



**Berkeley** *Graduate School of Education*  
UNIVERSITY OF CALIFORNIA

**2021-2022  
Handbook for Graduate Students**



## Table of Contents

Introduction.....	3
Directory .....	4-5
Administrative Units.....	6
Graduate Division .....	6
Graduate School of Education .....	6
Academic Areas .....	6
Student Academic Services.....	6
Advising and Administrative Assistance.....	7
Faculty Advisor.....	7
Changing Faculty Advisors .....	7
Head Graduate Advisor.....	7
Student Academic Advisor and Area/Program Assistants .....	7
Registration and Related Academic Policies and Procedures .....	8
Health, Wellness, and Mental Health Services.....	8
Student Health Insurance Plan (SHIP).....	8
Photo Identification.....	8
Becoming a Registered Student.....	8
Enrolling in Courses .....	8
Fee Payment Information.....	8-9
Non-resident Supplemental Tuition (NRST) Waiver .....	9
Course Load.....	9
Minimum Number of Units .....	9
Minimum Academic Residency .....	9
Summer Sessions .....	9
Registration Requirement .....	10
In Absentia Registration .....	10
Course Enrollment .....	10-11
Adding and Dropping Courses.....	11
Changing Grading Option.....	11
Independent Study Course .....	11
Grading .....	11-12
Minimum Grad Point Average .....	12
Incomplete Grades .....	12
Intercampus Exchange and Other Exchange Programs.....	12
Changing Programs/Clusters .....	13
Changing Degree Objectives .....	13
Cancellation of Registration .....	13-14
Withdrawal and Medical Withdrawal.....	14
International Students.....	14-15
Parental Leave.....	15
Readmission and Re-enrollment.....	15-16

Filing Fee.....	16-17
Diplomas .....	17
Transcripts.....	17
Disabled Students Program.....	17
Student Academic Appointments .....	18
Policies and Procedures.....	18
Academic Requirements.....	18-19
Exceptional Appointments.....	19
Fee and SHIP Remissions Programs.....	19
Fee Payment Procedures.....	20
Timesheets .....	20
Additional Resources .....	20
Master of Arts Degree (MA) .....	21
Registration Requirement .....	21
Time to Degree .....	21
Outline of Program.....	21
Human Subjects Protocol.....	21-22
Completing the MA* .....	22
Doctoral Degrees .....	23
Courses.....	23-24
Registration Requirement .....	25
Normative Time Schedule .....	25
Annual Progress Reviews	
First Year Evaluation .....	26
Annual Review.....	26
Doctoral Candidacy Review.....	26-27
Milestones for Doctoral Students.....	28
Outline of Program.....	28
Prequalifying Review (Including Prequalifying Papers).....	28-29
Prospectus .....	29
Qualifying Examination (Orals).....	29-31
Graduate Division Requirements for Faculty Membership on Committees.....	30-31
Scheduling QE.....	31-32
Advancement to Candidacy.....	32
Time Limit in Candidacy.....	33
Doctoral Completion Fellowship (DCF) .....	33-34
Dissertation Proposal .....	35-36
Filing Eligibility.....	36
Dissertation.....	36-37
Appendix A.....	38
Appendix B.....	39-40
Appendix C .....	41

Appendix D.....	42-43
Appendix E.....	44

# Introduction

This handbook provides detailed information on procedures, regulations, and requirements for completing an advanced degree program in the Graduate School of Education (GSE) at UC Berkeley for academic year 2021-22. Students in the Teacher Education MA program should consult the Handbook for Multiple & Single Subject Teaching Credential Students.

We encourage you to take some time to familiarize yourself with this handbook. We realize that there is a good deal of information in it, but keep in mind that the degree requirements described take a number of years to complete. We suggest that you use this handbook as a reference and read the section(s) you need when you are nearing that particular stage of your degree program (e.g., read the section on the First Year Evaluation toward the end of your initial year in the program).

General information about the GSE, its programs, and its faculty may be found on our website, [gse.berkeley.edu](http://gse.berkeley.edu). Students in the Joint Doctoral Program in Special Education; the Principal Leadership Institute; or the Leaders for Equity and Democracy Program (LEAD) School Psychology or the SESAME program should consult both this handbook as well as the one for their specific program. Another resource to check is the Graduate Division's website, [grad.berkeley.edu/policy](http://grad.berkeley.edu/policy).

All requirements and procedures described in this handbook are current as of Spring 2021. If there are any changes, you will be notified either by your program or by the Student Academic Services Office (via e-mail). However, you are advised to check on requirements with the Student Academic Advisor, in the Student Academic Services office, when you are nearing a degree milestone.

We hope you find the handbook useful. We welcome any suggestions you may have to improve the communication of policies, regulations, and procedures. Please call or visit us when you have questions or need assistance. We wish you a successful academic year!

— *Student Academic Services Staff*

# Directory

(Dean's Office and Student Academic Services)

<b>Dean's Office, 2121 Berkeley Way, 4th floor</b>		
Interim Dean – Christopher Edley, Jr.	gsedean@berkeley.edu	(510) 643-6644
Associate Dean for Academic Affairs	zeusleonardo@berkeley.edu	(510) 642-7972

<b>Student Academic Services (SAS) 2121 Berkeley Way, Room 2210 (2nd Floor)</b>		
Head Graduate Advisor – Jabari Mahiri Serves as faculty liaison between the GSE and Graduate Division.	jmahiri@berkeley.edu	
Director, Student Services – Carissa Caloud Directs activities of SAS including Orientation and Commencement, reviews student academic appointments, and works with the Dean and Head Graduate Advisor on a variety of student-related matters.	ccaloud@berkeley.edu	(510) 642- 0820
Admissions/Fellowships - Liliana Hernandez Advises prospective applicants about programs, requirements and procedures; creates and maintains applicant files and databases; tracks applications; answers application questions. Assists Fellowship Committee, advises students on fellowship and financial aid opportunities and procedures, administers fellowship funds.	lilibr@berkeley.edu	(510) 642-0841
Graduate Student Affairs Officer (GSAO) - Rosandra Garcia Advises graduate students about School and Graduate Division degree requirements; and assists Head Graduate Advisor.	rosa@berkeley.edu	(510) 642-0138
Credentials - Jennifer Elemrani (4th Floor) Advises students in teaching and advanced credential programs; tracks and applies Commission on Teacher Credentialing regulations; and provides certification and issuance of credentials.	jenlm@berkeley.edu	(510) 642-0836
Course Scheduling - Jeanette Luong Schedules classes and rooms; manages student and course databases; processes course approvals and UC Extension course/instructor departmental reviews; and works with academic coordinator for Summer Sessions.	luongj@berkeley.edu	(510) 642-9476
Undergraduate Minor Advisor - Aileen Rothenberg Assists and advises students in the Undergraduate Minor in Education (UME). Provides administrative support for UME Committee.	edminor@berkeley.edu	(510) 643-9303
Student Academic Appointments (Business Services, 4th Floor) - Junko Kiross Coordinates academic employment, such as Graduate Student Instructor (GSI) and Graduate Student Researcher (GSR).	junkoi@berkeley.edu	(510) 642-6773

## Directory - Clusters/Programs, 4th Floor

<b>Learning Sciences, Human Development</b>		
Cluster Convener – Marcia Linn	mclinn@berkeley.edu	
Assistant -		

<b>Critical Studies of Race, Class &amp; Gender</b>		
Cluster Convener – GSAO		
Assistant -		

<b>Policy, Politics &amp; Leadership</b>		
Cluster Convener – GSAO		
Assistant -		

<b>Social Research Methodologies</b>		
Cluster Convener – Karen Draney	kdraney@berkeley.edu	
Assistant -		

<b>Leaders for Equity and Democracy (LEAD)</b>		
Director – Lihi Rosenthal	lihi.rosenthal@berkeley.edu	
Assistant -		

<b>Joint Doctoral Program in Special Education</b>		
UCB Coordinator - Anne Cunningham	acunning@berkeley.edu	
UCB Assistant - Caron Williams	caronw@berkeley.edu	(510) 642-4202
SFSU Coordinator - Gloria Sotto		
SFSU assistant – TBA		



# Administrative Units

The following is a brief description of the administrative units that are covered in this handbook.

## Graduate Division

The Graduate Division is the unit that oversees all graduate degree programs on campus; it is headed by the Dean of the Graduate Division. While the Graduate School of Education will supervise your graduate work; certify completion of your program; and recommend conferral of the degree, it is the Graduate Division that must verify you have met all of its requirements before your degree is awarded. Graduate Division office hours are 9:00 a.m.-Noon and 1:00p-4:00p, Monday through Friday. The Graduate Division Offices are on the 3rd floor of Sproul Hall. ([grad.berkeley.edu](http://grad.berkeley.edu))

## Graduate School of Education

The Graduate School of Education (GSE) is one of 14 professional schools on the Berkeley campus. Now in its 129<sup>th</sup> year, the GSE offers academic and professional programs in education. This includes programs leading to doctoral and master's degrees, as well as teaching credentials.

## Academic Areas/ Clusters

The Graduate School of Education is structured around four areas of study:

- [Critical Studies of Race, Class, and Gender](#)
- [Learning Sciences and Human Development](#)
- [Policy, Politics, and Leadership](#)
- [Social Research Methodologies](#)

Each specialization represents an approach to the study of education or a substantive area of educational study. All students pursuing degrees or credentials in the school are affiliated with one of these four areas, unless they are in the schoolwide Leadership for Educational Equity Program. Each area establishes its own set of course requirements that their students must satisfy, in addition to satisfying coursework requirements of the GSE.

Each cluster is headed by a convener. It is the responsibility of the cluster convener to ascertain that all student programs meet the academic requirements of the program and GSE, and that they are of sufficient scope and depth for the degree

## Student Academic Services

The Student Academic Services (SAS) Office, located on the 2nd floor of 2121 Berkeley Way, oversees many of the administrative aspects of students' degree and credential programs. The Head Graduate Advisor; Student Services Director; Graduate Student Affairs Officer (GSAO); Admissions and Fellowship Coordinator; and Course Scheduling Assistant have offices here. The Credentials Analyst is on the 4<sup>th</sup> floor.

These faculty and staff members are responsible for a variety of GSE student functions, including maintaining student records; processing petitions for withdrawal and readmission; removal of incomplete grades; degree and program changes; course scheduling; fellowships; and credential and advanced degree counseling. In addition, SAS staff members serve as a valuable resource in helping students find information and services elsewhere in the University.

The Student Academic Services Office is open Monday through Friday, 8:30 a.m.-Noon and 1:00p-4:00p. Outside of these office hours, you may leave a voicemail at (510) 642-5345. Appointments are available if you are unable to visit the office during regular business hours.

# Advising and Administrative Assistance

## Faculty Advisor

Faculty advisors are your primary source of guidance in all matters concerning your academic program. They are responsible for assisting you in developing an individual program of study and guiding your research. In addition, they can provide advice about faculty you might work with in the GSE and other departments; courses of interest to you; and special lectures, symposia, and professional meetings you should attend.

