

STUDENT HANDBOOK
FOR THE
JOINT Ed.D. IN EDUCATIONAL LEADERSHIP

**UC/CSU Joint Doctoral Program in
Leadership for Educational Equity**



GUIDED BY
THE EDUCATIONAL LEADERSHIP JOINT DOCTORAL BOARD

Degrees to be granted jointly by
UNIVERSITY OF CALIFORNIA, BERKELEY
&
CALIFORNIA STATE UNIVERSITY, HAYWARD
SAN FRANCISCO STATE UNIVERSITY
AND SAN JOSÉ STATE UNIVERSITY

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INTRODUCTION

The Joint Doctoral Program in Leadership for Educational Equity prepares outstanding educational leaders to become champions of transformational educational reform and improvement in the 252 school districts located in the 14 counties that constitute the Metropolitan Bay Area.

This handbook provides detailed information on procedures, regulations, and requirements for completing the Joint Doctoral Program (JDP) in Leadership for Educational Equity, for the Joint Ed.D. degree in Educational Leadership, and the goals of the JDP in the Graduate School of Education at UC Berkeley and the participating CSU campuses – CSU Hayward, San Jose State University and San Francisco State University. We hope that you will familiarize yourself with this handbook, and the 2004-05 *Handbook for Advanced Degree Students in the Graduate School of Education*. Some material may be redundant. We suggest that you use these handbooks as a reference and read the section(s) you need when you are nearing that particular stage of your degree program (e.g., read the section on the First Year Evaluation toward the end of your initial year in the program).

General information about the School, its programs, and its faculty may be found in the *Announcement of the Graduate School of Education*.

All requirements and procedures described in these handbooks are current as of August 2004. If there are any changes you will be notified either by your program or by the Student Academic Services Office.

STRUCTURE OF THE PROGRAM

The creation of the *Joint Doctoral Program (JDP) in Leadership for Educational Equity* was motivated by the belief that the best strategy for making doctoral-level educational leadership programs effective is to 1) model excellence in practice, 2) collect on a continuous basis the kinds of empirical evidence necessary to reconcile expectations with experience, and 3) use the results of this exercise to inform subsequent strategies.

Benefiting from being housed in an academic environment, the JDP curriculum is exceptional and distinguished from other professional leadership programs in that most students involved in the UC/CSU doctoral program balance their academic studies with workplace duties, family obligations, and community responsibilities. The JDP focuses on developing educational leaders who are proficient managers and provides them with a panoply of analytical and budgeting skills so that they may develop as both architects and advocates of systemic educational reform.

Specific Fields of Emphasis

Four thematic areas form the basis upon which the JDP's courses, professional residencies, seminars, coursework on evidence-based decision-making, and the practice-based thesis projects are built. They are summarized below in Table 1.

Table 1: Thematic Areas of the UC/CSU Joint Doctoral Program (JDP) in Leadership for Educational Equity

THEMATIC AREA	PURPOSE	Focus
Systemic Educational Reform: Theory, Policy, and Practice	<p>Advance student understanding of the role of the superintendent as active agent of systemic, evidence-based educational improvement initiatives, particularly with respect to efforts intended to narrow the gaps in student academic achievement; teacher professional expertise; curriculum strategies and materials, and in the human, material; and technical resources available to schools within the district.</p> <p>Also advance student understanding of the responsibilities of staff at the school district office in supporting the superintendent's role as an agent of intentional, purposeful change and improvement.</p>	<p>The school and school district organizational arrangements most likely to optimize educational effectiveness, and the relationships between these arrangements and the accountability measures used by federal and state education agencies to assess the annual yearly progress made by school districts in achieving their educational goals.</p> <p>The theoretical, conceptual and practical aspects of accountability systems are examined in terms of whether they: (1) increase student achievement; (2) enhance teacher expertise; (3) improve the leadership skills of school principals; (4) help schools with large numbers of underachieving students to become effective instructional settings; and, (5) encourage the replication of demonstrably effective educational strategies and practices.</p>
Curriculum, Instruction, Assessment, and Professional Development	<p>Advance student understanding of state and national academic content standards, student performance standards, and student assessment standards on student academic achievement; teacher effectiveness; and the coherence of the school district's educational plans, goals, and objectives in the areas of student learning and teacher professional development.</p>	<p>The empirical basis, pedagogical assumptions, and the normative beliefs informing efforts at the state and national level to foster standards-based teaching and assessment practices in three academic content areas: (1) Mathematics and the Basic Sciences; (2) Reading, Writing and Critical Thinking Skills; and, (3) History and Social Studies.</p> <p>The theoretical, conceptual, and practical aspects of Standards-based educational efforts are examined in terms of whether or not they increase the rigor, relevance, and effectiveness of district-wide teacher professional development programs, and in terms of whether or not they reduce disparities between the espoused and the enacted curriculum.</p>
Achieving Educational Excellence and Equity in Practice	<p>Comprehend the effects of current educational policies and practices on the quality of educational opportunities afforded to students from population segments that historically have not been well served by the public schools.</p>	<p>The measures of educational equity that policymakers use to address unlawful educational policies and practices at the classroom, school, and school district level.</p> <p>The measures and educational constructs that leaders can use to determine if existing district policies are effective in closing the achievement gaps that exist between various student population segments. These segments include: (1) economically advantaged and disadvantaged students; (2) students enrolled in schools with large numbers of non-credentialed and inexperienced teachers, and students enrolled in adequately staffed schools; and (3) students who are English language learners, and students who are fluent English speakers. To these groups must be added students from population segments victimized by state-sanctioned discriminated prior to the passage of the 1964 Civil Rights Act, and students from segments that have never been the objects of state-sanctioned discrimination.</p>
Budgeting, Financial Planning, and Resource Allocation	<p>Comprehend the effects of existing revenue generation and resource allocation policies and practices on student academic achievement, on teacher professional development programs, on the coherence and cost-effectiveness of school instructional practices, and on the generative character of district-wide education strategies and initiatives.</p>	<p>The laws, policies, and practices governing the generation and allocation of federal, state, and local funds to school districts.</p> <p>Whether these laws, policies and practices inhibit or advance (1) efforts to increase student academic achievement and close existing achievement gaps, (2) high quality professional development programs, (3) the number of schools attuned to the social circumstances and educational needs of their students.</p>
Thematic Professional Residencies and Courses in Evidence-Based Educational Decision-making		
Thematic Professional Residencies	<p>The purpose of these residencies is to permit JDP students to examine a troubling educational situation or problem close up, and to gain experience in preparing a case study of their findings and recommendations. Over time, student case studies must demonstrate familiarity with ethnographic and other means for collecting, integrating, and evaluating qualitative observations.</p>	
Courses in Evidence-Based, Educational Decision-Making	<p>The purpose of these courses is to hone JDP student understanding of the role that empirical evidence should play in informing educational plans, policies, and practices. One course emphasizes evidence-based measurement and assessment. The second focuses on descriptive statistical and inferential methods and measures for monitoring, evaluating, and improving educational interventions and practices.</p>	

The four thematic areas are:

- (1) Systemic educational reform: theory, policy, and practice;
- (2) Curriculum, instruction, assessment, and professional development;
- (3) Achieving educational excellence and equity in practice; and,
- (4) Budgeting, financial planning, and resource allocation.

Learning and research in these vertical thematic areas are supported by two horizontal educational activities:

- (5) Thematic professional residencies in three of the four thematic areas; and,
- (6) Courses in evidence-based educational decision-making (EBDM).

The most notable aspect of the entries in Table #NN is the absence of any reference to conventional courses in educational administration. For reasons we will elaborate subsequently, this omission is deliberate. However, one of the reasons we decided to abandon the canonical notions of leadership used within the field of educational administrations was to avoid getting tangled up in the endless debates within the field over the definition of leadership. Cuban (1988), for example, reported that he identified more than 350 definitions of leadership in the research and professional literature. Surely, since then the number of definitions of leadership has continued its explosive growth.

Systemic Educational Reform

The JDP places a strong emphasis on understanding the factors involved in promoting the kinds of systemic changes across an entire school district that are likely to result in increased student academic achievement, to enhance teacher expertise and professionalism, and to encourage engaging and effective instructional settings. This goal motivates the courses, research projects, and professional residencies connected to the theme *Systemic educational reform: theory, policy, and practice*. One of the principal objectives of these activities is to identify the most effective means for identifying, replicating, and scaling up demonstrably effective educational interventions for students; and the most effective strategies and mechanisms for conducting high quality, relevant professional development programs for teachers, principals, and other educators. These mechanisms include the use of technology-based distributed learning environments to increase the accessibility, flexibility, and timeliness of professional development resources. Another goal of this thematic area is to promote proficiency in identifying and using high quality, reliable, and timely data in determining how best to conceptualize, organize, and sustain innovative educational interventions intended to close the troubling gaps in student academic achievement that afflict the nation's public schools. Proponents of educational accountability argue that such data is essential if school districts are to address what Elmore refers to as the "deep, systemic incapacity of U.S. schools and the practitioners who work in them, to develop, incorporate, and extend new ideas about teaching and learning in anything but a small fraction of schools and classrooms." Consequently, the readings and exercises attached to this theme also stress the effectiveness of formal accountability systems in ensuring:

- Comprehensive and coherent academic content standards;
- Student performance standards consistent with these content standards;
- Assessments, measures, and metrics tied to these content and performance standards;
- Curricular materials, teaching practices, instructional settings, and organizational arrangements supportive of these standards;
- Teacher and principal professional development programs consistent with these standards, settings, and arrangements; and,
- Information systems capable of generating timely, relevant, and usable feedback for principals, teachers, students, parents, school district leaders, and policymakers.

