

2019-2020  
Program Statement and Handbook  
Ph.D. in CITY AND REGIONAL PLANNING

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## 1. PROGRAM DESCRIPTION

The Ph.D. in City and Regional Planning at the University of California, Berkeley provides training in urban and planning theory, advanced research, and the practice of planning. Established in 1968, the program has granted more than 180 doctorates. Alumni of the program have established national and international reputations as planning educators, social science researchers and theorists, policy makers and practitioners. Today the program is served by 14 City and Regional Planning faculty with expertise in community and economic development, transportation planning, urban design, international development, environmental planning, and global urbanism. With close ties to numerous research centers and initiatives, the program encourages its students to develop specializations within the field of urban studies and planning and to expand their intellectual horizons through training in the related fields of Architecture, Landscape Architecture & Environmental Planning, Engineering, Anthropology, Geography, Sociology, Public Policy, Public Health, Political Science and Data Science.

Admission to the Ph.D. program is highly competitive. Applicants are required to have completed a master's degree in planning or a related field. They are expected to demonstrate capacity for advanced research and to present a compelling research topic as part of their application. Top ranked admitted students are nominated for various university fellowships, including the Berkeley Fellowship, the Chancellor's Fellowship, and the Foreign Language & Area Studies Fellowship. The program provides all admits with a basic funding package consisting of four years of support in the form of fellowships and work as Academic Student Employee (ASE). UC Berkeley Graduate Division provides one year of support for field work or dissertation writing via the Doctoral Completion Fellowship (DCF). Students of the program have also been successful in securing extramural funding for dissertation research from the National Science Foundation, Social Science Research Council, and the Fulbright scholarships, amongst others.

The Ph.D. in City and Regional Planning at the University of California, Berkeley has a normative time to degree of five years. The university requires all doctoral students to fulfill a minimum residency requirement of two years and 48 units of coursework. Students are expected to take 4 courses, or 12 units, per semester. For the Ph.D. in City and Regional Planning students complete various program requirements, including courses in planning and urban theory and in research methods; and preparation and completion of two fields of specialization. They must also successfully complete an oral qualifying examination, which allows them to advance to candidacy and undertake dissertation research. A Ph.D. is awarded on completion of a written dissertation approved by the faculty supervisors of the dissertation.

The Ph.D. program encourages its students to build intellectual community and to participate in national and international venues of scholarship. Doctoral candidates regularly present their research at the annual conferences of the Association of Collegiate Schools of Planning, Association of American Geographers, Association of European Schools of Planning, World Planning Schools Congress, Urban Affairs Association, and American Anthropological Association. They organize and participate in a weekly research colloquium and manage the *Berkeley Planning Journal*, a peer-reviewed academic publication. Such activities utilize the vast intellectual resources available to doctoral students at the University of California, Berkeley, both within their departments and across the campus.

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## 2. PROGRAM REQUIREMENTS

The Ph.D. program in City and Regional Planning has the following goals:

- To provide critical understanding of the history of thought in city and regional planning and urban studies, and to train students to contribute to theoretical advances in these fields;
- To enable students to develop their individual specializations within city and regional planning;
- To prepare students to undertake original research through the formulation of research questions, use of appropriate research methods, and application of research design;
- To encourage students to disseminate their research such that it has an impact in the worlds of social science scholarship, planning education, and national and international policy;
- To create and nurture an intellectual community committed to promoting research in city and regional planning.

With these goals in mind, all students must complete the following requirements:

- Completion of courses in Planning Theory and Urban Theory
- Completion of courses in Research Methods
- Preparation and completion of Inside and Outside Field courses, statements, and examinations
- Completion of the oral qualifying examination
- Completion of written dissertation, which reflects original research, approved by the student's dissertation committee and the UC Berkeley Graduate Division

Students must also meet the university's minimum residency requirement of two years and complete 48 units of coursework. Note that DCRP requires doctoral students to complete several of these requirements through letter-graded courses. In keeping with Graduate Division guidelines, doctoral students must maintain an overall grade-point average of at least 3.0 on the basis of all upper division and graduate courses taken in graduate standing.

### A. Planning and Urban Theory

Planning Theory and Urban theory are hallmarks of the Ph.D. program. All students are required to demonstrate competence in this body of scholarship by completing the two theory courses listed below. It is required that you take both courses during your first year; if one of the theory courses is not offered in the first year, then students will be expected to take it during the second year. Students are also urged to take more than the two required theory courses during their time in the program.

**Students must take both of the following courses for a letter grade:**

- CYPLAN 281: Planning Theory (not offered AY 2019-20)
- CYPLAN 284: Urban Theory (fall 2020)

Students who have taken either of these courses during their MCP studies at the University of California, Berkeley, may petition the Ph.D. Program Committee for a waiver of this requirement (see below on how to petition).

## **B. Research Methods**

All students in the Ph.D. program are expected to demonstrate competence in research design, data-gathering methods, and data analysis and interpretation. To complete the methods requirement, doctoral students must fulfill the first three of the following components of the methods requirement prior to taking their oral qualifying examination and the fourth requirement after advancing to candidacy. Note that advancement to candidacy is contingent upon approval of the student's methods program by the primary advisor. It is recommended that students start taking their methods courses during their first year of study.

