

**Computer Science**  
**Ph.D. Graduate Handbook**  
**2016 - 2017**



**MANUAL OF THE PH.D. DEGREE IN  
COMPUTER SCIENCE  
AND  
CONCENTRATIONS**

**ARIZONA STATE UNIVERSITY**

**2016 - 2017**

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## **I. Introduction to the Computer Science Program**

The Computer Science (CS) program of the Ira A. Fulton School of Engineering at Arizona State University (ASU) offers an advanced academic program leading to the Doctor of Philosophy (Ph.D.) degree. The PhD program in computer science aims to prepare students for conducting independent research in computer science while ensuring deep knowledge in the area of specialization and a breadth of knowledge in various areas of computer science. The program requires core and elective coursework, Comprehensive Exams, Prospectus Proposal, a written dissertation, and an oral defense of the dissertation. The Ph.D. degree is offered to exceptional students who have completed, with distinction, a Bachelor's or Master's degree in engineering, or a closely related field.

## **II. Objective of the handbook**

The purpose of this handbook is to provide guidance and information related to admission, degree requirements, and general policies and procedures. Please note that in some cases you will find differences between the Graduate Education Policies and Procedures and the Computer Science program requirements. In these cases, CS has established higher standards. Students must satisfy both sets of requirements. Please note that policies and procedures are occasionally amended to improve the program. Changes will be communicated to students through e-mail, which is our primary form of communication. We will also post any updates to this handbook on our website [cidse.engineering.asu.edu](http://cidse.engineering.asu.edu).

## **III. Student responsibility**

All students are expected to become familiar with university and program policies and procedures and abide by the terms set forth. Information is available online. Most importantly you should visit the following websites:

- The Office of Graduate Education – <http://graduate.asu.edu>
- Graduate Education Policies and Procedures – <https://graduate.asu.edu/policies-procedures>
- The Computer Science Program – <http://cidse.engineering.asu.edu/forstudent/graduate/computer-science/>
- The International Student and Scholars Center– <https://students.asu.edu/international>, if applicable.
- The Ira A. Fulton School of Engineering – <http://engineering.asu.edu>

## **IV. Faculty responsibility**

The members of the faculty of Computer Science have diverse backgrounds and knowledge. They are available to assist you in your plan of study and your educational and career goals. We encourage you to take the opportunity to make individual appointments with faculty members with whom you have common interests. Please refer to the [CIDSE website](#) for a list of the faculty names, areas of expertise, and research interest.

## **V. Admission and eligibility to the doctoral degree program**

The Computer Science doctoral degree requires a background in engineering, math, statistics, physical science, or a closely related field. However, in some cases, students with non-traditional educational backgrounds will be considered for admission. These students may be required to take fundamental courses to better prepare them for the program coursework. A

student is encouraged to contact the School of Computing, Informatics, and Decision Systems Engineering to obtain advice on their educational pursuits.

**Eligibility** - Prior to applying to the CS doctoral program, students are required to have completed three semesters or 12 credit hours of Calculus including Multivariate Calculus.

**Application** - All students are required to submit an application and all required supporting materials with the Office of Graduate Admission and pay the required fee in order to have their application properly processed.

**Application deadlines - December 1 for Fall and August 1 for Spring:**

To receive full consideration, we ask that you have all the required documents submitted by the deadline.

**GRE scores** - All students, except ASU undergraduate CSE alumni, are required to submit official **general** Graduate Record Examination (GRE) scores directly to the Office of Graduate Admission. The average GRE scores for students admitted into the Ph.D. program have been 153 or 63 percentile Verbal, 163 or 88 percentile Quantitative, and 4.0 Analytical. However, admission decisions are made on the basis of the entire application packet. We do not require specific subject GRE scores. The ASU Institution code is 4007. If department code is required use 000 for GRE

**English Proficiency** - The University requires all international applicants from a country whose native language is not English to provide the Test of English as a Foreign Languages (TOEFL) or the International English Language Testing System (IETLS) scores. CSE uses 575 (paper-based) or 90 (internet-based) or 7 for IETLS as minimum expectations for admission. **Please note that your application will not be processed until the university receives official English Proficiency scores, and are valid two years from the start date of the degree program.** There are some exceptions for students who have been living in the United States and would like to have the English Proficiency waived. They should consult the Office of Graduate Admission. Please address all English Proficiency questions to the Office of Graduate Admission. The ASU Institution code is 4007. If department code is required use 99 for TOEFL

**Personal statement** - The application must include a personal statement. The statement should: 1) explain professional goals and reasons for desiring to enroll in the doctorate program; 2) describe any research experiences; 3) indicate personal research interests; and 4) identify two or three ASU IE faculty with matching research interests.

**Letters of recommendation** - CSE requires three (3) letters of recommendation, at least one of which must come from former faculty. There is no standard form for letters of recommendation. Our current application process allows students to submit the letter of recommendations electronically by indicating the names and the e-mails of the recommender. In turn, the Office of Graduate Admission sends an e-mail to the recommender alerting him or her to go online and submit a recommendation. We encourage letters from people who know you well, such as teachers, professional associates and supervisors. Ask people who can comment on your academic, emotional, intellectual and professional development.

**GPA requirement** - Students applying directly from an undergraduate program must have a minimum cumulative GPA of 3.5 in the last 60 credit hours of the undergraduate degree and have been involved in some form of research at the undergraduate level. Students who are applying following a master's degree must have a minimum GPA of 3.5 for the last degree awarded.

**Application evaluation** - Several factors are taken into consideration when evaluating a student's application: the student's cumulative GPA, major, institution, personal statement, letters of recommendation, standardized test scores, and performance in individual courses.

**Notice of Admission** - CSE submits its recommendation of admission to the Office of Graduate Admission and the final notice of admission decision is notified in writing by the Office of Graduate Admission. You may check your application status on MyASU ([my.asu.edu](http://my.asu.edu)).

**Deficiencies** – Students in the PhD programs are admitted from a variety of backgrounds. To ensure that all students have an adequate background in computer science at the undergraduate level, all students need to show competence in 6 areas: computer organization, operating systems, programming languages, algorithms and data structures, theory of computation, and software engineering. Many students meet this requirement by taking courses in these areas in their undergraduate. Students who have not taken some of these courses in their undergraduate studies are assigned deficiencies courses upon admission. Assigned deficiencies must be completed with a grade of B or higher in their first year in the program.

Below is a list of pre-requisites along with the associated ASU course numbers:

- CSE 230 - Computer Organization and Assembly Language Programming
- CSE 310 - Data Structures and Algorithms
- CSE 330 - Operating Systems
- CSE 340 - Principles of Programming Languages
- CSE 355 - Introduction to Theoretical Computer Science
- CSE 360 - Introduction to Software Engineering

Deficiency coursework completed with a grade of “C” or better at the undergraduate level will satisfy the requirements. A grade of “B” or better is required for all assigned deficiency coursework at the post-baccalaureate level.

**Waiver Process:** Students wishing to have their course syllabi examined as evidence that deficiencies have been satisfied must submit a petition form. Submit an e-mail to [cidse.advising@asu.edu](mailto:cidse.advising@asu.edu) with [Petition for Reevaluation of Deficiency Course](#) form and supporting documents (such as syllabus, catalog description, or university transcripts) to prove that you have met the requirements. Be advised that the documents you uploaded during the admission application have been evaluated. Submit only **new** information when requesting a reevaluation of assigned deficiencies. Once the petition has been reviewed it is final. There will be no future petition or consideration request. If after evaluation the petition is not approved, the student may choose to take the deficiency test-out examination.

**Deficiency test-out exam** - Before Welcome Day in Fall and Spring semesters, a classroom will be set aside to allow students entering with deficiencies (listed in the admissions letter) to take a test to establish whether they possess basic knowledge of the course sufficient to have an assigned deficiency waived. Students may take up to three test-out exams. This scheduled testing period is the only opportunity for deficiency test-outs. No other arrangements will be made for students to test-out of assigned deficiencies.