Curriculum, Instruction, Assessment, and Professional Development

Another important feature of the JDP's curriculum is the inclusion of a series of courses, research seminars, and professional residencies on teaching, learning, and professional development. The purpose of these educational activities is not to make prospective superintendents pedagogical experts in all of the academic content areas listed in conjunction with the thematic area, *Curriculum, instruction, assessment, and professional development*. Rather, these activities are intended to familiarize JDP students with the most recent empirical research on what is known about the teaching and learning process within these content areas, and what issues they should expect their heads of curriculum and instruction to focus upon. Accordingly, the activities connected to this theme emphasize what is known about the educational policies and practices that either advance or inhibit increased student academic achievement and teacher expertise. The readings for these courses have been selected based on their thoroughness in explaining the theoretical basis and empirical evidence for the standards-based curricular materials, curriculum frameworks, and assessments currently being used by the California State Department of Education and the U.S. Department of Education to monitor student academic achievement. JDP students are also required to review research syntheses in mathematics, and the basic sciences, and readings published by the National Research Council (NRC). They must also review the publications explaining the rationale for the decisions of the National Assessment Governing Board (NAGB), which is responsible for guiding the development of the federally financed exams nationally administered by National Assessment of Educational Progress (NAEP).

Achieving Educational Excellence and Equity in Practice

The theme *Achieving educational excellence and equity in practice* focuses on identifying those organizational behaviors and factors that contribute to the reduction of the achievement gaps currently afflicting public schools in California and throughout the nation. The courses, seminars, and research projects connected to this theme stress what is known about the educational policies and practices that combine to thwart the simultaneous pursuit of educational excellence and equity in the public schools. The educational histories and current experiences of African-American, American Indian, and Mexican-origin students clustered at the low end of the exams that are used to evaluate student academic proficiency levels are examined and discussed at length. The readings connected to this theme also address the educational barriers confronting physically and psychologically challenged students. Other readings address the challenges faced by students stigmatized because of their English language skills, their sexual orientation, or their gender. The activities connected to this theme also examine the cultural and social factors that might shed light on why so many students from disadvantaged population segments manage to transcend normative expectations, and succeed in achieving academic excellence. This entails an examination of the literature describing the cultural, social, and political mechanisms that students from these segments have created to reduce the most pernicious effects of their disadvantaged status. This also entails an examination of the strategies and practices that reform-minded educators have employed to assist students from these segments to translate their promise into academic achievement. The educational constructs that have generated the most spirited discussions and debates among JDP students and faculty include the following: "*Learned helplessness*," "*Test anxiety*," "*Stereotype threat*," "*Student resistance*," and, "*Curriculum coherence*." The virtue of these constructs is that once they are understood, superintendents may be able to attenuate some of their negative consequences on student learning through the implementation of appropriate educational innovations.

Budgeting, Financial Planning, and Resource Allocation

The fourth theme of the JDP is *Budgeting, financial planning, and, resource allocation*. The goal of the courses, research projects, and professional residencies associated with this theme is to aid in preparing educational leaders who understand the relationship between resource allocation and educational priorities, and how to modify programs and resource allocation policies to optimize student academic achievement. Another goal of this theme is to assist JDP students to gain a more sophisticated understanding of the economic and political forces influencing the resource allocation policies of school districts throughout the budgetary cycle, including periods during which the school district is experiencing fiscal stress. A number of educational activities connected to this theme will be devoted to examining the factors that determine the level of financial resources available to school districts, the purposes for which these resources can be expended, and the rules and regulations governing the manner in which these expenditures must be accounted for. The readings connected to this aspect of the theme will include careful analyses of California school finance legislation, analyses of the costs of collective bargaining agreements, and examinations of the costs and benefits of innovations like site-based budgeting, differentiated staffing, team teaching, computer-mediated curricular materials, Web-based professional development programs, etc. As was the case with respect to the theme, *Curriculum, instruction, assessment, and professional development*, the activities connected to this theme are not intended to produce budgetary and financial experts, but to produce superintendents who understand enough in these areas to exercise informed leadership.

Thematic Professional Residencies

One of the two educational activities listed in the bottom two rows of Table #NN is *Thematic professional residencies*. The horizontal placement of the description of these residencies is intended to indicate that they are woven throughout the four themes listed above, in the first four rows of the table. The purpose of these residencies is to provide the mid-level educational leaders enrolled in the JDP with opportunities to broaden and extend their practice-derived knowledge base into new areas. The residencies allow them to connect their formal classroom studies to their experiential understandings of educational practice in a way that encourages them to blend these complementary streams of knowledge. Further, by acting as bridges between espoused educational theories and actual educational practices, the residencies help JDP students identify possible research topics for their doctoral thesis. Accordingly, JDP students are required to participate in three residencies out of the four thematic areas.

The conceptualization of the professional residencies differs from internships associated with conventional doctoral programs in educational leadership in three significant ways: a) residencies attribute value to the hard-earned, practice-based knowledge of individuals who have already distinguished themselves; b) residencies enhance the capacity of JDP students to engage in the type of reflexive analysis that allows them to move beyond the situation-specific details of their own local experiences and circumstances; and, c) residencies increase the possibility that the analyses generated by JDP students will be useful not only to themselves but also to the school districts within which the residencies take place.

Courses in Evidence-based Educational Decision Making

The evidence-based educational decision making courses referred to in Table #NN are intended to address a complaint frequently directed at K-12 Education leaders: their

susceptibility to educational fads. Here, we are referring to instructional interventions and organizational arrangements unaccompanied by supportive empirical evidence proving effectiveness. Tyack and Cuban (1995) compare educational fads to fireflies, which shine brightly for a few moments and then disappear from view. If educational fads were similar to commercial fads, wasting only time, money and human resources, they would be merely foolish and embarrassing. Fads in education, however, are truly harmful because they lead to *unwarranted variations in educational practices*, which result in higher levels of student academic failure than would otherwise be expected. Students are not the only ones harmed by gratuitous departures from sound educational practices. Teachers and principals also lose out when fads and hunches, rather than reflection and evidence, dictate the implementation of interventions, when sub-optimal student learning outcomes are the norm, and when professionals are expected to generate implausible outcomes, and then subjected to sanctions and opprobrium for not having delivered desired results.

Another consequence of educational faddism is reluctance on the part of teachers and principals to embrace demonstrably effective educational interventions, especially if they might challenge the four principal pillars of the K-12 teaching and learning enterprise. These pillars are: (1) the whole-class teaching method; (2) the linearly arranged hierarchically ordered lock-step syllabus; (3) the one-size-fits-all students textbook; and, (4) the poor use of real-time assessment data by teachers to inform their subsequent instructional practices. Despite the vast body of research documenting the circumstances under which these four mainstays are sub-optimal, the classroom teaching and learning enterprise remains intact. The contention here is that this fidelity to educational orthodoxy is unlikely to change because teachers and principals have learned to accommodate educational fads. They do this by adjusting the surface features of their teaching practices and leadership behaviors, while adhering to the four instructional and organization mainstays of contemporary K-12 education. The use of sophisticated software-based curricular materials is a case in point. Rather than being employed in a manner that would help teachers to reallocate their teaching practices from cognitively nonproductive routines and toward teaching practices known to enhance student learning, the overwhelming majority of these materials are used as bolt-on supplements only to the canonical classroom teaching and learning enterprise (Gifford, forthcoming).

Befitting these concerns and observations, the sequence of courses in evidence-based educational decision-making by design stresses the importance of empirical evidence in searching for, evaluating, implementing, and making continuous improvement in innovative educational interventions. In practice, this means examining the empirical evidence for a particular intervention in terms of its potential relevance, applicability, extensibility, and limitations. The professional development objective is to prepare superintendents (i) who can distinguish between a fad and a promising intervention, and (ii) who can foster a district-wide culture of inquiry regarding the strengths and weaknesses of such interventions. Thusly prepared, graduates of the JDP will have explored and debated the means for creating educational settings within which teachers, principals, and students are afforded the methods and means to gather, organize, and marshal local evidence identifying which interventions appear to be effective, and what needs to be done to make the most promising interventions even more effective.

