

# 2020-21 PhD Student Handbook

School of Social Welfare  
University of California, Berkeley

Link to online version of PhD Student Handbook:

<https://socialwelfare.berkeley.edu/academics/phd-social-welfare/phd-student-handbook>

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# Welcome and About this Handbook

## Welcome!

We are delighted you have selected Berkeley Social Welfare for your doctoral studies!

The University of California is widely considered the nation's premier public university system and Berkeley ranks consistently as the world's leading public university. The goal of graduate study at Berkeley is to inspire independence and originality in the pursuit of knowledge. Our students are trained to study professional practices, policies, and programs that seek to address a wide range of contemporary societal problems. They synthesize and create empirical evidence to inform practice and transform lives.

With over 300 graduates of our doctoral program, our School produces top-notch professors and researchers for some of the best social work schools and policy centers throughout the country and around the globe.

Our Social Welfare faculty reflects the excellence of Berkeley as a whole. The last Chronicle of Higher Education rankings for social work/social welfare ranked Berkeley Social Welfare faculty as #1 in scholarly productivity. They are highly respected scholars who represent a wide range of disciplines and specialties that will provide you a doctoral education of the very highest caliber. Through your classwork and individual study with faculty, you will have the opportunity to develop research skills and an in-depth knowledge about society's grand challenges and the interventions at the cutting edge of social change. Our program places great emphasis on individualized education, the development of research skills, and the creation of original and significant new knowledge. In addition to providing the educational climate conducive to creating innovative research scholars, we also train future educators who can inspire the next generation of social work practitioners and researchers.

## About this Handbook

The Doctoral Student Handbook is your major resource and reference guide to the doctoral program. It provides practical advice about School operations; courses and curricula; advising and administration; degree requirements and grading; and the stages of student progress toward the qualifying examinations and dissertation. Your student handbook is meant to be viewed online so you can readily access the active links to the resources and other campus units included in this guide.

The Handbook also sets forth the obligations that you have, not only to the School, but to the faculty and to your fellow students in terms of academic and professional conduct and ethical standards. We encourage you to become thoroughly familiar with the School and university policies, procedures, and information resources outlined in this Handbook, along with the Graduate Division's [Guide to Graduate Policy](#).

# How Our Program is Organized

The [UC Berkeley Graduate Division](#) is the administering unit for all graduate degree programs, in partnership with the student's home academic department. The Graduate Division is the administrative arm of the Academic Senate's Graduate Council, empowered to enforce regulations and policies developed through faculty governance.

The Social Welfare Doctoral Program is administered by the Doctoral Committee, which is composed of all members of the Social Welfare faculty eligible for service on qualifying examination and dissertation committees, and two elected Doctoral Committee Student Representatives (DCSRs).

The Chair of the Doctoral Committee is jointly appointed by the Chair of the Faculty and the Dean of the School for a renewable three year term. Subcommittees (e.g., Recruitment, Admissions, and Fellowships, Curriculum, Progress Review and Retention) are also appointed to administer the Doctoral Program.

## Advising for Doctoral Students

### Faculty Advisers

When you are admitted to the program, you are initially assigned a faculty adviser whose interests correspond closely with the interests you expressed in your application materials. Your faculty adviser's roles and responsibilities include:

- assisting you with academic matters (e.g., selecting courses, fields of study for the Qualifying Exam, and faculty who will serve on your committee);
- supervising your Qualifying Paper;
- serving as a member of your Qualifying Exam and Dissertation Committees;
- assistance with locating opportunities for professional development (e.g., conference presentations and publishing) and funding (e.g., grant support); and,
- providing guidance on your job search.

As you become acquainted with the faculty and your program of study takes shape, you may find that a faculty member other than your assigned adviser is best able to contribute to perform these duties. At the end of your first year or thereafter, you may recruit a faculty adviser that is better suited to your needs. Once you are advanced to candidacy, the chair of your dissertation committee serves as your faculty adviser.

## **Faculty Adviser for Graduate Student Instructor (GSI) Affairs**

The Faculty Adviser for GSI Affairs functions as a liaison among the Graduate Division, program faculty, and GSIs; provides information concerning policies relating to GSIs to faculty and GSIs in the program; and raises issues on their behalf with the administration.

## **Faculty Equity Adviser**

The Equity Adviser consults with the Head Graduate Adviser and the other Graduate Advisers in the program to ensure that diversity is taken into account in the recruitment, selection, and retention of graduate students.

## **The Head Graduate Adviser**

The Head Graduate Adviser is a tenured member of the Academic Senate faculty, appointed by the dean of the Graduate Division each academic year, on behalf of the Graduate Council. The Head Graduate Adviser is an official deputy of the Dean of the Graduate Division in matters affecting graduate students. Only the Head Graduate Adviser can sign documents or make requests to the Graduate Division on matters concerning graduate enrollment, degrees, academic progress, or financial aid, such as admission, readmission, change or addition of major, or graduate standing. Signature authority for routine administrative matters in the School of Social Welfare is delegated to the Assistant Dean for Admissions and Student Services, and the designated Graduate Student Affairs Officer (GSAO) for the doctoral program.

## **Graduate Student Affairs Officer (GSAO)**

The Graduate Student Affairs Officer (GSAO) is the program's designated professional staff member responsible for administrative advising of graduate students, including guidance on and assistance with registration and enrollment, doctoral student funding and fellowships, and overall School, Graduate Division, and University policies and procedures.

# Getting Started

## Getting Onboard in CalCentral

[CalCentral](#) is Berkeley's online academic and student services portal. Upon accepting an offer of admission, new students are provided with instructions for establishing a CalNet ID and a CalCentral account.

Your [CalNet ID](#) is your online identity at UC Berkeley. It is used for system access log-ins and authentication, and it will be your campus email address when combined with [@berkeley.edu](#). After you claim your CalNet ID, you will be able to create your [bConnected](#) account.

**It is your responsibility to monitor your CalCentral student account regularly, and respond in a timely manner to any alerts or messages requesting that you take action.** You manage all crucial student information through the easy-to-use, mobile-friendly single point-of-entry, including: admissions, financial aid, registration, enrollment, course management, advising, billing and payment, and records. You can also check your campus email, calendar, ongoing academic progress, financial aid, bCourses, and more.

## CalCentral Resources

- [CalCentral Information](#)  
Useful information on advising, billing, enrollment, financial aid, and records within CalCentral
- [Enrollment FAQs](#)  
Frequently Asked Questions about the enrollment process in CalCentral
- [Graduate Academic Progress Report](#)  
How graduate students view an Academic Progress Report (APR)
- [Viewing Grades in CalCentral](#)

## Getting bConnected

[bConnected](#) is Berkeley's suite of collaboration tools, including Google Apps for Education: bMail for email and Google Groups email lists; bCal for calendaring; and bDrive for online file storage. To establish your bConnected account and [@berkeley.edu](#) email address, visit the [bConnected website](#) and follow the instructions to "claim your bConnected Google account."



**All students are required to establish and maintain a bConnected account, which includes your @berkeley.edu email address.** You are responsible for keeping your Berkeley email address current, and for regularly monitoring your email for official communications from the University. You are also responsible for all communications sent to and from your @berkeley.edu address, and for data stored in your bConnected account.

## Getting Your Cal 1 Card

Your [Cal 1 Card](#) is your official UC Berkeley photo identification card. All current students are required to obtain a Cal 1 Card. Please visit [Get a Cal 1 Card](#) for information on how to obtain your card.

Your [Cal 1 Card](#) is also used to access campus services and benefits, including library services, University Health Services, rides on AC Transit buses, key-card entry to residence halls, campus facilities and at all Cal Dining locations. Your Cal 1 Card may also be used as a debit account (free, with no minimum balances or overdraft fee), and for printing in computer labs and libraries on campus.

## Doctoral Student Office Space

**Room 13** in Haviland Hall is the designated Doctoral Student Office. Work space is available for general use on a first-come, first served basis. Lockable file cabinets are available. Doctoral students are assigned keys at the PhD Orientation. **Keys must be returned when you graduate, or if you take a leave from the university** before graduation.

Room 303 is used by current Graduate Student Instructors (GSIs) for holding office hours and course preparation only. No individual desks are assigned and a sign-up sheet is posted at the beginning of each semester.

For students who need a private space to conduct in-person or telephone interviews as data collection for doctoral dissertations, a room is available on a first-come, first-served basis every semester. Students may request access to the office space by contacting the Receptionist. See [About Haviland Hall](#) for more information, including Haviland Hall building hours, safety procedures, and room usage rules.

## Business Cards

Doctoral students may place orders for and purchase official campus business cards directly through the UC Print Storefront. A valid CalNet ID and @berkeley.edu email address are required. UC Berkeley University Relations also requires all student business cards be approved by the Social Welfare Administrator. This is to ensure the information is correct for the department.

## How to Order Business Cards

1. Go online to the [UC Print Storefront](#).
2. In the drop-down menus, for affiliation select "UC Berkeley" and for identity select "UC Berkeley Students." Then click the Enter button.
3. Click the link and button for Order Business Cards.
4. Complete all required fields in the Contact Information and Supervisor Contact Information windows. For supervisor contact enter: Lorretta Morales; [lmorales@berkeley.edu](mailto:lmorales@berkeley.edu); (510) 643-6670
5. Enter the data for the business card. Per University Relations regulations business cards can only be printed with a no address option or a department address. NO HOME ADDRESSES WILL BE PRINTED.
6. Once you submit the order, it is forwarded to the department "supervisor" listed on your order for review and approval. You will receive a communication from the UC Print Storefront asking for your payment details when the order is ready to go into production.

# Registration and Enrollment Requirements

All new and continuing students must be officially registered to access campus services, facilities, or faculty time. To be considered officially registered for the semester you must:

1. have enrolled in at least one course (note that *complete enrollment* for doctoral students not advanced to candidacy is a minimum of 12 units);
2. have paid either full fees or at least 20 percent of assessed registration fees; and
3. have no registration blocks.

Becoming fully registered is a two-step process: you must 1) enroll in classes; and then 2) pay registration fees. Both actions are completed in [CalCentral](#).

## Enrollment Rules for Doctoral Students

All doctoral students are responsible for ensuring they are enrolled correctly (appropriate course(s) and course section(s), correct number of units, etc.); and that they are completing semester by semester the courses and activities needed for normal progress towards the doctorate degree.

1. **Minimum unit enrollment:** The minimum enrollment requirement for all graduate students who are not yet advanced to doctoral candidacy, including those holding academic appointments, is 12 units per semester. No more than four units per term may be earned by working as a graduate student researcher or graduate student instructor. Full-time status is also required to meet residency requirements, and to be eligible for financial aid.
2. **Enrollment deadlines:** Students must register no later than the Friday of the third week of instruction (fourth week of the semester), and are responsible for paying fees by August 15 for the fall semester and January 15 for the spring semester. All course enrollments **MUST** be completed by the end of the 3rd week of instruction each semester.

## How to Enroll in Classes

Social Welfare PhD students follow the standard process of enrollment in CalCentral. Enrollment takes place in two phases – “Phase 1” and “Phase 2” – followed by an adjustment period. Phase 1 and 2 appointment times are determined by the Office of the Registrar and are posted to your CalCentral profile under “My Academics.” Students may add their preferred classes to a “Shopping Cart” before their official Phase 1 or Phase 2 enrollment time.

Prior to the start of each CalCentral enrollment period (and in the summer, for incoming new students), the Graduate Student Affairs Officer (GSAO) provides all students with information about and instructions for enrolling in classes for the next term.

## Schedule of Classes

The schedule of classes is accessible from your [CalCentral](#) dashboard, as well as the Berkeley Academic Guide. The [Berkeley Academic Guide](#) also includes links to the [Academic Calendar](#), and additional information on course descriptions, prerequisites, etc. for all courses.

## Changing Class Schedules

Students may make changes to class schedules directly on CalCentral through Wednesday of the fourth week of instruction each semester. However, **all Social Welfare courses, including SOC WEL 299-Independent Research units, must be added by no later than the Friday of the 3rd week of the semester.**

After the 5th week deadline, students must submit a “Graduate Petition to Change Course Schedule” to the GSAO. Students can make changes to their schedule through the GSAO as late as the Friday before RRR Week of any given semester; however, the Registrar’s Office assesses a fee for making any class schedule changes past the 2nd week of classes.

## Add/Drop Deadline Calendar

<b>Friday of Second Week (University Deadline)</b>	Deadline for all students to drop classes without a fee. \$10 fee charged for each class dropped after this date.
<b>Friday of Third Week (University Deadlines)</b>	Deadline for all students to add classes without a fee. \$5 fee charged for each class added after this date.
	Deadline to become “officially registered” (enrolled, tuition & fees paid, no blocks). \$150 Late Registration fee after this date.
<b>Friday of Third Week (Departmental Deadline)</b>	Deadline to add Social Welfare courses.
	Deadline to enroll in Independent Study (SOC WEL 296) and Independent Research (SOC WEL 299) courses.
<b>Wednesday of Fourth Week (University Deadlines)</b>	Deadline to drop courses without petition.
	Deadline to add non-social welfare courses without petition.
	Deadline to change grading option without petition.

<b>Friday before RRR Week (University Deadline)</b>	Deadline to petition to add non-social welfare courses. (Requires instructor's signature.)
	Deadline to petition to drop courses.
	Deadline to petition to change grading option or unit value.

## Independent Study Courses

Berkeley Social Welfare offers two course options for doctoral students to earn credit for independent study:

- SOC WEL 298: Group Study For Graduate Students:** Most elective graduate seminars for doctoral students in the School of Social Welfare are offered under the broad course designation SOC WEL 298: Group Study for Graduate Students. Topics will vary from term to term. Please consult the [online class schedule](#) for information on SOC WEL 298 classes offered in a specific term. You are also encouraged to check with your faculty advisor ahead of the enrollment period for any given semester regarding any 298 courses they may be conducting.
- SOC WEL 299: Individual Research for Graduate Students:** SOC WEL 299 units are designed to permit qualified graduate students to pursue research in a subject area of their choosing under the direction of a faculty member. SOC WEL 299 units are typically taken by doctoral students when working on the Qualifying Paper, studying for the Qualifying Exam, working on dissertation research and writing, or any other project undertaken to advance academic progress, and by mutual agreement between a student and their faculty advisor.

## How to Enroll in SOC WEL 299 Units

- Each student enrolled in a section of SOC WEL 299: Individual Research must submit a brief written proposal via an online form. Be sure to **check with your advisor BEFORE enrolling in units** to ensure that you are selecting an accurate unit count based on the number of hours per week you will be working. Additionally, be sure to check with your advisor before entering the "number of hours in consultation with faculty" on the online form.
- Once you have submitted the online proposal form, you can enroll via Cal Central in the section of SOC WEL 299 that is assigned to your faculty mentor. **It is your responsibility to initiate all enrollment actions**, and to ensure you are enrolled in the correct section, appropriate number of units, and grading option.
- A list of sections of SOC WEL 299 assigned to individual faculty instructors is provided in the Enrollment Guide for Doctoral Students made available ahead of the enrollment

period for each fall and spring term. Enrollment Guides are published in this handbook on the [Enrollment Rules for Doctoral Students](#) page.

4. Use the **5-digit Class Number** for your desired section of SOC WEL 299 to access it directly in your Enrollment Card for the term you will be enrolling. Go to CalCentral > My Academics > Class Enrollment > Class Enrollment and **use the 5-digit Class Number to add it** to your cart.
5. Individual Research Proposal forms are **due by the Friday of the 3rd week of instruction** for the fall and spring semester. They are due **one week prior to the Summer Session Add Deadline**. Late additions are not allowed.

[SOC WEL 299 Individual Research for Graduate Students Proposal Form \(Google Form\)](#)

## Paying Tuition and Fees

Once you have enrolled in at least one class, tuition and fees will be assessed to your CalCentral student account by the Office of the Registrar. Berkeley Social Welfare PhD students are assessed “Graduate Academic” fees; for the most current information see the Registrar’s [Current Fee Schedule](#).