## Changing Faculty Advisors

Upon admission, you were assigned at least one faculty advisor by your program/area. In some cases, this is a temporary assignment lasting only until you have selected your areas of specialization. Once you have clearly identified your areas, discuss them with your assigned faculty advisor(s). If it appears that a new faculty advisor would be more appropriate, ask your current advisor(s) for assistance. In general, the Graduate Division allows only non-emeritus members of the UC Berkeley Academic Senate to serve as faculty advisors for graduate degree students. Senate members are professors (full, associate, and assistant) and certain senior lecturers. Emeritus faculty continue to serve as faculty advisors only for students they advised prior to retirement.

Once you have identified a new faculty advisor, you will need to complete a Faculty Advisor Change form, which is available in the Student Academic Services Office. Obtain the required signatures of approval on the form and file it with the Student Academic Advisor in Room 2210, 2121 Berkeley Way for approval by the Head Graduate Advisor.

## Head Graduate Advisor

The Dean of the Graduate Division has appointed GSE Professor **Jabari Mahiri** to serve in the capacity of Head Graduate Advisor for academic year 2021-22. The primary responsibility of the Head Graduate Advisor is to certify that the requirements of the Graduate Division and the department are met in selecting, advising, educating, evaluating, and approving candidates for higher degrees.

The Head Graduate Advisor works with faculty to oversee the academic progress of students. Your academic records will be reviewed periodically. If problems are found (i.e., low GPA; incomplete grades; inappropriate or inadequate course work; evaluations or examinations overdue; etc.), you will be notified. Problems not resolved within a designated time may lead to your being placed on academic probation. It is essential that you respond in writing in a timely manner to correspondence received from the Head Graduate Advisor. If there is an illness or emergency that has affected your status as a student, this information should be included. Questions on academic matters should be directed to the Graduate Student Affairs Officer (GSAO), Rosa Garcia, in the Student Academic Services Office, [rosa@berkeley.edu](mailto:rosa@berkeley.edu). She will refer you to the Head Graduate Advisor if an appointment is required.

## Student Academic Advisor and Area/Program Assistants

The GSAO is responsible for information regarding the University, Graduate Division and GSE policies, procedures, and requirements. The GSAO also provides information on withdrawal and readmission procedures, as well as change of degree goal petitions.

For advice on academic matters, consult with your faculty advisor; the GSAO; or the Head Graduate Advisor. Program Assistants provide information about faculty; requirements; and courses specific to their program area(s) and cluster(s).

# Registration and Related Academic Policies and Procedures

## Health, Wellness, and Mental Health Services

University Health Services (UHS) at the Tang Center is a comprehensive health center, complete with medical; mental health; wellness; and insurance programs all within blocks of campus. Services provided include primary, urgent, and specialty medical care; pharmacy, laboratory, and radiology services; physical therapy; counseling and psychological services, including a career counseling library; health promotion services; and eTang online student portal. Registered students can use all services at UHS whether or not they have Berkeley SHIP. <https://uhs.berkeley.edu/>

## Student Health Insurance Plan (SHIP)

All registered students at the University of California are required to meet the university's health insurance mandate. Registered UC Berkeley undergraduate and graduate students are automatically enrolled in the Berkeley Student Health Insurance Plan (SHIP) as a way to meet this mandate. SHIP coverage includes medical; mental health; dental; and vision benefits. The Fall semester coverage period is August 1-December 31, and the Spring semester covers January 1-July 31. Dependent plans and a free Insurance Helpline are also offered. Learn about how to use SHIP here <https://uhs.berkeley.edu/insurance-ship/how-use-ship> (including claims and billing). Remember, all students can use the Tang Center, whether you waive SHIP or not.

## Photo Identification

The Cal photo ID card (CAL1 card) is the official student identification card. If you are a new student, you must make an appointment to provide in person identity verification of the cardholder via a valid (i.e., non-expired) government-issued photo identification card (e.g., driver license, State ID, passport, military ID). For more information go to <https://cal1card.berkeley.edu/>

## Becoming a Registered Student

Becoming a fully registered student involves two steps: **(a) enrolling in classes; and (b) paying fees.** Note that you will NOT have any fees assessed to your account until you have enrolled in at least one class.

### *Enrolling in Classes*

While most graduate and professional students will follow the [standard process of enrollment](#) in CalCentral, some may have different enrollment dates and processes.

Enrollment appointments in CalCentral will be available for incoming students starting July 2021. You MUST enroll early to be eligible for academic appointments; stipends from University fellowships and grants; and access to services and programs.

For more information, see the [Enrollment FAQ Page](#), or send an e-mail to [sishelp@berkeley.edu](mailto:sishelp@berkeley.edu) for technical issues; or to your GSAO for advising help.

### *Fee Payment Information*

Your registration fees are billed through the [Billing and Payment Services Office](#). Registration fees for the current or upcoming semester can be found on the [Office of the Registrar website](#).

Your first billing statement (e-Bill) will be available in early August and must be viewed online through CalCentral. Paper bills are not generated; your only notification will be by e-mail. E-Bills are generated once a month. Once the e-Bill is created, it does not update. Before making a payment, it is important to first view your updated balance by logging into CalCentral. If you are eligible for financial aid, please note that the August e-Bill will not show your financial aid payments, including loan disbursements, for the Fall semester.

### **Non-resident Supplemental Tuition (NRST) Waiver**

Doctoral students who have advanced to candidacy will have their NRST fees waived, subject to the following conditions:

- A student must be advanced to doctoral candidacy as of the first day of the academic term for which the NRST coverage would apply.
- The NRST is waived for a maximum of three years.
- A student who continues to be enrolled after three years will be charged with the full NRST rate that is in effect at the time.

Further information about this policy can be found on the [Graduate Division's website](#).

### **Course Load**

A full-time course load for graduate students on the Berkeley campus is 12 units of course work per semester. Although it is possible to register for fewer units, there are no “part-time” graduate programs in the Graduate School of Education – full fees are paid regardless of the number of units being taken each semester. Also, because the resources that the GSE and campus receive are based in part on students’ course unit loads, we strongly urge students to enroll in 12 units. All doctoral students who have advanced to candidacy and are working full-time on their dissertations should enroll in 12 units of EDUC 299 (Special Study and Research), until they finish their degree.

### **Minimum Number of Units**

- If you are receiving financial assistance through the UC Berkeley Financial Aid Office (loans, grants, work study), you need to enroll in at least 12 units of 100 or 200 series courses.
- If you are an international student on an F-1 visa, you need to enroll in 12 units of 200 series courses.
- If you are an international student on a J-1 visa, check with the Services for International Students Office (510) 642-2818 for minimum unit requirements.
- If you are on a fellowship or scholarship, you are required to enroll in at least 12 units of course work in 100 or 200 series courses.
- If you have an appointment as a GSI, GSR, reader or tutor, you need to enroll in at least 12 units of 100 or 200 series coursework.

### **Minimum Academic Residency**

The minimum number of semesters of registration required is:

- MA > Two semesters of academic residence
- PhD and EdD > Four semesters of academic residence

Academic residence is earned each semester you are registered for at least four units of 100 series (undergraduate, upper division) or 200 series (graduate level) courses.

### **Summer Sessions**

One summer session may be counted toward academic residence if it precedes, or follows, a regular term for which you were registered, and if you were enrolled for at least 3 units in the 100/200 series in that

particular Summer Session.

## **Registration Requirement**

As stipulated by the UC Regents' policy, graduate students in good standing are required to be formally registered every regular academic term, from matriculation to completion of degree requirements, unless granted formal withdrawal by the Dean of the Graduate Division. If you are an international student, you must remain registered to maintain your visa status.

## ***In Absentia* Registration**

*In absentia* status is a form of registration available to academic and professional graduate students undertaking research or coursework related to their degree programs outside of California, or under limited circumstances, in California outside the immediate Bay Area. Students registered *in absentia* will only be assessed full health insurance fees and 15 percent of the combined Student Service Fee and Tuition, and full professional degree fees and non-resident supplemental tuition, if applicable.

All applications are due by August 1 for the Fall semester, and by January 1 for the Spring Semester. Students on *in absentia* registration must be enrolled full-time in regular UC units, e.g. research units. Students in self-supporting programs are not eligible for *in absentia* registration.

Research or coursework:

- Must be of a nature that makes it necessary to be completed outside of California for at least one full semester;
- Must be directly related to the student's degree program as evidenced by faculty approval;
- Must involve only indirect supervision appropriate to evaluating the student's academic progress and performance from UC faculty during the *in absentia* period; and
- Must involve no significant studying or in-person collaboration with UC faculty during the *in absentia* period.

Doctoral students must be advanced to candidacy by the time *in absentia* begins and may only use *in absentia* registration for a maximum of four semesters.

Master's only and graduate professional students must have completed at least one year of course work by the time *in absentia* begins and may only use *in absentia* for a maximum of two semesters.

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

To apply for *in absentia* status, go to [CalCentral](#) > My Dashboard > Student Resources > Special Enrollment Petition.

## **Course Enrollment**

Use CalCentral to review your academic record and enroll in classes.

For the course control number; time; and location of courses, refer to the Education Schedule of Classes, on the GSE website <https://gse.berkeley.edu/>. For courses outside of the GSE, please check the campus's course website, <https://classes.berkeley.edu/>

If you want to enroll in (add) a class, keep in mind: For graduate students, the limit for Phase 1 is 12 units; and for Phase 2 it is 20.5 units. This is a hard cap enforcement. If you need to go over the limit please contact Student Services

You will be charged a \$5.00 fee for each class added after the third week of instruction (11:59 pm PST on Friday).

**Students who have not enrolled in at least 12 units by the end of the adjustment period (end of 3rd week of semester), and made a fee payment by the appropriate deadline, will be charged a \$150.00 late registration fee, and may be dropped from their courses.**

### **Adding and Dropping Courses**

You can add/drop classes within CalCentral. For add/drops after the official deadline please use the ADD/DROP form on the website and send to the Scheduling Assistant in the Student Services Office. For additional questions, check out the Enrollment FAQ at the Student Information Systems website, [sis.berkeley.edu/help/enrollment-faq](http://sis.berkeley.edu/help/enrollment-faq).

### **Adding and Dropping Courses Retroactively**

The GSE does not process Add/Drops Retroactively (after the end of the semester).

Review your course schedule and make sure you are enrolled in the correct course with the appropriate number of units. Please make necessary changes prior to the Add/Drop deadlines for each semester.

### **Changing Grading Option**

With your faculty advisor's approval, it is possible to take some letter-graded courses on a Satisfactory/Unsatisfactory (S/U) basis. Prior to the last day of classes, you can petition to change the grading option of your course(s). To do so use the same procedures that apply to add/drops (see above). Please remember that certain required GSE courses must be taken for a letter grade (e.g., core/required courses).

The GSE does not accept retroactive grade change requests.

### **Independent Study Course**

Education 299-Special Study and Research is offered on a Satisfactory/Unsatisfactory basis only. After advancement to candidacy for a doctorate, you should enroll in EDUC 299 for the purpose of conducting research; collecting data; or working with your faculty advisor on your dissertation. Prior to advancement, you are expected to enroll in regular courses. Doctoral students preparing for orals should also enroll in EDUC 299.

