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General Information

The Department of Astronomy and Astrophysics offers a graduate program leading to the Doctor of Philosophy degree. The requirements for the Ph.D. in Astronomy and Astrophysics are satisfied through the following steps:

- Full-time scholastic residence of at least 300 units of coursework per quarter, including summer.
- Completion of required Core Graduate Courses.
- Completion of one to three pre-candidacy research projects.
- Successful completion of a two-part Candidacy Exam.
- Completion of the teaching practicum.
- Identification of a Thesis Advisor.
- Formation of a Thesis Committee.
- Thesis research and preparation.
- Final Examination.

This handbook summarizes the curriculum, procedures and regulations required of graduate students in the Department of Astronomy and Astrophysics at the University of Chicago. A statement of University policies and regulations, and expected standards of student conduct that are applicable to all students can be found in The University of Chicago Student Manual of Policies and Regulations. At the end of this handbook is a quick reference guide to contacts and resources in the department, the Physical Sciences Division (PSD), and the University to assist you with various aspects of graduate student life. Additional resources can be found on the department website.

1 http://studentmanual.uchicago.edu/
Academic Requirements

Core Courses

Students complete the Core Graduate Courses in the first two years of graduate study (during the pre-candidacy stage). Completion of Core courses is required to advance to candidacy.

The Core courses are:

- ASTR 30100 Stars
- ASTR 30300 Interstellar Matter
- ASTR 30400 Galaxies
- ASTR 31000 Cosmology I
- ASTR 31100 High Energy Astrophysics
- ASTR 30600 Radiation Measurements

Additional Courses

In addition to the Core courses, students also enroll in ASTR 49900 Graduate Research Seminar each quarter. Beginning in the 2020-2021 Academic Year, incoming students are required to take ASTR 35000 Order-of-Magnitude Astrophysics in place of ASTR 49900 in their first quarter. Students who matriculated prior to 2020-2021 may take ASTR 35000 in place of one quarter of ASTR 49900, or as an elective.

Pre-Candidacy Research

Students undertake one to three pre-candidacy research projects as part of the ASTR 37100 Pre-Candidacy Research course. The course aims to facilitate opportunities for students to gain broad exposure to - and engage in - faculty research activities, and results in work that is presented at the Candidacy Exams. Students may contact a faculty member directly to arrange for a research project as part of ASTR 37100, or they may consult with their faculty mentor or the Deputy Chair for Academic Affairs for guidance in identifying a research supervisor. Students must have arrangements with their research supervisors in place before enrolling in this course.

Electives

Electives numbered in the 300s and 400s provide more depth in particular research areas, allowing students to explore topics of interest. Students may also take electives during pre-candidacy, or

Placing out of Core Graduate Courses

A student entering the graduate program in Astronomy and Astrophysics with a Master's Degree may place out of one or more of these courses by demonstrating that s/he has taken a similar level course at a previous institution. In place of the waived Core course, the student will enroll in a graduate-level elective course to meet the 300-unit requirement. Students seeking a course waiver should discuss this option with the course instructor. It is helpful to provide the instructor with a syllabus from the course previously taken indicating the topics covered. Once approved, the course instructor will notify the Deputy Chair for Academic Affairs. Students who complete Core courses while Master's students at UChicago will receive transfer credit.
following advancement to candidacy. Students are encouraged to consult with the Deputy Chair for Academic Affairs, their research advisor, faculty mentor or other faculty member as to appropriate courses to take that coordinate with their research interests. Electives may be taken in other departments, provided they are numbered in the 300s and 400s.

Sample Pre-Candidacy Schedule

Each quarter during pre-candidacy, students typically take one Core course, ASTR 49900 (or ASTR 35000 in the first quarter of year one), ASTR 37100, and sometimes one elective. In the Summer Quarter, both first-and second-year students must enroll in 300 units of research coursework.