**To be considered officially “registered”, you must pay your registration fees by the published deadline each semester** – either in full, or with the first installment under the [Fee Payment Plan](#). If your fees are not paid on time, your enrollment in classes may be subject to cancellation, and fellowship or stipend payments may be placed on hold, and you may not be able to access campus services or obtain a bus pass.

**The Graduate Division will not release fellowship stipend payments until a student is officially registered.** If your registration is not complete and you are receiving a fellowship award, your fellowship stipend payment will not be sent to your CalCentral account.

## How to Pay Registration Fees

Students use their [CalCentral > My Finances dashboard](#) for all billing and payment activities. You may make payments online with eCheck at no charge; by credit card for a convenience fee; or with foreign funds through Western Union. For complete details about payment options and instructions, please visit [Student Billing Services](#).

Billing statements are generated monthly by Billing and Payment Services, and posted online to your [CalCentral](#) account under My Finances. Students do not receive paper bills; your only notification will be by email. Before making a payment, be sure to log on to [CalCentral](#) to view your updated balance and any additional new charges, adjustments, aid disbursements and payments.

## Registration and Health Insurance Fees

**Registration fees include required health insurance coverage.** The University requires all students to carry health insurance as a condition of enrollment, and provides the Student Health Insurance Plan (SHIP) to meet this requirement. All students are automatically enrolled in SHIP, administered by University Health Services, and assessed fees for SHIP in CalCentral. For more information please see the [Guide to Graduate Policy: D1.5 Registration and Health Coverage](#).

You have the option to **waive the University's plan and not pay the insurance fee** if you can show comparable proof of insurance. Deadlines for submission of waiver forms must be met in order to receive credit for the health insurance fee. For more information, please see University Health Services' [Waiving SHIP Information](#).

## Direct Deposit

All students are strongly encouraged to sign up for [Direct Deposit](#) to expedite receipt of their disbursements or refunds via direct deposit to a personal bank account. Students using Direct Deposit receive their refunds faster and avoid standing in line. Refunds paid to students by a paper check can be picked up in person at the Cal Student Central office located at 120 Sproul Hall. Checks that are not picked up in a timely manner will be mailed to the local address on file in CalCentral. Make sure your local address is current to avoid delays in payment and problems with returned mail due to an outdated address.

## *In Absentia* Registration

*In absentia* status is a form of registration available to academic and professional graduate students undertaking coursework or research related to their degree programs **outside of California**. *In absentia* registration replaces leaves taken for research purposes outside the state of California. Students registered *in absentia* are only assessed full health insurance fees, and 15 percent of the combined University Tuition and Student Services Fees. If applicable, students are also assessed nonresident tuition and/or professional school fees.

Doctoral students may only use *in absentia* registration for a maximum of four semesters; and must normally be advanced to candidacy by the time *in absentia* begins. Students may hold University fellowships and GSR appointments while registered *in absentia*, but may not hold GSI, Reader, or Tutor appointments.

Students request *in absentia* registration by [submitting the Special Enrollment Petition eForm](#) through CalCentral.

## Filing Fee Option in lieu of Registration

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. Filing Fee is **available for the fall and spring semesters ONLY**.

The Filing Fee is not a form of registration nor is it equivalent to 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 (e.g., GSI or GSR) because they are not registered. The Filing Fee may be used only ONCE during a student's career.**

If a student does not complete and file the dissertation during the semester for which the Filing Fee is approved, the student must apply for readmission and pay regular registration fees during a subsequent semester to complete the requirements. For more information please see the [Guide to Graduate Policy: D2. Filing Fee](#).

### How to Apply for Filing Fee Status

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 must **apply for the Filing Fee by the first day of the semester**. Students do so by completing the [Special Enrollment Petition \(SEP\) eForm](#) available through CalCentral. Students are billed the Filing Fee on their CalCentral "My Finances" statement.

### Withdrawal and Readmission

Naturally we hope that no student will find it necessary to discontinue their program before completing degree requirements. If circumstances are such that you believe you must withdraw, please first discuss your situation with your faculty adviser and the GSAO. Withdrawal is a significant action that results in dropping enrollment in all classes, and **readmission is not guaranteed**. A department is not obligated to readmit any student who has withdrawn. You are therefore strongly encouraged to consult with your faculty advisers and student services staff to explore other options for completing the program before considering withdrawal.

Students may initiate a Withdrawal request directly in CalCentral; however, **we strongly encourage students to first consult with their faculty advisers and the GSAO** prior to taking any action on withdrawal.



If you submit your Withdrawal Request Form on or after the first day of instruction, your request will be processed as a Withdrawal. You will be dropped from all classes and will be subject to prorated penalties outlined in [Refunds after Withdrawal](#).

While withdrawn, you are expected to maintain no connections with the University; you may not use University facilities (including subsidized computer time) or place demands on faculty time.

## Medical Withdrawal

Requests for withdrawal due to medical reasons are initiated at University Health Services (UHS-Tang Center.) UHS provides appropriate medical documentation to accompany requests for medical withdrawal, makes a recommendation to the School to accept or not accept a medical withdrawal, and determines if medical clearance will be required for readmission. UHS does not make decisions about academic status. The final decision for granting a medical withdrawal (and the decision of whether to readmit) lies with the School. Complete information about and forms for initiating medical withdrawal are available from the [Tang Center](#).

## Readmission

To apply for readmission into the Fall semester, the current deadline is May 1st. To apply for readmission into a Spring semester, the current deadline is October 1st. To apply for Readmission, applicants must submit the following items by these deadlines to the Berkeley Social Welfare Student Services Office:

1. A 1-3 page (double-spaced) Statement of Purpose related to your request for readmission to the program, program goals should you be readmitted, and career goals.
2. Any additional application materials you wish for the review committee to consider. For example:
  - a. Updated resume/CV
  - b. Letter(s) of recommendation (that are different from your original application materials)
  - c. Anything else you feel the committee should take into consideration.

## Exchange Programs with Other Universities

The University of California and Berkeley Social Welfare offer several campus exchange program options for doctoral students:

### University of California Intercampus Exchange Program

The [Intercampus Exchange Program](#) is designed to allow Berkeley students to study at any of the other UC campuses where unique faculty resources may enrich their graduate program. The Berkeley registration fee entitles students to library, health service, and other privileges at the

host campus. Students who participate in the intercampus exchange program can receive credit for courses they take at the host campus.

To be eligible for the Intercampus Exchange Program, a student must be registered at Berkeley by the Berkeley semester deadline and have the approval of the Head Graduate Adviser, the Chair of the host program, and the Deans of the Graduate Divisions at both Berkeley and the host campus. [Applications](#) are available from the Graduate Division in 318 Sproul. Students must apply for this program at least three weeks before the beginning of the term of enrollment at the host campus (all other UC campuses except Merced are on the quarter system). Students should make personal arrangements with faculty members on both campuses to ensure that courses, seminars, and facilities will be available to them.

## **Oxford-Berkeley Collaboration**

The Oxford-Berkeley Collaboration (OBC) is designed to facilitate the exchange of graduate research students (DPhil, MPhil, MSW-PhD, and PhD) between the Department of Social Policy and Intervention at the University of Oxford, and the UC Berkeley School of Social Welfare. The exchange involves up to four students a year from each institution. Students serve as visiting scholars, researchers, academic visitors or recognized students according to the designation of the host institutions. The student exchange involves participation in the host institution for a period of normally three to six months.

### **Purpose**

The objectives of this exchange are to provide an opportunity for students to broaden their intellectual horizons and gain an international perspective on social policy and social work by studying abroad with faculty and doctoral students in two of the foremost academic institutions in their field. The exchange also provides an opportunity for heightening interaction among faculty from both institutions, facilitating joint ventures on international projects and comparative research.

### **Application Process**

Students interested in participating apply through both the Doctoral Chair at Berkeley Social Welfare; and the Department of Social Policy and Intervention contact at Oxford, [Professor Martin Seeleib-Kaiser](#). Applications to participate can be made only after students have completed their first year of study in their program. To apply, students submit a written statement that includes:

- a description of the reason for going to the other university;
- the length of time they wish to spend there;
- what they expect to learn and what they will be working on when abroad (e.g., students might be completing one of their doctoral exam papers, gathering data for a dissertation, preparing a literature review of evidence based practice or completing a portion of their dissertation);

- what they propose to contribute to the host institution (e.g., presentation of a paper, offering a lecture on US or UK practice, research methods or policy).

The application statement will also identify the faculty advisor at the host institution with whom visiting scholars would like to work, any relevant courses that would be audited, and other relevant learning activities at the host institution. Interested applicants should visit the host institution's website to review faculty and their interests and possible courses being offered, which students might audit. Websites also provide a list of current doctoral students and their fields of study. Students planning to participate in the exchange might establish contact with their counterparts in the host institution to explore possibilities of lodging exchange or other arrangements for housing during their stay abroad.

### **Selection Process**

The selection process involves two stages:

1. Applications will be reviewed for approval by the point person (or a sub-committee, which would include the applicant's faculty advisor/chair) at the student's sponsoring institution. Such approval will normally be based on considerations of how the applicants' plans would advance their progress and intellectual development in the doctoral program, and on the number of applications that are submitted each year.
2. Upon approval by the designated faculty at the sponsoring institution, the student submits their application statement to the proposed faculty advisor at the host institution for consideration. Normally the relevant faculty from the sponsoring and host institutions will consult before the final acceptance of applicants. The acceptance of participants will be at the discretion of the host institution.

### **Procedures and Student Obligations**

Throughout their stay at the host institution, participants will remain registered at their sponsoring institution. Oxford students going to Berkeley will pay Berkeley a Registration Fee to cover the costs of obtaining a J-1 visa and mailing the documents. Berkeley students going to Oxford will need to arrange their own UK visa and obtain a UK Visa Letter from the Oxford Department of Social Policy and Intervention.

All Oxford students must have health insurance coverage for themselves and all accompanying dependents for their entire stay at Berkeley. This health insurance must meet specific requirements compliant with the U.S. Department of State Exchange Visitor (J-1) Program. If the visiting student's health insurance does not meet the specific requirements, the Oxford student must purchase health insurance through Berkeley or a private source.

All of the student expenses will be underwritten by the participating students. This is not intended to preclude the possibility that an exchange student may apply for and be awarded a scholarship or similar grant for which he or she may be eligible.

Funding of travel and accommodation costs of participants in the exchange program is the responsibility of participating students or their sponsoring institution. In light of the relatively high cost and limited availability of student housing in Oxford and Berkeley, it is recommended that when possible students planning to participate from both institutions seek to make arrangements with their counterparts for the exchange or sharing of lodging.

Exchange students will be expected to participate actively in doctoral seminars and colloquia at the host institutions, and to make at least one formal presentation of their research at such meetings during their stay at the host institution. At the University of Oxford students will become members of the respective research group during their stay. Arrangements will be made for the assignment of student mentors at the host institution who would assist in orienting the visiting scholars and linking them up with other doctoral students and relevant groups in the host institution. Doctoral students at both institutions are expected to serve as peer mentors to visitors participating in the exchange.

In recognition of their work, a Certificate of Participation signed by the chair or dean of both doctoral programs will be granted to all students who partake in the OBC graduate research student exchange.

### **The Next Phase**

During the first year of the OBC exchange, faculty and graduate research students will typically be planning to implement Phase Two involving:

- Virtual exchange via a "breakfast/dinner" Berkeley/Oxford doctoral seminar video conference (breakfast time in Berkeley/dinner time in Oxford), with a small group of graduate research students and faculty on each side, with weekly bi-monthly or monthly meetings during which both doctoral students and faculty present a paper and facilitate a discussion among all participants. This could also provide an opportunity for doctoral students from both institutions to collaborate on papers.
- A two- to three-day summer institute jointly planned and conducted by Oxford and Berkeley faculty, dealing with evaluative research, comparative policy analysis, etc. The institute alternates between meeting in Berkeley and Oxford.
- A two-day meeting of the Oxford and Berkeley OBC planning groups held the following spring in Oxford to take stock of the first year and engage in planning for the next phase.

# Doctoral Degree Requirements and Curriculum

Berkeley Social Welfare's doctoral program is designed to inspire independence and originality of thought in pursuit of knowledge. Students design their academic pursuits in consultation with individual faculty from the School of Social Welfare and additional distinguished departments across the Berkeley campus

## Program Outcomes

Doctoral students become proficient in research methodology and experts in their area of interest, and ultimately demonstrate scholarly competence by completing their dissertation. Students successfully completing the doctoral program are expected to:

1. Demonstrate mastery of a broad base of knowledge in social welfare.
2. Demonstrate mastery of a deep base of knowledge of their subject area.
3. Demonstrate capacity to make an original contribution to the field of knowledge in their subject area.
4. Demonstrate capacity to engage in the activities required of a productive research career (e.g., research, publications, presentations, grant writing, etc.).

## Requirements for the Ph.D. Degree in Social Welfare

Students are granted the Degree of Doctor of Philosophy upon recommendation by the Faculty of the School of Social Welfare. To receive such recommendation, the student must have:

1. Completed a course of study in the school and related departments of the University as specified by the school, designed to achieve proficiency in the areas of social work theory, social welfare policy and/or administration, history and philosophies of social welfare, and social research methods;
2. Passed qualifying examinations indicating a proficiency in the areas mentioned above in part 1 of this section;
3. Passed an oral examination before a committee appointed in accordance with rules of the Graduate Council;
4. Been admitted to candidacy for the Degree of Doctor of Philosophy according to procedures established by the Academic Senate;
5. Completed a dissertation dealing with some problem of significance to the field of social welfare and of such character as to show power to prosecute independent investigation; and,

6. Spent a minimum of at least two years of graduate study in residence at the University of California, Berkeley.

## Unit Requirements

There is no minimum total unit requirement for the PhD degree in Social Welfare, but all students must be enrolled full-time (12 units/term) until passing the Qualifying Examination. Because there are no university unit requirements for the doctorate, students may not transfer units from another institution to be applied toward the PhD degree at Berkeley.

## Required Coursework

Required courses for doctoral students focus primarily on research methodology. Students enroll in additional elective courses, seminars, and independent tutorials useful for mastering selected fields of study, writing the qualifying paper, preparing for the qualifying examination, and developing competence in research methods. Students are also encouraged to select courses from the rich and varied offerings in other University departments.

All coursework required for the PhD degree in Social Welfare must be **completed before or during the semester of the Qualifying Examination** prior to advancing to candidacy:

- Five required Social Welfare Courses, totaling 14 units
- At least four different courses in statistics
- At least two additional electives in statistics or methods
- At least one elective course in social science theory.

## Required Social Welfare Courses

All the following courses must be completed prior to the Qualifying Exam:

1. [SOC WEL 279: Seminar in the History and Philosophy of Social Welfare \(2 units\)](#)  
This course is typically taken in the **first semester** of the program. It must be taken for a **letter grade**.
2. [SOC WEL 287: Research Resources and Processes \(2 units\)](#)  
This course is typically taken in the **first semester** of the program. It is offered for the Satisfactory/Unsatisfactory (**S/U**) **grading option only**.
3. [SOC WEL 289A: Research Methods and Techniques in Social Welfare \(4 units\)](#)  
This course is typically taken in the **second semester** of the program. It must be taken for a **letter grade**.
4. [SOC WEL 295: Writing and Publication Seminar \(2 Units\)](#)  
This course is typically taken in the **fifth semester** of the program.

5. SOC WEL 299C: Graduate Research Colloquium (Proposed) (1 unit x 4 times = 4 units)  
This course must be taken **four times prior to the Qualifying Exam**. It is offered for the Satisfactory/Unsatisfactory (S/U) grading option only.

## Coursework in Statistics and Methods

Social Welfare doctoral students must complete all the following coursework **before or during the semester of the Qualifying Exam**:

- at least **four different courses in statistics**, taken for a letter grade.
- at least **two additional electives in statistics or methods**, taken for a letter grade. These courses are intended to deepen a skill set needed for an ongoing program of research.