### **Prior to advancement to candidacy:**

- 1.** Take CYPLAN 280A: Research Design for the Ph.D., which addresses a variety of research methodologies and assists students in preparing a research prospectus. This course may be taken more than once, and must be taken at least once for a letter grade.
- 2.** Take **TWO** advanced methods courses to be decided in consultation with the student's primary advisor. These courses, which can be taken through DCRP or another department on campus, prepare students for doctoral research. They must be taken for letter grades.
- 3.** Take CYPLAN 280C: Ph.D. Research Colloquium for at least two semesters. Doctoral students are encouraged to regularly attend the colloquium when they are in residence.

### **After advancement to candidacy:**

Take CYPLAN 280B, Doctoral Writing Seminar, at least once. This intensive writing course should be taken during the process of writing the dissertation. It may also be taken for the purpose of writing articles for publication. This course may be taken more than once. It must be taken at least once for a letter grade.

## Course Substitutions and waivers

In principle, the program does not accept requests for substitutions of required courses. These requests will only be considered in **very** exceptional cases. All petitions should be done in writing and directed to the Chair of the PhD Committee. They should include a completed form available at DCRP Student Affairs Office and a detailed explanation justifying the substitution. A letter from the student's advisor must be included with the form, as well as a copy of the syllabus of the course that would serve as substitution for the requirement.

Course substitution requests will not be approved retroactively. They must be approved before the students take the courses they want to use as substitution.

Waivers of the requirement of courses completed during the MCP program must be done in writing and through the completion of a form available at DCRP Student Affairs Office.

Only requests for which there is a written request **AND** a written positive response by the head of the PhD program will be accepted for the fulfillment of requirements.

### **C. Field Requirements**

In addition to general training in planning and urban theory and in research methods, the Ph.D. program in DCRP requires students to gain depth of knowledge in at least two fields of their choosing. Completed under the supervision of a faculty committee usually chaired by the student's primary advisor, the Inside Field statement and examination is a self-defined specialization of study within city and regional planning. Completed under the supervision of an outside field advisor (a faculty member outside the department), the Outside Field is a set of courses and assignments that build expertise in an area of study related to city and regional planning.

#### **Inside Field**

The Inside Field is a self-defined specialization of study within city and regional planning. Such a specialization can be a sub-field of city and regional planning (e.g. community development, regional planning, housing, international development, urban design, transportation planning, land use, environmental planning) or it can be a unique field defined by the student in consultation with faculty advisors. Note that the intent of the Inside Field is not to make a theoretical contribution to the field but instead to demonstrate mastery of existing paradigms and debates within a field of inquiry.

Mastery is defined as a) demonstrating knowledge of key, foundational texts within the inside field subject of study; b) understanding how the history of thought within that area has developed (including epistemologies and methodologies, critiques and points of contention), and c) engaging analytically with the current state of research and recent work in the field.

To undertake the Inside Field requirement, each student must constitute an Inside Field committee of three Academic Senate faculty from the department. This committee is usually chaired by the student's primary advisor. This committee will both approve the Inside Field Statement and prepare and grade the Inside Field Examination.

#### **a) Inside Field Statement**

Working closely with their Inside Field committee, each student must prepare an Inside Field statement, which explains the scope of the field and provides a bibliography of works that represent the key conceptual frameworks that make up this field. Typically an Inside Field statement is 10-20 double-spaced pages in length with a bibliography of at least 50-60 academic books and peer-reviewed journal articles. Note that the length and scope of the Inside Field will vary depending on the expectations of the Inside Field committee and the nature of the Inside Field topic. What is important for doctoral students to keep in mind is that the Inside Field statement is not the Inside Field examination but rather an analytical exercise meant to set the stage for the examination. With this in mind, the Inside Field statement should develop the analytic categories and concepts that will then be used by the Inside Field committee to structure the Inside Field examination.

#### **b) Inside Field Examination**

Once the statement has been approved by the Inside Field committee, the student may proceed to the Inside Field examination, a three day take-home written examination. Students with accommodations approved by the Disabled Students' Program (DSP) may be granted an additional day for the examination.

The Inside Field examination consists of three sections related to the categories and concepts outlined in the Inside Field statement. Each section contains 2-3 questions and students answer one question in each section, with a limit of 10 double-spaced pages per answer. All sections of the examination are graded by all members of the Inside Field committee.

The examination is administered by DCRP's Student Affairs Officer. Students are responsible for arranging the examination date and coordinating the logistics of the examination with the Student Affairs Officer. Students with disabilities should consult with the Student Affairs Officer for campus-approved accommodations. A copy of the Inside Field statement must be filed with the Student Affairs Officer; this will also be archived in the Environmental Design Library.

Students must successfully complete the Inside Field requirement before proceeding to the Oral Qualifying examination. DCRP requires a 6 week minimum gap between the Inside Field examination and the Oral Qualifying Examination to allow for adequate time for the committee to provide feedback in the inside field exam and for the student to incorporate that feedback into their qualifying exam preparation. Grading of the examination is coordinated by the chair of the Inside Field committee. Possible grades include: Distinction, Pass, and Fail. If one of the three essays receives a failing grade, the student will be asked to rewrite this essay within a time period determined by the committee. If two or more essays receive a failing grade, the committee will ask the student to retake the entire examination. Students who fail the examination twice will be asked to withdraw from the Ph.D. program.

### **Outside Field**

The Outside Field is a set of courses and assignments meant to build expertise in an area of study related to city and regional planning. Such a specialization can be a discipline relevant to planning (e.g. Geography, Anthropology, Public Health, Economics, Sociology) or it can be a unique field defined by the student in consultation with the Outside Field advisor. Note that the intent of the Outside Field is not to make a theoretical contribution to the field but instead to demonstrate mastery of existing paradigms and debates. Students must successfully complete the Outside Field requirement before proceeding to the oral qualifying examination.

