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I. OVERVIEW AND DEFINITION

The degree “Doctor of Philosophy in Architecture” is conferred upon qualified candidates in recognition of the fulfillment of the program requirements, command of specific areas of specialization, and an original contribution in one of those areas. The dissertation, the culminating and most important requirement of the Ph.D. degree program, establishes the candidate’s mastery of the research methods of his/her specialized field and his/her ability to address a major intellectual problem and arrive at a successful conclusion. The Ph.D. degree in Architecture is appropriate for those seeking careers in research and teaching in architecture and its related areas, or in roles in government or professional consultation, all of which require depth in specialization and experience in research.

This Ph.D. Handbook is designed to introduce you to the terrain, the major players and the rules of the game. Most of the information involves how to survive the three major rounds: 1) fulfilling the preliminary requirements; 2) taking the qualifying exam; and 3) writing the dissertation. Information about such topics as building access, hours and functions of the various offices and labs in Wurster Hall, and a guide to the faculty, can be found in the department website at the College of Environmental Design. http://www.ced.berkeley.edu

II. THE COMMUNITY

A. YOU, THE STUDENT

First, you will carry out a program of advanced study of formal class work and individual investigation. You will specialize in two or three individually tailored areas of study: One major “inside” field and one or two “outside” fields, usually in other disciplines or departments. You will also be required to fulfill foreign language and research methodology requirements. (See “Round One: Fulfilling the Preliminary Requirements.”) After that, you will take a qualifying exam, and if you pass, you will become a “Ph.D. Candidate” (Round Two). Finally, “Round Three,” you will write your dissertation based on independent research and original investigation.

B. FACULTY ADVISOR

Upon entering the Ph.D. program you will be assigned one or two faculty advisors. Your faculty advisor(s) provides counsel on matters pertaining to course work and degree requirements. S/he also maintains a familiarity with your overall progress, and each year reports on your progress to the Ph.D. Committee. It is your responsibility to maintain regular communication with your advisor, even during periods when you or the faculty member is on leave from the University. A change of advisor requires the approval of the old and new advisors, and the Ph.D. Committee (“Petition for Change of Ph.D. Advisor” is available in the Grad Office).

Your faculty advisor need not necessarily serve as the director of your dissertation research.
C. THE PH.D. COMMITTEE

The Ph.D. Committee, composed of faculty representing each of the study areas of the program, plus a student member (elected by the Ph.D. students), directs the Architecture Ph.D. program. The Committee is responsible for the following:

- defining the scope of the Ph.D. program, and maintaining its overall standards, policies and procedures;
- reviewing proposals for Outside Fields;
- conducting annual year-end reviews of all Ph.D. students;
- examining petitions for withdrawal and readmission;
- reviewing applications for admission to the Ph.D. program.

Committee members for the 2012 Fall semester:

Nezar AlSayyad  Greig Crysler
Gail Brager    Andrew Shanken, Chair
Galen Cranz   Student Member
Margaret Crawford  Tom Buresh (ex officio)

D. THE HEAD GRADUATE ADVISOR

The Head Graduate Advisor (Professor Andrew Shanken) is the official deputy of the Dean of Graduate Division in matters affecting graduate students in the Architecture program. For instance, only the Head Graduate Advisor is authorized by the University Graduate Division to sign the various forms and petitions submitted by graduate students to the Graduate Division. The Head Graduate Advisor formally approves students’ programs of study and qualifying examination committees; recommends their advancement to candidacy for higher degrees; considers their petitions to add or change majors, to add or drop courses; signs petitions for withdrawal or readmission; and speaks for the department on matters concerning the progress and standing of individual graduate students with the University. In all these matters the Head 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 Head Graduate Advisor is nominated by the Chair of the Department and appointed by the Dean of the Graduate Division. Decisions on Ph.D. matters are made by the Ph.D. Committee, which then makes its recommendations to the Dean of the Graduate Division via the Head Graduate Advisor.

E. THE ARCHITECTURE GRADUATE OFFICE

The Graduate Office in 370 Wurster Hall 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, including year-end reports,
• copies of petitions submitted,
• summaries of interviews with the Chair of Graduate Advisors, and
• copies of fellowship and award notification.

You are entitled by law and University policy to examine your file materials, with the exception of letters of recommendation for which you may have submitted a waiver of access. Student records are confidential, and access is 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 your prior consent. University policies concerning these matters are detailed in the Berkeley Campus Policy Governing Disclosure of Information from Student Records, available in the Office of the Graduate Division in 318 Sproul Hall.

If you wish to review your file you may do so; copies of any documents may be made at your expense.

The Graduate Office uses the Bear Facts database which contains students’ e-mail and mailing addresses and telephone numbers. Please keep this information current so that we can contact you. E-mail, addresses, and phone numbers are given out upon request unless you indicate, by checking the box that you do not wish an item to be known. Students’ class schedules are routinely disclosed to third parties.

In short, the staff of the Architecture Graduate Office keeps abreast of the complex web of academic requirements. If you have questions, check here first.

F. GRADUATE DIVISION

The Graduate Division, located on the third floor of Sproul Hall, oversees the various graduate programs on campus. They maintain records of students’ admissions, fulfilled requirements, changes in study lists or degree goals, fellowships and scholarships, employment and petitions.

G. OTHER STUDENTS

Your fellow Ph.D. students will be one of your richest resources. You can compare notes, exchange reading lists, discuss required coursework and test-taking strategies, support each other and commiserate.

Ph.D. students share a common room/office space, 470 Wurster Hall. There are desks with access to locked storage, IBM clones, a laser printer, and a scanner. You may request a locker for storage use, instead of desk storage. The 470 door is card key accessible by using your Cal One card.
Some students will share offices with faculty members for whom they teach or do research. No matter where you are located, it is to your advantage to stay in contact with the other Ph.D. students. Your cohort will become your future colleagues.

Each year Ph.D. students elect a representative to the Ph.D. Committee. Watch your e-mails for information on elections and other student meetings. (In addition, there are many other departmental, college, and university committees that seek student participation.)

III. PHASE I: FULFILLING THE PRELIMINARY REQUIREMENTS

A. UNIT & COURSE REQUIREMENTS

A specific program of coursework will be developed on an individual basis through consultation with your advisor. The Ph.D. Committee evaluates each student’s program and progress annually during the year-end report. Each student is required to sign up for a minimum of 12 units each semester.

Depending on the student’s academic background, the normal course and unit requirements for the Ph.D. program are the following:

(1) For those without an academic architectural background, the normal program will consist of 48 units, including a minimum of 24 graduate units in the Department of Architecture. These students would be required to take a design course of at least 3 units proposed by the student from an approved list as early in their program as possible. In exceptional cases, an equivalent design studio taken elsewhere may be approved the committee as a substitute for this requirement.

(2) For those with a Master of Architecture or a Master of Science in Architecture degree (except those who are continuing from our M.S. to the Ph.D. program), the normal program will consist of 32 units, including a minimum of 16 graduate units in the Department of Architecture.

For all students, lower division courses in the Department of Architecture (courses numbered 1-99) will not count towards degree requirements but may be taken for your own interest like a beginning foreign language. Also, any 300-level teaching course, though obligatory for being a GSI, will not count towards your degree. All students are required to complete, a general research methods course in their first semester in the program, followed possibly by one additional methods course, usually in their second semester (see “Methodology Course Requirement”).

