Student Conduct Policies booklet and reprinted in the rear of this handbook. Simply by registering at Stanford, students indicate that they accept the provisions of the Honor Code and the Fundamental Standard.

It is your responsibility to read and understand these documents, to ask questions prior to doing something of which you are unsure, and to abide by these expectations. These standards are part of the basis of the value of your Stanford degree. In order to maintain the outstanding reputation of Stanford University, it is essential that all students adhere to these provisions. This approach is very different than the approach at many other American universities as well as universities in other countries. Ignorance of the rules is not considered an excuse for not obeying them.

These policies are enforced. Students and faculty do report violations they observe, and in fact, are required to do so. The Judicial Review Board does investigate and hear cases, and is required to do so once a violation is reported. Students are suspended or given other punishments for violations of these codes. Such sanctions may interrupt progress toward your degree, lead to other consequences such as withdrawal of faculty funding, or end your degree progress altogether depending upon other personal circumstances (such as a suspension which has the result of you having to leave the country.) Take this seriously.

While it is anticipated that faculty will make clear expectations for classes they teach, if there is any question about collaborating with other students on projects, ask ahead of time. Decisions about Honor Code issues are made by a Judicial Review Board composed of faculty, staff and student representatives - the individual faculty member does not control the handling of violations after they have been reported.

Advisors

All students are assigned a faculty member as an academic advisor. Your advisor is here to assist you in choosing your program and progressing toward your degree goals. He or she should be your main source of information and advice especially about academic issues. All Materials Science and Engineering students are initially assigned an academic advisor who has an appointment in the department. For most M.S. students doing a course work only degree, this will be your only advisor.

As Ph.D. students proceed along in their graduate career, it is expected they will choose a research advisor. The research advisor arrangement is made through mutual consent. Students try to determine what area of research they are most interested in pursuing, locate and talk with the faculty members who do this kind of research, and request to become part of that faculty member's research group. We encourage you to move toward this goal as soon as you can in your first year.

It is important to consider more than one possible research area. Generally, faculty members have limited funds, projects and other resources, and cannot always accept every student who wishes to work with them. In almost every case, a student has been able to find a faculty member with whom to pursue research, though we cannot guarantee it will be the student's first choice. **You must be affiliated with a research group by the end of Winter Quarter.**

Ordinarily, the research advisor will become the academic advisor as well. However, several students in this department choose to work with faculty members who have an official appointment in another department, with perhaps a courtesy appointment in this department. In such instances, the faculty member from this department will remain the student's academic advisor, and an additional person will supervise the research. In these cases, students must obtain signatures from the academic advisor or both faculty members on forms and petitions. Only Materials Science and Engineering faculty are really familiar with the departmental course requirements, and we expect to have significant input into your academic plan.

It is valuable to you to develop a good and strong relationship with your advisor(s) as this will influence your academic and post academic career significantly. Each advisor has a unique style, manner of approaching students and intellectual issues, and method of providing assistance to students. Your advisor cannot be expected to be aware of all your abilities or to anticipate all of your particular needs. It is up to you to discuss your expectations and needs with your advisor early in your academic career here.

In most cases, students who are in the most trouble are the ones who avoid their advisor. We strongly encourage you to discuss things often with your advisor so that you can avoid academic or research problems. If, for whatever reason, you are uncomfortable talking to your advisor, please see the Department Chair or the Student Services Manager. Both will maintain confidentiality and seek to help you resolve your issues as quickly and easily as possible. Students are always free to change advisors. Making such changes late in your degree program may cause delays, so do not allow issues to go unresolved and not discussed - that approach will only harm you.

You are encouraged to develop relationships with other faculty members as well. Each has unique contributions to make to both the department intellectual life and to individual students. You will need more than one faculty member to help you as you progress in your program and write your research report or dissertation. For example, three faculty members must read your dissertation.

Talk to the faculty. Communication initiatives are up to you!

Registrar's Office

All information relating to University degree requirements, and all deadlines as printed in this handbook are to be used as a guide only. For exact policies and information, always check the Stanford Bulletin, and/or the Quarterly Time Schedules. We do the best we can to provide correct information in the department. Sometimes rules or procedures change and there is a lag in communication. If you have questions, double check and try to insure that you are talking to the correct person with authority over the issue you are trying to resolve.

Department staff and faculty are not able to override University rules instituted or enforced by the Registrar's Office - or any other University Office. While we may be able to help you understand them, we cannot make any exceptions to them or waive requirements or fines. All of the rules are available to you, on-line if nowhere else. It is up to you to make sure you know and understand them. Lack of knowledge will not excuse you from following the rules, waive a fine, or get around the process. Department staff members are responsible for making sure that

you follow department policy. Many other areas of the University establish their own rules of which we are not always aware. You need to interact with all of the offices on campus such as the Registrar's office, the Student Financial Services office, Vaden Student Health services, the Graduate Admissions office, the English for Foreign Students office, the Housing Office, Bechtel International Center, etc. and integrate the policies each one enforces. If you choose a research advisor in another department, things might be done very differently there and you will have to adapt. We cannot know all the variations of every policy of every office. It can be confusing - but keep asking questions.

Deadlines

Specific deadlines for each academic year are clearly indicated in AXESS and are also on the copy of the academic calendar included in this handbook and in the Time Schedule. Please make notes on your personal calendar and meet these deadlines. The University sets these deadlines, and the department is not able to override them. It is your responsibility to keep track of such deadlines. Here are the general policy guidelines for changes in your study list.

Add, Drop and Other Deadlines for Courses

Deadlines are always Sunday night. The week classes begin is counted as the first week - from the Monday or Tuesday through to Sunday.

The study list deadline falls at the end of the second week of classes.

Courses may be added by students through the end of the third week of classes. This is also the deadline for students to increase the units in variable-unit courses already on their study lists. This is the critical deadline for graduate students – you must maintain the correct number of units and therefore actually dropping courses later puts you out of status because you will not have a full academic load.

Courses may be dropped by students through the end of the fourth week of classes without any record of the course being kept on the student's transcript. This is also the deadline for students to lower the units in variable-unit courses already on their study lists. No drops are permitted after this point, regardless of the grade or notation recorded in the course at the end of the quarter - including the "*", "I", "W", "NP", or "NC".

Students have until the end of the sixth week of classes to elect the grading option of their choice only in courses where the option of letter or CR/NC grading is offered.

A student may withdraw from a course after the drop deadline through the end of the eight week. In that case, a notation of "W" (for "Withdrew") will automatically be recorded on the student's transcript for that course. Students who do not officially withdraw from a class by the end of the eight week will be assigned the appropriate grade or notation by the instructor to reflect the work completed (or not completed, as the case may be!).

PLEASE NOTE: It is official University policy that you have the right to withdraw from courses this late in the quarter. However, this is more relevant for undergraduates who are taking course loads over the minimum needed to be a full time student. For graduate students receiving 8-10 units of tuition through their financial support, it is expected you will complete the 8-10 units being paid for. Foreign students dropping below the 8 units minimum are violating the terms of their visa and this will cause problems with Homeland Security. All University students are required to complete a minimum number of units per academic year to remain in good academic standing. If you drop below 8 units one quarter you will need to pay for additional units the next quarter in order to maintain your academic standing. Such an option does not work for students on 50% appointments. The units of financial support cannot be

averaged or moved from quarter to quarter. The School of Engineering does not allow full-time students to be enrolled on a part-time basis – only Honors Coop students can take one or two courses per quarter. For all these reasons, dropping courses or units late in the quarter below the minimum number can cause considerable problems for you. You will not be able to add research units past the add deadline – so be very careful.

If you have a serious illness or personal emergency which necessitates withdrawing from one or more courses in a quarter, please be sure to talk to both your advisor and the Student Services Manager as soon as possible so we can help facilitate making appropriate arrangements to meet this emergency. You will need to also work with the Student Disability Resource Center.

GRADES

Grading Notations

A = Excellent, B = Good, C = Satisfactory, D = Minimal Pass, NP = Not Passed (letter graded)
CR = Credit (student-elected satisfactory; A, B, or C equivalent)
S= Satisfactory (Instructor designated no letter grade option; A, B, or C equivalent)
NC = No Credit; unsatisfactory performance, D+ or below equivalent (pass or no credit course)
I = Incomplete; N = Continuing Course (grade issued upon completion); W = Withdrew
L = Pass, letter grade to be reported; * = No grade reported; RP = Repeated Course

Letter Grade Indicator Point Values

A+ = 4.3
A = 4.0
A- = 3.7
B+ = 3.3
B = 3.0
B- = 2.7
C+ = 2.3
C = 2.0
C- = 1.7
D+ = 1.3
D = 1.0
D- = .7
F = 0

Course Retakes

A student may retake ONCE any course s/he completed or withdrew from and have the original grade or notation replaced by the notation "RP" (for repeated course). When retaking the course, the student must register for the same number of units and the entire course number must EXACTLY match. If a course is being offered with a choice of grading options, the student may elect whichever grading option desired. Upon completion of the retake, the units for the first time the course was taken will be changed to 00, and the grade changed to "RP". The grade for the retake will be flagged to indicate it is a repeat. This grade will be the grade of record **even if** it is lower than the original grade. Students may not retake a course a third time unless an "NC" or "NP" was received the second time it was taken.

Incompletes

Students must make the appropriate arrangements with the instructor by the last day of classes in order to receive an Incomplete. An Incomplete should not be assumed, and if not asked for, and granted, the student will receive either the appropriate grade for the amount of work they did in the course or a failing grade (NP or NC). Instructors are not obligated to allow students to take an incomplete. Incompletes should only be requested when there are compelling reasons.

Incompletes given must be changed to a permanent grade or notation within one year of when it was first taken according to University policy. Faculty members may set earlier requirements for finishing incompletes. The University rule is secondary in this instance. If the "I" remains uncleared after one year, it will be changed automatically by the Registrar's Office to a "NP" or "NC" as appropriate. Remember that students may not drop courses for which an "I" has been recorded. Petitions to extend the one-year deadline are not granted nor may the incomplete be replaced with an "L" grade at the end of the one-year time limit - so give the instructor time to grade the project or test needed to complete the class.

English Requirements

Many international students are required to take English placement tests when they arrive and are given remedial English requirements to meet. These are highly recommended, and you should take them as soon as you can. Obviously, it makes no sense to wait until just prior to receiving your degree to take these courses. Stanford University will not allow you to remain in enrolled only to take English courses after you have met your other degree requirements. You are required to see the Student Services Manager with a copy of the requirements given to you to discuss the best method for you to take these courses. You will need to understand English to do well in your classes, as well as to speak in a manner that others can easily understand in order to communicate with faculty, staff and other students. English is critical for making presentations such as your qualifying exam presentation and giving professional papers later in your graduate career. This is important for your future success, so do not ignore these classes.

GRADUATION

Degree Conferral

In order to have your degree conferred, you must have completed all of the University and department requirements, and submitted all work before the deadlines. **There are no exceptions!** The University imposes requirements such as residency, submission of official scores and transcripts, payment of fees, return of library books, etc. that the department has no control over and sometimes no knowledge of - so we cannot "fix it up". Please pay attention to the messages, letters, and notes you receive and respond to them in a timely manner.