To undertake the Outside Field requirement, a student must select an Outside Field advisor, a member of the Academic Senate faculty in a department other than City and Regional Planning. The Outside Field advisor usually serves as the outside member of the oral qualifying examination committee and as the outside member of the dissertation committee. The content of the Outside field is determined by the Outside Field advisor but must include at least two letter-graded courses supplemented by an additional reading list and writing assignments. These specific requirements must be listed by the Outside Field advisor on a form, which is filed with DCRP's Students Affairs Office and which serves as a declaration of the Outside Field. On successful completion of the Outside Field, the advisor signs a second form, which is also filed with the Student Affairs Office.

### **D. Oral Qualifying Examination**

The oral qualifying examination marks advancement to candidacy. The examination is governed by policies set by the Graduate Division. In addition, DCRP has requirements for the examination.

#### **Eligibility to take the Oral Qualifying Examination**

To be eligible to take the exam, a student must:

1. be registered and enrolled for the semester in which the exam is taken.

2. have completed at least one semester of academic residence;
3. have at least a B average in all work undertaken in graduate standing;
4. have no more than two courses graded Incomplete; there can be no incompletes in required courses needed to satisfy planning and urban theory, research methods, and outside field requirements;
5. have satisfactorily completed departmental pre-exam requirements (Planning and Urban Theory; Research Methods; Inside and Outside Fields; preparation of dissertation prospectus).

### **Applying to take the Qualifying Examination**

Graduate Division approval is required to take the oral qualifying examination. In order to allow Graduate Division sufficient time to review and approve the application, students must apply to take the Qualifying Examination and file the necessary paperwork with DCRP's Student Affairs Office no later than one month before the examination date. The application is available in CalCentral.

**Note that students must list on their applications at least three subject areas to be covered during the examination. These three areas are: Planning and Urban Theory; Inside Field topic, Outside Field topic.**

### **The Oral Qualifying Examination Committee**

The Oral Qualifying Exam (OQE) committee in DCRP is composed of four Academic Senate faculty members (see section F4.9 of the [Guide to Graduate Policy](#)). The chair of the Qualifying Examination Committee must be an Academic Senate faculty from City and Regional Planning. A student's Qualifying Examination chair cannot serve subsequently as the student's Dissertation Chair; thus, the student should choose as OQE chair someone who will not potentially be asked to serve as the dissertation chair. The committee must include at least one outside member, i.e. an Academic Senate faculty from a department other than City and Regional Planning. Typically three of the four OQE members will serve on the student's dissertation committee.

### **Scheduling the Examination**

Scheduling the Oral Qualifying Examination is the responsibility of the student. Students are urged to begin the process of finding an examination date several months ahead of their preferred window of time. The OQE must be scheduled for three hours and all members of the Oral Qualifying Examination committee must be present for the entire duration of the examination.

If the student's health or personal situation makes it impossible to take the examination as scheduled, or if accommodation for a disability is necessary, the student is required to make this known before the examination so the chair can arrange for a postponement or appropriate accommodation.

### **The Examination**

In DCRP, an oral qualifying examination consists of the main examination followed by a discussion of the dissertation prospectus. The examination starts with a brief introduction (5 minutes) provided by the student. During the main part of the examination, the student is responsible for the three areas listed on the application for the examination. **In DCRP, these are: Planning and Urban Theory; Inside Field Topic; Outside Field topic.** Committee members ask questions in sequence, usually with 20 minutes allocated per faculty, in an order determined by the student. If the student passes the examination, the committee reconvenes for the remainder of time to discuss the dissertation prospectus. During this section, students present their dissertation research topic and design but

their performance here does not determine whether they pass or fail the oral qualifying examination. Note that by Graduate Division guidelines, evaluation of the dissertation prospectus cannot be the primary content of the oral qualifying examination.

### **The Dissertation Prospectus and other Examination Material**

As prerequisites to the oral qualifying examination, DCRP requires the following completed documents to be disseminated to all members of the oral qualifying examination committee at least two weeks prior to the date of the examination. An electronic copy of this material must be submitted to the Student Affairs Office, by this deadline. The electronic materials will be sent out by the Student Affairs Office to the members of the oral qualifying examination committee.

- Inside Field Statement and Bibliography
- Inside Field Examination
- Outside Field List of Requirements + Reading List
- Dissertation Prospectus

The dissertation prospectus is a statement of research design. Written under the supervision of the primary advisor, the prospectus typically lists the key research questions that guide this research project; explains the significance of these questions in relation to existing empirical and theoretical literature; presents a detailed research methodology and plan for gathering evidence; outlines strategies of data analysis and interpretation; and makes a case for the general application of anticipated research findings. A full-length dissertation prospectus is usually 20-25 double-spaced pages in length and includes a detailed bibliography.

### **Oral Qualifying Examination Outcomes**

The Graduate Division policy regarding grading, reporting and re-administering [Oral Qualifying Exams](#) is as follows:

**Pass.** The Qualifying Examination committee unanimously votes that the student passed the examination with scholarship that is at least acceptable.

**Failure.** A total failure occurs if the Qualifying Examination committee votes unanimously that the student failed the entire examination. The committee either: 1) recommends that the student take a second and final examination on all examination topics; or 2) does not recommend reexamination, the consequence of which will be the student's dismissal from the program.