### **Pre-admission credits and Transfer credit**

A student can transfer a maximum of thirty credit hours from an earned Master’s degree from another accredited institution plus 12 credits not used in any previous degree program with the approval of the Program Chair. Credit for course work taken from an accredited institution can be awarded subject to the following constraints:

1. Transferred credit should satisfy degree requirements
2. 0-30 hours of graduate credit from a Master’s degree may be allocated from a previously awarded master’s degree with approval from the academic unit. Note that a student is not guaranteed to transfer all 30 credits from a previous Master’s degree if the credits do not satisfy degree requirements.
3. 0-12 additional credit hours can be transferred if they are not used towards a degree. A student will have to prove by a Master’s plan of study from the previous institution that these credits were not required for their Master’s as stated in the ASU Graduate Education Pre-admission policy. Pre-admission credits must have been taken with three years of admission to the ASU degree program to be accepted.
4. The equivalent of a grade of B (at ASU) or higher should have been earned on every transferred course. A course with a grade of “Pass”, “Credit”, or “Satisfactory” is not acceptable for transfer.
5. Courses transferred should match or be sufficiently similar to courses offered at ASU.

A student who wishes to transfer credits from another institution should contact the graduate advisor in the CIDSE Advising Center to initiate the transfer credit process.



### **Transfer between programs**

Students that want to change from a Master's to a Ph.D. in Computer Science must submit a new application with the Graduate College. Admission to the Ph.D. program can be denied. If admitted, the student is allowed to use only twelve credits from the original program to the new program.

A student who would like to transfer from the PhD program to a master's program should submit a "Degree Change Request form" at the CIDSE Advising Office, and if approved, then the student can submit an official "Request" through MyASU. A request to transfer from the PhD program to a master's program is subject to program approval. Nine credits can be transferred from the PhD program to a master's program subject to the course transfer rules and the master's program rules at the time of the transfer. The student's program of study after a transfer from the PhD program to a master's program should satisfy the master's program degree requirements in effect at the time of the transfer.

## **VI. Doctoral degree requirements**

The PhD program in computer science aims to prepare students for conducting independent research in computer science while ensuring deep knowledge in the area of specialization and a breadth of knowledge in various areas of computer science. To achieve its aim, the PhD program has multiple requirements. This section outlines the requirements as well as the procedures that need to be followed to satisfy these requirements.

1. **Breadth requirement at the graduate level: core area courses.** All students, regardless of their specialization area, are expected to show breadth of knowledge in computer science at the graduate level. This requirement is satisfied by successfully completing, with a grade of B or better, 5 courses in 5 different core areas. Transfer credit cannot count towards satisfying the breadth requirement unless the credit was earned at ASU.
2. **Depth requirement at the graduate level: depth courses.** In addition to the breadth requirement, students should show deep knowledge of their specialization area by taking two additional courses in one of the core areas related to their specialization.
3. **Additional courses requirement.** In addition to the breadth and depth courses, a student should take a certain number of credit hours in formal courses and/or directed study. These courses can include interdisciplinary courses as well as computer science courses subject to constraints that are spelled out in detail in subsequent sections.
4. **Comprehensive exam.** Students are required to show depth of understanding in their specialization area by passing a comprehensive exam. The exam has two parts, one written and one oral. The syllabus of the exam is determined, in consultation with the student, by the student's advisor and the supervisory committee. By passing the comprehensive exam, the student shows that he or she has mastered the requisite knowledge required to conduct research in his or her specialization area.
5. **Research competence requirement: research proposal.** While the comprehensive exam shows that the student has the needed knowledge to conduct research in a specialization area, the research proposal shows that the student has mastered the requisite research methods to identify, formulate, and plan research in a specialization area. The proposal exam has two parts, a written and an oral.

6. **Research competence requirement: dissertation.** The dissertation is the culmination of the doctoral program. By writing and defending a dissertation the student shows that he or she is ready to conduct independent research in a specialization area.

Degree requirements for the Ph.D. include a minimum of 84 semester hours beyond the bachelor's degree and deficiency courses. A maximum of 30 credit hours taken during the Master's degree can be applied to a Ph.D. degree, provided that coursework is approved as applicable to the doctoral degree.

The Ph.D. is comprised of five major milestones, which all students are required to pass successfully prior to graduation:

- a) Completion of coursework
- b) Filing an approved Plan of Study
- c) Passing the Comprehensive Examination and
- d) Approval of the dissertation prospectus to advance to candidacy
- e) Successful oral defense of an approved written dissertation

The Computer Science Ph.D. program also offers concentrations in Information Assurance and Arts, Media, and Engineering.

#### **a. Formulation of the Plan of Study**

The Dissertation chair, advises the student in planning the plan of study (iPOS). The iPOS must be submitted by the time a student has completed their first year of coursework and identified a dissertation chair. The iPOS must have the approval of the student's Dissertation Chair, the Academic Unit, and the Graduate Education.

#### **Students admitted Fall 2016 and later:**

84 (eighty-four) credit hours of graduate work beyond the bachelor's degree are required with the following constraints:

- Core CS areas: 15 credit hours; 3 credit hours in each of the 5 core areas.
- Depth CS area: 6 additional credit hours in one of the 5 core areas (not already taken for core).
- Interdisciplinary Electives: 0-15 credit hours
- Open CS elective courses: 18-39 credit hours (except 580, 584, 592, 593, 595, 599, 792, 795, 799) with up to 18 hours of 590 and 790 allowed to be part of it.
- Research: 12-18 credit hours of research (CSE 792)
- Dissertation: 12 hours of dissertation (CSE 799)
- 0-30 hours of graduate credit from a Master's degree may be allocated from a previously awarded master's degree with approval from the academic unit.
- Comprehensive examination – Oral and Written
- Dissertation Prospectus - Written
- Prospectus Defense - Oral
- Dissertation Defense- Oral

### **i. Area**

All students, regardless of their specialization area, are expected to show breadth of knowledge in computer science at the graduate level. This requirement is satisfied by successfully completing, with a grade of B or better, 5 courses in 5 different core areas. It is recommended that students complete the area courses early in their program to ensure they are able to achieve a “B” in the five core area courses. Please see the area course listing on page 27 for a list of approved area courses. Transfer credit cannot count towards satisfying the breadth requirement unless the credit was earned at ASU

### **ii. Depth**

In addition to the breadth requirement, student should show deep knowledge of their specialization area by taking two additional courses in one of the core areas related to their specialization.

### **iii. Concentration**

The Computer Science Ph.D. program also offers concentrations in Information Assurance and Arts, Media, and Engineering. The hours in the elective coursework will be adjusted to accommodate the concentration coursework if students plan on pursuing a concentration. Courses that are used to satisfy the concentration requirement in the plan of study cannot be used to satisfy the core area requirement.

#### **CS Ph.D. in Information Assurance:**

- Core course: 15 credits (5 courses): 3 credit hours in each of the 5 core areas
- Depth: 6 credits (2 courses): CSE 539 and CSE 543,
- IA concentration courses: 12 credits (4 courses): CSE 545, CSE 548, and two (2) other IA electives:
  - CSE 466: Computer Systems Security (3)
  - CSE 467: Data and Information Security (3)
  - CSE 469: Computer and Network Forensics (3)
  - CSE 531: Distributed and Multi-Processor Operating Systems (3)
  - CSE 534: Advanced Computer Networks (3)
  - CSE 565: Software Verification, Validation, and Testing (3)
- Interdisciplinary Electives: 0-15 credit hours
- CSE electives: 6 - 27 credit hours
- Research: 12-18 credit hours of research (CSE 792)
- Dissertation: 12 hours of dissertation (CSE 799)
- 0-30 hours of graduate credit from a Master’s degree may be allocated from a previously awarded master’s degree with approval from the academic unit.
- Comprehensive examination – Oral and Written
- Dissertation Prospectus - Written
- Prospectus Defense - Oral
- Dissertation Defense- Oral

### **CS Ph.D. in Arts, Media, and Engineering:**

- Core course: 15 credits (5 courses): 3 credit hours in each of the 5 core areas
- Depth: 6 additional credit hours in one of the 5 core areas (not already taken for core).
- AME courses: 18 credits (6 courses)
- CSE electives: 15 credits
- Research: 12 credit hours of CSE 792 and 6 credit hours of AME 792
- Dissertation: 8 credit hours of CSE 799 and 4 credit hours of AME 799
- 0-30 hours of graduate credit from a Master's degree may be allocated from a previously awarded master's degree with approval from the academic unit.
- Comprehensive examination – Oral and Written
- Dissertation Prospectus - Written
- Prospectus Defense - Oral
- Dissertation Defense- Oral

#### **iv. Approved 400 and 4XX/5XX level**

Effective Spring 2016: A maximum of 6 credit hours of 400-level coursework is allowed. A maximum of 12 hours of a combination of 400-level and cross-listed courses (4XX/5XX) is allowed. If a 400 level course is cross-listed with a 500 level course, students will be required to enroll in the 500 level. Students who have taken any of the 4XX courses as 598, cannot take the same class at the 400-level. Please see the approved list of 400-level courses on page 28.