Coursework in statistics and methods must be chosen from the [List of Approved Courses in Statistics, Methods, and Social Science Theory](#). Courses that are not listed will not count toward the statistics or methods requirements without advanced approval of the Doctoral Curriculum Committee. To request approval of an alternative course not listed, students may petition the Doctoral Curriculum Committee (see below for how to petition for approval of an alternative course).

Students should work with their PhD faculty advisor to choose the most appropriate set of statistics and methods courses from the Approved List based on student learning needs. Recommended courses that satisfy these requirements are listed below, but students entering the program with previous coursework or background in statistics should choose more advanced alternatives (such as the causal inference cluster).

### Basic Course Sequence that Satisfies the Statistics Requirement

- [EDUC 293A: Data Analysis in Education Research \(4 units\)](#) + [EDUC 293L: Laboratory \(1 unit\)](#)
- [EDUC 275B: Data Analysis in Educational Research II \(4 units\)](#) + [EDUC 275L: Laboratory \(1 unit\)](#)
- [EDUC 275G: Hierarchical and Longitudinal Modeling \(3 units\)](#)
- [PSYCH 206: Structural Equation Modeling \(3 units\)](#)

### Recommended Courses in Causal Inference

- [PB HLTH 250C: Advanced Epidemiologic Methods \(3 units\)](#)
- [PB HLTH 251C: Causal Inference and Meta-Analysis in Epidemiology \(2 units\)](#)
- [PB HLTH 252D: Introduction to Causal Inference \(4 units\)](#)
- [PB HLTH 252E: Advanced Topics in Causal Inference \(4 units\)](#)

### Recommended Courses in Qualitative and Quantitative Methods

- [EDUC 271B: Introduction to Qualitative Research Methods \(3 units\)](#)

- [EDUC 243: Advanced Quantitative Methods \(3 units\)](#)
- [EDUC 280C: Research Apprenticeship and Qualitative Methodology Seminar I \(3 units\)](#)
- [EDUC 280D: Research Apprenticeship and Qualitative Methodology Seminar II \(3 units\)](#)

## Coursework in Social Science Theory

Social Welfare PhD students are required to complete **at least one course** focused on basic-discipline social science theory, taken for a letter grade, **before or during the semester of the Qualifying Exam**. As with the statistics and methods course requirements, coursework in social science theory should be chosen from the [List of Approved Courses in Statistics, Methods, and Social Science Theory](#). To request approval of an alternative course not listed, students may petition the Doctoral Curriculum Committee (see below for how to petition for approval of an alternative course).

## How to Petition for an Alternative Course

Doctoral students may petition for approval of alternative courses in statistics, method, or social science theory. Before submitting a petition, please confirm on the [Approved Courses spreadsheet](#) that your course is not already approved or has been reviewed and denied within the past three years.

To initiate curriculum committee review, please submit the [“SOC WEL PhD Course Petition” Google Form](#) (including an electronic copy of syllabus, which you upload to the online petition form) **no later than the second week of the term you are enrolled in the course**. Petitions submitted after this deadline will not be considered. A course that has been reviewed and denied within the past three years will also not be reconsidered. A decision will be issued within 7-10 days of submission of the petition. The decision of the doctoral curriculum committee is considered final.

## Preparation for Teaching

Although it is not required for the degree, completion of SOC WEL 375: Teaching in Social Welfare must be taken **prior to (or concurrently with) an initial appointment** as a Graduate Student Instructor (GSI).

Students are required to take the course in their home department; it may be taken in another department only with prior approval. If your plans require you to take the GSI preparation course in another department, the alternative course must be approved by petition to the doctoral Curriculum Committee, and the specific use case must be approved by the Faculty Advisor for GSI Affairs. The School of Social Welfare suggests that this course be taken in Year 2 of the PhD Program or Year 3 of the Combined MSW/PhD program.



# Doctoral Degrees with a Designated Emphasis

A “Designated Emphasis” is defined as an area of study constituting a new method of inquiry or an important field of application relevant to two or more existing doctoral degree programs. It is not a free-standing degree program, but must be added as an additional major along with an existing doctoral degree program. Students electing to add a Designated Emphasis are required to complete the academic work in the Designated Emphasis in addition to all the requirements of the doctoral program. There are no adjustments made to the normative time of the student’s major when a student undertakes a Designated Emphasis.

To qualify for the Designated Emphasis, students must have on the Qualifying Examination committee a representative of the DE and must be examined in that area of study. Students are consequently **required to be admitted to the DE before taking the Qualifying Examination.** When students also enrolled in a DE are advanced to candidacy, the advancement application must include the signature of the Head Graduate Adviser for the DE to signify that the dissertation committee had an appropriate representative of the DE in its membership and that the student was examined on the area of the Designated Emphasis.

Prior to filing for the degree, a Final Report for the Designated Emphasis, verifying that all of the requirements for the DE have been met, must be submitted. Students approved for a DE must include the name of the DE on the title page of the dissertation, following the major name.

More information about Designated Emphases and the list of current DEs approved by the Graduate Council is available in the Guide to [Graduate Policy, Section F2.1: Doctoral Degrees with a Designated Emphasis.](#)

## How to Add a Designated Emphasis

Students apply for admission by the Designated Emphasis, following procedures described by the Graduate Group sponsoring the DE. Once approved, Berkeley Social Welfare Student Services staff will add the DE to your record in CalCentral.

# Academic Progress, Completion Activities and Milestones

## Academic Progress and Milestones

Progress toward the PhD degree is guided by academic benchmarks, known as milestones, established and administered by the Social Welfare doctoral program and the UC Berkeley Graduate Division. There are **nine academic milestones for the PhD in Social Welfare**, summarized below and described in further detail throughout this Handbook:

1. First Year Comprehensive Exam
2. Qualifying Paper Proposal
3. Qualifying Paper Results
4. Qualifying Examination Eligibility
5. Dissertation Prospectus
6. Qualifying Examination Approval
7. Qualifying Examination Results
8. Advancement to Doctoral Candidacy
9. Dissertation Filed

### Pre-candidacy Milestones Summary

Milestone	Description	Normative Time Deadline
<b>First Year Comprehensive Exam</b>	Comprehensive written exam based upon knowledge gained in SOC WEL 279 and SOC WEL 289A	Exam administered at end of first year in program
<b>Qualifying Paper Proposal</b>	A 2-4 page proposal for the developing and writing the QP	Due by <b>October 15 of 2nd year</b> in PhD program, or 3rd year of Combined MSW/PhD Program.
<b>Qualifying Paper</b>	Preliminary exam (in the form of a single, standalone paper)	Typically completed <b>by end of 2nd year</b> in PhD program <b>or 3rd year</b> in Combined MSW/PhD program
<b>Qualifying Exam Eligibility</b>	Formulate eligible QE committee; declare two fields of expertise to be examined on by the QE; complete all <a href="#">Required Coursework</a>	By the end of semester prior to the QE
<b>Dissertation Prospectus</b>	Dissertation research plan and proposed timeline for completion	Approval required no later than <b>four weeks prior to preferred QE date</b>

### Advancement to Candidacy Milestones Summary

Milestone	Description	Normative Time Deadline
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<b>Qualifying Exam Approval</b>	Submit Graduate Division Application for the Qualifying Examination via <a href="#">Higher Degree Committee eForm</a> in CalCentral	Completed application must be received by Graduate Division at least <b>3 weeks before proposed examination date</b>
<b>Qualifying Exam Results</b>	Report on the Qualifying Examination - eForm in Campus Solutions (submitted by faculty or staff)	Must be submitted to Graduate Division no later than <b>2 weeks after exam</b>
<b>Advancement to Doctoral Candidacy</b>	Submit Application for Doctoral Candidacy via <a href="#">Higher Degree Committee eForm</a> in CalCentral.  Complete <a href="#">CITI modules</a> if working with human subjects or animals.	Upon passing QE: by end of 3rd year in program
<b>Dissertation Filed</b>	Follow steps outlined in <a href="#">Procedure for Filing Your Dissertation</a>	By end of 5th year in program & according to Graduate Division published <a href="#">Degree Deadlines</a>

## Normative Time

“Normative Time” refers to the total amount of time, calculated to the nearest semester, that a doctoral student would need to complete all requirements for their PhD degree. Each UC doctoral program recommends normative times for their degree for approval by the Graduate Council. The Graduate Division computes and monitors a student’s total normative time to degree from the time the student first enrolled as a graduate student at Berkeley.

- **For the PhD in Social Welfare, the established normative time to degree (“NTD”) is five years (10 semesters)**, which includes three years (six semesters) of pre-candidacy, “normative time to advancement” plus two years (four semesters) of “normative time in candidacy.” This means that all doctoral students are expected to pass the Qualifying Examination (QE) by the end of the third year (spring semester) in the program, and file their dissertation by the end of the fifth year.
- For students in the **Combined MSW/PhD Program, the established total NTD is six years (12 semesters)**, which includes four years (eight semesters) of “normative time to advancement” to doctoral candidacy plus two years (four semesters) of “normative time in candidacy.” Combined MSW/PhD students are expected to pass the QE by the end of their fourth year (spring semester) of graduate study, and file their dissertation by the end of the sixth year.

In any case where a student is not meeting normative time benchmarks, the faculty and student are required to conduct a review, and to map out a plan for making satisfactory academic progress, which must be approved by the student’s primary PhD faculty adviser and the Head Graduate Adviser. To request a “reset” of the normative time clock, the Head Graduate Adviser must submit a Graduate Exceptions eForm with a memo of request to the Graduate Degrees

Office, citing the specific circumstances that justify the change (such as break in enrollment between graduate degree programs, or pursuit of a new graduate degree in a distinctly different field).

Students are encouraged to take the Qualifying Examination and be advanced to candidacy as soon as they are prepared, and unless exceptional circumstances exist, within the above-stated Normative Time to Advancement timelines. Doctoral students who do not successfully complete the Qualifying Examination within these timeframes fail to meet normative time to advancement. When they do advance to candidacy, they will still have four semesters of normative time in candidacy to file the dissertation, but since their advancement was (at least) a semester late, during the fourth semester that they are in candidacy, they would be beyond normative time to degree (five years total). A student in this situation will most likely require an extension of normative time to degree from the Graduate Division.

When a student exceeds their major's total normative time, they enter a four semester period during which candidacy is still valid, but which is beyond the norm for their discipline. Four semesters after the end of normative time for the particular program, candidacy ends, or "lapses." Candidacy can be extended when circumstances **beyond the control of the student** have delayed progress to the degree. Extension of time in candidacy should be requested at the time that the student experiences the circumstances leading to the delay, and in no case any later than the last semester in candidacy. For more information please see the Handbook section on [Advancement to Candidacy](#), and consult the [Guide to Graduate Policy: F3.7 Lapsing, Reinstatement, and Termination of Candidacy](#).

## Policies That Modify Calculation of Normative Time

Students in certain circumstances may request and be granted modifications in the calculation of normative time. These circumstances include:

- **Students who are parents:** The Graduate Council Student Parent Policies allow certain modifications to Normative Time calculations for parents. For details please consult the [Guide to Graduate Policy F6: Student Parent Policies](#).
- **Students with disabilities:** Modifications in normative time are provided to students who have received appropriate letters of accommodation from the [Disabled Students Program \(DSP\)](#).

## Normative Time and the Doctoral Completion Fellowship

The [Doctoral Completion Fellowship \(DCF\)](#) 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. 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).

# Academic Progress Reviews

All graduate programs at Berkeley are required to regularly monitor students' overall progress toward graduate degrees. Progress Reviews are meant to help you and your faculty adviser(s) reflect upon your current academic goals, review progress toward meeting degree milestones, and plan for future completion activities that will advance academic progress within Normative Time.

As described below, annual progress reviews are required of all Social Welfare doctoral students depending on their current academic status in the program (pre-candidacy or advanced to candidacy). For more information please also consult the [Guide to Graduate Policy E1.6 Program Review of Student Progress](#).

## Pre-candidacy Progress Reviews

All 1st Year PhD and 2nd Year MSW/PhD students are required to have a Progress Review Meeting prior to the start of their respective 2nd and 3rd years. In addition to these required meetings, continuing students may request an elective meeting through the Annual Progress Review Form or if recommended by the doctoral faculty.

Progress Review Meetings occur in person, with the student, their primary advisor, and the three members of the doctoral subcommittee on doctoral Progress and Retention. For First Year Students, these meetings will review the progress of students after their first year doctoral requirements are complete; and plan for the student's transition into less structured phases of the doctoral program. For continuing students, the Progress Review Meeting provides an opportunity for reflection and collective thinking.

Meetings can be scheduled for a range of reasons (e.g., the need to mobilize resources for an ambitious dissertation project, brainstorm external committee members, clarify a program of study, overcome challenges, or identify sources of information or support). The meetings are most helpful when students are prepared with a summary of their interests, progress to date, and broad goals for the future, are open to feedback and ideas, and have some consultation questions for the faculty.

These meetings usually occur on the first Monday of the Fall semester, prior to the start of instruction. Follow-up meetings, as needed, will be scheduled for the first Thursday of Instruction in the Spring semester. **All students are expected to hold these dates for these purposes, until they are told that they may release them.**

## Doctoral Candidacy Review

The Graduate Council of the Academic Senate requires all doctoral students to complete an online [Doctoral Candidacy Review \(DCR\)](#) on an annual basis after they advance to candidacy until they complete their degree program. The Doctoral Candidacy Review is designed to assist

you and your dissertation chair to stay on track with advising and other supportive activities to help facilitate the completion of doctoral work in a timely manner.

In the School of Social Welfare, the DCR process is typically completed in April each year. **It is your responsibility to initiate the review process** by completing the online DCR form at least once a year while in candidacy. Your dissertation committee chair and other members of the committee are involved in completing the report, which is done online in CalCentral. The link for the “Doctoral Candidacy Review” academic e-form is listed in the Student Resources card on your [CalCentral](#) dashboard.

## The Academic Progress Report

Graduate students can use the APR tool in CalCentral to confirm progress of their Graduate Division and department requirements.

[How Graduate Students View an Academic Progress Report \(APR\)](#)

## Pre-Candidacy Completion Activities and Milestones

“Pre-candidacy” refers to your initial years in the doctoral program prior to taking the Qualifying Examination. Pre-candidacy completion activities and academic milestones include:

- Completing [required coursework](#).
- Successfully completing a First Year Comprehensive Exam.
- Successfully completing a Qualifying Paper.
- Declaring two fields of expertise on which you will be examined by your Qualifying Exam Committee
- Completing a Dissertation Prospectus.
- Successfully passing the Qualifying Examination.

### First Year Comprehensive Exam

Successful completion of the First Year Comprehensive Exam is the **first academic milestone for the PhD degree** in Social Welfare. At the end of their first year in the PhD program (or second year in the Combined MSW/PhD program), all doctoral students are required to demonstrate mastery of a broad base of knowledge in social welfare. Specifically, students are required to complete a comprehensive exam based upon knowledge gained in [SOC WEL 279](#) and [SOC WEL 289A](#).

### Exam Scheduling and Procedures

A member of the Doctoral Curriculum Committee will schedule and administer the exam. The exact dates of the exam are announced during the spring semester. The exam is likely to be

scheduled during finals week (see [Final Exam Guide and Schedules](#) for specific dates each term.)

The written exam has two parts ([SOC WEL 279](#) and [SOC WEL 289A](#)), which will be administered on two different days.

1. On each day, at 9:00 a.m. (Pacific Time) we will post examination questions in bCourses.
2. The exam is intended to take 4 hours, so we expect that you will **submit your responses by 1:00 p.m.** You will be able to submit responses until 3:00 p.m., in case your unusual circumstances deem that necessary (e.g., computer malfunction). It is expected, however, that students without extraordinary circumstances will submit their responses by 1:00 p.m.
3. Students seeking disability accommodations should do so through the [Disabled Student's Program](#) **well in advance** of the scheduled exam.