Notice of Intention to Graduate

You must file a Notice of Intention to Graduate ("apply to graduate") through AXESS for the quarter you complete the degree requirements. If you do not finish in time, you will need to annul the initial Intention to Graduate and submit a new one for the quarter you intend finish. Please refer to the University calendar for deadlines. **You will not be able to graduate unless you do this. There are no exceptions.** This is a University requirement. The deadline is listed in AXESS and on the academic schedule.

Graduation Quarter

If you have completed everything except for the report, thesis or dissertation, you may submit that and graduate while registering for a "Graduation Quarter" your very last quarter. **THIS "GRADUATION QUARTER" OPTION IS ONLY AVAILABLE FOR ONE QUARTER.** You must be registered the quarter prior to this (not on a leave of absence or doing an internship) and you should have filed TGR papers and defended your thesis before this. You will still need to file an Intention To Graduate that last quarter in AXESS. A small tuition fee will be charged and you will be considered a full-time student for various administrative purposes.

Commencement Ceremony

The Student Services Manager will have the necessary information regarding the University commencement ceremony in June for you to pick up and it is also available on the web. If you

completed your degree in June or in a previous quarter during that academic year, you will be encouraged to attend the ceremony where you will actually be able to receive your diploma. If you intend to finish your degree in Summer or next Fall quarter AND have defended your dissertation, or have unusual personal circumstances which would make going through the ceremony that year your only opportunity, permission may be granted for you to "walk-through" the Commencement ceremony. The Student Services Manager must approve this petition.

Diploma

Actual diplomas are distributed at the department Graduation Ceremony only **IF** you have told the University that you will be graduating, and **IF** you have stated that you will be attending the ceremony **AND** that you want to receive your diploma there. Otherwise, you can pick it up at the Registrar's Office. Diplomas are not ordered every quarter, so you may have to wait to get one if you do not graduate in spring or summer. Please make sure you state your choice about how you want to receive your diploma in AXESS when you apply to graduate. Letters of completion can be obtained for students who need proof of graduation.

ACADEMIC INFORMATION

THE GRADUATE DEGREE PROGRAMS

To receive a graduate degree from Stanford, a student must satisfy both the University's basic requirements with regard to units, residence and tuition (discussed in the Stanford Bulletin), and the specific requirements of the department. Students receive graduate degrees only upon the recommendation of one of the various departments, or by a University-approved special committee. All proposed Materials Science and Engineering degree programs are subject to approval by the academic advisor, the Student Services Manager and the Academic Degree Committee of the department, which has responsibility for assuring that each proposal is a technically coherent program.

CO-TERMINAL DEGREE PROGRAMS

A Stanford undergraduate may work simultaneously toward Bachelor's and Masters degrees, i.e., A.B. and BS, A.B. and M.S., A.B. and M.A., BS and M.S., or BS and M.A. The degrees may be granted simultaneously or at the conclusion of different quarters. Usually five years are needed for a combined program. Detailed requirements may be found in the Stanford Bulletin.

Stanford undergraduates who wish to continue their studies for the Master of Science degree in the Co-terminal Program should apply for entrance no later than the quarter prior to the expected completion of the undergraduate degree – generally in Winter Quarter for a student expecting to complete an undergraduate degree in Spring. The application must give evidence that the student possesses the potential for strong academic performance at the graduate level. The department's Admissions Committee will evaluate each application. Scores from the General Test of the Graduate Record Exam (GRE) must be reported before an application will be reviewed. Materials Science is a highly integrated and interdisciplinary subject, and applications from students of any engineering or science undergraduate major are encouraged to apply and participate. Preparing the paperwork and getting the appropriate signatures are the responsibility of the student. An LGI average (grade point average) of 3.0 is required for admission. Information and application forms for the Co-Terminal Program may be obtained from the Student Services Manager in the department.

The basic University requirements for the M.S. degree are discussed in the Stanford Bulletin. Students should follow the requirements listed in the Master of Science section in this handbook. Master's Program proposal forms should be filled out and submitted to the Student Services Manager along with the Co-term application. If you are currently an undergraduate in Mat Sci, have your advisor approve the course program proposal prior to submission. Final changes to the master's program must be submitted no later than one academic quarter prior to degree conferral.

THE MASTER OF SCIENCE DEGREE

The Department of Materials Science and Engineering requires a minimum of 45 units for a master's degree as described below. If a student has taken a course somewhere else substantially the same as a graduate course here, he/she may petition to substitute that course for a requirement and then take a different course to enhance the overall graduate program. Any such substitutions must be approved by the advisor and Advanced Degree Committee. The Master's Program Proposal form should be filled out, signed by the students' academic adviser, and submitted to the department Student Services Manager by the end of the student's first quarter of study. Any proposed changes in the course of study should be discussed with your advisor **prior** to making the change and approved on an appropriate form. Final changes to the master's program must be submitted **no later** than one academic quarter prior to degree conferral.

M.S. Degree Requirements

1. A minimum of 30 units of Materials Science course work, including the core and lab courses specified below for a letter grade. Research units, one-unit seminars, and courses in other departments (i.e. where students cannot enroll in a course with a Mat Sci subject code) cannot be counted for this requirement.
2. At least three core courses including: 203, 204 and 207. Materials Science undergraduates who are pursuing or plan to pursue a coterminal M.S. degree should consult with their academic advisor regarding appropriate core course choices.
3. Lab courses Mat Sci 171, 172, 173
Note: Students who have academic credit for equivalent lab courses at other universities, equivalent practical experience, and/or have a materials related degree or background are expected to file a petition with the Student Services Manager to have this requirement waived and substitute other appropriate technical courses for the lab units.
4. Fifteen units of approved course electives that result in a technically coherent program. Of the 15 units of elective courses:
Conditions:
 - a.) If writing a Master's Research Report, a minimum of 6 and a maximum of 15 units of Materials Science research units may be counted. M.S. research units may only be counted if writing a research report.
 - b.) A maximum of 3 units may be undergraduate units (offered at Stanford University).
 - c.) A maximum of 5 units may be used for a foreign language course (this may not include any remedial English courses, or courses in the student's native language if it is not English).
 - d.) The combination of seminar units, undergraduate units, and language units may not exceed 6 units total.
 - e.) The combination of research units, seminar units, undergraduate units, and language units may not exceed 15 units total.
 - f.) Twelve of the 15 units must be taken for a letter grade, unless submitting an M.S. Research Report.

5. A minimum Letter Grade Indicator (grade) average of 2.75 for all degree course work taken at Stanford.
6. All Program Proposals are subject to approval by the Student Services Manager and the Academic Degree Committee.

Master's Research Report

Students should submit a program proposal that includes the research units if they plan to prepare a Research Report. This program of study must include no less than 6 and no more than 15 units of Materials Science research. The Research Report submitted must be a reflection of the units counted – a 15 unit Report is expected to be more substantive and complex than a 6 unit Report. Final determination is up to the readers of the Report, who must be designated ahead of time.

If a student began with a course work only degree, changes his/her mind, and decides to do a Research Report after the original program proposal has been submitted, a new proposal with the research units included should be submitted for approval at least two quarters before the degree is granted.

The total combined units of Mat Sci research units, seminars, language courses, and undergraduate courses cannot exceed 15. If a master's research report is not to be submitted, units of Mat Sci 200 cannot be applied to the department's requirement of 45 units for the M.S. degree.

The research report must be approved by two faculty members. One faculty member is the student's research adviser. The other faculty member is chosen by the student, subject to approval by the department (see the Student Services Manager). Three copies of the report (one copy for each approving faculty member and one for the department library), in final form and signed by two faculty members, must be submitted to the Student Services Manager prior to the end of the final quarter of the program.

HONORS COOPERATIVE PROGRAM

A cooperative program for part-time graduate study has been arranged between Stanford and a number of companies in the vicinity. This program is administered by the School of Engineering, and information concerning it may be obtained from the Office of the Dean, School of Engineering, and from the Stanford Instructional Television Network (S.I.T.N.) Office in the Durand Building. TEL: (650) 725-3016.

M.S. students should be aware that they would not be able to take all of the necessary courses on-line in Materials Science. Attendance in courses offered only on-campus will be necessary to complete such a degree. Please make arrangements with your employer to be on campus during some quarters during the middle of the day to complete the needed course work. Currently it is not practical to plan to pursue a Ph.D. degree using this option.

PETITION PROCESS FOR TRANSFER FROM THE M.S. TO PH.D. PROGRAM

When a student is admitted to the graduate program, he or she is admitted specifically into either the M.S. or the Ph.D. program. Admission to the Ph.D. program is required for the student to be eligible to work towards the Ph.D. degree. A student in the M.S. program can petition to be admitted to the Ph.D. program by filing an "M.S. to Ph.D. Transfer Petition."

The M.S. to Ph.D. Transfer Petition is due by the end of the second week of the Spring Quarter during the student's first year in the M.S. program. Only students enrolled in the 200 series core

course sequence are eligible to petition, and an LGI (grade) average of 3.5 or better in the first two quarters of the core courses taken is required. The petition must be accompanied by a one-page statement of purpose stating why the student wishes to transfer to the Ph.D. program, and two letters of recommendation from members of the Stanford Faculty. One letter should be from the student's prospective advisor and at least one letter must be from a Materials Science faculty member belonging to the Stanford Academic Council.

Transferring to the Ph.D. program is a competitive process and not routinely approved. You are essentially reapplying to the Ph.D. program by using this option. All applications are reviewed by the Department Chair and the faculty as a whole before a decision to approve, deny or defer is made. Decisions regarding these petitions are generally available by the end of April along with other admissions decisions.

THE ENGINEER'S DEGREE

The basic University requirements for the degree of Engineer are outlined in the Graduate Degrees section of the Stanford Bulletin. It requires 45 units beyond the M.S. degree. This degree is designed for students not expecting to complete a Ph.D. degree. A research thesis is required to be submitted both to the department and to the University.

A student wishing to enter the Engineer program must have completed the substantial equivalent requirements of the M.S. in Materials Science and Engineering, and must file a petition requesting admission to the program, stating the type of research to be done and the professor who will be supervising. Once approved, the Application for Candidacy must be submitted to the Student Services Manager by the end of the second quarter in the Engineer program. Any course changes should be discussed with and approved by the advisor(s) prior to being made, and a program change form submitted. Final changes in the Application for Candidacy form must be submitted no later than one academic quarter prior to degree conferral.

A program should include 9 units of graduate non-cross listed courses in materials science (exclusive of research units, seminars, colloquia or Mat Sci 400 Participation in Teaching) beyond the requirements for the M.S. degree, and additional research or other units to meet the 90-unit University minimum requirement. A Letter Grade Indicator (grade) average of 3.0 must be maintained for all degree course work taken at Stanford.

Completion of an acceptable thesis is required. The Engineer thesis must be approved by two Academic Council faculty members, one of who must be a member of the department, and submitted in triplicate. A petition is required for a non-Academic Council member to serve as a reader.

THE DOCTOR OF PHILOSOPHY DEGREE

The basic University requirements for the Ph.D. degree are outlined in the Graduate Degrees section of the Stanford Bulletin. 135 units are required to obtain a Ph.D. degree.

At least 90 of these units must be taken at Stanford University. Up to 45 units of equivalent course work may be transferred IF the student obtained an M.S. degree at another University before coming to Stanford. One M.S. degree at Stanford may be based upon the course work used for the Ph.D. degree. Any additional M.S. degrees, minors, etc. will require additional units. Minors usually require 20 units of course work that do not duplicate any of the courses counted for the M.S. degree. Other courses used for the Ph.D. may be used for a minor in another department.