#### **v. Interdisciplinary Studies**

In recognition of the interdisciplinary nature of computer science and individual research interests, Ph.D. students are encouraged to acquire a certain level of knowledge in another discipline by completing up to fifteen credit hours of graduate work in other departments such as biomedical informatics, mathematics, psychology, engineering, philosophy (logic) and linguistics. Although the School wants to maintain uniform standards concerning the academic work of all students, an individual student's educational background, research interests and plans for the future must play a role in course selection. Therefore, the members of the student's program committee and the student together are to agree on which area and which courses are permitted for interdisciplinary studies. The guidelines for the selection are:

1. The quality of the course is satisfactory, and the content is relevant to computer science and the student's research.
2. There is no significant overlap between the courses in question and others that the student has already taken to satisfy Ph.D. requirements.

#### **b. Selection of Faculty Advisor**

When a student has decided on a primary area of research, the student must select a faculty advisor in that area of study. The faculty advisor must have the right to chair Computer Science committees. The faculty advisor will serve as the chair of the supervisory committee that supervises the student's dissertation. The list of faculty with the right to chair can be found on Graduate Education's faculty website: <https://graduate.asu.edu/graduate-faculty/degree/G2>.

### c. Dissertation Supervisory Committee

The Computer Science supervising committee serves three roles:

1. The comprehensive examination committee
2. The dissertation proposal committee
3. The dissertation and dissertation defense committee

In consultation, the faculty advisor and the student form a supervisory committee. The faculty advisor serves a chair of the supervisory committee. Membership in the Computer Science supervising committee is a privilege that is extended to tenure/ tenure track faculty members of ASU as well as to other individuals as described in the following membership rules.

1. **Members:** A CS PhD supervising committee must have at least 4 members.
2. **Chair:** The chair of the CS PhD supervising committee must be a member of the CS Graduate faculty with right to chair PhD committees in computer science.
3. **Composition requirement:** A majority of the members of the PhD supervising committee must be members of the CS Graduate Faculty with right to chair PhD committees.
4. **CS Graduate Faculty members:** Members of the CS Graduate Faculty can serve on CS PhD supervising committees. This includes both tenure/tenure track faculties from other units as well as others (research faculty for example) who are members of the CS Graduate Faculty.
5. **Other ASU Faculty:** ASU tenure/tenure track faculty members who are not members of the CS Graduate Faculty can serve on CS PhD supervising committees.
6. **Co-Chair:** For a faculty member to serve as co-chair of a CS PhD supervising committee, the faculty member must be a member of the CS Graduate Faculty with right to co-chair or be approved to serve as co-chair with an approved [Committee Approval \(Individual Approval 1 time\)](#) on file. The form is available on ASU's Graduate Education web site. The form needs to be completed by the student and submitted to the Advising Center BYENG 225 together with the CV of the external member
7. **External members:** Individuals who are not affiliated with ASU can serve on CS PhD supervising committee subject to approval.
  - a. **Approval for serving on committee:** To get an individual who is not affiliated with ASU approved to serve as an external member, a [Committee Approval \(Individual Approval 1 time\)](#) form must be submitted and approved. The form is available on the Graduate Education web site. The form needs to be completed by the student and submitted at the Advising Center BYENG 225 together with the CV of the external member.
  - b. **Approval for serving as co-chair:** To get an external member who is not affiliated with ASU approved to serve as a co-chair, a [Committee Approval \(Individual Approval 1 time\)](#) form must be submitted and approved. The form is available on the Graduate Education web site. The form needs to be completed by the student and submitted at the Advising Center together with the CV of the external member
8. **AME and Information Assurance Concentration:** For students in one of the concentrations, at least one member of the student's committee must be from that program.

The composition of the committee must be in accordance with the guidelines of ASU Graduate Education. Once the committee is established, changes to the committee are highly discouraged. Any changes to the committee must be submitted by completing a Graduate Committee Change form through the ASU Graduate Education that is signed by the student and all members of the student's committee.

The supervisory committee, in its role as comprehensive examination committee, administers the comprehensive examination, which consists of written and oral examinations designed to test the student's mastery of the field of specialization.

The supervisory committee, in its role as dissertation proposal committee, approves the student's research proposal.

The supervisory committee, in its role as dissertation committee, approves the subject and title of the dissertation and advises the student during the formulation of the research topic and during the completion of the research and the dissertation.

#### **d. Comprehensive Examination**

The comprehensive exam can be scheduled within the first 3 years from the start of the program. Student who have not taken their comprehensive exam by the end of 4th year will be placed on progress probation for lack of completing one of the milestones of the degree requirements. The comprehensive examination tests the student's mastery in the specialization and closely related areas, and, when applicable, the specific topic of the intended dissertation. The purpose of the comprehensive examination is to show that the student has developed the research tools necessary to undertake the dissertation research.

The comprehensive examination consists of two components: an oral component and written component. The Comprehensive Exam takes place prior to defending the dissertation prospectus. The Comprehensive Exam **takes approximately six weeks**. Students should plan in advance and must ensure that they are registered at all times in at least one credit graduate level course (e.g. 580, 792, 795, or 799). This includes if either part of the written or oral portion of the comprehensive exam will be held in summer.

#### **Important! Check List prior to starting the Comp Exam:**

1. Interactive Plan of Study (iPOS) must be approved.
2. All committee members must be listed in the iPOS.
  - a. Please see the Dissertation Supervisory Committee section (page 9) regarding requirements and paperwork.
  - b. The committee request must be requested and approved electronically through the iPOS tab on your MYASU to start your comprehensive exam.
3. Students must be in good academic standing regarding GPA requirements prior to taking doctoral comprehensive examination.

#### **Examination Syllabus**

In consultation with the student, the comprehensive examination committee determines the syllabus for the exam. The syllabus identifies the general area of research as well as the more

specialized area of research that the exam will cover. It lists areas of knowledge the student should show competence in. The syllabus can include a listing of courses, books, papers, or other sources that cover the necessary knowledge on which the student will be examined. The syllabus should be decided and approved by all committee members well ahead of time to give the student the opportunity to prepare for the exam. The syllabus for the comprehensive exam is kept on file as part of the student's record. An example syllabus is shown in Appendix II.

### **The Written Component**

For the written component, each committee member is required to submit questions for the exam. The questions are submitted to the graduate advisor who forwards them to the student when all questions are received. The student has 10 business days to answer the questions and submit them to the graduate advisor who forwards them to the committee members.

Each committee member grades and report the results of the written component to the chair of the of comprehensive examination committee who in turn reports them to the whole committee and to the graduate advisor. Committee members do not only grade the individual questions they asked, but grade the whole exam.

### **The Oral Component**

If the student passes the written component, the oral component of the comprehensive exam can take place. The oral exam is attended by the comprehensive examination committee and is open to the department faculty. At the discretion of the committee, graduate students may also attend the oral examination. The questions asked in the written and oral component of the exam should be restricted to the approved syllabus.

The student's supervisory committee must sign the [Report of Doctoral Comprehensive Exam Form](#) once the examinations are successfully completed. The student submits the form to the graduate advisor, who will submit the form to the Graduate Program Chair and will be recorded in the system for final approval by the Graduate Education.

The written exam questions as well as the student answers are kept on file as part of the student record. The student must be enrolled in the semester in which the comprehensive exam is taken.

### **Retaking the exam**

Failure of the comprehensive examinations is considered final unless the supervisory committee and the Graduate Program Chair recommend, and the Dean of the Graduate Education approves, a re-examination. A re-examination may be administered no earlier than three months and no later than one year from the date of the original examination. Only one re- examination is permitted.

### **Steps to preparing the Written and Oral Comp Exam:**

#### **The Written Portion**

**Step 1:** Student submits an electronic copy of the Comprehensive Exam Syllabus that is approved by the PhD committee to one of the graduate advisors. An example syllabus is shown in Appendix II. In the subject heading, the student mentions Comprehensive Exam and First and Last Name. In the message, the student mentions the all committee

member names and provides e-mails of the committee members, especially for external members.

**Step 2:** The Graduate Advisor e-mails to the committee together with the Exam Syllabus and gives them a two-week deadline to send their questions to the advisor.

**Step 3:** The Graduate Advisor gathers all the questions from all committee members and sends it in one e-mail to the student with a 10 working days deadline.