If a second and final examination is recommended, the following procedures apply: 1) the committee must submit its "Report to the Graduate Division on the Qualifying Examination" with its recommendation; 2) committee membership for the student's retake must be the same as for the first exam; 3) the student may not retake the exam until 3 months after the first exam unless an exception is approved by the Graduate Division; and 4) a third examination is not permitted. If the committee wishes to suggest preparation for the second examination through additional course work or special tutoring, this must be communicated to the student in writing with a copy to the Graduate Division.

If the committee does not recommend a reexamination, a written explanation by the committee chair must accompany the completed "Report to the Graduate Division on the Qualifying Examination" and sent to the Graduate Division. If the Graduate Division concurs with the chair's

explanation, the student is sent a letter of dismissal from the program by the Graduate Dean, with a copy to the department.

**A partial failure.** A partial failure occurs if the Qualifying Examination committee votes unanimously that the student passed some topics but failed others. In this instance, the following apply: 1) a second and final examination is required; 2) the chair of the committee must write a letter to the student, with a copy to the Graduate Division, conveying information about his or her performance (pass, partial fail, or fail) on each of the three subject areas covered during the examination; 3) the committee may choose to examine the student on all topics or only on those failed during the first exam, but must communicate its decision in the letter regarding the student's performance; and 4) the retake must be scheduled no earlier than three months after the first examination unless an exception is approved by Graduate Division. A third attempt to pass the Qualifying Examination is not permitted.

**A split vote.** If the Qualifying Examination Committee cannot reach a unanimous decision concerning a pass, total failure, or partial failure, the chair should 1) determine the areas of disagreement; and 2) request that each committee member write, as required, a detailed assessment of the student's performance for submission to the Administrative Committee of the Graduate Council. The chair's letter should outline the progress of the examination itself, the efforts made by the committee to reach a unanimous agreement, the remaining areas of disagreement, and the chair's own assessment of the student's performance. Such letters may be released to the student under provisions of the 1972 Federal Family Educational Rights and Privacy Act (FERPA), current Department of Health and Human Services regulations, and California public records legislation.

If the exam results in a split vote, the committee will only inform the student that the matter was sent to the Administrative Committee for a final decision. The student has neither passed nor failed the exam until the Administrative Committee decides the results.

### **Student Appeals**

Student appeals of an oral qualifying examination outcome must be directed, in writing, to the Ph.D. Program Committee. The committee will convene to discuss the appeal and may refer the matter to Graduate Division. If a student is not satisfied with the result of the appeals decision made by the department, the student is permitted to bring the complaint to the Graduate Division under the [Formal Appeal Procedure](#).

### **E. The Dissertation**

The final requirement of the Ph.D. program is completion of a written dissertation, which presents original research, and which has been approved by the dissertation committee. On completion of the oral qualifying examination, a student advances to candidacy (see the following section) and is allowed to establish a dissertation committee. The committee is composed of three Academic Senate faculty, two from the department and an outside member from another department. Of the two inside members, one serves as chair of the dissertation. Note that in keeping with Graduate Division guidelines, the dissertation chair cannot be the faculty member who served as chair of the student's oral qualifying examination committee. In some cases, a dissertation is chaired by more than one faculty. At least one of the co-chairs is a member of the department. The dissertation committee must be approved by the Graduate Division.

During the fieldwork and data analysis phase of the dissertation, students are urged to stay in close touch with their dissertation committees. The department expects students to be in residence

during the dissertation writing phase of their study, a practice that has proven successful in ensuring that students finish their dissertations in a timely manner.

Note that all students are expected to complete a final research methods requirement, the Doctoral Writing Seminar, during the post-candidacy phase of their doctoral training.

#### **F. In Absentia Status:**

*In absentia* registration is available to graduate students undertaking coursework or research related to their dissertation *outside of California*. Students registered *in absentia* are only assessed full health insurance fees, and 15 percent of the combined University Educational and Registration Fees. Students *in absentia* must be enrolled in 12 units (usually 299 Independent Study Units with their dissertation advisor). The student's dissertation advisor's signature is required on the form.

Students may hold University fellowships and GSR appointments, but may not hold GSI, Reader, or Tutor appointments during the *in absentia* period.

**International Students planning on registering *in absentia*.** Those students in F and J status who plan to be outside California must register *in absentia* and also inform the Berkeley International Office (2299 Piedmont Avenue, 642-2818) of their plans.

#### **G. Filing Fee**

The Filing Fee is a reduced fee, one-half of the Student Services Fee, for doctoral students who have completed all requirements for the degree except for filing the dissertation. Filing Fee may only be used once during a student's career and the student must have the approval of her or his dissertation advisor.

To use Filing Fee the student must be registered the semester (or summer session) prior to the semester they plan to use filing fee. If a student does not complete the dissertation during the semester for which the Filing Fee is approved, the student must pay regular registration fees during the semester in which the requirements are completed, unless they file during summer session while registered for a minimum of three units. Additional information is located on the graduate division website: <http://grad.berkeley.edu/policy/registration-and-exchange-programs-policy/#d2-filing-fee>

**Filing Fee status and international students.** Filing fee status can satisfy the SEVIS requirement for international students only if the student has obtained the signature of the BIO student adviser (contact the Berkeley International Office, located in International House, 2299 Piedmont Avenue; 642-2818).

**Health insurance for students on Filing Fee:** U.S. resident students may purchase Student Health Insurance Plan (SHIP) coverage for the semester they are on approved filing fee status if they have not already purchased SHIP during a period of withdrawal beyond one semester. UHS allows purchase of SHIP if a student is in a non-registered status for two semesters only, which pertains to both filing fee and withdrawal. For eligibility information and enrollment details, refer to the UHS website ([www.uhs.berkeley.edu/students/insurance/FilingFee.shtml](http://www.uhs.berkeley.edu/students/insurance/FilingFee.shtml)).