Electronic Materials Processing:	EE 212, 216, 217, 311, 316, 410; MATSCI 312
Materials Characterization:	APPPHYS 216, 218; CHEMENG 345; EE 329; MATSCI 320, 321, 322, 323, 325, 326
Mechanical Behavior of Solids:	AA 252, 256; MATSCI 251, 270, 352, 353, 358; ME 335A,B,C, 338, 340, 340B, 345
Physics of Solids and Computation:	APPPHYS 218, 272, 273; CHEMENG 444; EE 222, 223, 228, 327, 328, 329, 335; MATSCI 330, 343, 347; ME 344A,B, 444B
Soft Materials:	CHEMENG 260, 310, 460; MATSCI 343; ME 455

PH.D. ORAL QUALIFYING EXAMINATION

Eligibility For The Ph.D. Qualifying Exam

The purpose of these guidelines is to ensure that every student is made fully aware of the rules and procedures for the Ph.D. as set forth and established by the faculty. When appropriate, petitions to waive one or more of the following requirements will be considered by the faculty.

1. The minimum standard for admission to the Ph.D. oral qualifying exam is an LGI (grade) average of 3.25 or better in the Mat Sci core courses selected by the student. Only grades received at Stanford will be used in this calculation; if a student petitions out of one or more of the core courses, the LGI (grade) average will be calculated based only on those core courses taken at Stanford. (The table of grade numerical equivalents was given in the general academic section of this handbook and is also listed in the Stanford Bulletin.) A transcript for each student in the Ph.D. program will be reviewed by his or her academic advisor after each quarter. A student with an average below the minimum of 3.25 is strongly urged to meet with his or her advisor to discuss remedial measures.

For students with an LGI (grade) average in these courses between 3.00 and 3.25, admission to the exam will only be by petition to the Department Chairman and vote of the faculty. Any student with an average below 3.0 will not be permitted to take the exam.

1. At least six core classes must be completed prior to the exam.
2. Students must have been admitted to and be officially enrolled in the Ph.D. program.
3. Students must have submitted the Graduate Program Authorization Petition to add an M.S. degree in Materials Science unless they already had such an M.S. degree and they are transferring courses into the Ph.D. program.

The Department Oral Qualifying Examination

The oral qualifying exam in the Department of Materials Science and Engineering combines aspects of the Research Proposal done in many other departments along with faculty questioning to determine that the breadth and depth of the student's knowledge of the overall subject matter is sufficient to proceed with pursuit of the Ph.D. degree and the research proposed. Nearly every department has some version of a qualifying examination. The oral qualifying examination is up to 2.5 hours long and comprises two parts.

Section A consists of a 20 minute presentation on the student's proposed area of research and a 30 minute questioning session based on the student presentation. The presentation is expected to cover some of the theoretical formalism and principles underlying the research topic and the experimental techniques to be used. While it is not necessary for the student to have obtained experimental data for the examination, it is essential that material beyond the level of the core curriculum be presented. The questioning session for this part of the exam will cover the proposed area of research, theoretical background material, and proposed experimental methods. The student is expected to demonstrate an ability to think clearly about the important aspects of his or her research topic.

Section B of the qualifying exam is a questioning session lasting up to 100 minutes. It is intended to test the student's breadth of knowledge in the materials science core curricula as it relates to the proposed research area. The connection between the core curricula and the research area is subject to the interpretation of the individual examiners, and may be direct or indirect. Students are encouraged to review the core curricula and look for these connections as part of the process of preparing for the exam.

The emphasis of the examination on research places importance on the selection of a research advisor early in the student's career. Ph.D. students are required to be working in a research group by the end of the Winter Quarter of their first year. It is expected that the research topic of their talk will be selected in collaboration with their advisor. The time spent studying for the examination is meant to help bring the student into the research environment, and thus should be spent primarily on studying fundamental aspects of materials science that relate to the student's research area. The exam will consider broad aspects of the core curriculum as it relates to the research area, and so the student must develop an appropriate understanding of the 200 series core courses.

NOTE: Two weeks before the examination date the student must provide a one-page summary of their research presentation to the committee members and the Student Services Manager.

The Examination Committee consists of three examiners - the student's research advisor and two MatSci faculty members, one of whom will act as Committee Chair. The last two are assigned by the department. The Committee Chair will be responsible for conducting the examination, for timing the twenty-minute student presentation, and will participate in questioning. All Qualifying Examining Committees are expected to be formulated before the beginning of the Fall quarter. The student presents the name of his or her advisor and Research Topic to the Student Services Manager by the end of August by submitting a Mat Sci Departmental Ph.D. Qualifying Exam Proposal Form. Once all of the faculty assignments are made, the Student Services Office will notify the student of the assignments.

The examination must be taken by the end of January of the student's second year. The student will arrange the examination by scheduling the committee members and finding an examination room. Since many faculty members travel and are otherwise unavailable for part of each quarter, students are encouraged to avoid scheduling problems by making arrangements to take the examination as early as possible. It is best to give the Examination Committee as

much notice as possible. Don't wait until the end of the quarter as many students must take this exam every year and faculty have several students to juggle along with other commitments. Once the qualifying examination is scheduled and a room is arranged, the student must contact the Student Services Manager to inform her of when and where the exam will take place.

The student's performance on Section A and Section B will be evaluated and graded separately to reflect pass or fail. In the event that the student does not pass one or both sections, the examination of the failed section(s) may be taken again. The second examination, normally with the same Examining Committee, must be completed by June 1st of the student's second academic year. Following the examination, the Committee members meet privately and immediately afterwards the student is notified of the decision by his or her advisor.

Because the oral qualifying examination can be a demanding and challenging personal experience for the students, the department urges all students to carefully plan and to thoroughly prepare for it. Adequate preparation for the examination cannot be overemphasized; especially as the 20 minute time limit makes a well-rehearsed presentation of crucial importance. The preparation should involve interchanges with other students, and include practicing the 20 minute research presentation as well as responding to questions. Careful study and mastery of the material will pay dividends in enhanced confidence and eliminate the necessity of retaking the examination. Emphasis in preparation should be placed on understanding and integrating basic principles relating to the student's research area, rather than on memorizing detailed equations or formal derivations. For candidates with a native language other than English, extensive practice in speaking and listening to English within the context of scientific material is urged, along with prior completion of as many of the required English courses as possible.

Application for Candidacy for the Ph.D.

After passing the departmental oral qualifying examination, students are required to complete the Ph.D. Program Proposal (Application for Candidacy) form. This is the form that details the degree requirements to be met by the individual student including all the courses listed in the degree requirements as well as the research units and any other course requirements imposed by the University. Spend some time with your advisor selecting courses appropriate for the academic direction you wish to pursue before submitting the form.

Changes on the Ph.D. Program Proposal form may be made by submitting an Academic Program Revision form, but final changes must be submitted no later than one academic quarter prior to completion of the technical course work. All changes are subject to the same approval process by the advisor(s), Student Services Manager and Advanced Degree Committee. Candidacy is granted for five years. Taking more time to complete your degree requires an extension along with an explanation of why it is taking longer – and is not automatic.

Research Dissertation

The University requires all candidates for the Ph.D. degree to present an acceptable dissertation that must be a significant contribution to knowledge, and the result of independent work expressed in satisfactory written form. It is the responsibility of the student to make arrangements for the selection of a three-member Doctoral Dissertation Reading Committee. This selection must be formally filed on the University Doctoral Dissertation Reading Committee Form, submitted to the Student Services Manager and be approved by the department.

The Doctoral Dissertation Reading Committee is made up of the candidate's principal research advisor and two other members. The members may be chosen from either the major department or another department, but at least one member must be from the Materials Science and Engineering department. All members must be on the Academic Council; however, on occasion this restriction may be waived (see the Student Services Manager for more details.)

At least twice per year students are expected to report to the full Reading Committee on the progress of the dissertation and should continually avail themselves of the different expertise represented on the Committee. Each member of this Committee must certify approval of both the scope and quality of the dissertation and read and sign the final product.

Ph.D. candidates should not underestimate the time and effort required for the mechanics of putting the dissertation into acceptable final form. Editing, typing, art, footnotes, printing etc. require painstaking efforts on the part of the student. Ph.D. candidates must be sure to allow themselves enough time to oversee the final printing of the dissertation and its acceptance by the Degree Progress Office.

Students are strongly urged not to make employment commitments that could require them to leave Stanford before their dissertation is finalized. This will avoid the frustrating process of trying to do editing by mail and meeting the demands of a new job while doing the most boring and detailed part of the dissertation. It will avoid delays in the granting of the degree that can be extended for months and sometimes years. The written dissertation should not be considered a peripheral activity in the total task of obtaining the Ph.D. degree, but a major part in the development of a research task from conception to ultimate completion and communication.

Many faculty members prefer that manuscripts suitable for publication in scientific journals, based on the dissertation work, be available before the student leaves Stanford. Specific instructions must be followed with regard to the format of the dissertation, the number of copies, and the manner of production as well as various other related matters. Information concerning these is published in a booklet *Directions for Preparing Doctoral Dissertations* available from the Graduate Degree Progress Office. Pick this up early enough to save yourself the trouble of having to reformat everything you have written.

The student is responsible for the various fees related to the cost of microfilming and binding the required number of copies of the completed dissertation. In addition to any copies that they may wish to have for their own purposes, students must submit 3 copies of the dissertation for binding. The University requires 3 copies; one for the University Library system, one for the department's library, and one is sent to be microfilmed. The student may order additional personal copies, including a bound copy for the advisor, directly from the bindery. The bindery will also ship those copies anywhere as requested.

An abstract and copy of the signed cover page of the dissertation must be submitted to the Student Services Manager at the same time the dissertation is submitted to the University. The department also requests an electronic copy of the dissertation be submitted for reference.

University Oral Dissertation Defense Examination

Before being awarded a Ph.D. degree, the candidate must successfully pass a University Oral Dissertation Defense Examination. The purpose of this examination is to test the Candidate's command of his or her field of study, and to confirm his or her fitness for scholarly pursuits. Details concerning the length of the examination, its scheduling, etc., are described in the Stanford Bulletin, and information about procedures to follow is available in the Student Services Office. It is the responsibility of the student to request the Oral Examination by submission of the University Oral Exam Schedule form to the Student Services Manager at least 2 weeks prior to the date proposed for the examination. Orals may be scheduled at any time of day that is agreeable to the examining committee members.

The Oral Examining Committee is usually made up of the three members of the Doctoral Dissertation Reading Committee, a fourth faculty member, and a University Chair. At least two members of the Oral Examining Committee must be regular faculty members of the Materials Science Department. It is the responsibility of the student, with help from the student's advisor, to find an appropriate outside Chair who must be an Academic Council member and may not be affiliated with either the Materials Science & Engineering Department or the department of the student's advisor (if that advisor is from outside Mat Sci). The purpose of the outside Chair is make certain that the University rules are followed and that the dissertation defense is worthy of the degree. That person must be objective and not have vested interest in the student passing the examination.

The University Oral Dissertation Defense Examination is oriented primarily toward the student's dissertation and area of research specialization. After the student, his or her advisor and Oral Examining Committee have agreed on a date and time for the University Oral Examination, the student should arrange for a room. The first part of the dissertation defense is a public seminar type event and many students from the department will likely attend. The student is expected to present the research results in a talk. Some questions may follow from the audience. At least this portion should be scheduled in a room large enough to hold an audience. Following the presentation, the student will be questioned by the Committee only, and the room for this portion can be considerably smaller if it is necessary to move. This portion of the examination may not exceed two hours, and during this closed portion of the examination, questioning of the candidate by the Oral Examining Committee is to be restricted to topics germane to a defense of the completed dissertation research.