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Enrollment

The University of Chicago is on the quarter system. Students must be enrolled for a minimum of 300 units of coursework per quarter, including summer, to maintain full-time scholastic residence. (One course is equal to 100 units.) Courses are offered in the Autumn, Winter, and Spring Quarters only. During the Summer Quarter, students enroll in 300 units of research. Enrollment starts the week before the quarter begins through the My.UChicago portal. Additional information about graduate student enrollment can be found on the Physical Sciences Division website.
Academic Expectations

All graduate students are expected to attend classes for the fully scheduled time period and to participate collegially in course activities. In addition, **students are required to attend the weekly Astronomy Colloquia** and to participate actively in colloquia discussions.

**Grades**

Core courses are taken for a quality grade (3.0 on a scale of 4.0). An instructor may choose to issue a grade of P/F in certain elective courses; however, the student may request a letter grade instead. Students may also audit courses, with the consent of the instructor. ASTR 37100 Pre-Candidacy Research (as well as ASTR 49400 Post-Candidacy Research) are typically taken as P/F, but a letter grade may be requested by the student. In addition, instructors of ASTR 37100 are expected to provide written feedback to the student on their development as independent researchers as part of the evaluation for this course. Feedback should be given no later than the Tuesday following the final day of the quarter, which is when grades are to be submitted. If the student does not receive feedback by this date, they should notify the Deputy Chair for Academic Affairs.

Graduate students are expected to maintain an average grade of B (3.0 on a scale of 4.0) or better in his/her course work at the 300-level. If a student falls below this average, the Deputy Chair for Academic Affairs, in consultation with the student and other faculty, will identify appropriate actions for enhancing academic progress.

In truly exceptional situations, the grade of I (Incomplete) will be given when a student is unable to complete required course work before final grades are due to the Registrar. In this instance, the student must submit a letter to the Deputy Chair for Academic Affairs that outlines the work to be completed, the deadline for the completion, and the grade that will be awarded, automatically, if the work is not completed by the specified deadline. The letter must be signed by both the student and instructor and submitted **before the date when grades are due to the Registrar**. The instructor sets the deadline for course completion up to three months, unless the Deputy Chair for Academic Affairs approves a later deadline.

**Full-time Scholastic Residency Requirement**

Should circumstances arise that necessitate a Leave of Absence, the student should notify his or her research advisor and the Graduate Student Affairs Administrator. Leave of Absence requests require the approval from the Dean of Students in the Physical Sciences. Students wishing to request leave or discontinue their studies should consult The University of Chicago Student Manual of Policies and Regulations.
Mentoring

Each admitted student is assigned a faculty mentor who will help the student navigate graduate school by guiding them to achieve academic and professional goals and supporting their well-being and personal development. The faculty mentor can guide students in course selection, assist in navigating difficult situations when they arise, provide coaching when preparing for oral exams, and counsel regarding postdoc placement or other career options. Faculty mentors are assigned by the Chair of the Department of Astronomy and Astrophysics. Students wishing to change their faculty mentor assignment should contact the Graduate Student Affairs Administrator.

First-year students are also assigned peer mentors. Graduate students who are interested in mentoring the incoming class volunteer for this role by notifying the Mentorship Program Leaders, who assign them to the first-year students in consultation with the Graduate Student Affairs Administrator.

Academic Advising

The Deputy Chair for Academic Affairs is the de facto Academic Advisor to incoming graduate students. Students may also consult with their faculty mentor concerning their program and progress, especially during their first year or until another advising relationship has been established (for example, with the supervisor of ASTR 37100 Pre-Candidacy Research course).

Participation in the Department

There are numerous departmental events offered each week, including Faculty Research Seminars and Astro Lunch talks, that highlight departmental faculty and their research activities. It is beneficial for students to attend these events and to meet with faculty informally outside of classes and organized events to become acquainted with members of the department. Students may also attend any of the numerous seminars associated with individual research groups. A master schedule of these events is available on the Astronomy and Astrophysics Department website.
Financial Support

Graduate students receive tuition support and a monthly stipend from a combination of Teaching Assistantships (TA), Research Assistantships, and fellowships.