Students working toward the Master of Arts degree are not permitted to use 299 courses to count toward the MA degree.

Courses numbered 299 are reserved for thesis and dissertation research and writing. They cannot be used to meet course requirements for areas of specialization; academic preparation; GSE core courses; or methods. Any requests for exception must be submitted to the Head Graduate Advisor for review. See the GSAO for instructions.

### **Grading**

#### ***Satisfactory/Unsatisfactory***

Credit for courses taken on a S/U basis are limited to one-third of the total units (excluding courses numbered 299 or those in the 300, or 400 series) that students have taken and passed at Berkeley at the time their degrees are awarded. For master's degrees, two-thirds of all coursework must be letter-graded. Within

these limits, courses in the 100 and 200 series graded Satisfactory may be accepted for academic residence.

The Academic Senate also mandates that you may not exceed one-third of the units accumulated to date on a S/U basis (i.e., you cannot take the first third of your course work for S/U grades and all subsequent course work for letter grades.) An “S” is awarded for work regarded as satisfactory performance for a graduate student; that is, for B- or better work. Anything below a B- would result in a U or unsatisfactory grade. Some courses can only be taken on a S/U basis as noted in the course description. If your program depends heavily on courses that cannot be taken for a letter grade, you should be particularly careful about using the S/U option when you have that option.

Some courses may not be taken on a S/U basis. Among these are the GSE’s core and methods courses (which must be passed with a B- or better grade) and, in nearly every instance, area/cluster/program core/required courses.

### **Minimum Grade Point Average (GPA)**

You are expected to maintain a grade point average of at least 3.0 in all work undertaken in graduate standing. If your GPA falls below a 3.0, you will be placed on academic probation by the Graduate Division. Students on probation are subject to dismissal unless their GPA is raised to the minimum level by a time designated by the department and approved by the Dean of the Graduate Division.

If you receive a grade below B- in a required course, another course that is deemed equivalent needs to be completed with a passing grade. You may repeat a course only if a grade of D+ or below is received.

### **Incomplete Grades**

A grade of Incomplete may be assigned when there is a circumstance beyond your control, such as illness, that prevents you from completing work required for a course. If this occurs, you should inform the instructor before the end of the semester and work out a schedule for completing outstanding assignments. Some points to remember about incompletes are:

- In the Graduate School of Education, first year students with any grades of Incomplete will not be permitted to complete their First Year Evaluation until those Incompletes are resolved.
- A maximum of two Incomplete grades are permitted to accrue on your record. If this limit is exceeded, you may be recommended for academic probation. Please note that you cannot hold a GSI or GSR appointment if you have more than two Incomplete grades on your record.
- Before being recommended for an MA degree, students must resolve all Incompletes on their records.
- Before taking the Qualifying Exam, students must resolve all Incompletes on their records.

For courses taken Fall 2016 or later, removal of Incomplete grades will be done by instructors in CalCentral. If an Incomplete grade was assigned prior to Fall 2016, you must use an Incomplete Removal Form available in Student Services or on the Office of the Registrar’s website, [registrar.berkeley.edu/forms](http://registrar.berkeley.edu/forms).

### **Intercampus Exchange and Other Exchange Programs**

You can take advantage of courses offered on other campuses of the University of California by enrolling through intercampus exchange. The University of California also has exchange programs with other institutions. Information about these programs, including application forms, can be obtained at the Graduate Division Degrees Office, 318 Sproul Hall or [grad.berkeley.edu/programs/exchange-programs/](http://grad.berkeley.edu/programs/exchange-programs/). These forms must be approved by the GSE’s Head Graduate Advisor prior to being approved by the Graduate Division. Please contact the GSE’s GSAO if you have questions.

Berkeley students should note that they will not automatically receive credit for completing courses on other

campuses, but the courses will be posted under the Memoranda column on their transcript. If a transfer of units is desired, consult the Graduate Division Degrees Office, 318 Sproul Hall.

### **Changing Programs/Clusters**

After 2017, students will no longer be allowed to switch between programs or from programs to clusters. Students who were admitted to the PhD in Education Fall 2017 or later may petition to change from one cluster to another cluster. You may apply for a change in clusters by taking the following steps:

- Consult your faculty advisor and discuss the reasons you wish to be in a different cluster.
- Consult faculty members who might serve as your faculty advisor should the change be approved. If the change is to another cluster, the Cluster Convener or Program Director is required to approve the change.
- Prepare a new Statement of Purpose outlining your objectives; research interests; and reasons for the change.
- Obtain a petition form for the change of program objective from the Student Academic Services Office.
- Complete and return the petition, along with your new Statement of Purpose, to the GSAO in Student Services, Room 2210. Before the change can be made, it must be approved by the Head Graduate Advisor.

When considering a change in cluster, you should keep in mind that you will be required to complete the new cluster requirements. Changes must be made prior to taking the Qualifying Exam.

### **Changing Degree Objectives**

If you were admitted to a program with the degree objective of earning a master's degree and wish to apply for admission to a doctoral program, you need to take the following steps:

- Consult your faculty advisor, whose support you will need for the desired change, and discuss the reasons why you should be in a doctoral degree program.
- Apply via the [Online Application for Admission](#).
- You must submit all the documentation required from applicants for initial admission to the program. Your application will be evaluated along with other applicants and must be approved by the GSE and the Graduate Division. Adding the doctoral degree can only be done for the fall semester.

**Your normative time for the doctorate will remain at 12 semesters and will be calculated beginning with the semester you first enroll in a graduate program at UC Berkeley. *Students may not transfer from one doctoral degree or program to another after completing the Qualifying Examination.***

If you are a doctoral student and wish to add the MA to your degree objective, please consult with the GSAO in the Student Services Office. The MA should be added prior to your Qualifying Exam.

The Graduate Division rarely permits duplication of degrees in the same field. If you hold an MA in Education from another institution you may need to petition in order to add the master's degree from the GSE. See the GSAO for more information.

### **Cancellation of Registration**

The Office of the Registrar will cancel a student's registration by the end of the eighth week of classes if there are no course enrollments regardless of whether fees have been paid.

**If you are enrolled in classes and you do not plan on attending that term, you must submit a Withdrawal**



Request Form in [CalCentral](#) > My Dashboard > Student Resources > Withdrawal Form.

If you submit your form before the first day of instruction for the term, your request will be processed as a Cancellation. You will be dropped from all classes, and all term fees will be de-assessed. There will be no notation of the cancellation on your transcript.

Students should also notify the GSAO in Student Services Office.

International students in F or J status who plan to cancel their registration must first discuss their plans with an advisor at the Berkeley International Office (BIO). Not doing so could result in invalidation of the student's immigration status, which then may result in deportation and ineligibility to re-enter the United States.

## **Withdrawal**

**Continuing students:** Students initiate withdrawal requests through Cal Central by submitting the withdrawal request form. **If you submit your Withdrawal Request Form on or after the first day of instruction**, your request will be processed as a Withdrawal. Students may withdraw up to and including the last day of a given semester. You will be dropped from all classes and will be subject to prorated penalties outlined in [Refunds After Withdrawal](#). You should consult with the GSAO in the Student Services Office.

**Withdrawing also affects a semester of financial aid eligibility.** If you have a student loan (Federal Direct, Health Professions, or Perkins), the process remains the same as any withdrawal, and you are required to complete an exit interview.

Withdrawing results in dropping enrollment in all classes and the student (you) will no longer be able to attend for that semester or any future semester until readmitted. A program is not obligated to readmit any student who has withdrawn. Students should be advised that re-admission is not guaranteed.

## **Conditions of Withdrawal Status**

Withdrawing results in dropping enrollment in all classes and the student (you) will no longer be able to attend for that semester or any future semester until readmitted. Graduate students who withdraw may not use any University facilities except those available to the general public, nor may they make demands on faculty time.

Non-registered students' requests for approval of milestones will be denied until the student has been formally re-admitted.

To register for subsequent semesters, students who have withdrawn must obtain the approval of the Head Graduate Advisor in their program and apply for readmission. **A student who chooses to withdraw is not guaranteed re-admission.**

## **Withdraw for Medical Reasons**

If you are withdrawing for medical reasons, the process remains the same as any withdrawal and will be recorded as a "Self-Requested Medical Withdrawal." However, [University Health Services](#) at the Tang Center has an additional process for reviewing medical withdrawals which, if approved, will be recorded as "Approved Medical-Withdrawal."

## **International Students (F and J status)**

International students are expected to remain registered at all times. Continuing students may be able to

withdraw for extremely limited reasons and still remain in compliance with the federal Students and Exchange Visitors Information System (SEVIS) requirements. Before applying for withdrawal through their program, international students must meet with an advisor at the Berkeley International Office (BIO). If an international student fails to register or withdraw without consulting with BIO, his or her visa will be in jeopardy, which could result in deportation and denial of re-entry to the United States.

### **Parental Leave**

Students requesting parental accommodations must have substantial parenting responsibilities. Substantial parenting responsibilities are defined as pregnancy, childbirth, care of a newborn or newly adopted young child, the serious illness of a child, and other exceptional circumstances relating to a child. The child may be the student's child or that of a spouse or domestic partner. To apply for *parental leave*, go to [CalCentral](#) > My Dashboard > Student Resources > Special Enrollment Petition.

For questions regarding any types of leave, please contact the GSAO in the Student Services Office, Room 2210, 2121 Berkeley Way.

### **Re-admission and Re-enrollment**

Students who were previously registered at Berkeley in a graduate program, withdrew for a period of time, and wish to return within five years to the same degree program (i.e. "stopped out"), will re-enroll, rather than re-apply. [Re-enrollment](#) (sometimes known as re-admission) is recommended at the judgment of the program, which assesses the strength of the student's academic record in weighing its approval. A program is not obligated to re-enroll a student who has withdrawn for any reason, including an official medical withdrawal with exception of students on official parental leave. Some programs weigh petitions for re-enrollment against their pool of new applicants for admission, who may be stronger candidates, even if the student withdrew having made satisfactory academic progress.

The application must be approved by the area/program/cluster; the Head Graduate Advisor; and the Dean of the Graduate Division. If problems (i.e., low GPA, poor progress) are identified at the time of either withdrawal or re-admission review, the student may be denied re-admission or be required to meet certain conditions prior to re-admission. Questions about re-admission should be directed to the GSAO.

### **Re-enrollment on Probationary Status**

A program may request that a student be re-enrolled on probationary status if there is a question about the student's ability to make good academic progress.

### **A successful application for re-enrollment requires:**

- A statement from the student proposing a plan and timeline for completion of the degree and confirmation that the agreed-upon conditions for re-admission have been met.
- An appraisal by the relevant program/cluster faculty that the student has good prospects for completing the degree.
- An agreement by at least two faculty members to serve as advisors and committee members.
- Approval from the Head Graduate Advisor.

### **Requesting Re-admission After More Than Five Years**

Students who have been away from the University for more than five years must submit all the documentation required from applicants for initial admission to the program. Students are required to apply via the [Online Application for Admission](#).

