M. SCIENCE HANDBOOK
2014-15
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  Sexual Harassment Policy: Berkeley Campus Sexual Harassment Policy Information for CED Students
  Respect and Civility in the Campus Community
  Student Record File Disclosure Policy
  Department of Architecture Statement on Credit for Collaborative Faculty–Student Research Publications
I. WELCOME!

WELCOME to the Department of Architecture. In this booklet we hope to explain many procedural aspects of the Master of Science in Architecture program. However, nothing written could cover it all. When questions come up, make the Arch Grad Office (232 Wurster) your first stop: if we don't know the answers, we'll help you find the person who does. We welcome your visits!

The Graduate Student Affairs Officer (GSAO) manages the Graduate Office. The Graduate Admissions Officer will also assist you when the GSAO is unavailable or when things get busy.

Office hours: Monday- Friday
9 a.m.–12 p.m. and 1–4 p.m.
Phone: 510-642-5577
Email: likoch@berkeley.edu, archgrad@berkeley.edu
Website: http://arch.ced.berkeley.edu

II. OVERVIEW: THE MASTER OF SCIENCE IN ARCHITECTURE PROGRAM

BACKGROUND: The last two decades have seen rapid growth in the complexity of buildings and the development of specialized knowledge for their design and operation. The building profession now requires a wider range of expertise in design, operation, and management than was required in the past, and new types of professional specialists have emerged to provide this expertise. Often these experts are educated outside of traditional architectural programs, frequently through studies in other disciplines. The Master of Science in Architecture was developed to offer the opportunity for advanced research work in these specialized areas within an architecture curriculum.

The M.S. is intended to supplement but not supplant the Master of Architecture degree, the professional degree accredited for the practice of architecture. The M.S. is appropriate for those wishing to pursue specialized knowledge in the ever-broadening and increasingly complex sub-fields within architecture.

THE DEGREE: The M.S. degree offered by the Department of Architecture is an academic, non-professional degree emphasizing coursework and supervised independent research in one of the following areas of study:

- Building Science and Technology
- History, Theory and Society
  The History, Theory & Society area has concentrations within it (Social and Cultural Processes in Architecture and Urbanism, and Environmental Design and Urbanism in Developing Countries). Students must confer with their individual advisor to determine what courses within the broad HTS area best meet the Inside Field requirements, based on the student’s interests.
Descriptions of the above areas of study, and specific program requirements will be found in Section VIII of this booklet.

III. ORGANIZATION: WHO MAKES THE DECISIONS?

The Department of Architecture operates within a framework of rules made by the State, the University, the Berkeley campus, the College of Environmental Design and ourselves. The Department and Graduate Division rules for getting the degree are spelled out in various Grad Division and Dept websites: [http://grad.berkeley.edu/students/](http://grad.berkeley.edu/students/) or [http://bulletin.berkeley.edu/academic-policies/](http://bulletin.berkeley.edu/academic-policies/) or . Should you run into problems, require clarification of the rules and regulations, or seek to waive some part of the requirements, start with the staff of the Arch Graduate Office. We should be able to tell you at what level the solution to your problem will be found. Should the problem require a waiver of the formal rules, we will make sure that it comes to the attention of the appropriate party, the M.S./Ph.D. Committee, The Head Graduate Advisor, or the Dean of the Graduate Division.

NOTE ON RED TAPE: Graduate life in one of the world's biggest universities and in one of the country's largest departments of architecture seems inevitably to be controlled by "red tape." Sorry, but that's the way it is. But for those who can "do the forms," this is an extraordinarily open and flexible department. It has no lock step curriculum; within broad limits each student designs his or her own program. Students do, however, have the responsibility to be aware of the rules. To avoid problems, please ask for information when you have uncertainties.

THE ADMINISTRATIVE BIG PICTURE: Most of your administrative interaction will be with the staff in the Arch Grad Office, your Faculty Advisor, and occasionally the M.S./Ph.D. Committee, but here is the official chain of command:
A. *Your Faculty Advisor*

Upon entering the M.S. program you will be assigned a faculty advisor. Your faculty advisor provides counsel on matters pertaining to course selection and degree requirements, and will help you assemble your thesis topic and committee. S/he also maintains a familiarity with your overall progress. It is your responsibility to maintain regular communication with your advisor.

A change of advisor requires the approval of the M.S./Ph.D. Committee (see "Petition to Change Advisor” in the Grad Office). Your faculty advisor will likely serve as the chair of your thesis committee.
B. The M.S./Ph.D. Committee

The Master of Science program is directed by the M.S./Ph.D. Committee, composed of faculty representing each of the study areas of the program, plus a student member (elected by his/her fellow students). In administering the M.S. program, the Committee is responsible for the following:

- reviewing applications for admission to the program;
- defining the scope of the MS program, and maintaining its overall standards, policies and procedures;
- reviewing proposals for thesis projects;
- examining petitions for exceptions to program requirements;
- making recommendations for fellowships and non-resident tuition scholarships.

Committee members for the 2014 Fall semester:

- Gail Brager, Chair
- Luisa Caldas
- Greg Castillo
- Galen Cranz
- Greig Crysler
- Paul Groth
- Stefano Schiavon
- Tom Buresh (ex officio)
- Student Rep
- Nezar AlSayyad (sabbatical 2014-15)
- Andrew Shanken (sabbatical 2014-15)

C. The Head Graduate Advisor

The Head Graduate Advisor is the official deputy of the Dean of Graduate Division in matters affecting graduate students in the Architecture program. For example, only the Head Graduate Advisor is authorized by the University Graduate Division to sign various forms and petitions submitted by graduate students. The Head Graduate Advisor formally recommends students' advancement to candidacy for higher degrees; considers petitions to add or change majors, approves changes to programs of study after the deadlines; signs petitions for withdrawal or readmission; and speaks for the department on matters concerning the progress and standing of individual graduate students. In all these matters the Graduate Advisor must judge whether or not the student's request or the proposed action is in order, is in the best interest of the student and the program, and is feasible under existing regulations.

The M.S./Ph.D. Committee works closely with the Head Graduate Advisor, and makes recommendations concerning the administration of the Ph.D. and Master of Science programs.

IV. REGISTRATION & CLASS ENROLLMENT

Everyone is required to be registered for 12 units each semester. You will register for classes through the enrollment system, TeleBEARS: [http://telebears.berkeley.edu](http://telebears.berkeley.edu). Well in advance of each semester (the middle of April for fall semester and early November for spring semester), continuing students can, with the aid of the Arch Department course website...
(http://ced.berkeley.edu/academics/architecture/courses/), the University Schedule of Classes (http://schedule.berkeley.edu/) and in consultation with your advisor, choose the courses you want for the next term and enroll in them online. When you complete your TeleBEARS registration, you will know exactly which classes you have enrolled in, the number of units and the grading option for the next semester.

- **HINT:** Keep your "Personal Identification Number" (PIN)--you'll need it for adding and dropping later on, and for selecting your courses in subsequent semesters. If you do lose it, however, the grad office staff can look it up for you.

- **HINT:** Check out the Berkeley campus home page (http://berkeley.edu/) for easy access to lots of useful information, including deadlines, and an online schedule of classes.