B. PROGRAM OF STUDY

The program of study and research leading to the Ph.D. degree is to be carried out in two or three fields of specialization: one major (“inside”) field and one or two related supplementary areas called “outside” fields (if you choose to have two Outside Fields, one of them may be in the Department of Architecture).
1. INSIDE FIELD

The Inside Field is pursued within the intellectual context of one of the department’s areas of concentration. Ideally it helps to prepare you to write your dissertation. You must complete a minimum of 9 units of graduate course work in your Inside Field of study in the department. For specialty areas that require a combination of courses in different areas inside the department (Theory, Social Process, and EDUDC for example), students must confer with their individual advisor to determine which courses meet the specialty area requirements.

Within the Department of Architecture courses of instruction are offered in the following areas of concentration:

a. Building Science and Technology
b. Design Methods and Theories of Design Practice
c. Environmental Design and Urbanism in Developing Countries
d. History of Architecture and Urbanism
e. Social Processes in Architecture and Urbanism

Inside fields outside of these areas or combinations there of (for example, EDUDC and History of Architecture) 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 concentration, 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, acoustical) 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 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 engineer. 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. Dissertation 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. DESIGN METHODS AND THEORIES OF DESIGN PRACTICE**

Design Methods and Theories (DM&T) is an interdisciplinary area of study of the theoretical foundations of designing objects, buildings and environments. It also investigates the cognitive processes designers use when they explore, generate and evaluate possible ways to meet the goals these objects and environments ought to accomplish, and the methods they use to explore, develop, and communicate their solutions. DM&T is concerned with questions such as: What is Design? How is it done? What mental and cognitive processes guide it? What knowledge do designers rely upon? What methods can they use to obtain reasonable solutions to design problems within a given resource framework (time, money, etc.)? What methods and theories that were developed in other disciplines are relevant to design (e.g., computer science, cognitive science, engineering, social sciences, etc.)? How can they be adapted to design problems? Common to all these inquiries is architectural design, which is unique in that it provides a very rich domain of investigation and poses problems whose solution relies upon judgment, creativity, and integration of a multitude of cognitive skills. The assumption underlying the research in this area is that ultimately the answers to all these questions will form a coherent theory of design, and the basis for tools and techniques applicable in the practice of design in many disciplines.

DM&T research uses a variety of modes of inquiry to explore the process of design ranging from theoretical and empirical research to prototypical applications in actual design projects. These modes of inquiry include observation of designers in action, studying the knowledge designers use and the means of acquiring and representing it, investigating the modes of reasoning designers use to infer
new facts from existing data, observing how they represent design goals and solutions and how they manipulate information in general.

One of the most important research tools used in DM&T is the computer, which is both a kind of cognitive laboratory and a practical design tool. As a laboratory, the computer offers researchers a means to experiment with new theories, methods and techniques in an objective, rational manner. As a tool, the computer facilitates the visual and analytical representation of data and knowledge, and acts as a generator, evaluator and repository of information. It helps to check the consistency of design solutions proposed by designers and their compliance with codes and specifications, and explicates the physical, social, economic, and other implications of their decisions.

Examples of other subjects of investigation within the area:

- development of techniques and procedures for structuring and programming planning and design projects;
- development of information systems for planning and designing;
- investigation into the reasoning and creative processes of the planner and designer and the structure of their knowledge;

**c. ENVIRONMENTAL DESIGN AND URBANISM IN DEVELOPING COUNTRIES (EDUDC)**

The Environmental Design in Developing Countries area emphasizes an understanding of how the physical environment, in the so called “third world” nations of the world, is shaped by larger global, cultural, historic, social, economic and environmental factors.

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 first world can learn from the experiences of the third world as much as it can contribute to it.

The area is conceived as a horizontal link between the existing curricular areas described above, with course offerings in architectural theory, history of architecture, social and cultural factors, and urban studies. Students are expected to take courses in the departments of geography, anthropology 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 Center for Environmental Design Research serves as the research arm of this area of emphasis.
d. **HISTORY OF ARCHITECTURE AND URBANISM**

The Ph.D. emphasis in the history of architecture is concerned with the evolution of the entire cultural and urban landscape, including the work of architects, landscape architects and planners, but also with builders, craftspeople, and the ordinary men and women who create the human environment. The study of architectural history continually incorporates new research and methods derived from its essential links to other humanistic, social scientific and technical disciplines. Consequently, our program values ties with other disciplines, including those that have remained, by and large, outside the purview of architectural history.

Programs of course work will be developed on an individual basis through consultation between the student and his or her advisor(s). In general, each student will be expected to demonstrate competence in a wide range of architectural history and cultural landscape, together with mastery of a field of specialization. The Outside Field is a key element of architectural history education at Berkeley. Typical Outside Fields include: Anthropology, Art History, City and Regional Planning, Geography, History, Political Science, Sociology, and the area studies programs.

e. **SOCIAL PROCESSES IN ARCHITECTURE AND URBANISM**

The specialization in the social basis of design has two components. It is an academic discipline devoted to the description and analysis of the relation between social organization and built form, and a professional practice founded on aiding designers in the building process, emphasizing on programming and evaluation research. In both its theoretical and applied aspects this specialization includes all scales (object, room, building, outdoor spaces) and employs theories and techniques from a wide range of disciplines.

The social research faculty in Berkeley’s Architecture Department emphasizes the processes by which the meaning of the environment is constructed. Thus our methodological strength is participant-observation, content analysis, and semantic ethnography with survey research and historical methods are included.

Examples of present work include studies of vulnerable population (such as the elderly, children, the urban poor, and disabled) and the analysis of institutions such as health care delivery, schools, housing and urban parks. The study area is affiliated with the Berkeley Institute of Design an engineering group working on computer design architectural design and product design.

4. **THE OUTSIDE FIELD(S)**

The purpose of the Outside Field is to develop adequate knowledge in well established, well defined field(s) that are relevant to the dissertation but independent of it. The Outside Field is supposed to complement the major inside field without duplicating any part of it. Outside fields should be selected that will broaden your knowledge, expand your methodological skills, and provide new insights for your major field of study. **YOU MAY NOT USE YOUR DEGREE IN ANOTHER DISCIPLINE THAT WAS PART**
OF YOUR ADMISSION APPLICATION TO THE PROGRAM TO SATISFY THIS REQUIREMENT AS A SINGLE FIELD.

Completion of your Outside Field(s) implies the development of a near master’s-level competence in the field(s), particularly in terms of knowledge of theory, methods, literature and current issues.