NOTE: Before the University Oral Examination is scheduled, it is strongly recommended that the student present an acceptable draft of the complete dissertation to the Reading Committee and allow at least two weeks for the Committee to review this draft. The student should then meet and discuss the dissertation with the Committee and receive approval before scheduling the University Oral Examination. Work closely with your advisor at this stage in making certain you are properly prepared. Send a note to all students in the department by using mse-students@lists.stanford.edu to let everyone know when the presentation is scheduled about week to 10 days ahead of time as well as again the day prior to the exam.

PARTICIPATION IN TEACHING

The opportunity exists for students to register for 1-3 units of Mat Sci 400, Participation in Materials Science Teaching, in any quarter in which they are involved in the teaching of a course beyond problem set grading. Normally such registration would be appropriate when the student makes major contributions to a course, such as in laboratory experiment design, construction and guidance; regular leading of a discussion group; presentation of an appreciable fraction of the lectures; and the like. Approval for registration for Mat Sci 400 should be obtained from the Student Services Manager, the student's Academic Advisor, and from the faculty member whose course the student will be TAing. Mat Sci 400 will not be credited toward the required 57 technical courses needed for a Ph.D. degree in Materials Science and Engineering.

ACADEMIC INFORMATION

Forms, Forms, Forms

Most of the forms and petitions described below can be obtained from the Student Services Manager. Many of them are now available on-line through the Registrar's Office website, though we prefer that you come by, discuss them with us, and use our color-coded forms. All forms and petitions are to be completed by the student, signed by the academic advisor (as well as the research advisor if they are not the same person), and returned to the Student Services Manager who will review the forms and proposals and forward them on the Advanced Degree Committee or whoever is appropriate for the next step. She will inform the student if any further action is needed. There is usually a form for everything you want or need to do. Check with the Student Services Manager whenever you make a change in your program or degree, or whenever you reach a benchmark in your pursuit of your degree -- there is sure to be a form.

ACADEMIC PROGRAM AND PROGRESS FORMS

Program Proposal for Master's Degree

To list courses to be taken in fulfillment of the requirements for the M.S. degree.

Due by the end of the first quarter of study.

Application for Candidacy for Degree of Engineer

List of courses to be taken in fulfillment of the requirements for the Engineer's degree. Must be completed and filed with the department Student Services Manager.

Due by the end of the second quarter in the Engineer Program.

Ph.D. Program Proposal (Application for Candidacy for Doctoral Degree)

This is the list of courses the student will count toward the Ph.D. degree.

Due upon passing the Qualifying Exam.

Graduate Program Authorization Petition

To request a program change such as a change of major, change in degree level, or add an additional degree. All students admitted to the Ph.D. program must submit this form to add an M.S. degree. All students who petition and are approved by the department to move from the M.S. to the Ph.D. degree must submit this petition.

Due prior to qualifying exam to add an M.S. degree; due when petition is approved to add Ph.D.

You cannot apply to graduate if you are not authorized for the particular degree.

Application for the Ph.D. Minor

Provides for a Ph.D. candidate to obtain a minor in a second department. Requires approval from both the major and minor departments. Departmental requirements vary but the University requires a minimum of twenty (20) units of course work in the minor department. Courses may not duplicate those used for any other master's or minor degree program.

Due as soon as the minor is agreed upon.

Doctoral Dissertation Reading Committee

Appointment of faculty members to the Dissertation Reading Committee.

Due after completion of sufficient research to establish a committee who can help you as you progress with your dissertation – but before scheduling a University Oral Examination, or prior to submission of the Terminal Graduate Registration (TGR) form for lower tuition.

University Oral Examination Schedule

Lists the examination committee members, the outside Chair of the exam, and the time and place of the exam.

Due at least two weeks prior to the requested examination date.

Request for TGR Status (Terminal Graduate Registration)

May be used by a student in any graduate degree program, but most often used by Ph.D. students, to allow registration at a reduced tuition rate while working on a dissertation, thesis, or project. Students must have completed all course work listed on their Program Proposal forms or on subsequent revisions; the appropriate residency requirements (45 units for M.S. students and 135 units for Ph.D. students); and, for Doctoral students, a Reading Committee must be appointed. Tuition is reduced significantly at this point, and we expect students to organize their program to take advantage of this tuition discount. Students registered in TGR status must enroll each quarter in a TGR course (Mat Sci 801 for M.S. or ENG. Degrees, and Mat Sci 802 for Ph.D.'s) for 0 units under the name of their research advisor.

Due before the beginning of the quarter in which the lower tuition rate will be applied.

Request for Graduation Quarter Registration

This form is very specifically used **only** to submit a request to register for a Graduation Quarter your very last quarter and only to turn in your completed dissertation. *Due before that quarter begins. You must also be TGR to do this and have completed your oral dissertation defense.*

SPECIAL CIRCUMTANCES FORMS

Academic Program Revision

To change courses listed on any of the degree Program Proposal forms. Many of you will need this in the course of your progress. Do discuss changes with your advisor(s) and obtain approval BEFORE you make the change.

Latest revisions due the quarter PRIOR to completion of the course work scheduled.

Change of Advisor or Reading Committee Member

Used to allow students to either change their academic and/or research advisor, or to change a member listed on a previously approved Reading Committee Form.

Due as a change of advisor form for first year Ph.D. students when they choose a research advisor and PRIOR TO THE END OF THE WINTER QUARTER OF THE FIRST YEAR.

As an advisor form thereafter, due as soon as change is agreed upon.

As a Reading Committee Member change, due when the change is needed, but before the Oral is scheduled.

M.S. to Ph.D. Program Petition

This is a department form that allows a student enrolled in the M.S. program to petition to be considered for the Ph.D. program. This is, in effect, an application for the Ph.D. program for a student who is already studying in the department. It is seriously considered and not routinely approved. A student must have an LGI (grade) average of 3.50 or better in department core courses, a statement of purpose, and letters of recommendation from two faculty members including the proposed advisor and a Mat Sci academic council member.

Due by the end of the second week of Spring Quarter of the student's first year in the M.S. program.

REGISTRAR'S OFFICE SPECIAL CIRCUMSTANCES FORMS

General Petition

This is a Registrar's Office petition available only in person from Registrar's Office. It is required to:

- (1). To request a change of grading option after the deadline (granted only under very special circumstances)
- (2). To request a course overload
- (3). To waive a late registration charge or late study list fee which has been posted to your student account by the Registrar.

Due as soon as possible after the situation arises. These are not likely to be granted. Don't go here. Fees will be imposed to make any of these kinds of changes after the deadlines.

Application for Graduate Residence Credit

To petition to receive residency units at Stanford for graduate courses completed at other institutions (Ph.D. or Engr. students only). Generally used by those who enter with an M.S. degree in this field. This reduces your residency requirement and can also help establish course substitutions for course planning purposes.

No due date, but should be completed within the first year at Stanford.

Petition for Doctoral Committee Member

Request that individuals who are not members of the Stanford Academic Council be permitted to serve on the Dissertation Reading Committee. Used when an expert in the field the student is researching is available, approved by the advisor, and would add academic insight to the examining committee. An explanation by the advisor is required as well as a resume from the proposed committee member.

Due when the Reading Committee form is submitted.

Petition for Less Than Full-Time Registration

This is a University form that must be completed and approved at both the department and University level when a student wants to reduce the units he or she will be enrolled for in a particular quarter below the 8-10 unit full-time level. The student must meet the criteria described on the form in order to do this.

Due prior to the beginning of the quarter.

Application for Extension of Candidacy or Master's Program

Required only if it becomes necessary to extend, for up to one year, the original period of candidacy in a graduate program. This form is not routinely approved, and an extension will require a meeting between the student, the advisor, and the department Chair. If you intend to do an M.S. degree as part of your Ph.D. degree, please complete that in a timely manner so this is not necessary to extend the M.S. program. A detailed explanation of how and when the degree will be completed is necessary for approval.

Due prior to the termination of the original M.S. Program or Ph.D. candidacy.

Leave of Absence

To request a leave for future quarters for up to one year, an annulment of registration, or a withdrawal during a quarter. If a student does not take a properly documented leave of absence, he or she will have to reapply, be reinstated, and pay fees to continue the program. Refunds of fees will be based on a pro-rated schedule if leave is not completed prior to the beginning of the quarter.

Due prior to the beginning of the quarter of the anticipated leave. Financial issues will be seriously complicated if this deadline is not met.

Extension of a Leave of Absence

To provide for an extension to a leave of absence already in place. It is granted only in special circumstances, provided the extension is requested prior to the termination of the approved leave and cannot be longer than one additional year.

Due prior to the end of the previous leave.

Application for Reinstatement

Required to return to school if a student did not take an approved leave of absence or was gone longer than allowed by the leave. Must include a statement of purpose regarding the reasons for requesting a return to the degree program and an endorsement by the advisor that granting the request will result in degree conferral.

Due at least one month prior to the beginning of the quarter of the anticipated return to school.

Request to Permanently Withdraw from Degree Program

Used to withdraw from any degree if student either chooses not to complete the degree or fails the Qualifying Examination and is not advanced to Ph.D. candidacy. It is expected students will complete these forms in such circumstances to insure accurate record keeping in the database.

Due as soon as decision is made.

DEPARTMENT ONLY FORMS

Departmental (General petition)

Required for the following:

- (1). To take the Ph.D. qualifying examination with an LGI average in core courses below 3.25
- (2). To be exempted from required lab courses
- (3). To be exempted from required core classes
- (4). To make special course substitutions
- (5). To have a non-Stanford academic member on the departmental Ph.D. Qualifying examining committee (not thesis defense).

Due prior to the effective date of the requested action. (i.e. submit a petition to be exempted from a core class or a lab class BEFORE the class is needed for your degree program.)

Safety Education Certification Statement

This is a Materials Science Department form that must be completed by all students. It is to be returned to the Health and Safety Coordinator. For more information please refer to the Health and Safety manual received at the Safety Training, or contact Doris Chan.

Due prior to using any labs and being issued necessary keys.

FINANCIAL AND NONACADEMIC FORMS

Research Assistantship or Postdoctoral Appointment Form

This is a School of Engineering Form that details how you will be paid for any work you are doing for your research advisor (not fellowships). You will need to fill out the top part of this, sign it, and have your advisor sign it and document how much he will pay you and from what account. It is your responsibility to make sure that this form has been signed and returned it to the Student Services Manager or the responsible administrative assistant for the faculty member.

Due substantially before the quarter of pay begins in order for it to be processed in time for you to be paid appropriately. You will not be given special paychecks simply because the form was submitted late.

Patent and Copyright Agreement Form

Needs to be signed by ALL graduate students upon their arrival at Stanford. This form is mandatory and can be signed electronically in Axxess.

Employment Eligibility Verification Form - I-9

This form establishes eligibility to work in the US. Any student paid as an RA, CA, TA, or on an hourly basis for any type of work will need to fill this out and provide proper documentation to prove work eligibility including an original social security card and an acceptable form of picture ID. Accepted ID's are listed on the back. Foreign students must provide a passport, visa, I-94 and the I-20 or IAP-66 as well as the social security card.