#### **H. Residency and Unit Requirements**

The university requires a minimum of two years of residence and 48 units of coursework (or equivalent) for the Ph.D. degree. Full-time students are expected to take a minimum equivalent of four courses or twelve units per semester. Credit for pre-candidacy examination preparation (CY

PLAN 602) is limited by the University to 16 units total, and 8 units per semester. Units in CYPLAN 299, independent study, may also be taken by arrangement with a faculty instructor.

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### **3. ADVANCEMENT TO CANDIDACY AND NORMATIVE TIME**

To be advanced to candidacy, doctoral students must:

- A. pass the Qualifying Examination;
- B. have no more than two courses graded Incomplete, none of which can be required courses in planning and urban theory, research methods, or the student's defined outside field;
- C. have a minimum 3.0 grade-point-average in all upper division and graduate work taken while in graduate standing;
- D. have no more than one-third of the total units undertaken for the degree be graded on an S/U basis,
- E. fulfill any additional departmental requirements, and
- F. have secured an appropriately configured dissertation committee.

When a student has satisfied the eligibility requirements listed above, the student submits the "Application for Candidacy to the Doctoral Degree" (Plan B). Advancement to candidacy does not happen automatically once a student passes her or his Oral Qualifying Examination. Students must formally apply by submitting the Application for Candidacy – Plan B form located on CalCentral.

The Head Graduate Advisor of the student's program, the Chair of the Dissertation Committee, and, if applicable, the Head Graduate Advisor of the Designated Emphasis must approve this form. UC Berkeley will assess a \$90 fee once all of the approvals have been processed.

The student must also indicate on the form whether human subjects or animal research will be involved in the dissertation research. A human subjects protocol must be procured from the Committee for the Protection of Human Subjects before any dissertation research is conducted (see the following section).

The advancement form must be filed no later than the end of the semester in which the student passed the oral qualifying examination and in keeping with the eligibility deadlines for the Dean's Normative Time Fellowship and Doctoral Completion Fellowship (see below).

#### **A. Normative Time**

The term "normative time" refers to the elapsed time (calculated to the nearest semester) that students would need to complete all requirements for the doctorate and to make satisfactory progress toward their degrees. Normative times for doctoral programs are set by the Graduate Council of the university. DCRP's normative time to degree is five years or ten semesters. Students are expected to advance to candidacy by end of their third year or sixth semester in the program.

Students who use the DCF or Doctoral Completion Fellowship must read the [Graduate Division requirements and tracking of normative time policy](#).

Students in certain circumstances may request and be granted modifications in the calculation of normative time. In all such cases, the program's Head Graduate Advisor (Ph.D. program committee chair) will submit requests of exception to the Graduate Division.

These circumstances include:

- Students who are Parents: The Graduate Council allows certain modifications; for full details, see section [F.6 Graduate Council Student Parent Policies](#). Students with Disabilities: Modifications in normative time are provided to students who have received appropriate letters of accommodation from the [Disabled Students' Program \(DSP\)](#). Students facing challenges from disabilities should consult with a DSP specialist about how to verify their disability and request possible accommodations. [A1.2 "Special Resources for Students with Difficulties"](#).
- Students previously enrolled in master's programs at Berkeley: Requests for consideration for a "reset" of the normative time clock may be made by:
  - A student who was enrolled at Berkeley for a master's degree and later pursues a doctoral degree in a distinctly different field.
  - A student who had completed a master's degree at Berkeley, did not pursue further study immediately thereafter, and returns to Berkeley for doctoral study at least one year later.
- Students continuing from a master's to a Ph.D. program at Berkeley: Students, who enroll in the Ph.D. program without a break in enrollment, are required to advance to candidacy in two years in order to be eligible for the DCF. The same modifications in normative time may be granted (by request) for students who are on parental or medical leave, or have a disability.

#### **B. [Committee for Protection of Human Subjects \(CPHS\) Approval](#)**

[Graduate Division policies](#) stipulate that doctoral students conducting research involving human subjects must request review and approval for their study protocols from the Committee for Protection of Human Subjects (CPHS), which serves as the Institutional Review Board (IRB) for UC Berkeley. Federal law and University policy require that all research that involves human subjects in any way must be reviewed and approved or determined to be exempt by the CPHS before the research is initiated. If the research is ongoing, the project must be reviewed and approved at least once a year.

Before approval is granted for a research protocol, any graduate student listed as Lead Investigator or Key Personnel on an application to CPHS must complete training in human subjects research by taking and passing the online [CITI Program](#), a basic course in the Protection of Human Research Subjects. Students should take either the Social-Behavioral or Biomedical sequence of modules as is most appropriate for the type of research they are conducting.

Graduate students who plan to use human subjects in their research must complete the CITI course and print out the certificate of completion prior to applying for advancement to candidacy. This certificate must be submitted with the advancement form.

The Graduate Division will not accept dissertations or theses that include materials obtained or produced without authorization from the CPHS. For more information, contact the Committee for Protection of Human Subjects (phone 642-7461; email [subjects@berkeley.edu](mailto:subjects@berkeley.edu)), or consult the [CPHS website](#).

#### **C. [The Doctoral Completion Fellowship](#)**

[The Doctoral Completion Fellowship \(DCF\)](#) provides an incentive for doctoral candidates to complete their degree within a reasonable time. The DCF provides a student with one year of full fellowship – covering tuition and fees plus providing a stipend. A student may only hold one 25% GSI or GSR appointment during the duration of this fellowship.