\textbf{a. DEFINITION OF THE OUTSIDE FIELD}

An Outside Field may be a "general field," a "subfield," a "Designated Emphasis" or an "interdisciplinary area/regional studies" as described below:

- A general “Outside Field” is one carried out in an established doctoral-level program within the University of California. Examples of general fields selected by Ph.D. students in architecture include:
  - Anthropology
  - Business Administration
  - City and Regional Planning
  - History of Art

- A “subfield” may be an established study-area within the doctoral program in another department. Examples of sub-fields selected by Ph.D. students in architecture include:
  - American History (sub-field in History)
  - Control Dynamics (sub-field in Mechanical Engineering)
  - Perception and Cognition (sub-field in Department of Psychology)
  - Planning Theory (sub-field in City and Regional Planning)

- A “Designated Emphasis” is an established Outside Field offered at the University level in an area already approved by the Academic Senate. Unlike other Outside Fields, the “Designated Emphasis” requires more courses and must be approved by the Designated Emphasis Advisor. Examples of Designated Emphases selected by Ph.D. students in architecture include:
  - New Media Studies (Administered by the Center for New Media) and
  - Global Metropolitan Studies (Administered by the GMS Committee)

- Recognized “interdisciplinary area studies” of a particular geographic region that is well represented by faculty on the campus and affiliated with an organized research unit (ORU). Examples of such area sites selected by Ph.D. students in architecture include: Latin American Studies (CLAS), Middle Eastern Studies (CMES), and South Asia Studies (CSAS)
b. THE REQUIREMENT

Unless you are pursuing a University wide “Designated Emphasis” with all its requirements, an Outside Field requires the completion of a minimum of 4 regular graduate courses for a letter grade with a minimum of 12 units. Since most graduate courses are 4 units, most Outside Fields will exceed 12 units. Under special circumstances, the committee may grant an exception for the inclusion of one undergraduate upper division course (courses numbered 100+) provided that a case is made to justify it and the Outside Field application is submitted prior to enrolling in that course. Independent group study courses, or individual independent study courses (298s and 299s) will not count towards the Outside Field completion.

- FOR STUDENTS WITH A DEGREE IN ARCHITECTURE

If you have a degree in Architecture you may pursue one Outside Field, but you are allowed to pursue two related Outside Fields with a minimum of 6 units and two courses in each outside field taken for a letter grade. These two chosen fields must not duplicate or overlap with each other or with the major field and should be selected to provide supporting knowledge.

The Outside Field may be fulfilled by completion of a Master’s Degree program in a field outside of architecture provided that it meets the requirement for relevance to the major and other conditions described above. This approval is granted by the Ph.D. Committee and is not automatic. This option is not encouraged for students without an architecture degree as it will not reduce the units required for the program.

- FOR STUDENTS WITHOUT A DEGREE IN ARCHITECTURE

If you do not have a degree in Architecture, you are also allowed to pursue two Outside Fields with the expectation that one of the outside fields will be another specialty field within the department, other than your own (For example Social Processes, Design Theories, EDUDC), etc. Again the chosen fields cannot duplicate or overlap with the Inside Field and each field requires a minimum of 6 units and two graduate courses to be taken for a letter grade.

c. PROCESS OF APPROVAL OF INSIDE FIELD OR DISSERTATION TOPICS & OUTSIDE FIELD/S

With your initial application to the Ph.D. program you tentatively described areas that you anticipated might become your Outside Field(s). As you begin your program, discuss your potential Outside Fields with your faculty advisor and define those subjects most appropriate to your Inside Field of research. It is a good idea to identify the faculty best qualified to supervise it/them. They are often the faculty who will sit on your Qualifying Exam Committee and serve as outside readers for your dissertation. You may begin basic coursework in your intended Outside Fields before approval. For each field, select a regular faculty member in the appropriate department who is expert in the Outside Field to act as your supervisor.
Consistent with the requirements described above, you and your Outside Field advisor will develop the objectives, content, means for fulfilling, and demonstrating competence in the field. You and your Outside Field advisor should agree upon the most relevant courses to support your study. Ideally, your course work will consist primarily of established courses.

The proposed Outside Field--and a one-page description of your Inside Field or tentative dissertation topic must be approved by your Outside Field advisor, your faculty advisor and the Ph.D. Committee using the form Outside Field Proposal (available on the Dept website under Resources, then Forms). The Committee’s chief criterion for approval is the appropriateness and compatibility of the proposed Outside Field to the Inside Field. Although you may start your courses in the Outside Field early, the proposal must be approved by the committee before the proposed work is completed! Submission of already completed courses risk not being approved by the Committee. If at some point a change in your outside field becomes necessary, you may request changes in the same manner as for the original approval.

Note that fulfillment of course work alone is not considered sufficient demonstration of competence unless it includes a major research paper. Note also that some departments, such as Economics, have prescribed programs and procedures for frequently selected subjects, in which case those procedures must normally be followed.

You need to submit the Outside Field(s) Proposal forms along with a description of your Inside Field or tentative dissertation topic for approval by the committee. This should be part of your first year-end review, or, in any event, no later than the end of your second year and at least one semester before the qualifying examination. The committee does not approve outside fields that have already been completed without its prior approval.

Useful Tip: Your Outside Field will be discussed and analyzed by the Ph.D. Committee before approval. The best way to assure its easy passage through this process is to discuss it with committee members and your faculty advisor before it appears on the meeting agenda. This will be alert you to any potential problems ahead of time. It is appropriate to familiarize the committee’s student representative and the committee member representing your major area with your proposal. This will insure that they will be able to answer any questions that may arise during discussion.

**d. CERTIFICATION OF COMPLETION: THE “OUTSIDE FIELD COMPLETION” FORM**

When you have completed your Outside Field(s), submit a copy of the Outside Field Completion form to the Architecture Graduate Office. You can download this from the Dept website (available under Resources, then Forms). Your Outside Field advisors will sign the forms indicating satisfactory completion of the work agreed upon in the proposal. Return the signed forms to the Graduate Office. The Ph.D. Committee must have received Outside Field Completion forms for the Outside Field/s before you will be approved to take your qualifying examinations.
C. FOREIGN LANGUAGE REQUIREMENT

The Graduate Division will accept any natural language with a system of writing with the exception of English and any pidgin or Creole of which English is the base, if the department certifies that 1) the language has scholarly value in the field; 2) the language is integral to the training of a particular student; and 3) a person qualified to administer the examination is available. Computer language is not acceptable for use in satisfying foreign language requirements.

The requirement may be fulfilled as follows:

1. One Language, High Proficiency
   a. Pass the examination for high proficiency (translation of a passage appropriate to the student’s major field of interest of about 1000 words in three hours without the aid of a dictionary);
   OR
   b. Possess native ability in a language other than English, in which primary research will be carried out. (Proof of schooling through the secondary level in the native language is required.)

If you wish to use your native language in satisfaction of the language requirement, write a note to the Architecture Student Affairs Officer making that request and state how it is relevant to your dissertation topic and your proposed research methods, i.e. reviewing primary written sources, interviewing relevant individuals, or other information gathering methods.

   OR

2. Two Languages, Low Proficiency

Pass examinations at low proficiency level for two languages. Low proficiency examinations consist of the translation of a 300-word passage in 90 minutes with or without the aid of a dictionary.

To take a language examination in either high or low proficiency, solicit the assistance of a faculty member either within or outside the department who is proficient in the language selected and is willing to give you the exam based on our department’s and the University’s guidelines. When the examination has been taken, it is graded by the examiner, who indicates whether or not the translation is of passing quality. The examiner gives both the translation, the passage translated, and his/her comments to the Architecture Student Affairs Officer. Your language examination(s)--both your translation, the passage translated, and a memo from the examiner informing the chairman of the Ph.D. Committee that you have successfully passed the examination--becomes part of your permanent record, and is sent to the Graduate Division to show that you have satisfied the requirement. Students are urged to complete this requirement at least partially prior to the year-end review of their first study year. It must be fully completed prior to applying for the qualifying examination. Please be advised that the Committee will not accept requests for waivers from the language requirement.
D. METHODS COURSE REQUIREMENT

Two research methods courses are required, a general course and a second course specific to your Inside Field. During your first semester of residence in the program you should take the general methods course, Arch 281, Methods of Inquiry in Architecture Research (4 units) or its equivalent and typically in the spring semester you will enroll in the methods course of your “specialty area” or in an equivalent course as approved by your advisor. These courses may include 241 for Building Science, 231 for Design Theories and Methods, 218 for EDUDC, 271 for History, and 211 for Social Processes.

