

Committee on  
Courses of Instruction

Berkeley Division  
Academic Senate

**COCI Handbook**

*Last Revised 12/18/17*

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## 1. General COCI Information

### 1.1 Academic Senate Regulations and COCI Procedures

The Committee on Courses of Instruction (COCI) meets biweekly during the academic year to consider course proposals, variance requests, and matters pertaining to courses of instruction.

Academic Senate regulations govern courses of instruction for the University of California as a whole, and UC Berkeley in particular. COCI recommends that all staff in academic units have a working knowledge of both Systemwide and Berkeley Division Academic Senate regulations. These can be found online at <http://academic-senate.berkeley.edu/manual> and <http://senate.universityofcalifornia.edu/bylaws-regulations/index.html>.

Please note: The procedures and policies contained in this handbook consist of the Committee's most recent interpretations of Systemwide and Berkeley Division Academic Senate regulations. These procedures and policies do not supersede Academic Senate regulations or the Standing Order of the Regents.

#### 1.1.1 Berkeley Division By-law 33: Committee on Courses of Instruction *(last updated 11/07/12)*

##### A. Membership

This Committee consists of at least thirteen Senate members, the Secretary of the Division and the chair of the Subcommittee on the Breadth Requirement in American Cultures as *ex-officio* members, three student members, and the Registrar, *ex officio*, as a non-voting member.

To implement the Breadth Requirement in the study of American Cultures, the Division orders its Committee on Committees to provide members for a panel of at least nine, two of whom will be student members, which will decide what courses satisfy Regulation 300. This panel is to function as a Subcommittee of the Division's Committee on Courses of Instruction. The Chair of this Subcommittee on the Breadth Requirement will serve, *ex officio*, as a member of the Committee on Courses of Instruction. The terms of reference of the Subcommittee on the Breadth Requirement in American Cultures are in Regulation 300, interpreted according to guidelines implicit in the Report of the Special Committee on Education and Ethnicity. (Res.4.89)

## B. Term of Office

The term of office of the Committee begins on Monday of the third week of instruction in the Fall term.

## C. Duties

- Reviews, coordinates, and takes final action on all matters relating to courses of instruction, including approval of new courses; modification, withdrawal, conduct, credit valuation, and classification of existing courses; and consults with and advises departments and individual members of the Division on courses of instruction.
- Gives full consideration to the views and conclusions of appropriate departments, departmental committees and representatives, and faculty members when matters related to their courses of instruction come before the Committee.
- Neither advises on, nor has any jurisdiction over, courses in the School of Law. [SOR 105.2(b)]
- Acts on behalf of the Division in reviewing recommendations from the colleges, schools, and Graduate Council concerning the award of degrees, certificates, and honors (See By-law 100).
- Reviews and takes final action on requests for exceptions to Division Regulations governing courses of instruction and the awarding of degrees, certificates, and honors. (Am. 4.27.06)

For questions about Senate Regulations governing courses or COCI procedures please contact Sumali Tuchrello at [sumali@berkeley.edu](mailto:sumali@berkeley.edu) or 642-7212, or Linda Corley at [lindac@berkeley.edu](mailto:lindac@berkeley.edu) or 642-4340.

### 1.1.2 Standing Order of the Regents 105.2 (b)

The Academic Senate shall authorize and supervise all courses and curricula offered under the sole or joint jurisdiction of departments, colleges, schools, graduate division, or other University academic agencies approved by the Board, except that the Senate shall have no authority over courses in the Hastings College of Law, San Francisco Art Institute, in professional schools offering work at the graduate level only, or over non-degree courses in the University Extension. No change in the curriculum of a college or professional school shall be made by the Academic Senate until such change shall have been submitted to the formal consideration of the faculty concerned.

### 1.2 The Responsibilities of COCI and of Academic Units

Berkeley Division By-law 33 states that COCI is to give “full consideration to the views and conclusions of appropriate departments, departmental committees and representatives, and faculty members when matters related to their courses of instruction come before the Committee.” This recognizes COCI’s relation to academic departments and the importance of maintaining a clear and integral balance between the specific competence of departments and academic units in their own disciplines and areas of study, and the responsibility of the faculty as a whole (delegated, in these instances, to COCI) to guarantee consistency and fairness.

Berkeley is an academic community, and our students take courses across the disciplines. On the one hand, the faculty as a whole has the responsibility of ensuring that courses are conducted fairly and effectively, that University rubrics like credit units and breadth requirements are treated consistently, that requests for exceptions and variances are evaluated fairly, and so on. The Berkeley Division of the Academic Senate has charged COCI with this responsibility. On the other hand, academic units represent professional bodies in their disciplines, and as such are uniquely suited to decide on the appropriateness of specific topics and approaches. Questions of appropriate depth and breadth, necessary prerequisite training and knowledge, and appropriate standards of evaluation all belong to these units. COCI understands, and this document reaffirms, that its authority to take final action on all matters relating to instruction and assessment is to be understood in the context of academic units’ disciplinary competence.

### **1.3 Variances**

Berkeley Division By-law 33 grants COCI authority to grant exceptions (i.e., variances) to Berkeley Division regulations governing courses of instruction and the granting of degrees, certificates, and honors. In exercising this authority appropriately and consistently, COCI adopted implementing procedures that are included in the Variances section of this handbook. The relevant regulations are also included as needed in reference to the procedures.

*Note to students:* Variance requests submitted to COCI should be endorsed by your affiliated department or college. When submitting a variance request to COCI, please work in coordination with your departmental/college adviser throughout the process.

*Note to advisers:* Please refer to the Regulations of the Academic Senate as well as this COCI Handbook when submitting variance requests to COCI.

Please direct questions regarding variance requests to Linda Corley at [lindac@berkeley.edu](mailto:lindac@berkeley.edu) or 642-4340.



## 2. Courses

### 2.1 Course Approval Process

#### 2.1.1 New Courses

- When a new course is proposed, the following must be documented: course number, course title, abbreviated transcript title, unit value, instructional format and contact hours, duration of course, prerequisites, estimated total number of required hours of student work per week, restrictions, and department chair and/or dean's approval (as determined by the college or school).
- As noted above, new course proposals must include information on the estimated total number of required hours of student work per week. This estimate includes course contact hours as well as time spent doing course work outside of the classroom. See section 2.3.1, Designation of Unit Value.
- New courses, including special topics courses, require the submission of a syllabus. A syllabus should include the following: an outline of the topics to be covered in the course (a week-by-week schedule or other detailed list that conveys how the course will be presented), a reading list or a summary of the sort of works to be used, a list of course requirements (e.g., papers, quizzes, exams), and the relative weight of each requirement toward the final grade (e.g., two ten-page papers, 20% each; two quizzes, 10% each; final exam, 40%).

#### 2.1.2 Changes to Existing Courses

- Should a request to change an existing course title, description, instructional format, or unit value be submitted that substantially alters the existing course, the course, at the Committee's discretion, may be treated as a new course. Such a course submission should include a fully developed syllabus.
- Requests to increase or decrease the unit value of a course must always be explained, with sufficient justification given. Requests to change unit value must also include a revised estimate of the total number of hours of student work per week (see section 2.3.1, Designation of Unit Value).
- Once a course is approved, the syllabus and readings may be changed without the Committee's approval so long as the description, goal, and instructional format of the course, as well as the essential pedagogical approach, remain the same.

However, please note that changes in final examination format must meet COCI final examination guidelines. See section 2.1.3 on Final Examinations.

### 2.1.3 Final Examinations

Regulation 772 of the Academic Senate states that a written examination, not to exceed three hours, is required in all undergraduate courses

(<http://senate.universityofcalifornia.edu/bylaws-regulations/regulations/rpart3.html#r770>). The examination must be given during the examination period scheduled by the Registrar's Office, unless COCI grants a variance (see section 3.2.1). Final examinations are not required in graduate courses, but are optional at the discretion of the instructor. If a graduate course has a final exam, COCI does not need to approve any changes to the final exam schedule, but the department should notify Classroom Scheduling at [scheduling@berkeley.edu](mailto:scheduling@berkeley.edu).

#### 2.1.3.1 Final Assessment in New Courses

- When an undergraduate course is created, if it has a final exam, it is automatically assigned a final exam group based on the day and time the course is offered and it is included on the Final Examination Schedule.
- When creating a new course, an instructor must submit a course proposal and a syllabus. In the appropriate section of the course proposal, the instructor should select one of the options:
  1. a written final exam conducted during the final exam period at the officially scheduled exam time for the course;
  2. an alternative method of final assessment (along with a short description of that method); or
  3. no final exam of any kind (please provide a justification).
- The syllabus should indicate the type of final assessment method for the course (and the relative weight of the final assessment on students' final grades).
- Note that a final paper assigned in lieu of a written final exam cannot be required to be completed or turned in during the regular semester's period of formal instruction nor during the reading/review/recitation (RRR) period; final performances and presentations may be scheduled under certain circumstances before or during RRR week (see section 2.1.12), but instructors are encouraged to use the RRR week as much as possible for synthesis, review, and revision of papers or projects for final student assessment.

#### 2.1.3.2 Changing the Method of Final Assessment in Approved/Existing Courses

There are two options for changing the method of final assessment offered in a course.

### 2.1.3.2.1 Permanent Change

If an instructor decides to *replace* a regular, written final exam with an alternative method of final student assessment, such as a term paper, oral exam, take-home exam, or final project for a particular course, *on a permanent basis*, then the instructor should submit a proposal to modify the course and provide a new syllabus. Similarly, if the instructor decides to *reinstate* a regularly scheduled written final exam for a course that has been previously approved with an alternative method of final examination or no final examination, *on a permanent basis*, then the instructor should submit a proposal to modify the course.

### 2.1.3.2.2 Temporary Change *(last updated 10/11/11)*

If an existing course has been approved with a written final exam and an instructor wishes to change the final assessment method *for a particular semester*, the department chair may approve an alternative method, such as a term paper, oral exam, take-home exam, or final project, for that semester. Similarly, the chair may also approve a regular, written final exam for a course that has been previously approved with an alternative method, *for a particular semester*. Such approvals by the chair may be done on a semester-by-semester basis indefinitely. COCI has authorized department chairs to approve such changes and has implemented the following procedures in order to allow more flexibility for instructors, release classrooms for other instructors, and reduce conflicts for students. The procedures require departments to establish a process to review, approve, and monitor requests for alternative final assessment methods. The department should also notify Classroom Scheduling ([scheduling@berkeley.edu](mailto:scheduling@berkeley.edu)) about any temporary changes.

The following procedures implement this change and supersede older procedures (dated April 17, 1998 and September 26, 2008) pertaining to one-time variances for alternative final assessment methods.