Courses in evidence-based educational decision-making are also central to another core competency that the JDP desires to acculturate in the next generation of school superintendents: the ability to abstract the processes and practices that make certain educational interventions effective, from the specific educational settings in which this effectiveness is manifested. Once leaders understand how to facilitate this abstraction method, it becomes easier for them to put into place support structures, incentives and

mechanisms to transfer and implement demonstrably successful interventions across multiple educational settings.

Table 2 describes how a student cohort will move through the three-year program sequence and demonstrates how students will meet residency requirements. Toward the end of the program in Year 3, the pattern of coursework reflects a commitment to helping students finish their dissertations. Thus great emphasis is placed upon working with the faculty and their peers in thematically based research groups and coming together as a cohort in a research practicum setting to revisit, with greater detail and specificity than in the first two years, methodological questions and the tools that will help students answer research questions.

Table 2: UC/CSU Joint Doctoral Program: Three-year Program Sequence Summary	
Semester	Location and Activity
SUMMER I	<u>UC Berkeley</u> Introduction; Intensive Summer Coursework for eight (8) Weeks 9 semester units
FALL 1	<u>UC Berkeley</u> Professional Residency 1; Weekend Coursework 2 days/month 9 semester units
SPRING I	<u>San Francisco State University</u> Professional Residency 2; Weekend Coursework 2 days/month; First-Year Evaluation 10 semester units
SUMMER II	<u>UC Berkeley</u> Intensive Summer Coursework; Pre-qualifying Review (Prequalifying Papers and Prospectus) 10 semester units
FALL II	<u>California State University, Hayward</u> Professional Residency 3; Weekend Coursework 2 days/month 9 semester units
SPRING II	<u>San Jose State University</u> Professional Residency 4, Weekend Coursework 2 days/month 9 semester units
SUMMER III	<u>UC Berkeley</u> Research Groups and Research Practicum (Qualifying Oral Exams, Advancement to Candidacy, Completion of Research Proposal, Approval of Proposal)** 12 semester units
FALL & SPRING III	<u>UC and CSU Campuses as Appropriate</u> Professional Residency 5, Dissertation 12 semester units minimum, 8 semester units for fellowship students
* The specific sequence of rotation among CSU campuses for fall and spring semester coursework noted above will be determined based on faculty expertise and student need. Each CSU campus will host at least one session.	
** The activities of Summer III will likely continue into Fall III, particularly the completion of Qualifying Oral Exams, Advancement to Candidacy, Completion of Research Proposal, and Approval of Proposal.	

ADMINISTRATIVE UNITS

The following is a brief description of the various administrative units that are discussed in this Handbook.

Graduate Division

The UC Berkeley Graduate Division oversees all graduate degree programs on campus; it is headed by the Dean of the Graduate Division. While the Graduate School of Education will maintain records of your graduate work, certify completion of your program, and recommend conferral of the degree, it is the Graduate Division that must verify that you have met all of its requirements before your degree is awarded. Graduate Division office hours are 9:00–12:00 and 1:00–4:00, Monday through Friday. The Graduate Division Offices are located on the 3rd floor of Sproul Hall.

Joint Doctoral Institutions

UCB Graduate School of Education

The Graduate School of Education (GSE) is one of fourteen professional schools on the Berkeley campus. Now in its 112th year, the School offers academic and professional programs in education. This includes programs leading to doctoral and master's degrees, as well as credentials.

The Graduate School of Education has three academic areas of study: 1) Cognition and Development; 2) Language and Literacy, Society and Culture; and 3) Policy, Organization, Measurement, and Evaluation. Each specialization represents an approach to the study of education or a substantive area of educational study. All students pursuing degrees or credentials in the school are affiliated with one of these three units. The JDP is a school-wide program housed in the administrative offices of the Policy, Organization, Measurement, and Evaluation area.

California State University, Hayward

Established in 1956, CSU-Hayward offers a full range of bachelor's and master's degree programs. In addition to this Joint Doctoral Program, the College of Education and Allied Studies (CEAS) offers credential and master's degree programs in Educational Leadership, Teacher Education, School Counseling, and Marriage and Family Therapy. It also offers bachelor's and master's degree programs in Kinesiology and Physical Education, and a Bachelor's degree program in Recreation and Community Services.

San Francisco State University

Since the University's founding in 1899 as a State Normal School, the field of education and support for the public school system of California has a long history at San Francisco State University. Today the University features one of the largest and most comprehensive programs of undergraduate and graduate education in the California State University system. The College of Education has a combined current annual enrollment of over 3,000 credential and graduate degree students. The College of Education offers the *Joint Doctorate in Special Education* in collaboration with UC Berkeley, MA/MS degrees in 12 different subdisciplines, and credentials in over 20 areas, including Multiple Subject, Single Subject, Special Education, Administrative Services, and Adult/Vocational Education.

San Jose State University

Established in 1857, San Jose State University is California's first public institution of higher education. The College of Education consists of eight departments. Bachelor's and master's degree programs are offered in Child and Adolescent Development and in Communication Disorders and Sciences. Master's degree and credential programs are offered in Counselor Education, Educational Leadership, Elementary Education, Secondary Education and Special Education. Instructional Technology offers a master's degree. See for further information.

UC Berkeley Administrative Offices

Student Academic Services

The Student Academic Services (SAS) Office, in 1600 Tolman Hall, oversees many of the administrative aspects of students' degree and credential programs. The Head Graduate Adviser, Student Academic Services Coordinator, Graduate Assistant, Credential Analyst, Admissions Assistant, Fellowships Assistant, and Scheduling Assistant have offices here. These faculty and staff members are responsible for a variety of GSE student functions including: maintaining student records; processing petitions for withdrawal, readmission, removal of incomplete grades, and degree and program changes; course scheduling; fellowships; and credential and advanced degree counseling. In addition, the SAS staff is a valuable resource for helping you find information and services elsewhere in the University.

The Student Academic Services Office is open Monday through Friday from 9:00–12:00 and 1:00–4:00. Before and after hours, you can leave a message on the office voice mail by calling (510) 642-5345. Appointments are available between 8:00–9:00 and 4:00–5:00 pm if you are unable to visit the office during regular business hours.

ADVISING AND ADMINISTRATIVE ASSISTANCE

Director and Co-directors of the Joint Ed.D. in Educational Leadership

Bernard Gifford is the director of the Joint Doctoral Program in Leadership for Educational Equity and the person responsible for the intellectual direction of the Program and the theoretical and thematic structure of the course of study leading to the Joint Ed.D. in Educational Leadership. He represents the program to the Berkeley and CSU campuses, to the Offices of the President of the UC System and the Chancellor of the CSU system, and to other interested individuals. The co-director of the program at CSU-Hayward is Emily Brizendine. David Hemphill is co-director from San Francisco State University, and Theodore Montemurro from San Jose State University.

Faculty Counselors

Faculty counselors are your primary source of guidance in all matters concerning your academic program. They are responsible for assisting you in developing an individual program of study, and in guiding your research.

Once you have clearly identified the program theme and topics on which you plan to develop your individual program, prepare pre-qualifying papers, and areas of specialization for the qualifying examination and dissertation, usually by spring semester of the first year, you will identify a faculty counselor from the Berkeley campus and one from a CSU campus. Senate members are professors (full, associate, and assistant) and

certain senior lecturers. Each CSU campus will identify professors who are eligible to serve as faculty counselors for students in the JDP. The Educational Leadership Joint Doctoral Board will request the Graduate Division to approve CSU professors who are allowed to serve as faculty counselors and on student Qualifying Examination and Dissertation committees.

After you have identified your faculty counselors, if for some reason you desire a change, you will need to complete a **UCB Faculty Counselor Change Form**, which are available in the UCB Student Academic Services Office at 1600 Tolman Hall. Obtain the required signatures of approval on this Form(s) and file it with the Graduate Assistant in 1603 Tolman Hall for approval by the Head Graduate Adviser.

Head Graduate Adviser

The dean of the Graduate Division at UCB has appointed Professor Nadine M. Lambert to serve as Head Graduate Adviser for academic year 2004-05. The primary responsibility of the Head Graduate Adviser is to certify that the requirements of the UCB Graduate Division and the department are met in selecting, advising, educating, evaluating, and approving candidates for higher degrees.

The Head Graduate Adviser will work with your faculty counselors to document your academic program and monitor your progress. As you pass certain important milestones, the Head Graduate Adviser will be in touch with you to make sure that you are aware of the proper steps to take. Your academic records will be reviewed periodically. You will be notified in writing if problems are found (e.g., low GPA, incomplete grades, inappropriate or inadequate course work, overdue evaluations or examinations etc.). Problems not resolved within a designated time may lead to your being placed on academic probation (See Appendix C on Academic Progress, Academic Standing, and Appeals Procedures in the *Handbook for Advanced Degree Students in the Graduate School of Education*). *You must respond in writing in a timely manner to correspondence received from the Head Graduate Adviser.* If there is an illness or emergency that has affected your status as a student, this information should be included in your correspondence. Questions on academic matters should be directed to the Graduate Assistant in the UCB Student Academic Services Office at (510) 642-0138. He/she will refer you to the Head Graduate Adviser if an appointment is required.