Due prior to being paid for the quarter on the payroll system.

LA-6

This form must be filed with the University for any type of payments made to you at all including reimbursements. Turn it in to the Student Services Manager soon after your arrival or whenever you are asked to complete one.

Due along with the I-9 form prior to the first applicable pay period.

W4 Tax Form

Must be completed and submitted to the payroll office by anyone being paid as an employee - an RA, CA, TA or any form of hourly pay. Available on-line and we encourage completion of this form on-line.

Due along with the I-9 form prior to the first applicable pay period.

Tax Treaty W-8BEN Forms

If you live in a country with a tax treaty with the US, you can reduce the taxes taken out of your pay by filling the correct tax treaty forms. You will need to complete the W-8BEN form. You will need to accompany this with the specific form for your country, which is available on the web at:

<http://co.stanford.edu/compliance/foreign/treaty.html>

Due when you arrive and at the beginning of each calendar year (again in January).

FINANCIAL INFORMATION

Getting Paid

Any student receiving any type of financial support through the University must be registered obtain an Individual Taxpayer Identification Number or a Social Security Number. Not more than one check will be generated without this number, and no checks can be distributed unless students are registered for the proper number of units. Please make sure you are registered correctly before classes begin so that your registration can be verified.

Individual Taxpayer Identification Number

Any foreign student receiving fellowship funds will need to obtain an ITIN as soon as possible after arriving. Only the first check will be paid without a number. See below for where to obtain such a number. Wait at least two weeks after your arrival in the US before going to the Social Security Office.

Social Security Number

Once you have a job offer (usually a Research Assistant appointment), you will need to obtain a Social Security Number for tax purposes – and cancel your ITIN. If you have applied recently, you must supply us with the application verification (you might have to ask for this). You can apply for a Social Security Number at 411 Middlefield Road, Redwood City or 438 South Murphy, Sunnyvale, phone: 800-772-1213 to obtain directions. Obtain a job offer from your faculty advisor, request a “job offer letter” from the Student Services Office, obtain an additional letter from Bechtel before you go, and when your Social Security card arrives, bring it to the Student Services Manager to copy, and then keep it in a safe place (you will rarely need the original.)

TWO KINDS OF PAY

Fellowships

Students on fellowships receive checks at the beginning of each quarter for the entire quarter. These checks will be mailed to students or deposited directly into a bank account if you set that up on AXESS. We strongly encourage you to do this. You must have your correct mailing address in the Stanford University AXESS system or you will not receive your check in a timely manner. All of the University fees for tuition, housing, ASSU fees and one-time document fees are (generally) taken out of fellowship stipend check and the remainder is mailed you.

Employee Payroll

Students being paid on any type of assistantship, usually an RA or CA, are considered employees and are paid on the same schedule as the staff and faculty - on the 7th and 22nd of each month. This also applies to any student paid on any other type of hourly appointment that requires submission of hourly time sheets. You will receive 6 checks total for a 3-month quarter-long appointment. You will be paid only when you submit an hourly timesheet for hourly work, and on the same 7th or 22nd of the month.

For University fiscal purposes, the Autumn Quarter is Oct., Nov., Dec. and the first check for the quarter comes Oct. 22. Winter Quarter is Jan., Feb., and March, and the first check for the quarter comes on Jan. 22; Spring Quarter is April, May and June, and the first check for the quarter comes on April 22. Your last check for the academic year will be July 7. As long as you always receive the same type of pay, you should not have any problems.

However, If you are changing from one type of aid to another, cash flow issues can easily arise. Make sure you have sufficient funds to manage until you are paid again. For example, if your

fellowship ends after Spring Quarter, and you have an RA appointment for Summer Quarter, you will receive your Spring pay at the beginning of that quarter in early April. You will not receive your first paycheck until July 22 as the Summer Quarter does not begin until July, and you are paid for the first half of the month on the 22nd and for the second half of the month the following month on the 7th.

If you have an outside fellowship that happens to pay you on a different schedule, such as starting in September rather than October and ends in August rather than September (NDSEG), you are expected to live on the funds you have for the year until your appointment takes effect at the beginning of the next academic year. Be sure to manage your money – that is up to you only.

You may have small supplements to a University or outside fellowship paid by the faculty member supporting you. Whether this will come in the form of a fellowship or an RA depends upon complex factors including how much is needed to fund you to the normal pay level, what kinds of funds your advisor has available to use, and how he chooses to budget his funds. If you have questions about this, see your advisor or the Student Services Manager. It is your responsibility to understand your financial support and make sure you are receiving it correctly and on time, and that you take care of whatever tax issues are applicable to your situation.

Fellowship Regulations

Many graduate students at Stanford hold Fellowships from government, industrial, or private sources. Information concerning some of these may be obtained from the Graduate Financial Aids Office. A number of Graduate Fellowships are available from various University sources. Decisions concerning the disposition of these awards are made at the department or School level. Doctoral fellowships generally provide the 8-10 unit rate of paid tuition and a quarterly stipend. Fellowship students are expected to perform well academically and maintain full-time study. Graduate study involves some type of research work along with course work in order to obtain the research experience needed to write a doctoral dissertation. However, students on fellowships are not being directly paid to perform research work in the same way an RA is paid. Depending upon the type of fellowship you hold, there may be restrictions on accepting pay for work such as a small RA or an hourly appointment. You are responsible for knowing the rules of your fellowship and abiding by them.

Occasionally, prizes or awards are made to students that are paid in the form of a salary. Please make certain you clarify with the person in charge of the award how it will be paid and what the expectations are in exchange for the money, if any. Sometimes fellowships are “stewarded” – that is, the person giving the money is around and expects to either meet you in person or receive a thank you letter from you. You will be contacted if this is the case, usually by the development office. We expect you to comply with these requests.

Research Assistantship Responsibilities

If you have accepted financial aid as an RA or CA, there are certain obligations associated with the award. Most assistantships are supported by outside grants or contracts. The faculty member is obliged to produce the research in the time frames and in the manner prescribed in the funding proposal. You are being hired to help achieve that goal. You should meet with the faculty member for your source of support before the first week of the quarter. You will be assigned a task and progress on the assignment will be noted.

Continued financial support is contingent upon satisfactory progress on your research work as well as your course work. We expect graduate students to carefully balance both course work and research - coming to class alert, on-time, and prepared as well as working on a continuing

basis on your research project. We try gear research assignments to your background, experience and ability. The goals are achievable

To hold a Research Assistantship the student's research activity must be directly related to funded project. Generally these research programs are sufficiently broad to allow a student to combine his or her interests with the objectives of the supported research program. When this is true, and the department faculty is convinced that this work satisfies the University's requirements concerning a contribution to knowledge and independent work, it may be included in the student's dissertation. The 50% Research Assistant receives a monthly salary and 8-10 units of paid tuition in exchange for an average of 20 hours of work per week each week of the quarter (not just weeks that classes are held). This is a job.

A Research Assistantship, however, is not a Fellowship; it involves a commitment on the part of the student receiving the financial aid to carry out research of interest to the program to the best of his or her ability. The breaks between academic quarters are not considered vacation periods from research for Research Assistants although it is assumed students will be given some time off. Release time (dates, length, etc.) should be arranged between students and the professor for whom they are working **BEFORE** leaving for vacation.

Course Assistants

Your advisor may encourage serving as a Course or Teaching Assistant in one or two courses. We generally use course assistants, who have less responsibility than TA's. Sometimes students obtain CA assignments in other departments if they have particular expertise in a subject.

A Course Assistant assists a faculty member teaching a course. Course Assistants help with course preparation, grading, holding office hours and helping students with assignments. They rarely give lectures or present new class material. A Teaching Assistant presents new material in the course sections, and has considerable independence in determining what is to be presented and how it will be presented.

The 50% time Course or Teaching Assistant receives a monthly salary and 8-10 units of paid tuition. Duties require 20 hours per week of assistance and, although students may be asked to assist in more than one course, total weekly hours will not exceed 20. Less than 50% time Course Assistant appointments are common and the remainder of the appointment will generally be a Research Assistantship for Ph.D. students. M.S. students appointed as Course Assistants should only expect to receive the amount that corresponds to the appointment percentage approved for the course.

Course Unit Load for Students with Assistantships

Students with Research, Teaching or Course Assistantships must maintain at least 8 units of course work per quarter (though we strongly encourage registration for 10 units). Any critical problems should be brought to the attention of the Student Services Manager and the student's advisor immediately. If it is necessary to drop a course, sometimes research units can be taken to maintain the 8-10 units of registration.

Student Appointments

Students who receive research or course assistantships must complete an Employee Tax Data Form, an Employment Eligibility Verification Form (I-9), and an LA-6. The I-9 establishes eligibility to work in the US for a maximum of three years. This form may need to be renewed one or more times during a student's stay at Stanford. Students should be cognizant of any expiration date that may be listed and contact the Payroll Office with new documents well before that date so they can process an extension to the I-9.

In order to file an I-9, all international students must have a valid passport with the I-94 card and the I-20 or IAP-66 document containing an employment authorization stamp. These original documents must all be shown to the appropriate administrator in person. If you have questions regarding expired passports or employment authorization, contact the Bechtel International Center. No student, international or US, will be paid without showing either an original Social Security card or a copy of their application for a Social Security card.

Your University Bill

All bills for tuition, room and board and other related charges become subject to late fees if they are not paid by the posted due date. It is very important that you pay any charges for which you are responsible before the due date. Some charges that may not be covered by any financial aid you are receiving include Post Office Mail Box fees, health care fees, and parking fees. If you are in doubt and you pay such charges, you will receive a refund for any overpayment by contacting an Account Representative in the Office of Student Financial Services. On the other hand, if you have a bill which you are unable to pay in full by the due date, you should get in touch with an Account Representative without delay to make special payment arrangements. Even if you are expecting to receive financial support, you should check any Student Account bill at you receive. Credits for fellowship funding received from the University or outside fellowships sent through the University will show in the AXESS system (if they have been entered and approved), but salary funding will not show as a credit. You can determine that your RA or CA appointment (salary) has been processed by checking to see if the tuition credit displays in AXESS.

You do not have to pay tuition or your housing fees up front if you have financial aid. If it is a fellowship, it will be deducted from the amount you receive. If you have an RA or CA appointment, those costs can be taken out of your paycheck if you make a request for this directly to the payroll office through the web. Health insurance for dependents will cost more and you must make arrangements for this with Veden Health Center right away. You will receive a subsidy for one-half the cost of your health care only if you are receiving financial aid from the University or the department.

Student accounts may be checked on the AXESS.

Problems Or Questions:

Student Financial Services Office - For problems with fellowships or your University Bill

Payroll - For problems with RA or CA paychecks or tax withholdings or I-9 updates

Housing Office - For problems regarding on-campus housing payments

Working Elsewhere - US Citizens

The University has a strict policy about working while being a registered student. If you are supported by any University source with a 50% appointment, you are not allowed to work more than eight additional hours per week anywhere – on or off campus. If you are thinking about additional work, you should discuss this with both your academic and your research advisors and have permission from them. With a 50% appointment, you are expected to work for pay 20 hours per week every week. In addition, you must carry a full-time academic course load. Even if you are only carrying research units, the expectation is that you are performing 20 hours of

paid work in addition to the at least 20 hours of research you are doing to earn the 8-10 course units, plus up to 8 more hours. Auditors and administrators are very suspicious that a student truly performing all of this work can handle additional, time-consuming assignments. Grades suffer and it is a violation of University and School policy. Don't do this.