#### *Procedures*

These procedures provide for the approval of alternative final assessment methods on a semester-by-semester basis in undergraduate courses as follows:

1. As a guiding principle, department chairs should approve an alternative final assessment method only if that method is pedagogically sound.
2. The department chair is not authorized to waive the final examination requirement, schedule the final examination outside the final examination period, make a change in examination group, or conduct a common final. Such changes require the approval of the Committee on Courses of Instruction.

In addition, permanent changes in final assessment methods for any course require the approval of the Committee on Courses of Instruction (see section 2.1.3.2.1).

3. Department chairs should approve alternative final assessment methods for courses offered by his/her department before the semester begins. If a change is made to the method of assessment outlined in the syllabus after instruction has begun, the instructor will be required to offer the examination using both methods.

4. Alternative final assessment methods must be announced in the course syllabus given to students at the beginning of the semester.

5. Final examinations in any format must not be due during the regular semester's period of instruction or during the reading, review, and recitation (RRR) period, with the exception of final student assessments through performances, studio critiques, or some oral presentations that cannot be otherwise scheduled during the final exam period (see section 2.1.12 for details).

6. The Office of the Registrar will provide departments with a Final Exam Preview, a turn-around document listing courses with classrooms scheduled for final examinations. The department will be asked to indicate on the form which courses that are approved by the chair for alternative final assessment methods will not require classrooms for the examination along with a brief description of the alternative final assessment method. After the department chair has signed the form, it should be returned to the Office of the Registrar *before the end of the fifth week of classes*. Upon request, the Office of the Registrar will provide the Committee on Courses of Instruction with copies of these documents.

7. The Committee on Courses of Instruction retains the right to revoke the authority of a department chair to grant semester-by-semester approvals of alternative final exam methods if the privilege is abused.

### 2.1.3.3 Regulations Related to Final Exams

SR 770. No student shall be excused from assigned final examinations, except as provided in SR 772(D).

SR 772.

- A. Final examinations are required in all undergraduate courses, except as provided elsewhere in this Regulation. Whenever practicable each such examination shall be written and must be completed by all participants within a previously announced time limit. Examinations in non-laboratory courses may not exceed three hours' duration.
- B. Examinations are normally not required in laboratory courses or their equivalent, as individually determined by the appropriate Committee on Courses. At its option, the department concerned may require a final examination in any laboratory course, subject to prior announcement in the *Schedule of Classes* for the term in question.
- C. With the approval of the appropriate Committee on Courses and upon recommendation of the department concerned, the final examination may be omitted in any undergraduate course or set of courses either once or for a longer period.
- D. At the end of the term in which a student is expected to be graduated, the student's major department may examine the student in the field of the major, may excuse the student from final examinations in courses offered by the department during that term, and, with the approval of the appropriate Committee on Courses, may assign a credit value to such general examination.

#### BDR A251. Disposition of Final Examinations

It is the responsibility of instructors and/or departments to return to the students their final examinations or copies of them, or to retain their students' final examinations or copies of them, for a period of thirteen months after the dates of such examinations. In the latter case, it is also their responsibility to provide a student access to his or her final examination, either by providing the student with a copy of the final examination or by making arrangements for the student to review it under suitable supervision. If the student is unable to review the final examination under suitable supervision, then a copy of it shall be provided to him or her. (Am. 4.4.94, 4.23.09)

### 2.1.4 Withdrawals

- A request to withdraw a course should be submitted through the Course Management System (CMS). If there are any impacts on other courses or academic programs, explain how they will be managed in the withdrawal request.
- A course number may not be reused for a new course for three years for undergraduate courses and five years for graduate courses. For more details, see section 2.2.3 on Re-using Course Numbers.
- Withdrawal of a course is different from pruning a course from the *Berkeley Academic Guide*. See Section 2.6 on Pruning.

### **2.1.5 How to Submit Course Proposals** *(last updated 05/08/15)*

COCI no longer accepts course approval forms (CAFs) and cross-listed course approval forms. Instead, course proposals are to be submitted online through the Course Management System (CMS). Supporting documents such as syllabi and reading lists should be attached electronically. Follow any other procedures required by your department or unit.

As Office of the Registrar staff will no longer receive and review course proposals, departments are solely responsible for published course content and should pay careful attention to the quality of writing, especially for the course description.

### **2.1.6 Timing for Course Approvals** *(last updated 05/08/15)*

In general, course proposals submitted in the Course Management System (CMS) at least one week before a COCI meeting will be reviewed at the next meeting. All course proposals should be submitted no later than one month before the end of the semester (fall or spring) preceding the semester in which the course is to be offered. During high volume periods (e.g., *Schedule of Classes* deadlines), COCI strongly recommends submission of course proposals in advance of the one-week or one-month timeline.

The Committee will not consider a request for approval of a new course or change to an existing course after the start of the semester in which the course is being offered, barring exceptional circumstances.

### **2.1.7 Notification of Course Approval Status**

The Course Management System (CMS) will automatically notify department course contacts as the course proposal goes through the various stages of review, including

COCI approval. It is the department's responsibility to provide any requested information once notified by Senate staff.

### 2.1.8 Levels of COCI Review

These requests require full review by COCI, and will be approved according to the COCI meeting schedule:

- New course
- Change in:
  - Unit value
  - Instructional format type and hours
  - Grading type
  - Courses that will restrict credit
  - Prerequisites
  - Repeatability
  - Final exam type
  - Final exam group (this is a variance and is not submitted through CMS)
  - Title and/or description, if substantial
- Addition of equivalent summer term of three weeks or other non-standard length

These requests may be reviewed and approved by Senate staff, and therefore may be able to be approved more quickly:

- Change in course number
- Cross-listing changes that do not significantly change the course content
- Minor changes to course title and/or description
- Change in term offered
- Addition of equivalent standard summer term of six, eight, or ten weeks
- Correction of errors
- Withdrawal of a course

These changes may be made by department course contacts in the Course Management System (CMS) without any Senate review:

- Instructor name
- TIE code
- Publish status (i.e., pruning; see section 2.6)
- Course objectives (optional field)
- Learning outcomes (optional field)

All proposals are evaluated on a case-by-case basis and this review rubric is only a guideline, not a guarantee.

## 2.1.9 Course Descriptions

The Committee on Courses of Instruction reminds instructors and departments to keep *Berkeley Academic Guide* course descriptions and requirements up to date. Students and advisers use the *Guide* descriptions to plan academic programs. To help students plan effectively, it is essential to provide correct and current information about the courses. The information should be available to students prior to the enrollment period.

Descriptions that no longer accurately reflect current course content should be updated. Requirements that go beyond routine reading, writing, and studying assignments should be noted in the course descriptions. Such requirements include special or weekend field trips, community service work, off-campus activities, and special meetings outside of normal class time.

## 2.1.10 Criteria Used in Course Review

- Are the standards for the proposed course consistent with the standards for other courses taught on the Berkeley campus?
- Is the level (lower division, upper division, graduate, professional) appropriate? Are the prerequisites justified?
- Is the instructional format (lecture, discussion, laboratory, etc.) of the course appropriate? (see Section 2.2.4)
- Is the unit value for the course justified? That is, is there an appropriate workload (as defined by Senate Regulation 760) for the number of units offered? (see Section 2.3.1)
- Does the syllabus present in a clear manner the requirements for the course and the standards for assessment of student work? The relative weight of each requirement toward the final grade should be specified. (see Section 2.1.1 on New Courses)
- Is the course description sufficient to let students know the general content of the course? (see Section 2.1.10)
- Does the course appear to fit the department's curriculum and disciplinary jurisdiction? While COCI is not charged with approving curricula, courses and curricula should have some relation to one another.



- Does the course inappropriately duplicate the content of another course in the department or of a course in another department or school? It is recognized that minor overlap is unavoidable and that two or more departments may offer courses with similar subject matter, but with quite different disciplinary perspectives.

### **2.1.11 Summer Courses** *(last updated 03/15/13)*

New summer courses or changes to existing summer courses must be routed through the approval process and reviewed in the same manner as all other courses.

Academic units are allowed to bypass COCI review when adding summer terms of six, eight, or ten weeks to courses that have already been approved for the fall and/or spring semesters. In these instances, the number of contact hours for the summer term must be the same or slightly greater than those of the fall and/or spring term. The type of instructional format (lecture, seminar, lab, etc.) must also remain the same.

For example, a three-unit course offered in the fall or spring with three hours of lecture per week has a total of 45 contact hours. If this course were offered for eight weeks in the summer, the format would have to be at least 6 hours of lecture per week for eight weeks, for a total of 48 contact hours. For a six week summer term, the format would have to be 7.5 hours of lecture per week for six weeks for a total of 45 contact hours. In both cases, the number of contact hours is equal to or greater than 45 (the total number of contact hours for the fall/spring semester). A conversion chart of common summer instructional lengths may be found at: <http://academic-senate.berkeley.edu/sites/default/files/contacthoursconversionf14.pdf>.

To add a summer term of six, eight, or ten weeks for an already approved course, submit a proposal in the Course Management System (CMS), updating the format section to add the new summer term(s). Senate staff will approve the proposal, as long as the contact hours are equivalent.

If the number of contact hours for the proposed summer term is not consistent with the fall or spring term offerings or if there are any other changes being made to the course, the summer term will not be automatically approved. To make any additional changes to the course for the summer term, such as changing the unit value or description, submit a proposal and the course will undergo review by COCI. In addition, any summer courses with a term of fewer than six weeks must undergo review by COCI.

Departments should use the N prefix for summer courses that are different from regular term offerings. For example, English N25, which is taught in the summer, is not the same course as English 25, which is taught in the fall and spring, because it has fewer units. Differences in instructional format, such as the presence or absence of a discussion section for the summer term, also require an N prefix. If the course is already differentiated from the original course (e.g., English 25C), then the N is not required.

### **2.1.12 Reading, Review, and Recitation (RRR) Week Guidelines** *(added 11/15/13)*

#### **Background**

Reading, Review, and Recitation (RRR) Week is the week following the end of formal class instruction and preceding the start of final exams and is intended for students to have free time to prepare for exams, to work on final papers and projects, and to participate in review sessions and meetings with instructors. RRR week is based on the pedagogical principle that students benefit from time devoted to synthesizing the course material learned over the course of the semester. In spring 2009, the Joint Task Force on Exams (<http://academic-senate.berkeley.edu/sites/default/files/examfinalreport.pdf>), after extensive consultation with several Academic Senate committees as well as with student and other groups, recommended that a formal review period be created by converting a combination of formal days of class instruction and "dead" days to RRR days. This change formalized a longstanding Academic Senate guideline (see pp. 38-39 of Joint Task Force on Exams Final Report) that no new material be introduced during the last week of instruction. RRR days are counted as days of instruction, even though formal classes do not meet during this period.