CSU Faculty Advisers

On the CSU partner campuses, a Campus Faculty Adviser may be designated as a faculty adviser for general program advisement and program contact for that campus.

Graduate Assistant

In the UCB Student Academic Services Office, the Graduate Assistant, Ilka Williams, is responsible for information regarding the University, Graduate Division and School policies, procedures, and requirements. The Graduate Assistant also provides information on withdrawal and readmission procedures, as well as change of degree goal petitions.

JDP Program Assistant

Ann Foley, the JDP Program Assistant, can guide you to services within the UCB Graduate School of Education and on campus, and will assist you with obtaining and filing the required UCB forms. The Program Assistant will also arrange for rooms to conduct the Qualifying Examination and the Proposal Review meetings, and provide other support services for students in the JDP. The Co-director at each CSU campus will

coordinate assistance for you on the CSU campus.

For advice on academic matters, you should consult with your faculty counselors, the Head Graduate Adviser, the Program Assistant, or the Graduate Assistant.

REGISTRATION AND RELATED ACADEMIC POLICIES AND PROCEDURES

E-mail Accounts

All students should set-up computer/e-mail accounts for themselves through UCB in order to facilitate communication with faculty, staff, and other students, and to access the Internet. The Graduate Assistant as well as other staff, faculty, and students frequently use e-mail as their only means of notifying students about important information such as fellowship competitions, degree deadlines, etc. Nearly all campus offices have home pages and use the World Wide Web as a means of conveying information, including course schedules, enrollment procedures, faculty research interests, degree policies, etc. *It is extremely important that you check e-mail and the Program's web page on a regular basis.*

New students can set up an account by contacting Vic Wong, computer coordinator, in the Education Media and Computer Services (EMACS) office, 1640 Tolman Hall, (510) 642-5031. You may also set up an account for yourself on the 'uclink' server by connecting with a Web browser, such as Netscape, to the UCLink home page (the Web address is: <http://www-uclink.berkeley.edu>). You can do this from the computers in the microcomputer facilities on campus, such as Corey Lab in Tolman Hall. You can also access your e-mail from your home computer. Directions are available at <http://cab.berkeley.edu>.

If you change your e-mail or home address, please go to this web page and enter your new information: <http://bearfacts.berkeley.edu>

Registration Fees

The Loans and Receivables Office will mail you a monthly billing statement indicating all University fees due on your account. The CARS (Campus Accounts Receivable System) billing statement details the registration fees assessed for the coming semester. If you have questions about your billing statement, contact the Loans and Receivables Office (192 University Hall, 510-642-3190). Information about your fees and financial aid can be obtained in three ways: by calling Info-BEARS at (510) 642-9400, by accessing BearFacts through a BearFacts terminal on campus, or at the BearFacts web site accessed through the Registrar's Office home page: <http://registrar.berkeley.edu/> (consult the UCB Schedule of Classes for instructions on using Info-BEARS). A deferred payment plan allows for payment in three installments. Participation in this plan costs \$40.

Late registration and late enrollment have serious budgetary consequences for the campus, so there are serious consequences for not registering in a timely manner. New students who have not paid at least the first installment of their registration fees as of August 27, 2004 will be dropped from all of their classes. For continuing students, the deadline is August 15, 2004. To be reinstated, students must pay at least the first installment of their registration fees; continuing students will also be assessed a \$50 late registration fee. Tele-BEARS may then be used to re-enroll in classes. There is no guarantee that the classes in which enrollment was previously confirmed will still be available.

Health Insurance

Your fees include a mandatory University health insurance premium. If you already have health insurance you may apply for a waiver by filing a **Fee Waiver Form** included in your Tele-BEARS packet with your initial billing statement. If you are employed and hold a position with a student academic title, i.e., Graduate Student Instructor or Graduate Student Researcher, your health insurance fees will be covered by the University. For further information on the Student Health Insurance Plan, call University Health Services at (510) 642-5700.

Photo Identification

The Cal Photo ID card is your official student identification card. If you are a new student, you should obtain your card as soon as possible. When you go to the Cal Photo ID Office to get your card, please bring your Tele-BEARS letter, your student identification number, and a valid piece of identification with a photograph, such as a driver's license or a state identification card. Lost or damaged cards may be replaced at the Cal Photo ID Office for a \$15 non-refundable fee. The office hours are Monday through Friday from 9:00 a.m. to 5:00 p.m. The office is located at 110 Cesar Chavez Center in Lower Sproul Plaza. The phone number is (510) 643-6839, the fax is (510) 643-3440, and the e-mail is <http://calpid@uclink.berkeley.edu>.

Upon individual student request, ID cards can also be issued for student use by CSU campuses with which students are affiliated.

Course Load

A full-time course load for graduate students on the Berkeley campus is 12 units of graduate course work per semester. Doctoral students pay full fees regardless of the number of units being taken each semester.

Academic Residence

For doctoral students, UCB requires a minimum of four semesters of academic residence during the tenure of your doctoral program. Therefore, you will notice that the program holds about half of the semesters for the JDP on the UCB campus.

Academic residence is earned for each semester that you are registered with at least four units of study. Summer Sessions are not generally considered part of the academic year; however, one summer session may be counted toward academic residence if it precedes or follows a regular term for which you were registered with at least four units of study.

Registration Requirement

Graduate students in good standing are required to be formally registered every regular academic term, from matriculation to completion of degree requirements, unless granted formal withdrawal by the UCB Dean of the Graduate Division.

Enrollment Procedures

The Berkeley campus uses Tele-BEARS, an interactive computer system, which allows you to enroll in courses via the Internet at <http://registrar.berkeley.edu>.

The system allows you to add and drop courses, be placed on a waiting list for a course, change grading options, change the unit value in a variable unit course, get important

messages and other information pertaining to registration, and review your current course schedule.

- You will need your Student I.D. number and PIN number to access Tele-Bears
- Enrolling in Courses:

Refer to the Education Schedule of Classes, which is posted in the Student Academic Services Office, and on the GSE web page at <http://www-gse.berkeley.edu> for the Course Control number, class time, and location of courses. For courses outside of the Department of Education, you may purchase a *Campus Schedule of Classes* in the ASUC Bookstore, or check the course website, <http://schedule.berkeley.edu>

Your Tele-BEARS registration form indicates your appointment times for calling the system, your Personal Identification Number (PIN), and other important information regarding your registration.

Tele-BEARS is a two-phase system with an adjustment period. During **Phase I** (April to July for fall semester, and October to November for spring semester) students can enroll in a limited number of courses. For graduate students, the maximum enrollment permitted during Phase I is 12.5 units. During **Phase II** (from July to August for fall semester, and from November to January for spring semester) students complete their course enrollment. *Continuing students who have not enrolled in at least one course by the end of Phase II, and made a fee payment by the appropriate deadline, will be charged a \$50 late enrollment fee and dropped from any course(s) they previously enrolled in.*

Following **Phase II** there is an adjustment period, when students may add and drop courses using the Tele-BEARS system. The adjustment period starts about one week before the beginning of instruction and extends through the first three weeks of the semester term.

For specific dates and additional information regarding registration, students should consult the Tele-BEARS information that is printed in the campus Schedule of Classes, or the Student Calendar, which can also be accessed at the Registrar's home page (<http://registrar.berkeley.edu/>).

Adding and Dropping Courses

Students may add and drop courses using Tele-BEARS until the end of the third week of classes. After the third week of classes, students are restricted to using Tele-BEARS for inquiry only, and adjustments to a student's class schedule must be done by submitting a **Petition to Change Class Schedule** to be processed by Student Academic Services. Petitions are available in the Student Academic Services Office and should also be returned there. A \$5 fee for each course added, and a \$10 fee for each course dropped, will be added to the student's billing account (called a CARS statement).

The deadline for adding or dropping courses, without the dean's approval, is December 10, 2004 for fall semester. After this date, students who wish to change their schedules must obtain the approval of the dean of the Graduate Division (which is not automatically granted). The procedure for doing this is to fill out a **Petition to Change Class Schedule** (obtaining the necessary signatures), and attach a written letter of explanation stating why it was not possible for you to comply with the specified deadlines. In the case of adding a course retroactively, you must also submit a letter from the instructor indicating your course grade.

Your letter and **Petition to Change Class Schedule** should be given to the Graduate Assistant in the UCB Student Academic Services Office, who will forward them to the Head Graduate Adviser for approval. If the Head Graduate Adviser approves your request, it will be forwarded to the Graduate Division where it will be reviewed by the dean. *Submission of the petition to the Graduate Division does not automatically guarantee approval.* Please note that if the dean of the Graduate Division grants approval, the add/drop fees for the course(s) will be automatically charged to your account by CARS and will be reflected on your monthly billing statement.