### **Summer Readmission**

Students who have not been continuously enrolled are not eligible for Summer readmission. The only

exception is for students who were on Filing Fee the preceding Spring semester and missed the deadline to file their MA Comprehensive Report or doctoral dissertation by the May deadline.

### **Requesting Admission to a Different Degree Program and/or Degree Goal**

Students must apply for admission for graduate study in a different program or for a different degree goal. This requires the same documentation required from applicants for initial admission to the program.

### **Filing Fee**

The Filing Fee is a reduced fee, one-half of the Student Services Fee (formerly the University Registration fee), for doctoral students who have completed all requirements for the degree except for filing the dissertation (Plans A and B).

It is also available to master's students with no requirements remaining except for filing the thesis (Plan I) or taking the final comprehensive examination (Plan II). The Filing Fee is available for the fall and spring semesters only.

The Filing Fee is not a form of registration. If students wish to use University services that are supported by registration fees, they must pay those fees. Students on Filing Fee status are not eligible to receive university funding or hold academic appointments because they are not registered.

**The Filing Fee may be used only once during a student's career at UC Berkeley. Students who use it for their master's degree program cannot use it for a doctoral program.**

**If a student does not complete the final degree requirements (filing the dissertation or thesis, or passing the final comprehensive exam) during the semester for which the Filing Fee is approved, the student must apply for re-admission and pay regular registration fees during a subsequent semester to complete the requirements.**

#### Eligibility

Filing Fee status is only available for students registered in the immediately previous term: fall semester to be on Filing Fee in spring; spring semester or Summer Session (registered for at least three units) to be on Filing Fee in fall. Filing Fee status is not available for Summer Sessions. (Students are permitted to file a thesis or dissertation while registered for Summer Session.)

#### Duration of the Filing Fee

The Filing Fee applies for the length of the semester for which Filing Fee status has been approved, up to the last working day of the term, which is the deadline for filing a thesis or dissertation.

#### Filing Fee status and International Students

In most cases, Filing Fee status can satisfy the SEVIS registration requirement for F-1/J-1 international students. To avoid visa problems with the U.S. Immigration and Customs Enforcement, international students must contact the Berkeley International Office well before the beginning of the semester during which they plan to use the Filing Fee.

#### 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.

## Procedure

Students must apply for the Filing Fee no later than the end of the first week of classes of the semester in which they intend to file their dissertations or take their final examinations. To apply for *Filing Fee* status, please go to [CalCentral](#) > My Dashboard > Student Resources > Special Enrollment Petition. You will be billed the Filing Fee on your CalCentral “My Finances” statement. The degree cannot be awarded until the Filing Fee is paid.

- Master’s only, Masters/Credential degree students may apply for the Filing Fee if they have completed all the requirements for the degree except for filing the master’s thesis or taking the Comprehensive Examination. **Students must consult with GSAO one semester prior to check eligibility.**
- Students holding a GSI or GSR appointment are not eligible to apply for Filing Fee status.

## **Conditions of Filing Fee Status**

**Filing Fee status is not equivalent to registration.** Students on Filing Fee status may not take courses or use any University facilities not accessible to the general public.

Students on Filing Fee status can retain their e-mail account. Upon request, the GSE can supply memos to allow a student on Filing Fee status to use the library. Please see the GSE’s Student Academic Advisor.

Before applying for Filing Fee status, students should check with their lender to see if they will be required to pay any outstanding loans, since they will no longer be registered.

## **Diplomas**

Diplomas are available approximately four months after the date degrees are conferred. Diplomas for graduates will be sent via U.S. mail automatically. Students should update their mailing address on CalCentral during the semester they plan to graduate.

## **Transcripts**

Current students can order transcripts via CalCentral. More information is available at [registrar.berkeley.edu](http://registrar.berkeley.edu).

## **Disabled Students Program**

Please see Appendix E.

# Student Academic Appointments

## Policies and Procedures

If you are offered a position as a Graduate Student Instructor (GSI)\*; Graduate Student Researcher (GSR); Reader; or Tutor, you will need to complete a “Student Academic Appointment Application.” Please [click here](#) to complete the Student Academic Appointment Application form.

Upload and submit the completed form, as well as your CV. Junko Kiross in the Business Services Office (4th Floor, 2121 Berkeley Way) begins the hiring process.

Student Services staff will check your academic eligibility for the appointment (GPA; “I” grades; registration status; “normative time” progress). If you are behind in your degree progress, there may be a delay. Once your academic eligibility has been approved, the Student Services Director will notify Junko Kiross. As a final step, the appointment will be established in the UC Path.

Please note that if you are receiving a Doctoral Completion Fellowship, there are restrictions on holding a student academic appointment during the semesters you receive the fellowship (see pages 35-36 for more information on the Doctoral Completion Fellowship).

## Minimum Requirements and Criteria for ASE or GSR Appointment Eligibility:

- Students must be registered for the *entire* semester for which they hold a graduate student academic appointment and must be registered by the end of the fifth week of classes. Current registration status can be confirmed on CalCentral. The definition of registration is:
  1. Enrolled in at least one class (separate from minimum 12 unit requirement to hold an appointment),
  2. Have paid a minimum of 20% of assessed fees/tuition,
  3. Have no registration blocks.
- Students must be enrolled in a minimum of **12 units** by the end of the fifth week of classes and must maintain the minimum of 12 units for the entire semester.
- New incoming students must fulfill the Sexual Violence and Sexual Harassment Prevention Education Requirement or registration could be blocked. For more information and questions see [PATH to Care Center](#).
- Students on filing fee status are not eligible to hold Graduate Student Instructor (GSI) or Graduate Student Researcher (GSR) appointments. These students are eligible to be appointed as Readers and Tutors.
- Students on “*In Absentia*” status are not eligible to hold Graduate Student Instructor (GSI), Reader or Tutor appointments but could hold a Graduate Student Researcher (GSR) appointment and could be eligible for the fee remission program with a *qualifying* GSR appointment.
- Students receiving the Doctoral Completion Fellowship agree to accept no appointment more than 25% time across the two semesters of DCF funding (e.g., 50% during one of the two semesters or 25% during both). No other positions may be held.
- Students receiving full fellowship support (stipend plus fees) are limited to 25% time per semester (or 50% time for one semester only).
- Students can work as a GSI for a maximum of eight semesters
- **Minimum GPA** for holding an academic appointment is **3.0**.
- Academic appointees may have **no more than 2 incomplete grades** in upper division or graduate courses.

- Students must be making **satisfactory degree progress**, which includes meeting program benchmarks, **not being on academic probation or in lapsed candidacy**, and meeting goals set by the faculty.
- Appointees must be clear of certain disciplinary probations based on the Code of Student Conduct.
- All first-time ASEs must attend the New ASE Orientation sponsored by the campus' Labor Relations Office during the semester of their appointment. If the ASE fails to attend, he or she is ineligible for future appointments until this requirement is satisfied.
- GSIs who are required to complete the **English oral proficiency test** must take and pass the test **before** they can be appointed.
- New GSIs are required to fulfill the following requirements:
  1. attend the Teaching Conference for First-Time GSIs,
  2. complete the GSI Professional Standards and Ethics Online Course (please note, every first-time GSI must successfully complete the online course Professional Standards and Ethics for GSIs **before they interact with students (in person or online) in their role as an instructor**),\*
  3. and enroll in and complete a 300-level semester-long pedagogical seminar on teaching.

### **Exceptional Appointment Requests**

These requests require the submission of a **“Request for Exception” form** (in addition to the appointment application), and the approval of the Head Graduate Advisor. Students requesting an exception must be making good progress toward their degree. **Requests are reviewed on a case-by-case basis.** Exception forms are available from the GSE's Student Services Office; Business Services Office; or the GSE website, [gse.berkeley.edu/bso-payroll-and-personnel-forms](http://gse.berkeley.edu/bso-payroll-and-personnel-forms).

Appointments requiring the submission of a Request for Exception form include:

- Percent time for all appointments held exceeds 50% (but not more than 75%). Note: Requests to work more than 50% time during the academic year may only be approved once and only for one semester (Exception: Federal regulations prohibit foreign students from working more than 50% time during the academic year). During the winter intersession and summer break, appointments up to 100% time are allowed without an exception.
- GSI, Reader, or Tutor (not advanced to doctoral candidacy) assisting in 200-level course; and
- GSI being promoted early from Step I to Step II; or from Step II to Step III.

### **Fee and SHIP Remission Programs/Fee Payment Procedures**

(For salary/remission amounts, go to [grad.berkeley.edu/financial/fee-remissions/](http://grad.berkeley.edu/financial/fee-remissions/))

Graduate students appointed for 25% time or greater, for the entire semester, as a GSI, GSR (or combination of both titles) are eligible for partial fee remission, and full remission of the Student Health Insurance Premium (SHIP).

Graduate students with **GSR-only appointments of 45% time or greater are eligible for full fee remission**, including non-resident tuition (if applicable), and remission of the Student Health Insurance Premium (SHIP).

**Financial Aid recipients who qualify for fee remission need to report this award information to the Financial Aid Office.**

**SHIP enrollment information and Health Insurance Waiver forms may be obtained from the University Health Services** at the Tang Center, 2222 Bancroft Way. More information is available at [uhs.berkeley.edu/Students/insurance](http://uhs.berkeley.edu/Students/insurance).

**Fee Payment Procedures:** Eligible students will receive a credit on their University CARS account in the amount of the remittable fees after the hiring department enters the appointment in the Payroll System. *Please note that students are responsible for making sure that their fees are paid by UCB deadlines.*

In many cases, fee payments are due before appointments are approved (the administrative process for fee remission requires approximately 2-3 weeks from the time you submit your appointment application to the department office until the fee remission credit appears on your CARS account). For this reason, if we have not received your appointment application paperwork by August 15th (the due date for registration fees/tuition) you will need to pay at least 20% of the registration fees/tuition. To do this you can use the Deferred Payment Plan. Under this option, a \$40.00 charge is assessed, but it is reimbursed for students who hold 45% time or greater GSR appointments (those eligible for full fee remission).

If you are unable to pay 20% of your fees by the deadline, you can get an emergency loan through the campus Financial Aid Office to cover this amount until your fee remission is credited to your CARS account. More information is available at [financialaid.berkeley.edu](http://financialaid.berkeley.edu).

### **Timesheets**

GSI's are not required to submit timesheets, but timesheets are required for students holding GSR, Reader, or Tutor appointments. Submission of late timesheets not only results in late receipt of paychecks, but it can also result in appointment separations due to payroll inactivity creating problems with fee remission. In some cases, this could result in a reversal of your fee remission by the Graduate Division. Check with the GSE's Business Services Office for timesheet forms, instructions, and deadlines.

*Appointment renewals must be submitted to the GSE's Business Services Office a minimum of one month in advance.*

### **Additional Resources**

Additional detailed information about appointment policies and procedures is available on the Graduate Division's website, [grad.berkeley.edu/financial/graduate-student-employment/](http://grad.berkeley.edu/financial/graduate-student-employment/). The GSI Teaching and Resource Center provides pedagogical support and guidance for GSI's. It is also responsible for administering the English Language Proficiency exam. Their office is located in the Graduate Division, 301 Sproul Hall. More information is available at [gsi.berkeley.edu](http://gsi.berkeley.edu).