#### **Criteria**

*Undergraduate students:* RRR Guidelines apply to all undergraduate courses, including special studies courses.

*Graduate students:*

- Instructors are encouraged to follow RRR Guidelines in graduate-level courses.
- Graduate students who are GSIs may have teaching responsibilities during RRR week, including ones on a schedule different from that of the formal class instruction period. In the event that the activities required of GSIs during the RRR week are significantly different from those outlined in the Letter of Appointment or Supplemental Documentation, an updated Supplemental Documentation letter reflecting these changes must be sent to the GSI as soon as reasonably possible.

*Professional school students.* Professional schools with programs on unique academic calendars are exempt from RRR week guidelines.

### **Types of activities that may take place during RRR week**

- Synthesis and review of course material by students on their own or in study groups
- Work on final projects and papers by students
- Optional review sessions
- Optional recitation activities such as poster sessions, oral presentations of research, and debates.
- Required submission of papers, projects, or other homework assignments that are not substitute forms of final assessment

### **Types of activities that should not be scheduled during RRR week**

- Mandatory exams and quizzes including final exams
- Required submission of papers or projects that are assigned in lieu of a written final exam. Instructors are encouraged to give students the full benefit of the RRR week for consultation with their instructors and revision. Due dates should ideally be set for the day on which the written final exam would have been given and may not be set any earlier than the first day of the final exam period.
- Any other mandatory scheduled activities (note exceptions below)

### **Types of activities that may take place during RRR week in certain circumstances**

- Mandatory recitation activities such as poster sessions, oral presentations of research, and debates, when time and venue constraints make the RRR period the only feasible time to do so. In such cases, instructors should maximize flexibility and scheduling options because students are likely to have other academic commitments during the RRR week.
- Capstone presentations for "special format" courses, such as performance- or studio-based courses. Instructors are encouraged to schedule these activities outside of RRR week whenever possible. However, such courses may need to use the flexible scheduling opportunities presented by the RRR week for mandatory culminating performances, studio critiques, or other types of capstone presentations that count toward students' final grades, particularly those activities that may require special venues.
- Make-up classes necessitated by lengthy disruptions such as campus closure (see also COCI's Guidelines for Single-Incident Disruptions of Classes: <http://academic->

[senate.berkeley.edu/sites/default/files/committees/coci/annual\\_reports/singleincidentdisruptions.pdf](http://senate.berkeley.edu/sites/default/files/committees/coci/annual_reports/singleincidentdisruptions.pdf)).

- Note that COCI does not need to approve these exceptions.

## **Noncompliance**

In the case of perceived noncompliance in terms of RRR Week or final exams, a student should first communicate with the instructor. The second step is to approach the department chair. Another resource is the Ombuds Office For Students and Postdoctoral Appointees (<http://sa.berkeley.edu/ombuds>), who provides an informal dispute resolution process and can be contacted at any point, including consultation before talking with the instructor or the department chair. A student may also contact the ASUC Student Advocate's Office, a student run organization.

## **2.2 Classification of Courses**

### **2.2.1 Senate Regulation 740: Classification of Courses**

Systemwide Senate Regulation 740 classifies course numbers as follows:

- Lower division courses are open to freshmen and sophomores and are numbered 1-99 or are designated by a letter, especially if the subject is usually taught in high school. In no department is a lower division course acceptable for upper division credit.
- Upper division courses are numbered 100-199 and ordinarily open only to students who have completed at least one lower division course in the given subject, or six terms of college work. Special study courses for undergraduates are numbered 199.
- Graduate courses are numbered 200-299, and ordinarily open only to students who have completed at least 18 upper division units basic to the subject matter of the course.
- Professional courses for teachers are numbered 300-399, are offered in Education and other departments, and are specifically designed for teachers or prospective teachers.
- Other professional courses are numbered 400-499.

- Individual study or research graduate courses are numbered 500-599 if they may be used to satisfy minimum higher degree requirements; otherwise they are numbered 600-699.
- Extra Session Courses: Upon the recommendation of the department concerned, and with the approval of the appropriate Council or the appropriate Committee on Courses, laboratory, field, or other individual work supervised by the department and performed outside of a regular session may be accepted in partial satisfaction of the residence requirement for the Bachelor's degree. All such work shall be designated as upper division or graduate courses. Before the work is undertaken, each student concerned must register for the course with the approval of the appropriate Faculty or Graduate Council.

### **2.2.2 Additional Restrictions on Course Numbers**

The following course numbers are not governed by Academic Senate regulations but are reserved for specific purposes at UC Berkeley:

24 Freshman Seminars

39 Freshman/Sophomore Seminars

84 Sophomore Seminars

Berkeley Division Regulation A230 designates the following course numbers for Special Studies Courses:

- The number 97 is reserved for Field Studies Courses at the lower-division level.
- The number 98 is reserved for Directed Group Study at the lower-division level.
- The number 99 is reserved for Supervised Independent Study at the lower-division level by academically superior undergraduate students, who are to be defined by each department, or equivalent. This definition includes, as a necessary part, a grade-point average of at least 3.3.
- The number 197 is reserved for Field Studies courses at the upper-division level.
- The number 198 is reserved for Organized Group Study at the upper-division level.
- The number 199 is reserved for Supervised Independent Study at the upper-division level.

See Section 2.4 on Special Studies courses for the full text and additional information.

### **2.2.3 Re-using Course Numbers**

A course number may not be reused for a new course for a period of three years for undergraduate courses and five years for graduate courses. This rule is designed to avoid confusion among faculty and students and to avoid the need for variances if students who have taken the old course wish to take the new course. (The time restriction is based on the latter consideration and represents the time in which most students enrolled at the time of the change will have left the University.) This rule applies whether a course has been withdrawn or simply has not been offered during the restricted time period. Use of a suffix with a new course may avoid the above problems – course 101 is considered to be different from course 101A and similarly 101C from 101D.

## 2.2.4 Approved Instructional Formats

CLC	CLINIC	Students learn skills by actual practice involving patients or clients
COL	COLLOQUIUM	A seminar led by different instructors
CON	CONVERSATION	The practice of conversation in a foreign language
DEM	DEMONSTRATION	Student observation of an instructional display or performance
DIS	DISCUSSION	The exchange of opinions or questions on course material
FLD	FIELDWORK	Instructional activity in non-classroom settings
GRP	DIRECTED GROUP STUDY	Directed group study
IND	INDEPENDENT STUDY	Student-initiated educational activity
INT	INTERNSHIP	Individual activity in authentic non-academic setting arranged by instructor
LAB	LABORATORY	Instructional experiences requiring special laboratory equipment and facilities
LEC	LECTURE	Instructor presentation of course materials
REA	READING	The practice of reading in a foreign language
REC	RECITATION	Oral review of course material by students
SEM	SEMINAR	Student-instructor coverage of course materials
SES	SESSION	Instructor presentation of course material, with further discussion
SLF	SELF-PACED	Student-paced coverage, usually with individualized attention, of assigned course material
STD	STUDIO	Student practice of studio skills and/or tasks
SUP	SUPPLEMENT	Extra meetings for the review or elaboration of course materials
TUT	TUTORIAL	Supplementary (or remedial) individualized instruction
VOL	VOLUNTARY	Review of material presented in class lectures or review of laboratory sections. Unit credit not awarded. Attendance not required.
WBL	WEB-BASED	Web-based or technologically-mediated

	LECTURE	activities replacing standard lectures.
WBD	WEB-BASED DISCUSSION	Web-based or technologically-mediated activities replacing standard discussion sections.
WOR	WORKSHOP	Student practice of mathematical skills and/or tasks

### 2.2.5 Prefixes and Suffixes *(last updated 03/15/13)*

No more than five characters can be used to distinguish courses; this includes the use of prefixes and suffixes. COCI utilizes the following guidelines for the use of prefixes and suffixes.

#### *Prefixes*

In general, the use of prefixes is reserved for the identification of courses that meet specific requirements or have characteristics that are of campus-wide significance to students and advisers. Use of prefixes for other purposes is not acceptable without special justification. COCI has assigned the following prefixes:

- C designates a cross-listed course. See section 2.2.7 on Cross-Listed Courses.
- H designates honors courses
- N designates a Summer Session course that is not equivalent to a regular session course with the same number. See section 2.1.11 on Summer Courses.
- R designates courses that meet the Reading and Composition Requirement.
- W designates courses that are offered online. See section 2.5 on Web-based and Online Courses.

#### *Suffixes*

Suffixes are normally used to designate differences among courses within a departmental listing. Suffixes (A-Z) usually indicate a) courses covering a topic that extends over several terms; b) courses closely related in subject matter; or c) laboratories linked to lecture courses (the L suffix).

The AC suffix has campus-wide significance. COCI has stipulated that, as of spring 1996, all courses meeting the American Cultures requirement are to be identified with the AC suffix. For new courses, use of the AC suffix supersedes the use of any other prefix or suffix. Courses with a suffix that were approved for American Cultures prior to this stipulation are exempt from the requirement. Prior to receiving COCI approval, courses designed to fulfill the AC requirement must be reviewed and recommended for approval



by the Subcommittee on the Breadth Requirement in American Cultures (AMCULT). See section 3.4 for information on the AC breadth requirement.

## 2.2.6 Related Courses

Umbrella courses and split-group/series courses are no longer used. Instead, each course is a stand-alone course. Former umbrella and split courses have the same root course number and a different suffix (e.g., History 103A, Ancient; 103B, Europe, etc.). Listed in alphanumeric order, they will appear next to each other in the *Berkeley Academic Guide*. They may also share a generic title, with a specific title following after a colon. Each course is now treated as a separate course, and a full proposal (including a syllabus) must be submitted for each one.

## 2.2.7 Cross-listed Courses and Room Shares *(last updated 05/08/15)*

Cross-listed courses are courses offered jointly by more than one department. Cross-listed courses are identical except for the offering department.

Conversion to cross-listing requires approval by COCI. Each cross-listed course must specify an administrating department that will carry the primary administrative responsibility for the courses, including course scheduling and assignment of instructors. The administrating department may share these duties with other sponsoring units, but remains responsible for ensuring that these tasks are completed in accordance with campus policy and regulations.

Each part of a cross-listed course automatically restricts credit for the other part(s), and automatically allows grade replacement. Unless stated otherwise, duplicate credit will not be given for the different parts of a cross-listed course (e.g., students will not receive credit for taking both German C179 and Spanish C179).

The addition of a C prefix to a course number identifies it as a different course; e.g., German 179 is *technically* a different course from German C179/Spanish C179. If a course routinely shifts between the regular and cross-listed format, a department may choose to maintain a *Berkeley Academic Guide* listing for each. However, unless stated otherwise, duplicate credit will not be given for courses with the same root number (e.g., no credit for both History C159A and History 159A). The Course Management System will automatically create a course restriction for any courses that use the same root number within the same department as in the History 159A example above.