**Step 4:** The student sends the Q & A back to the committee and copies the graduate advisor. The outline of the written paper should include the faculty name, the questions given by the faculty, and immediately following the answer for each of the question.

### **The Oral Portion**

**Step 1:** Normally, the oral exam is scheduled after two weeks from the date the student submits the Q & A to the committee. However, if this is not possible to schedule within two weeks, it should be scheduled at the earliest convenience of the committee availability. It is the student's responsibility to schedule the oral exam by contacting the committee and arranging for room reservation.

**Step 2:** The student contacts the Administrative office (5th floor Brickyard), to reserve a room and provides the date and time. The student should plan to have the room reserved for at least 2-3 hours.

**Step 3:** The student downloads the [Doctoral Comprehensive Exam Form](#) and hands it to the Dissertation Chair on the day of the oral exam. This form is located on the [CIDSE Graduate Forms](#) webpage.

**Step 4:** After the exam, the student drops off the [Doctoral Comprehensive Exam Form](#) at the Advising Center (BYENG 225) for processing. Please keep a copy for yourself!

Please see Appendix I for Absent Committee Member Procedures

### **e. Dissertation Prospectus**

A student cannot submit a dissertation prospectus in the semester or prior to the semester, in which the comprehensive exam is administered and passed. The comprehensive exam and the prospectus should not be done in the same semester.

The dissertation prospectus must contain:

1. A statement of the proposed research and why it is important.
2. An overview of the relevant literature.
3. A description of the student's competence to conduct the proposed research. Passing the comprehensive examination indicates competence in the area of the examination. The student is encouraged to provide evidence of initial results in the scope of the dissertation research.



4. A discussion of how the research will be approached (including specific criteria for the completion of the research broken down by research tasks, and the order in which the tasks will be completed).
5. A projected time-table and outline of the dissertation.

The length of the written dissertation prospectus is not to exceed 20 pages (no exceptions). The student is encouraged to provide the required material in an effective manner. Ultimately, the student's committee chair guides the prospectus writing process.

After the student's committee chair is satisfied with the student's dissertation prospectus, the student must submit a copy of the dissertation prospectus to each member of the supervisory committee at least two weeks before the defense. The student must also post and submit a [Defense Announcement](#) of the dissertation prospectus defense at least two weeks before the defense. The candidate must be enrolled at the time of the prospectus defense.

Before the student submits the announcement, the student must schedule a room through the Administrative office (5th floor Brickyard) for the date and time agreed to by the supervisory committee. The announcement must include an abstract, the name of the student and the names of the committee members in addition to specifying the time, date and place of the presentation of the dissertation prospectus. The presentation must be announced and open to the School faculty. Attendance by others is left to the discretion of the supervisory committee. The committee evaluates the prospectus in terms of:

1. The value of the research.
2. The feasibility of the research plan.
3. The student's preparation for carrying out the proposed research.

The committee accepts the dissertation prospectus, accepts it with changes or rejects it. If the committee deems the student's work on the dissertation prospectus to be unsatisfactory, the student may request one more opportunity to submit a dissertation prospectus. The student must wait until the next semester or summer session before making the second and final attempt and the student must make the second and final attempt within one year after the first attempt.

If the committee accepts the dissertation prospectus with changes, the supervisory committee indicates a description of the required changes on a separate e-mail to the student. The student must submit the revised dissertation prospectus to the supervisory committee no later than one month after the oral presentation of the prospectus. The committee must evaluate the revised prospectus no later than one month following the student's submission of the revision. When the committee accepts the proposal, each committee member must sign the [Doctoral Proposal/Prospectus Results Form](#). Then the student must submit the prospectus to the graduate advisor for approval by the Graduate Program Chair. The Graduate College will then approve the student for candidacy.

Please see Appendix I for Absent Committee Member Procedures

## **f. Dissertation**

Before a dissertation can be defended, parts of it must have been published or accepted for publication in at least one journal, conference, or book of a quality acceptable to the dissertation committee.

A student must be enrolled in at least one graduate-level course at the time of the defense. If you are holding the defense during the interim period between semesters, you must be registered in the following semester. If you defend during the period between the Spring and Summer semester, you must be registered for the summer session. If you defend during the period between the Summer session and Fall semester, then you must be registered in the Fall semester. Please see the [Graduate Education policies](#).

The Graduate Education publishes information regarding the details of dissertation preparation, formal requirements, deadlines and oral examinations. The student must comply with all guidelines that the Graduate Education publishes regarding the submission of a dissertation and the scheduling of a final oral examination.

Once the dissertation is completed, the candidate will submit it to the committee members as well as to the external reviewer. The dissertation defense will take place no earlier than four weeks after the dissertation is received by the committee.

There will be an open oral defense following the completion of the dissertation. A student can schedule the defense after the student's committee chair has approved the student's dissertation. The student must schedule their defense on MyASU at least [10 working days](#) prior to the defense announcement. The student must also post and submit a [Defense Announcement](#) at least 2 weeks before the defense.

The supervisory committee evaluates the dissertation and the student's performance on the defense. The committee accepts the dissertation, accepts it with changes or rejects it. If the committee deems the student's work on the dissertation or performance on the oral examination to be unsatisfactory, the student may request one more opportunity to submit a dissertation and pass the defense. The student must wait until the next semester or summer session before making the second and final attempt and the student must make the second and final attempt within one year after the first attempt.

Once the dissertation has been approved, the student is required to upload their dissertation to Pro-Quest and provide at least one bound copy of the dissertation to the committee chair. As a courtesy, the student should determine whether other members of the supervisory committee would like a bound copy of the dissertation.

Please see Appendix I for Absent Committee Member Procedures

### **Steps to Preparing for Your Defense**

#### Prior to defense:

1. Obtain a consensus of approval from the committee chair and the members to proceed with the oral defense.

2. Schedule a date and time with your committee for the oral defense.
3. Important: Ensure that a minimum of 50% of the official committee be physically present at the defense. If at least 50% of the committee cannot be physically present, the defense must be rescheduled.
4. Visit the [Graduate Education website](#) to become familiar with the dates and deadlines on format approval and oral defense.

10 days prior to the defense:

These steps are required to be completed prior to 10 working days from the date of oral defense.

1. Reserve a room with the CIDSE front desk (Brickyard 5th floor).
2. Submit an electronic version of your abstract with title, full names of your committee members, defense date/time/place, and your name as you want it to appear on the defense announcement to the CIDSE front desk.
3. Schedule your defense on MyASU with the Office of Graduate Education.

On the day of the defense:

1. Set-up all your equipment at least one half-hour prior to your presentation to make sure they work.

After the defense:

1. Your committee will discuss the results of the exam with you and may have additional comments for you. At the end, the committee will make a recommendation: Pass, Pass with minor revisions, Pass with major revisions, or Fail.
2. Revisions are normal and are expected to be completed within one year. This includes remaining registered until the finished document has been uploaded on ProQuest.
3. Hand-deliver a signed copy of the Report for Doctoral Defense Form to the CIDSE Advising Office BYENG 225.
4. Follow the steps on MyASU on uploading your final dissertation through Office of Graduate Education and ProQuest.

**g. Checklist for Graduation**

- Every deficiency course is completed with grade of “B” or higher within the first two terms.
- Select the faculty advisor to serve as chair of the supervisory committee by the end of the first semester.
- Select the supervisory committee, in consultation with the faculty advisor.
- File the final plan of study (iPOS) after securing a faculty advisor by the end of the first year.
- The dissertation prospectus including written proposal and oral defense.
- In the final semester, file an application for graduation on My ASU with the Graduation Office of the Registrar.
- Defend your dissertation in your last semester.
- Deliver one bound copy of the dissertation to the faculty advisor. As a courtesy, determine which members of the supervisory committee would like a bound copy of the dissertation.

Please review current Graduate Education policies and procedures.

## **VII. General Information, Policies and Procedures**

### **a. Research standards for publication of dissertation**

Graduate research is the study of an issue that is of sufficient breadth and depth to be publishable in a CSE-related journal. The effort should reflect a minimum of 1,500 hours of thoughtful work for a dissertation (Ph.D.). The research should follow the ‘scientific method’ and thus be both objective and reproducible. The dissertation should demonstrate independent, original, and creative inquiry. There should be predefined hypotheses or developmental goals and objectives that are measurable and can be tested. The document should demonstrate proficiency with written English and should conform to the Office of Graduate Education format guidelines.