Approximately one week before the exam, you will receive email invitations from bCourses to join each exam site. After these emails have been sent, you will also see an invite prompt to join the exam site when you log into bCourses. You can use this method to access the sites in the unlikely event that you do not receive the email invite. We recommend that you accept the invitation promptly in order to avoid or troubleshoot any problems with accessing the exam sites.

The exam prompts will be posted to the Assignments section of each site when the exam begins. The instructions on each site will provide some guidance as to the expected length of responses to the questions for that course, although there is no explicit word minimum or maximum for either exam. Please prepare exam responses in a document that you can save frequently, and **upload your responses in a .doc, .docx, or .pdf file format.**

You may complete your exam from any location of your choosing. However, you may not discuss the specific examination prompts or your responses with anyone and will be asked to affirm a statement indicating that you have adhered to this prohibition upon submission of your exam. While you are not permitted to discuss the specific examination itself or your responses, please feel free to prepare for the examination with your peers.

## **Exam Grading and Outcomes**

Each part of the exam will be graded by two members of the doctoral faculty who are chosen by the Doctoral Curriculum Committee. The same faculty will grade responses submitted by all students. Efforts will be made to keep graders naive to the student's identity (i.e., the documents will not be associated with your name, but something you write or how you write it could reveal your identity to the reader).

Within one month, you will be notified of having received one of the following three grades:

- **Superior:** A synthesis and critical evaluation of the social welfare field demonstrating exceptional grasp of the issues and literature (this distinction is rare).
- **Satisfactory:** A competent synthesis and critical evaluation of the social welfare field demonstrating adequate knowledge of the issues and literature (this assessment is typical).
- **Unsatisfactory:** A failure to develop a coherent synthesis or reasoned critical evaluation of the social welfare field demonstrating inadequate knowledge of key issues and/or literature.

Performance on the Comprehensive Examination will be included as part of students' first year program review. Students with Unsatisfactory grades will have an opportunity for remediation and to retake the exam in late September/early October. Students who do not pass the second exam will be subject to dismissal from the program.

## Qualifying Paper Proposal

The Qualifying Paper (QP) is a preliminary exam, administered in line with Graduate Division policy. Students must submit a Qualifying Paper Proposal as part of the requirements for the QP. Thus, an approved QP Proposal is considered the **second degree milestone** following the First Year Comprehensive Exam. Students must **submit a 2-4 page Qualifying Paper Proposal for faculty adviser approval by October 15th**, of the second year in the PhD program, or third year in the Combined MSW/PhD Program.

In the first year of the PhD program (or second year of the Combined MSW/PhD program), students may begin drafting their QP Proposal. You are encouraged to discuss your QP with your Faculty Advisor in spring so that you have shared expectations for the topic, scope, and format of the proposal, and many opportunities for feedback, well before you intend to receive your advisor's approval. Students may benefit from developing a bibliography of relevant works during the spring semester and studying that bibliography during the summer months between Year 1 and Year 2 of the doctoral program.

Students, with their Faculty Advisors, may consider whether an expansion of their mentoring team is needed in order to complete the QP (co-supervision or outside consultation on problem, theory, or methods) and how persons with such expertise or skills may be engaged.

You may submit the QP Proposal early and receive approval to begin work on your QP shortly thereafter. Please note that many advisors are unavailable during the summer term, so please plan accordingly. Students will be notified within four weeks whether the QP proposals are approved by the Doctoral Chair. The 4-week review period for QP proposals submitted over the summer begins on the first day of the fall semester in August.



## Qualifying Paper

The Qualifying Paper (QP) is a preliminary exam, administered in line with Graduate Division policy. It is a single, standalone paper. The QP is considered the **third degree milestone**, following approval of the required QP Proposal.

The Qualifying Paper is **typically completed by the end of the second year** in the PhD program, **or third year in the Combined MSW/PhD** program. The outside submission deadline to maintain normative time in the program is six weeks before the end of the fall semester of the students' third year in the PhD program, or fourth year in the Combined MSW/PhD program, such that a satisfactory grade can be assigned by the end of the fall semester.

To begin preparing the QP, in the Fall semester of Year 2, students should enroll in independent research (SOC WEL 299) or group study units (SOC WEL 298) with their PhD Faculty Advisor, and begin drafting the QP. Students should consult and/or adjust the QP proposal throughout Year 2 to ensure ongoing shared expectations for the QP, and file any QP Proposal revisions with the Doctoral Program Chair.

### Qualifying Paper Scope and Purpose

The Qualifying Paper should synthesize and critically evaluate an important, broad body of literature about an intellectual question related to a social problem. The QP topic should be broad enough to provide the student with a strong foundation in an area of study - and deep enough to build a solid foundation for a specific research agenda. Students should work closely with their PhD Faculty Advisor to carefully define the problem and its boundaries. To shape the focus, students should also identify and consult with faculty members with relevant expertise, both inside and outside the School of Social Welfare. Students are encouraged to enroll in independent studies and coursework that will build expertise on the QP topic. The QP topic and scope must be approved by the PhD Program Chair in consultation with the student's PhD Faculty Advisor.

The QP should distill the student's knowledge of (a) the scope and significance of the social problem; (b) theories about the root of the social problem; (c) empirical evidence relevant to understanding and solving the problem; and (d) implications for social welfare research, practice, and policy. The QP should demonstrate mastery of the state of the evidence on the social problem. The QP is **not** a descriptive literature review for a single research project like a dissertation; instead, it is a theoretically- and methodologically-grounded synthesis of research. It should ultimately make a compelling case for addressing a critical gap(s) in knowledge in future research.

There is no prescribed length for the QP. **The length should be determined in consultation with your faculty advisor** and will vary as a function of the question related to the social problem you are addressing. QPs are loosely expected to range from 40-100 pages in length.

## Doctoral Faculty Roles in the QP Process

### QP Outline and Proposal:

The student's **Faculty Advisor** must collaborate with the student to determine the QP's appropriate (a) topic and scope (balancing breadth vs. depth concerns), (b) general length, (c) dissemination plan (or state that the paper is intended only for internal use), and indicate their approval of a QP Proposal by October 15 of the year in which the QP will be submitted. Advisor-approved QP Proposals are then reviewed and approved by the **Doctoral Program Chair**.

If the QP, or derivative works, are developed with an intention for external distribution (e.g., publishing), **students and PhD faculty advisors** should discuss and then document in the QP Outline how the respective contributions of both individuals will be credited (e.g., authorship, acknowledgements).

The QP Proposal will be returned to the student (unapproved) if the expected scope and length of the paper is insufficiently clear and/or a workplan (with timeline) is omitted (please consider faculty leaves and sabbaticals in this process). Please provide a communication plan to document how you intend to discuss progress and receive and respond to feedback. Students will be notified within 4 weeks whether the QP proposals are approved by the **Doctoral Program Chair**.

### QP Preparation:

The **Faculty Advisor** must provide consultation and feedback on the QP. This is often done through independent (SOC WEL 296) or group study (SOC WEL 298) units. The **Faculty Advisor** approves the QP before submission. **Other faculty members** are permitted and encouraged to help students develop their QP, but no other faculty or members of the QE committee (if formed) are required to approve the paper in advance of submission. If the QP has been co-supervised (due to QP topic complexity, faculty leave, etc.), co-supervision should be clearly indicated. If a faculty member (aside from the PhD Faculty advisor) engages substantially in the development of the QP, independent study units with that faculty person may also be warranted. The QP submission should include a cover memo that briefly describes contributors to the product. Contributions may include various dimensions of the [CRediT Taxonomy](#) and/or other dimensions.

Students should not expect doctoral faculty to contribute to QP development or reading during the summer term. Exceptions are rare, and may only be made by mutual consent.

## QP Submission, Evaluation Criteria and Outcomes

Faculty adviser-approved QPs must be submitted for review and grading no later than the end of the second year in the program (or third year in the Combined MSW/PhD Program). All QP submissions must include the [Qualifying Paper Submission Cover Memo & Faculty Adviser Appraisal Form](#).

Failure to successfully complete an adviser-approved QP within the normative time deadlines stated above will often trigger a Progress Review Meeting in which the student and faculty on the Progress Review Committee will discuss academic progress. If a student does not receive a passing grade on the QP by the end of the Fall semester of Year 3, the student may be recommended for placement on academic probation.

Reasonable accommodations for disability that do not fundamentally change the nature or expectations of the QP should be expected. Faculty advisers do not directly negotiate accommodations with students. Students seeking accommodations should consult with their assigned Disability Specialist at the [Disabled Students Program \(DSP\)](#) to determine next steps. The Doctoral Program Chair, Faculty Equity Adviser, and GSAO are available to help address needs or concerns related to the process of seeking accommodations for disability.

Once the advisor-approved QP has been submitted, the Doctoral Program Chair will choose two faculty to read the QP. Readers are based in part on nominations by the student's Faculty Advisor (who cannot serve as a reader), and must include one senate faculty member from the School of Social Welfare. Co-supervisors of the paper will also be excluded as Readers.

The QP will be evaluated with respect to the five major objectives listed below. **These objectives are not intended to be used as headings or items in a checklist.** For example, your thesis (1.a), theoretical framework (2), and research synthesis (3) should thread throughout the QP to create an integrated whole.

1. Introduce the problem:
  - a. Clearly state the problem and its significance.
  - b. Define key constructs and substantive issues.
  - c. State your thesis.
2. Distill relevant theory(ies) and/or frameworks for understanding the problem.
3. Synthesize empirical evidence relevant to understanding and solving the problem:
  - a. Critically evaluate the evidence and address any methodological challenges.
  - b. Articulate important unanswered questions and how they might be addressed empirically.
4. State your conclusion, as relevant to your thesis: What is the current state of knowledge? What are areas of consensus and/or controversy? What are productive future lines of inquiry?
5. Unpack implications. Make specific recommendations for advancing research, policy, and practice in social welfare. Implications must flow directly and concretely from your analysis.

**Within six (academic year) weeks after submission, the QP will be returned to the student with a grade** and comments in the form of a “double-blind” comprehensive peer-review. The following outcomes are possible:

- **Accept (A):** The work meets scholarly standards for substantive, rigorous intellectual work.
- **Accept with Revisions (Ar):** With small revisions, the work would meet scholarly standards for substantive, rigorous intellectual work. Small revisions include, for example, minor oversights, omissions, or errors, but not major gaps or mistakes in argument or analysis. Revisions will be reviewed by the Doctoral Program Chair.
- **Revise and Resubmit (RS):** The work requires substantial revision to meet scholarly standards for substantive, rigorous intellectual work; but the work demonstrates capacity. Substantial revision suggests, for example, adjustments that would be required to address major gaps or errors in the argument or analysis, unclear conceptual framing, or lack of rigor throughout.
- **Reject (X):** The work does not meet minimum standards and raises concerns about the student’s ability to successfully complete the PhD program requirements.

We acknowledge that attempts for a review wherein the authors and readers are naive to each other’s identity may be compromised in a small school where interest areas of doctoral students and faculty are known to each other, but the spirit of this process will be maintained. If Readers arrive at different grades, they will be asked to find consensus, with the doctoral chair serving as tie-breaker if consensus cannot be reached. The doctoral chair will designate a replacement for themselves in cases where they serve as faculty advisor on a QP.

The student will be given one opportunity to revise the QP, and the grade on that version will be the final grade. The paper will be returned to the same Readers, unless the Faculty Advisor makes a successful appeal to the Doctoral Chair to reconsider the assignment. If the grade is unsatisfactory, the Doctoral Faculty will decide whether the student should be recommended for placement on academic probation or dismissal from the PhD program.

## **Qualifying Examination Eligibility**

After the Qualifying Paper has been satisfactorily completed, the student must take the following next steps toward eligibility for the Qualifying Examination:

1. Form a Qualifying Examination Committee;
2. Declare two fields of expertise on which he or she will be examined by their Qualifying Examination committee; and,
3. Complete a Dissertation Prospectus.

**Qualifying Exam Eligibility** is the **fourth academic milestone**, following successful completion of the Qualifying Paper. To be eligible for applying to take the Qualifying Exam, you must meet all the following eligibility requirements:

1. Be registered and enrolled for the semester in which the exam is taken or, if it is taken during the winter or summer intersessions, registered in either the preceding or the following semester (the exam may be taken up to the last day before the beginning of the next term, pending faculty availability);
2. Complete all coursework required for the Social Welfare PhD degree;
3. Have at least a B average in all work undertaken in graduate standing, and have no more than one grade of 'Incomplete' on your academic record;
4. Satisfactorily complete the Qualifying Paper;
5. Formulate a QE Committee of Academic Senate faculty members eligible to serve on higher degree committees;
6. Have written approval of your declared Fields of Expertise by the end of semester prior to the QE; and,
7. Submit a Dissertation Prospectus at least six weeks in advance of the proposed QE date.

### **Qualifying Exam Committee**

The Qualifying Examination (QE) is supervised by a committee of Academic Senate faculty members proposed by you, in consultation with your adviser, and approved by the Dean of the Graduate Division. Each committee member participates in the QE process. The QE will examine students on the (1) two Fields of Expertise and (2) dissertation prospectus; and evaluate the student's performance in the oral examination. Therefore, the QE Committee must be formed, minimally, in the semester prior to oral examination.

Per [graduate policy on the configuration of higher degree committees](#), your Qualifying Exam Committee must include the following members:

1. A QE Chair, who must be a senate faculty member in the School of Social Welfare;
2. One Academic Senate Representative, chosen from outside the student's degree granting program (i.e., from another unit on campus); and,
3. At least two Additional Members.

Your Qualifying Examination Chair cannot be your Dissertation Chair. Your PhD Faculty Adviser is intended to become your Dissertation Chair, and is thus considered one of the two Additional Members of your QE Committee. Two of the four Qualifying Examination Committee members (and a committee membership majority, if your committee is larger) must be senate faculty in the School of Social Welfare. Co-Chairs of the QE are not allowed.

As of October 2020, **the Qualifying Exam Committee must include the three Dissertation Committee members.** Exceptions to this requirement may be requested in cases where faculty are on leave during the semester of the scheduled Qualifying Examination or for other time-sensitive reasons related to faculty availability. Please submit requests for exception by email to the PhD chair at least one month before a decision is required when the exception is due to a planned faculty leave; requests for other time-sensitive exceptions should be submitted as soon as possible.

**Relationship between QE & Dissertation Committee Members**

Member #	Qualifying Exam Committee	Dissertation Committee
1	QE Chair: Social Welfare faculty member; cannot be the dissertation chair	May or may not be on the Dissertation Committee (which requires 2 Social Welfare faculty)
2	Social Welfare faculty member; dissertation chair/primary advisor	Must be on the Dissertation Committee as chair
3	Academic Senate representative: Senate faculty member from outside of Social Welfare (i.e., another department/school)	Must be on the Dissertation Committee as the Academic Senate representative
4	Senate faculty member (can be from Social Welfare or another department/school)	May or may not be on the Dissertation Committee (which requires 2 Social Welfare faculty)

*2 and 3 must be on both the QE and dissertation committees. If both 1 and 4 are Social Welfare faculty, one of them must be on the dissertation committee members. If 4 is not Social Welfare faculty, then 1 must be on the dissertation committee. For more details on possible committee configurations please see [Appendix B: Berkeley Social Welfare Committee Configurations that Meet Graduate Division Policy](#).*

**Fields of Expertise**

Fields of Expertise (FOE) may relate to the Qualifying Paper, and must represent two broad and important bodies of literature related to the student's dissertation. Examples of broad fields of expertise include: poverty and mental health; child development and intimate partner violence; substance abuse and intervention science.

Students must submit the [Declaration of Fields of Expertise for the Qualifying Examination Form](#) for approval by the Doctoral Program Chair, minimally, in the **semester prior to the Qualifying Exam.** Effective Spring 2020, students must submit a brief statement (.5-1 page) for each FOE domain with their FOE form to their committee prior to the committee signing the document.