# Master of Arts Degree (MA)

## Registration Requirement

The Graduate Division expects students to be continuously registered until their degree is completed. Under certain circumstances, a candidate for the Master's degree need not be a registered student at the time the last of the requirements for the degree are completed. See pages 16-17 for use of the Filing Fee. Please note that a minimum of two semesters of residency is required.

## Time to Degree

A Master of Arts degree may be completed in two semesters and should take no more than four semesters.

## Outline of Program

### *Selecting Courses*

Some programs have very specific course requirements. If, however, your program permits you to select courses, you should meet with your faculty advisor early in the first semester to plan a course of study.

The Master of Arts degree calls for substantive training in an area of educational research under the provisions of each program. Select an area that is neither too broad, nor too general, given the unit constraints of the Master's program. From there, look at courses in the GSE and other departments to see where components of the area involve course work in other fields. Your goal should be depth and coverage in a one-to-two-year period of graduate study. If your MA degree is a part of a PhD program, your needs and time are different than if you are in a program that ends with earning a Master's degree. For a Master's only degree, choose the area carefully to ensure that the program is coherent and of suitable depth for the MA.

Although the University of California, Berkeley has two MA plans, GSE students are restricted to Plan II.

### *Plan II Requirements*

- 24 semester units and a Comprehensive Examination, including at least 12 units in 200 series Education courses. The remaining units are selected from 100 and 200 series courses in the GSE or related departments, including a GSE core course. A maximum of one third of the total units as shown on your transcript may be taken on a Satisfactory/Unsatisfactory basis. Please note that EDUC 299 Independent Study courses may not be used to meet the Master's unit requirement.
- The MA Comprehensive Examination is taken after completing the required 24 units. The Comprehensive Examination can take the form of a written examination or a written seminar paper, which may include an oral examination.

The written examination, taking two or three hours to complete, examines students in their area of specialization. Examinations are evaluated by the faculty advisor and at least one other faculty member. The written seminar study is ordinarily completed in connection with an advanced seminar in the student's field of study. The topic is selected in consultation with both the faculty advisor and the instructor of the seminar. After completing the seminar study, the MA candidate may be required to pass an oral examination. The faculty advisor and at least one other faculty member will evaluate the seminar study.

## Human Subjects Protocol

If human subjects, or data collected from human subjects, are to be used in your research, you are required to submit a protocol to the Committee for Protection of Human Subjects (CPHS) prior to beginning your



research. Guidelines for writing a protocol, as well as the appropriate forms and information are available from the Office for the Protection of Human Subjects. If you are unsure as to whether your research will require you to submit a protocol, contact the CPHS offices. Formal exemptions are granted when appropriate, but in such cases, students must submit an exemption form describing their study to the CPHS. The Committee for the Protection of Human Subjects is located at 1608 Fourth Street, Suite 220, Berkeley, Calif., 94710. Their website is [cphs.berkeley.edu](http://cphs.berkeley.edu).

## **Completing the MA**

### *Plan II (Comprehensive Examination)*

The form for the Report on MA Comprehensive Examination (Plan II) – seminar study or examination – can be obtained in the Student Services Office or on our [website](#). Two GSE faculty members, at least one of whom is a member of the UC Berkeley [Academic Senate](#), participate in the approval of the comprehensive requirement. The completed form is signed by the two faculty who administer the exam, and by your faculty advisor, and is filed with the GSAO in the Student Services Office. It is recommended that you check with the GSAO to verify that the form has been received. An oversight could lead to the exclusion of your name from the Graduate Division’s degree conferral list.

Students may collaborate on a Master’s research project. Each student, however, must submit a separate paper representing their own contribution to the project, and this document must be capable of standing independently from the group project.

# Doctoral Degree (PhD)

## Focus

The PhD is intended for individuals who wish to conduct original, theory-based research on educational issues, and who intend to pursue careers in research and university-level teaching.

## Areas of Specialization

The PhD program requires demonstrated competence in the substance and method(s) of the intended field of scholarship, as well as acquisition of an informed perspective on educational issues sufficient to formulate significant questions for research. Its goal is to increase our understanding of the nature of the educational process or of the social, political, and economic forces that affect education.

PhD candidates are expected to select three distinct areas of study, referred to as the “Areas of Specialization.” These areas represent substantial and different bodies of relevant literature. The PhD student is expected to acquire a sufficient academic and methodological preparation to be able to present, analyze, and develop a theoretical understanding of selected problems and issues.

Typical areas might be: cognitive developmental theory and the design of early childhood curriculum; models of reasoning in physics; or educational policy and theory for management of large research universities. Typical academic preparation might be in psychology; sociology; economics; linguistics; or physics. Typical methodology preparation beyond basic competence in quantitative and qualitative methods may include specialization in survey research; measurement; participant observation; or statistical methods appropriate to an area of research.

## Courses

In the GSE, two years of full-time course work is considered to be the minimum requirement prior to taking a Qualifying Examination. Students without a Master’s degree in an academic discipline typically require three years of course work. After passing the oral Qualifying Examination, students should enroll in independent study courses (EDUC 299) until they finish their degree. Contact your faculty advisor, or the GSAO, for specifics on course requirements.

All PhD students are required to take at least two courses outside of the Graduate School of Education. These courses must have a combined unit value of at least six semester units, and they should be relevant to the student’s areas of specialization. Since they are required courses, these courses must be taken for a letter grade. The courses should also be either in the 100 or 200 level series.

The expectation is that students will take these courses at UC Berkeley. Additional requirements regarding academic preparation may be set by each area/program.

## Required Courses for Doctoral Students\*

(Required courses must be taken for a letter grade.)

All first-year doctoral students admitted for the Fall 2021 term must take:

- Fall 2021 Semester: **Education 268**: First Year Seminar
- Spring 2022 Semester: **Education 268**: First Year Seminar
- Spring 2022 Semester: **Education 282**: Introduction to Research Inquiry **or** **Education 217**: Methods in Educational & Psychological Research

\*These courses cannot be used to satisfy the inside/outside requirement as defined below.

- Doctoral candidates are expected to complete two courses within the School of Education.
  - One course must be from “inside” the student’s area of study/cluster (i.e., LSHD; Critical Studies; SRM; and PPL). The second course should be “outside” the student’s area of study, but within the GSE. Courses used to fulfill this requirement must be taken for a letter grade. The same course cannot be used to satisfy more than one GSE school-wide requirement. “inside” Cluster course, there is an expectation that each Area/Cluster already has a set of courses that is considered foundational. Students should select one of these courses, in consultation with their faculty advisor, to meet the “inside” course requirement
  - Two additional required courses within the GSE.
  - The selection of both courses will be determined by the student in consultation with their faculty advisor.

For the “inside” Cluster course, there is an expectation that each Cluster already has a set of courses that is considered foundational. Students should select one of these courses, in consultation with their faculty advisor, to meet the “inside” course requirement.

For the “outside” Cluster course, the faculty advisor will help the student select an appropriate course based on the student’s areas of research interest. Please note: depending on the content of a course, it may fit more than one area. The course instructor can help the student determine whether it meets the criteria for an “outside” Cluster course. Once both courses have been identified, they need to be included in the student’s Outline of Program (page 28) which is signed/approved by the student’s faculty advisor and the GSE’s Head Graduate Advisor.

- Qualitative and Quantitative Methods Courses: Doctoral students must complete at least one course each in qualitative and quantitative methods. Students with appropriate backgrounds may petition to substitute another course or other courses to fulfill the Qualitative Methods requirement. Waiver approval for Quantitative Methods may require the passing of an examination. Course Substitution Petition forms are available from the GSAO. Courses taken to fulfill the qualitative and quantitative methods requirement must be taken for a letter grade.

Substitutions for Methods Courses: The methods course requirement must be met with classes identified by the Graduate School of Education. With the approval of the Head Graduate Advisor, one equivalent graduate-level course from another university may be used to fulfill a methods course requirement. All waiver requests must be submitted within the first two years of their program.

- Area/Cluster Core Courses: Each area/cluster has a set of core courses that are required of doctoral students. These core courses are meant to provide exposure to the major concerns and issues of a field of study. Questions regarding area/cluster course requirements (e.g., substitutes, waivers) should be referred to your faculty advisor.
- Areas of Specialization: All students, in consultation with their faculty counselors, develop three areas of specialization on which their individual program will be based. The precise nature of a student’s program – the number and type of courses contained in it, the type and amount of research experience required – will depend on the individual’s academic background, professional or research experience, as well as the nature of the field of study and the requirements of the three selected areas of specialization. Questions regarding these courses should be discussed with your faculty advisor.

## Registration Requirement

The Graduate Division expects that you will be continuously registered until your degree is completed. Under certain circumstances, a candidate for a doctoral degree does not need to be registered at the time the last of the requirements for the degree are completed. See pages 16-17 for use of the Filing Fee.

## MA/PhD Normative Time Schedule

“Normative Time” refers to the amount of time that the Graduate Division has determined it should take a student who is enrolled full time to complete a particular degree program. The normative time for all doctoral degree programs in the GSE is six years, whether you enter with an MA or not. The following schedule reflects the maximum time to complete the various stages in the GSE’s PhD programs in order to complete your degree within the six-year limit.

This timetable does not apply to students in the Leaders for Equity and Democracy Program (LEAD), which is a three-year EdD program.

YEAR 1	
1st Semester	Coursework (see pages 23-24)
2nd Semester	First Year Evaluation (page 27)/ Outline of Program for the MA Degree (see pages 21)
YEAR 2	
3rd Semester	Complete MA Degree (see page 22)
4th Semester	Outline of Program for PhD (see page 27)/ Annual Review
YEAR 3	
5th Semester	Complete Prequalifying Review Papers (see page 27-28)
6th Semester	Prequalifying Review (Completion of Position Papers and a Dissertation Prospectus) (see page 28)/ Annual Review
YEAR 4	
7th Semester	Qualifying Examination (see page 28-31)
8th Semester	Advance to Candidacy (see page 31-32)
YEAR 5	
9th Semester	Dissertation Proposal Review Meeting (see pages 34-35)/ Report on Progress in Candidacy (see page 35)
10th Semester	Conduct dissertation research/Doctoral Candidacy Review
YEAR 6	
11th Semester	Report on Progress in Candidacy (see page 36)
12th Semester	File Dissertation (see pages 35- 36)

## Annual Progress Reviews

Please note these instructions are not intended for students of the School Psychology program. If you are part of the School Psychology program, please contact your program for instructions.

## First year Review

- Submit **one PDF** file to the GSAO with the items listed below
  - The First Year Review Form (fill out the top portion);
  - A copy of your current Academic Summary (available on Cal Central);
  - A writing sample from a completed course that is most closely representative of your interests;
  - Your current CV; and
  - A brief 1-2 page memo about what you view as your current intellectual or scholarly direction.

Your Faculty advisor & the Cluster conveners will meet to review the materials you submit and then provide recommendations and approval signatures.