A room share is an unofficial arrangement in which two or more classes share the same lectures. Room-shared courses must be equal in unit value, grading option, and instructional format. COCI encourages departments to formalize room shares as cross-listed courses whenever practicable. COCI has determined that Senate Regulation 762 (<http://senate.universityofcalifornia.edu/bylaws-regulations/regulations/rpart3.html#r762>) is inconsistent with cross-listing lower and upper division courses and undergraduate and graduate courses. However, the regulation does permit room sharing under certain conditions. In some cases, departments may room share lower and upper division courses, and upper division and graduate courses. In these instances, however, the standards and requirements for each course must be clearly articulated and be in line with SR 762. COCI thus requires that a separate syllabus be provided for each room-shared course or that the requirements for graduate and undergraduate students be clearly delineated in the syllabus.

### **2.2.8 Prerequisites**

A prerequisite is intended to ensure the necessary background to undertake study in the course concerned. The use of nominal or artificial prerequisites should be avoided.

The prerequisites for courses are established by the departments and require the approval of COCI. If no prerequisites are stated, it is understood that the course is open to any matriculated student. The minimum prerequisite for all upper division courses is either junior standing or a specified lower division course. If a course has a prerequisite, the instructor in charge of the course is responsible for its enforcement.

## **2.3 Course Credit**

### **2.3.1 Designation of Unit Value**

Unit value for course offerings is governed by Academic Senate Regulation (SR) 760, which states in part: "The value of a course in units shall be reckoned at the rate of one unit for three hours' work per week per term on the part of a student, or the equivalent." COCI defines "work" to include class contact time as well as time spent outside of class studying and doing research or homework. Thus, a three-unit course offered during fall or spring requires a minimum of nine hours of total work per week. (The work hours per week will be higher for six-, eight-, and ten-week term lengths.)

SR 760 does not specify a relationship between unit value and class contact hours, but contact hours do often correlate to unit value. COCI utilizes the following general model

to promote consistency across campus: one unit usually corresponds to 15 lecture or seminar contact hours per term. Thus, a three-unit course would generally have 45 contact hours over the course of the term. Such a course might have a format of three hours of lecture per week for 14 weeks, plus three hours of review during Reading, Review, and Recitation (RRR) Week. The course would have nine hours of total work per week, three of which would be in-class lecture. Students would be expected to do six hours of additional out-of-class work.

Departments are responsible for submitting course proposals and syllabi that include a detailed description of how unit value is justified.

#### *Lecture and Seminar Courses*

According to the model, one unit corresponds to one hour of lecture or seminar per week per semester. Each hour of lecture or seminar is generally expected to require two additional hours of work (reading, writing, problem sets, other assignments, etc.). One additional unit is normally assigned for courses with required discussion sections, when section meetings are at least one hour per week for a total of 15 hours (or more) per term.

#### *Laboratory Courses or their Equivalent*

One unit is normally assigned for each three hours of laboratory or its equivalent (workshop, studio, fieldwork, independent study, etc.) per week per term.

#### *Additional Units*

If a course demands extensive reading, writing, or other academic work, it may justify an additional unit of credit, beyond what would be expected based on the contact hours model. Instructors should keep in mind that an additional unit represents, on average, 45 additional hours of work expected of a student during the semester, and the instructor must demonstrate in the syllabus how students will have to commit this additional time to the course (e.g., extra readings, extra assignments, or discussion sections).

#### *Variable Units*

Courses that are listed for variable units must specify how unit value will be assigned. Requirements should be clearly delineated for each unit value offered.

### **2.3.2 Maximum Allotment of Units**

In general, undergraduate courses should not carry more than four units. Exceptions should be limited to cases where intensive study is appropriate and practicable, such as introductory language courses.

### **2.3.3 Courses that May be Repeated for Credit**

Some courses may be repeated one or more times for credit. Such courses are usually advanced courses and vary in content from instructor to instructor and from term to term. If the content of a course is not constant from term to term and one instructor to another, the department may decide that a student should be able to repeat the course for credit one or more times. In considering a course for which the department includes the provision "may be repeated for credit," the Committee expects the department to provide information concerning the probable instructors, and the advising or enrollment procedures that will be employed to inform prospective students of the specific format and emphasis in the term, and the measure to be employed so that a student does not receive duplicate credit for the same course content.

### **2.4 Special Studies Courses**

Special Studies courses are governed by Berkeley Division Regulation A230, which sets requirements for credit, course numbers, approvals, and limitations as follows:

- Field Study (numbered 97 and 197): Each section of a field study course requires a written proposal that the faculty sponsor must sign and the chair of the department must approve.
- Directed Group Study (numbered 98 and 198): Each section of a directed group study course must receive approval by the chair of the department (or equivalent unit) based on a written proposal submitted by the instructor who is to supervise the course that describes the matter to be studied, the methods of instruction, the number of units to be credited, and methods of evaluation of student performance. A copy of the approved proposal must be submitted to the Committee on Courses of Instruction. See Section 2.4.1 on Student-Facilitated Group Study Courses (98/198, including "DeCal" Courses).
- Supervised Independent Study (numbered 99 and 199): Each section of an independent study course requires the prior consent of the instructor who is to supervise the course and the approval of the chair of the department (or equivalent) based on a written proposal that specifies the nature of the study, number of units to

be credited, and the basis for grading. The consent of the student's major advisor is also required for 199 courses.

#### **2.4.1 Student-Facilitated Group Study Courses (98/198, including DeCal Courses) *(last updated 10/10/14)***

Proposals for student-facilitated courses should be submitted by using the Special Studies Course Proposal Form available on the Special Studies website (<http://vcue.berkeley.edu/specialstudies>). This website also contains checklists and detailed information for faculty and departments on sponsoring and approving student-facilitated courses. Both undergraduate and graduate student facilitators should use this form.

COCI reiterates that department chairs are responsible for monitoring the academic rigor of all courses in their departments, including student-facilitated courses. Before approving student-facilitated course proposals, department chairs should carefully review each syllabus and verify that the instructor of record will appropriately supervise the course.

Instructors of record for student-facilitated courses are governed by Senate Regulation 750, which states that "Only regularly appointed officers of instruction holding appropriate instructional titles may have substantial responsibility for the content and conduct of courses which are approved by the Academic Senate." In short, if an individual has been approved to teach as an instructor of record for an academic unit, then he or she may "sponsor" a student-facilitated group study course as the instructor of record. This does not apply to graduate students who have been appointed as Acting Instructor-Graduate Students.

Berkeley Division Regulation A205.A states "An instructor may be in charge of no more than one such undergraduate course [graded passed/not passed] in any term, exclusive of individual study or research courses, except with the consent of the dean of the school or college in which the course is offered."

A copy of the approved proposal (form, syllabus, unit value worksheet, and responses to the seven questions on the form) must be submitted for information to the Committee on Courses of Instruction (COCI), 320 Stephens Hall, # 5842, at least one month before the end of instruction in the preceding semester (or summer). Individual department deadlines may be earlier. Late submissions must be accompanied by a letter from the

dean or department chair (or their designate) clearly laying out the reasons for the lateness (email is acceptable). Courses are considered approved once signed by the department chair; however, COCI may revoke the approval of courses not conducted according to Senate regulations.

Courses affiliated with the DeCal program are subject to the requirements outlined in BDR A230. DeCal is a program affiliated with the Associate Students of the University of California (ASUC) to help undergraduate students create and facilitate their own courses under faculty sponsorship. Departments are responsible for the content and conduct of special studies courses advertised through DeCal.

Proposals for group study courses not led by students should not be submitted on the Special Studies Course Proposal Form. Facilitators (e.g., faculty or staff) should instead submit to COCI a written proposal addressing the matters required by BDR A230. The department chair's approval is required.

Please note that SR 760 states that students should do three hours of work per week per term for each unit of credit received (see section 2.3.1, Designation of Unit Value). This applies to all courses, including group study courses. The course syllabus must reflect this workload. Additionally, variable unit classes must specify how unit value will be assigned.

## **2.5 Web-based and Online Courses** *(last updated 11/15/13)*

### *Background*

COCI working groups, in 2002 and 2004, considered the issue of online instruction, the broader issues involved, and how to reflect online instruction in instructional formats. The groups focused on "hybrid" courses, in which "technologically mediated activities" subsume online instruction and participation in computer-based activities in a lab setting—as opposed to face-to-face interaction between instructors and students. In spring 2006, COCI further considered the issues and took action to implement the recommendations of the working groups.

### *Criteria for Review*

#### *Face-to-face time vs. Web time*

COCI established a threshold at which departments must justify substitutions of face-to-face contact with the instructor with web-based or technologically mediated work. Any

course in which face-to-face contact with an instructor represents less than *one-third* of the total hours of required work per week must justify the substitution by answering a set of questions (see below), the course should be designated as having a web-based instructional format (see below), and will normally carry a W prefix (see below). This standard is based on Senate Regulation 760, which states that the value of a course in units shall be reckoned at the rate of one unit for three hours' work per week per term. This means that, essentially, for a three-unit course in which students and instructor do not meet in person for three hours per week (one-third of the total work hours required), and technologically mediated (web-based) activities substitute for this meeting time, special justification would be required.

### *Final Exams*

If the instructor does not wish to conduct a final exam in accordance with SR 772, the instructor must follow procedures for final exams as outlined in section 2.1.3. Instructors will need to coordinate with the Office of Scheduling to offer a final exam if a regular classroom has not been assigned for the semester.

### *Supplemental Questions*

Instructors proposing courses in which face-to-face contact is proposed for less than one-third of the total work hours must answer supplementary questions to assess whether the course will preserve student-instructor interaction and not decrease student accountability or otherwise negatively affect learning. In addition to replying to these questions, instructors should carefully consider how much time they expect a typical student will need to work each week to complete requirements for the course, taking into account changed formats, in setting the required estimate of student work. SR 760 applies for web-based courses.

While union contracts govern workload for GSIs, COCI has a responsibility to monitor contact hours for proposed courses. Consequently, COCI needs to be sure that in cases in which GSIs are to be used to deliver instruction and advice asynchronously, the department involved has taken care to structure work assignments in ways that can meet the required number of contact hours with the proposed FTE devoted to GSIs for the course.

When submitting a proposal for a new web-based course or a web-based version of an existing course, the instructor must submit answers to the following questions for COCI's review. The list of questions is also provided on the Course Management System

(CMS) and on COCI's website ([http://academic-senate.berkeley.edu/sites/default/files/onlinecoursequestions\\_11-12-10\\_1.doc](http://academic-senate.berkeley.edu/sites/default/files/onlinecoursequestions_11-12-10_1.doc)).