Each QE chair may establish additional requirements for students to obtain their QE committee's approval of FOE topics. For example, a QE chair may require the student to produce a 1-page explanation of the topic that specifies an agreed upon scope, a list of sub-topics that will be subject to examination, a reading list that students and examiners will use to prepare for the examination, and/or other procedures. The selected approach for each student is expected to be well suited to their topics, communication patterns between committee members and students, stated individual preferences, and ultimately serve to promote shared expectations for the QE itself. Students and their QE Chair should discuss, well before the end of the semester, what, if anything, will be required in order to achieve committee approval of their FOEs in the semester before taking their QE.

Only after Fields of Expertise have been approved may a student schedule the Qualifying Examination.

If the QE committee changes membership after the Fields of Expertise have been declared, a student must re-submit the FOE form and potentially delay their QE to the next available semester.

## **Dissertation Prospectus**

Doctoral students must complete a Dissertation Prospectus, the **fifth academic milestone**, well in advance of taking the Qualifying Examination. The deadline for submitting a Dissertation Chair-approved Dissertation Prospectus (before needing to reschedule the Qualifying Exam for a future semester) is four weeks prior to the scheduled QE date.

The prospectus must summarize the relevant literature, describe the issue or problem to be addressed (with clear study aims), and focus on the plan of research, including the proposed methodology, data sources, and/or analyses to be used, and a tentative timeline for project completion.

After the Dissertation Prospectus has been approved by the Dissertation Chair, the signed approval form and Dissertation Prospectus must be circulated to the QE Committee with the GSAO copied.

[Dissertation Prospectus Chair Approval Form](#)

## **Advancing to Doctoral Candidacy Milestones**

### **Qualifying Examination Approval**

Approval to sit for the Qualifying Examination (QE) is the **sixth academic milestone** for the PhD degree in Social Welfare, following submission and approval of the Dissertation Prospectus.

## When to Take the QE

Social Welfare **doctoral students are expected to take the Qualifying Exam by the end of the Spring semester of Year 3** in the program. For MSW/PhD students, the QE date must occur on or before the last day of the end of Year 4 Spring semester.

Social Welfare doctoral students who have not taken their qualifying exams by the end of their sixth semester (or eighth semester for Combined MSW/PhD -students), or who have multiple reports by the Progress and Retention Review Committee that indicate a failure to make normal progress, may be recommended to the Graduate Division for academic probation. Once placed on academic probation, the Graduate Division gives students one semester to complete their qualifying exams. If the students have not completed the Qualifying Exam by the end of this time period, they are subject to recommendation from the program for dismissal by the Dean of the Graduate Division.

## How to Apply to Take the QE

To obtain permission to take the Qualifying Examination, you must submit the Graduate Division [Application for the Qualifying Examination Higher Degree Committee eForm](#) in CalCentral. The link to the form appears in the Student Resources card on your CalCentral dashboard.

Students must **apply to take the Qualifying Examination no later than three weeks before the examination date**, to allow the Graduate Division time to review and approve the application. Students must list on their applications at least three subject areas to be covered during the examination (i.e., the two fields of study and Dissertation Prospectus).

**Graduate Division approval of the proposed committee submitted in the [Higher Degree Committee eForm](#) is absolutely required before the QE may take place.** An examination held before the student and the committee members have been notified by the Graduate Division of admission to the Qualifying Examination will not be accepted, and the committee will need to wait for approval and administer an approved examination.

For further policy information and rules governing the QE, please also consult the [Guide to Graduate Policy F2.6 Qualifying Examination](#).

## Qualifying Examination and Results

Successful completion of the **Qualifying Exam** is the **seventh and next academic milestone**, following Graduate Division approval to take the exam. When passed, this examination marks completion of required course work, mastery of a field of study, and readiness to proceed to the dissertation. Thus, the student may advance to candidacy.

The Qualifying Examination in Social Welfare is a three-hour oral exam addressing student mastery of knowledge related to the declared Fields of Expertise and Dissertation Prospectus. For approximately 90 minutes of the exam, the student will answer questions on their two



declared Fields of Expertise. When the Committee agrees that they have had ample opportunity to assess the student's knowledge regarding the two fields, the committee will request a brief (approximately 20 minutes) student presentation that outlines the prospectus. The Committee then proceeds to question the student on his or her dissertation prospectus.

Considering both the written materials and the student's performance in the oral examination, the committee reports the results to the Graduate Division. The Qualifying Examination Committee ideally will reach unanimous consensus on whether the exam was a pass, failure, or partial failure. If there is no unanimity, the result is a "split vote." These categories are described in the [Guide to Graduate Policy F2.6 Qualifying Examination](#).

The committee must send the formal [Report to the Graduate Division on the Qualifying Examination](#), signed by all committee members, to the Graduate Degrees Office no later than two weeks after the Qualifying Examination. The committee chair or GSAO should submit the final signed copy of the report electronically through CalCentral on behalf of the student and committee.

If a student sits for the Qualifying Examination but does not pass, the student may be re-examined for a second time. Re-examination must be completed by the same Qualifying Examination Committee, and all QE Committee members must be present for re-examination. The student may not retake the exam until 3 months after the first exam unless an exception is approved by the Associate Dean for Degrees. A third examination is not permitted. For additional procedural guidance please also review the [Guide to Graduate Policy F2.6 Qualifying Examination](#).

## **Advancement to Candidacy**

**Advancement to doctoral candidacy** is the **eighth and next milestone for the PhD degree**, following successful completion of the Qualifying Examination. Students should apply for advancement as soon as possible after passing the QE.

To be eligible for advancement to candidacy you must:

1. have passed the Qualifying Examination;
2. have no Incomplete grades;
3. have a minimum 3.0 grade-point-average in all upper division and graduate work taken while in graduate standing;
4. have no more than one-third of the total units undertaken for the degree be graded on an S/U basis;
5. have fulfilled any additional program requirements; and,
6. have secured an appropriately configured dissertation committee.

## Procedure to Advance to Candidacy

To apply for candidacy doctoral students submit the online [Advancement to Candidacy Committee eForm](#) to the Graduate Degrees Office through CalCentral. **The advancement application form should be filed no later than the end of the semester after the semester in which you passed the Qualifying Examination.** A mandatory \$90 Advancement to Candidacy Fee will be assessed to your CalCentral student account; revenue from this fee is used to support graduate student professional development.

Upon advancement to candidacy doctoral students will see their candidacy status and candidacy end term information displayed in the “Degree Progress” card in their CalCentral My Academics dashboard.

Once students advance to candidacy, they come under the jurisdiction of the Graduate Council, rather than that of the individual departments, Schools, or Graduate Groups, and are governed by a variety of policies intended to ensure their completion of the doctoral degree. The Graduate Council states that “the department must monitor the progress of students, but the completion of the dissertation is the responsibility of the student working with the dissertation committee, which is appointed on behalf of the Administrative Committee of the Graduate Council.”

## Doctoral Dissertations Involving Human Subjects or Animal Research

Approval of a human subjects protocol must be procured from the Committee for the Protection of Human Subjects **before** any dissertation research is conducted. Completion of required courses in the protection of human subjects from the [Collaborative Institutional Training Initiative](#) (“CITI modules”) must take place **before** research is conducted.

## Lapsing, Reinstatement, and Termination of Candidacy

Candidacy for the doctorate is of limited duration. When a student exceeds their total normative time for the degree (either 10 semesters for Social Welfare PhD candidates or 12 semesters for Combined MSW/PhD candidates), they enter a four semester period during which candidacy is still valid, but which is beyond the norm for their discipline.

Four semesters after the end of normative time for the particular program, candidacy ends, or “lapses.” Lapsed candidacy indicates that the student has exceeded the time that their doctoral program has indicated the Qualifying Examination should be considered valid. If otherwise in good academic standing, the student may continue to register, but to file the dissertation, the program must affirm that the student still possesses the currency of knowledge originally demonstrated in the Qualifying Examination.

Candidacy can be extended at the request of the Head Graduate Adviser when circumstances **beyond the control of the student** have delayed progress to the degree. Extension of time in candidacy should be requested **at the time that the student experiences the circumstances leading to the delay**, and in no case any later than the last semester in candidacy. Unless

extended, candidacy must be **reinstated in the semester when the student will file the dissertation and degree.**

Once candidacy has ended, it is not possible to request an extension of candidacy; instead, the program should request reinstatement of candidacy, following the procedure outlined in the [Guide to Graduate Policy F3.7: Lapsing, Reinstatement, and Termination of Candidacy](#). Reinstatement of candidacy should be requested in the term during which the student plans to file the dissertation. A recommendation for reinstatement may be subject to review and approval by the Administrative Committee of the Graduate Council.

The Graduate Division may terminate a doctoral student's candidacy two years after the student's candidacy lapses. Termination may be based on any of the following circumstances: 1) the student no longer holds the qualifications appropriate for the award of the degree, because knowledge tested by the Qualifying Examination is no longer current; 2) continued lack of progress indicates that the student will not be able to complete the remaining requirements; or 3) the student fails to correct major deficiencies in a dissertation previously submitted for committee review within the period determined by the Graduate Division and the program. For further guidance please also consult the [Guide to Graduate Policy F3.7: Lapsing, Reinstatement, and Termination of Candidacy](#).

## **Dissertation**

Your dissertation, the last academic milestone, is the final demonstration of your scholarly, research, and professional abilities during your doctoral studies. It should provide an original contribution to knowledge in the field.

## **Dissertation Committee**

Your Dissertation Committee is required to have a Chair or Co-Chairs; one Academic Senate Representative chosen from outside the department; and Additional Members. Additional Members may be added to meet the requirement that at least half of the members of all higher degree committees must be members of the Berkeley Division of the Academic Senate in the student's degree granting program. Your Dissertation Chair cannot be the same person who served as your Qualifying Paper/Qualifying Exam Committee Chair, unless they are co-chairing the Dissertation Committee.

Both faculty and students alike should be aware of the requirements governing selection of the Dissertation Committee members described in the Graduate Division's policy on [Faculty Committees for Higher Degrees](#).

A student's choice of a Dissertation Chair is critical for completion of the doctorate. Dissertation Chairs also play an important role in assisting students in finding satisfying and appropriate career positions. The Dissertation Chair should discuss at length with the student the

implications of the selected topic in terms of the development of the field and the topic's significance.

Further meetings during the dissertation phase are strongly encouraged; you should continue to consult regularly with your committee members and keep them informed of the progress of your work. Some topics that should be discussed early in the process include (but are not limited to):

- Discussion regarding the role of each member on the committee.
- Discussion regarding data access, permissions, human subjects, and analysis.
- Discussion regarding timelines for completion.
- Discussion regarding communication among and between committee members concerning student progress and standards for completion.
- Discussion regarding publishing or presenting parts of your dissertation.

For further guidance please consult Appendix C: Faculty Mentor Guidelines, Appendix D: Faculty-Student Authorship Guidelines, and the [Guide to Graduate Policy F3.9 Faculty and Student Interaction During the Dissertation Process](#).

## **Dissertation Research Involving Human Subjects**

If your dissertation research will involve human subjects in any way, approval of a human subjects protocol must be procured from the [Committee for the Protection of Human Subjects \(CPHS\)](#) **BEFORE any dissertation research is conducted**. The CPHS serves as the Institutional Review Board (IRB) for UC Berkeley. The CPHS offers guidelines for preparing your protocol, submission deadlines, meeting dates, and forms and instructions for research investigators.

**There is no provision for CPHS to give retroactive approval of research.** Applications involving greater than minimal risk for subjects will go to full committee review and must be submitted to the CPHS at least 4 weeks prior to the regularly scheduled monthly meeting. Applications for expedited or exempt categories of review are processed in order of receipt. The review process can be a lengthy one, sometimes taking 2-3 months to complete. **Plan adequate time for the review and approval process.** Conducting research out of compliance with these protocols is grounds for dismissal.

## **How to File Your Dissertation**

Social Welfare doctoral candidates planning to file a dissertation should **provide a completed draft to all of their committee members AT LEAST TWO MONTHS IN ADVANCE** of their anticipated filing date. Additionally, candidates should check with their committee members to determine if this is sufficient time; it may not be. Candidates should also anticipate that they will be asked to make at least one round of revisions.

In order to protect faculty from the pressure of rush reviews and students from unreasonable delays in feedback, the Doctoral Committee has established **three weeks** as the expected time

between a committee member's receipt of a draft and its return to the student. You should, however, discuss this matter with your committee chair to determine if scheduling constraints will make an alternate time period necessary.

It is Graduate Council policy that the signature of a faculty member on a dissertation signature approval page is binding and **cannot be withdrawn** once it has been given. The faculty member should not sign a dissertation until he or she is convinced that the student's work has been completed to the faculty member's satisfaction. Disagreements among committee members should be resolved according to Graduate Division [Policies for Disagreements Regarding Acceptability of a Student's Dissertation](#).

If you plan use of your own previously published and/or co-authored material in your dissertation, you must seek permission from the Graduate Division. Please review Graduate Division's [Policies and Procedures: Permission to Include Previous Published or Co-Authored Material](#).

If you wish to include publishable papers or article length essays within your dissertation, please review Graduate Division's [Policy: Inclusion of Publishable Papers or Articles-Length Essays](#).

After you have written your dissertation, [formatted and assembled it correctly](#), and obtained your final approval signatures, you are ready to file it with UC Berkeley's Graduate Division. No additional "oral defense" of your dissertation is required, although students are strongly encouraged to offer a brief oral presentation or poster of their dissertation findings at the annual Haviland Scholars Day celebration held every spring in the School of Social Welfare.

**All doctoral dissertations are to be submitted electronically.** Please carefully review the Graduate Division's [Dissertation Filing Guidelines](#) for all of the requirements for preparing the manuscript for submission.

# Academic Accommodations

Academic accommodations are adjustments to policies, procedures, and practices that serve to remove barriers and allow students with exceptional needs to have equal access to participate in their academic programs.

## Students with Disabilities

Accommodations for students with disabilities are managed by the Berkeley [Disabled Students Program \(DSP\)](#). Students requiring disability-related academic accommodations should begin the process by engaging with their assigned DSP Disability Specialist as soon as they know they will need accommodations. For more information and answers to frequent questions about accommodations, please consult the [DSP Student Handbook](#).

Letters of Accommodation (LOAs) must be requested **prior to each semester for each class** in which a student needs accommodation. As soon as you register for a class, you should request your accommodation letter for that class. If LOAs are not requested in a timely manner, it may not be possible to provide accommodations in a timely manner. For more information and instructions for requesting LOAs, please visit [DSP Letters of Accommodation](#).

LOAs are sent to the faculty of record, who may access LOAs through the [DSP Faculty Portal](#). Faculty are responsible for ensuring the academic integrity of their classes and are not required to fundamentally alter their courses. Faculty are also not required to provide either formal or informal accommodations in the absence of an LOA issued by DSP.

Once LOAs have been sent to faculty, **it is your responsibility to contact faculty for each class in which you receive accommodations** to set up a meeting to discuss accommodations and faculty expectations. If a conflict arises, you should let your DSP Disability Specialist know.

DSP accommodations may not change the “fundamental nature” of the degree program. When the student’s request for accommodation is expected to impact normative time for completing the graduate program, DSP ordinarily interacts with appropriate graduate program representatives.

## Student Parents

The University is committed to supporting policies, programs, and services to help graduate student parents meet their family care obligations while pursuing their academic goals. The Graduate Council of the Academic Senate has approved [policies regarding academic accommodation of student parents](#) designed to be supportive of graduate students with substantial parenting responsibilities. These include:

- Extension of Time for Academic Milestones for Doctoral Students

- Academic, Employment and Financial Accommodations due to Pregnancy and Childbirth
- Policy on Parenting Leave with Re-enrollment.

A graduate student 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.