Working Elsewhere - International Students

Foreign students supported by the RA or CA funds are not allowed to work any more than the 20 hours per week expected for their research or teaching projects. Foreign students with outside funding of their own or from another source are expected to be devoting their full energy to studying and are not allowed to work off campus at all according to Homeland Security rules, except in the summer under particular circumstances using Optional Practical Training or Curricular Practical Training. Explore these options at the Bechtel International Center. Foreign students without any funding may find employment **ONLY ON CAMPUS** as a grader, CA or RA in a department, or working in a library or some such thing. Clear any work plans with Bechtel before you accept a position. Rules regarding work by international students and visitors are established by the US government, are part of your visa agreement, and are not generally under the control of the department, the School or the University. Violation of these rules may result in expulsion from the US. Don't do it.

THE HONOR CODE

The standard of academic conduct for Stanford students is as follows:

- A. The Honor Code is an undertaking of the students, individually and collectively:
 - 1. that they will not give or receive aid in examinations; that they will not give or receive unpermitted aid in class work, in the preparation of reports, or in any other work that is to be used by the instructor as the basis of grading
 - 2. that they will do their share and take an active part in seeing to it that others as well as themselves uphold the spirit and letter of the Honor Code.
- B. The faculty on its part manifests its confidence in the honor of its students by refraining from proctoring examinations and from taking unusual and unreasonable precautions to prevent the forms of dishonesty mentioned above. The faculty will also avoid, as far as practicable, academic procedures that create temptations to violate the Honor Code.
- C. While the faculty alone has the right and obligation to set academic requirements, the students and faculty will work together to establish optimal conditions for honorable academic work.

Examples of conduct which have been regarded as being in violation of the Honor Code include:

- 1. Copying from another's examination paper or allowing another to copy from one's own paper
- 2. Copying computer programs (or components) from another user and turning them in as one's own
- 3. Unpermitted collaboration
- 4. Plagiarism
- 5. Revising and resubmitting a quiz or exam for regrading without the instructor's knowledge and consent
- 6. Giving or receiving unpermitted aid on a take-home examination
- 7. Representing as one's own work the work of another
- 8. Giving or receiving aid on an academic assignment under circumstances in which a reasonable person should have known that such aid was not permitted.

The Fundamental Standard

The Fundamental Standard has set the standard of conduct for students at Stanford since 1896. It states:

Students at Stanford are expected to show both within and without the University such respect for order, morality, personal honor and the rights of others as is demanded of good citizens. Failure to do this will be sufficient cause for removal from the University.

Over the years, the Fundamental Standard has been applied to a great variety of situations. Actions that have been found to be in violation of it include:

- Physical Assault
- Property damage; attempts to damage University property
- Theft, including theft of University property such as street signs, furniture, and library books
- Forgery, such as signing an instructor's signature to a grade change card
- Sexual harassment or other sexual misconduct
- Charging computer time or long distance telephone calls to unauthorized accounts
- Misrepresentation in seeking financial aid, University housing, discount computer purchases, or other University benefits
- Misuse of University computer equipment or e-mail
- Driving on campus while under the influence of alcohol or drugs
- Sending threatening and obscene messages to another student via e-mail, phone or voice-mail

There is no standard penalty which applies to violations of the Fundamental Standard. Infractions have led to penalties ranging from formal warning and community service to expulsion. In each case, the nature and seriousness of the offense, the motivation underlying the offense and precedent in similar cases are considered.

Campus Disruptions

The Policy on Campus Disruptions was promulgated in 1967, and states that:

Because the rights of free speech and peaceable assembly are fundamental to the democratic process, Stanford firmly supports the rights of all members of the University community to express their views or to protest against actions and opinions with which they disagree. All members of the University also share a concurrent obligation to maintain on the campus an atmosphere conducive to scholarly pursuits; to preserve the dignity and seriousness of University ceremonies and public exercises; and to respect the rights of all individuals.

The following regulations are intended to reconcile these objectives:

It is a violation of University policy for a member of the faculty, staff, or student body to:

1. Prevent or disrupt the effective carrying out of a University function or approved activity, such as lectures, meetings, interviews, ceremonies, the conduct of University business in a University office and public events.
2. Obstruct the legitimate movement of any person about the campus or in any University building or facility.

Members of the faculty, staff, and student body have an obligation to leave a University building or facility when asked to do so in the furtherance of the above regulations by a member of the University community acting in an official role and identifying himself as such; members of the faculty, staff, and student body also have an obligation to identify themselves when requested to do so by such a member of the University community who has reasonable grounds to believe that the person(s) has violated section (1) or (2) of this policy and who has so informed the person(s).

The policy has been applied to the following actions: refusal to leave a building which has been declared closed; obstructing the passage into or out of buildings by sitting in front of doorways; preventing University employees from entering their workplace; preventing members of a class from hearing a lecture or taking an examination, or preventing the instructor from giving a lecture, by means of shouts, interruptions, or chants; refusing to leave a closed meeting when unauthorized to attend; and intruding upon or refusing to leave a private interview.

It should be understood that while the above are examples of extraordinarily disruptive behavior, the application of the Policy also takes situational factors into consideration. Thus, for example, conduct appropriate at a political rally might constitute a violation of the Policy on Campus Disruption if it occurred within a classroom.

There is no "ordinary" penalty which attaches to violations of the Policy on Campus Disruption. In the past, infractions have led to penalties ranging from censure to expulsion. In each case, the gravity of the offense and the prior conduct of the student are considered; however, the more serious the offense, the less it matters that a student has otherwise not done wrong.

Smoke Free Environment

Policy

It is the policy of Stanford University that smoking of tobacco products in enclosed buildings and facilities and during indoor or outdoor events on the campus is prohibited.

Guidelines

1. *Smoking-Prohibited Areas:* Specifically, smoking is prohibited in classrooms and offices; all enclosed buildings and facilities, in covered walkways, in University vehicles, during indoor or outdoor athletic events, and during other University sponsored or designated indoor or outdoor events.
 - o Ashtrays will not be provided in any enclosed University building or facility.
 - o "Smoking Prohibited" signs will be posted.
2. *Outdoor Smoking Areas:* Smoking is permitted in outdoor areas, except during organized events. Outdoor smoking areas should be located far enough away from doorways; open windows, covered walkways, and ventilation systems to prevent smoke from entering enclosed buildings and facilities. To accommodate faculty, staff and students who smoke, Vice Presidents, Vice Provosts and Deans may designate certain areas of existing courtyards and patios as smoking areas, in which case ashtrays must be provided. Costs associated with providing designated smoking areas and ashtrays will be absorbed by the specific academic or administrative unit(s).

Enforcement

This policy relies on the consideration and cooperation of smokers and non-smokers. It is the responsibility of all members of the University community to observe and follow this policy and its guidelines.

1. *Smoking Cessation Information:* Smoking cessation programs are available for faculty and staff through the Center for Research in Disease Prevention, Health Improvement Program (HIP). Students may contact the Health Promotion Program (HPP) through the Student Health Center for smoking cessation information or programs.
2. *Repeated Violations:* Faculty, staff and students repeatedly violating this policy may be subject to appropriate action to correct any violation(s) and prevent future occurrences.

Implementation and distribution

Copies of this policy will be disseminated by the Manager of HR Policy/Staff & Labor Relations and the Vice Provost for Student Affairs to all faculty, staff and students and to all new members of the University community.

Controlled Substances and Alcohol

Authority: This Guide Memo was approved by the Executive Director of Human Resources.

Applicability: This Guide Memo applies to all Stanford employees (faculty, staff, and students) as defined Guide Memo 23.1, Definitions, http://adminguide.stanford.edu/23_1.pdf, as well as to certain individuals who are not employees of Stanford as defined in the policy section. This Guide Memo also applies to all Stanford students.

- 1. BACKGROUND AND PURPOSE
- 2. POLICY
- 3 GUIDE TO SUPERVISORS
- 4. GETTING HELP
- 5. LEGAL SANCTIONS
- APPENDIX

1. BACKGROUND AND PURPOSE

a. Health Risks — It is widely recognized that the misuse and abuse of drugs ("controlled substances"¹) and the abuse of alcohol are major contributors to serious health problems as well as to social and civic concerns. The health risks associated with the use of illicit drugs and the abuse of alcohol include various deleterious physical and mental consequences including addiction, severe disability, and death. Information concerning the known effects of alcohol and specific drugs is available from the Alcohol and Other Drug Abuse Prevention Program at the Veden Student Health Center.

b. Federal Legislation — In response to these concerns, the U.S. Congress passed the *Drug-Free Workplace Act of 1988*, the *Drug-Free Schools and Communities Act Amendments of 1989*, and the *Omnibus Transportation Employee Testing Act of 1991*. In accordance with these Acts, Stanford University has enacted the following policy applicable to all employees and students.

2. POLICY

It is the policy of Stanford University to maintain a drug-free workplace and campus. The unlawful manufacture, distribution, dispensation, possession, and/or use of controlled substances or the unlawful possession, use, or distribution of alcohol is prohibited on the Stanford campus, in the workplace, or as part of any of the University's activities. (For clarification of what activities related to controlled substances and alcohol are unlawful, see the Appendix at the end of this Guide Memo.) The workplace and campus are presumed to include all Stanford premises where the activities of the University are conducted. Violation of this policy may result in disciplinary sanctions up to and including termination of employment or expulsion of students. Violations may also be referred to the appropriate authorities for prosecution. This policy will be reviewed at least biennially.

a. Employees — As a condition of employment, all Stanford employees are required to follow this policy. Employees who unlawfully manufacture, distribute, dispense, possess or use controlled substances (*Controlled substances are those defined in 21 U.S.C.812 and include, but are not limited to, such substances as marijuana, heroin, cocaine and amphetamines.*) or unlawfully use, possess, or distribute alcohol in the workplace, on the campus, or as part of any University activity shall be subject to discipline up to and including discharge from employment. An

employee who is convicted (including a plea of nolo contendere) of a criminal drug statute violation occurring in the workplace must, within five (5) days thereafter, notify Stanford University of such conviction by informing the human resources officer or the Manager of Employee and Labor Relations staff) or the dean (for faculty).

Individuals who are not Stanford employees, but who perform work at Stanford for its benefit (e.g., independent contractors, job shoppers, temporary employees provided by agencies, visitors engaged in joint projects at Stanford, volunteers and so forth) are required to comply with this policy. Such individuals who unlawfully manufacture, distribute, dispense, possess or use controlled substances or unlawfully use, possess, or distribute alcohol in the Stanford workplace may be barred from further work for and at Stanford.

Employees required to obtain Commercial Drivers Licenses in order to be able to drive vehicles heavier than 26,000 pounds, vehicles placarded for the transportation of hazardous materials, and/or vehicles designed to carry sixteen (16) or more persons are subject to a protocol of testing for the use of drugs and alcohol.

b. Students — Students who unlawfully distribute, possess or use controlled substances or alcohol in the workplace, on the campus, or as part of any University activity may be subject to discipline up to and including expulsion.

c. Rehabilitation — Successful completion of an appropriate rehabilitation program (including participation in aftercare) may be considered as evidence of eligibility for continued or future employment or for reinstatement of student status.