Teaching Assistantships

All students must fulfill a teaching practicum for a minimum of two quarters. Teaching assignments include instructing lab sections for non-science majors, and sometimes, collaborative teaching with the faculty instructor of lecture courses in the Major in Astrophysics program. When assigned as a Teaching Assistant (TA) in undergraduate lab courses, the TA is responsible for the lab instruction, and will work in consultation with the course instructor and the Teaching Support Manager to prepare for and carry out this work. Students are strongly encouraged to enroll in the non-credit course, ASTR 50000 Theory and Practice of Science Education, in the first quarter in which they will serve as a TA for an introduction to the pedagogy of science. In addition, the Chicago Center for Teaching\textsuperscript{2} offers professional development to TAs through its programs and online resources.

The teaching practicum is typically completed in the first year of graduate studies, but need not be accomplished in consecutive quarters. In place of a teaching practicum, other arrangements can be made for completing this service as outreach to the community. Proposals for such arrangements should be directed to the Deputy Chair for Academic Affairs. Students who matriculate with external funding, such as a National Science Foundation Graduate Fellowship, should consult with the Graduate Student Affairs Administrator regarding the teaching practicum requirement.

Research Assistantships

Research Assistantships are provided by faculty members who supervise students in the ASTR 37100 Pre-Candidacy Research and ASTR 49400 Post-Candidacy Research courses. Every quarter the student and supervising faculty member complete a Graduate Research Assistantship form, which outlines a plan for student funding for the academic year. Funding may be provided by the faculty member as a Research Assistantship (RA), or a combination of RA and TA positions. The form is returned to the Graduate Student Affairs Administrator, who can assist with Teaching Assistant placement, if needed.

Fellowships

Students are encouraged to seek out external fellowships, as these provide students with both financial support and the flexibility to focus on research goals of individual interest. This process of identifying, applying for, and securing funding is an integral part of the academic enterprise. The

\textsuperscript{2} https://teaching.uchicago.edu/
PSD Dean of Students and UChicagoGRAD offer resources and support for seeking external fellowship opportunities.

A limited number of departmental fellowships are offered by the Department of Astronomy and Astrophysics, including the David Schramm Memorial Fellowship, the James Cronin Graduate Student Fellowship and the Eugene and Niesje Parker Fellowship. These are typically reserved for advanced graduate students who are nominated by their faculty research supervisors. Advanced graduate students should feel free to discuss possible departmental fellowships with the Graduate Student Affairs Administrator and their faculty research adviser, as possible sources for funding.

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3 https://physical-sciences.uchicago.edu/page/fellowships
4 https://grad.uchicago.edu/fellowships
The Candidacy Examination

Advancement to candidacy involves an examination given in two parts during the second year of graduate study: part one is held before the start of the Autumn Quarter and part two is held at the end of the Spring Quarter. The general format of the exam is a presentation by the student on a short-duration project completed as part of ASTR 37100 Pre-Candidacy Research, followed by an oral exam exploring the student’s research and its connection to broader astrophysical topics, coordinated by the Candidacy Committee. The purpose of the exams is to assess the student’s development as a researcher and deepening conceptual understanding of astronomy and astrophysics. In determining a recommendation to advancement to candidacy, the Candidacy Committee considers the student’s presentations and exam performance, input from the student’s research advisor (nominally the ASTR 37100 instructor who supervised the research presented at the exam), and grades and comments from instructors of the Core courses. Generally, students should be able to demonstrate the following competencies during the Candidacy Exams:

- Skill at the analysis of a research problem and presentation of that analysis in oral and written presentations.
- A broad general knowledge of astronomy and astrophysics.
- A maturing, deeper technical knowledge of one or more subfields of astronomy and astrophysics as reflected in thoughtful responses to questions at the oral exam.
- Progressive ability to complete a full research project.

Part One

Part one of the candidacy examination takes place before the start of the Autumn Quarter of the second year of graduate study. The exam is scheduled for one hour on a date determined by the Chair of the Candidacy Committee. The Chair will also require that the presentation to be given is provided to the committee in advance of the examination so that members can familiarize themselves with the material and references to devise appropriate questions. The examination is attended by the Committee members and student’s research advisor. The student’s faculty mentor may also be invited to attend.