For international students, Student Parent Policies apply to students regardless of State residency or visa status, with the exception that the three-year post-candidacy Non-Resident Supplemental Tuition reduction (to \$0) does not fall within the purview of this policy. Note also that withdrawals, leaves, and delayed progress toward completion of degree may have implications for visa status; international students are urged to consult with the [Berkeley International Office \(BIO\)](#) before modifying their degree progress.

To request parental accommodations, students should contact the GSAO.

# Academic Probation and Dismissal

## Academic Probation

The Graduate Division will place students on academic probation if their GPA falls below 3.00, and are subject to dismissal if their GPA at the end of the following semester remains below the minimum 3.0 requirement. The department may also recommend probation or dismissal for students who fail to make normal progress towards their degrees, based on a written evaluation of the student's progress, including program-specific requirements. **Only the Dean of the Graduate Division has the authority to place a student on probation, to remove probationary status, and, if necessary, to dismiss a student from graduate standing.**

The probationary period is normally for one semester, during which the student is expected to remove academic deficiencies. Probation may be extended based on departmental recommendation. If at the end of the probationary period the student has failed to correct identified deficiencies, the Graduate Division will contact the program to request a recommendation from the Head Graduate Adviser on whether an extension of the academic probationary period is warranted. If the probationary period is not extended, the Head Graduate Adviser will formally request that the Dean of the Graduate Division dismiss the student. For more information please consult the [Guide to Graduate Policy E1.7 Academic Probation](#).

## Dismissal from the Doctoral Program

Placement of a student on formal probation is required before the student can be dismissed from the program. If the Head Graduate Adviser believes that it is unlikely that a student on probation can improve his or her record or that the student is unable to meet requirements for the degree, the Head Graduate Adviser may recommend dismissal to the Dean of the Graduate Division.

Dismissal for academic reasons is the purview of the Dean of the Graduate Division, under the auspices of the Graduate Council. Students may also be dismissed for disciplinary reasons due to violations of the [Code of Student Conduct](#), under the jurisdiction of the Vice Chancellor for Student Affairs and the Office of Student Conduct. For more details on potential reasons for or consequences of dismissal, please consult the [Guide to Graduate Policy E1.8 Dismissal](#).



# Grades and Grading

Grades are posted by the Office of the Registrar shortly after the close of the semester. You may access your final grades via Cal Central once they have been posted. Individual grades are not given out by the School of Social Welfare. For more policies concerning grades and special provisions for graduate students, please consult the [Berkeley Academic Guide: Academic Policies](#) and the [Guide to Graduate Policy E1.3 Grades](#).

## Grading Options

The University of California, Berkeley, uses a plus and minus letter grade system on a four-point scale. Any letter grade under C- is not considered passing. Students must retake any course required for the degree if they do not earn a passing grade.

### **Satisfactory/Unsatisfactory (S/U) Grading Option**

When taken with the Satisfactory/Unsatisfactory (S/U) grading option, a student must earn a grade of B- or better to be considered passing. No more than one-third of your total course work prior to advancement to candidacy can be taken with the S/U grading option. If you elect to take more than one-third of your courses in any given semester on an S/U basis, rather than for a letter grade, you should check with the GSAO to make certain that your total percentage is still within required limits. 300 and 400-level courses do not count toward the S/U limit.

### **Changing Grading Option**

Students may change their grading option directly on [CalCentral](#) through the Wednesday of the 4th week of instruction each semester. After this deadline, students must submit a [Graduate Petition to Change Course Schedule](#) to the GSAO. Students can make grading option changes through the GSAO up through the Friday before RRR Week.

## Incomplete Grades

If your work in a course is currently of passing quality but cannot be completed due to extenuating circumstances beyond your control (such as sudden illness), your instructor may elect to assign you a grade of Incomplete ('I'). An Incomplete will not be assigned simply because a student needs additional time to complete course requirements.

In the School of Social Welfare, your instructor must state the reason for the Incomplete in the comment column of the grade report, and inform the Head Graduate Adviser and GSAO of your plans for completing the work by submitting an [Incomplete Grade Petition Form for SSW Graduate Students](#) completed by both you and your instructor.

Once you have completed the work and your instructor has graded it, your instructor reports the grade directly via CalCentral. There is no deadline for graduate students for the removal of incomplete grades, but all Incompletes in required courses must be removed **before** you apply for the Qualifying Examination.

While there is no Graduate Council mandated time limit for graduate students to make up Incompletes, the following academic penalties apply to graduate students with Incompletes:

1. a student with more than two Incompletes is not considered in good academic standing and may face probation and dismissal
2. doctoral students are not eligible to apply for the Qualifying Examination or Advancement to Candidacy if they have more than two Incompletes
3. students who have three or more Incompletes are academically ineligible to hold a student academic appointment (e.g. GSI, GSR).

All Incompletes on your record must be removed before you are advanced to candidacy, unless the Head Graduate Adviser states that the course work is neither necessary nor closely related to your degree, and that removal would delay your progress toward completion of the degree.

## Grade Grievances

Per University policy, all grades except “Incomplete” and “In Progress” are considered final when assigned by an instructor at the end of a term. Grade changes are not permitted except in the case of clerical or procedural error. Grade changes may not be made on the basis of a reassessment of the quality of the student's work.

The only formal challenge of a grade permitted by University policy is when an instructor assigns a grade utilizing non-academic criteria (such as considerations of race, politics, religion, sex, or other factors not directly reflective of performance related to course requirements) or when sexual harassment or improper academic procedures unfairly affect a student's grade. For more information please see the Academic Senate's [Procedures for Grade Appeals](#).

Grievances about a grade should first be addressed with the instructor who assigned the grade in question. The student should first meet with the instructor to discuss the grievance and clarify reasons for the grade assignment. Students may also seek mediation assistance and advice from the GSAO, the Assistant Dean for Student Services, or the [Campus Ombudsperson](#). Keep in mind that these advisers do not have the authority to require an instructor to change a grade.

If informal mediation of a grade grievance does not result in satisfactory action, a student may submit a formal appeal to the Dean of the School of School Welfare, subject to the conditions outlined in the School's Student Grievance and Appeal Procedures. Formal appeals must be directed to the Dean of the School of Social Welfare, 120 Haviland Hall. A written statement indicating the action being appealed, the grounds upon which the appeal is based, the relief requested, and any background information that the student deems pertinent to his or her case,

must accompany the appeal. The appeal must be filed with the Dean within two semesters of the alleged offense.

# Graduation and Degree Conferral

## Expected Graduation Term (EGT)

Your Expected Graduation Term (aka "EGT") is the term in which you expect to file your dissertation. To be eligible for filing, your EGT must be the current term in which you intend to file. You may update your EGT using the eForm available in CalCentral (My Dashboard > Student Resources Card > Change of Expected Graduation Term Request).

## Commencement

The School of Social Welfare's Commencement Ceremony is held at the conclusion of the spring semester each year. Details about the ceremony are posted on our [Social Welfare Commencement](#) website in early January.

Doctoral candidates who will have their PhD degree conferred in the current academic year (fall or spring) or preceding summer term are eligible to participate in our Spring Commencement Ceremony. Since a complete draft of the dissertation is due to the dissertation committee two months before filing, students planning to participate in the spring graduation ceremony should note the implicit March cut-off for participation in commencement, and plan accordingly.

## Degree Conferral

Your official degree conferral date is not the date on which you submit your dissertation. Degrees are officially awarded three times a year, in May, August and December. Your degree will be posted to your transcript approximately 10 weeks after the conferral date of your degree. For salary or employment purposes, however, you have completed all requirements for the PhD on the date you file your dissertation with the Graduate Division. You may request a ["Certificate of Degree Completion"](#) from the Graduate Division once your dissertation is accepted.

## Diplomas

Diplomas are automatically mailed free of charge from the Office of the Registrar four months after graduation to the address you have on file in [CalCentral](#). Once you no longer have access to campus student systems you may submit a [Diploma Mailing Request Form](#). For more information please visit [Office of the Registrar: Transcripts and Diplomas](#).

## Verification of Enrollment or Degrees

You may request Student Self-Service Enrollment Verification or Official Verification of Attendance and Degrees directly from the Office of the Registrar; for information and instructions please visit [Verification of Enrollment/Degrees](#).

# Doctoral Student Financial Support

## Doctoral Funding Packages

Social Welfare doctoral student funding packages are offered at the time of admission to successful applicants. A funding package typically includes four years of financial support for payment of [tuition and fees](#) (including [student health insurance](#)); and an academic year allowance for living expense support funded jointly by fellowship award(s) and salary from a [student academic appointment](#) as a Graduate Student Instructor (GSI) or Graduate Student Researcher (GSR).

No tuition and fee or stipend support is guaranteed beyond the expiration of the original funding package, although continuing students are eligible to apply for [departmentally restricted awards](#) when funds are available. All doctoral students are also strongly encouraged to continually seek additional [extramural funding](#), especially for dissertation support.

## Nonresident Supplemental Tuition

Nonresident Supplemental Tuition (NRST) for out-of-state doctoral students in Social Welfare will only be covered by a Doctoral Student Support Package for the first year. Social Welfare doctoral students who are U.S. citizens or permanent residents are expected to establish California residency at the end of their first year in California and to maintain residency throughout their studies. For further information about residency classification and instructions on how to establish residency, please visit [California Residency for Tuition Purposes](#).

International students in F-1 or J-1 status are not eligible to establish California residency and must pay nonresident supplemental tuition EXCEPT for a three-year exemption when advanced to doctoral candidacy. The Social Welfare Dean's Doctoral Fellowship will pay NRST on behalf of international students for the first three years of study.

## Fellowship Awards

Students receiving any university fellowship awards are subject to all university rules, regulations and eligibility requirements for financial support. Students receiving external fellowships must also refer to the fellowship terms set by the corresponding agency, including terms regarding supplementation with employment or another fellowship.

Fellowship recipients are required to register full time (generally 12 units per semester) and to devote their time to study and/or research in the field in which the award is made, make satisfactory academic progress, and maintain a 3.0 GPA. Your award letter will include any details about additional specific enrollment requirements. You MUST immediately inform your

faculty adviser, the GSAO, and the Graduate Fellowships Office of any changes that may affect your fellowship award(s), such as the offer of another award or any concerns about making sufficient academic progress. For more information please see the [Guide to Graduate Policy > Financial Assistance Policy](#).

To be considered for fellowship funding all U.S. citizens and permanent residents should submit the Free Application for Federal Student Aid ([FAFSA](#)) by the FAFSA deadline each academic year. If you are eligible to submit a FAFSA, you should do so even if you do not intend to take out any student loans.

## **Coordinating Payment of Tuition and Fees with Other Fellowships or Awards**

Throughout your graduate career you may receive more than one type of award that is intended to pay fee, or fees and tuition, for a particular semester. Fee remissions for students with eligible academic student appointments will generally take precedence over concurrent fellowships, departmental awards, and loans. If you receive more than one type of award intended for tuition and/or fee support, a set of established rules governs the following order in which awards are credited to offset fees and tuition in your CalCentral student account:

1. Outside agency awards.
2. Fee and tuition remissions from UCB campus appointments.
3. Departmental fellowships and awards paid through your CalCentral student account.
4. University fellowship awards or Block Grant awards.
5. Student Loans.
6. Student Payments.

## **Fellowship Funds Paid by External Sources**

Students receiving fellowship support from an external source/outside agency are responsible for ensuring that funds get properly applied to their CalCentral accounts by the payment deadlines each semester. Do NOT remit external fellowship checks to the School of Social Welfare. External fellowship checks should be made payable to "UC Regents" and mailed to the UC Berkeley Financial Aid & Scholarships Office, 201 Sproul Hall #1960, Berkeley, CA 94720-1960.

Be sure to give your donor your student identification number (SID) and ask them to include it with your award. It's also helpful if the donor includes a letter explaining the award terms when they send the award check to the Financial Aid & Scholarships Office.

## **Stipend Limits on Graduate Division Fellowships**

Effective 2021-22, Graduate Division-administered fellowships may be held concurrently, and with external fellowships (terms permitting), as long as the combined stipend funding does not

exceed \$40,000. Requests to exceed this amount requires the approval of the Associate Dean of the Graduate Division. Departmentally-controlled funding is not subject to this stipend limit. Salary from academic student appointments also does not count toward the \$40,000 stipend cap. For more information please see the [Guide to Graduate Policy > G1.3 Fellowships](#).

## Combining Fellowships and Employment

Students who are receiving a fellowship administered by the University that will give them a defined minimum stipend level plus fees are subject to an employment restriction: they may work up to 25% time during the academic year (that is, 25% each term or 50% for one term only). There is no work restriction for the summer term. Note that some fellowships, including the Doctoral Completion Fellowship ([DCF](#)) and [U.C. Dissertation-Year Fellowship](#), are subject to other work rules, as outlined in their corresponding award notices and terms documents. Students receiving external fellowships must refer to the fellowship terms set by the corresponding agency which may restrict employment more than this.

## Social Welfare Dean's Conference Travel Award

Doctoral students presenting original research, or participating as an invited discussant or panelist, at a major meeting of a recognized learned society or professional organization, may apply for a Social Welfare Dean's Conference Travel Award. Travel Awards are issued as cash stipend payments disbursed to your CalCentral student account.

- The award amount is \$1,600, and you may receive one Dean's Travel Award per academic year.
- In your final, job-seeking year in the doctoral program, you may apply for up to two Dean's Travel Awards, with the limitation that at least one of them must be to support you presenting at either the [Council on Social Work Education \(CSWE\) Annual Program Meeting](#) or the Society for Social Work Research (SSWR) Annual Conference.
- Travel grants cannot be awarded for travel to states listed on California's state-sponsored travel ban ([AB 1887](#)), which currently includes: Alabama, Kansas, Kentucky, Mississippi, North Carolina, Oklahoma, South Carolina, South Dakota, Tennessee, and Texas.

The [Application for Social Welfare Dean's PhD Conference Travel Award](#) must be submitted no later than three weeks before the start date of the conference or meeting. Applications submitted later than this deadline or after the fact will not be considered, without exception.

# Academic Student Employment

Academic student employment ("ASE") appointments can provide a substantial source of financial support for Berkeley graduate students. Most financial packages for doctoral students, such as multi-year fellowships, usually include academic appointments during the third or fourth year.

Berkeley Social Welfare most often appoints doctoral students to the GSI, GSR and Reader titles. Specific duties for each position are detailed in the written notification of appointment provided to the appointee by the department. The titles GSI, Reader and Tutor are covered by a [labor agreement](#) between the University and the United Autoworkers (UAW). GSRs are not covered by this agreement, although university appointment eligibility rules apply to both ASEs and GSRs.

## Eligibility for ASE Appointments

Students must meet certain academic requirements and other eligibility criteria to qualify for graduate student academic employment. Graduate students are also subject to Graduate Council and Graduate Division policies regarding appointments to academic and staff titles, including minimum enrollment requirements and limitations on percentage of appointment. To learn more about graduate student academic appointment eligibility and employment requirements at Berkeley, please see [Graduate Student Academic Appointments](#).

## Departmental Policies and Procedures

Hiring departments are responsible for verifying eligibility of students proposed for graduate student academic employment, and for ensuring ASE recruitment and selection is conducted fairly and equitably. The following departmental policies and procedures are in effect for the School of Social Welfare:

### Appointment Eligibility

- An Academic Student Employee is ineligible to hold an additional ASE appointment simultaneously for the same course (i.e., cannot be both Reader and GSI for the same course), and may not be enrolled in a course for which they hold an ASE appointment.
- The School of Social Welfare Doctoral Committee limits holding a GSI appointment to no more than twice for the same course, even under different instructors.

### Required Pedagogy Course

Every first-time GSI must either have completed or be enrolled in a 300-level, semester-long pedagogy seminar offered by the GSI's department on teaching in the discipline. In Social Welfare this course is SOC WEL 375-Teaching in Social Welfare, generally offered in the fall semester when there is sufficient student demand. Entering doctoral students are highly



encouraged to take this course early in their program of study in order to be eligible for GSI appointment. A GSI may only take the pedagogy seminar in another department with the advice and approval of the Faculty Adviser for GSI Affairs in the teaching department, and the consent of the 300-level course instructor in the other department.