E. YEAR-END REVIEW

At the end of each academic year you must submit a year-end review (a written summary of academic progress) to be evaluated by your advisor and the Ph.D. Committee. The summary should indicate, thoroughly and accurately, your progress and the direction of your activities. Your faculty advisor reviews your statement and prepares an independent evaluation of your progress. The Ph.D. Committee reviews both statements and your grades earned during that year; you will be notified if the committee judges that there are any difficulties. If you have been advanced to candidacy, the purpose of the year-end review is to obtain a progress report on your dissertation from you and from the chair of your committee. You will be notified early in spring semester of the schedule and deadlines for submission of the year-end report materials.

Failure to submit an end-of-year review may result in probation, suspension, or the Committee’s refusal to readmit you after an absence from the program.

IV. PHASE II: PRECANDIDACY & THE QUALIFYING EXAM

A. PURPOSE AND CONTENT OF THE QUALIFYING EXAM

The purpose of this examination is to appraise your mastery of facts, methods, techniques, and ideas as evidence of your ability to pursue independent investigation. The qualifying examination consists of a two-week written exam of 2-3 essays followed by a comprehensive oral examination before your qualifying examination committee. Copies of previous examination questions, as well as samples of students’ responses, are available in the Architecture Graduate Office.

The content of the written examination should be agreed upon by the inside members of the qualifying examination committee at the time of the application for the qualifying examination. The three subjects of the exam, which is required by the University, shall be agreed to by all five members of the committee and the agreement must be communicated in writing to the student. All parts of the qualifying examination should be completed in the same semester and within a maximum of a 6-week period. A detailed dissertation prospectus must also be submitted with your written exam.

The inside committee members assess the written exam within a timely fashion and notify the student in writing if he/she should be admitted to the oral exam before it takes place.
Once you have passed the qualifying exam, submit your application form for Candidacy. Once you are recognized by the Graduate Division as having done so, you will be known as a “Ph.D. Candidate.” If, however, the committee administering the qualifying examination finds your performance unsatisfactory, they may recommend that another opportunity be allowed or that you be dropped from the program. Ordinarily, three months must elapse before a second examination is given and the committee must be the same as the original examination. A third exam is not permitted.

B. SELECTING THE QUALIFYING EXAM COMMITTEE

The qualifying exam is administered by a committee of five faculty members appointed by the Dean of the Graduate Division on recommendation from the Chair of Graduate Advisors. (With the aid of your faculty advisor, you will assemble the committee and submit it to the Chair of Graduate Advisors for approval.)

REQUIREMENTS FOR QUALIFYING EXAMINATION COMMITTEES:

- The committee must have a minimum of five members, the chair and the majority of which must be from the Department of Architecture.

- The chairperson of the qualifying exam committee may NOT act as the chairperson of the dissertation committee.

- Committee members should be members of the Berkeley Academic Senate (that is, regular faculty with appointments as professor, associate professor, or assistant professor). It is expected that members of Ph.D. qualifying exam and dissertation committees will themselves hold the degree OR possess equivalent peer-reviewed research credentials (e.g., published academic books) in subjects appropriate to the exam and dissertation.

- Members of the professional community or outside research organizations may be included as an additional (sixth) member of the examination committee but may not substitute for any academic senate faculty.¹

- At least one member of the committee must be from outside of the Architecture Department. The “outside” member must always be a member of the Berkeley Academic Senate (If you have questions regarding the status of an outside member, please check with the Architecture Graduate Office.).

- Your Outside Field advisor(s) usually serve on your qualifying exam committee. If you only have one Outside Field, you will have to find a fifth faculty member to serve on the committee

¹ The appointment of this non-academic senate, extra committee member requires final approval from the Dean of the Graduate Division. To request the exception of a non-academic senate member, submit the Graduate Division form - Request for Exception Form which you can download from their website.
C. COURSEWORK WHILE PREPARING FOR--OR TAKING--THE EXAMS: ARCH 602

When you have completed your required coursework for the degree, you may enroll in a special individual study course for Ph.D. students preparing for their examination, Arch 602. Arch 602 may be taken for 1-8 units for a total of 16 units during your program. Registering for Arch 602 and Arch 299 for a total of 12 units allows you to be fully registered during the semester that you are preparing for your exams, and/or during the semester that you take the exams. The units from this course may not be used to satisfy the unit or departmental requirements for the doctoral degree. Arch 602 and Arch 299 must be taken on a satisfactory/unsatisfactory basis. Generally the sponsor of Arch 602 will be the proposed chair of your examination committee. You enroll in Arch 602 with the same form that is used for Arch 299 (independent study courses).

D. APPLICATION FOR THE QUALIFYING EXAM: GETTING DEPARTMENTAL AND GRADUATE DIVISION APPROVAL

To be eligible for examination, you must:

1) have completed at least one year in residence,

2) be registered during the semester in which the exam is taken,

3) have no less than a 3.0 GPA in all coursework undertaken in graduate standing,

4) have no more than two Incomplete grades outstanding on your record, and

5) have completed all the units for degree coursework, the methods courses, the Outside Field(s), and the foreign language requirement.

Application to take the qualifying exam must be made to the Graduate Division and the Department of Architecture. In consultation with your exam chair, you must submit the University “Application for the Qualifying Examination” (available at the Graduate Division Forms & Applications website) and the Departmental “Ph.D. Exam and Dissertation Proposal” (available on the Dept website under Resources, then Forms) to the Grad Office for approval by the Chair of Graduate Advisors, who will approve the “Application for Qualifying Examination” and forward it to the Graduate Division. This must be filed no earlier than three months nor less than three weeks before the oral examination date. You may not take the examination prior to the receipt of notice from Graduate Division that your admission to the examination has been approved. An examination taken without Graduate Division approval will be invalid.

The examination consists of at least three general areas which are required for the application. For example, a student in architectural history specializing in the development of the architectural and engineering professions in the United States was examined on the following subjects:

- History of American Architecture (1790-1914)
- American Economic History (1790-1929)
- History of American Engineering and Technology (19th Century)

E. SETTING THE EXAM DATE AND QUESTIONS

You and your examination chair will establish a time frame for the written and oral portions of your exams that will accommodate the schedules of all of the participants (no easy task!).

With the dates for the exam established, your chair, in consultation with your committee, will formulate your written examination questions, which you receive from the graduate office on the date that you have agreed upon. Two weeks later you will submit a PDF of your answers and six hardcopies of your response to the Graduate Office (one copy for each of your committee members and one for the office archives). You will also include a copy of your dissertation proposal for each member of your committee. At least two weeks, but preferably three, must elapse between the completion of the written portion and the date of the oral examination to give your inside committee members ample time to review your exam. The chair of your exam is required to inform you if you passed the written or not at least three days before your scheduled oral exam.