Changing Grading Option

With your faculty counselor's approval, it is possible to take some letter-graded courses on a Satisfactory/Unsatisfactory (S/U) basis. Prior to the last day of instruction, you can petition to change the grading option of your course(s). Use the **Petition to Change Class Schedule**, and the same procedures that apply to add/drops (see above). **Petition to Change Class Schedule Forms** may be obtained in the UCB Student Academic Services Office. Please remember that certain Education courses *must* be taken for a letter grade (e.g., Core Courses).

Independent Study Courses

- **Education 299** – Special Study and Research (Offered on a Satisfactory/Unsatisfactory basis only). After Advancement to Candidacy for a Doctorate, you should enroll in EDUC 299 for the purpose of conducting research or collecting data for your dissertation. Prior to advancement, you are expected to enroll in regular courses. Doctoral students preparing for orals can also enroll in EDUC 602 or research and thesis seminars instead of EDUC 299, but must not enroll in 602 after orals have been passed.

Courses numbered 299 are reserved for thesis and dissertation research and writing, and cannot be used in meeting course requirements for areas of specialization, academic preparation, Graduate School of Education core courses, or methods courses. Any requests for exception must be submitted to the Head Graduate Adviser and the Academic Review Committee for review. See the Graduate Assistant for instructions.

- **Education 601 and 602** – Individual Study Courses (Offered only on a Satisfactory/Unsatisfactory basis). Individual study courses give students credit for studying for master's comprehensive exams (601) and doctoral prequalifying review and qualifying exams (602). These courses count toward a full course load, with some limitations. No more than a total of 16 units of 600-series courses may be accumulated.

NOTE: Units of Education 601 or 602 do not count toward academic residence or the unit requirements for a graduate degree; however, they do satisfy the “full program of study” visa requirement for international students.

NOTE: Enrollment in 602 courses is restricted to students who have not already passed the doctoral qualifying examination.

Grading

- Satisfactory/Unsatisfactory

Credit for courses taken on an S/U basis are limited to one-third of the total units (excluding courses numbered 299 or those in the 300, 400, or 600 series) that students have taken and passed at Berkeley at the time their degrees are awarded. Within these limits, courses in the 100 and 200 series graded Satisfactory may be accepted for academic residence.

The Academic Senate also mandates that you may not exceed one-third of the units accumulated to date on an S/U basis (i.e., you cannot take the first third of your course work for S/U grades and all subsequent course work for letter grades.) An S is awarded for work regarded as satisfactory performance for a *graduate* student; that is, for B- or better work. Anything below a B- would result in a U or unsatisfactory grade.

Some courses can only be taken on an S/U basis as noted in the course description in the *Berkeley General Catalog* and *Graduate School of Education Announcement*. If your program depends heavily on courses that cannot be taken for a letter grade, you should be particularly careful about using the S/U option when you have a choice.

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

- Minimum Grade Point Average

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

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

- Incomplete Grades

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

- 1) In the Graduate School of Education, first year students with *any* grades of Incomplete will not be permitted to complete their **First Year Evaluation** until those Incompletes are removed. If they are not removed before the beginning of the third semester, the student is recommended for probation. If they are not removed by the end of the third semester, fourth semester registration will be blocked.
- 2) A maximum of two Incomplete grades are permitted to accrue on your record. If this limit is exceeded, you may be recommended for academic probation. (Refer to Appendix C of this Handbook for information regarding probation and appeals). Please note that you cannot hold a GSI or GSR appointment if you are on academic probation.
- 3) Before you are allowed to take the Qualifying Exam (Orals), doctoral degree students must remove all Incompletes on their record for courses in their **Outline of Program**.

Forms for Removing Incomplete Grades are available in the UCB Student Academic Services Office, 1600 Tolman Hall.

Changing Programs

It is possible to change from one area/Program in the School of Education to another if you find that you are not in the appropriate area of study. You may apply for a change in area/program by taking the following steps:

- Consult your faculty counselor and discuss the reasons you wish to be in a different program.
- Consult faculty members who might serve as your faculty counselor should the change be approved. If the change is to another area/program, that area speaker or program director is required to approve the change.
- Prepare a new **Statement of Purpose** outlining your objectives, research interests, and reasons for the Program change.
- Obtain a **Change of Program Petition Form** from the UCB Student Academic Services Office at 1600 Tolman Hall.
- Complete and return the **Petition Form**, along with your new **Statement of Purpose**, to the Graduate Assistant in 1603 Tolman Hall. Before the change can be made, it must be approved by the Head Graduate Adviser.

NOTE: When considering a change in program you should keep in mind that entering a field of study at the doctoral level assumes a level of prior preparation in the methods, concerns, and approaches to the field.

Withdrawal and Readmission

If you are unable to register, you are required to file a **Notice of Withdrawal Form**. A student who has been granted withdrawal from the university is not entitled to the use of university facilities or faculty time. However, if you are in good academic standing, the School of Education can request that you be allowed to use the library, purchase health insurance, and retain your e-mail account. You should consult with the Graduate Assistant concerning these matters. Prior to withdrawing, you should also discuss your plans with your faculty counselors. *You should not be on withdrawal status for more than two full semesters unless there are extenuating circumstances.*

If you formally withdraw or simply do not register, you must apply for readmission before you can resume your studies. If you do not formally withdraw, you will also need to file a **Withdrawal Petition** retroactively. **Deadlines to apply for readmission are April 15 for fall semester and August 15 for spring.** Please note that readmission is *not* automatic, and the University is *not* obligated to approve your application for readmission. Because of the cohort structure of the *Joint Doctoral Program*, you will likely need to complete the application process again and compete with a new set of applicants to regain your place in the program. **Withdraw Petition Forms** and **Readmission Forms** are available from the UCB Admissions Assistant in 1607 Tolman Hall. The fee for readmission is \$60.

Students who withdraw from the Graduate School of Education should keep in mind that they will be required to demonstrate current knowledge of the information in the field if, upon their readmission, their course work for a doctoral degree is over seven years old. Doctoral students who have already passed the oral Qualifying Examination and been advanced to candidacy are subject to other regulations. See the UCB Graduate Assistant for information.

Filing Fee Status

The Filing Fee Status permits eligible doctoral or master's students to pay just one-half of the University Registration fee, in lieu of full registration fees, when they file their theses or dissertations, or when they take a final examination required for the degree. The Filing Fee Status amount is \$178.25 for 2004-05. Filing Fee Status is approved only for students who were registered in the summer immediately preceding the semester of their filing. *Please note that Filing Fee Status is not equivalent to registration.* If students want to use University services that are supported by registration fees, they must pay additional fees.

The student's registration history is the most important factor in meeting the qualifications for the Filing Fee Status. *Only students who have been continuously registered, except for two full semesters of approved withdrawal, are eligible for Filing Fee Status.*

Doctoral students may apply for Filing Fee Status when they have completed all the requirements for their degree, except for the final reading and filing of their dissertation.

Students holding a Graduate Student Instructor or Graduate Student Researcher appointment are not eligible to apply for Filing Fee Status.

Applications for Filing Fee Status

Applications for Filing Fee Status are available from the UCB Graduate Assistant in 1603 Tolman Hall, (510) 642-0138. Students need to apply for Filing Fee Status *no later than the first week of classes of the semester when they intend to file their theses or dissertations or take their final examinations.* The fee is \$178.25 (for 2004-05) and students will be billed for the amount.

Conditions of Filing Fee Status

Filing Fee Status simply allows students to file their theses or dissertations or to take required final examinations during the semester for which the Graduate Division has approved the application. Students on Filing Fee Status may not take courses or use any University facilities not accessible to the general public. Upon request, the School of Education can supply memos to allow a student on Filing Fee Status to use the library, retain an e-mail account, and purchase health insurance.

Filing Fee Status is approved only once for eligible students. If a student on Filing Fee Status does not complete final degree requirements during the eligibility period, the fee is forfeited and *the student must pay regular registration fees* during the semester in which they do complete those requirements. Or, a student may enroll in Summer Session, for a minimum of four units, to file their dissertation.

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

Health Insurance for Students on Filing Fee Status

Students on Filing Fee Status may purchase the Student Health Insurance Plan (SHIP) through one of two plans. The Bay Area Plan provides primary care services at the University Health Services (UHS), plus major medical coverage. International students must purchase the Bay Area Plan.

The Out of Area Plan covers major medical care only for hospitalization, emergency, and

urgent care services. For more information about enrolling in either plan, contact the UCB Student Health Insurance Office at the UHS (2222 Bancroft Way, 510-642-5700).

Diplomas

Diplomas are available in Room 120 at Sproul Hall (UCB), approximately four months after the date on which degrees were conferred. There is no charge if you pick up your diploma personally. Students who want their diplomas mailed to them should complete a **Diploma Request** at the Office of the Registrar, 120 Sproul Hall, telephone (510) 643-7490. The fee for mailing a diploma is \$12 within the United States and \$32 to foreign countries.

Requests for diplomas can also be made by phone or fax (Visa or MasterCard only) or by mail (check, Visa, or MasterCard).