If you have not enrolled in a complete schedule, or if you wish to make changes in your courses, you may add or drop courses by the same method that you used to select your initial course(s). (See MAKING CHANGES, below.)

**If you are a new student,** to begin your registration process, you must enroll in at least one course by the deadline set by the University--check your Telebears listing for times. (Don't worry if you haven’t been able to meet with your faculty advisor before you TeleBEAR. You will have the first three weeks of school to add/drop classes. Check with the grad office staff for further information.) To complete the registration process, you must pay at least the first installment of your fees by the deadline. You may check your class schedule on Bear Facts.

**CAL 1 Card**

The official UC Berkeley identification card is white with a computerized photo of the student. It is your pass to campus services and facilities. As soon as possible, have your photo taken at Lower Sproul Plaza. When you go to the Cal photo ID Office to obtain your card, please present your government issued photo identification card (a driver’s license or passport) and Student Identification Number. For more info visit:

http://services.housing.berkeley.edu/c1c/static/index.htm.

The Cal 1 Card provides access to various campus facilities and events and can be used as a debit card at a selection of campus and nearby merchants. In addition, Architecture students may use the Cal 1 Card for access to the Arch Shop and computer labs as well as Wurster Hall after normal building hours. All related fees for computer printing and lab, CAD/CAM printing and lab, Architecture Shop, and Architecture photo lab can all be paid for using your card.

**V. MAKING CHANGES: ADDING AND DROPPING CLASSES**

If you wish to either add courses or drop them, you may do so during the first three weeks of each semester by getting on TeleBEARS as you did when selecting your original courses. See
the Schedule of Classes for information on how to do it. It is a good idea to check on BearFacts from time to time throughout the semester to make sure that your study list is correct.

**USEFUL Info:**

- TeleBEARS: [http://telebears.berkeley.edu](http://telebears.berkeley.edu)
- Bear Facts: [https://bearfacts.berkeley.edu/bearfacts/](https://bearfacts.berkeley.edu/bearfacts/) (24-hour delay in info)

**Adding and dropping** courses is a fairly straightforward process AS LONG AS YOU ADHERE TO THE DEADLINES:

- You may **add or drop** courses **without fee** through TeleBEARS during the first three weeks of class.
- After the third week a fee is charged for each class that you add or drop:
  - $5 is charged for each class **added**;
  - $10 is charged for each class **dropped**
- **LAST DAY TO ADD** or **DROP** is the last day of formal classes
- **GRADING OPTION** may be changed up until the last day of formal classes (no fee).

During this second phase, classes are adjusted through the on-line add/drop system (OLADS); you may no longer use TeleBEARS to add/drop courses. Instead you must fill out a “Petition to Change Class Schedule”([http://registrar.berkeley.edu/?PageID=elecforms.html](http://registrar.berkeley.edu/?PageID=elecforms.html)). If you are adding or changing units to a course, you must secure the instructor’s signature. No instructor signature is required for drops. Turn in your completed form to the Graduate Office. The charges for your adds and drops will appear on your monthly university billing statement, CARS.

**Adding or Dropping Courses After the Deadlines**

After the deadlines, adding or dropping courses becomes more difficult. In addition to paying the fees noted above and securing the signature approval of the Head Graduate Advisor, you must write a letter to the Dean of the Graduate Division outlining the extraordinary circumstances that lead you to seek an exception to the deadlines. You must submit the “Petition to Change Class Schedule” and the letter to the Dean, to the Arch Graduate Office and they will submit the paperwork along with a supporting memo to Graduate Division to request the change. There is no guarantee that the Dean will approve your request.

If you cease to attend a course and fail to drop it, an "F" grade will be assigned at the end of the semester.
Under no circumstances will a petition to drop a course be approved because the student finds an anticipated grade inconvenient.

VI. GRADING REGULATIONS

A. Grading Options

There are two options for grading, either a letter grade, or the satisfactory/unsatisfactory option (S/U). You must take your required courses, including methods, and your thesis work for a letter grade. Your elective courses may be taken on either a graded or an S/U basis.

Things you need to know about the S/U option:

- Overall, you may take no more than 1/3 of your total units on a satisfactory/unsatisfactory basis.
- Courses taken S/U do not figure into your grade-point average. Even if you do not pass the course, and earn a "U," it will not affect your GPA but you will not receive any units.
- The "satisfactory" in S/U implies work that is done at the level of B- or better. Thus, if you take a course S/U and your level of achievement is below B-, you will get a "U" (and earn no credit).
- With the letter grade option, you will still get units and academic credit for grades as low as a C-, anything lower will not receive credit.

B. Required Grade-Point Average

Graduate students must maintain an overall grade-point average of 3.0 to avoid academic probation. (You will get credit for individual grades as low a C-, but your overall GPA must be 3.0 or above.)

C. What Courses Count Toward the Degree Requirements?

Only courses numbered in the 100's and 200's will count toward your degree requirements. You may, of course, take courses numbered below 100, such as PE or language classes, but they will not count toward your degree unit requirement. Also courses number 375 for teaching will not count towards your degree.

D. Incomplete Grades

The grade "I" may be assigned when a student's work is of passing quality, but is incomplete because of valid circumstances beyond the student's control (e.g. sudden illness the day of the examination, family problems, or unanticipated research problems). If the instructor agrees that a grade of "Incomplete" may legitimately be given, he/she will report an "I" on the grade report at the end of the semester.
Paper Work Involved

To remove an “I” grade on your record, you must complete a "Petition to Remove an Incomplete Grade" (http://registrar.berkeley.edu/?PageID=elecforms.html). Then submit the petition to the instructor, who will assign the grade and return the completed form to the Grad Office. (The petition will then be sent to the Records Office in Sproul Hall.)

"I" grades should be replaced by a letter grade (or S/U, where applicable) before application for graduation (advancement to candidacy). If the course is not one required for the degree, and you do not need the units of the course to graduate, you may elect to leave the "Incomplete" on your record. ("I" grades do NOT revert to an “F” grade.) At the time you are advanced to candidacy, however, the Graduate Division must be notified by the Head Graduate Advisor that the course is neither required for the degree and that the work necessary to remove the "I" would only impede your progress toward the degree.

• Important University Regulation Concerning "I" Grades:

If you have more than TWO outstanding incomplete grades on your record, you will not be approved for hire as a graduate student instructor or as a graduate student researcher (GSI or GSR) or allowed to advance to candidacy so that you can graduate.

VII. PROGRAM OF STUDY: THE MASTER OF SCIENCE CURRICULUM

A. Research Areas

Each student in the Master of Science program has been admitted to carry out research in the following research areas:

Building Science and Technology
History, Theory and Society
  The History, Theory & Society area has concentrations within it (Social and Cultural Processes in Architecture and Urbanism, and Environmental Design and Urbanism in Developing Countries). Students must confer with their individual advisor to determine what courses within the broad HTS area best meet the Inside Field requirements, based on the student’s interests.