## **Recruitment and Selection**

Campus policy and the labor agreement require procedures for recruiting and selecting GSIs and Readers be public, transparent, and managed at the department level, rather than be controlled by private arrangements between course instructors and ASEs.

- Announcements of ASE opportunities in the School of Social Welfare are released by February 15 each year, for anticipated positions in the following Summer Sessions and academic year. Postings shall include criteria required for appointment, and criteria involved in determining selection of ASEs. The Dean, acting as Department Chair, and the Faculty Adviser for GSI Affairs are responsible for ensuring that postings are widely circulated within the eligible pool, and are in compliance with the union contract. Application packets will be forwarded to supervising faculty members for review, interview and selection once hiring eligibility has been verified by student services staff. Priority review dates are March 1 for Summer Sessions and April 1 for the following academic year.
- Continuing students have priority over entering students for GSI positions. Priority may also be given to students with fellowships that include a student employment commitment, and/or those students in the School of Social Welfare who have not had a teaching opportunity.

## **Appointment and Workload**

- For a graduate student who has not yet been advanced to doctoral candidacy, appointment as a GSI or Reader for a graduate Social Welfare course always requires advance approval by the Head Graduate Adviser.
- Graduate students with ASE appointments during the academic year may not exceed half time, nor may such appointments, in combination with other University appointments, exceed half time.
- Per the labor agreement, a GSI with a 50%-time appointment may not be assigned a workload exceeding 340 hours per semester. This standard applies proportionately to other percent appointments.
- It is the responsibility of the supervising faculty member to ensure that workload is consistent with the appointment percentage, and provide an estimated breakdown of distribution of GSI hours for the term. It is the ASE's obligation to inform the supervisor when they first perceive that their assignments might exceed the assigned workload maximum for their appointments. ASEs must obtain express advance written permission

from their supervisors before working beyond the number of hours defined for their appointments. At no time should an ASE continue to work beyond eight hours in a day, or forty hours in a week.

- All GSIs are required to meet at the beginning of the semester with the faculty member responsible for the course to go over the course syllabus, to clarify GSI responsibilities in the course, and, in the case of discussion sections, to discuss the relationship of sections to lecture. The faculty member responsible for the course is required to meet with GSIs to go over the course syllabus, to clarify GSI responsibilities in the course, and, in the case of discussion sections, describe the relationship of sections to lecture.
- The Dean, acting as Department Chair, and the Faculty Adviser for GSI Affairs are responsible for explaining principles associated with workload in accordance with departmental needs and the current union contract.
- GSI and Reader appointments are for one academic year or less, and reappointment is not automatic. ASE appointments in Social Welfare are self-terminating unless the appointee is otherwise notified.

## Unit Credit for GSI or GSR Positions

Social Welfare doctoral students holding a GSI or GSR appointment must be enrolled in a minimum of 12 units for the entire semester for which they hold the appointment, unless already advanced to doctoral candidacy. Some of these units may be satisfied by enrolling in the appropriate number of units of either SOC WEL 301-Training in Teaching, or SOC WEL 403-Training in Research, as shown below:

<b>SOC WEL 301 or 403 units:</b>	<b>2 units</b>	<b>3 units</b>	<b>4 units</b>
GSI sections taught:	1	2/same course	2/different course
GSR hours per week:	6-10	11-15	16-20

# Nondiscrimination Policies

## Nondiscrimination Policy Statement

The University of California, in accordance with applicable Federal and State Law, does not discriminate on the basis of race, color, national origin, religion, sex (including sexual harassment), gender identity, pregnancy/childbirth and medical conditions related thereto, disability, age, medical condition (cancer-related), ancestry, marital status, citizenship, sexual orientation, or status as a Vietnam-era veteran or special disabled veteran. This nondiscrimination policy covers student admission, access, and treatment in University programs and activities.

Inquiries regarding the University's student-related nondiscrimination policies may be directed to the Director of the Office for the Prevention of Harassment and Discrimination (OPHD). Email: [ask\\_ophd@berkeley.edu](mailto:ask_ophd@berkeley.edu); or telephone: 510-643-7985. Complaints of discrimination should also be directed to OPHD.

## Sexual Harassment and Violence Policy

The University of California is committed to creating and maintaining a community free of sexual violence and sexual harassment. Sexual violence and sexual harassment violate both law and University policy. Any member of the University community may report conduct that may constitute sexual violence, sexual harassment, retaliation, and other prohibited behavior ("Prohibited Conduct"). The University will respond promptly and equitably to such reports, and will take appropriate action to stop, prevent, and remedy the Prohibited Conduct, and when necessary, to discipline the Respondent.

In addition to sexual harassment, discrimination based on sex, gender, gender identity, gender expression, sex- or gender-stereotyping, and sexual orientation violates law and other University policies. Such discrimination may also contribute to the creation of a hostile work or academic environment based on sex and thus constitute or contribute to sexual harassment. Harassment that may not be sexual, but still contributes to a hostile work or academic environment, may also violate the University's other non-discrimination policies. For complete policies and reporting procedures please see the [University of California Sexual Violence and Sexual Harassment Policy](#).

## Sexual Violence/Sexual Harassment Prevention Training

As part of the University of California's commitment to sustaining a community that is safe and affirming, all UC campuses provide sexual violence/sexual harassment prevention education to graduate and professional school students (as well as to undergraduates, staff, and faculty). This sexual violence prevention and response training is mandatory. All Berkeley students attending classes on campus are required to 1) complete an online educational program; AND 2) attend an in-person training. Both forms of training must be completed in order to satisfy this

mandatory requirement. Information on how to complete the training requirement is sent to students by the Graduate Division at the beginning of every academic year. For more information and resources on the sexual assault mandatory training requirement please see [Sexual Violence/Sexual Harassment Prevention Training](#).

## **Additional SV/SH Support Resources**

- [Resources and Support for Sexual Harassment and Assault](#)  
Division of Student Affairs - Center for Student Conduct web resources and links to sexual harassment and sexual misconduct policies.
- [Sexual Harassment and Violence Support and Education](#)  
This website provides information regarding sexual assault prevention, education, and reporting. It also contains information about support options, campus policies, and disciplinary procedures relating to sexual misconduct.

## **Office for the Prevention of Harassment and Discrimination**

The Office for the Prevention of Harassment and Discrimination (OPHD) is responsible for ensuring the University provides an environment for faculty, staff and students that is free from discrimination and harassment on the basis of categories including race, color national origin, gender, age and sexual orientation/identity. This campus Office has the specific responsibility for providing prompt and effective responses to all complaints of sex discrimination or harassment for faculty, staff and students. The Office also responds to concerns from faculty and students regarding other forms of discrimination as covered by University Nondiscrimination policies-- such as, age, religion, national origin, etc.

# Student Grievance and Appeal Procedures

## Purpose and Scope

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

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.).

1. This procedure may not be used for complaints regarding actions based solely on faculty evaluation of the academic quality of a student's performance, or decanal evaluation of a student's appropriate academic progress, unless the complaint alleges that the actions may have been influenced by non-academic criteria.
2. Grievances by students concerning grades are addressed according to the Academic Senate policies and procedures for grade appeals under [Berkeley Division Regulation A207](#).

This procedure is provided for continuing and returning graduate students in the School of Social Welfare on the Berkeley campus. It may not be used by applicants for admission, or students registered in social welfare graduate courses through University Extension, the Graduate Theological Union, or other cross-registration agreements. A student may bring a complaint individually or may file a complaint jointly with other students when each claims injury as a result of the same alleged action(s).

## Resolution Procedures in the School of Social Welfare

### Informal Resolution Procedures

1. Students are encouraged to first pursue informal resolution of a complaint by meeting with their faculty advisor, the Head Graduate Adviser, or the Associate Dean of Academic Affairs to discuss the complaint and explore possible avenues of resolution.
2. Attempts at informal resolution within the School of Social Welfare must be initiated within 30 days from the time at which the student knew or could reasonably be expected to have known of the action being appealed. The informal resolution process should be concluded within 60 days of initiation.

3. If a satisfactory resolution cannot be reached through informal resolution, the student may initiate a formal resolution process within the School of Social Welfare.

## **Formal Resolution Procedures in the School of Social Welfare**

1. A student who wishes to initiate a formal resolution of grievance must submit a written complaint to the Dean of the School of Social Welfare. The Dean must receive the written complaint within 15 days of the time the student is notified of the informal review process outcome, or if no informal review has been timely initiated, no more than 60 days from the time at which the student knew or could reasonably be expected to have known of the action being appealed.
2. The complaint should indicate the action(s) being appealed, the date(s) the action(s) occurred, the grounds upon which the appeal is based, and the relief requested.
3. The written statement should include notice to the Dean of Social Welfare if the student bringing the appeal will be represented by counsel or other representative. The letter should also include a description of the results of any informal resolution process, and any background information that the student deems pertinent to the case.
4. For a complaint to be reviewed under the formal resolution process, it must be based on one or more of the following grounds:
  1. Procedural error or violation of official policy by academic or administrative personnel.
  2. Judgments improperly based upon non-academic criteria including, but not limited to, discrimination or harassment on the basis of race, color, national origin, religion, sex, disability, age, medical condition, ancestry, marital status, citizenship, sexual orientation, or status as a Vietnam-era veteran or special disabled veteran.
  3. Special mitigating circumstances beyond the student's control not properly taken into account in a decision affecting the student's academic progress.
5. Upon receipt of the written complaint, the Dean of the School of Social Welfare may meet with the complainant and attempt to resolve the problem, or may appoint an Ad Hoc Committee to investigate the complaint. The committee shall make a recommendation to the Dean for resolution of the complaint. The investigation may 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 committee's investigation should be concluded and the student notified of the outcome within 90 days of initiation of the formal appeal. The Dean of the School of Social Welfare will notify the student in writing of the outcome.
6. Time Limits: All time frames referred to in this procedure refer to calendar days. Summer and inter-semester recesses are not included within these time frames. The Dean of the School of Social Welfare may extend time limits for good cause upon notice to all parties involved.

# Formal Grade Appeals

Per [University policy](#), all grades except “Incomplete” and “In Progress” are considered final when assigned by an instructor at the end of a term. Grade changes are not permitted except in the case of clerical or procedural error. Grade changes may not be made on the basis of a reassessment of the quality of the student's work.

The only formal challenge of a grade permitted by University policy is when an instructor assigns a grade utilizing non-academic criteria (such as considerations of race, politics, religion, sex, or other factors not directly reflective of performance related to course requirements) or when sexual harassment or improper academic procedures unfairly affect a student's grade. Grievances about a grade should first be addressed with the instructor who assigned the grade in question. The student should first meet with the instructor to discuss the grievance and clarify reasons for the grade assignment. Students may also seek mediation assistance and advice from the GSAO, the Head Graduate Adviser, the Assistant Dean for Admissions and Student Services, or the [Campus Ombudsperson](#). Keep in mind that these advisers do not have the authority to require an instructor to change a grade.

If informal mediation of a grade grievance does not result in satisfactory action, a student may submit a formal appeal to the Dean of the School of School Welfare, subject to the conditions outlined in this policy. Formal appeals must be directed to the Dean of the School of Social Welfare, 120 Haviland Hall. A written statement indicating the action being appealed, the grounds upon which the appeal is based, the relief requested, and any background information that the student deems pertinent to his or her case, must accompany the appeal. The appeal must be filed with the Dean within two semesters of the alleged offense.

When an appeal is filed, the Dean will appoint an ad hoc Grievance Committee composed of the Chair of the Faculty and two additional faculty members, one of whom shall be from a unit other than Social Welfare, and two students in good standing, appointed by the Graduate Assembly. The Grievance Committee will consider the written appeal of the student; obtain a written response from the instructor; and will provide all parties the opportunity to present additional information orally or in writing. The Grievance Committee will report its recommendations to the Dean as well as to the Berkeley Academic Senate Committee on Courses of Instruction, including minority views, if any.

If the Committee on Courses finds in the student's favor, it may change a failing grade to a P or S, drop the course retroactively, retain the course but eliminate the grade from the GPA, or adopt the letter grade, if any, recommended by four of the five members of the Grievance Committee. For further information please see the [Academic Senate Procedures for Grade Appeals Based on the Alleged Use of Non-Academic Criteria](#).

## Complaints Involving Discrimination

If a complainant alleges discrimination or harassment on the basis of sex, race, national origin, color, age, religion, sexual orientation, or disability, the department will notify and make referrals

as necessary to the appropriate campus compliance officers prior to commencing informal or formal resolution.

## Graduate Division Appeal Procedure

If a student is not satisfied with the resolution of a grievance under the School's procedure, the complaint may be brought to the Graduate Division under the [Graduate Student Appeal Procedure](#). A formal appeal under this procedure must be received in the Office of the Dean of the Graduate Division within fifteen days of when the student knew or could reasonably be expected to know of the final decision made by the Dean of the School of Social Welfare in regards to the student's complaint.



# Student Records

Once an admitted applicant submits a Statement of Intent to Register (SIR) to the University, she or he is considered a student whose records are subject to privacy protections governed by the Federal Family Educational Rights and Privacy Act ([FERPA](#)) and the Berkeley campus' policies implementing these regulations. Prior to submitting the SIR, a student's records are subject to different privacy protections under the Information Privacy Act.

FERPA rules and university policy Berkeley students the following rights:

1. To inspect and review their student records.
2. To have withheld from public disclosure, absent their prior consent, personally identifiable information from their student records.
3. To inspect records maintained by campus offices concerning disclosure of confidential information from their student records.
4. To seek corrections of their records through a request to amend the records, or a request for a hearing to challenge the content of their records, or to include a written statement therein.
5. To file complaints with the Office of the Chancellor or with the U.S. Department of Education regarding violations of the rights accorded by federal law or University policy.

The [Berkeley Campus Policy Governing Disclosures of Information from Student Records](#) defines "public records" which may be released without prior student consent, describes the record access rights of applicants who have not been admitted or enrolled at the Berkeley campus, and describes the conditions under which students may waive the right of access to their records.

In the School of Social Welfare the following types of information are considered matters of public record: student name; dates of attendance; major field of study; types and dates of degrees awarded from Berkeley; and name of the most recently attended institution, prior to Berkeley.

Public information about students may be shared with potential and assigned field placement agencies. This information is released, provided it is available, when it is requested in writing. The information is not released if the student requests in writing that it not be disclosed as a matter of public record.

All other records, such as general correspondence, admission applications, and academic transcripts, are considered confidential records. The Academic Coordinator and Graduate Student Affairs Officer are the records custodians for the School of Social Welfare. The following additional persons have access to these records: the Office of the President of the University, the Ombudsperson, and academic and non-academic staff of the School of Social Welfare. Other campus personnel are granted access when it is necessary for the normal performance of

their assigned duties. Field placement agencies may obtain information necessary to the assignment and supervision of students in field work placements.

## **Procedures for Access to Confidential Records**

Students may exercise their right to inspect their own confidential records by making a request in writing to the Academic Coordinator. Access to the records will be provided no later than 45 calendar days after receipt of the student's request.

Disclosure to a third party can be made only with the written consent of the student, naming the third party, the records to be released, and the reasons for the disclosure. Under certain exceptions information about confidential records may be released by the School without the written consent of the student; for example by judicial order, to accrediting organizations, for research purposes, or under certain conditions connected with financial aid. In emergency health and safety situations, and at the discretion of the UC Police Department and the Office of the Registrar, disclosure of a limited amount of information may be made to appropriate parties in connection with an emergency when the information is necessary to protect the health and safety of the student or other persons.

## **Challenge of Records and Hearing**

School of Social Welfare Student Services staff will interpret and explain the information in a student's record upon request. If a student believes that his or her 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 School's Academic Coordinator 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 School. 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 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 records of a written explanation.

# Appendix A: Normative Time Due Dates

Normative Timeline for Due Dates of Tasks and Milestones

Note: For the sake of this timeline, a “Year” sequences the terms Fall, Spring, and Summer.