F. ADVANCING TO CANDIDACY

After you have successfully completed all parts of the qualifying exam, you will apply to be advanced to candidacy for the Ph.D. degree. The necessary form, “Application for Candidacy for the Degree Doctor of Philosophy” is available at the Graduate Division Forms & Applications website. With this application you will formally propose your dissertation committee as well as the topic of your dissertation. A fee of $90 must accompany your request for advancement to candidacy. If your research involves human subjects, you also need to submit the online Collaborative IRB Training Initiative (CITI) course certificate with your candidacy form. After this bit of paperwork has been accomplished, you will officially be known as a “Ph.D. Candidate.”

G. HUMAN SUBJECTS PROTOCOL

If your dissertation 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 go to http://cphs.berkeley.edu. The Committee staff will be glad to provide you with a copy of its Guidelines and advise you on writing a research protocol for the Committee’s review.

II. NORMATIVE TIME, NORMATIVE TIME FELLOWSHIP AND DOCTORAL COMPLETION FELLOWSHIP (For Students Entering from 2010)

Normative Time--defined as the elapsed time, calculated to the nearest semester, which under normal circumstances would be needed to complete all requirements for the doctoral degree, assuming full-time uninterrupted study—is a program that the University has devised to discourage students from tarrying too long in their Ph.D. programs. The Normative Time established for the Ph.D. in Architecture is 6 years (12 semesters with 3 years to advancement and 3 years in candidacy). There are slightly different normative times for students with different academic backgrounds. Students who received an M. Arch degree from Berkeley and continued to the Ph.D. are granted an extra year, a total of 8 semesters in coursework, because they were in a professional program. Students who begin with the M.S program are required to finish their exams at the end of their 3rd year or 6th semester (including the semesters they completed as a M.S student). During this period, you should be continuously registered and liable for payment of all applicable fees and tuition. Students are eligible for up to two semester of withdrawal for documented non-academic reasons such as health or parental leave, which will not count in calculating a student’s normative time, but withdrawal for research or other academic purposes will count.

Once you have been advanced to candidacy for the Ph.D. (which takes place shortly after you have passed your qualifying examination and submitted the candidacy form), you will become eligible for a fellowship from the Graduate Division depending on when you began the program. For those enrolled before 2010, you will be eligible for the Normative Time Fellowship. This award will pay your fees and provide you with approx. $8500 stipend each semester. For more information about this program go to: http://grad.berkeley.edu/policies/dntf.shtml. For those who began the program in 2010, you will be eligible for the Doctoral Completion Fellowship. For more information please go to the DCF website: http://grad.berkeley.edu/policies/dcf.shtml

I. REMOVAL OF NON-RESIDENT TUITION FOR STUDENTS ADVANCED TO CANDIDACY

If you are an international student, the non-resident portion of your fees will be eliminated for a period of three years following your advancement to candidacy. To remove your non-resident tuition for the semester following your qualifying exams, your advancement to candidacy form must be received in the Graduate Degrees office of the Graduate Division by the first day of instruction of the semester following your successful completion of your exam unless you are applying for the Normative time fellowship which is the overriding schedule.
J. LAPING AND TERMINATION OF CANDIDACY

Candidacy for the Doctorate is not a status of indefinite duration. When you have been advanced to candidacy for a higher degree, it is expected that you will complete the requirements for that degree in a reasonably timely fashion. Failure to do so will result in your candidacy being lapsed or terminated.

Lapsing is a form of probationary status used in the case of students whose rate of progress toward the completion of final requirements for the degree fails to meet minimal standards for his or her program of study. At the time of advancement, students are informed in writing of the amount of time allotted for completion of remaining degree requirements. If requirements are not completed within this period of time, candidacy may be lapsed by the Dean of the Graduate Division. For Ph.D. students, the limit on time in candidacy is two years beyond normative time for a total of 5 years after attaining candidacy.

Under certain conditions, a student’s time in candidacy may be extended for a brief period if the student is otherwise making adequate progress and if the delay in completion of requirements is attributable to factors largely beyond the student’s control (e.g. unavoidable problems with the scheduling of experimental facilities, disruption of data collection activities, and so forth). Except under the most unusual circumstances, which must be fully documented, extensions are normally granted only once, and for a period of no more than one year beyond the date at which lapsing would otherwise occur. The request for an extension must be approved by the dissertation chair, the Ph.D. committee and endorsed by the Chair of Graduate Advisors.

A year before your time in candidacy is due to lapse, you will receive a letter from the Chair of the Ph.D. Committee reminding you of the eminent deadline.

Once lapsed, candidacy may be reinstated once the dissertation is virtually completed, and if, in the opinion of the Ph.D. Committee, the requirements previously completed are judged currently valid. Thus, reinstatement will require submission of a complete draft of the dissertation to the committee, certification by the Department that the results of the Qualifying Examination are still valid as an indication of current command over the fields to which the student was originally held, certification of continued competence in any required foreign languages, and approval by the Dean of the Graduate Division. The dissertation must be textually complete and sufficiently close to its final form to permit the committee in charge to certify the likelihood of its acceptance and formal submission to the Graduate Division by the next filing deadline.

Termination of candidacy may occur when there is reason to believe that the student no longer holds the qualifications deemed appropriate for award of the degree, or when continued lack of progress indicates that the student will be unable to complete remaining degree requirements within a reasonable period of time. Once terminated, candidacy for a higher degree may be reinstated only through a process of requalification and subsequent advancement (readvancement). Ph.D. students will be required to take a new Qualifying exam, be reexamined in required languages, and submit a new application for candidacy for approval by the Dean of Graduate Division.
Termination of candidacy will normally occur two calendar years after the date on which candidacy is formally lapsed by the Graduate Division. Termination may also occur when a student fails to correct major deficiencies in a dissertation previously submitted for committee review within a reasonable period of time, or when coursework for a degree was taken so long ago as to lose its validity as an indication of current knowledge in the field of study.

V. PHASE III: THE DISSERTATION & CANDIDACY

The Doctor of Philosophy degree is the highest academic degree granted by American universities. It is awarded to those who have demonstrated mastery of the field and successfully completed and defended a dissertation. The degree is a clear recognition that you have the ability to complete a substantial piece of research work, to formally present the results of this work, and to appreciate its significance in the general field.

The dissertation is the most important requirement of your Ph.D. Program. The dissertation embodies the results of original and independent research, and should represent a meaningful contribution to your field.

A minimum period of one academic year is required for the preparation of the dissertation, normally spent in residence. You are encouraged to select a topic that can be carried out in one or two years and to observe the limitation on normative time set by the Graduate Division.

A. DEFINITION: THE NATURE OF A DISSERTATION

The dissertation research is the culmination of a period of intellectual growth and directed training; the dissertation is the manifestation of the knowledge garnered and the skills and techniques acquired.

There is a consensus across disciplines that a doctoral dissertation must fulfill the following general requirements:

- A dissertation is a work of original research making a significant contribution to existing knowledge in the field;
- A dissertation demonstrates the ability to address a major intellectual problem and arrive at a successful conclusion;
- A dissertation demonstrates competence in research methods and tools of the chosen field of specialization;
- A dissertation is based on a suitable topic that embraces some significant problem or body of material that will sustain a study of the scope of a book;
- A dissertation should be publishable or potentially publishable writing accepted through a process of peer review in the academic world.
The dissertation topic need not necessarily originate with the student\(^2\), but the approach must be
developed by him/her. It is generally agreed that the choice of approach, the adaptation of it to the
project, and the application of it, are the student’s responsibility.