***Overview questions:***

1. What modes of instruction will be used, particularly those specific to technologically-mediated instruction (e.g., webcast lectures, moderated discussion lists, synchronous or asynchronous web-based discussion sections, email, chat rooms)?
2. What specific pedagogical advantages and disadvantages will the technologically-mediated format offer?
3. How will this way of delivering the course change modes of learning (e.g., auditory or tactile) and affect learning experiences? If this course has a corresponding face-to-face version, please compare the two and explain the differences.
4. Is specific technical or pedagogical expertise (on the part of the student or instructor) necessary for this course? If so, what? If using GSIs, are there needs or plans for specialized training to enable them to work successfully in an online environment to elicit/follow/stimulate discussion?
5. What specific technical support does the department have available for instructors and students? What plans are there for malfunction, disruption, or unavailability of technical support?
6. How many students are expected to take this course? If there is a face-to-face equivalent on campus, please indicate the semester(s) taught and typical enrollment(s) and whether the face-to-face version will continue to be taught after development of an online version.
7. Is there a specific problem or set of problems that online delivery is intended to address (e.g., increasing access, relieving impacted courses, reducing costs)? If so, please explain.
8. Will this course satisfy major/degree requirements? If so, are there face-to-face courses that meet the same requirements? Will both the face-to-face and online options be treated the same when determining if students have met these requirements? For instance, does your department intend to limit the number of online courses that students may take to meet requirements? Please explain.



9. Have you considered how this course will relate to other courses, both online and face-to-face, that your department may offer, or that may be offered by other departments? For example, will this course serve as a prerequisite for other courses? Please explain.

*Course Mechanics and Logistics Questions:*

10. What is the nature of instructor involvement in the proposed alternative mode of instruction? What are the means by which the instructor will foster learning, and how will the instructor be available for consultation?

11. In the case of distance learning courses offered collaboratively between campuses, what are the specific responsibilities of instructors on this campus? How will coordination be maintained between campuses, and who will be responsible on this campus for consultation with students?

12. How will student progress be monitored? Describe graded activities mediated through technology and how materials will be handled to verify student identities and to ensure that students only receive credit for their own work.

13. What are the plans for evaluating student learning outcomes, both at the end of the term and as students move through subsequent courses in a sequence of courses or curricula?

14. How will course material that is archival in nature (e.g., recorded webcasts, voiceover slides) be updated for future offerings? Can it be easily moved to other platforms or adopted by other instructors?

15. COCI will be reviewing approved online courses after four years, consistent with the recommendations in the Berkeley Division's Final Report of the Online Graduate Degree Working Group (which can be found at [http://academic-senate.berkeley.edu/sites/default/files/final\\_report\\_online\\_graduate\\_degrees\\_working\\_group.pdf](http://academic-senate.berkeley.edu/sites/default/files/final_report_online_graduate_degrees_working_group.pdf)) and COCI's current practice of seeking input from the instructors of new online courses on their teaching experiences--a practice which has been in place since COCI's first provisional approval of online courses in 2003. If you believe your proposed course would benefit from review before the four-year mark, what is the alternative time-scale for review that you would prefer and the reasoning behind it?

### *Four-Year Re-Review*

To fulfill the requirement to review approved online courses after four years, as specified in question #15 of the Supplemental Questions, COCI will collect the following information from three sources.

1. From the instructor(s) of the course:

- A written assessment of how the course has developed over the four years that it has been approved, with particular attention paid to the effectiveness of various aspects of the online design.

2. From the chair of the department in which the course is offered:

- The chair's views on how well the course has fit into the department's offerings.
- A brief summary of student evaluations of instructors and GSIs for the course over the four-year span.
- An account of any difficulties that may have arisen related to GSI working hours.

3. From the Registrar:

- Which semesters the course has been taught since it has been approved.
- How many students have enrolled in the course each semester.

Letters will be sent out four years after the effective term of the original approval, and responses will be requested within a few months (at the discretion of the COCI chair). Instructors and chairs will be informed that if the course has changed substantially from its original form, COCI may require submission of a new course proposal for review.

### *Instructional Formats*

In spring 2006 COCI endorsed two new instructional formats, which have been available for scheduling beginning fall 2006. The formats are defined as follows:

*WBL*: Web-Based Lecture. Courses in which web-based or technologically mediated activities replace standard lectures. This includes courses ranging from fully-integrated online courses with interactive text, graphics, and/or executable programs, online student access to the instructors, and measures to assure compliance with copyright laws; to hybrids in which lectures are technologically mediated (by broadcast or webcast, for example) while other activities and access to instructors may not be mediated by technology. Grades may be based in part on electronically submitted materials such as homework, research papers, and participation. Required final examinations must be

administered in a classroom setting unless an exception is granted, in accordance with COCI procedures.

*WBD*: Web-Based Discussion: Courses in which web-based or technologically mediated activities replace standard discussion sections. Web-Based Discussions may use such modes of instruction as online discussion groups, chat rooms, blogs, and the like. Students may have online access to instructors through these and other means such as email office hours. Measures must be taken to ensure student privacy and civility in these activities. Grades will normally be based on material submitted electronically, such as homework, research papers, and participation.

### *W Prefix*

As of spring 2011, a prefix of W will be used for fully and predominantly online courses, as determined by COCI on a course-by-course basis. The *Berkeley Academic Guide* listings for online courses will also include the explanatory phrase "This course is web-based" at the end of the course description.

## 2.6 Pruning

The *Berkeley Academic Guide* should provide an up-to-date and accurate representation of courses offered at UC Berkeley.

Units may use the Course Management System (CMS) to publish or un-publish (un-prune or prune) courses as desired, but they should exercise caution to ensure that students are not misled to expect course offerings that the department does not intend to offer within a reasonable timeframe. A pruned course is still an active course that can be scheduled and taught; it has *not* been withdrawn.

## 2.7 Creation of Course Codes *(last revised 05/08/15)*

Once an academic unit or sub-department has been approved by the Academic Senate and campus administration, COCI approves the abbreviation (or code) that will be used to designate the new academic unit's courses in CMS, transcripts, and other campus systems. Codes may be created for degree programs, majors, minors, graduate groups, groups of courses or subjects within a department (such as languages), or programs within a school. Courses may not be offered by organized research units (see UCOP policy at <http://policy.ucop.edu/doc/2500488/ORU> or other non-academic units (see SR 739 at <http://senate.universityofcalifornia.edu/bylaws-regulations/regulations/rpart3.html#r739>).

Units should provide the following information in a letter:

1. State the name of the academic unit and affirm that it has been approved and by which bodies.
2. Explain the reason for the request.
3. List the courses to be offered (or describe planned courses).
4. Suggest a code (character limit is seven).
5. State who will provide administrative support for the courses, including the names of the individuals who will serve as the Course Contact and Department Chair reviewer(s) in CMS.

COCI strongly recommends that units begin the process of creating new codes at least one year in advance of the semester in which courses are to be offered. This is to accommodate for current scheduling and enrollment deadlines.

## **2.8 Guidelines for Undergraduate Pedagogy Courses (for Undergraduate Teaching Assistants)**

Some academic units may wish to allow undergraduate students to serve as “teacher-scholars” or teaching assistants in undergraduate courses. COCI recognizes that with the appropriate structure and supervision, pedagogical training and *limited* augmented teaching support opportunities for undergraduate students can be a significant enhancement to the learning experience (both for the student teaching assistants and for their target clientele). At the same time, there is potential for abuse, for example, if such undergraduate teaching assistant roles overlap with or replace functions of either the instructor of record or of graduate student instructors (GSIs), or if the arrangements for undergraduate assistant roles blur the distinction between the awarding of academic credit for academic work on the one hand and compensation for labor on the other. In short, the role of the teaching assistant can become clouded with the role of the instructor or Graduate Student Assistant (GSI).

To preempt such negative outcomes, COCI’s evaluation of course proposals involving undergraduates in such supporting roles (referred to in the following as “undergraduate teaching assistants,” as distinct from official undergraduate student instructor titles) should bear in mind the following guidelines:

- The course proposal must provide clear delineation of the roles to be performed by undergraduate teaching assistants and the specific expectations they are to meet, including both a complete breakdown of the types of activity as well as

weekly workloads involved for each activity, as well as whether and how academic credit is to be awarded for this work.

- The course proposal must clearly differentiate the roles of undergraduate teaching assistants from those of the instructor of record and of GSI's, as well as from official paid undergraduate student instructor titles. [Graduate Division's GSI, GSR, Reader, and Tutor Employment Guide](http://grad.berkeley.edu/financial/graduate-student-employment/guide/) (<http://grad.berkeley.edu/financial/graduate-student-employment/guide/>) provides an overview of the instructional roles and duties covered by collective bargaining agreements.
- Proposals must make clear what criteria (e.g., academic preparation, career level) are to be applied in selecting undergraduate teaching assistants, and what selection process will be used to assign them to a service course.

Academic units wishing to implement instructional programs involving undergraduate teaching assistants must also have a course on record specifically oriented towards pedagogy training for these roles. Course proposals envisioning the use of undergraduate teaching assistants should make clear which pedagogical training course(s) these students will be enrolling in. Course proposals for these pedagogy courses themselves must include, along with other standard content for course syllabi (e.g., course overview, weekly class schedule, course reading list, grading requirements, final assessment), a clear account of arrangements in the following areas:

1. What concepts, theories, and skills students will be expected to master.
2. What projects, research, or other academic assignments the undergraduate teaching assistants will undertake to materialize these pedagogical concepts.
3. How the use of undergraduate teaching assistants serves the academic unit's overall instructional mission, and which currently approved courses the teaching assistants will serve in.

## 3 Variances

### 3.1 Instructors of Record

According to Academic Senate Regulation 750.A, “Only regularly appointed officers of instruction holding appropriate instructional titles may have substantial responsibility for the content and conduct of courses which are approved by the Academic Senate.”

On the Berkeley campus, officers of instruction who have responsibility for the content and conduct of a course are commonly known as “instructors of record.” One or more instructors of record are assigned to each course being taught. All instructors of record must be faculty members, or approved by the Committee on Courses of Instruction to be an instructor of record, and are individually responsible for submitting final grades to the Office of the Registrar by the specified deadline.

In this and the following sections, “instructor of record” and “instructor” are used synonymously.

#### 3.1.1 Guidelines for Instructors of Record for Lower Division Courses (numbered 1-99)

Historically, campus practice has been that a graduate student instructor (GSI) teaches under the supervision of a faculty member, and the faculty member is the instructor of record. Even in cases where the GSI creates and maintains records of student performance as a part of teaching duties, the faculty member remains the instructor of record.

COCI reaffirms this established precedent as part of official Committee approval procedure. In a lower division course, a graduate student may not be the instructor of record and may serve only as a GSI who teaches under the supervision of the instructor of record (i.e., the designated faculty member responsible for the course).