To be eligible for the DCF, students must:

- Be advanced to candidacy. Please note [Dates for Completion of Requirements for Higher Degrees](#) for application to Advancement to Doctoral Candidacy in order to advance in time.
- Be in good academic standing with a minimum GPA of 3.0
- Have a current, satisfactory annual progress report on file with Graduate Division
- Have participated in PhD completion activities, which in the case of DCRP includes a) enrollment in the Doctoral Writing Seminar; b) satisfactory progress toward dissertation research and writing as measured by the annual review process conducted by the Ph.D. program committee
- Students must apply for at least one external fellowship in order to be eligible for the DCF. DCF eligibility is not contingent upon winning an external fellowship, nor would the receipt of external funding in any way affect a student's eligibility for a DCF. This requirement is intended to enhance students' intellectual and professional development by making them aware of funding opportunities and working with their advisors to prepare application materials. International students are exempt from this condition, however, because there typically are very few external fellowships for which international students are eligible.

Students who satisfy these requirements may accept the DCF award in any semester post candidacy, and before filing their dissertation or the end of the year Normative Time to Degree (NTD) plus one year. Filing of the dissertation is expected to occur before the end of year NTD+1.

#### **Consequences of Using the DCF**

Students who activate the DCF will no longer be eligible for university fellowship funding beyond their 6<sup>th</sup> year in the doctoral program. The DCF does not in any way affect the eligibility of students for university employment, access to loans, or use of outside funding to continue after their 6<sup>th</sup> year.

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#### **4. TIMELINES AND TRACKING PROGRESS**

It is important to the department and the university that students progress through their doctoral programs in a timely fashion. DCRP does not provide funding for students beyond normative time+1 year, and quotas for admission of new students are based on the numbers continuing in the program. The University evaluates the quality of our Ph.D. program in part by average time to degree. While there are legitimate reasons that students may want or need more than the normative time, in the vast majority of cases students are able to complete their degrees within this stipulated time.

##### **A. Pre-Candidacy Timelines and Benchmarks**

The following is an outline of timelines and benchmarks recommended by the department's faculty and Student Affairs officers. Note that at the end of each year of study students are expected to submit a progress report, which will be formally reviewed by both their primary advisor and the Ph.D. program committee (see below on advising). Students are urged to take these progress reports seriously and to use them to track their own progress toward various benchmarks. The Ph.D. program committee will review all progress reports and if necessary warn students not making satisfactory progress. Students failing to meet benchmarks may become ineligible for departmental funding or GSI positions.

### *First Year of Study*

In the first year, students should complete the two planning and urban theory courses, begin taking appropriate research methods courses, and identify the topics of their inside and outside fields.

At the end of their first year of study, students submit a progress report to their primary advisor. In addition to a list of completed coursework, this report contains a brief description and outline of the Inside Field topic; an identification of the Outside Field topic; and a plan of work for the summer, especially in terms of preparation for the Inside Field examination. Primary advisors will report on student progress to the PhD committee, which will also review this material. In addition, students will be asked to finalize their choice of faculty advisors for upcoming study, notably chair of the oral qualifying examination and chair of the Inside Field and the dissertation committee.

### *Second Year of Study*

By the end of the third semester, students should have prepared their Inside Field statement and formed an Inside Field committee. Also in the third semester they should finalize their Outside Field topic and requirements. Students are urged to complete the Inside Field examination and Outside Field requirements no later than the end of the fourth semester. Note that during the second year students have to also develop their ideas for a research prospectus and apply for extramural funding for dissertation research. It is advisable for students to take CY PLAN 280A, Research Design, in the fall of their second year in order to begin work on a prospectus. In cases where students are prepared and ready, it can be useful to take the oral qualifying examination in the same semester as the completion of the Inside Field examination such that there is continuity in exam preparation.

### *Third Year of Study*

Students should plan to take their oral qualifying examination in their fifth semester of study and no later than the sixth semester.

## **B. Post Candidacy Timelines and Benchmarks**

DCRP's normative time for conducting dissertation research and writing and filing the dissertation after advancement to candidacy is two years. Some students may require more time for a variety of reasons. Field work in a foreign country may require extra time for students unfamiliar with the context, culture, or language, for example. If a student becomes a primary caregiver for a child or parent during the course of the Ph.D. program he or she is given an extra year, according to university guidelines, to complete the work. Illnesses or family crises may require additional time as well. Sometimes data sets turn out not to be available, or research plans have to be changed after preliminary inquiry. These issues will be considered by the Ph.D. program committee on a case-by-case basis.

A student's candidacy lapses in four years after advancement (two years for normative time and two years' grace period). Requests for extension of candidacy are made by the Ph.D. program committee to the Graduate Division on behalf of the student. The request will require substantial evidence of progress toward a completed dissertation.

The Graduate Council requires that all doctoral students advanced to candidacy meet at least once a year with their dissertation committee members and complete annually the [Report on Progress in Candidacy](#). These progress reports will be reviewed by the department's Ph.D program committee. DCRP urges its students to be in residence during the writing of the dissertation in order to facilitate communication with the dissertation committee.

### **C. Departmental Action in the Case of Unsatisfactory Progress**

The faculty and staff of the Department of City and Regional Planning are committed to supporting doctoral students in their course of study. In rare cases, the department, specifically the Ph.D. program committee, will render warnings and take action to signal the failure of a student to make satisfactory progress toward degree goals. Such action is guided by the policies of the Graduate Division and is designed to give the student ample opportunity to address the concerns of the committee and their faculty advisors.