Research topics outside of these fields or combinations of several areas of may be undertaken, subject to approval of the Departmental M.S./Ph.D. Committee, if supported by qualified departmental faculty members.
B. PROGRAM OF STUDY

INSIDE FIELD

The Inside Field is pursued within the intellectual context of one of the department’s two main fields of study: History, Theory & Society, and Building Science & Technology. Ideally it helps to prepare you to write your thesis. You must complete a minimum of 9 units of graduate course work in your Inside Field of study in the department. The History, Theory & Society (HTS) area has concentrations within it (Social and Cultural Processes in Architecture and Urbanisms, and Environmental Design and Urbanism in Developing Countries). Students must confer with their individual advisor to determine what courses within the broad HTS area best meet the Inside Field requirements, based on the student’s interests.

Inside fields outside of these areas of combinations thereof may be undertaken, subject to support by qualified departmental faculty members who are available, willing, and competent to provide the necessary instruction and guidance. For students who wish to change to another Inside Field after they’ve joined the program, a formal request detailing the proposed change must be submitted to the Ph.D. Committee.

a. Building Science and Technology

At Berkeley, the building science faculty study environmental quality in buildings, and ways of producing desirable environments in an energy- and resource-efficient manner. The environmental attributes studied (thermal, luminous, air quality, acoustic) have both physical and psychological dimensions. The intellectual objective of graduate research in building science is uncovering the processes by which a building affects its occupants, evaluating the human/economic/energy consequences of the effects, and incorporating this knowledge in new procedures to design more acceptable buildings. A secondary objective is to prepare the student for a career involving building science, by having them participate in important funded research ongoing at Berkeley, and by engaging them in the activities of the professional societies where research is presented, debated, and put into forms that influence design practice.

Building science research at Berkeley can be divided into the following categories:

- Environmental requirements for occupant satisfaction: health, comfort, and productivity. We have worked extensively on thermal comfort standards appropriate for energy-conserving building design, on lighting and are also involved in ventilation and air quality standards. We have also developed climatic requirements for pedestrian safety and comfort in the outdoor environment.

- Design of climatically-adapted buildings that conserve energy and that may help preserve (in naturally heated and cooled buildings) long-standing architectural traditions and patterns of habitation. Although the general principles by which such buildings operate are well-known, it is very difficult to predict their actual performance in terms acceptable to an
we have developed a number of computerized design methods to help put climatically-adapted architectural and site design on a quantified footing.

- New technology to improve the energy efficiency and quality of environmental control systems in buildings, both at the large commercial and the residential scale. Our past work has concentrated on heating and ventilating, lighting, windows and glazing, and new systems that provide occupants with control of their personal environments. We also develop technology and survey techniques with which one can diagnose how well an occupied building is performing.

Coursework is largely decided on an individual basis through consultation between the student and his or her advisor. In general each student will be required to develop competence in a range of building science topics that border the main topic of interest. Students often participate in research projects conducted by the faculty for external sponsors. Thesis research can be structured in many ways, but must be based on an appropriate combination of theory, modeling, and testing in the laboratory or field.

b. **History, Theory and Society**

The History, Theory and Society program (HTS) offers M.S. and Ph.D. degrees to students interested in studying the history and theory of architecture, the built environment and contemporary urbanism in a broad social, political, and cultural framework. This approach accommodates a range of topics across space and time. Based on their interests and background, students can draw on historical and theoretical material from across the humanities to formulate areas of study and thesis and dissertation topics. Historically, the program was a pioneer in the study of non-western environments, an approach now updated to consider issues of development and globalization in the 20th and 21st century. The program’s emphasis is on situating architecture, building and urbanism in a larger intellectual context through the use of contemporary social theory, historical analysis, and a variety of methods from ethnography to archival research.

Students may situate their research interest in the comprehensive area of History, Theory and Society, or may choose concentrations in [Environmental Design & Urbanism in Developing Countries](#) or [Social and Cultural Processes in Architecture & Urban Design](#).

i. **HTS concentration:**

**Environmental Design and Urbanism in Developing Countries (EDUDC)**

The EDUDC concentration emphasizes an understanding of how the physical environment, in so-called “third world” nations is shaped by larger global, cultural, historic, social and economic forces.

Unlike similar areas of study in other schools the Berkeley program is premised on two interlinked concepts: first, that the study of other cultures, societies, and peoples is a fundamental exercise for the creation of a better physical environment, and, second, that the
The concentration is conceived as a horizontal link between the different areas of the curriculum within and outside the department. Courses offered in the concentration are often classified under Social and Cultural Processes, History of Architecture, City and Regional Planning, and Global Metropolitan Studies. Enrolled students are also expected to take courses in the departments of Anthropology, Geography, History, Sociology or International and Area Studies as needed. Topics being pursued in this area include third world urbanization, urbanism, squatting, informal housing, colonial and post-colonial urban development, and traditional dwellings and settlements. The International Association for the Study of Traditional Environments, based in the College of Environmental Design, serves as the research arm of this area of emphasis.

ii. **HTS concentration:**

   **Social and Cultural Processes in Architecture and Urban Design**

Social research in a professional school of architecture often focuses on serving the profession, but it can also serve as a form of cultural criticism in the tradition of the humanities. Social research supports the profession through programming and evaluation research—those close observations of reality that can inspire new designs and refine existing paradigms. Alternatively, social research gives us the distance to stand back and observe what society is producing through its architecture and to comment on the wisdom or folly entailed.

Contemporary social research helps the designer conceptualize and learn about the needs of different people in different roles. At first, much of the research in the US emphasized this behavioral level of analysis, but it has expanded over the last 45 years to include other levels. Accordingly, the field of person-environment studies now includes organizational, institutional, societal and cultural levels of analysis.

As the research field has expanded, methods have also expanded. Because studies can be behavioral, organizational, institutional, and/or societal and cultural, methods are correspondingly varied. Increasingly, social researchers in architecture use qualitative, interpretive, and critical approaches to describe, analyze, understand, critique, and even advocate, while others might use quantitative and behavioral approaches to help resolve social-environmental problems in a wide array of settings.

C. **Planning Your Program**

The description below outlines the general program requirements for the Master of Science. As each person has been admitted to the program to carry out an individual research project, no specific curriculum sequence applies. Although the program is flexible, your coursework must fit into the various categories outlined below. With your advisors assistance, make a study plan as soon as possible to make the most of your opportunities.
PROGRAM REQUIREMENTS FOR STUDENTS IN THE M.S. PROGRAM

- **UNITS** required for degree: 36 (minimum), as follows:

  
  - Research methods: 3-4 units
  - Inside Field units: 9 units (minimum) or 3 classes
  - Arch Breadth: (outside of specialty if no Arch Degree): 6 units (minimum) or 2 classes
  - Shared Courses: (Colloquium & Lecture): 2 units
  - Thesis work: 5 units

Degree work should be completed in three semesters.

CURRICULUM

a. **Courses in Architecture**

(1) Research Methods

One research methods course is required of everyone and is specific to your major research area. You will decide which course to take in consultation with your advisor. These courses are 241 for Building Science, 231 for Design Theories and Methods, 218 for EDUDC, 271 for History, and 211 for Social Processes.