Under some circumstances, students are allowed to use work done in collaboration with others as part
of the dissertation. While in the humanities and social sciences this is uncommon, or not permitted at
all, some disciplines (often in the sciences) allow collaborative research, but only for a portion of the
dissertation. If some collaboratively developed material is used, the part that is the student’s work
must be clearly defined. Permission for the inclusion of the work must be sought beforehand from the
other collaborators and from the Dean of the Graduate Division. A dissertation may not have joint
authorship, that is, several students may not collaboratively produce a dissertation.

Students sometimes ask if previously published work may be included in the dissertation. Generally,
this is allowed, but the previously published material must be integrated into the coherent argument
that runs throughout the whole. It must not be inserted as an “undigested lump.”

**B. DISSERTATION COMMITTEE**

The preparation of your dissertation is supervised by a committee of three faculty members, one of
whom must be from a department outside Architecture. It is possible to have more members as long
as you receive permission from the Ph.D. committee and the Dean of Graduate Division. Your
committee will guide your research and pass judgment on the merits of the dissertation.

Your dissertation chair and outside member must be a member of the Berkeley Academic Senate.
Normally the chair and the majority of the committee members will be Architecture Department
faculty. In addition, the Chair shall not act as the chairperson of the qualifying examination committee
for the same candidate. It is expected that members of your Qualifying Exam would become part of
your Dissertation Committee however it is not required.

Not all dissertation committees are easy to work with. Therefore, to minimize inter-member friction,
try to arrange a compatible and congenial combination. Granted, most committee members convene
only for the qualifying exams, but you should, however, be aware of conflicting expectations. In other
words, know your professors well enough to be able to anticipate conflicting expectations and
contradictory advice.

**C. PRESENTATION OF RESEARCH**

All Students in the Ph.D. program are expected to make at least one public presentation of their
dissertation work (often including final findings) to faculty and students in their area or to the
organized annual Architecture Research Colloquium. While public defense of a dissertation is not a

\(^2\) Occasionally a student’s faculty advisor will suggest a topic or project, which may be an offshoot of a larger collaborative
project which the faculty advisor has originated, and for which he or she has obtained funding (this is commonly the case in
the sciences).
requirement in the department, a presentation or a defense of the dissertation proposal following the exam is highly encouraged.

D. FILING FEE

Under certain circumstances, you need not be registered the semester you file your dissertation. Instead, you may—if you meet the eligibility requirements stated below—apply for the Filing Fee. “Filing Fee” is a reduced fee for graduate students who have completed all requirements for the degree except for filing the dissertation. For a small portion of the registration fees, you are allowed to submit your dissertation however, it may only be used once, following a semester you are registered and you cannot hold a student instructor or student research position nor receive any financial/departmental aid while on Filing Fee. The duration of this status is one semester and your degree will state the end of the semester you submit your dissertation. The application for Filing Fee is available at the Graduate Division Forms & Applications website: http://www.grad.berkeley.edu/policies/forms.shtml

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 dissertation and believe that any edits or changes will be completed in the time provided.

ELIGIBILITY FOR THE FILING FEE:

Students must be fully registered in the semester, or for 3 units of Summer Session, immediately preceding the one in which Filing Fee status is requested.

WARNING: Filing Fee status is not equivalent to registration! You will have to pay for health insurance, library use and gym privileges by providing a memo from the Arch Grad Office stating you are in good academic standing. If you have student loans, you should find out what the implications of your status will be on your loan repayment schedule.

Application for Filing Fee must be submitted by the Friday after the first day of class. All outstanding questions of eligibility, i.e. incomplete grades, missing requirements, advancement to candidacy, must be resolved before applying for Filing Fee. If your application is approved, the dissertation may be submitted at any time on or before the end of the semester. If your application is denied, you must register for the term in which you will submit your dissertation.

E. RESIDENCE REQUIREMENT & WITHDRAWALS

One final detail: the University requires a minimum of four semesters (two years) in residence before you can be granted the Ph.D. degree. As you might imagine, you will likely be around longer than that! Furthermore, University regulations generally require that a student be registered for 12 units each semester until all requirements for the degree, including the dissertation, have been completed. Should you find it necessary to interrupt your residence, due to fieldwork or research, a release from the Department and the Graduate Division in the form of an honorable withdrawal (“Notice of Withdrawal”, available in 370 Wurster) is required. During your withdrawal period, it is possible to pay
for use of the library, health insurance, or gym privileges. You will need a memo from the Arch Grad Office to confirm your good standing and official withdrawal status which you submit to the various offices.

F. TURNING IT IN

You must submit a complete dissertation draft to your entire committee three months, preferably four, before the submission deadline. Submission during the Summer Session is exceptional and requires prior approval of committee members regarding their availability to review and sign the final dissertation. When your committee has approved the final draft of your dissertation, they will sign off on an approval page, the format of which you will find in the “Guidelines.” The Graduate Division establishes dissertation format guidelines. You may download a copy of the “Dissertation Filing Guide” at the website http://grad.berkeley.edu/policies/guides/dissertation-filing/. The deadline to submit your dissertation is available on the Student Calendar at: http://registrar.berkeley.edu/GeneralInfo/stucal.html. Congratulations, you have completed your Ph.D!

VI. GENERAL RULES

A. DURING THE SEMESTER

1. Grading

As a graduate student, you are required to maintain an overall grade-point average of at least 3.0 in all upper division and graduate level coursework taken (Courses numbered 100 and 200).

Only courses graded A, B, C (with or without plus or minus signs), or Satisfactory (S) satisfy graduate degree requirements.

2. The S/U Grading Option

It is expected and preferred that graduate students be evaluated on a letter grade basis in their course work. However, with the approval of the department, you may take some of your course work on an S/U basis.

No more than one-third of your total course work for the Ph.D. degree may be fulfilled by courses graded Satisfactory. (Arch 602, “Individual Study for Doctoral Students” which must be taken on an S/U basis is not included in this percentage.)

Courses in the 100 and 200 series graded Satisfactory may be accepted for academic residence and to fulfill the unit requirements for University fellowships, teaching assistantships, etc.

A Satisfactory grade implies work of B- quality or better. No credit is allowed for work graded Unsatisfactory.
Changes of grading option are rarely approved after the stated semester deadlines. Such late requests must be submitted to the Dean of the University Graduate Division and supported by a note from you stating the truly compelling reason for the request. Under no circumstances will a late petition to change the grading option be approved because you find an anticipated grade inconvenient.

3. **Incomplete Grades**

The grade “I” may be assigned if your work is of passing quality, but is incomplete because of valid circumstances beyond your control (e.g. sudden illness the day of the examination, family problems, or unanticipated research problems). If your 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.

An “I” grade remains on your record until you have completed the work and petitioned for the grade. It does not change to an “F”, as is the case with undergraduates. In fact, you may leave an Incomplete on your record as long as you do not need the course for the degree and the work necessary to complete the “I” would only impede your progress toward the degree.

When you have completed the work required for the course, to have the grade posted to your record you must pay a $5 fee (payable at the cashier’s office in Sproul Hall) and submit the form, Petition to Remove an Incomplete Grade available at: [http://registrar.berkeley.edu/GeneralInfo/elecforms.html](http://registrar.berkeley.edu/GeneralInfo/elecforms.html). Normally any “I” grades on your record should be completed before your qualifying exams are scheduled.