GSIs are *not the same* as graduate students who have been appointed as Acting Instructor-Graduate Students<sup>1</sup> (AI-GS) in upper-division courses.

#### 3.1.2 Guidelines for Acting Instructor-Graduate Students *(last updated 03/15/13)*

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<sup>1</sup> “Acting Instructor-Graduate Student” is a specific academic title that refers to a graduate student who is “employed to render services as the instructor of record for a particular upper division course as approved by the Associate Dean of the Graduate Division and approved by the Committee on Courses” (per UC Berkeley Office of Human Resources, <http://hrweb.berkeley.edu/labor/contracts/BX/job-opportunities>).

COCI will approve the appointment of graduate students as Acting Instructor-Graduate Students (AI-GS) **only** to teach upper division undergraduate courses (numbered 100-199) and only under the following circumstances and conditions:

### *Circumstances*

Requests to appoint a graduate student as an AI-GS for an upper division course must be justified by at least one of the following circumstances:

1. the appointment is being sought in order to fill an unexpected vacancy (e.g., sudden faculty illness or leave); or
2. the appointment is being sought in order to present a course on a topic that is within the department's intellectual area but for which it has, in the term in question, no appropriate faculty member (in this circumstance the department should assure the Committee that it will, in the future, seek to have the course taught by an appropriate faculty specialist); or
3. the appointment is being sought because:
  - (a) staffing the course entirely with faculty members would seriously deplete the department's other course offerings; and
  - (b) students working on dissertations are specially suited to teach such a course; for example, a research methods course.

In all three circumstances above, COCI's approval is effective for a limited period, usually one term.

### *Conditions*

In order for a graduate student to be approved as an AI-GS under one of the preceding circumstances, the graduate student must:

1. be advanced to candidacy for a Ph.D.;
2. have demonstrated ability as a teacher whose expertise is appropriate to the course, with at least two years or four semesters of university- or college-level teaching experience (not including summer session);
3. be recommended to the Committee by the department chair (or designate) and the Associate Dean of the Graduate Division (or designate); and
4. comply with all criteria established by the Graduate Council (e.g., students must be currently enrolled at UC Berkeley and must have demonstrated English



language proficiency<sup>2</sup>). For Summer Sessions, students must be enrolled the spring semester immediately before or the fall semester immediately after the summer term in question.

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<sup>2</sup> Graduate Council's criteria for assessing non-native English speakers' language proficiency are: (1) Holding a B.A. or B.S. from a U.S. institution, (2) Passing the Speaking Proficiency English Assessment Kit (SPEAK), and/or (3) Passing the Next Generation TOEFL exam with a score of 26 or better (per UC Berkeley Graduate Division Admissions Handbook, <http://graddashboard.berkeley.edu/admissions/departmental-review-and-evaluation/#evidence-of-english-language-proficiency>).

### 3.1.3 Submitting Requests for Acting Instructor-Graduate Student Approval *(last updated 08/21/15)*

Acting Instructor-Graduate Student variance requests must be submitted to Graduate Division, which will forward the requests to COCI.

Requests for COCI approval of an AI-GS appointment should always include the following items:

1. The graduate student's most recent curriculum vitae;
2. A letter from the department chair (or dean) that explains why the department needs to have a graduate student teach the course (see Circumstances above) as well as the student's particular qualifications to teach the course (see Condition 2 above);
3. Current documentation (such as a summary of teaching evaluations or letters of recommendation) that speaks to the student's experience and ability as a college-level instructor; and
4. Documentation that an appropriate faculty member (from the department making the request) has reviewed and approved the syllabus that the student intends to use for the course. Whenever possible, a current copy of the syllabus should be included.

Requests are to be submitted to the Associate Dean of the Graduate Division for endorsement before being forwarded to COCI for final review and approval. Please contact the Graduate Appointments Office for more information at [gradappt@berkeley.edu](mailto:gradappt@berkeley.edu).

For the fall and spring terms, COCI must receive AI-GS requests no later than two weeks prior to the first day of instruction in the term for which approval is being requested. Except in highly unusual circumstances, submissions received after the start of instruction will not be accepted. AI-GS requests for summer terms must be submitted for COCI review by April 24.

Please note that COCI must receive requests from the Graduate Division before these deadlines. Therefore, requests should be submitted to the Graduate Appointments Office well in advance in order to allow time for processing and review by the Associate Dean.

### 3.1.4 Guidelines for Instructors in "XB" Courses *(last revised 08/20/10)*

According to Academic Senate Regulation 800.A: "All members of the University Extension staff . . . shall be members of University departments in which instruction is offered, or . . . shall be endorsed by the Committee on Courses of Instruction concerned . . ."

COCI prefers that "XB" instructors (for both upper and lower division courses) be Berkeley faculty members.

However, if an appropriate faculty member is not available, instructors appointed to teach "XB" courses should hold a doctoral degree.

#### *"XB" Course Instructors not Holding Doctoral Degrees*

Persons who do not hold doctoral degrees will be approved as instructors for "XB" courses only under the following circumstances and conditions:

#### *Circumstances*

Requests for approval of an individual who does not hold a doctoral degree as instructor for an "XB" course must be justified by at least one of the following circumstances:

1. The appointment is being sought in order to fill an unexpected vacancy (e.g., the sudden illness or leave of a regular instructor); or
2. The appointment is being sought in order to present a course on a topic that is within a department's intellectual area but for which it does not have an appropriate instructor during the semester in question (in this circumstance, the department should assure the Committee that it will, in the future, seek to have the course taught by either a regular faculty member or an instructor who holds a doctoral degree); or
3. Staffing the course entirely with faculty members or instructors who hold doctoral degrees would seriously deplete a department's other course offerings; or
4. The proposed instructor possesses substantial professional and/or field

experience that will, in lieu of possessing a doctoral degree, serve the best interest of the students.

In all four circumstances, appointments approved by the Committee on Courses of Instruction will be effective for a limited time only, usually one term.

### *Conditions*

In order for an individual to be approved under one of the preceding circumstances, the proposed instructor must:

1. Hold an advanced degree (e.g., Master's or equivalent)<sup>3</sup> or be a graduate student who has been advanced to candidacy;
2. Have demonstrated ability as a teacher whose expertise is appropriate to the course, with at least two years of university- or college-level teaching experience and a verifiable proficiency in the English language as established by the Dean of Extension<sup>4</sup>; and
3. Be recommended to the Committee by both the department chair (or designate) and the Dean of Extension.

Additionally, COCI requires documentation that the course syllabus has been reviewed and approved by a Senate faculty member in the department making the request (usually the department chair).

### *Submission*

Requests for instructor approvals must be submitted to UC Berkeley Extension, which will forward the requests to COCI.

COCI must receive requests no later than two weeks prior to the first day of instruction in the term for which approval is being requested. With few exceptions, submissions received after this date will not be accepted. Failure to secure timely COCI approval for

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<sup>3</sup> In cases where proposed instructors do not hold either a doctoral or other advanced degree, exceptional professional experience and achievement may be considered sufficient if the interests of the students will be best served by the appointment of the proposed instructor. However, all instructors must still meet conditions 2 and 3.

<sup>4</sup> In transmitting a request for the approval of an "XB" Instructor, the Dean of Extension should verify and confirm that the proposed instructor possesses proficiency in English sufficient for effective teaching. The Dean of Extension may establish appropriate examination/evaluation procedures (e.g., holding a degree from a U.S. institution or passing the SPEAK exam).

an instructor could result in cancellation of the course and/or the Office of the Registrar not awarding credit to students enrolled in the course. Please note that the two-week deadline is the date by which COCI must *receive* requests. Requests should be submitted to Extension well in advance to allow time for processing and review.

All instructor approval requests must include:

1. UC Extension's cover sheet with required signatures
2. Syllabus (endorsed by a Senate faculty member from the department)
3. Instructor biography (or biography forms)
4. Three letters of reference (or reference forms) (this requirement is waived if the proposed instructor holds a current academic appointment at UC Berkeley)

COCI will not consider requests that do not contain all these materials.

### 3.1.5 Instructional Title Codes

For questions concerning instructional title codes, please contact the Academic Personnel Office at [appolicy@berkeley.edu](mailto:appolicy@berkeley.edu) or visit <http://apo.chance.berkeley.edu>.

### 3.1.6 Regulation of the Academic Senate Related to Instructors

#### 750. Persons in Charge of Courses

- A. Only regularly appointed officers of instruction holding appropriate instructional titles may have substantial responsibility for the content and conduct of courses which are approved by the Academic Senate.
- B. Professors, professors in residence, professors of clinical \_\_\_\_ (e.g., medicine) and adjunct professors of any rank, instructors, instructors in residence and adjunct instructors, and lecturers may give courses of any grade. Persons holding other instructional titles may teach lower division courses only, unless individually authorized to teach courses of higher grade by the appropriate Committee on Courses or Graduate Council. If a course is given in sections by several instructors, each instructor shall hold the required instructional title. (EC 15 Apr 74)
- C. Announcements of special study courses in which individual students work under the direction of various members of a department may state that

presentation is by the staff, but a member of the department shall be designated as the instructor in charge.

- D. Only persons approved by the appropriate administrative officer, with the concurrence of the committee on courses concerned, may assist in instruction in courses authorized by the Academic Senate.
- E. No student may serve as a reader or assistant in a course in which the student is enrolled. (Am 16 Mar 70; Am 15 Jun 77)

### **3.1.7 Regulation of the Berkeley Division Related to Instructors**

#### **A250. Assignment of Officers of Instruction**

It is the responsibility of the Chair of each Department (or equivalent), subject only to the authority of the Division, to authorize and supervise courses of instruction and curricula, to insure that only regularly appointed officers of instruction holding appropriate instructional titles may have substantial responsibility for the content and conduct of approved courses, and to insure that the use of guest lecturers and resource personnel shall proceed in accordance with this requirement.

### **3.1.8 Regulation of the Academic Senate Related to Instructors of University Extension Courses**

#### **800. University Extension: Persons in Charge of Courses**

- A. All members of the University Extension staff who offer courses that are announced as yielding credit toward an academic degree or a professional credential or certificate shall be members of University departments in which instruction is offered, or in the case of lower division, "100" series upper division, and "200" series graduate courses bearing the prefixes "X," "XB," "XSF," etc., shall be endorsed by the Committee on Courses of Instruction concerned (or other committee having jurisdiction over corresponding regular courses) acting in consultation with the departments in question, and in the case of "X300" and "X400" series graduate professional courses, must be approved (1) by the department or school or college and (2) in accordance with requirements established by the Committee on Courses of Instruction of the Division of the Academic Senate on the campus where the courses received departmental approval. [See LR 10.65: <http://senate.universityofcalifornia.edu/bylaws-regulations/appendix2.html>]

- B. All members of the University Extension teaching staff who offer courses with the prefix "XCal" shall be approved by the University-wide Committee on University Extension, acting in concurrence with the department most directly concerned.
  