(2) Courses in Your Inside Specialty Area

A minimum of nine units or three classes of Architecture course work must be completed in your specialty area as agreed to with your advisor. These courses should be numbers within the 200 level graduate courses.

(3) Architecture Breadth Requirement

For those without an academic background in Architecture, a minimum of six units or two courses of graduate coursework in areas of the architecture curriculum outside of your area of specialty is expected. (No waivers of this requirement will be made.)

(4) Thesis Coursework

Thesis coursework consists of a 5-unit independent study course (Arch 299) undertaken with the Chair of your thesis committee.

b. **Electives Outside of Architecture**

The remaining number of units of course works related to-- or supportive of--the specialty area may be undertaken in departments outside of Architecture.

D. Waiving and Substituting Requirements

Occasionally a student will have reason to believe that a required course should be waived or they wish to substitute an upper division undergraduate course as part of their graduate program to fulfill their requirements. If you wish to seek an exemption from one of the above requirements, discuss your request with your faculty advisor. If s/he agrees that it seems reasonable, submit your request in writing—including the endorsement of your advisor—to the M.S./Ph.D. Committee using a waive an substitute form:

http://ced.berkeley.edu/ced/students/graduate-advising/graduate-forms-documents/.

E. Degree Check and Advancement to Candidacy

In your final semester when you plan to complete the requirements for the M.S. degree, ask the Grad Office for a final "degree check" to make sure that you have satisfied all unit, subject area and residency requirements.

There are 2 forms that you will be required to submit: "M.S. Thesis Proposal Form" to propose your thesis topic and committee for the approval of the M.S./Ph.D. Committee, and another form "Application for Candidacy for Master’s Degree Plan I" for the University Graduate Division, available at: http://ced.berkeley.edu/ced/students/graduate-advising/graduate-forms-documents/

VIII. FINAL DEGREE REQUIREMENTS: THE THESIS

An independent research thesis is the culmination of your Master of Science program. Of course your thesis topic will be developed over the course of your studies, but it must be formally proposed for the M.S./Ph.D. Committee's approval at the beginning of your final semester. To seek the committee's approval, submit a copy of your thesis proposal, along with a completed "M.S. Thesis Proposal" form, to the grad office. If the committee has any questions or reservations about the scope or the methodology of your proposed thesis topic, you will be notified immediately. When your topic is approved, you will be given the course control number for your thesis coursework, a five-unit independent study course (Arch 299).

A. Thesis Committee

Your thesis committee must have a minimum of three members, one of whom MUST be from a department other than Architecture. The remaining two members must be faculty from the Department of Architecture. All three must be members of the Berkeley Academic Senate (i.e., persons holding the academic title professor, associate professor, or assistant professor). Exceptions may be made for additional members not holding these titles. However you may only have ONE such exception on your committee. See the Grad Office for more information. **Be aware that your thesis committee requires a faculty member from outside the Dept. of Architecture.** It is better to take classes from a potential committee member before asking
him/her to be on your thesis committee, than to wait until the last minute and ask someone who does not know you or your work.

B. Thesis Format

The thesis must be prepared according to the Graduate Division regulations. Guidelines are available at: http://grad.berkeley.edu/academic-progress/thesis/

C. Formal Review

One month before submission of your thesis to the Graduate Division, you are required to present your complete thesis draft to your committee members, who will review your work and suggest any final changes. It is your responsibility to make sure that your entire committee will be available to review your final draft and you will be able to process any changes, since it is a significant step in the completion of your degree program.

D. Thesis Schedule: Deadlines

- THESIS PROPOSAL must be submitted before the beginning of the semester you intended to graduate.

- UNIVERSITY ADVANCEMENT TO CANDIDACY form must be submitted to the Arch Grad Office:

  - For Fall Degree: 3rd week of the semester
  - For Spring Degree: 3rd week of the semester

- DEADLINE FOR SUBMISSION OF COMPLETED THESIS, along with signature approvals from each committee member:

  - For Fall Degree: Last day of the semester
  - For Spring Degree: Last day of the semester

E. Filing Fee

What happens if you do not complete your thesis by the deadline?

The Filing Fee is a reduced fee for graduate students who have completed all requirements for the degree except for filing the master thesis and securing the required signatures on the title page. While it allows a student to submit the thesis, it may only be used once, following a registered semester or 3 unit summer registration and you cannot hold a GSI or GSR position while on Filing Fee nor receive any financial/departmental aid.

Filing Fee will only be approved after the Graduate Office receives confirmation from your inside committee members that they have received a full draft of your thesis and believe that any edits or changes will be completed in the time provided.

Warning: Filing fee status is NOT equivalent to registration! If you have student loans, you should check to find out what the implications of your status will be on your loan repayment schedule. Health insurance or library privileges or Recreational Sports Facility (RSF) privilege cards may be purchased separately when presented with a memo from the Grad Office stating that you are a student in good standing.

Students must apply for the Filing Fee by the Friday of the first week of class of the semester in which they intend to file.

IMPORTANT: HUMAN SUBJECTS PROTOCOL If your thesis will involve human subjects in any way (including such interaction as interviews or questionnaires) you must have your research plans approved by the Berkeley Campus Committee for the Protection of Human subjects BEFORE YOUR RESEARCH IS BEGUN.

Federal law and University policy require that all research, on or off campus, involving human subjects in any way conducted by graduate students in pursuit of an advanced degree must be approved or exempted by the Committee for the Protection of Human Subjects (CPHS). Approval must be gained before the research is begun. Research involving human subjects conducted without the approval of CPHS is invalid and the degree will not be awarded.

Only CPHS can determine whether your research is eligible for exemption or will require a full review. Each student must be granted individual approval by CPHS. To ensure compliance with federal law and University policy, please call the Committee at (510) 642-7461 or http://cphs.berkeley.edu/.

IX. TRANSITION FROM THE M.S. TO THE PH.D.

The M.S. degree is a step toward acquiring some research credentials that will qualify you to seek a research career in one of the sub disciplines of architecture. If your intention is to pursue a teaching and scholarly career, you might consider applying to the Ph.D. program. Although all of the course work you are pursuing in the M.S. program will also count towards your Ph.D., transition from the MS to the Ph.D. is NOT automatic. The M.S./Ph.D. Committee will compare your application with the others directly applying to the Ph.D. program.

In addition to the 36 units that you are required to finish while pursing the M.S., you will be expected to complete your M.S. thesis at the time of your admission to the program. Additional requirements after admission to the Ph.D. program include:

- One or two Outside Minor Fields (Consisting of 4 regular graduate courses of 12-16 units; or 2 graduate classes in each if you pursue two fields with a 6 unit minimum in each);
- foreign language requirement for those in History, Theory and Society;
- written qualifying examination;
- comprehensive oral examination; and
- dissertation.
A. Application Submission and Schedule

There are two opportunities to apply to the Ph.D. program from the M.S. The first is the regular University deadline in December, where you submit a Ph.D. application to the University admissions website with all the required material. You will be evaluated with the other applicants to the program and considered for the funding awarded to Ph.D. students. The second option is at the end of April where you would submit a pdf of the same material to the Grad office, i.e. Dept Ph.D. application (as the University app will be unavailable), statement of purpose/research proposal, biographical essay, 3 letters of recommendation, copies of your transcripts, and examples of written work. If you apply in the Spring, you will not be considered for any Dept funding as it will have already been allocated to those admitted during the earlier cycle.