### **b. Financial assistance and/or fellowships**

The Computer Science Program’s goal is to provide support to all incoming Ph.D. students. According to the student’s academic performance and past academic research, funding offers will be extended to individual students with the highest academic achievements. We encourage students to highlight their past academic achievements in their personal statement and in their resume.

### **c. Continuous Enrollment**

Once admitted to a graduate degree program or graduate certificate program, students must be registered for a minimum of one credit hour during all phases of their graduate education, including the term in which they graduate. This includes periods when students are engaged in research, conducting a doctoral prospectus, working on or defending theses or dissertations, taking comprehensive examinations, or in any other way utilizing university resources, facilities or faculty time, including the term in which they graduate.

Registration for every fall semester and spring semester is required. Summer registration is required for students taking examinations, completing culminating experiences, conducting a doctoral prospectus, defending theses or dissertations, or graduating from the degree program.

To maintain continuous enrollment the credit hour(s) must:

- Appear on the student’s Plan of Study, OR
- Be research (592, 792), thesis (599), dissertation (799), or continuing registration (595, 795), OR
- Be a graduate-level course.

Grades of “W” and/or “X” are not considered valid registration for continuous enrollment purposes. “W” grades are received when students officially withdraw from a course after the drop/add period. “X” grades are received for audit courses. Additionally, students completing work for a course in which they received a grade of “I” must maintain continuous enrollment as defined previously. Graduate students have one year to complete work for an incomplete grade; if the work is not complete and the grade changed within one year, the “I” grade becomes permanent. Additional information regarding incomplete grades can be found at <http://asu.edu/aad/manuals/ssm/ssm203-09.html>.

#### **d. Leave of Absence Policies**

Graduate students planning to discontinue registration for a semester or more must submit a Request to Maintain Continuous Enrollment form. This request must be submitted and approved **before** the anticipated semester of non-registration. Students may request to maintain continuous enrollment without course registration for a maximum of two semesters during their entire program.

Having an approved Request to Maintain Continuous Enrollment by Graduate Education will enable students to re-enter their program without re-applying to the university. Students who do not register for a fall or spring semester without an approved Request are considered withdrawn from the university under the assumption that they have decided to discontinue their program. Students removed for this reason may reapply for admission to resume their degree program; the application will be considered along with all other new applications to the degree program.

A student with a Graduate Education approved Request to Maintain Continuous Enrollment is not required to pay tuition and/or fees, but in turn is not permitted to place any demands on university faculty or use any university resources. These resources include university libraries, laboratories, recreation facilities or faculty time.

#### **e. Maximum Time Limit**

Doctoral students must complete all program requirements within a ten-year period. The ten-year period starts with the semester and year of admission to the doctoral program. Graduate courses taken prior to admission that are included on the Plan of Study must have been completed within three years of the semester and year of admission to the program (previously awarded master's degrees used on the Plan of Study are exempt).

Any exceptions must be approved by the supervisory committee and the Office of Graduate Education dean and ordinarily involves repeating the comprehensive examinations. The Office of Graduate Education may withdraw students who are unable to complete all degree requirements and graduate within the allowed maximum time limits.

#### **f. Registration requirements for research assistants (RA) and teaching assistants (TA)**

Students awarded an assistantship within the Ira A. Fulton School of Engineering are required to be registered for 12 credit hours. Audit credit hours do not count towards the 12 credit hours.

Students who obtain an assistantship outside the Ira A. Fulton School of Engineering are required to be enrolled a minimum of 6 credit hours. Audit credit does not count towards the 6 credit hours. Enrollment in continuing registration (IEE 795) does not count towards the 6 hour requirement.

TAs and RAs are treated as residents for tuition purposes. To be eligible for tuition remission, TAs and RAs must be employed a minimum of 10 hours per week (25 percent

Full Time Equivalency {FTE}). TAs/RAs working 10-19 hours per week (25-49 percent FTE) receive a 50 percent remission of tuition for the semester or summer session of their employment. TAs/RAs working 20 hours per week (50 percent FTE) do not pay tuition during the semester or summer session of their employment. In addition, the university pays the individual health insurance premium for those TAs and RAs working 20 hours per week (50 percent FTE). The TA/RA offer does not cover additional fees beyond tuition.

All international students must pass the Interview or SPEAK test with a score of 55 to be fully certified or have an iBT Speak score of 26.

### **g. Policy for Maintaining Academic Satisfactory Progress**

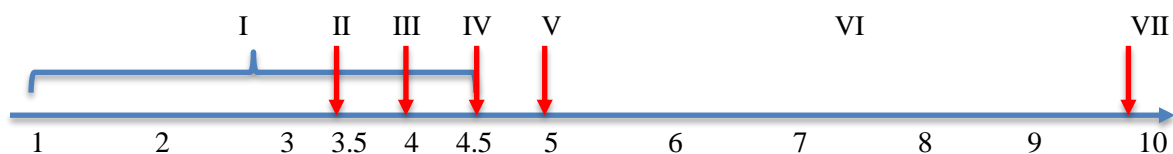
Each semester, the Computer Science Program reviews students' files for satisfactory progress towards completion of the degree. All students who do not meet on one of the four categories are placed on probation or withdrawn from the program:

- 1) Satisfactory progress;
- 2) Academic Probation;
- 3) Progress probation;
- 4) Withdrawal from the CS Program.

The following table is suggested satisfactory progress checking schedule.

*PhD Satisfactory Progress Checking Schedule*

Phases	Years	Checking
<b>I</b>		Requirement 1: 30 IPOS credits Requirement 2: Core (15 credits) + Depth (6 credits) for CS major without concentration. The concentration need to have additional discussion to settle down the credits requirements
<b>II</b>	3.5 years	Reminder to students who have not taken comprehensive exams
<b>III</b>	4 years	A personal meeting with the program chair
<b>IV</b>	4.5 years	The maximum time for students to finish the comprehensive exam
<b>V</b>	5 years	Proposal defense need to be taken before the 5 <sup>th</sup> year mark. Students need to finish all formal course work.
<b>VI</b>	6-9 years	Reminder sent and explanation needed for the reason the final PhD dissertation defense has not been done. GPC will look at each case and provide suggestions.
<b>VII</b>	10 years	Students need to defend before the 10 <sup>th</sup> year mark.



1. **Satisfactory progress** means that a student does not have any academic and progress probationary issues. In addition to the probationary rules, satisfactory progress includes communication each semester with the student's Committee Chair regarding his/her progress. When the formal coursework has been completed, evidence of adequate progress consists of the completion of one or more major chapters of the dissertation and submission of refereed papers.

## 2. Academic Probation

A student who has been admitted to a graduate degree program in the School of Computing, Informatics with either regular or provisional admission status, must maintain a semester grade point average (GPA) of 3.25:

1. in all work taken for graduate credit (courses numbered 500 or higher),
2. in the coursework in the student's approved plan of study, and
3. in all course work taken at ASU (overall GPA) post baccalaureate.

A student will be placed on academic probation if one or more of the student's semester GPAs listed above falls below 3.25. Students will be notified by mail and e-mail when placed on academic probation.

A student will need to earn academic good standing by obtaining a semester 3.25 or better in the GPAs listed above by the time the next nine hours are completed. A maximum of two semesters are allowed to complete the nine hours of graduate level coursework to raise the GPA. Coursework such as research and dissertation registration that are for Z or Y grade cannot be included in these nine hours.

Students will also receive an academic probation notice/letter if one of these pertains to your academics:

- Received a "D" or "E" in a required deficiency course or in a course at the 400 level or above.
- Deficiency GPA below 3.0.

3. **Progress probation** pertains to issues dealing with making progress towards a degree. The following are notices/letters you will receive if one of these pertains to your academics:

- Lack of Progress toward removing deficiencies as listed on your admission letter.
- Lack of Progress toward completing the five Core courses.
- Failure to pass the Ph.D. Comprehensive Examination.
- Failure to take the Ph.D. Comprehensive Examination at the end of 4th year.
- Failure to pass the Ph.D. Prospectus.

## 4. Withdrawal from the CS Program:

A Ph.D. student may be removed from program for any of the reasons listed below:

1. Cumulative, graduate, or iPOS GPA is less than 3.25 for two consecutive semesters. (The student with such a cumulative GPA will be put on probation after the first semester.)

2. The semester GPA is less than 3.25 in the course of two consecutive semesters. (The student is put on probation with such GPA after the first semester.)
3. Failure to make up deficiencies within the time allowed, as determined by the admissions committee.
4. Failure to meet a requirement specified for the Ph.D. degree, including not making satisfactory progress toward the completion of the degree.