**Action regarding insufficient progress.** Based on the annual progress reports, the Ph.D. program committee may determine that a student is failing to make satisfactory progress toward degree goals. If this is the case, the committee may: 1) send the student a warning letter, with a copy to the Graduate Division, apprising the student of his or her insufficient academic progress; or 2) write to the Graduate Division requesting to place the student on formal probation, with the consequence that the student is ineligible to receive a fellowship or hold an academic appointment. Students who have failed to advance in their studies may be subject to dismissal by the university.

**Probation for students not yet advanced to candidacy.** Students who have not yet advanced to candidacy can be placed on academic probation and ultimately dismissed if they fail to make satisfactory progress toward their degrees. Probation is intended to provide a student whose performance is less than satisfactory with a period in which to correct the deficiencies and to raise his or her performance to a level consistent with the minimum standards set by the Graduate Division, in consultation with the department. Students on probationary status may register and enroll, but they may not hold academic appointments, receive graduate fellowships, or be awarded advanced degrees.

**Probationary Status after Advancement — Lapsed Candidacy.** Students advanced to candidacy are also subject to a probationary status termed “lapsed candidacy.” This usually occurs when students have exceeded their major’s Normative Time in Candidacy (NTIC) by two years. However, a department may request the Graduate Division to “lapse” a student earlier if the student is not advancing satisfactorily towards completing the degree, such as unsatisfactory progress toward the dissertation. As a consequence of being lapsed, a student may not hold any academic appointment or fellowship. Requests for extension of candidacy will be made by the Ph.D. program committee and will require substantial evidence of progress toward a completed dissertation.

**Warning letters.** In keeping with Graduate Division guidelines, all department warnings and recommendations for probation/ lapsed candidacy will include the following pieces of information:

1. the nature of the problem or deficiency;
2. the steps to be taken to correct the deficiency;
3. a reasonable period in which to correct the problem or to show acceptable improvement;  
and
4. an approximate date on which the student’s record will next be reviewed.

**Removing a student from academic probationary status.** Students may be placed on, or removed from, probation or lapsed status only by the Dean of the Graduate Division. If a student was placed on probation or lapsed because the department and the Graduate Division determined that he or she was not making adequate progress, the Head Graduate Advisor must inform Graduate Division that the student has met the conditions for removing probation and should be cleared.

**Dismissal.** In the unusual and exceptional circumstances that the Ph.D. program committee reaches the conclusion that a student on probation or in lapsed status is unable to meet requirements for the degree and has failed to correct the deficiencies listed in the warning letter/ probation letter,

the Head Graduate Advisor will recommend dismissal (or “termination” for lapsed individuals) to the Dean of the Graduate Division. Such recommendations are reviewed and approved by the Graduate Division.

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## **5. ACADEMIC LIFE**

### **A. Advising**

The advising process is intended to help students make the most of the varied and rich educational opportunities available in the Department of City and Regional Planning, in the College of Environmental Design, and across the UC Berkeley campus, while ensuring timely progress towards degree. Faculty advisors provide guidance and advice on intellectual, academic, and practical matters. Faculty advisors differ in their fields of research, knowledge, and skills, and thus students are encouraged to seek counsel and advice from multiple faculty. Indeed, by design the Ph.D. program puts students in contact with different faculty supervisors – the chair of the dissertation committee; chair of the oral qualifying examination; members of the Inside Field, qualifying examination, and dissertation committees; and the Outside Field advisor.

Students entering the Ph.D. program will be assigned a primary faculty advisor and secondary faculty advisor. By the end of the first year, students will be expected to identify their choice of dissertation chair (and thus primary advisor) and oral qualifying examination committee (and thus secondary advisor). Students may change their advisors and by Graduate Division guidelines may reconstitute their dissertation committees, within certain parameters.

### **B. Withdrawing and Readmission**

Students may need to withdraw from their Ph.D. studies for various reasons. Withdrawal from the program without special circumstances and Graduate Division approval is not recommended, as the normative time clock does not stop in such instances. Students who are unsure of their options should seek advice from both the Head Graduate Advisor of the Ph.D. program and DCRP’s Graduate Student Services Office.

### **C. Student Working Groups**

Working toward a doctorate can be a solitary pursuit, and so many doctoral students form groups to provide mutual advice and support. Some groups are organized around disciplinary interests (e.g. transportation, global urbanism etc.); others are interdisciplinary “writing groups;” and still others are formed by cohorts of students who entered the program together.

### **D. Ph.D. Program Committee and Annual Reviews**

The Ph.D. Program Committee governs the Ph.D. program in keeping with the guidelines of the Graduate Division and the requirements of the department. The committee chair serves as Head Graduate Advisor and stewards the doctoral program as a whole. The Program Committee monitors student progress, advises the department chair on the Ph.D. curriculum, and works closely with the Student Affairs Officers to manage the program.

### **E. Designated Emphasis Programs**

The University of California, Berkeley, offers doctoral students the opportunity to undertake a “designated emphasis” in addition to their primary course of study. Akin to a graduate minor, the designated emphasis involves additional coursework and research requirements. At least one faculty member affiliated with the designated emphasis must serve on the student’s oral qualifying

examination committee and dissertation committee. Designated emphasis programs popular with doctoral students in City and Regional Planning include Global Metropolitan Studies; and Women, Gender, and Sexuality.