- C.
  - 1. Courses in which both resident and Extension students are enrolled and in which resident students receive grade-point and degree credit are defined as concurrent courses. Concurrent courses shall be offered and supervised by appropriate University departments. Instructors in such courses shall be governed by SR 750(B). (Am 7 Mar 79)
  
  - 2. Resident students may be admitted to Extension courses only as specified in SR 812.

## 3.2 Final Examinations

### 3.2.1 Changing the Final Exam Group *(last updated 10/11/11)*

Instructors are expected to hold final exams for their courses at the regular date and time published in the Final Exam Schedule. Under exceptional circumstances, a change to the final exam group for a course may be requested. To maintain fairness and consistency across campus, COCI will only approve requests for exam group changes under exceptional circumstances and the instructor is required to explain the reason for the request. Note that accommodation of individual students or small groups of students with religious or other conflicts does not require COCI approval. If a graduate course has a final exam, COCI does not need to approve any changes to the final exam schedule, but the department should notify Classroom Scheduling at [scheduling@berkeley.edu](mailto:scheduling@berkeley.edu) (see section 2.1.3).

If an instructor feels his or her course falls within the category of exceptional circumstances and wishes to request a change of exam group for a particular semester, then a Petition for Final Exam Group Change should be submitted to COCI. The petition is available at <http://academic-senate.berkeley.edu/committees/coci/>. COCI should receive petitions at least two weeks before the beginning of instruction for the affected course. If the petition is received too late to review before instruction begins, COCI may still grant approval; however, **the instructor will be required to hold the final exam at the originally scheduled exam group time as well as at the new exam group time.** COCI will

not consider petitions received after the fifth week of instruction. In addition, the Office of the Registrar's classroom scheduling staff must confirm that space is available for the requested exam group. This should be indicated on the petition form.

### 3.3 Grades

#### 3.3.1 Procedures for Grade Appeals Based on the Alleged Use of Non-Academic Criteria *(Approved 10/26/01; last revised 04/03/09)*

##### 3.3.1.1. General Comments

Initial jurisdiction over grade grievances lies within academic departments, which make recommendations to the Committee on Course of Instruction (COCI), which determines the final resolution. COCI considers grades to be a matter of academic judgment and subject to challenge only on the basis of Berkeley Division Regulation A207.A. (Grade Appeals: Appeal Process), which states that the grounds for grievance are:

- application of non-academic criteria, such as: considerations of race, politics, religion, sex, or other criteria not directly reflective of performance related to course requirements;
- sexual harassment;
- improper academic procedures that unfairly affect a student's grade.<sup>5</sup>

COCI encourages students and departments to contact the student Ombudsperson, who can assist in mediating conflicts related to grade grievances. Should any disputes arise regarding the grade grievance process, COCI should be contacted for assistance. Please contact the Student Ombuds Office for more information at 102 Sproul Hall or 510-642-5754.

##### 3.3.1.2 Informal Resolution of Contested Grades

Students must first attempt to settle the matter informally. This should be done by discussing the issue with the instructor. Students may also contact the department chair

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<sup>5</sup> COCI interprets the meaning of "improper" academic procedures to be those which are not consistent with "proper" academic procedures. "Proper" academic procedures for evaluation require that the grading is based solely on the instructor's evaluation of how well a student's performance (project, paper, exam question, or student participation) addresses a specific requirement. This evaluation can involve elements of recall of factual information, integration of material and concepts covered (in class, readings, or assignments), and application of material and concepts to new situations. As long as the evaluation is based on the relevance of the answer (project, paper, exam question, or student participation) to the question asked (assignment given), there is no basis for considering any such evaluations improper. Inherent in this interpretation is that equivalent answers or work get equivalent grades.



and Ombudsperson, or another mutually acceptable third party who is uninvolved in the grade grievance process and can attempt to mediate the dispute informally.

If the grade grievance is resolved between a student and instructor, and results in a grade change, the department chair (or equivalent) shall expeditiously transmit the case in writing to COCI. The department chair must provide a brief description of the circumstances involved in the case, and state and explain any assent or objection to the proposed grade change. COCI will treat proposals transmitted without explicit assent or objection as being uncontested by the department chair. In addition, COCI requires a written statement from the student consenting to the proposed change (e-mail is acceptable).

If COCI approves the proposed change, it will then instruct the Office of the Registrar to make the change in the student's record. Once COCI has acted upon a proposed grade change, the Committee's decision shall be communicated in writing to the student, instructor, and department chair.

If, and only if, these informal procedures have failed to settle the matter, and the one-year time limit (outlined below) has not expired, the student may initiate the following grievance process.

### **3.3.1.3 Formal Grievance Process**

#### *A. Ad Hoc Grievance Committee*

Each department (or other instructional unit) shall, through its normal procedures for appointing departmental officers, annually establish a standing grievance committee chair who is not the chair of the department. For each case, the grievance committee chair will appoint an ad hoc grievance committee composed of three faculty members<sup>6</sup> including the grievance committee chair, one other faculty member from the same unit,<sup>7</sup> one faculty member from a different unit; and two students in good standing who will be appointed by the student association(s) of the unit(s).<sup>8</sup> The original instructor cannot be a member of this committee; if the original instructor is the standing grievance

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<sup>6</sup> A faculty member is considered to be a member of the Berkeley Division of the Academic Senate.

<sup>7</sup> Drawing from Berkeley Division Regulation A207.B (Grade Appeals: Appeal of Grades in Courses and Examinations), a unit is defined as "a department or other instructional unit, or group of units teaching similar disciplines."

<sup>8</sup> Per Berkeley Division Regulation A207.B. (Grade Appeals: Appeal of Grades in Courses and Examinations), "When no such association exists, students shall be appointed by the ASUC or the Graduate Assembly. (Student members must have passed courses or an examination in the unit(s) at least at the level of the disputed course or examination, and have been in residence for at least one year.)"

committee chair, the department chair will appoint another faculty member to chair the ad hoc grievance committee. The grievance committee chair is a regular voting member of this committee.

In cases where multiple grievances are presented (e.g., more than one student grieving grades from the same course, or one student grieving grades from more than one course), a single ad hoc grievance committee may review the cases with the student's (or students') written consent (e-mail is acceptable). Otherwise, each grievance must be reviewed by a separate ad hoc grievance committee.

### *B. Process*

The student must initiate the formal grievance process within one calendar year of the last day of the semester in which the final grade for the course was posted.<sup>9</sup><sup>10</sup> The formal process is initiated when the student submits the case in writing to the department chair. The case must specify the grounds on which the grade is being challenged. **Only grounds consistent with those listed in Berkeley Division Regulation (BDR) A207 (see Section 3.3.1.1 of this document) can be considered relevant for purposes of challenging a grade.** If relevant grounds are not specified, the formal grade grievance process cannot proceed. As stipulated by Regulation A207, the formal grievance process at the departmental level must be completed within twenty (20) working days of receipt of the student's formal grievance (if both parties are in residence and the University is in regular session,<sup>11</sup> excluding summer session).<sup>12</sup> The case must include the following:

- a description of the basis for the grievance, including the grounds for grievance under BDR A207, and, if it exists, the original work in question;
- a written response from the instructor;
- a written rebuttal by both the student and instructor to the other's position; if no rebuttal is presented, there must be documentation, either from the student and instructor or the ad hoc grievance committee, that ample opportunity for submitting one was provided.

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<sup>9</sup> Final grades are all grades defined in Berkeley Division Regulation A201 except I (incomplete), IP (in progress), and grades not submitted by the instructor on the end-of-term course report.

<sup>10</sup> If the student and instructor agree to a resolution at any time during the formal grievance process, then that process is terminated. The student's consent must be stated in writing (e-mail is acceptable).

<sup>11</sup> The regular session is considered to begin the first day of instruction and end on the last day of examinations.

<sup>12</sup> If one or both parties are not in residence at the University, then the chair of COCI, or his/her designated representative, may extend the time limit specified in this procedure by twenty working days so that the grievance procedure can be conducted by mail or some other equivalent means. The COCI chair, or his/her designated representative, may also grant an extension of no more than twenty working days for exceptional circumstances.

The ad hoc grievance committee will meet to discuss all these materials. The student and instructor may present additional information in writing to the ad hoc grievance committee prior to the meeting or, at the option of the ad hoc grievance committee chair, in person to the ad hoc grievance committee, but neither party may be present while the other is appearing before the committee or while the committee is deliberating.

Upon the conclusion of its deliberations, the grievance committee chair will report its decision in writing, signed by the committee chair, along with any minority views, to the department chair, the student, and the instructor. The department chair will forward all relevant documents and notify COCI in writing of the recommendation within two weeks of receiving the report from the ad hoc grievance committee.

#### *C. Ad Hoc Grievance Committee Remedies*

The ad hoc grievance committee's recommendations may include a change of letter grade or grading option (i.e., P/NP, S/U). Four of the committee's five members must consent to the letter grade that is recommended (including the change of grade of D+ and below to a grade of P or the change of a grade of C+ or below to a grade of S).

#### *D. COCI Review*

COCI requires the following items for its review of the appeal:

- A written report from the ad hoc grievance committee presenting its recommendation and the rationale behind the recommendation; any minority view(s) must also be given in writing as part of the report. All members of the ad hoc grievance committee must be identified, and the report must be signed by the committee chair.
- The materials outlined in section B, "Process," which the grievance committee chair presents to the ad hoc grievance committee at its first meeting.
- Any additional documentation which the student and instructor judge supportive of their case (e.g., exams, statements by other students, GSIs, chair, etc.).

#### *E. COCI Remedies*

In accordance with Regulation A207, if COCI finds for the student, it may:

- change a failing grade to a P or S;
- drop a course retroactively;
- retain the course but eliminate the grade from the student's GPA;
- adopt the letter grade, if any, that was recommended by four of the five members of the unit's ad hoc grievance committee.

COCI will conclude its review and notify the concerned parties in writing of its decision in accordance with Regulation A207 within forty (40) working days of receipt of the grade grievance case from the department (if the University is in regular session, excluding summer session).

### 3.3.2 Changing Grades

Senate Regulation 780 states "All grades except Incomplete are final when filed by the instructor of record in an end-of-term course report. However, the correction of a clerical or procedural error may be authorized as the Division directs. No change of grade may be made on the basis of reassessment of the quality of a student's work. No term grade except Incomplete may be revised by re-examination." Examples of a clerical or procedural error are numerical miscalculations, misreading, etc. In most cases, the distinction between an error and a "reassessment of quality" is straightforward. Occasional cases falling in a gray area have created misunderstandings. Clearly, any review of a student's work is a reassessment. It is not reassessment per se that is prohibited, but rather reassessment of *quality*. This does not prohibit, for example, reassessment that discovers an unread page of an examination or even a mis-graded question of fact. It does prohibit a reassessment by altered or adjusted standards not reaching every student. The rationale for this regulation is to protect the instructor and other students in a course from arguments over the academic standards of evaluation. Such standards are the sole responsibility of the instructor in charge of the course.