**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 a graduate student researcher (GSI or GSR) nor approved for the qualifying exam.*

4. **Class Enrollment**

Registration is done using the enrollment system, TeleBEARS, which allows you to select classes via the website: [https://telebears.berkeley.edu/telebears/home](https://telebears.berkeley.edu/telebears/home). 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 schedule of classes ([http://arch.ced.berkeley.edu/courses/offered](http://arch.ced.berkeley.edu/courses/offered)), the University Schedule of Classes ([http://schedule.berkeley.edu/](http://schedule.berkeley.edu/)) and in consultation with your advisor, choose the courses you want for the next term and enroll in them over the web. When you complete your TeleBEARS transaction, you will know exactly which classes you have enrolled in for the next semester.

√ **HINT:** Memorize your “Personal Identification Number” (PIN)—you’ll have the same number every semester, and you’ll need it to add and drop classes later on, and to select 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.

√ HINT: Graduate seminars are often listed generically. Ask the faculty what they intend to offer so that you can sign up for their courses.

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 CHANGE OF STUDY LIST, below.)

If you are a new student, you should be able to sign up for classes within the first two weeks of August. To begin your registration process, you must enroll in at least one course before classes begin—you should receive a notification from the University about registration times. (Don’t worry if you haven’t been able to meet with your faculty advisor before you “TeleBEAR.” You will have ample opportunity to add classes after your advising session. Check with the graduate office staff for further information.)

To complete the registration process, you must pay at least the first installment of your fees by the day before classes begin.

You may check your class schedule by checking BearFacts, or by requesting a printout of your schedule from the Architecture Grad Office.

5. 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.

6. 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. Note that only 25% of the total units towards your graduation credit can come from Arch 299.
Paperwork for Special Studies Courses: Ideally, you should plan special studies course work before the end of the preceding semester, but you may also add a special studies course to your study-list during the add/drop period. Find a faculty member willing to sponsor your study, and then pick up the form, Petition for Special Studies Courses from the grad office. 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)
- what resource materials will be utilized
- 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 370 Wurster for review by the Chair of Graduate Advisors. 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.

7. Change of study list: Adding and Dropping Classes

The courses shown on your Confirmed Class Schedule are set in concrete. If you wish to either add courses or drop them, you may do so during the first three weeks of each semester by accessing TeleBEARS on the web as you did when selecting your original courses.

This process is, by University standards, a fairly simple one AS LONG AS YOU ADD/DROP BEFORE THE DEADLINES:

√ Save yourself $$: Add/drop before the end of the third week.

- 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 or UNIT CHANGES may be changed until the last day of formal classes (no fee).
- PETITION TO CHANGE CLASS SCHEDULE may be picked up at 370 Wurster or downloaded at http://registrar.berkeley.edu/GenerallInfo/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 or grading options. 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.

If you are a Graduate Student Instructor (GSI), Graduate Student Researcher (GSR), or fellowship holder, you may not fall below the minimum number of units necessary to hold such a position or fellowship, which is 12 units. International students may not drop below a full program of study.

8. Adding and Dropping Courses After the Deadlines

After the deadlines, adding or dropping courses becomes more difficult. In addition to paying the fees noted above, 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.

Under no circumstances will a petition to drop a course be approved because the student finds an anticipated grade inconvenient.

If you cease to attend a course and fail to drop it, an “F” grade will be assigned at the end of the semester.

B. COMING AND GOING

1. Leaves of absence

Leaves of absence and withdrawal should be very carefully considered and discussed with your faculty advisor, and must be approved by the Graduate Advisor. Two critical points should be noted:

- Withdrawal is considered a privilege and requires the approval of the Ph.D. Committee and the Graduate Advisor. The Normative Time Program allows a maximum of two semesters of approved withdrawal for non-academic reasons like health or parental leave.

- Even though you are on approved withdrawal status you are still required to submit a year-end review.
2. Cancellation/Withdrawal and Readmission: The process

If you plan to not register for a given period, you may cancel your registration before the first day of class by going to TeleBEARS and canceling your registration. You will not be charged any part of the semester fees. If you want until after the first day of class to leave, you withdraw from the program and must go to the Graduate Office to have it processed. It will take 10 days for it to appear on the registrar’s list (unless asked for a rush process) and there will be a fee adjustment which is reflected in how many weeks into the semester you attend before you withdraw.

During your absence, you are exempt from all fees, and are expected in turn to make no use of the university’s facilities and resources (except those uses accorded the general public).

If you leave during the semester without taking formal withdrawal you will be assigned failing grades for courses in which you were enrolled.

In order to be considered for readmission to the program you must submit an Application for Readmission Form available at: http://registrar.berkeley.edu/GeneralInfo/elecforms.html along with a $70 fee. If you are gone for more that 1 year, you must submit both a University and a Departmental reapplicant form available at the Dept website. If there has been an absence of more than five years, the application should be accompanied by an official U.C. transcript covering all previous graduate work at Berkeley. If you have been in attendance elsewhere, an official transcript of that work must also be presented.

The Ph.D. Committee will consider your request for readmission, and after its review and approval, the committee will send your case along to the Graduate Division for action. When the Graduate Division has added its approval, you will receive notification of your readmission in the mail.

3. In Absentia

_In Absentia_ is a form of registration for graduate students doing fieldwork/research related to their degree who are physically outside the state of California for an entire term. Students registered _in absentia_ are only assessed health insurance fees and 15 percent of the combined University Education and Registration Fees. Non-Resident tuition will also have to be paid if applicable.

The student must be enrolled full-time (12 units) in regular U.C. units. You must be advance to candidacy by the time _in absentia_ begins. You can only use _in absentia_ for a maximum of 4 semesters. Students may receive University fellowships and GSR appointments, but not GSI, Reader or Tutor jobs while on _in absentia_.

Deadlines are July 15 for Fall semester, and December 9 for the Spring. You can download the form at: [http://grad.berkeley.edu/policies/pdf/absentia.pdf](http://grad.berkeley.edu/policies/pdf/absentia.pdf)
VII. MANAGING

A. TEACHING

1. 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. Most funding packages require students to GSI: it is your responsibility to apply for positions in those semesters that you will be funded through such appointments. The Payroll & Accounting Office (located in 235 Wurster) posts 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://arch.ced.berkeley.edu/employment.

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. For GSR salary rates please refer the UC Office of the President’s website at: http://www.ucop.edu/acadadv/acadpers/tab0708/table23.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 What You Need to Know About Being a GSI, GSR, Reader, or Tutor: http://grad.berkeley.edu/policies/pdf/apptknow.pdf

In addition to the above-mentioned compensation, GSI’s (and also Graduate Student Researchers employed at 25-44%) receive a partial fee remission. Full fee remission is available for GSRs working at least 45% time. The prescribed hours of work per week include all class contact hours, class preparation, grading, etc. http://grad.berkeley.edu/policies/pdf/fee_remission_bulletin.pdf
In addition to the mentioned compensation, GSI’s and Graduate Student Researchers (research assistants) employed at 25% or more, receive a partial fee remission of their health insurance and their University and Educational fees.

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 300-level semester-long pedagogy seminar on teaching in the discipline offered by the department. In Architecture, this course Arch 300. If you cannot take Arch 300 due to schedule conflicts, the pedagogy seminar should be taken in another department preferably within the College of Environmental Design, 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 campus-wide 300-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 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.