Students who succeed in taking their qualifying exams before the end of third year will also earn the Dissertation Completion Fellowship (DCF) which is offered by the Graduate Division. This fellowship covers tuition, fees and stipend for one whole year usually the fifth year for dissertation writing.

B. Special Studies Courses — Architecture 299 (Independent Study)

Content and Purpose of Special Studies Courses. An Arch 299 course offers you the opportunity to undertake work with one of the faculty on an independent basis. The purpose of an independent study is to offer a greater flexibility in the range of course offerings, or the opportunity to search out and study in greater detail, subjects unavailable in the ordinary course offerings. Comparable work per unit credit with regular courses is expected.

The 299 is not a vehicle for getting academic credit for doing a job! For example, construction or drafting work on private commissions will not be given academic credit. A job can be a vehicle for learning, but credit will not be given merely for work where neither the intent nor the academic value is clear. If some other activity in conjunction with the work is to be performed for an academic purpose that would not ordinarily be pursued, this segment of the work could legitimately be done for credit. Work for which you are paid may not be assigned academic credit.

Only 9 units of Arch 299 units may be credited toward your program requirements. (This number includes the 5 units allowed for thesis work.)

Paperwork for Special Studies Courses. Ideally, you should plan special studies work before the end of the preceding semester, but you may also add a special studies to your study list during the add/drop period. Find a faculty member willing to sponsor your study, and then pick up the form SPECIAL STUDIES PETITION from 232 Wurster or at: http://ced.berkeley.edu/ced/students/graduate-advising/graduate-forms-documents/. The special studies form will ask for the following information about the work that you propose:
• statement of intent and purpose
• the work involved and its schedule
• the end result (possibly the product)
• the instructor’s role
• means of evaluation
• schedule of meetings with your faculty sponsor

Discuss your plans with your faculty sponsor and have him/her sign the form, then bring it to 232 Wurster for review by the Head Graduate Advisor. When your proposed study has been approved (this generally takes a day or two), you will be given a section number, a course control number and a class entry code so that you can add the 299 course to your schedule.

Significant faculty-student interaction is vital to a successful independent study. It is your responsibility to see that the work agreed upon is carried out: meetings with your faculty sponsor should take place on a regular schedule.

X. FINANCIAL ASSISTANCE: SOURCES OF FUNDING

A. Need-Based Financial Aid

The University of California at Berkeley offers a wide variety of financial aid programs to help students meet their educational expenses. For University based funding and fellowships, go to: http://grad.berkeley.edu/financial/fellowships/. Financial aid is awarded on the basis of demonstrated financial need and is available to all citizens of the U.S. and foreign students who hold either an immigrant or refugee visa. Among the types of aid offered are grants, loans, work study.

Students generally must apply for government financial aid or loans, six to nine months in advance of the award period (late applications are subject to the availability of funds after the needs of on-time applicants have been met). For the 2014-2015 academic year, all students (except fellowship applicants—there is a separate process for that, see below) must use the “Free Application for Federal Student Aid” which will be available online at http://fafsa.ed.gov/.

Continuing graduate students (U.S. citizens or permanent residents) applying for all types of financial aid (including "Block Grant" Fellowships) must submit the Free Application for Federal Student Aid” by the deadline (usually early in March--check with the Financial Aid office for the date). International Students may apply for limited funding through the Berkeley International Office located at International House process.

B. Block Grants and Other Department Fellowships

University fellowship funds are allocated to each department as a "block grant." Last year we received a total of $296,000 to support Masters and Ph.D. students in architecture. The sum was allocated as fee remissions and non-resident tuition scholarships.
Criteria for selection are statement of purpose, academic record (a minimum GPA of 3.0 is required), and a letter of recommendation.

**How to apply:** Applications will be e-mailed out from the Arch Grad Office at the middle of November. The application deadline is at the Friday of the first week of school in Spring semester.

**C. Departmental Financial Assistance: Prizes, Awards, Competitions, Etc.**

Each year the Department distributes awards to graduate students in the Department of Architecture including various scholarships, fellowships, grants-in-aid, prizes, competitions and summer internships. All eligible students are encouraged to apply. At the beginning of the Fall Semester, a complete schedule of the year’s awards, along with their deadlines and requirements will be available at: [http://ced.berkeley.edu/ced/students/prizes/](http://ced.berkeley.edu/ced/students/prizes/).

**Graduate Student Instructorships**

Many students hope to earn money and gain teaching experience by acting as a graduate student instructor. GSI hiring for the following semester takes place toward the end of the previous semester. Watch for e-mailed notices for the GSI application period. The Dept will post a hiring announcement on the Architecture website toward the end of each semester about available GSI positions for the following semester. The web announcement also outlines the procedure for applying to GSI positions. Generally speaking, it is assumed that applicants will have taken the course that they hope to teach (or its equivalent) and excelled in it. It’s an excellent idea to make your interest in teaching known to the instructor ahead of time: hiring is competitive and instructors want to choose those with knowledge, experience and enthusiasm.

After you submit your application for employment, the instructor of each course will review the applications submitted and make his/her selections from among them. The instructor then makes his or her recommendations to the Chair of the Department of Architecture, who, in turn, will make the departmental recommendations to the Graduate Division, which makes the final appointments. GSI’s must be registered full-time graduate students. For GSI’s, full time means registering for a minimum of 12 semester units. The Graduate Division will not appoint people with GPA’s below 3.0 or with more than two incomplete grades.

Appointments are normally semester by semester and tied into work with a specific course. For a list of available GSI/GSR positions in the department please visit the Architecture website under “Employment.” [http://ced.berkeley.edu/about-ced/jobs-at-ced/gsi-reader-positions/](http://ced.berkeley.edu/about-ced/jobs-at-ced/gsi-reader-positions/).

For a list of UC Berkeley GSI wage rates please refer to the University’s Human Resources link: [http://hrweb.berkeley.edu/pay/uawwg.htm](http://hrweb.berkeley.edu/pay/uawwg.htm). For GSR salary rates please refer the UC Office of the President’s website at: [UC Office of the President’s website](http://hrweb.berkeley.edu/pay/uawwg.htm) (PDF).

The Graduate Division’s Appointment’s Office staff handles and monitors all graduate student instructor, research, and tutor positions. For general appointment information please refer to...
In addition to the above-mentioned compensation, GSI's and Graduate Student Researchers employed at 25-44% receive a partial fee remission which includes their health insurance, tuition and Student Services Fee. Berkeley Campus Fee and Class Pass Fee are not covered. Full fee remission is available for GSRs working at least 45% time.

For the prescribed hours of work per week include all class contact hours, class preparation, grading, etc.

• GSI's must be registered full-time graduate student at the time of appointment. GSI's are required to carry a minimum of twelve (12) upper division and/or graduate units (100 or 200 series) per semester.

• The Graduate Division will not appoint people with GPA's below 3.0 or with more than two incomplete grades.