## Year 1

Term	Due Date	Task or Milestone
Spring	Final Exams Week (approximate)	<a href="#">First Year Comprehensive Exam</a>

## Year 2

Term	Due Date	Task or Milestone
Fall	August 20 (approximate)	<a href="#">Required 1st-Year Progress Review Meetings</a>
Fall	October 15	<a href="#">Qualifying Paper Proposal</a> due to Faculty Adviser
Spring	January 24 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Spring	Final Exams Week	Adviser-Approved <a href="#">Qualifying Paper</a> Due
Spring	Final Exams Week	Declaration of QE committee-approved <a href="#">Fields of Expertise</a> (for students planning a Year 3, Fall term Qualifying Examination)

## Year 3

Term	Due Date	Task or Milestone
Fall	August 20 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Fall	Final Exams Week	Declaration of QE committee-approved Fields of Expertise (for students planning a Year 3, Fall term Qualifying Examination)
Spring	January 24 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Spring	Six weeks prior to <a href="#">Qualifying Exam</a>	Submit chair-approved Dissertation Prospectus and Fields of Expertise to <a href="#">QE Committee</a>
Spring	Three weeks prior to <a href="#">Qualifying Exam</a>	Submit Graduate Division <a href="#">Application for the Qualifying Examination</a> via CalCentral
Spring	Final Exams Week	Sit for <a href="#">Qualifying Examination</a>

## Year 4

Term	Due Date	Task or Milestone
Fall	August 20 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Fall	Before Advancement to Candidacy	Final Approval for <a href="#">Dissertation Prospectus</a> due
Fall	<a href="#">Final Exams Week</a> (approximate)	File <a href="#">Advancement to Candidacy eForm</a> in CalCentral
Spring	January 24 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Spring	April 30 (unless completed earlier for DCF)	Complete <a href="#">Doctoral Candidacy Review (DCR)</a> in CalCentral

## Year 5

Term	Due Date	Task or Milestone
Fall	August 20 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Spring	January 24 (approximate)	<a href="#">Progress Review Meetings</a> (as required or requested)
Spring	<a href="#">Final Exams Week</a> (approximate)	<a href="#">File Dissertation</a>

# Appendix B: Committee Configurations that Meet Graduate Division Policy

The constellation of [Graduate Division policies related to committee member participation](#) results in a limited number of committee configurations for your Qualifying Examination Committee and Dissertation Committee. Below are the lists of these available configurations.

## Qualifying Examination Committees

Qualifying Examination 4-Member Committee	
Member 1 (QE Chair; Cannot be Sole Dissertation Chair, Could be Dissertation Co-Chair)	Berkeley Social Welfare Senate Faculty
Member 2 (Usually Dissertation Chair; Inside Member)	Berkeley Social Welfare Senate Faculty
Member 3 (Inside Member)	Berkeley Social Welfare Senate Faculty <b>or</b> UC Berkeley Senate faculty from another department <b>or</b> <a href="#">Someone Meeting the Standards to Request Exceptional Committee Membership</a> (link is external)
Member 4 (Academic Senate Representative)	UC Berkeley Senate Faculty, Non-Social Welfare

Qualifying Examination 5-Member Committee	
Member 1 (QE Chair; Cannot be Sole Dissertation Chair, Could be Dissertation Co-Chair)	Berkeley Social Welfare Senate Faculty
Member 2 (Usually Dissertation Chair; Inside Member)	Berkeley Social Welfare Senate Faculty
Member 3 (Inside Member)	Berkeley Social Welfare Senate Faculty
Member 4 (Inside Member)	Berkeley Social Welfare Senate Faculty <b>or</b> UC Berkeley Senate faculty from another department <b>or</b> <a href="#">Someone Meeting the Standards to Request Exceptional Committee Membership</a>

Member 5 (Academic Senate Representative)	UC Berkeley Senate Faculty, Non-Social Welfare
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## Dissertation Committees

<b>Dissertation Committee 3-Member, Single Chair</b>	
Member 1 (Dissertation Chair, Cannot be QE Chair)	Berkeley Social Welfare Senate Faculty
Member 2 (Inside Member)	Berkeley Social Welfare Senate Faculty
Member 3 (Inside Member)	UC Berkeley Senate Faculty, Non-Social Welfare

<b>Dissertation Committee 4-Member, Single Chair</b>	
Member 1 (Dissertation Chair, Cannot be QE Chair)	UC Berkeley School of Social Welfare Senate Faculty
Member 2 (Inside Member)	UC Berkeley School of Social Welfare Senate Faculty
Member 3 (Inside Member)	UC Berkeley School of Social Welfare Senate Faculty <i>or</i> UC Berkeley Senate faculty from another department <i>or</i> <a href="#">Someone Meeting the Standards to Request Exceptional Committee Membership</a>
Member 4 (Academic Senate Representative)	UC Berkeley Senate Faculty, Non-Social Welfare

<b>Dissertation Committee 4-Member: Co-Chairs Who Are Both Social Welfare Senate Faculty</b>	
Member 1 (Dissertation Co-Chair, Could Be QE Chair)	UC Berkeley School of Social Welfare Senate Faculty
Member 2 (Dissertation Co-Chair)	UC Berkeley School of Social Welfare Senate Faculty

Member 3 (Inside Member)	UC Berkeley School of Social Welfare Senate Faculty or UC Berkeley Senate faculty from another department or <a href="#">Someone Meeting the Standards to Request Exceptional Committee Membership</a> (link is external)
Member 4 (Academic Senate Representative)	UC Berkeley Senate Faculty, Non-Social Welfare

<b>Dissertation Committee 4-Member: Co-Chairs Who Are Not Both Social Welfare Senate Faculty</b>	
Member 1 (Dissertation Co-Chair, Could Be QE Chair)	UC Berkeley School of Social Welfare Senate Faculty
Member 2 (Dissertation Co-Chair)	UC Berkeley School of Social Welfare Senate Faculty or UC Berkeley Senate faculty from another department or <a href="#">Someone Meeting the Standards to Request Exceptional Committee Membership</a> (link is external)
Member 3 (Inside Member)	UC Berkeley School of Social Welfare Senate Faculty
Member 4 (Academic Senate Representative)	UC Berkeley Senate Faculty, Non-Social Welfare

Students wishing to have a Dissertation Committee of 5 members or more should consult the GSAO and Doctoral Chair.

# Appendix C: Faculty Mentor Guidelines

The following Berkeley Social Welfare Guidelines for Faculty when Mentoring Doctoral Students are adapted from the Graduate Council (Appendix 11, 2006), amended by doctoral students and faculty. Faculty mentors should:

## Guide students through degree requirements and the qualifying exam experience:

- Understand the policies, procedures, and requirements for doctoral education in the School of Social Welfare and in accordance with the Graduate Division.
- Welcome doctoral students into the program and assist their integration into the school.
- Contact all advisees at the beginning of every semester to determine how they will structure the mentor / mentee relationship in terms of the timing and frequency of meetings and develop a mutual understanding of goals for activities and products.
- Meet regularly with students enrolled in independent study units to discuss program progress, requirements, timelines for task completion, etc.
- Complete a curriculum memo that lists statistics and methods courses the student plans to take each semester during the first three years of study and report it to the Doctoral Program Chair, student, and GSAO.
- Consult with students on outside / elective course selection.
- Conduct an annual, comprehensive review as part of the Student Progress Summary.
- Ensure students understand eligibility and responsibilities in relation to various internal funding options (GSR, GSI, normative time fellowship) and proceed strategically.
- Guide students to consider drafting at least one qualifying exam paper in a publishable format. (Including guiding students to conceptualize a doable, journal-length research question and hypothesis, identify an appropriate journal to target for the paper, and writing an exam paper that is 20-25 pages in length.)
- Introduce students to faculty with whom their academic interests naturally align. Provide consultation for students around building relationships with faculty inside and outside the school and university, with particular attention to identifying other qualifying exam committee members from inside and outside departments, and connecting with other qualifying exam committee members.
- Assist students in negotiating difficult group or interpersonal dynamics if faced in the process of the preparing for the qualifying examination. Advocate for the student as necessary and appropriate.
- Assist students in developing the dissertation prospectus which clearly conceptualizes and motivates the research; articulates research questions, methods, and analytic strategies; and presents implications of proposed research for the profession.
- Assist students in gaining access to the Disabled Students' Program for those with extenuating circumstances.



## Guide students through their dissertation research:

- Assist student in selecting an appropriate dissertation topic that is meaningful, feasible, and valuable to the field.
- Assist student in identifying additional committee members both within and outside of the School. Offer support in making connections with outside faculty as needed.
- Help students develop approaches to building and engaging in research partnerships.
- Provide training and oversight in the design and critique of research projects, rigorous research methodologies and analytic strategies, theoretical and technical aspects of the dissertation, and in professional integrity.
- Provide regular and timely feedback on students' progress and constructive criticism if the students' progress does not meet expectations.
- Encourage an open exchange of ideas.
- Assist in the development of a research dissemination plan, including participation in both scholarly and public discourse.
- Provide and discuss clear criteria for authorship of jointly authored publications.
- Assist in identifying and applying for sources of dissertation funding.

## Guide students through professional development:

- Help students learn strategies for collegial and responsible engagement with scholars, students, practitioners, policy-makers, and other community members.
- Review a student's CV early and often, engaging in an honest assessment of student strengths as well as opportunities needed for further development.
- Help students form right-sized goals and useful writing routines.
- Work with students to prepare conference abstracts and presentations. As possible, help students secure funding to travel to conferences.
- Help students make contact with faculty in other Schools of Social Welfare through networking opportunities at conferences and other settings.
- Talk with students early and often about publishing (including reviewing and commenting on article drafts, offering advice about publishing outlets, helping to shape article ideas and structure, etc.).
- Guide and support a student's development as a teacher.
- Consult with students in making strategic decisions around service roles (boards, committees, consultation, practice, advocacy, peer review).
- Support students in their application for research funding, fellowship support, and other applications as appropriate.
- Provide career guidance and support including writing letters of recommendation in a timely fashion, helping students prepare for interviews, and other recruitment procedures.
- Provide guidance, if asked, to promote physical and mental health, navigate personal and professional responsibilities, find community in the Bay Area, and seek support / accommodation for a disability, including directing students to campus resources that may assist the student.

- Guide students in acculturating to the overall culture of the academy and be alert to the identity transitions that happen during this acculturation process.
- Help students prepare for leadership roles with competence, thoughtfulness, and humility.

## Guide students through the job search process and thinking about post-PhD steps:

- Meet regularly with students to discuss long-term professional goals. Respect students' desires to change career goals, if necessary.
- Assist students in determining whether a post-doctoral appointment would be beneficial to their career development and, if so, in seeking such a position.
- Support students in developing their identity as a scholar, developing a research trajectory, and transitioning from doctoral student to assistant professor mindset.
- Assist students in developing job search materials (cover letter, research statement, teaching portfolio), read drafts, and provide edits and conceptual feedback.
- Connect students to faculty in schools they may be interested in.
- Be present at social work conferences and help students network for jobs at conferences.
- Assist students in preparing for interviews and job talks by participating in mock interviews and job talks.

## Be thoughtful about each student as a unique individual:

- Mentors should be reflective of power dynamics in the mentoring relationship.
- Mentors should recognize and seek to understand the various cultures of their students.
- Mentors should build trust and create a comfortable working environment, especially for students who identify with groups that have been traditionally excluded from, underrepresented, or marginalized in academia.
- Mentors should consider the possibility that students may need extra support due to family responsibilities, but not assume that students with family responsibilities need extra support or are any less committed to their careers.
- Mentors should consider the possibility that students identifying with groups that have been traditionally excluded from, underrepresented, or marginalized in academia may need extra support, but should not assume that students identifying in this way need extra support. It is helpful to ask the student what kind of support s/he desires, and be open to mentoring students in their preferred way.
- Mentors should honor and leverage the student's unique strengths such that s/he can contribute to the mentoring relationship, school, and profession in meaningful ways.

# Appendix D: Faculty-Student Authorship Guidelines

The Doctoral Committee adopted the following guidelines on February 23, 1995:

1. Early in their work with students, faculty members have a responsibility to discuss each contributor's responsibilities and authorship expectations so that all participants can give informed consent. Faculty has a special responsibility to help students make as much contribution as they are able to.
2. All contributors making a substantial contribution ("professional contribution" as described by Fine & Kurdek, 1993) should be listed as authors.
3. Order of authorship generally should reflect extent of contribution, except that the level of contribution required for students to be listed as authors may be less than that required of faculty. When individuals' contributions are approximately equal, preference in order of authorship should be given to students. In some cases, Winston's (1985) criteria may be useful for determining relative levels of contribution.
4. If a student and faculty member are unable to reach agreement regarding authorship, the student should first seek assistance from her or his adviser, then from the chair of the doctoral committee, the dean, and/or the campus ombudsperson.
5. Because faculty have the responsibility to assure that students' dissertations represent original, independent work, articles that students prepare directly from their dissertation findings would be expected to list the student as first author.

## References:

Fine, M. A., & Kurdek, L. A. (1993). Reflections on determining authorship credit and authorship order on faculty-student collaborations. *American Psychologist*, 48, 1141-1147.

Winston, R. B. (1985). A suggested procedure for determining order of authorship in research publications. *Journal of Counseling and Development*, 63, 515-518.

# Appendix E: Glossary of Acronyms and Terms

Acronym	Name or Term	Description or Definition
APR	<a href="#">Academic Progress Report</a>	A tool in CalCentral that graduate students can use to confirm progress of their Graduate division and department requirements.
ASE	Academic Student Appointment	
	<a href="#">bCourses</a>	Berkeley's official campus Learning Management System (LMS), using the open-source Canvas platform.
	<a href="#">CalCentral</a>	Berkeley's official online academic records and student services portal to the campus student information system (Oracle Campus Solutions).
CPHS	<a href="#">Committee for Protection of Human Subjects</a>	Committee of two groups that serve as Institutional Review Boards (IRBs) for the University of California, Berkeley.
CSWE	<a href="#">Council on Social Work Education</a>	Sole accrediting body for social work education programs in the U.S.
DCF	<a href="#">Doctoral Completion Fellowship</a>	A Graduate Division-administered fellowship that provides an incentive for doctoral students to complete their degree within a reasonable time. Eligible students may use the fellowship at any time after advancement to candidacy, through the end of the year Normative Time to Degree (NTD) plus one year.
DCR	<a href="#">Doctoral Candidacy Review</a>	An online report required to be completed annually in CalCentral by all doctoral students who have advanced to doctoral candidacy, and their dissertation committee.
DE	<a href="#">Designated Emphasis</a>	An "add-on" area of study constituting a new method of inquiry or an important field of application relevant to two or more existing doctoral degree programs.
DSP	<a href="#">Disabled Students Program</a>	Campus office providing and coordinating services and academic accommodations for students with disabilities.
GADE	<a href="#">Group for the Advancement of Doctoral Education in Social Work</a>	Organization of social work doctoral program directors worldwide whose purpose is to promote rigor in doctoral education in social work, focusing on

		preparing scholars, researchers, and educators who function as stewards of the discipline.
	<a href="#">Higher Degree Committee eForm</a>	An electronic academic form submitted through CalCentral that encompasses the Application for Qualifying Examination, Request for Change in Higher Degree Committee, and Application for Doctoral Candidacy.
	Milestones	Milestones are academic benchmarks administered by the department and the Graduate Division that are used to guide academic progress toward the PhD degree.
OPHD	<a href="#">Office for the Prevention of Harassment &amp; Discrimination</a>	Campus office overseeing compliance with University of California and UC Berkeley policies prohibiting protected category discrimination and harassment (including sexual harassment and violence).
QE	<a href="#">Qualifying Examination</a>	
QP	<a href="#">Qualifying Paper</a>	
SSWR	<a href="#">Society for Social Work and Research</a>	Professional membership society for social work researchers