Transcripts

Transcripts can be obtained from the UCB Office of the Registrar, 120 Sproul Hall: (510) 643-7490. Standard transcripts cost \$8 each. Rush transcripts and overnight express delivery are available at higher rates. More information is available at the Registrar's home page: <http://registrar.berkeley.edu/>.

THE JOINT Ed.D. IN EDUCATIONAL LEADERSHIP

Academic Residency Requirements and UC/CSU Sequence of Instruction

In accordance with the guidelines of the Educational Leadership Joint Doctoral Board, students will be concurrently enrolled at UC Berkeley and at one CSU campus—Hayward, San Francisco, or San José. The CSU system is designing a “shadow” method to track the students’ co-enrollment at those three campuses. Even when students take classes on the CSU campuses, they will continue to be enrolled full time at UC Berkeley, for three years. Also in accordance with the UC/CSU Educational Leadership Joint Doctoral Board guidelines, students will pay fees to the University of California, Berkeley, at the University of California rate for doctoral students. In turn, UC Berkeley has an accounting mechanism to transfer appropriate fees to the CSU system as students generate funds in the JDP.

Table 2 describes how a student cohort will move through the three-year program sequence and demonstrates how students will meet residency requirements. To meet the University of California’s academic residency requirements, students will attend classes on the UC Berkeley campus in Summer I and Fall I of their first year of study, resulting in two consecutive terms at Berkeley. To meet the CSU academic residency requirement, students will co-enroll at one of the CSU campuses during the spring I & spring II semesters and during the fall II semester of the program.

The structure of the JDP has particular benefits for students, as well as for the UC and CSU systems. For students, the structure accommodates their working lives by offering summer and weekend courses, minimizes travel by offering advising in nearby campuses and residencies in their home or nearby school districts, and providing motivational support through the cohort structure. For the UC and CSU systems, the design shares the resources of four campuses while it models an innovative form of year-round instruction. Because of the comprehensive structure for student support, students should be able to complete the JDP in three consecutive years.

Academic Milestones

“Normative Time” refers to the amount of time that the Graduate Division has determined it should take a student enrolled full time to complete a particular degree program. The normative time for the Joint Ed.D. in Educational Leadership is 3.5 years.

Students’ progress through the JDP will be marked and assessed at a number of academic milestones, outlined in Table 3. UC/CSU Educational Leadership Joint Doctoral Board policies and regulations apply to the students insofar as they do not conflict with those of UC Berkeley’s Graduate Division.

Table 3: Academic Milestones for UC Berkeley/CSU Joint Doctoral Program in Educational Leadership	
Milestone	Description
First Year Evaluation	At the <i>end of the first year</i> , the student prepares a statement reviewed and approved by two faculty members, one from UCB and one from CSU. The statement includes the thematic area in which the student plans to work and the progress made in completing the first pre-qualifying paper. The First Year Evaluation statement also requires an outline of the student's intended focus of study within the theme area, the papers to be completed, and possible research or dissertation directions.
The Pre-qualifying Review	The Pre-qualifying Review is required for admission to the Qualifying Examination (Orals). It involves submission of two pre-qualifying papers, approved and signed by a professor from both the CSU and UCB campuses, and a prospectus for the dissertation approved by two professors, including the professor who will supervise the research. The expectation is that this step will be completed by the <i>end of the second year of study or in the third summer term</i> .
The Qualifying Oral Examination	The student submits the two pre-qualifying papers and the dissertation prospectus as the basis for the qualifying examination. The committee, comprised of both UCB and CSU faculty, will examine the student on general knowledge in the four thematic areas, as well as the intersection and interdependence of those themes for Systemic Educational Reform. Special emphasis will be placed upon the thematic area that the student has selected for specialization. The student also will have a brief discussion with the committee on the dissertation prospectus. (The make-up of the committee is described in greater detail later on in this handbook). The prospectus will be discussed as an example applying knowledge from a theme area to an issue in education. Normally, the Qualifying Examination would occur in <i>summer or fall of the third year</i> of the program.
Advancement to Candidacy	Upon successful completion of the Qualifying Oral Examination, the student applies for Advancement to Candidacy. To be advanced to candidacy, students determine a dissertation title, submit a brief statement describing their appropriateness of the proposed dissertation, and propose a committee to guide their work. Students accomplish this process by completing an Application for Doctoral Candidacy to UC Berkeley.
Proposal Review	Following advancement to candidacy, the student submits a final version of the Dissertation Proposal for approval of the dissertation committee. The dissertation committee meets to review the proposed research, and upon approval by the dissertation committee, the student proceeds to conduct the dissertation research. This would typically occur in <i>fall of the third year</i> .
Filing the Dissertation	Toward the <i>end of the third year of study or during the fourth year</i> the student files the Dissertation after the members of the dissertation committee appointed to supervise it have approved and signed it. The program may establish a research presentation program at which students may present their dissertation findings.

Unit Requirements

Students must take a minimum of twenty-one courses for a minimum of seventy-four (74) units to complete the Joint Ed. D. in Educational Leadership. Students will take an additional eighteen (18) and twenty-four (24) units to represent independent study for the dissertation. Students register for all courses at UC Berkeley. UC Berkeley will be the principal campus of record and maintain transcripts for each student. Records will also be maintained on the student's CSU campus.

Registration Requirement

The Graduate Division expects students to be continuously registered until the degree is completed. Under certain circumstances a candidate for a doctoral degree does not need to be registered at the time the dissertation is completed. See the *Handbook for Advanced Degree Students in the Graduate School of Education* for use of the Filing Fee Status.

Required Courses

- **Graduate School of Education Core Courses:** Doctoral candidates are expected to complete two core courses. Two of the courses in the required program of study will meet this requirement.
- **Qualitative and Quantitative Methods:** Doctoral students must complete at least one course each in Qualitative and Quantitative Methods. These courses are included in the required program.
- **Coursework for the Thematic Areas:** The JDP has a set of program courses that define the Joint Ed.D. in Educational Leadership. The program of study provides core knowledge, applications, and professional experience relevant to the major concerns and issues in each thematic area(s).
- **Specializations:** Student specializations for the Qualifying Examination (Orals) and the Dissertation will be selected within a thematic area and in consultation with the faculty counselors. Beginning with the second year of the Program, students will have opportunities to meet in research groups with other members of the cohort and relevant faculty, during which they will be involved in preparing pre-qualifying review papers. Toward the end of the second year and during the third year of the program, the independent phase of the program will become more intense with students dedicating more time to the area in which they will specialize.

Preparation for the Qualifying Examination (Orals) requires selecting three areas or topics within one of the thematic areas. These may reflect the two pre-qualifying papers and the proposed topic for the dissertation, or they may be topics that are relevant to the general thematic emphasis. The precise nature of a student's specialization will depend on the individual's academic and professional background, professional or research experience, as well as the nature of the three selected areas of specialization. Questions regarding these areas should be discussed with your faculty counselors.

Requirements for Meeting the Normative Time Milestones

First Year Evaluation

This review takes place before the beginning of the third semester of the program. Faculty are required to decide on the basis of your performance, including progress and

course work, whether you will be able to complete the Program. The purpose of the **First Year Evaluation** is to give students feedback on their progress during their first year of graduate study, and to correct any academic deficiencies.

PROCEDURE

- 1) Maintain regular contact with your faculty counselors.
- 2) Arrange with your faculty counselors to discuss your academic progress early in the second semester of the program.
- 3) Obtain a **First Year Evaluation Form** (Appendix B of this Handbook).
- 4) In completing your First Year Evaluation, program faculty will evaluate your performance on the basis of grades, papers, projects, and course work. If there are any deficiencies, such as grades of Incomplete, you will be notified before the beginning of the third semester of registration about any deficiencies and how they can be corrected.
- 5) Your faculty counselors will sign the **First Year Evaluation Form**, and forward it to the Head Graduate Adviser for her approval.
- 6) The JDP

program faculty will meet to review the first year of your program of studies. The completed **First Year Evaluation Form** will be filed by your Program Assistant with the Graduate Assistant in the Student Academic Services Office at 1600 Tolman Hall, where it will be held until all grade reports for spring semester have been received. If there are no grades of Incomplete, your GPA is satisfactory, and faculty have commented favorably on your academic performance, the Evaluation will be approved by the Head Graduate Adviser.

- 7) Once approved, the **First Year Evaluation Form** will be placed in your file folder in the Student Academic Services Office. Serious deficiencies could result in your registration being blocked.

Note: the Head Graduate Adviser cannot approve your First Year Evaluation if there are any Incompletes.

Outline of Program

During the second year of the program you will be finalizing areas of specialization. By the end of your fourth semester, you need to file the **Outline of Program Form** on which you list the courses you have taken, and any remaining to be taken. As well, you will list the areas of specialization that you have selected for the Qualifying Examination (Orals).