• First-time GSIs must either have completed or be enrolled in a 375-level semester-long pedagogy seminar on teaching in the discipline offered by the department. This is course Arch 375. If you cannot take Arch 375 due to schedule conflicts, the pedagogy seminar should be taken in another department, with the advice and approval of the GSI's department and with the consent of the course instructor. The GSI Teaching and Resource Center will maintain a list of 375-level courses on its Web site.

• All first-time GSIs must successfully complete the Online Course on Professional Standards and Ethics in Teaching by the end of the third week of classes.

• All first-time GSIs must attend the GSI Conference Workshop offered by the GSI Teaching and Resource Center prior to the beginning of the semester they are hired to teach.

If you are appointed as a Graduate Student Instructor you may enroll in a GSI course (Arch 298) for which you can receive 1-3 credit. You may repeat this course, however, no more than three such courses--a total of three units -- will count towards your unit requirements. This course must be taken S/U. Ask in the Grad Office for details.

XI. HOW MUCH WILL IT COST? : 2014-2015 STUDENT BUDGETS

The Office of Financial Aid has established average projected costs of attendance for students during the nine-month academic year. These budgets provide sufficient money for most circumstances, although architecture students traditionally spend far more on books and supplies than the budgeted amount.
XII. ESTABLISHING CALIFORNIA RESIDENCY

If you are a US citizen, but not a California resident, you can save money by establishing residency in California. For definitive information about residency matters, visit http://registrar.berkeley.edu/residency.html for written detail. In general, though, most students can obtain residency by doing the following:

- Maintain a California address for a year before you file as a resident. Always use your California address in filling out University forms. Make sure that you list your California address when asked for your permanent address. Maintain your California address during the summer.
- Register to vote in California, and then perform your civic duty.
- Get a California driver's license. If you own a car, have it registered in California.
- Establish a savings account and/or checking account in California; close out your out-of-state accounts.
- If you are employed, pay California state income taxes.

If you receive any financial help from your parents, or live with your parents for more than six weeks in a calendar year, residency reclassification is difficult.

Follow the above steps to the letter. Due to cutbacks in funding, the University has become very stringent concerning residency reclassifications. The earlier that you take the described steps, the better your chances for reclassification will be. The term before you expect to establish yourself as a California resident, make an appointment to see a residency counselor on Room 120 Sproul Hall. At the time of your residency reclassification appointment, you will be required to provide documentation for all statements made on your reclassification application. Documentation can include rent receipts, voter registration forms, driver's licenses, car registration forms, checkbook registers and savings account passbooks. Checkbook registers and savings account passbooks will be scrutinized for large deposits, which will have to be explained in detail.
APPENDIX A

POLICY STATEMENTS

ARCHITECTURE DEPARTMENT-LEVEL GRADUATE APPEALS PROCEDURE

Purpose and Scope

The purpose of this procedure is to afford graduate students in the Architecture Department an opportunity to resolve complaints about dismissal from graduate standing, placement on probationary status, denial of readmission, and other administrative or academic decisions that terminate or otherwise impede progress toward academic or professional degree goals. This procedure may also be used to resolve disputes over joint authorship of research in accordance with the joint authorship policies of the department.

The scope of this procedure is limited to the matters listed above, and excludes complaints regarding denial of admission, student records, grades in courses of instruction, student employment, student discipline, and auxiliary student services (such as housing, child care, etc.) This procedure may not be used for complaints regarding actions based solely on faculty evaluation of the academic quality of a student's performance, or decanal evaluation of a student's appropriate academic progress, unless the complaint alleges that the actions may have been influenced by non-academic criteria.

A. INFORMAL RESOLUTION PROCEDURES

A student may pursue informal resolution of a complaint by scheduling a meeting with the Head Graduate Advisor to discuss the complaint and explore possible avenues of resolution. If informal resolution is pursued, it must be initiated, and should be completed, within 30 days. At any point in this process, if a satisfactory solution cannot be reached, the student may initiate formal resolution by putting the complaint in writing.

B. FORMAL RESOLUTION PROCEDURES

A written complaint must include information regarding the action being complained of and the date it occurred, the grounds upon which the appeal is based, and the relief requested. The complaint must be based on one or more of the following grounds:

1. Procedural error or violation of official policy by academic or administrative personnel;

2. Judgments improperly based upon non-academic criteria including, but not limited to, discrimination or harassment on the basis of sex, race, national origin, color, age, religion, sexual orientation, or disability;
3. Specific mitigating circumstances beyond the student's control not properly taken into account in a decision affecting the student's academic progress.

A written complaint must be received by the Head Graduate Advisor within thirty days from the time the student knew or could reasonably be expected to have known of the action that is the subject of the complaint. The Architecture Department should complete its investigation and notify the student of the outcome of the complaint within sixty days of the date it was received.

If the complaint is about an action taken by the Head Graduate Advisor, the complainant may elect to take the complaint directly to the Department Chair. In such a case, the time limits set out in the preceding paragraph still apply.

The time frame for filing a written complaint may be extended by the Architecture Department if the student has been involved in continuing efforts toward informal resolution, and the informal resolution process was initiated within thirty days of the time the student knew or could reasonably be expected to have known of the action that is the subject of the complaint. All time frames referred to in this procedure refer to calendar days. Summer and inter-semester recesses are not included within these time frames.

Upon receipt of a written complaint, the Head Graduate Advisor will assign a committee who will investigate the complaint, and make a recommendation to the Head Graduate Advisor. Generally, the investigation will include an interview with the complainant, a review of any relevant written materials, and an effort to obtain information from available witnesses (i.e. interviews or written statements or documents). The Head Graduate Advisor will notify the student in writing of the outcome of the complaint. The Head Graduate Advisor will also keep the Department Chair apprised of the status of any pending grievance.

A written complaint under this procedure satisfies the requirement of a unit level resolution pursuant to the Graduate Appeals Procedure.

C. APPEAL TO THE GRADUATE DIVISION

If the student is not satisfied with the outcome of the complaint under the Architecture Department's procedure, he or she may bring the complaint to the Formal Appeal Procedure of the Graduate Appeals Procedure. The formal appeal must be received in the Office of the Dean of the Graduate Division, 424 Sproul Hall, within fifteen days of the date of the written notification of the result of the unit level procedure. Copies of the Graduate Appeals Procedure (updated December 2, 1996) may be obtained from the Office of the Dean of the Graduate Division.

D. COMPLAINTS INVOLVING DISCRIMINATION

If the complaint involves allegations of discrimination or harassment on the basis of sex, race, national origin, color, age, religion, sexual orientation, or disability, the Architecture Department should consult the appropriate campus compliance officers prior to commencing
informal or formal resolution. The names, phone numbers, and campus addresses of these individuals are listed in various campus publications and may be obtained from the Office of the Dean of the Graduate Division at (510) 642-5472 or the Academic Compliance Office at (510) 642-2795.

E. OTHER COMPLAINT PROCEDURES

Graduate students may contact the Office of the Ombudsman for Students, the Title IX Compliance Officer, or the 504/ADA Compliance Officer for assistance with complaint resolution. There also are other complaint resolution procedures listed in the Graduate Appeals Procedure for use regarding complaints that do not fall under this procedure.