A student is recommended for withdrawal from the CSE Program if she or he fails to meet the probationary standards placed upon in the semester mentioned in the probationary letter. The student will receive a letter from the Computer Science Program explaining the reasons for the withdrawal. The student will have 5 calendar days from the date of the letter to appeal the decision. The CSE Graduate Program Committee (GPC) will review the case and will make the necessary recommendation. The Graduate Program Chair, on behalf of the GPC, will provide a written explanation of the outcome. If the outcome is favorable, the student will have to meet all the outlined requirements at the end of the specified period. The student will be required to sign an agreement acknowledging the recommendations and the consequences if the agreements are not met. If the GPC recommends that the appeal is not granted in favor of the student, the Graduate Program Chair, on behalf of the GPC, will recommend to the Dean's Academic Affairs to withdraw the student from the CSE Program. The student will then have the opportunity to appeal to the Ira A. Fulton Schools Standards Committee which reviews the student's case and makes the final ruling to Associate Dean and the CSE Program. If the appeal is not granted in favor of the student, the Dean's Academic and Student Affairs will recommend to the Office of Graduate Education to withdraw the student from the CSE Program. Please refer the Office of Graduate Education on policies and procedures or contact the graduate advisor in the CIDSE Advising Center.

#### **h. Filing for Graduation**

During the final semester, a student must file an application for graduation with the Graduation Office of the Registrar on My ASU. The student's approved final plan of study (iPOS) must be on file with the Graduate College before the student can apply for graduation.

#### **i. Academic Integrity**

The highest standards of academic integrity are expected of all graduate students, both in the academic coursework and in their related research activities. The failure of any graduate student to meet these standards may result in serious consequences including suspension or expulsion from the university and/or other sanctions as specified in the academic integrity policies of individual schools as well as the university.

Violations of academic integrity include, but are not limited to: cheating, fabrication, tampering, plagiarism, or aiding and/or facilitating such activities. At the graduate level, it is expected that students are familiar with these issues and each student must take personal responsibility in their work. In addition, graduate students are expected to follow university guidelines related to the Student Code of Conduct. University policies related to academic integrity and code of conduct are available in the Office of Student Life, or at <http://graduate.asu.edu/beintheknow>.



### **j. CSE 584 Internship**

Curricular Practical Training (CPT) is an academic experience usually obtained at off-campus work settings, allowing the student to apply knowledge and skills gained in various classes. It is intended as a unique, hands-on learning experience to provide students with a number of valuable skills that they can use upon graduation from their graduate degree programs. Accordingly, it is not available to full-time or part-time workers regularly employed by the company where the internship is proposed.

The CPT is available to both domestic and international students. However, international students must work with the International Students and Scholars Center (ISSC) and submit additional documentation to obtain work authorization. Furthermore, international students must include the CPT course CSE 584 (1 credit hour) as an integral part of their Program of Study, reflected by their approved iPOS.

Addition of the CPT course(s) should be done at the initial submission of the student's iPOS. Later additions of CPT courses must be requested and approved at least one full semester (fall, spring or summer) prior to the proposed start date of the internship course. For example, a student planning to do an internship during the summer semester should have an approved iPOS with the internship course before the beginning of classes in the preceding spring semester. The Internship course cannot be added to an approved iPOS once all coursework has been completed. Exceptions may be made if the internship is relevant to dissertation research.

The CSE Program Chair will determine the need for a CPT internship in such cases in consultation with the Graduate Academic Advisor. Note that approval of an iPOS with the CSE 584 course confirms that the internship is an integral part of the degree requirements as planned by the student. Hence, students who are not able to fulfill the internship credit requirements in their iPOS are required to replace the course credit requirements through the following options:

- taking a 3-credit hour graduate course,
- taking the 1-credit hour CSE 594 seminar course
- taking one credit hour of CSE 790 – Reading and Conference (Independent Study).

In order to be eligible for internship, a student must be in **good academic standing (cumulative, graduate and iPOS GPA of 3.25 or above) and not have an academic integrity violation** in a course for two full semesters (summer semesters not included) from the initial reporting of the incident. For example, a sanctioned academic integrity violation initially reported on April 15, 2012 will make the student ineligible for this approval until the end of Spring 13 semester.

Internship registration is for one credit hour per semester. Internship for the Ph.D. degree is limited to no more than four semesters and two summer sessions. Internships may be part-time (20 hours per week) or full-time (40 hours per week). An international student having 12 months or more of full-time internship will become ineligible for Optional Practical Training (OPT).

International students need to be aware of immigration policies and regulations, which may jeopardize their academic status. Hence, it is strongly recommended for international students to consult with the International Students and Scholars Center (ISSC).

All students (domestic and international) may take part in an Out-Of-State internship in the summer semester. The eligibility requirements for CPT internships remain the same as mentioned.

During the regular fall and spring semesters, international graduate students in F-1 status must register for a minimum of nine (9) credit hours to maintain full-time status and be enrolled in a minimum six (6) credit hours of in-person, on-campus coursework at the ASU Tempe campus. A maximum of three (3) credit hours of online courses is permitted. The CSE 580 Practicum course will not count as satisfying the student's "physical presence" at ASU. Students will not be able to take part in internships outside the Phoenix metropolitan area. In some cases students may be approved to do an internship in Tucson or other nearby locations to Phoenix, as long as the student is able to prove they can physically attend their courses on campus.

Required documents and forms for the internship proposal must be submitted to the CIDSE Advising Office at least two weeks prior to the beginning of the semester in which the internship is planned. Students will not be able to request late-add registration of the CSE 584 Internship credit to their class schedule after the drop/add deadline of each semester.

An approved proposal is required before commencing the internship. The request will include a statement from the employer that indicates they understand that the work is to satisfy a degree requirement. A sample letter and other required forms are available on the CIDSE [CPT website](#). Students must receive approval from their faculty advisor and from the Graduate Program Director before registering for CSE 584. At the Ph.D. level, internship is intended to enhance the student's research capabilities in the area related to the dissertation. Therefore, the internship plan must show the relationship between the work proposed and the intended research program. The dissertation advisor may be asked to write a separate letter explaining why the internship is required. In order to register for the CSE 584 - Internship, a student must have a **cumulative, graduate and iPOS GPA of 3.25 or above** and not have an academic integrity violation in a course for two full semesters (summer semesters not included) from the initial reporting of the incident. A final Plan of Study must be filed with the Office of Graduate Education showing the Internship course before registering for CSE 584. All application materials for an Internship must be completed by the last day of regular registration for any semester. The student must take classes appearing on the Plan of Study the semester following the internship.

**Renegé: (verb) to fail to carry out a promise or commitment**

Never accept a job with the intention of turning it down if “something better” comes along. Not only is it inconsiderate and unprofessional, it also reflects badly on Arizona State University and might negatively impact another ASU student’s opportunities with that employer. Also, employers communicate with each other and you don’t want to get a bad reputation.

After you have given your decision careful consideration and accepted an offer, stop looking. Inform other employers who have extended offers that you have accepted another position. Don’t accept further interview invitations or search further. Please refer to NACE’s Playing Fair... Your Rights and Responsibilities as a Job Seeker [http://www.nacweb.org/playing\\_fair/](http://www.nacweb.org/playing_fair/) to become familiar with Principles for Professional Practice.

**A five-page final report is required** at the end of the internship before a grade and credit is given. The final report must be submitted to the reporting supervisor for comments and then to the faculty advisor for grade assignment. Refer to the CIDSE [CPT website](#) for guidelines to prepare the final report.

**k. CSE 790 Independent Study**

Independent study is available for Ph.D. students. The student must get written approval from the supervising faculty outlining the coverage of the content. The Independent Study form must be approved by the Faculty Advisor and will be placed in the student’s file. A final paper is required for each registered Independent Study.

**l. Student chapters of professional societies**

Our graduate students are involved in many professional societies. Most branches of Computer Science have professional societies associated with them. Participation in professional societies is an excellent road to career and interest group connections. Student membership typically costs less than \$30 and includes many benefits including a monthly magazine.

**m. Engineering Student Organizations**

There are dozens of engineering student organizations and teams ranging from honors and professional associations to groups creating underwater robots, concrete canoes and launching rockets. Student organizations are excellent opportunities to learn about career possibilities as many of the student groups operate in conjunction with industry professional societies ... get involved today!