3. GUIDE TO SUPERVISORS

Responsibility for effective implementation and enforcement of Stanford's Controlled Substance and Alcohol Policy begins with supervisors. Supervisors must be alert to indications or evidence of the use or presence of controlled substances or alcohol in the workplace.

a. Communication — Supervisors must make sure that every employee is aware of Stanford's Controlled Substance and Alcohol Policy and understands that violation of this policy is a serious matter and cause for disciplinary action including possible termination of employment. Supervisors must assure that a copy of the Policy is posted in the work area and that each new employee is given a copy.

b. Presence of Controlled Substances or Alcohol in the Workplace — At Stanford University the unlawful manufacture, distribution, dispensation, possession and/or use of controlled substances or the unlawful use, possession, or distribution of alcohol on the Stanford campus, in the workplace, or as any part of the University's activities is prohibited. This includes the unlawful use of controlled substances or alcohol in the workplace even if it does not result in impaired job performance or in unacceptable conduct. The unlawful presence of any controlled substance or alcohol in the workplace itself is prohibited. If and when an employee is suspected of violating this policy, the supervisor should consult with the human resources officer to plan and carry out an appropriate investigation and resolution of the situation.

c. Impaired Performance on the Job: Unlawful Use of Controlled Substances or Alcohol in the Workplace

Performance problems on the job can have many causes. In discussions with an employee concerning any performance problem, the supervisor should offer to help the employee determine the source of the problems and offer guidance on appropriate assistance, counseling, or other resources. When job performance has become impaired, the supervisor should take

normal corrective action, beginning with discussion with the employee. When the behavior of an employee on the job raises safety concerns for the employee and/or others in the workplace, the supervisor must take immediate action to assess the situation; in such cases employees must not be allowed to continue on the job. Specific actions to be taken depend upon the facts of the particular situation. Supervisors should consult with their human resources officer.

In a situation in which an employee acknowledges to the supervisor that poor performance or unacceptable conduct results from a substance abuse problem, the supervisor should urge the employee to seek help from a qualified substance abuse treatment resource. If the employee chooses to seek help, he or she should be referred to appropriate resources. (See section 4 below.) If the employee requests a leave of absence for a rehabilitation program, the supervisor should take normal steps to review the request for such a leave. Supervisors should make reasonable accommodation consistent with operational requirements.

If the employee demonstrating poor performance or unacceptable conduct claims causes other than substance abuse are contributing to the problem, or does not elect to seek help for whatever is the cause of the problem, the supervisor first should counsel the employee in the ways his or her actions on the job need improvement or are unacceptable. If improvement does not take place, the employee should be warned that the poor performance can result in discipline, including possible termination of employment. Appropriate corrective steps should be taken in consultation with the human resources officer.

d. Reporting of Convictions — Employees who are convicted of a criminal drug statute violation occurring in the workplace must report the conviction directly, or through their human resources officer, to the Manager of Employee and Labor Relations for appropriate action as required by University policy and/or law.

e. Testing for Drugs and Alcohol — Supervisors of employees who are required to obtain Commercial Drivers Licenses in order to be able to drive vehicles weighing more than 26,000 pounds, vehicles placarded for the transportation of hazardous materials, and/or vehicles designed to carry sixteen (16) or more persons must assure that the appropriate tests for the use of drugs and/or alcohol are administered to these employees. For details on this testing regimen, refer to the "Stanford University Procedures Manual for Drug and Alcohol Testing of Employees and Applicants Required to Hold Commercial Drivers Licenses."

4. GETTING HELP

Employees who are concerned about substance use, abuse, and rehabilitation are strongly encouraged to contact their family physicians, their health plan, or the Stanford Help Center, <http://www.stanford.edu/dept/helpcenter>, which can refer them to appropriate resources (community or private agencies) that provide complete, confidential substance abuse counseling.

Many health insurance plans provide coverage for substance abuse programs to address substance abuse and rehabilitation. The Office of Total Compensation has complete information.

Students (including employees who are also Stanford students) are urged to contact the Alcohol and Other Drug Abuse Prevention Program and/or Counseling and Psychology Services, both at Veden Student Health Service.

5. LEGAL SANCTIONS

The unlawful manufacture, distribution, dispensation, possession, and/or use of controlled substances or alcohol is regulated by a number of federal, state and local laws. These laws impose legal sanctions for both misdemeanor and felony convictions. Criminal penalties for convictions can range from fines and probation to denial or revocation of federal benefits (such as student loans) to imprisonment and forfeiture of personal and real property.

The Appendix to this Guide Memo contains a list of some of the laws pertaining to the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcohol. Because the laws change from time to time, the information provided in the Appendix is illustrative, not exhaustive. More detailed and current information is available from the Stanford Department of Public Safety.

APPENDIX

Some laws imposing criminal sanctions for unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcohol

Generally, as of September 2001 it is a criminal offence:

- to illegally manufacture, sell, distribute, or possess controlled substances (those listed in Schedules I through V of the Controlled Substances Act (21 U.S.C.812) (21 U.S.C. 828, 841, 844, 859, 860)
- to unlawfully possess or possess for sale controlled substances specified in California Health and Safety Code 11054, 11055, 11056, 11057, 11058;
- to possess, cultivate, sell or possess for sale marijuana (Cal. Health and Safety Codes 11357, 11358, 11359)
- to use or be under the influence of a controlled substance (Cal. Health and Safety Code 11550)
- to transport, sell, or distribute marijuana to a minor or to use a minor to transport, sell, or distribute marijuana (Cal. Health and Safety Code 11361)
- to possess, furnish or manufacture drug paraphernalia (Cal. Health and Safety Code 11362 et seq.)
- to provide any alcoholic beverage to a person under 21 or to any obviously intoxicated person (Cal. Business and Professions Code 25658; 25602)
- to be under the influence of alcohol in a public place and unable to exercise care for one's own safety or that of others (Cal. Penal Code 647(f))
- for persons under 21 to have any container of alcohol in any public place or any place open to the public (Business and Professions Code 25662)
- to operate a motor vehicle while under the influence of alcohol or other intoxicants or with a blood alcohol level of .08% or higher (Cal. Vehicle Code 23152)
- for any person under the age of 21 to operate a motor vehicle with a blood alcohol level of .05% or higher (Cal. Vehicle Code 23140)
- to have an open container of alcohol in a motor vehicle and for persons under 21 to drive a vehicle carrying alcohol or to possess alcohol while in a motor vehicle (Cal. Vehicle Code 23223; 23224)
- to have in one's possession or to use false evidence of age and identity to purchase alcohol (Cal. Business and Professions Code 25661)
- for any person under age 21 to purchase alcohol (Cal. Business and Professions Code 5658.5)

Sexual Harassment and Consensual Sexual or Romantic Relationships

Authority This Guide Memo was approved by the President.

Applicability This policy applies to all students, faculty and staff, as well as to others who participate in Stanford programs and activities.

Summary Stanford University strives to provide a place of work and study free of sexual harassment, intimidation or exploitation. Where sexual harassment is found to have occurred, the University will act to stop the harassment, prevent its recurrence, and discipline and/or take other appropriate action against those responsible.

See also: Sexual Harassment Policy Office web page at <http://harass.stanford.edu>.

Section headings in the Guide Memo are:

1. IN GENERAL
2. WHAT IS SEXUAL HARASSMENT?
3. WHAT TO DO ABOUT SEXUAL HARASSMENT
4. PROCEDURAL MATTERS
5. RESOURCES FOR DEALING WITH SEXUAL HARASSMENT
6. CONSENSUAL SEXUAL OR ROMANTIC RELATIONSHIPS
7. POLICY REVIEW AND EVALUATION

1. IN GENERAL

a. Applicability and Sanctions for Policy Violations — This policy applies to all students, faculty and staff of Stanford University, as well as to others who participate in Stanford programs and activities. Its application includes Stanford programs and activities both on and off-campus, including overseas programs. Individuals who violate this policy are subject to discipline up to and including discharge, expulsion, and/or other appropriate sanction or action.

b. Respect for Each Other — Stanford University strives to provide a place of work and study free of sexual harassment, intimidation or exploitation. It is expected that students, faculty, staff and other individuals covered by this policy will treat one another with respect.

c. Prompt Attention — Reports of sexual harassment are taken seriously and will be dealt with promptly. The specific action taken in any particular case depends on the nature and gravity of the conduct reported, and may include intervention, mediation, investigation and the initiation of grievance and disciplinary processes as discussed more fully below. Where sexual harassment is found to have occurred, the University will act to stop the harassment, prevent its recurrence, and discipline and/or take other appropriate action against those responsible.

d. Confidentiality — The University recognizes that confidentiality is important. Sexual harassment advisers and others responsible to implement this policy will respect the confidentiality and privacy of individuals reporting or accused of sexual harassment to the extent reasonably possible. Examples of situations where confidentiality cannot be maintained include circumstances when the University is required by law to disclose information (such as in response to legal process) and when disclosure is required by the University's outweighing interest in protecting the rights of others.

e. Protection Against Retaliation — Retaliation and/or reprisals against an individual who in good faith reports or provides information in an investigation about behavior that may violate this policy are against the law and will not be tolerated. Intentionally making a false report or providing false information, however, is grounds for discipline.

f. Relationship to Freedom of Expression — Stanford is committed to the principles of free inquiry and free expression. Vigorous discussion and debate are fundamental to the University, and this policy is not intended to stifle teaching methods or freedom of expression generally, nor will it be permitted to do so. Sexual harassment, however, is neither legally protected expression nor the proper exercise of academic freedom; it compromises the integrity of the University, its tradition of intellectual freedom and the trust placed in its members.

2. WHAT IS SEXUAL HARASSMENT?

Unwelcome sexual advances, requests for sexual favors, and other visual, verbal or physical conduct of a sexual nature constitute sexual harassment when:

a. It is implicitly or explicitly suggested that submission to or rejection of the conduct will be a factor in academic or employment decisions or evaluations, or permission to participate in a University activity; or

b. The conduct has the purpose or effect of unreasonably interfering with an individual's academic or work performance or creating an intimidating or hostile academic, work or student living environment.

Determining what constitutes sexual harassment depends upon the specific facts and the context in which the conduct occurs. Sexual harassment may take many forms—subtle and indirect, or blatant and overt. For example:

- It may be conduct toward an individual of the opposite sex or the same sex.
- It may occur between peers or between individuals in a hierarchical relationship.
- It may be aimed at coercing an individual to participate in an unwanted sexual relationship or it may have the effect of causing an individual to change behavior or work performance.
- It may consist of repeated actions or may even arise from a single incident if sufficiently egregious.

The University's Policy on Sexual Assault (see Guide Memo 23.3, Sexual Assault, (http://adminguide.stanford.edu/23_3.pdf) may also apply when sexual harassment involves physical contact.

3. WHAT TO DO ABOUT SEXUAL HARASSMENT

Individuals seeking further information are directed to the following resources:

- The Sexual Harassment Policy Office (Main Quad, Bldg. 310, Room 104; (650) 723-1583 or 327-8259; email: <http://harass.stanford.edu> -- for information, consultation, advice, or to lodge a complaint. Note that anonymous inquiries can be made to the SHPO by phone during business hours.
- The Sexual Harassment Policy Office web page at <http://harass.stanford.edu>.
- Any designated Sexual Harassment Adviser or resource person listed in 3.a or 5.a.