The Evaluation will be approved by the Head Graduate Advisor if you meet all three criteria: (1) you have no grades of Incomplete; (2) your GPA is satisfactory; and (3) faculty have commented favorably on your academic performance. Note: Serious deficiencies could result in a recommendation for academic probation

## Annual Review

- Submit **one PDF** file to the GSAO with the items listed below.
  - The Annual Review Form (fill out the top portion)
  - A copy of your current Academic Summary (available on Cal Central)
  - Your current C.V.
  - A brief 1-2 page memo about what you view as your current intellectual or scholarly direction.

Your Faculty advisor & the Cluster conveners will meet to review the materials you submit and then provide recommendations and approval signatures.

The Evaluation will be approved by the Head Graduate Advisor if you meet all three criteria: (1) you have no grades of Incomplete; (2) your GPA is satisfactory; and (3) faculty have commented favorably on your academic performance. Note: Serious deficiencies could result in a recommendation for academic probation

## Doctoral Candidacy Review

Graduate Division requires all advanced doctoral degree candidates to complete a Doctoral Candidacy Review (DCR) on an annual basis. The DCR is designed to assist doctoral students and their dissertation chair to stay on track with advising and other supportive activities to help facilitate the completion of doctoral work in a timely manner.

The Doctoral Candidacy Review is an eForm and can be submitted by students through a link in CalCentral. Students initiate the review by beginning completion of the online form. He or she is asked to state what progress has been made toward the degree in the previous year, and to outline expected steps toward completion in the coming year.

Once the student has submitted their part of the review form, the dissertation chair should be notified and then review the student's submitted responses. They should then convene a conversation with the student

and at least one other member of the dissertation committee. The members of the Dissertation Committee should comment on the student's progress and objectives for the coming year. The agreed upon assessment is entered in the report by the dissertation chair, and submitted for the student to review.

Submission of the completed Doctoral Candidacy Review makes it available to the Graduate Division, the GSAO, and the dissertation chair, as well as the student.

## **Milestones for Doctoral Students**

Non-registered students' requests for approval of milestones will be denied until the student has been formally re-admitted.

## **First Year Evaluation**

This review will take place at the end of your second semester in a doctoral or MA/PhD program. Faculty in your cluster will formally review your progress based on course work, grades, papers and in some clusters an exam. The purpose of the First Year Evaluation is to give students feedback on their progress, and to correct any academic deficiencies.

## **Outline of Program**

During the third and fourth semesters, you will be finalizing your areas of specialization and will continue to enroll in courses related to these areas. By the end of your fourth semester, you need to file the Outline of Program form on which you list the courses you have taken, and any remaining to be taken.

### *Procedure*

- Obtain an Outline of Program form from the Student Academic Services Office or from our [website](#),
- Complete both sides of the form in consultation with your faculty advisor and obtain your faculty advisor's signature of approval.
- File the form with the GSAO in the Student Services Office for review by the Head Graduate Advisor.

When the Outline of Program is approved by the Head Graduate Advisor, a copy will be placed in your electronic file.

Additional forms you may need:

- Supplement to Outline of Program – use if a substantial amount of preparation for any of your areas of specialization has been covered by course work taken at another institution.
- Request for Substitution of Required Course – use if requesting a substitution of qualitative and quantitative methods courses. Note: Substitution requests must be submitted within the first two years of your program. Ideally, these requests should be submitted with your Outline of Program.

## **Prequalifying Review (Including Prequalifying Papers)**

This step calls for you to gather your graduate education – course work, tutorials, and research – into a coherent whole. You will be expected to relate what you have learned to issues of concern in your field of study, and to be able to take and defend positions on these varying issues. The Prequalifying Review for EdD students consists of the approval of two position papers and a dissertation prospectus. The Prequalifying Review for PhD degree students consists of the approval of two or three position papers (depending on your area of study) and a dissertation prospectus.

## Procedure for Prequalifying Papers (Position Papers)

- As each prequalifying paper is completed, obtain the Prequalifying Paper Approval form from the Student Academic Services Office, or the GSE [website](#). The two readers must sign the form.
  - Note: the same two faculty members cannot read every one of your prequalifying papers. You must have at least three readers overall.
- At least one of the two readers of each prequalifying paper must be a GSE faculty member who is also a member of the UC Berkeley [Academic Senate](#). If the second reader is not a GSE faculty member, the Head Graduate Advisor must first give approval. Check with the GSAO for more information.
- The signed prequalifying paper approval form should be submitted to the Graduate Student Affairs Officer in the Student Academic Services office.
- Only registered students may submit position papers for review and approval.

## Dissertation Prospectus

The dissertation prospectus is a preliminary version of the dissertation proposal and is usually five to ten pages in length. It is a statement of preliminary work (pilot studies, prior research findings, research goals, hypotheses and methodology) as well as the theories, strategies, and analyses that will be used in the dissertation research. Check program requirements for the style in which the prospectus is to be written. The satisfactory completion of your dissertation prospectus is reported on your Prequalifying Review form.

### *Procedure*

- When all of your prequalifying papers for the doctorate are complete, obtain the Report on Prequalifying Review form from the Student Academic Services Office, or from our [website](#).
  - Note: If individual paper forms were already submitted, reader signatures are not needed on this form – their names just have to be listed. The prospectus title must be included on this form.
- Your faculty advisor completes and signs the Report on Prequalifying Review form, indicating approval of all of your prequalifying papers and the prospectus. Your Cluster/program chair must also sign the form, signifying that all area/program requirements have been met.
- The completed form is then filed with the GSAO in the Student Services Office. The form will be reviewed by the Head Graduate Advisor and placed in your file.

When you have completed the Prequalifying Review and required course work listed on your Outline of Program, you are eligible to apply to take the Qualifying Examination. In the semester in which you take your Qualifying Examination, you must have completed, or be enrolled in, the last of the courses listed on your Outline of Program.

## Qualifying Examination (Orals)

The Qualifying Examination is the University's means of evaluating and certifying the adequacy and appropriateness of your preparation for the doctorate. This examination is required for all doctoral degree programs in the Graduate School of Education. The Qualifying Examination is an oral examination of two or three hours in duration (for differences between PhD and EdD examination requirements, see the following PhD and EdD sections). The Examination Committee is composed of four faculty members selected by the student in consultation with his or her faculty advisor. The purpose of this examination is to: (a) test eligibility of the student for admission to candidacy for the degree of Doctor of Education or Doctor of Philosophy in Education; and (b) evaluate their ability to complete a satisfactory doctoral dissertation.

### **Prerequisites**

Before taking the Qualifying Examination, students must successfully complete the Master of Arts degree (if admitted for both a master's and doctorate); the Prequalifying Review (prequalifying papers and a dissertation prospectus); and all required course work. Students should verify their completed courses using CalCentral's Academic Progress Report (APR) tool.

Under some circumstances, a student may be enrolled in the last of the required courses listed on the APR during the semester in which the exam is taken.

## **Examination Topics**

Qualifying Examination topics for the PhD principally address research and theoretical concerns covered in students' position papers and coursework. The topics generally correspond to those on the student's Outline of Program.

The examining committee will assess both the depth and breadth of knowledge of an academic discipline applied to a major field of education. Assessment of depth will be focused on areas of theory and knowledge. Assessment of breadth may be viewed as an examination of the general command of theory and research relevant to a broad field of educational inquiry. The topics (at least three in number) listed for the qualifying examination should clearly define the areas of specialization which the student has prepared. These topics should be the same as, or clearly related to, those stated on the Outline of Program. The subjects should not be so broad (e.g., general curriculum, administration, etc.) as to be impossible to cover in a single examination, nor so narrow that the committee will not have an opportunity to evaluate the student's ability to complete a doctoral dissertation.

The three topic areas must be listed on the Qualifying Examination Application Form.

## **Appointment of Committee**

The Qualifying Examination Committee is composed of four faculty members: the chair; the Academic Senate Representative and two additional members. The members of the faculty conducting the Qualifying Examination are selected as follows:

- The student should consult with his or her faculty advisor concerning appropriate members of the faculty to serve on the Qualifying Examination Committee, taking into account Graduate Division regulations on committee appointments (summarized below). Committee members should be nominated because of relevance of their areas of expertise to the examination subjects. The Qualifying Examination Chair cannot serve as the Dissertation Chair for the same student. The Academic Senate Representative must be a member of UC Berkeley's Academic Senate.
- The GSE's Head Graduate Advisor will review the proposed committee before forwarding a recommendation to the Dean of the Graduate Division.
- The Graduate Division will notify the student; members of the committee; and the GSAO in the GSE of the official committee to conduct the Qualifying Examination.

## **Graduate Division Requirements for Faculty Membership on Committees**

The following is a summary of the Graduate Division's regulations concerning the appointment of Qualifying Examination committees and all other faculty committees for higher degrees:

- The Head Graduate Advisor recommends faculty appointments to all higher degree committees to the Dean of the Graduate Division. Final approval of all committee appointments rests with the Dean



of the Graduate Division.

- **Chair:** The Chair of a Qualifying Committee must be a member of the Berkeley Academic Senate from the GSE. (Senate members are full, associate, and assistant professors and certain senior lecturers – check with the GSAO if you are uncertain of the Senate membership of a particular faculty member.)
- **Additional Members:** Additional members may be Berkeley Academic Senate members in the GSE or another degree granting program. Since the faculty member who will chair your dissertation committee cannot serve as chair of the Qualifying Exam, he/she typically serves as one of the two inside members.
- **Non-Senate members as inside members and co-chairs:** Under certain circumstances, a non-Senate member may be appointed to a committee if the Head Graduate Advisor determines that he/she offers expertise not otherwise available among the Academic Senate faculty, and if the Associate Dean of the Graduate Division concurs in that judgment. There may be no more than one person in this category on a committee. On occasion, a non-Senate member may be appointed to co-chair a thesis or dissertation committee if this assignment is shared with a Senate member.
- **Academic Senate Representative (ASR):** The ASR member must be a member of the Berkeley Division of the Academic Senate (no exceptions). The ASR may be either from another department, or from the GSE. The Academic Senate Representative's role is to ensure that the committee is conducted in a fair and professional manner that abides by graduate policy.

NOTE: Thesis, Qualifying Exam or dissertation committees may include one member of the Academic Senate faculty of any UC campus or Stanford University as an inside member with special approval from the Dean of the Graduate Division. It should be made clear to the non-UCB member that the University cannot pay a stipend or travel costs.

Requests for exceptions, with supporting documentation, to these regulations must be submitted to the Head Graduate Advisor for approval. If approved by the Head Graduate Advisor, they will be forwarded to Graduate Division. Final approval of all committee members rests with the Graduate Division.

For questions about the composition of higher degree committees, consult with GSAO in Room 2210, 2121 Berkeley Way.

## **Scheduling**

Qualifying Examinations are scheduled by the student in conjunction with the GSAO. It is recommended that you schedule an appointment with the Student Academic Advisor at least six weeks prior to the intended date of your exam.

### *Procedure*

- Review your Academic Progress Report (APR) in CalCentral (under the tab “My Academics”) to be certain it is accurate and up-to-date. Please consult with the GSAO if you have any requirements listed on your APR as “unsatisfied.”
- Once all prerequisites (Prequalifying Examination and course work) have been completed, request a Qualifying Examination Application from the GSAO.
- Complete the application in consultation with your faculty advisor and obtain the approval signature of the faculty member who will serve as the “professor in charge of research” (usually the faculty advisor). Contact the proposed committee members to set a date and time for the examination.