Please visit <http://studentorgs.engineering.asu.edu/> for a list of Engineering Student Organization.

**n. Instructional Concerns and Course-Related Complaints**

Being part of a large university creates opportunities to learn from a diverse instructor population with different teaching styles and modalities for delivering course content. Courses are offered by a diverse set of faculty including those who are research intensive, those whose primary responsibility is teaching, and part-time faculty who are working in

the field. Based on enrollment or modality of offering, faculty may also be supported by graduate student teaching assistants and graders. This diverse higher education delivery platform may differ significantly from the high school experience, and while it provides opportunity to expand the student's ability to learn and develop problem solving skills, concerns and conflicts with requirements and instructors may occasionally arise. CIDSE students with instructional concerns should review and adhere to the following guidelines for attempting to resolve their issues. First and foremost keep in mind that the faculty and advising staff are experienced, dedicated educators that are here to help you achieve your educational goals but at the same time, as an engineering and computer science program, they have a responsibility to ensure standards are maintained and student outcomes are achieved prior to graduation. The university culture recognizes the value of diversity in multiple dimensions as well as the presumption of expertise and academic freedom of the faculty.

### **Communicate with your Instructor**

If you have a difference of opinion with your instructor or teaching assistant (TA), or have concerns about technical or administrative aspects of the course, visit the instructor or TA during office hours or contact them via email (if you cannot visit them during the office hours). Express your concerns clearly and respectfully and ask for help. Be sure to provide succinct information about what you are having trouble understanding in the course or your concern. Instructors and TAs are here to help. Please remember that you are responsible for pre-requisite knowledge/skills required for a course and regularly studying the material taught in the course. The teaching staff may not be able to help you with your problem if you lack in the pre-requisite knowledge/skills or have not been keeping up with the course material. As a guideline, you should be spending three hours studying every week for -each hour of course credit. Thus you should schedule 8-10 hours of time each week to devote to each 3-credit course. In addition, make sure to resolve the issues as soon as they occur and maintain all documentation. For example, if the assignment instructions are not clear, get the clarification on the day the assignment is assigned and do not wait until the deadline of the assignment. If, after communicating with your instructor or TA, you are still having problems in the course, connect with your academic advisor to understand your options moving forward.

### **Connect with your Graduate Program Chair**

If you are unable to resolve the concern after initial contact with the instructor or the TA, and you have met with your academic advisor, you should then connect with the Graduate Program Chair for your major (or the department offering the course). The Graduate Program Chair will confer with the instructor and/or TA to better understand the concern and try to resolve the problem. Please note that before meeting with the Graduate Program Chair you should have made a reasonable effort to meet with the course instructor (not just the TA) and get the issue resolved. When contacting the Graduate Program Chair provide all the relevant details such as the course syllabus, assignment handout, email exchange with the instructor etc. so that the Graduate Program Chair can promptly act on your concerns. Please be brief and precise in the description of your concerns. In some cases, the Graduate Program Chair would like to meet you. When coming for the meeting please bring along all the relevant documents.

If the instructional concern is not resolved with the Graduate Program Chair or the department offering the course, contact the Associate Dean of Academic Affairs office for the college offering the course for assistance.

### **Remain Focused**

When faced with instructional concerns, it is important to remain focused on the rest of the course while addressing specific areas that are under review. Be sure to stay connected with your academic advisor if there are any changes in your situation.

NOTE:

- Misrepresentation of facts or disrespectful behavior when confronting your instructor or teaching assistant is considered an academic integrity violation.
- Maintain all documentations.
- Act proactively and promptly.

### **In Summary, Guidelines for Avoiding Problems**

- Be sure you have the necessary prerequisite knowledge before starting a course;
- Attend class and on-line exercises regularly;
- Devote time each week to studying to avoid getting behind;
- Contact the TA (if assigned) or instructor during office hours at first sign of trouble and come prepared to ask precise questions and to explain your difficulty.
- Accept the fact that you grow intellectually and professionally by being challenged and learning to deal with diverse expectations and environments.

### **Process for Resolving Conflicts in Grading, Course Expectations, etc.**

- Contact the TA (if available) or instructor to explain your concern and seek resolution;
- If the TA/instructor has attempted to assist you but you are still having academic difficulty that is causing personal stress or hindering your academic success, see your Academic Advisor;
- If the TA/instructor is not responsive or does not provide a legitimate response/accommodation, then contact your Graduate Program Chair.
- If you still feel there is a legal, ethical or procedural violation that is victimizing you, contact the Office of the Associate Dean of Engineering for Academic Affairs.
- Circumventing this process will be considered a violation of professional ethics and protocol.

### List of Approved 500-level Area Courses – Fall 2016 and later admits

**ANS** - Architecture and Networked Systems

**SIA** - Software and Information Assurance

**IIS** - Intelligent and Interactive Systems

**FoC** - Foundations of Computation

**DIS** - Data and Information Systems

Course Prefix	Course Title	ANS	IIS	DIS	SIA	FoC
CSE 509	Digital Video Processing		X			
CSE 510	Database Management System Implementation			X		
CSE 511	Semi-Structured Data Management			X		
CSE 512	Distributed Database Systems			X		
CSE 515	Multimedia and Web Databases			X		
CSE 520	Computer Architecture II	X				
CSE 522	Real-Time Embedded Systems	X				
CSE 530	Embedded Operating Systems Internals	X				
CSE 531	Distributed and Multiprocessor Operating Systems	X				
CSE 534	Advanced Computer Networks	X				
CSE 535	Mobile Computing	X				
CSE 536	Advanced Operating Systems	X				
CSE 539	Applied Cryptography				X	
CSE 543	Information Assurance and Security				X	
CSE 545	Software Security				X	
CSE 546	Cloud Computing			X		
CSE 548	Advanced Computer Network Security				X	
CSE 550	Combinatorial Algorithms and Intractability					X
CSE 551	Foundations of Algorithms					X
CSE 552	Randomized and Approximation Algorithms					X
CSE 555	Theory of Computation					X
CSE 556	Game Theory with Applications to Networks					X
CSE 561	Modeling and Simulation Theory and Applications				X	
CSE 563	Software Requirements and Specification				X	
CSE 564	Software Design				X	
CSE 565	Software Verification, Validation and Testing				X	
CSE 566	Software Project, Process and Quality Management				X	
CSE 569	Fundamentals of Statistical Learning and Pattern Recognition					X
CSE 570	Advanced Computer Graphics I		X			
CSE 571	Artificial Intelligence		X			
CSE 572	Data Mining			X		
CSE 573	Semantic Web Mining			X		

<b>Course Prefix</b>	<b>Course Title</b>	<b>ANS</b>	<b>IIS</b>	<b>DIS</b>	<b>SIA</b>	<b>FoC</b>
CSE 574	Planning and Learning Methods in AI		X			
CSE 575	Statistical Machine Learning		X			
CSE 576	Topics in Natural Language Processing		X			
CSE 577	Advanced Geometric Modeling I		X			
CSE 578	Data Visualization		X	X		
CSE 579	Knowledge Representation and Reasoning					X

**4XX and 4XX/598 courses do not apply toward the required approved area courses.**

### Approved 400-Level courses to count towards CSE Graduate Program

**IMPORTANT: Students who have taken any of the 4XX courses listed below as 598, cannot take the same class at the 400-level.**

- CSE 408 Multimedia Information Systems
- CSE 412 Database Management
- CSE 414 Advanced Database Concepts
- CSE 432 Operating System Internals
- CSE 434 Computer Networks
- CSE 438 Embedded Systems Programming
- CSE 440 Compiler Construction I
- CSE 445 Distributed Software Development
- CSE 446 Software Integration and Engineering
- CSE 457 Theory of Formal Languages
- CSE 459 Logic for Computing Scientists
- CSE 460 Software Analysis and Design
- CSE 463 Introduction to Human Computer Interaction
- CSE 464 Software Quality Assurance and Testing
- CSE 465 Information Assurance\*
- CSE 466 Computer Systems Security
- CSE 467 Data and Information Security
- CSE 468 Computer Network Security
- CSE 469 Computer and Network Forensics
- CSE 470 Computer Graphics
- CSE 471 Introduction to Artificial Intelligence
- CSE 472 Social Media Mining
- CSE 476 Introduction to Natural Language Processing
- CSE 477 Introduction to Computer-Aided Geometric Design

\*Credit is allowed for only CSE 465 or CSE 543 but not both.