At the exam, the student makes an oral presentation, 20 minutes in length, on a short duration project (1-2 quarters of research) completed in the ASTR 37100 course. Questions are held until the presentation is over. In the remaining time (approximately 40 minutes), the student will respond to questions from the Candidacy Committee. The research presented will drive the questions posed by the committee. These will likely begin with "big picture" questions related to the presented research (scientific motivation and framing), moving on to questions probing connected aspects of the references in the presentation, and also connections between the presented work and academic courses taken previously. Specific Core course content is not typically probed in detail; however, it may be in cases where a student receives a grade of C or
lower in a Core course, or if the student does not demonstrate an understanding of the broader connection of his or her research to Core course content.

Outcomes of Part One

Students will receive a report from the Deputy Chair for Academic Affairs and Candidacy Committee generally 1-2 weeks following the examination. This report considers the student’s exam performance and input gathered from the student’s research advisor and other engaged faculty, and provides feedback on the student’s progress and any relevant suggestions for changes in focus or effort that the committee sees as helpful in progressing to a successful completion of the second part of the Candidacy Exam. If the committee identifies substantive issues during the exam, the report will provide explicit guidance on areas that must be improved in order for the student to succeed in part two of the exam.

Part Two

The second candidacy examination takes place after the end of the Spring Quarter of the second year of graduate study. The exam is scheduled for two hours on a date determined by the Chair of the Candidacy Committee. When the exam has been scheduled, the student must obtain a Candidacy Form from the Graduate Student Affairs Administrator that will be signed by the Chair of the Candidacy Committee at the end of the exam. The signed form must be returned to the Graduate Student Affairs Administrator.

The student makes an oral presentation on a longer duration project (3-4 quarters of research) completed in the ASTR 37100 course, accompanied by written report. The report should include a full bibliography of all relevant work (as in a standard scientific publication). If the student played a major role in writing a paper, this can be used in lieu of the written report. The presentation will be followed by questions about the research and the broader context for it.

Outcomes of Part Two

The Candidacy Committee will consider the student’s presentations and exam performance, input from the student’s research advisor, and grades and comments from instructors of the Core courses and will decide on a grade of pass or no pass. Students who pass the exam are recommended for advancement to candidacy. This recommendation is made by the Candidacy Committee to the Deputy Chair for Academic Affairs. In exceptional circumstances, a student who does not pass may be allowed one opportunity retake part two of the candidacy exam.

The Master’s Degree

Students who do not pass the second candidacy exam will be granted a Master’s Degree. Students who pass may also obtain a Master’s Degree but must request this option from the Graduate Student Affairs Administrator prior to completion of the Ph.D.
Advancing to Candidacy

Advancement to candidacy is made when a student has successfully passed the candidacy examinations. At this point the student is eligible to apply for admission to Candidacy for the Ph.D. degree, a process governed by regulations of the Division of the Physical Sciences and administered by the PSD Dean of Students. Candidacy Application Forms are available from the Graduate Student Affairs Administrator.

Establishing the Thesis Advisor and Thesis Committee

Following successful completion of the second Candidacy Exam, the student formally chooses a Thesis Advisor. The advisor will help guide the student in the selection of appropriate committee members to ensure broad representation from among the faculty. For example, if the thesis is of a theoretical nature, it is appropriate to include an experimentalist/observer on the committee. Likewise, if the thesis is of an experimental/observational nature, one committee member should be a theoretician. The proposed thesis title and committee members are submitted to the Deputy Chair for Academic Affairs for approval.

Establishing the Thesis Advisor and Thesis Committee should be completed no later than the Autumn Quarter of the third year of graduate studies. If candidacy is delayed, the Thesis Committee should be completed by the end of the quarter immediately following advancement to candidacy.

Once approved, the student completes the Recommendation to Candidacy form (obtained from the Graduate Student Affairs Administrator) to formally establish the thesis title and committee membership. After the form is returned to the Graduate Student Affairs Administrator, the student is then free to contact the full Thesis Committee to schedule a first meeting. The student must notify the Graduate Student Affairs Administrator of all Thesis Committee meetings that are scheduled.