SEXUAL HARASSMENT POLICY: BERKELEY CAMPUS SEXUAL HARASSMENT POLICY INFORMATION FOR C.E.D. STUDENTS

The Berkeley campus is committed to creating and maintaining a community in which all students can feel free from harassment and intimidation. To ensure this, the University makes available a Title IX Compliance Officer who is responsible for ensuring that any allegation of sexual harassment is investigated and resolved. Campus policy on sexual harassment states that unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when submission to such conduct is made a condition of instruction, employment, or participation in a university activity; when submission to such conduct is used as a basis for making decisions affecting the individual; when such conduct unreasonably interferes with an individual's performance; or when such conduct creates an intimidating, hostile or offensive University environment.

If you feel you have experienced any form of sexual harassment you are encouraged to try resolving the problem informally within your department. If you feel you can comfortably talk to the person in question about their behavior, you might directly express your concern to them and try to come to a resolution of the problem. Another option is to get together with other students who have experienced or witnessed the same behavior and ask to meet the individual as a group. If you do not feel comfortable talking to the individual directly you can express your concern to a trusted faculty member, who can then discuss it with the individual or request the involvement of the appropriate administrative officer, such as the department chair or dean. Another way to attempt an informal resolution is to contact the Title IX Compliance and request what the university calls a “mediation process.” The Title IX Officer will attempt to facilitate the resolution of the dispute without the filing of any written complaint. However you elect to do it, this informal process is supposed to result in some agreement between you and your department that “appropriate corrective actions” will be taken. If you do not feel comfortable attempting an informal resolution or if the process of the informal resolution does not remedy the problem, you should contact the Title IX Compliance Officer and make a written complaint. This constitutes the beginning of what the university calls the “complaint resolution process.” Once the Title IX Officer receives the written complaint she will begin a full investigation. She will then prepare a report for the appropriate campus official (depending on whether the alleged harasser is a student, non-academic staff member, or
faculty member), including a recommendation as to what action should be taken. If you are not satisfied that the action taken has resolved the complaint, or if you decide to bypass the mediation and complaint resolution process, you can file a formal complaint alleging the University has violated its policy prohibiting discrimination on the basis of sex. The Title IX Office can furnish additional information on the formal complaint process and on further avenues you can pursue if your complaint cannot be resolved through any of the above described procedures.

The time limit for filing a written complaint with the Title IX Compliance Officer to begin the complaint resolution process is 90 calendar days from the time you knew of the act of sexual harassment. If you have attempted to resolve the dispute informally, you have 30 days from the time the informal process is completed (or 90 days from the time you knew of the act of harassment, whichever is longer). The total time period for the investigation of your complaint should not exceed 90 days, and the decision of the appropriate campus official should be made within 15 working days of the time they receive the CRO’s report.

University policy explicitly states that no person shall be subject to reprisal for using the mediation and complaint resolution process or for participating in the formal complaint process. In the mediation and complaint resolution process every reasonable effort will be made to protect the privacy of all parties, including the alleged harasser. As the complainant, you will not necessarily be given access to information about the action taken against the person you have accused of sexual harassment. Records relating to the investigation by the CRO and the disposition of the complaint will be made available to the parties involved in the complaint only in accordance with appropriate laws and University regulations.

**Campus Resources on Student Matters:**

ASUC Student Advocates Office: [http://advocate.berkeley.edu/](http://advocate.berkeley.edu/)
Campus Police Department: 1 Sproul Hall, 642-6760 [http://police.berkeley.edu/about_UCPD/contact-info.html](http://police.berkeley.edu/about_UCPD/contact-info.html)
Child Care & Family Services: [http://berkeley.edu/work/child.shtml](http://berkeley.edu/work/child.shtml)
Faculty Equity Associate: [http://ofew.berkeley.edu/](http://ofew.berkeley.edu/)
Gender & Equity Resource Center (Student Activities & Services): [http://geneq.berkeley.edu/](http://geneq.berkeley.edu/)
Main Library Info for Grad Students: [http://www.lib.berkeley.edu/information/graduate-students](http://www.lib.berkeley.edu/information/graduate-students)
Ombudsperson for Faculty and Students: [http://sa.berkeley.edu/ombuds](http://sa.berkeley.edu/ombuds)
Personnel Office - Employee Relations: [http://hrweb.berkeley.edu/about/contact](http://hrweb.berkeley.edu/about/contact)
Sexual Assault Counseling: [http://www.uhs.berkeley.edu/students/medical/sexualassault.shtml](http://www.uhs.berkeley.edu/students/medical/sexualassault.shtml)
Sexual Harassment & Violence Support & Education Program: [http://survivorsupport.berkeley.edu/](http://survivorsupport.berkeley.edu/)
Student Conduct Office: [http://sa.berkeley.edu/conduct](http://sa.berkeley.edu/conduct)
Title IX Compliance Officer: [http://ophd.berkeley.edu/about/staff](http://ophd.berkeley.edu/about/staff)
RESPECT AND CIVILITY IN THE CAMPUS COMMUNITY

The University of California at Berkeley is a public institution of higher education committed to excellence in teaching, research, and public service. Our student body represents the diversity of our state, and will provide its future leaders. Together the students, faculty, and staff form our campus community, which reflects a variety of backgrounds and cultures. The quality of life on and about the campus is best served by courteous and dignified interaction between all individuals, regardless of sex, ethnic or religious background, sexual orientation, or disability.

Therefore, the administration of this University publicly declares its expectation that all members of the campus community will work to develop and maintain a high degree of respect and civility for the wealth of diversity in which we are all fortunate to live and work together. This civility and respect for diversity ought to flourish in an atmosphere of academic freedom that is considerate and tolerant of the ideas of others. The administration of this University expects you to consult the student conduct code for specific regulations regarding respect and civility.

STUDENT RECORD FILE DISCLOSURE POLICY

The Graduate Office maintains graduate students' files, including the following documents: all materials submitted at the time of application (previous transcripts, departmental application, letters of recommendation), UC cumulative grade records, any correspondence between the Graduate Office and the student, copies of petitions submitted, summaries of interviews with the Graduate Advisor, and copies of fellowship and award notification.

Files are maintained under the supervision of the Student Affairs Officer. Each student is entitled by law and University policy to examine his/her file materials, with the exception of letters of recommendation for which s/he has submitted a waiver of access form. Student records are confidential and access is generally given only to University officials and employees who have a legitimate educational interest in the records. Records will be released to other third parties only with the prior written consent of the student. Disclosure of information from student records is governed by the Federal Family Educational Rights and Privacy Act (FERPA) and in part by the State of California Education Code. Campus policies concerning these matters are detailed in the Berkeley Campus Policy Governing Disclosure of Information from Student Records which can be found at: http://registrar.berkeley.edu/ferpa.html. The Office of the Registrar's home page includes a link to additional information about disclosure of student information, including a list of most often asked questions and their answers: http://registrar.berkeley.edu/ferpa.html#faq

A student wishing to review his/her file must submit a written request to do so to the Student Affairs Officer. Normally access to the file will be granted within 48 hours; copies of file records may be made at the student's expense.
Students are entitled to an explanation of any information contained in records to which they have right of access. If a student believes that his/her records are inaccurate, misleading, inappropriate, or otherwise in violation of his right to privacy or other rights, s/he may request in writing of the Vice Chairman for Graduate Studies that the records be amended. If the request is granted, the records shall be amended within a reasonable period of time and the student will be given written notice of the amendment. If the request is denied, he/she shall be informed of the refusal and advised of the right to a hearing. Such hearing shall be conducted pursuant to the Berkeley Campus Policy Governing Disclosure of Information from Student Records.