A maximum of 6 credit hours of 400-level coursework is allowed. A maximum of 12 hours of a combination of 400-level and cross-listed courses (4XX/5XX) is allowed. If a 400 level course is cross-listed with a 500 level course, students will be required to enroll in the 500 level.



## Appendix I - Absent Committee Member Procedure

While it is desirable that all members of a student's supervisory committee be available during the oral exam, prospectus and final dissertation defense, there are situations (e.g. faculty travel, faculty emergencies and/or faculty leave) that may necessitate holding the oral exam, prospectus, or final dissertation defense with one or more committee member(s) absent. The Academic Unit has established the following policies and procedures for such cases.

1. A minimum of 4 committee members (including chair/co-chair) from the student's official committee must be available during the student's oral exam, prospectus, and final dissertation defense.
2. A minimum of 50% of the student's official committee must be physically present with the student at the oral exam, prospectus, and final dissertation defense. If at least 50% of the committee cannot be physically present, the exam/defense must be rescheduled.
3. The chair (or one co-chair) must be available for the oral exam, prospectus, and final dissertation defense. If this is not possible, the exam/defense must be rescheduled.
4. The chair or (one co-chair) must be physically present at the oral exam, prospectus, or final dissertation defense. If this is not possible, the exam/defense must be rescheduled. The student cannot submit a committee change after the defense is scheduled to create co-chairs in the case of an absent chair.
5. A committee co-chair or member who cannot be available during the oral exam, prospectus, or final dissertation defense, may participate in one of three ways. These options are listed in the order of preference:
  - a. The absent committee member videoconferences into the oral exam defense location.\*
  - b. The absent committee member teleconferences into the oral exam defense location.\*
  - c. The absent committee member provides a substitute to be physically present (approved by the committee chair & the head of the academic unit) for the oral exam, prospectus, or final dissertation defense. The substitute must be someone who is approved to serve on graduate supervisory committees for that program. The absent committee member should provide the substitute questions, in writing, to be asked at the exam/defense. The substitute, although respecting the opinions expressed by the regular committee, must be free to use his/her judgment in voting on whether the student passes or fails the defense. The substitute should sign the absent committee member's name, and add his/her initials directly after the signature.

\*The defense location must have the necessary equipment to accommodate video/teleconference materials.

\*Students must provide a copy of their document and any other supporting presentation materials to the committee member at least 5 working days in advance of the defense. The defense location must have the necessary equipment to accommodate video/teleconference materials.

If the videoconference or teleconference option is selected, the absent member needs to e-mail the committee chair or co-chair to state that member voted to pass or fail the student and authorize that the chair sign their name on the form. The committee chair or co-chair should sign

the name of the absent individual on the form and then add his/her initials directly after the signature.

If a committee member will be absent from the oral defense, the student or committee chair/co-chair must notify the Program Chair before or at the time of scheduling the oral exam defense. If the student is notified of an absence after scheduling the oral exam, the student must contact the Program Chair prior to the oral exam defense date, so he/she finds a substitute.

For the final dissertation defense, if a committee member will be absent from the defense, the student or committee chair/co-chair must notify Graduate Education before or at the time of scheduling the defense. If the student is notified of an absence after scheduling the defense, the student must contact Graduate Education prior to the defense date.

## Appendix II – Comprehensive Exam Syllabus Example

### Comprehensive Exam syllabus for Name

**General area of research Name's** area is at the intersection of Software Engineering, Programming Language Semantics and Static Analysis.

**Specific Area of Research Name** is working on software updates, namely dynamic software updates

### COMPREHENSIVE EXAME SYLLABUS Name

#### I. Programming Languages Semantics

1. Semantics of Programming Languages. Wiley, 1990. by Matthew Hennessy. Wiley, 1990.
2. Types and Programming Languages by Benjamin C. Pierce. MIT Press, 2007. ISBN-10:0-262-16209-1.

#### II. Static Analysis

1. Horwitz, Susan, Jan Prins, and Thomas Reps. "On the adequacy of program dependence graphs for representing programs." Proceedings of the 15th ACM SIGPLAN-SIGACT symposium on Principles of programming languages. ACM, 1988.
2. Horwitz, Susan, Thomas Reps, and David Binkley. "Interprocedural slicing using dependence graphs." ACM Transactions on Programming Languages and Systems (TOPLAS) 12.1 (1990):26-60.
3. Emami, Maryam, Rakesh Ghiya, and Laurie J. Hendren. "Context-sensitive interprocedural points-to analysis in the presence of function pointers." in Proceedings of ACM SIGPLAN'94 Conference on Programming Language Design and Implementation, pp. 242-256, June 1994.
4. Shapiro, Marc, and Susan Horwitz. "Fast and accurate flow-insensitive points-to analysis." Annual Symposium on Principles of Programming Languages: Proceedings of the 24 th ACM SIGPLAN- SIGACT symposium on Principles of programming languages. Vol. 15. No. 17. 1997.
5. Sinha, Saurabh, Mary Jean Harrold, and Gregg Rothermel. "System-dependence-graph-based slicing of programs with arbitrary interprocedural control flow." Software Engineering, 1999. Proceedings of the 1999 International Conference on. IEEE, 1999.

#### III. Software Updates

1. Deepak Gupta and Pankaj Jalote, "On-line software version change using state transfer between processes," Software - Practice and Experience, vol. 23, no. 9, pp. 949–964, 1993.

2. Gupta, Deepak, Pankaj Jalote, and Gautam Barua. "A formal framework for on-line software version change." *Software Engineering, IEEE Transactions on* 22.2 (1996): 120-131.
3. Michael Hicks, Jonathan T. Moore, and Scott Nettles, "Dynamic software updating." in *Proceedings of the ACM SIGPLAN Conference on Programming Language Design and Implementation*. June 2001, pp. 13–23, ACM.
4. Andrew Baumann, Gernot Heiser, Jonathan Appavoo, Dilma Da Silva, Orran Krieger, and Robert W. Wisniewski, "Providing Dynamic Update in an Operating System." in *USENIX Symposium on Operating Systems Design and Implementation*. April 2005.
5. Gautam Altekar and Ilya Bagrak and Paul Burstein and Andrew Schultz, "OPUS: Online Patches and Updates for Security." in *14th USENIX Security Symposium*, July 2005, pp. 287–302.
6. Iulian Neamtiu, Michael Hicks, Gareth Stoye, and Manuel Oriol. "Practical Dynamic Software Updating for C" *Proceedings of the ACM Conference on Programming Language Design and Implementation (PLDI'06)*, June 2006.
7. Sameer Ajmani and Barbara Liskov and Liuba Shrira, "Modular Software Upgrades for Distributed Systems." in *European Conference on Object-Oriented Programming (ECOOP)*, July 2006.
8. Gareth Stoye, Michael Hicks, Gavin Bierman, Peter Sewell, and Iulian Neamtiu, "Mutatis Mutandis: Safe and flexible dynamic software updating." *ACM Transactions on Programming Languages and Systems (TOPLAS)*, 2006.
9. Haibo Chen, Jie Yu, Rong Chen, Binyu Zang, and Pen-Chung Yew, "Polus: A powerful live updating system." in *ICSE '07: Proceedings of the 29th International Conference on Software Engineering*, Washington, DC, USA, 2007, pp. 271–281, IEEE Computer Society
10. Jeff Arnold and M. Frans Kaashoek, "KSsplice: Automatic Rebootless Kernel Updates." in *EuroSys 2009*, April 2009.
11. Kristis Makris and Rida Bazzi, "Immediate Multi-Threaded Dynamic Software Updates Using Stack Reconstruction." in *Proceedings of the USENIX '09 Annual Technical Conference*, June 2009.
12. Iulian Neamtiu and Michael Hicks, "Safe and timely dynamic updates for multithreaded programs." in *Proceedings of the ACM Conference on Programming Language Design and Implementation*, 2009.
13. Christopher M. Hayden, Edward K. Smith, Michail Denchev, Michael Hicks, and Jeffrey S. Foster. "Kitsune: Efficient, General-purpose Dynamic Software Updating for C." In *Proceedings of the ACM Conference on Object-Oriented Programming Languages, Systems, and Applications (OOPSLA)*, October 2012.
14. Christopher M. Hayden, Edward K. Smith, Eric A. Hardisty, Michael Hicks, and Jeffrey S. Foster. "Evaluating Dynamic Software Update Safety Using Efficient Systematic Testing". *IEEE Transactions on Software Engineering*, 38(6):1340-1354, December 2012.