The following are the primary methods for dealing with sexual harassment at Stanford. They are not required to be followed in any specific order. However, early informal methods are often effective in correcting questionable behavior.

a. Consultation — Consultation about sexual harassment is available from the Sexual Harassment Policy Office, Sexual Harassment Advisers (including residence deans), human resources officers, employee relations specialists, counselors at Counseling and Psychological Services (CAPS) or the Help Center, chaplains at Memorial Church, ombudspersons and others. A current list of Sexual Harassment Advisers is available from the Sexual Harassment Policy Office and at : <http://harass.stanford.edu/index.html#Advisers>. Consultation is available for anyone who wants to discuss issues related to sexual harassment, whether or not "harassment" actually has occurred, and whether the person seeking information is a complainant, a person who believes his or her own actions may be the subject of criticism (even if unwarranted), or a third party.

Often there is a desire that a consultation be confidential or "off the record." This can usually be achieved when individuals discuss concerns about sexual harassment without identifying the other persons involved, and sometimes even without identifying themselves. Confidential consultations about sexual harassment also may be available from persons who, by law, have special professional status, such as:

- Counselors at Counseling and Psychological Services (CAPS), <http://caps.stanford.edu/>
- Counselors at the Help Center, <http://www.stanford.edu/dept/helpcenter/>
- Chaplains at Memorial Church
- The University Ombudsperson, <http://www.stanford.edu/dept/ocr/ombudsperson/>
- The Medical Center Ombudsperson, <http://www.med.stanford.edu/ombuds/>

In these latter cases, the level of confidentiality depends on what legal protections are held by the specific persons receiving the information and should be addressed with them before specific facts are disclosed.

For more information see <http://harass.stanford.edu/SHissues.html#CONRESOURCES>.
For further information on confidentiality, see Section 1(d) above.

b. Direct Communication — An individual may act on concerns about sexual harassment directly, by addressing the other party in person or writing a letter describing the unwelcome behavior and its effect and stating that the behavior must stop. A Sexual Harassment Adviser can help the individual plan what to say or write, and likewise can counsel persons who receive such communications. Reprisals against an individual who in good faith initiates such a communication violate this policy.

c. Third Party Intervention — Depending on the circumstances, third party intervention in the workplace, student residence or academic setting may be attempted. Third party intervenors may be the Sexual Harassment Advisers, human resources professionals, the ombudspersons, other faculty or staff, or sometimes mediators unrelated to the University.

When third party intervention is used, typically the third party (or third parties) will meet privately with each of the persons involved, try to clarify their perceptions and attempt to develop a mutually acceptable understanding that can insure that the parties are comfortable with their future interactions. Other processes, such as a mediated discussion among the parties or with a supervisor, may also be explored in appropriate cases.

Possible outcomes of third party intervention include explicit agreements about future conduct, changes in workplace assignments, substitution of one class for another, or other relief, where appropriate.

d. Formal Grievance, Appeal, and Disciplinary Processes — Grievance, appeal, or disciplinary processes may be pursued as applicable.

(1) Grievances and Appeals — The applicable procedure depends on the circumstances and the status of the person bringing the charge and the person against whom the charge is brought. Generally, the process consists of the individual's submission of a written statement, a process of fact-finding or investigation by a University representative, followed by a decision and, in some cases, the possibility of one or more appeals, usually to Stanford administrative officers at higher levels. The relevant procedure (see below) should be read carefully, since the procedures vary considerably.

If the identified University fact-finder or grievance officer has a conflict of interest, an alternate will be arranged, and the Director of the Sexual Harassment Policy Office or the Director of Employee and Labor Relations can help assure that this occurs. In most cases, grievances and appeals must be brought within a specified time after the action complained of. While informal resolution efforts will not automatically extend the time limits for filing a grievance or appeal, in appropriate circumstances the complainant and the other relevant parties may mutually agree in writing to extend the time for filing a grievance or appeal.

A list of the established grievance and appeal procedures is located at: http://hrweb.stanford.edu/elr/policies/list_grievance_procedures.html. Copies may also be obtained from the Sexual Harassment Policy Office, <http://harass.stanford.edu/>.

Copies of the following may be obtained from Employee & Labor Relations, 651 Serra Street:

- “Solving Workplace Problems at Stanford: Understanding the Staff Dispute Resolution Policy”
- “Solving Workplace Problems at Stanford: Information for Academic Staff – Librarians and Academic Staff – Research Associates”
- “The Dispute Resolution Process (A User’s Guide)”

(2) Disciplinary Procedures — In appropriate cases, disciplinary procedures may be initiated.

The applicable disciplinary procedure depends on the status of the individual whose conduct is in question. For example, faculty members are subject to the Statement on Faculty Discipline:

<http://www.stanford.edu/dept/provost/faculty/policies/handbook/ch4.html#statementonfacultydiscipline>

and students to the Fundamental Standard. For additional information related to student judicial affairs, see <http://www.stanford.edu/dept/vpsa/judicialaffairs/>. The individuals referenced in this section are available to discuss these options and differing methods for dealing with sexual harassment.

4. PROCEDURAL MATTERS

a. Investigations — If significant facts are contested, an investigation may be undertaken. The investigation will be conducted in a way that respects, to the extent possible, the privacy of all of the persons involved. In appropriate cases, professional investigators may be asked to assist in the investigation. The results of the investigation may be used in the third party intervention process or in a grievance or disciplinary action.

b. Record keeping — The Sexual Harassment Policy Office will track reports of sexual harassment for statistical purposes and report at least annually to the University President concerning their number, nature and disposition. The Sexual Harassment Policy Office may keep confidential records of reports of sexual harassment and the actions taken in response to those reports, and use them for purposes such as to identify individuals or departments likely to

benefit from training so that training priorities can be established. No identifying information will be retained in cases where the individual accused was not informed that there was a complaint.

c. Indemnification and Costs — The question sometimes arises as to whether the University will defend and indemnify a Stanford employee accused of sexual harassment. California law provides, in part, "An employer shall indemnify [its] employee for all that the employee necessarily expends or loses in direct consequence of the discharge of his [or her] duties as such" The issue of indemnification depends on the facts and circumstances of each situation. Individuals who violate this policy, however, should be aware that they and/or their schools, institutes, or other units may be required to pay or contribute to any judgments, costs and expenses incurred as a result of behavior that is wrongful and/or contrary to the discharge of the employee's duties. In general, see Administrative Guide Memo 15.7 (http://adminguide.stanford.edu/15_7.pdf).

5. RESOURCES FOR DEALING WITH SEXUAL HARASSMENT

a. Advice — Persons who have concerns about sexual harassment should contact the Sexual Harassment Policy Office, any Sexual Harassment Adviser at <http://harass.stanford.edu/index.html#Advisers> or one of the other individuals listed below. Reports should be made as soon as possible: the earlier the report, the easier it is to investigate and take appropriate remedial action. When reports are long delayed, the University will try to act to the extent it is reasonable to do so, but it may be impossible to achieve a satisfactory result after much time has passed. Likewise, anyone who receives a report or a grievance involving sexual harassment should promptly consult with the Sexual Harassment Policy Office or with a Sexual Harassment Adviser. There are a number of individuals specially trained and charged with specific responsibilities in the area of sexual harassment. In brief, they are:

- **Sexual Harassment Advisers** (<http://harass.stanford.edu/index.html#Advisers>) serve as resources to individuals who wish to discuss issues of sexual harassment, whether because they have been harassed or because they want information about the University's policy and procedures. There is usually at least one Adviser assigned to each of the schools at the University and to each large work unit; most of the residence deans also have been appointed as Sexual Harassment Advisers. Advisers are also authorized to receive complaints.

- **The Director of the Sexual Harassment Policy Office** is responsible for the implementation of this policy. The Director's Office also provides advice and consultation to individuals when requested; receives complaints and coordinates their handling; supervises the other Advisers; encourages and assists prevention education for students, faculty and staff; keeps records showing the disposition of complaints; and generally coordinates matters arising under this policy. Because education and awareness are the best ways to prevent sexual harassment, developing awareness, education and training programs and publishing informational material are among the most important functions of the Sexual Harassment Policy Office (<http://harass.stanford.edu>).

- As stated above, individuals with concerns about sexual harassment may also discuss their concerns informally with psychological counselors (for example through CAPS or the HELP Center), chaplains (through the Memorial Chapel), or University or Medical School ombudspersons. For more information, see: <http://harass.stanford.edu/SHissues.html#CONRESOURCES>.

b. External Reporting — Sexual harassment is prohibited by state and federal law. In addition to the internal resources described above, individuals may pursue complaints directly with the government agencies that deal with unlawful harassment and discrimination claims, e.g., the

U.S. Equal Employment Opportunity Commission (EEOC), the Office for Civil Rights (OCR) of the U.S. Department of Education, and the State of California Department of Fair Employment and Housing (DFEH). These agencies are listed in the Government section of the telephone book. A violation of this policy may exist even where the conduct in question does not violate the law.

6. CONSENSUAL SEXUAL OR ROMANTIC RELATIONSHIPS

a. In General — There are special risks in any sexual or romantic relationship between individuals in inherently unequal positions, and parties in such a relationship assume those risks. In the University context, such positions include (but are not limited to) teacher and student, supervisor and employee, senior faculty and junior faculty, mentor and trainee, adviser and advisee, teaching assistant and student, coach and athlete, and the individuals who supervise the day-to-day student living environment and student residents. Because of the potential for conflict of interest, exploitation, favoritism, and bias, such relationships may undermine the real or perceived integrity of the supervision and evaluation provided, and the trust inherent particularly in the teacher-student context.

They may, moreover, be less consensual than the individual whose position confers power or authority believes. The relationship is likely to be perceived in different ways by each of the parties to it, especially in retrospect. Moreover, such relationships may harm or injure others in the academic or work environment. Relationships in which one party is in a position to review the work or influence the career of the other may provide grounds for complaint by third parties when that relationship gives undue access or advantage, restricts opportunities, or creates a perception of these problems.

Furthermore, circumstances may change, and conduct that was previously welcome may become unwelcome. Even when both parties have consented at the outset to a romantic involvement, this past consent does not remove grounds for a charge based upon subsequent unwelcome conduct. Where such a relationship exists, the person in the position of greater authority or power will bear the primary burden of accountability, and must ensure that he or she — and this is particularly important for teachers — does not exercise any supervisory or evaluative function over the other person in the relationship. Where such recusal is required, the recusing party must also notify his or her supervisor, department chair or dean, so that such chair, dean or supervisor can exercise his or her responsibility to evaluate the adequacy of the alternative supervisory or evaluative arrangements to be put in place. (Staff members may instead, as an option, notify their local human resources officer.)

To reiterate, the responsibility for recusal and notification rests with the person in the position of greater authority or power. Failure to comply with these recusal and notification requirements is a violation of this policy, and therefore grounds for discipline.

b. With Students — At a university, the role of the teacher is multifaceted, including serving as intellectual guide, counselor, mentor and advisor; the teacher's influence and authority extend far beyond the classroom. Consequently and as a general proposition, the University believes that a sexual or romantic relationship between a teacher and a student, even where consensual and whether or not the student would otherwise be subject to supervision or evaluation by the teacher, is inconsistent with the proper role of the teacher, and should be avoided. The University therefore very strongly discourages such relationships.

7. POLICY REVIEW AND EVALUATION

This policy went into effect on October 6, 1993, and was amended on November 30, 1995, and on May 30, 2002. It is subject to periodic review, and any comments or suggestions should be forwarded to the Director of the Sexual Harassment Policy Office.