The Graduate Office also maintains a card file with students' addresses, telephone numbers, and e-mail addresses. Addresses, phone numbers, and e-mail addresses are given out upon request unless a student has indicated in writing that s/he does not wish all or any to be made known.

DEPARTMENT OF ARCHITECTURE STATEMENT ON CREDIT FOR COLLABORATIVE FACULTY–STUDENT RESEARCH PUBLICATIONS

Preamble

Research involving both students and faculty is a central part of university life and, at its best, is a process in which ideas are developed collaboratively. Ideas are the currency in which we deal, and students and faculty deserve and need to be appropriately credited for the intellectual contributions they make. However, both research styles and norms concerning authorship vary among universities, departments, and disciplines. Recognizing this, the Berkeley campus does not have a uniform policy on credit for collaborative research and publications, but calls upon each department and research unit to develop its own policies and to discuss these policies among the faculty and graduate students.

This statement sets forth the Department of Architecture's policies and procedures on giving credit for collaborative faculty–student research publications (including traditional papers and research reports as well as design propositions and/or competition entries). Recognizing that questions about authorship of work produced through faculty–student associations of various kinds — thesis/dissertation advisor and student, research supervisor and student, course instructor and student — often turn on the specifics of the interactions, our policies and procedures rest on the proposition that the kind of credit that is appropriate in a given circumstance is best determined by the involved parties. Here we offer guidance through a series of policy statements and set forth a procedure for handling disputes that cannot be satisfactorily settled by the individuals.

Policies

Faculty members have a special responsibility to acknowledge student contributions, recognizing that we are training students to be the next generation of faculty members and leading practitioners.
Faculty members routinely suggest research topics, recommend cases to examine, and advise on methodologies and data that could be used in student research. Faculty members also routinely assist students and colleagues in their research and writing by providing detailed comments and critiques, by proposing alternative ways of communicating an idea, and by editing drafts. This is part of the normal role of an educator and, by itself, does not confer on the faculty member a right to co-authorship. By the same token, faculty members have a right to expect to be cited for their ideas and assistance, and students should be aware that giving appropriate credit for such faculty contributions and assistance is important, both as a matter of fairness and because such contributions are a consideration in faculty promotions. If an associate has suggested a research topic, identified a theoretical framework for the research, recommended research methods or data, or suggested conclusions that might be drawn from the research, these contributions should be specifically acknowledged.

Students and faculty members have an obligation to properly cite works used and to credit ideas suggested to them by others — whether from publications or from oral communications. Faculty advisors have an obligation to insist that student work give proper credit to both published and unpublished sources. Authorship credit should be based on intellectual contribution. Authorship attributions for research carried out jointly by faculty and students should list the names of the authors in the order of their relative contributions to the publication (including research design, research performance, and writing.)

In many research projects the ideas, findings, and interpretations are a joint product of faculty and students. In these cases, co-authorship of papers is appropriate. However, a variety of agreements might be reached. For example, in collaborative efforts where the team members each take the lead on specific aspects of the work, team members may agree to publish as sole-authored the pieces they led, crediting the others' contributions through acknowledgments and citations to other publications. Or they may agree to publish all items as co-authored with the lead author changing with the topic.

The fact that one person from the research team actually writes the paper which presents the joint work does not confer on the writer sole ownership of the ideas in the work.

Editing — even extensive editing — of a paper does not confer co-authorship on the editor/reviewer; acknowledgment of the editor's/reviewer's assistance is the appropriate action. However, editing that goes beyond simple correction of grammar, spelling, and punctuation to clarify meaning and structure does make an intellectual contribution and requires more specific acknowledgment. Extensive rewriting of a draft which not only clarifies meaning and shapes structure, but also introduces new ideas and interpretations constitutes a significant intellectual contribution for which co-authorship may be appropriate. Hence, such extensive editing ordinarily would not be done on a manuscript which is to be single-authored, as for example a dissertation or thesis.

Research assistance — even extensive research assistance — does not confer co-authorship on a student if the assistant simply carries out the instructions of the faculty member. Examples of work that typically would fall into this category would include: creating a bibliography,
administering a survey designed by others, entering data into a database, running statistical analyses designed by others, preparing tables and charts from data sets and analyses, creating original drawings requested by others. In each case, acknowledgment of the assistance provided is an appropriate action. Paying a student for work on a project does not transfer ownership of the ideas generated by the student to the faculty member; the faculty member should provide credit for student work according to the intellectual contribution made.

Procedures

Discussion over the amount and kind of credit to be given should occur at the start of an association so that expectations are clear and the parties can develop a shared understanding of what the obligations and rewards will be. The scope and nature of research arrangements may change over time, and when this happens, the parties should re-open discussions.

Should a question arise over credit or attribution, the parties should first attempt to resolve the question among themselves. Any dispute over issues of credit or attribution which cannot be settled satisfactorily by the individuals involved should be brought to the attention of:

- the Chair of the disputing members' academic department, when all parties are from that department; or
- the Director of the Organized Research Unit (ORU) under whose auspices the work is conducted, when the dispute is between members of different academic departments.

When disputes are brought before the Chair or ORU Director, the Chair may attempt an informal resolution of the dispute. If a resolution acceptable to all parties to the dispute cannot be reached, the Chair will appoint an ad hoc committee of three members, including at least one student in cases where the dispute is between a student and a faculty member. The ad hoc committee will hear the complaint and will propose a solution to the dispute.

Attempts at informal resolution among the parties are to be initiated within 30 days of the time in which the dispute first arises or is discovered. If the dispute has not been settled within 15 days, it should be referred to the Chair for assistance with resolution or appointment of an ad hoc committee. The ad hoc committee normally will be established within 15 days of referral and will complete its deliberations within 30 days of its establishment. The ad hoc committee will prepare and submit to the Chair a brief written report summarizing the complaint and any counter-complaints and responses that may have been presented, and set forth its findings and recommendations for the resolution of the dispute. The Chair will then meet with the parties to the dispute to communicate the ad hoc committee's findings and recommendations. If the recommendations are acceptable to the parties, the Chair will record the parties' agreement. Otherwise, the Chair will record that a mutually satisfactory settlement was not reached.

If a mutually satisfactory settlement of the dispute cannot be reached through the Department's informal and formal procedures, the complaint can be brought to the Graduate Division, where both informal and formal procedures for dispute resolution have been established. A 15-day time limit applies from the time of the Department or ORU's's decision to
the filing of formal appeals to the Graduate Division. Students also may contact the Office of the Ombudsman for Students for informal assistance with complaint resolution.

Adopted May 1998 -- arch joint authorship policy/cm