PROCEDURE

- 1) Obtain an **Outline of Program Form** (Appendix B of this Handbook).
- 2) Complete both sides of the form in consultation with your faculty counselors, obtaining their signatures of approval, and the signature of the Head Graduate Adviser.
- 3) When the **Outline of Program Form** is approved by the Head Graduate Adviser, a copy will be sent to you and the Program office. The original will be placed in your

file folder in the Student Academic Services Office at 1600 Tolman Hall.

Prequalifying Review (Including Prequalifying Papers)

This is the step that calls for you to pull together your graduate education—course work, tutorials, and research—into a coherent whole. You will be expected to relate what you have learned to issues of concern in your field of study, and to your areas of specialization, and to be able to take and defend positions on these varying issues. The Prequalifying Review for Joint Ed.D. students consists of the approval of two (2) Prequalifying Papers and a Dissertation Prospectus.

PROCEDURE FOR PREQUALIFYING PAPERS

- 1) As each prequalifying paper is completed, obtain the **Report of Student Performance for Pre-Qualifying Review/Prequalifying Paper Approval Form** (Appendix B of this Handbook). Two faculty whom you have designated as readers need to sign the form.

Note: while two faculty members read each paper, there must be a total of at least three faculty members among all your prequalifying paper readers; i.e. the same two faculty members cannot read every one of your prequalifying papers.

- 2) At least one of the two readers of each prequalifying paper must be a Graduate School of Education faculty member who is also a member of the UC Berkeley Academic Senate (see the *Handbook for Advanced Degree Students in the Graduate School of Education* for a list of faculty eligible to serve as readers). The second reader is a faculty member from a CSU campus, who has been approved by the dean of the CSU College of Education to serve in this capacity and approved by the Head Graduate Adviser and the Dean of the UCB Graduate Division. Check with the Graduate Assistant for more information.
- 3) The signed **Report of Student Performance for Pre-Qualifying Review/Prequalifying Paper Approval Form** should be filed with your Program Assistant who will send a copy to the UCB Student Academic Services office for your file.

Dissertation Prospectus

The Dissertation Prospectus is a preliminary version of the dissertation proposal and is usually five to ten pages in length. It is a statement of preliminary work (pilot studies, prior research findings, research goals, hypotheses and methodology) as well as the theories, strategies, and analyses that will be used in the dissertation research. Check Program requirements for the style in which the prospectus is to be written. The satisfactory completion of your dissertation prospectus is noted on your **Report on Pre-qualifying Review for the Doctoral Degree Form**, as described below.

PROCEDURE

- 1) When all of your prequalifying papers for the doctorate are complete, obtain the **Report on Prequalifying Review for the Doctoral Degree Form** (Appendix B of this Handbook). If forms were signed by the faculty readers approving the paper, faculty reader signatures are not needed on this form—their names just have to be listed. You also need to include the title of your Prospectus on this form.
- 2) Your faculty counselors complete and sign the **Report on Prequalifying Review Form**, indicating approval of your (2) Prequalifying Papers and the Dissertation

Prospectus. The Head Graduate Adviser must also sign the form, signifying that all area/program requirements have been met.

- 3) The completed form is then filed with the Graduate Assistant in the UCB Student Academic Services Office. The form will be placed in your file.

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

Qualifying Examination (Orals)

The Qualifying Examination is the University's means of evaluating and certifying the adequacy and appropriateness of your preparation for the doctorate. This examination is required for all doctoral degree programs in the Graduate School of Education. The Qualifying Examination is an oral examination of two or three hours. The Examination Committee is composed of five (5) faculty members, two each from the UCB Graduate School of Education and from the CSU Colleges of Education, selected in consultation with your faculty counselors. A fifth member of the Qualifying Examination committee will be a professor from the Berkeley campus outside of the Graduate School of Education. The purpose of this examination is: 1) to test eligibility of the student for admission to candidacy for the degree of Doctor of Education; and 2) to evaluate his or her ability to complete a satisfactory doctoral dissertation.

EXAMINATION TOPICS

The topics (at least three in number) listed for the qualifying examination should clearly define the areas for which the student has prepared. These topics should be the same as, or clearly related to, those stated on your **Outline of Program**. The subjects should not be so broad (e.g., general Curriculum, Administration, etc.) as to be impossible to cover in a single examination, nor so narrow that the committee will not have an opportunity to evaluate the student's ability to complete a doctoral dissertation. The three topic areas upon which you will be examined must be listed on the **Application for Qualifying Examination Form**, as described below (the form is included in Appendix B of this Handbook).

APPOINTMENT OF COMMITTEE

The Qualifying Examination Committee is composed of two faculty members from UCB, two faculty members from a CSU campus, and one additional faculty member serving as an "outside" member appointed by the UCB dean of the Graduate Division.

- 1) The student should consult with his or her faculty counselors concerning appropriate members of the faculty to serve on the Qualifying Examination Committee, taking into account Graduate Division regulations on committee appointments (summarized below). Committee members should be nominated because of relevance of their areas of expertise to the examination topics. The professor who will chair the dissertation committee (usually one of the faculty counselors) may serve as a member of the Qualifying Examination Committee but may NOT serve as chairperson. *One member of the committee must be a UC Berkeley Academic Senate member from a department outside of Education.* The student is expected to speak directly with prospective Examination Committee members about their willingness to serve.

- 2) The Head Graduate Adviser for the Joint Ed.D. will review the proposed committee before forwarding a recommendation to the dean of the Graduate Division.
- 3) The Graduate Division will notify the student, the members of the committee, and the UCB Head Graduate Adviser of the official committee to conduct the Qualifying Examination.

Graduate Division Requirements for Faculty Membership on Committees

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

- The Head Graduate Adviser recommends faculty appointments to all higher degree committees to the dean of the Graduate Division. Final approval of all committee appointments rests with the dean of the Graduate Division.
- *Chair: The Chair of a Qualifying Committee must be a member of the Berkeley Academic Senate* from the Graduate School of Education. (Senate members are full, associate, and assistant professors and certain senior lecturers—check with the Graduate Assistant if you are uncertain of the Senate membership of a particular faculty member. *The Co-Chair of the Qualifying Examination can be a faculty member from a CSU campus* who is on the list approved by the Graduate Division to serve on doctoral committees.
- *Inside Members:* The Qualifying Exam Committee includes two “inside” members. These faculty should be members of the UC Berkeley Academic Senate from the Graduate School of Education and members from the CSU who are approved to serve on Qualifying Examination Committees. Since the faculty member who will chair your dissertation committee cannot serve as Chair of the Qualifying Exam, he/she typically serves as one of the two inside members.
- *Outside Member:* On all Qualifying committees, one member must be chosen from outside the School of Education. The outside member *must* be a member of the Berkeley Academic Senate. The outside member lends the necessary balance and independence needed to ensure that the student’s mastery of the subject matter is both broad and comprehensive.
- *Non-Senate members as inside members and co-chairs.* Under certain circumstances, a non-Senate member may be appointed to a committee if the Head Graduate Adviser determines that the individual in question offers expertise not otherwise available among the regular faculty and if the associate dean of the Graduate Division concurs in that judgment. There may be no more than one person in this category on a committee. On occasion, a non-Senate member may be appointed to co-chair a dissertation committee if this assignment is shared with a Senate member.

NOTE: A Qualifying Examination or dissertation committee may include one member of the regular faculty (Academic Senate) of any UC campus or Stanford University as an inside member without special approval from the dean of the Graduate Division. It should be made clear to the non-UCB member that the University cannot pay a stipend or travel costs.

Requests for exceptions to these regulations must be sent by the Head Graduate Adviser to the UCB Graduate Division. A written request with supporting documentation must first be submitted to the Graduate Adviser, who will forward it to the Head Graduate

Adviser. Final approval of all committee members rests with the Graduate Division.

For any questions about the composition of higher degree committees, consult the UCB Graduate Assistant in 1603 Tolman Hall.

SCHEDULING

Qualifying Examinations (Orals) are scheduled by students in conjunction with the Program Assistants and Graduate Assistant in the UCB School of Education. Consult with the Graduate Assistant for further information.

PROCEDURE

- 1) *Review your Outline of Program* to be certain it is accurate and up-to-date. Please consult with the Head Graduate Adviser and Graduate Assistant if you have any courses on your Outline of Program with a grade of Incomplete or with missing grades. If your Outline of Program is not current, submit an updated and revised **Outline of Program Form** for approval by the Head Graduate Adviser. Also, if your areas of specialization have changed, please have your faculty counselors initial his or her approval on your **Outline of Program Form** (Appendix B of this Handbook).
- 2) Once all prerequisites (Prequalifying Examination and course work) *have been completed*, obtain an **Application for Qualifying Examination Form** (See Appendix B of this Handbook). Complete the **Application** in consultation with your faculty counselors, and obtain the approval signature of the faculty member who will serve as the “Professor in Charge of Research” (usually the faculty counselor). Contact the proposed committee members to set a date and time for the examination. Notify your Program Assistant, and he or she will reserve a room and send a reminder notice to your committee members and inform the Graduate Assistant.
- 3) At least four weeks in advance of the Qualifying Examination (Orals), submit the **Application for the Qualifying Examination Form** to the Graduate Assistant in 1603 Tolman Hall. You should submit the **Application Form** sooner if you are requesting an exception regarding your committee membership, as the Graduate Division requires additional time to review these cases.
- 4) When the **Application for the Qualifying Examination Form** is approved by the Head Graduate Adviser, it will be forwarded to the dean of the Graduate Division for approval. Your committee membership must be approved by the Graduate Division. Once approved by the dean of the Graduate Division, a **Notice of Admission to the Qualifying Examination** will be forwarded to you and the Graduate Assistant.