#### **F. Fellowships and Academic Student Employee Appointments (ASE)**

Ph.D. student support in DCRP consists of a combination of fellowship funding and academic student employee (ASE) appointments. Support is available to all students who are within normative time and in good academic standing, and who have completed their annual progress reviews. The university sets limits on maximum awards for fellowships and restricts ASE appointments in certain instances, such as with major fellowship awards from the Graduate Division.

More information on FELLOWSHIPS is available from the Graduate Division at <http://www.grad.berkeley.edu/current/> under “Fellowships and Grants.” Entering doctoral students are also nominated by the department to compete for university fellowships including the Berkeley fellowship, the Regents fellowship, and the Foreign Language and Area Studies Fellowship. In addition, doctoral students in the program have successfully competed for extramural funding for their dissertation research. These include research grants from the National Science Foundation, Fulbright, and Social Science Research Council.

Students may also apply to work with faculty on funded research projects as a Graduate Student Researcher (GSR). GSR appointments are made at up to 50% time depending on the project and funding. A partial fee remission of in-state fees is included as benefit for appointments at 25% time or greater, and non-resident tuition may be covered with appointments at 45% or higher. There is no single list for posting research opportunities. Faculty obtain research funding at various times during the year and may need to fill jobs quickly. It is recommended that students seeking research positions talk with faculty ahead of time to let their availability and interests be known. Faculty with large research grants often work with the Institute of Urban and Regional Development, the Center for Environmental Design Research, Institute for Transportation Studies, or the University of California Transportation Center.

To learn more, see the [Graduate Division Appointments Guide](#).

#### **G. Student Affairs Office**

DCRP’s Student Affairs Office is a valuable resource for doctoral students at all stages of the program. Students are expected to meet regularly with Student Affairs Officers and to respond promptly to their requests for information and formal advice.

#### **H. Ph.D. Room**

DCRP and LAEP doctoral students share a room on the fourth floor of Wurster Hall. Desks are assigned to students who do not have workspace elsewhere, i.e. in one of the research institutions. Access to the room is limited and students may obtain the code from the Department. All students who acquire other offices or go away on field work are expected to clear out their desks immediately so that space can be made available to new doctoral students.

#### **I. Berkeley Planning Journal**

For many years now, DCRP Ph.D. students have published the *Berkeley Planning Journal*, managing all aspects of publication. The BPJ is well respected in the academic community, and provides an excellent outlet for students to publish their best work in a peer-reviewed format. Reviewing, choosing, and editing submissions is also an excellent way to improve one's own writing skills. For more information, consult the [BPJ website](#).

#### **J. University Health Services: Tang Center UC Berkeley**

[University Health Services \(UHS\)](#) provides comprehensive medical, mental health and health promotion services to all Cal students and a variety of occupational health services to faculty and staff. UHS also provides services to UC staff who choose UHS as their Health Net provider, and to staff at the Lawrence Berkeley National Laboratory. Berkeley campus visiting scholars and spouses/domestic partners of Berkeley students may also use UHS on a fee-for-service basis. Note that a limited number of other categories of UCB and UC students, families and staff also are eligible to use all or some UHS services for varying time periods. The appointment office at (510) 642-2000 will help you verify eligibility. Spouses, domestic partners and other eligible non-student groups pay fees-for-service, which are higher than student fees. **Also see** [Eligibility schedule: Time period that UHS services are available to students](#).

Services are designed to minimize the impact of illness, emotional distress and injury on studies and work. Coupled with health promotion and public health programs, UHS reaches all segments of the Berkeley campus community.

#### **K. Berkeley International Office**

[The Berkeley International Office](#) mission is to enhance the academic experiences of international students and scholars by providing the highest levels of knowledge and expertise in advising, immigration services, advocacy, and programming to the UC Berkeley campus community. Their services include: Advising support for nonimmigrant students, scholars, staff, and faculty; Visa document production for nonimmigrant students and scholars; A wide variety of programs and workshops; Training and support for campus department administrators; Permanent resident petitions for international faculty

#### **L. Disabled Student Services**

[The Disabled Students' Program \(DSP\)](#) is committed to ensuring that all students with disabilities have equal access to educational opportunities at UC Berkeley. They offer a wide range of services for students with disabilities, including federal and state legally mandated services and accommodations for eligible students with verified disabilities, non-mandated services, and exam proctoring services for faculty. These services are individually designed, and based on the specific needs of each student as identified by our Disability Specialists.

#### **M. Graduate Council Student Parent Policies**

In 2007, the Graduate Council approved a policy entitled "Parental Accommodations for Research Doctoral Students." The full text is available on the Graduate Division website (<http://grad.berkeley.edu/wp-content/uploads/MEMOxMarch2007ParentalAccommodation.pdf>).

In recognition of the physical demands of childbearing, a woman anticipating childbirth is entitled to receive an extension of up to one extra year for passing preliminary examinations and qualifying examinations, and an extension of up to one extra year toward Normative Time completion while in candidacy. A woman or man experiencing other extraordinary parenting demands, such as the serious illness of a child, is entitled to receive an extension of up to six extra months for passing preliminary examinations and qualifying examinations, and an extension of up to six extra months toward Normative Time completion while in candidacy. However, the total additional time granted by this policy cannot exceed two years, no matter how many children are involved. Academic units must acknowledge these extensions in their calculations of Normative Time both before and after advancement to candidacy.

A student who is eligible for the **Doctoral Completion Fellowship (DCF)** can receive credit for up to two semesters of parental leave if 1) the student formally withdraws for that purpose, or 2) the

student intends to register to undertake a modified schedule and applies for parental leave status **before** or **at the start** of the proposed semester. This request must be endorsed by the student's Head Graduate Adviser.