B. RESEARCH ASSISTANTSHIPS

Professors in the Department have their own research projects for which they may get funding to hire a Graduate Research Assistant. There is no central listing of which professors are recruiting students, so it is best to look up professors who’s area interests you, and contact them to see if a position is available. You fellow students are also a good source of information for possible positions.

C. NEED-BASED FINANCIAL AID

U.C. 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://www.grad.berkeley.edu/financial/deadlines.shtml#graddiv. Financial aid is awarded on the basis
of demonstrated financial need and is available to all citizens of the U.S. and foreign students holding either an immigrant or refugee visa. Among the types of aid offered are grants, loans, work-study and fellowships.

Generally, you must apply for financial aid/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). How to apply: Students applying for need-based financial aid must submit the “Free Application for Federal Student Aid” which will be available online at http://www.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.

Contact the Office of Financial Aid, 201 Sproul Hall (telephone: 642-0485) if you have any questions about the application process or your eligibility for financial aid.

D. DEPARTMENT “BLOCK GRANT” FUND

University fellowship funds are allocated to each department as a “block grant.” Last year we received a total of $252,000 to support Masters and Ph.D. students in architecture. The sum was allocated as fee remissions and non-resident tuition scholarships. For Ph.D. students, much of this is packaged or promised at the time of admission.

E. NON-RESIDENT TUITION SCHOLARSHIPS

A portion of the “Block Grant” fund described above is allocated for Non-Resident Tuition Scholarships. By departmental recommendation these are awarded to students with distinguished academic records (minimum GPA: 3.3) paying out-of-state tuition.

F. FUND FOR TRAVEL TO CONFERENCES

At some point during your program you will likely be invited to present a paper at a scholarly conference. The Department has a small fund dedicated to assisting students with the cost of their airfare to attend a conference to deliver a paper. The Ph.D. Committee has established a policy to assure fairness in the allocation of these travel grants:

- Each student is allowed a cumulative maximum of $2400 during the time in the program;
- Applicants must be registered to receive the reimbursement.

How to apply: As soon as you receive written notification that your paper has been accepted for presentation, send a request to the Arch Graduate Office including the following:
• Name, date, and location of the conference;
• Estimated cost of your airline ticket;
• A copy of the notice inviting you to present your paper.

The Grad Office will review the amount of your available funds and notify you of the amount of your award. The procedure for receiving your reimbursement upon your return from the conference will require you to submit the receipt of your airfare, boarding passes/stubs, and a program of the conference with your name in it.

G. PRIZES AND AWARDS IN ARCHITECTURE

A list of the various scholarships, fellowships, grants-in-aid, prizes and awards in the Department of Architecture — including requirements and deadlines — will be available in the Architecture Graduate Office at the beginning of the fall semester and posted on the departmental website throughout the academic year. Also make a practice of checking your e-mail for information about fellowships, conferences, post docs and other opportunities.

H. GRADUATE DIVISION’S UNIVERSITY FELLOWSHIP OFFICE

The University Fellowship Office in 318 Sproul (phone: 642-0672) will be a valuable resource in your search for extramural funding. The Fellowship Office maintains binders of informational flyers advertising requirements and deadlines for various fellowships and grants. This office also sponsors workshops for grant proposal writing. Much of this information can be found online at: http://www.grad.berkeley.edu/fellowships/index.shtml

I. ESTABLISHING CALIFORNIA RESIDENCY

If you are a U.S. citizen, but not a California resident, you can save money by establishing residency in California. For definitive information about residency matters, go to their website: http://registrar.berkeley.edu/legalinfo.html. In general, though, most students can obtain residency by doing the following:

1. 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 you list your California address when asked for your permanent address. Maintain your California address during the summer.

2. Register to vote in California, and then perform your civic duty.

3. Get a California driver’s license. If you own a car, have it registered in California.

4. Establish a savings account and/or checking account in California.

5. If you are employed, pay California state income taxes.
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 above steps, the better your chances will be for reclassification.

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.

If you are a continuing student who is classified as a nonresident for tuition purposes, and you believe you will be eligible for resident status, you must submit an online Residence Classification Petition, available via Bear Facts, for the applicable term. The deadline to file the petition is the last working day before the first day of instruction for the term for which you are seeking resident status.

J. INTERNATIONAL STUDENT TAXES

When you receive any kind of award, stipend, or money from the University, international students are required to submit the Initial GLACIER Information Form. Depending on your home country, additional forms may be required. These are available at http://controller.berkeley.edu/payroll/GLACIER/index.htm. These forms must be on file before any of the money will be released. In order to avoid the taxes and forms, the Department will apply block grants, fellowships or tuition waivers directly to your fees whenever possible.

K. 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. You can go to the University student budget site at: http://students.berkeley.edu/finaid/graduates/cost.htm. University fees: http://registrar.berkeley.edu/current_students/registration_enrollment/feesched.html

VIII. CAMPUS POLICY STATEMENTS

A. APPEALS PROCEDURE FOR STUDENT GRIEVANCES

The following procedures have been established by the Department to deal with student grievances. NOTE: These procedures are not to apply to matters of grades, student employment, and student discipline, which are governed by separate University Policies.

1. Student brings the grievance to the attention of his/her faculty advisor.

2. If the matter cannot be resolved at Step 1, the student and the faculty advisor bring the grievance to the attention of the Ph.D. Committee
3. If a satisfactory solution cannot be provided by the Ph.D. Committee, the Chair of the Department will make the final grievance resolution for the Department.

4. If a student still wishes to appeal, the grievance shall be referred to the Dean of the College of Environmental Design.

5. After recourse to the Dean of the College, the resources of the College will be considered to have been exhausted and the student may refer the matter to the Dean of the Graduate Division.

B. 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 Officer (currently Carmen McKines, 200 California Hall, 643-7985) 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 Title IX Officer’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 Title IX Officer 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 Sexual Harassment Matters_

ASUC Student Advocates Office: 204 Eshleman Hall, 642-6912
Campus Police Department: 1 Sproul Hall, 642-6760
CARE Services: 2222 Bancroft Avenue, 643-7754
Faculty Equity Associate: Charles Henry, 600 California Hall, 642-1935
Gender & Equity Resource Center (Student Activities & Services): 250 Cesar Chavez Center, 642-4786
Main Library Personnel Office: 447 Library, 642-3778
Ombudsperson for Faculty and Students, 328 Stephens Hall, 642-5754
Ombudsperson for Staff: 2530 Bowditch Way, 642-7823
Personnel Office - Employee Relations, 2200 University Hall, 642-4576
Rape Prevention Education Program: 2222 Bancroft Avenue, 642-7202; 642-7310 (info recording)
Sexual Assault Counseling: 2222 Bancroft Avenue, 642-6074
Student Conduct Office: 326 Sproul Hall, 643-9069
*Title IX Compliance Officer: Carmen McKines, 200 California Hall, 643-7985

*Indicates official Complaint Resolution Officer (CRO).
C. **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.

D. **STUDENT RECORD FILE DISCLOSURE POLICY**

The Architecture 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, in the Graduate Office. 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://uga.berkeley.edu/uga/disclosure.stm. University-wide policies may be found at http://www.ucop.edu/news/. 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/GeneralInfo/ferpa.html.

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, he/she may request in writing of the Vice
Chair 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.

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

1. 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.

2. 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.
3. 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 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