Composition of the Thesis Committee

- The group must consist of the Thesis Advisor and at least three other committee members.
- The Thesis Advisor must be a member of the teaching faculty at the University of Chicago.
- At least two members of the committee must be on the teaching faculty in the Department of Astronomy and Astrophysics.
- Remaining committee members may be selected from Research Faculty in the Department of Astronomy and Astrophysics and scientists with appointments at Argonne National Laboratory (ANL) and Fermilab (FNAL). Students are welcome to suggest Research Faculty in the other Physical Sciences Division departments (Chemistry, Computer Science, Geophysical Sciences, Mathematics, Physics, and Statistics) as potential Thesis Committee...
members, subject to the approval of their Thesis Adviser and Deputy Chair for Academic Affairs.

- External members (individuals not affiliated with the University of Chicago, ANL and FNL) are permitted to join a Thesis Committee. Students should consult with their Thesis Advisor on the selection of external members.

**Enrollment**

After candidacy is established the student enrolls in ASTR 49400 Post-Candidacy Research, and may also take electives of advanced coursework, for a minimum of 300 units per quarter (including summer). **Please note:** Until the Thesis Committee is in place, students continue to enroll in ASTR 37100 Pre-Candidacy Research.

**Academic Progress**

Once a Thesis Committee is formed, **the group is expected to meet twice per year** to review progress on the thesis project. The student is responsible for arranging the meetings. Prior to each meeting, the student must obtain a Bi-Annual Report Form from the Graduate Student Affairs Administrator for completion by the student and his/her Thesis Advisor. The completed form must be returned to the Graduate Student Affairs Administrator.

Independent research is the hallmark of advanced study. An important responsibility of doctoral candidates is to communicate progress or problems in their research to the Thesis Advisor and committee. Students should contact the Graduate Student Affairs Administrator, the Deputy Chair for Academic Affairs, or PSD Dean of Students should they encounter issues that prevent them from making academic progress. **For students matriculating into graduate programs in the Physical Sciences Division beginning in Summer 2017,** the registration limit is seven years. Students who exceed these limits will be administratively withdrawn from their degree programs. For more information on registration limits, please see the [Physical Sciences Division website](mailto:).
Thesis (Dissertation) Requirements

Guidelines

A thesis is accepted as satisfying the requirements of the Department of Astronomy and Astrophysics for the Ph.D. when it is approved by the Thesis Committee and has been, or will be, submitted for publication in a recognized scientific journal. (A paper that is deemed by the Thesis Committee to be in a state that can be submitted to a journal, or that is in review at the time of the oral defense, is sufficient to meet this requirement.) Each published paper that is submitted as (part of) a thesis shall carry a notation, preferably on the first page, as follows:

*Presented as (part of) a thesis to the Department of Astronomy and Astrophysics, The University of Chicago, in partial fulfillment of the requirements for the Ph.D. degree.*

The published thesis must also contain acknowledgements to fellowships or traineeships held during the research period as well as to research grants and other sources of support.\(^5\)

In the case of a single-author paper, the thesis is the manuscript submitted for publication, plus any supplementary appendices augmenting the presentation that might not be appropriate in a published paper. In the case of a multiple-author paper or papers (which also must fulfill the requirement of submission for publication), the thesis must be an extended version, written solely by the student and describing in detail his or her contributions to the published work. In both cases, the student’s Thesis Committee should approve the planned work at least three quarters before the Final Examination. Both types of theses (single-author paper or extended single-author version of the multiple-author paper) must be submitted in the required University-standard format. Information on formatting requirements and deadlines are available from The University of Chicago Dissertation Office.\(^6\) Students are strongly encouraged to contact the Dissertation Office to confirm deadlines and requirements at least one quarter before they intend to hold their final examination. The student is responsible for ensuring that the thesis complies with the submission and acceptance guidelines of the Dissertation Office before the Ph.D. degree can be awarded.

Final Examination

The Final Examination, or oral defense, marks the candidate’s professional entry into scholarship. A defense is a public presentation at which the candidate will present his or her research to the Thesis Committee, engage in dialogue and debate with the committee, and receive constructive criticism from the committee.