- At least four weeks prior to the Qualifying Examination, submit the application for the Qualifying Examination to the Student Academic Advisor. You should submit the application sooner if you are requesting an exception regarding your committee membership, since it takes additional time for the Graduate Division to review these cases.
- After the Qualifying Examination Application is approved by the Head Graduate Advisor, you will be advised to submit the “Higher Degree Committees” eForm on CalCentral.
- Log into CalCentral and go to My Dashboard > Student Resources > Submit a form > Higher Degree Committees Form.
- Upon submission, the eForm automatically checks the composition of your proposed committee for adherence to the Graduate Division’s policies. If the eForm adheres to policy, it will be automatically sent to the GSAO for review and approval. If any issues are found, you will be notified and given the opportunity to make changes. Once the form has been approved by the GSAO, and the Graduate Division, you will be notified by e-mail. You will also be able to see the approval of your committee in CalCentral.

NOTE: All Qualifying Examination committee members must be present during the Examination. If, for any reason, a member is not in attendance, the Graduate Division must be contacted immediately so that approval to proceed can be obtained. Without the Graduate Division’s approval, Examination results may be invalid.

If the Qualifying Examination is not passed or is partially failed, a second (final) examination may be recommended by the examining committee. Three months must elapse before a second examination is given, and the committee must be the same as for the original examination. Note: In the case of a partial failure, the second and final examination only covers the topic(s) the student failed during the first examination. If the student fails the second examination, they will be sent a letter of dismissal from the program by the Dean of Graduate Division, with a copy to the program.

After successfully passing the Qualifying Examination, students should advance to doctoral candidacy and submit a dissertation proposal.

### **Advancement to Candidacy**

Graduate Division regulations specify that students need to be advanced to doctoral candidacy by the end of the semester following the one in which the Qualifying Examination was passed. To advance, you need to complete the Application to Candidacy form, and propose three faculty members who can serve as a committee to guide and evaluate your dissertation. All three proposed faculty must be members of the Berkeley Academic Senate and be qualified for service by virtue of their expertise in the area of research you are proposing.

The faculty member designated as Chair of the committee is generally the person most knowledgeable about your area of research, usually your faculty advisor. The Chair must be a member of the Berkeley Academic Senate in the Graduate School of Education. A four-member committee may be acceptable to the Graduate Division without a special request from the Head Graduate Advisor. A five-member committee, however, requires a request from the Head Graduate Advisor and the approval of the Graduate Division.

Once the Graduate Division Dean approves your application, you are advanced to candidacy and the committee is officially established to guide your research. Advancement to Candidacy by the end of your seventh or eighth semester is highly recommended to maintain Normative time. After Advancement to Candidacy, you may also become eligible for the Doctoral Completion Fellowship (more details on next page).

### *Procedure*

After successful completion of the Qualifying Examination, an Application for Doctoral Candidacy form will be sent to your @berkeley.edu e-mail address by the GSAO.

- All students must complete this form. If the composition of your committee requires an exception from the Graduate Division, also include a one or two-page statement briefly describing the appropriateness of the proposed dissertation committee members.
- Obtain the approval signature of the proposed dissertation chair on the Application for Candidacy. It may be possible to have “co-chairs,” and the Graduate Division has recently allowed them to be counted as two members of your committee.
- Submit the paper application to the GSAO in the Student Services Office.
- When your application to Advance to Candidacy form has been approved by the Head Graduate Advisor, you will be advised to submit the “Higher Degree Committees” eForm on CalCentral.
- Human Subjects Protocol – If you will be conducting research using human subjects, you are required to take the online Collaborative IRB Training Initiative (CITI) course ([citiprogram.org/default.asp](http://citiprogram.org/default.asp)) and submit an electronic copy of the CITI Course Completion Record with the candidacy application. For more information, contact the Committee for the Protection of Human Subjects at [cphs.berkeley.edu](http://cphs.berkeley.edu).
- Log into CalCentral go to My Dashboard > Student Resources > Submit a form-Higher Degree Committees Form.
- Upon submission, the eForm automatically checks the composition of your proposed committee for adherence to graduate division policies. If the eForm adheres to policy, it will be automatically sent to the GSAO for review and approval. If any issues are found, you will be notified and given the opportunity to make changes. Once the form has been approved by the GSAO and Graduate Division, you will be notified by e-mail. You will also be able to see the approval of your dissertation committee in CalCentral.

### **Time Limit in Candidacy**

Once advanced to doctoral candidacy, the Graduate Division gives GSE students a total of five semesters in candidacy plus a four-semester grace period in which to complete their dissertation. At the end of this time (nine semesters), if a dissertation is not filed with the Graduate Division, candidacy is subject to lapsing and eventual termination. Under certain circumstances, a shorter candidacy period can be designated by the Graduate Division.

### **Doctoral Completion Fellowship (DCF)**

For students admitted in Fall 2010 or later, the Doctoral Completion Fellowship (DCF) provides an incentive for students in certain graduate programs, to complete their degree within a reasonable time.

The fellowship pays in-state tuition and a stipend for two semesters. A student is subject to work limitations while receiving this fellowship, i.e., only one 25%-time GSI or GSR position may be held during each of the two semesters of the fellowship, or 50% during one of the two semesters. No other positions or appointments may be held.

### *Eligibility*

To be eligible for the DCF, students must:

- Have advanced to candidacy;
- Be in good academic standing with a minimum GPA of 3.0;
- Have completed a satisfactory online Doctoral Candidacy Review for the most recently completed academic year;
- Have participated in PhD completion activities or in other requirements, as directed by their program; and
- Apply for at least one external fellowship in order to be eligible for the DCF. [1] 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 are typically very few external fellowships for which international students are eligible.

[1] External fellowships are defined as funding sources awarded outside the Graduate Division or UC Berkeley, i.e., not open only to Berkeley students, and there is no minimum amount. The department will confirm that this requirement has been met.

### *Timetable for Using the DCF*

Eligible students may use the fellowship at any time after advancement to candidacy, through the end of the Normative Time to Degree (NTD) year, plus one year. Programs may establish more specific guidelines regarding the advisable timing for their students to use the DCF, which will normally be a dissertation writing year, not a research year.

### *Doctoral Candidacy Review*

A student wishing to activate the DCF must have initiated the online Doctoral Candidacy Review (DCR) in the previous year (ending the day before the start of fall semester) and their dissertation committee chair must attest that the student's academic progress is satisfactory. For students who choose to use their DCF within the first semester of candidacy, the Application for Candidacy Form serves as the first Academic Progress Report. Students must file DCRs annually after the first year of candidacy.

### *Normative Time Calculation*

The DCF requires students to maintain progress based on Normative Time for their degree program. Every semester enrolled or withdrawn, formally or informally, counts in the calculation of elapsed semesters of Normative Time, with limited exceptions for approved medical withdrawal or parenting accommodation (see below). Any withdrawal for research or other academic purposes will count in accrued time, as will semesters included in retroactive withdrawals (except approved retroactive medical withdrawals).

### *Medical Withdrawal*

A maximum of two semesters of withdrawal for medical purposes, documented by a formal medical withdrawal, will not count in calculating a student's eligibility for the DCF.

### *Parenting Accommodation*

An adjustment to Normative Time calculation for the purposes of eligibility for the DCF will be granted to students in accord with Section F6 of the Guide to Graduate Policy.

## Dissertation Proposal

After advancement to candidacy, doctoral students are required to complete the proposal review process. The following guidelines are provided to assist students in preparing their doctoral research proposals.

### *Why Write A Proposal?*

There are two reasons for writing a proposal. First, preparing one is an important part of the dissertation process because a good proposal constitutes a coherent and systematic procedure to be followed. Guided by this, you will have a methodical plan and you will be more efficient and purposeful when you undertake the research. The second reason for writing a proposal is to demonstrate your scholastic competence in your areas of study.

In doing so, you will need to persuade your committee that you have a good idea, and that you have determined how you are going to carry it out to fruition. An approved proposal serves as an agreement between you and your committee.

### *Proposal Review Procedures*

After you pass your oral Qualifying Examination and apply for doctoral candidacy, you need to develop your prospectus into a proposal, which is the complete version of the proposed research that will need to be approved by your dissertation committee.

### *The Steps for the Proposal Review are as follows:*

- Prepare your dissertation proposal. This should be a document of about 20-25 pages. Include a title page and an abstract. Circulate your proposal to every member of your dissertation committee, giving each member an opportunity to read your proposal carefully.
- After each member of your dissertation committee has had an opportunity to review your proposal, you can schedule your Proposal Review meeting.
- At the time of your Proposal Review meeting, it is essential that all members of your dissertation committee attend and sign the Report of Proposal Review Meeting form. This form also provides a place for your committee members to present their comments and revisions to your proposal, as a result of this meeting.
- When the meeting has concluded and the Report of Proposal Review Meeting form has been completed, it should be returned to the GSAO in the Student Services Office for endorsement by the Head Graduate Advisor. The completion of your Proposal Review will be noted in your file.

### *Proposal Format*

Although no rigid format is specified, the proposal should include a cover page containing:

- Title of study;
- Degree sought;
- Your name; address; telephone number; and e-mail address;
- Names of members of your dissertation committee and their departments; and
- Anticipated date of completion.

A one-page abstract should accompany the proposal. The abstract should present the essence of the study and convince the reader that what is proposed is both important and interesting. A well-written abstract piques the interest of the reader and prepares them for what is to follow. Although the abstract is the first

page of the proposal, it should be written last.

The proposal itself should generally be limited to 20-25 pages, including any appendix materials. Proposals that are much shorter are usually too sketchy to clearly show the nature of the proposed study; those that are longer often seem verbose and not sufficiently well-defined.

## **Filing Eligibility**

In addition to the considerations explained below, your Expected Graduation Term (EGT) must match the term for which you intend to file. EGT can be updated at any time using an eForm available in CalCentral.

## **Fall and Spring Semesters**

To be eligible to file for your degree, you must be registered or on approved Filing Fee status for the semester in which you file. We encourage you to file your dissertation as early in the semester as you can. The deadline to file your dissertation in its final form is the last day of the semester for your degree to be awarded as of that semester.

## **Summer Filing**

Filing during the summer has a slightly different set of eligibility requirements. If you were fully registered during the immediately preceding Spring semester, and have not used Filing Fee already, you may file your dissertation during the summer with no additional cost or application required. Summer is defined as the period from the day after the Spring semester ends (mid-May) until the last day of the Summer Sessions (mid-August).

International students completing a degree in the Summer should consult Berkeley International Office before finalizing plans, as in some cases lack of Summer enrollment could impact visa status or post-completion employment.

If you have already used Filing Fee previously, or were not registered the preceding Spring semester, you will need to register in at least 1.0 unit in Summer Sessions in order to file. Dissertations filed during the summer will result in a summer degree conferral. You must be advanced to candidacy, and in good standing (not lapsed), in order to file.