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

If the Qualifying Examination is not passed or is partially failed, a second (final) examination may be recommended by the examining committee. Ordinarily, three months must elapse before a second examination is given and the committee must be the same as for the original examination.

Note: In the case of a partial failure, the second and final examination only covers the topic(s) the student failed during the first examination.

After passing the Qualifying Examination, you need to advance to doctoral candidacy

and submit a Dissertation Proposal.

Advancement to Candidacy

Graduate Division regulations specify that students be advanced to candidacy by the end of the semester following the one in which the Qualifying Examination was passed. To advance, you need to determine your dissertation title, and propose *five faculty members* who can serve as a committee to guide and evaluate your dissertation. Two of the proposed faculty must be members of the Berkeley Academic Senate and be qualified for service by virtue of their expertise in the area of research you are proposing. Two other faculty members will be from the CSU campuses and will be approved by the Graduate Division to serve on committees for the Joint Ed.D. in Educational Leadership. *A fifth member of the committee must be a Berkeley Academic Senate member from a department outside of Education.*

The faculty member designated as Chair of the committee is generally the person most knowledgeable about your area of research, usually your faculty counselor. *The Chair must be a member of the Berkeley Academic Senate in the School of Education, or a member of the CSU faculty who has been approved by the UCB dean of the Graduate Division to serve in this capacity.* Once the Graduate Division dean approves your application, you are advanced to candidacy and the committee is officially established to guide your research. Normative time guidelines for the program indicate that students should expect to advance to *candidacy by the end of the fifth semester.*

PROCEDURE

After successful completion of the Qualifying Examination, an **Application for Doctoral Candidacy Form** will be mailed to you by the Graduate Assistant.

- 1) All students should complete this form. If the composition of your committee requires an exception from the Graduate Division, also include a one- or two-page statement briefly describing the appropriateness of the proposed dissertation committee members.
- 2) Obtain the approval signature of the proposed dissertation chair on the **Application for Doctoral Candidacy Form**. Your proposed chair should indicate on the form whether you will be using human subjects in your research. It is possible to have “Co-Chairs,” but please note that in such cases “Co-Chairs” are counted by the Graduate Division as *one member* of your committee, not two.
- 3) The materials listed above in items 1 and 2, and an Application fee of \$65 paid by check, made payable to U.C. Regents, should be filed with the Graduate Assistant in the UCB Student Academic Services Office at 1600 Tolman Hall.

When the **Application for Doctoral Candidacy Form** is approved by the Head Graduate Adviser, it will be forwarded to the dean of the Graduate Division for approval. Once approved by the dean of the Graduate Division, a **Notice of Advancement to Candidacy** will be forwarded to you, the members of your dissertation committee, and the Graduate Assistant.

TIME LIMIT FOR CANDIDACY

Once advanced to doctoral candidacy, the Graduate Division gives the candidate a total of five semesters in candidacy plus a four semester grace period in which to complete their dissertations. The student’s candidacy is subject to lapsing and eventual termination

at the end of this time (nine semesters), if a dissertation is not filed with the Graduate Division. Under certain circumstances, a shorter candidacy period can be designated by the Graduate Division.

Dissertation Proposal

After advancement to candidacy, doctoral students are required to complete the **Proposal Review** process. The following guidelines are provided to assist students in preparing their doctoral research proposals. Students should consult their counselors and familiarize themselves with the School of Education requirements for Ed.D. dissertations.

Why Write A Proposal?

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

The second reason for writing a proposal is to demonstrate your scholastic competence in your areas of study. In doing so, you will need to persuade your committee that you have a good idea for research, and that you have determined how you are going to carry it through to fruition. An approved proposal serves as an agreement between you and your committee.

PROPOSAL REVIEW PROCEDURES

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

The steps for the **Proposal Review** are as follows:

- 1) Prepare your dissertation proposal. This should be a document of about 20–25 pages. Guidelines for the proposal are available from the UCB Student Academic Services Office. Include a title page and an abstract. Circulate your proposal to every member of your dissertation committee, giving each member an opportunity to read your proposal carefully.
- 2) When each member of your dissertation committee has had an opportunity to review your proposal, you can schedule your **Proposal Review Meeting**. Your Program Assistant will help you to secure a room for this meeting.
- 3) At the time of your **Proposal Review Meeting**, it is essential that all members of your dissertation committee attend and sign the **Report of Proposal Review Meeting Form**, which you can obtain from the Graduate Assistant in the Student Academic Services office at 1600 Tolman Hall. This form also provides a place for your committee members to present their comments and revisions to your proposal, as a result of this meeting.
- 4) When the meeting has concluded and the **Report of Proposal Review Meeting Form** has been completed, it should be returned to the Graduate Assistant in the Student Academic Services Office for endorsement by the Head Graduate Adviser. The completion of your Proposal Review will be noted on the permanent record card in your file.

Proposal Format

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

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

A one-page abstract should accompany the proposal. The abstract should present the essence of the study and convince the reader that the research being proposed is both important and interesting. A well-written abstract whets the reader's appetite and prepares them for what is to follow. Although the abstract is the *first* page of the proposal, it should be written last.

Generally speaking, the proposal itself should be limited to 20–25 pages, including any appendix materials. Proposals which are much shorter than this are usually too sketchy to clearly define the nature of the proposed study; proposals that are longer often seem verbose and not sufficiently well-defined.

A guide, entitled “Information on Dissertation Proposal,” is available in the UCB Student Academic Services Office at 1600 Tolman Hall.

Human Subjects Protocol

The Graduate Division will not accept dissertations that include material obtained or produced with the use of Human Subjects without an approved **Human Subjects Protocol**. If you are using human or animal subjects, or data collected from human subjects, consult the guidelines on the **Human Subjects Protocol**, in pages 22–23 of the 2004-05 edition of the *Handbook for Advanced Degree Students in the Graduate School of Education*.

Report on Progress in Candidacy

The UCB Graduate Division requires all advanced doctoral degree candidates to meet with the chair of their dissertation committee and at least one other committee member once each academic year. The purpose of the meeting is to discuss progress being made on the dissertation and to outline plans for completing the degree.

- 1) Set up a meeting with your dissertation chair and at least one other committee member.
- 2) Prior to the meeting, pick up a **Report on Progress in Candidacy in the Doctoral Program Form** in the UCB Student Academic Services Office at 1600 Tolman Hall.
- 3) During the meeting, you will address questions on the form, and the form will be signed by you and your dissertation committee chair.
- 4) File the completed **Report on Progress in Candidacy in the Doctoral Program Form** with the Graduate Assistant in the Student Academic Services Office.

Dissertation

GUIDELINES

The Graduate Division has strict guidelines for the preparation of the dissertation. You should obtain a copy of the *Guidelines for Submitting a Doctoral Dissertation or Master's Thesis* from the UCB Graduate Division Degrees Office in 302 Sproul Hall, (510) 642-7330.

The guidelines are also available on the Internet:
<http://www.grad.berkeley.edu/grad/publications/>

The UCB Student Academic Services Office at 1600 Tolman Hall also has a copy of the *Guidelines for Submitting a Doctoral Dissertation or Master's Thesis* document that you can consult. When your dissertation is near completion, the following steps should be followed:

PROCEDURE

- 1) Obtain the approval signatures of your dissertation committee on your title page. (NOTE: Faxed signatures are *not* acceptable). The chair of your dissertation committee also signs the abstract.
- 2) File the original, unbound dissertation, including the signed title page and a signed abstract, with the Degrees Office in the Graduate Division at UCB.
- 3) When you file your dissertation, provide the Graduate Division's Degrees Office with a copy of the letter of approval or exemption for the Protocol for the use of Human and/or Animal Subjects.
- 4) File an unbound, complete copy of the dissertation with the Graduate Assistant in the UCB Student Academic Services Office. This copy, which is for the Education Psychology Library, may be reproduced on any good quality paper.
- 5) Check with the Graduate Assistant to verify that all UCB Graduate School of Education requirements have been completed and that your transcript is in order (i.e., no missing grades, or grades of Incomplete in any course on your Outline of Program).
- 6) Complete a **Permanent Address Form**.
- 7) Notify the UCB Student Academic Services Office receptionist if you are interested in participating in Commencement (held in mid-May each year).

NOTE: Academic Senate regulations specify that ALL work for the degree must be finished by the last working day of the term in which you plan to receive your degree.