It is the responsibility of the student to arrange the date and time of the Final Examination with the Thesis Committee. The student’s thesis forms the basis of the examination. A draft copy of the

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\(^5\) See also [https://studentmanual.uchicago.edu/dissertation_requirements](https://studentmanual.uchicago.edu/dissertation_requirements)

\(^6\) [https://www.lib.uchicago.edu/research/scholar/phd/](https://www.lib.uchicago.edu/research/scholar/phd/)
thesis must be submitted to the full Thesis Committee for review two weeks before the scheduled Final Examination. The student must obtain the Report of Final Examination for the Degree of Doctor of Philosophy form from the Graduate Student Affairs Administrator, to be completed at the end of the Final Examination.

It is the responsibility of the Thesis Committee to conduct the examination. Following the public presentation, the committee will confer privately to decide whether to accept or reject the defense of the dissertation, or, accept the dissertation with qualifications, specifying what further work will need to be done. The committee's decision will be recorded on the Report of the Final Examination form and the form returned to the Graduate Student Affairs Administrator.

Submission to a Journal

The Department requires that at least one major single- or multiple-authored paper based on the thesis be submitted to appropriate refereed journal.

Preparing for Graduation

An Application for a Degree must be submitted by the first day of the quarter in which a student expects to graduate. The form is available from the Graduate Student Affairs Administrator in the Department of Astronomy and Astrophysics. The Application for a Degree is valid only for the quarter for which it is made. If the degree is not granted at the end of the quarter in which it was expected, the student must reapply before the deadline of the next quarter. Students should consult the Academic Calendar for registration dates and deadlines.

Students who expect to receive a degree must have fulfilled all financial obligations to the University by the end of the ninth week of the quarter in which they expect to receive a degree. Students who fail to meet this obligation will be removed from the list of degree candidates and must re-apply for a degree after settling their accounts. Students who have questions or wish to make special arrangements for payment should make an appointment with the Bursar well in advance of the deadline for fulfilled the financial obligations.

7 http://www.uchicago.edu/academics/calendar/
Graduate Student Resources

In addition to the faculty, there are several offices – departmental, divisional, University – that support your Graduate Education. This guide is intended as a quick reference to help you navigate the many resources available to you. Additional resources can be found on the department website.

Departmental Contacts

Graduate Student Affairs Administrator
Laticia Rebeles 773-702-9808, ERC 599B

Academic Affairs Administrator
Julia Brazas 773-834-8401, ERC 599A

Teaching Support Manager
Brent Barker 773-702-8323, KPTC 314 and ERC 573

Department Administrator
Jennifer Smith 834-0393, ERC 599C

Chair
John Carlstrom 773-834-0287, ERC 599E

Deputy Chair for Academic Affairs
Fausto Cattaneo 773-702-0562, ERC 507

Chair, Candidacy Committee
Michael Gladders 773-834-0392, ERC 527

Division and University Contacts

PSD Dean of Student
Bahareh Lampert 773-702-8790, ERC 307

Office of the Student Ombudsperson
The Office of the Student Ombudsperson is a resource for all University of Chicago students to assist in the resolution of conflicts, concerns, and other problems that they may encounter through the course of University life.
Policies

Physical Sciences Division

PSD Academic Grievance Policy

The University of Chicago

Student Manual of University Policies and Regulations

UChicago Resources

University Library

Astronomy and Astrophysics Resources
Dissertation Office

Career Advising and Professional Development

Chicago Center for Teaching
UChicagoGRAD

Financial Matters

Office of the Bursar
Student Loan Administration

Health

Student Health and Counseling Services

Safety

Common Sense: Your Guide to Safe Urban Living
Safety and Security: Safety, Police, Transportation and Parking, Environmental Health and Safety

Specialized Support

Office of International Affairs
Office of LGBTQ Student Life
Office of Multicultural Student Affairs
Spiritual Life Office
Student Disability Services

Online Emergency Directory
http://help.uchicago.edu/