## **Dissertation**

Filing your doctoral dissertation at the Graduate Division is one of the final steps leading to the award of your graduate degree. Your manuscript is a scholarly presentation of the results of the research you conducted. UC Berkeley upholds the tradition that you have an obligation to make your research available to other scholars. This is done when you submit your dissertation for publishing through the [ProQuest online administration system](#) and the Graduate Division forwards your manuscript to the University Library. Your dissertation is subsequently [published online](#) in the UC system's scholarship repository ([eScholarship](#)) and made available within ProQuest/UMI after your doctoral degree is officially conferred by the Academic Senate.

Your faculty committee supervises the intellectual content of your manuscript and your committee chair will guide you on the arrangement within the text and reference sections of your manuscript. Consult with your committee chair early in the preparation of your manuscript.

The Graduate Division has strict guidelines for the preparation of the dissertation. You should obtain a copy

of the “Instructions for Preparing and Filing your Dissertation or Thesis” from the Graduate Division website, [grad.berkeley.edu/academic-progress/dissertation/](http://grad.berkeley.edu/academic-progress/dissertation/).

## **EdD**

Leaders for Equity and Democracy (LEAD), is an EdD degree program currently offered by the GSE for school system leaders. The EdD is a professional degree intended for practitioners who are pursuing professional careers in the field of education and who desire advanced academic preparation at the doctoral level. LEAD students should consult their program’s academic guide for specific information on: courses; prequalifying review; and Qualifying Examination and Dissertation.

# Appendix A

## Forms for Advanced Degree Students

The following forms are available in the Student Academic Services Office, Room 2210, and as PDF at [gse.berkeley.edu](http://gse.berkeley.edu).

- Outline of Program for the MA Degree in Education
- Report on Comprehensive Examination for the Master of Arts degree (Plan II)
- First Year Evaluation of Doctoral Students Outline of Program for PhD or EdD
- Outline of Program for the PhD. Degree in Education
- Statement of Student Performance for the Prequalifying Review (Position Papers)
- Report on Prequalifying Review for the Doctoral Degree
- Application for Qualifying Examination
- Application for Qualifying Examination, SPED-Joint Doc
- PlanB, Application for Candidacy for the Degree of Philosophy
- PlanB, Application for Candidacy for the Degree of Philosophy, SPED-Joint Doc
- Report of Proposal Review Meeting



# Appendix B

## Graduate School of Education Department-Level Graduate Appeals Procedure

### *Purpose and Scope*

The purpose of this procedure is to afford students in the Graduate School of Education an opportunity to resolve complaints about dismissal from graduate standing; placement on probationary status; denial of Readmission; and other administrative or academic decisions that terminate or otherwise impede progress toward academic or professional degree goals.

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

### **Informal Resolution Procedures**

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

### **Formal Resolution**

#### *Procedures*

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

- Procedural error or violation of official policy by academic or administrative personnel;
- Judgments improperly based upon non-academic criteria including, but not limited to, discrimination or harassment on the basis of gender; race; national origin; ethnicity; age; religion; sexual orientation; and/or disability; or
- Specific mitigating circumstances beyond the student's control not properly taken into account in a decision affecting the student's academic progress.

A written complaint must be received by the Head Graduate Advisor within 30 days from the time the student knew or could reasonably be expected to have known of the action that is the subject of the complaint. The department should complete its investigation and notify the student of the outcome of the complaint within 60 days of the date it was received.

The time frame for filing a written complaint may be extended by the department if the student has been involved in continuing efforts toward informal resolution, and the informal resolution process was initiated within 30 days of the time the student knew or could reasonably be expected to have known of the action that is the subject of the complaint. All time frames referred to in this procedure refer to calendar days. Summer and inter-semester recesses are not included within these time frames.

Upon receipt of a written complaint, the Head Graduate Advisor may assign an individual to investigate the complaint and make a recommendation to him/her regarding the outcome of the complaint. Generally, the investigation will include an interview with the complainant; a review of any relevant written materials; and

an effort to obtain information from available witnesses (i.e. interviews or written statements or documents). The Head Graduate Advisor will notify the student in writing about the outcome of the complaint. A written complaint under this procedure satisfies the requirement of a unit level resolution process pursuant to the Graduate Appeals Procedure.

### **Appeal to the Graduate Division**

If the student is not satisfied with the outcome of his or her complaint under the department's procedure, he or she may bring the complaint to the Formal Appeal stage of the Graduate Appeals Procedure. The formal appeal must be received in the Office of the Dean of the Graduate Division within 15 days of the date of the written notification of the result of the department level procedure. Copies of the Graduate Appeals Procedure may be obtained from the Office of the Dean of the Graduate Division.

If the complaint is about an action taken by the Head Graduate Advisor, the complainant may elect to take the complaint directly to the Dean of the School. If the student is still not satisfied with the outcome, the student may take the complaint to the Formal Appeal stage of the Graduate Appeals Procedure.

### **Complaints Involving Discrimination**

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

### **Other Complaint Procedures**

Graduate students may contact the Office of the Ombudsman for Students at (510) 642-5754; the Title IX Compliance Officer; or the 504/ADA (Americans with Disabilities Act) Compliance Officer for assistance with complaint resolution. There also are other complaint resolution procedures available to graduate students for complaints that do not fall under this procedure. A comprehensive listing of these procedures is contained in the Graduate Appeals Procedure.

# Appendix C

## University Policy Prohibiting Sexual Harassment

The University of California is committed to creating and maintaining a community in which students, faculty, and administrative and academic staff can work together in an atmosphere free of all forms of harassment, exploitation, or intimidation, including sexual harassment. Every member of the University community should be aware that the University is strongly opposed to sexual harassment and that such behavior is prohibited both by law and by University policy. It is the intention of the University to take whatever action may be needed to prevent, correct, and, if necessary, discipline behavior which violates this policy. Management and supervisors have the responsibility for participation in the creation of a campus environment free from sexual harassment and in the resolution of complaints within their respective jurisdictions.

*The definition of sexual harassment* includes 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 either explicitly or implicitly a term or condition of instruction, employment, or participation in other University activity;
- Submission to or rejection of such conduct by an individual is used as a basis for evaluation in making academic or personnel decisions affecting an individual; or
- Such conduct has the purpose or effect of unreasonably interfering with an individual's performance or creating an intimidating, hostile, or offensive University environment.

In determining whether the alleged conduct constitutes sexual harassment, consideration shall be given to the record of the incident as a whole and to the totality of the circumstances, including the context in which the alleged incidents occurred.

A complete copy of the Berkeley Campus Policy on Sexual Harassment and Complaint Resolution Procedures is available for review in the GSE's Student Services Office.

<https://ophd.berkeley.edu/policies-and-procedures/policy-and-procedures-students>

# Appendix D

## Release and Disclosure of Student Records

Copies of the Berkeley Campus Policy Governing Disclosure of Information from Student Records, issued by the Office of the Chancellor, are available for students to read in the GSE's Student Academic Services Office, Room 2210, 2121 Berkeley Way.

The Dean of the Graduate School of Education is responsible for the maintenance of all student records in the school. The Dean is assisted by other GSE staff members who have need to access the records in the course of performing their duties.

## Public Records

The following types of information kept in the Graduate School of Education are available to the public. The information is released provided it is available. The information is not released if the student has requested in writing that it not be disclosed as matter of public record.

- Name of Student
- Area
- Degree/Credential Goal
- Program
- Dates of Attendance
- Degrees granted from the GSE
- Home/Work Address and Telephone (as authorized by the student)

## Confidential Records

All other records maintained by the GSE including but not limited to – general correspondence; test scores; transcripts; letters of recommendation; copies of processed petitions; and admission applications – are considered confidential.

Faculty and designated staff within the GSE have access to these records. Other campus personnel are granted access when such access is necessary for the normal performance of their assigned duties.

Student records are kept for 10 years after last registration.

## Procedures for Access to Confidential Records

### *By the Student*

Students have the right to inspect their own confidential records provided they present adequate identification. Letters of recommendation to which the student has waived right of access will not be disclosed. Access to a student record will be granted within 3 days of request.

Records from student files can be photocopied by completing a request form available at the reception desk in the GSE's Student Services Office.

### *By a Third Party*

Disclosure to a third party can be made with the written consent of the student, naming the third party and the records to be released. The written consent must be maintained in the student file. There are exceptions under which information about confidential records is released without the student's written consent (e.g., judicial order; to accrediting agencies; for research purposes; because of health and safety emergencies; and under certain conditions in connection with financial aid).

## **Challenge of Records and Hearing**

The staff of the Student Services Office will interpret and explain the information in a student's record at the student's request. If a student believes that their records include data which are inaccurate; misleading; inappropriate; or otherwise in violation of the student's rights of privacy, an appointment should be made with the Head Graduate Advisor and/or the Associate Dean to request that the records be amended.

If the student is not satisfied with the result of the appointment, he or she may appeal to the Dean of the Graduate School of Education. If the student is still not satisfied, there will be a hearing, presided over by a campus official or other party who does not have a direct interest in the outcome of the hearing. The hearing will be within a reasonable length of time and will provide an opportunity for the correction or deletion of any inaccurate, misleading, or inappropriate data and for the inclusion in the student's record of a written explanation.

NOTE: Grading and other evaluations of a student's work by course instructors do not fall within the scope of such a hearing. For information on Grade Appeals, see Regulation A207 of the Academic Senate By-Laws, Berkeley Division.

While complaints and questions having to do with student records should first be directed to the Graduate School of Education. Complaints regarding violation of the rights accorded students by the 1974 Federal Family Educational Rights and Privacy Act (Buckley Amendment) may also be filed with the Family Educational Rights and Privacy Act (FERPA) Office: Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202-5920.

# Appendix E

## Disabled Students Program

The Disabled Students Program (DSP) focuses on providing services needed by students with disabilities in order to minimize the extent to which their disability affects their opportunities in the Berkeley academic environment. The program is designed to address those areas of need where equal opportunity is compromised for students with disabilities. It encompasses the needs of those with learning disabilities, hearing-impairment, visual-impairment and orthopedic disabilities.

Many people who have physical disabilities have no disability-related need for supportive services in the university environment. On the other hand, DSP serves many students with severe disability management resources in order to function as a student at Berkeley.

*Please note that students with disabilities are required to register with the Disabled Students Program in order to be eligible for special accommodations, and must ask personnel in that office to notify our department of any adjustments that might be needed.*

Services include, but are not limited to: tutorial assistance; note taking; adaptive devices; interpreting services; audio materials; access to braille; book rebinding; educational library services; materials access; counseling; academic systems assistance; and auxiliary services. DSP serves as a consulting, information, and referral resource. Its counselors maintain information about campus and community services available to students with disabilities.

More information about the Disabled Students Program is available at <https://dsp.berkeley.edu/>.

The Disabled Students Program office:  
260 César E. Chávez Student Center, #4250  
Phone: (510) 642-0518  
TTY: (510) 642-6376  
Fax: (510) 643-9686  
[dsp@berkeley.edu](mailto:dsp@berkeley.edu)  
[dsp.berkeley.edu](https://dsp.berkeley.edu)