It is the responsibility of the Office of the Registrar to monitor compliance with SR 780. The Committee on Courses of Instruction advises the Office of the Registrar on policy and reviews particular cases where general policy fails. Requests for changes in grades must be accompanied by specific statements of the reasons for the change. In no other way can the Office of the Registrar and COCI monitor grade changes for compliance with SR 780 and for consistency among different instructors.

### 3.3.3 Incomplete (I) Grades

An instructor may assign a grade of Incomplete if the student's work in a course has been of passing quality but is incomplete due to circumstances beyond the student's control.

#### *Replacement of I Grades by Undergraduate Students*

1. Deadline for replacement of I grades by undergraduate students:

*Fall Semester:* deadline is the first day of instruction in the following fall semester.  
*Spring Semester and Summer Session:* deadline is the first day of instruction in the following spring semester.

2. To record a final grade for a course in which an I grade was originally assigned, the student must complete the required work and file a Petition for Grade and Grade Points in an Incomplete Course with the Office of the Registrar (120 Sproul Hall) by the appropriate deadline.

3. Students should *not* formally enroll in the course to complete the remaining work. If a student formally repeats the course, the original I grade will convert automatically to a grade of F (or NP, if the course was taken on a P/NP basis), and the student may repeat the course subject to the conditions for repetition of courses.

4. Students should make arrangements with the instructor (or the department chair if the instructor is unavailable) for the completion of the required course work at least 30 days prior to the deadline for replacement of the I grade. To avoid problems in revising I grades, however, it is wise to complete the required work and file the petition as soon as possible.

5. Students may choose to retain (“freeze”) an I grade permanently on their record by the same deadlines mentioned above. Once an I grade is so retained, the student may not enroll in the course again at UC Berkeley and may not unfreeze the I grade. Students may freeze a maximum of two I grades (whatever the unit value of the course). To freeze an I grade students must submit a “Petition to Retain an Incomplete Grade Permanently on the Record” to their college or school office by the appropriate deadline.

6. If a student does not complete or freeze an I grade by the appropriate deadline, the Office of the Registrar will convert the I grade to an F or NP. From that point on, the grade, if F, is counted in computing the student’s grade point average in the same manner as any other assigned F. Once an I grade has converted to an F or NP, the student may repeat the course subject to the conditions for repetition of courses.

7. If a student graduates before the deadline for replacement of an I grade, it will never be replaced by an F or NP. The student has the option, however, of revising the I grade by the deadline.

### **3.3.4 In Progress (IP) Grading in Sequence Courses**

COCI requires instructors to submit *one* grade for all of a student's work at the end of an In Progress sequence; if an instructor has a reason for a different grade at the end of each semester, the course should not be given on an In Progress basis.

If a student must drop out before completion of the full sequence, because of extenuating circumstances, the instructor may submit a grade for the term(s) completed to the Office of the Registrar. Chairs of departments offering sequence courses or participating in Interdepartmental Studies sequence courses should inform instructors that the course work should be so organized and performance records maintained in such a way that a letter grade can be reported if the student does not complete the sequence.

In order that In Progress grading may be used in a sequence, the following must appear in the written description of the course: "Credit and grade to be awarded upon completion of the full sequence." A student who does not complete the course sequence on schedule normally will be assigned the letter grade I for each term. However, upon approval of the dean of the student's college or school or Graduate Division, the entire course may be dropped retroactively without academic penalty.

A student may not repeat any portion of a sequence course in which he or she has already received the grade In Progress except when the In Progress grade has been changed to a letter grade (for example, Incomplete) or a retroactive drop of the portion has been allowed.

### **3.3.5 Duplication of Credit by an Independent Study Course**

Occasionally students ask COCI to approve an independent study course (99 or 199) as equivalent to a regular course offering in which the student has earned a grade of D or F. The student's intent is to replace the unsatisfactory grade with the grade earned in the 99 or 199 course.

The Committee grants such requests only in unusual circumstances. It is COCI's view that, in some important respects, 99 or 199 *cannot* replace or repeat a regular course offering; also, while students should be encouraged to repeat courses in which their work has been below standard, a department is not obligated to create special opportunities for students to do this.

As a practical matter, the Committee will approve requests for duplication of credit via an independent study course only when a department provides (before the add deadline) a written statement, in support of a student's own written request, showing a)

that the student did not neglect earlier or current opportunities to repeat the course, and b) that the student has a real need to repeat the course (e.g., has received a grade of F in a major requirement and plans imminent graduation).

The Committee will not approve a duplication of this kind solely to raise a student's GPA.

### 3.3.6 Regulations of the Academic Senate Related to Grades

780.B All grades except Incomplete are final when filed by an instructor in the end of term course report. However, the correction of a clerical or procedural error may be authorized as the Division directs. No change of grade may be made on the basis of reassessment of the quality of a student's work. No term grade except Incomplete may be revised by re-examination.

### 3.3.7 Regulations of the Berkeley Division of the Academic Senate Related to Grades

A201. Grades

#### A. Grading

Under limitations specified in Regulations A202, A203, A204, and A205, work of students on the Berkeley Campus is reported in terms of the following grades:

<b>A</b> (excellent)	<b>P</b> (passed at minimum level of C-)*
<b>B</b> (good)	<b>NP</b> (not passed)*
<b>C</b> (fair)	<b>S</b> (satisfactory or passed at minimum level of B-)
<b>D</b> (barely passed)	<b>U</b> (unsatisfactory)
<b>F</b> (failure)	<b>I</b> (work incomplete, due to circumstances beyond the student's control, but of passing quality)
	<b>IP</b> (work in progress; final grade to be assigned upon completion of entire course sequence).

Grades A, B, C, and D may be modified by Plus (+) or Minus (-) suffixes.

#### Credit toward Degree Requirements

##### Undergraduates

- A course in which the grade A, B, C, D, or P is received is counted toward degree requirements.
- A course in which the grade F or NP is received is not counted toward degree requirements.
- Grades of I or IP are not counted until such time as they are replaced by grades A, B, C, D, or P. (Rev. 3.83)

##### Graduates

- A course in which the grade A, B, C or S is received is counted toward degree

requirements.

- A course in which the grade D, F, or U is received is not counted toward degree requirements.
- Grades of I or IP are not counted until such time as they are replaced by grades A, B, C, or S. (En. 3.83)

#### B. Grade Points

- Grade points per unit are assigned by the Registrar as follows: A = 4, B = 3, C = 2, D = 1, and F = 0; these are used in determining a student's grade-point average.
- When attached to the grades A, B, C, or D, plus (+) grades carry three-tenths of a grade point more per unit, and minus (-) grades, three-tenths of a grade point less per unit than unsuffixed grades, with the following exception:
- The grade A+ carries 4 grade points per unit, the same as for an unsuffixed A; the grade A itself recognizes outstanding performance, but when A+ is reported, it represents extraordinary achievement.
- The grades P, S, NP, U, I, and IP carry no grade points and the units in courses so graded are excluded in determination of the grade-point average.

#### C. Grade Changes

- All grades except I and IP are considered final when submitted by an instructor on the end-of-term course report.
- No grade may be changed, therefore, except within the time limits and under the conditions specified in Regulation A207.
- No final term grade, except I, may be revised as a result of re-examination or submission of additional work after the close of the term, subject to the provisions of Regulation A202.

#### D. Course Repetitions

Repetition of courses not authorized by the Committee on Courses of Instruction to be taken more than once for credit is subject to the following conditions:

1. A student may repeat only those courses in which a grade of D+, D, D-, F, NP, or U was received, except as provided in SR 636, and an I may be repeated subject to Regulation A202 (Rev.3.83).
  - Courses in which a grade of D+, D, D-, or F has been received, and courses undertaken for a letter grade in which a grade of I has been received, may not be repeated on a P/NP or S/U basis.
2. Repetition of a course more than once requires in all instances approval of the dean of the college, school, or division in which the student is enrolled at the time the course is repeated. Without this approval, a course repeated more than once will not be included in the grade-point average, but a passing grade in the



repeated course will be accepted in satisfaction of unit requirements for the degree, subject to section D.3 below.

3. Degree credit for a course will be given only once, but the grade assigned at each enrollment is permanently recorded except under the provisions of Regulation A202.
4. In computing the grade-point average of a student who repeats courses in which a grade of D+, D, D-, or F was received, the units are counted only once and only the most recently earned grades and grade points are used for the first twelve units repeated. (Rev. 3.83)
  - Second repetitions, which are approved by the dean of a student's college or school, thus putting the courses into the grade-point average, are to be included in the 12-unit limitations. (Rev. 3.83)
  - In case of repetitions beyond the 12 units, the grade-point average is based on all grades assigned and total units attempted. (Rev. 3.83)
  - If, however, a grade of I is awarded upon repetition of a course, the grade D+, D, D-, or F will continue to be computed in the grade-point average until the I grade is replaced.

#### E. Unit Conversion

Unit credit earned by students on any campus of the University of California while that campus is on a quarter calendar will be equivalent to credit earned on the Berkeley campus as follows: each quarter unit is equivalent to two-thirds of a semester unit.

#### A202. Replacement of I Grades

##### A. Procedures

##### 1. Graduate Students

For graduate students, the method of replacement of the grade I by a final grade will be determined by the Dean of the Graduate Division and the Graduate Council.

##### 2. Undergraduate Students

- a. On completion of the required work or a deferred examination or both, as specified by the instructor or an authorized delegate, grade points will be assigned if the student receives a grade of A, B, C, or D as certified by the instructor. These grades may be modified by plus (+) or minus (-) in accordance with Regulation A201.B.
- b. On repetition of the course, grade points will be granted only with the approval of the Dean of the student's College, School, or Division. If the course is repeated without approval by the Dean, the I grade will be converted to a Grade of F and the repeated course will be treated as per

Regulation A201.D.

B. Deadline for Replacing I Grades

- Except as noted below in sections B.1 and B.2, grades received by undergraduates may be replaced only during the following periods:

<i>Session in which the I Grade is received</i>	<i>Deadline for replacement of the I Grade</i>
Fall Semester	First day of instruction in following Fall Semester
Spring Semester or Summer Session	First day of instruction in following Spring Semester

- Any I grade which has not been replaced by the deadline will be converted by the Office of the Registrar to the grade F (or NP if the course was taken Passed or Not Passed). Thenceforward, but not retroactively, the grade, if F, is counted in computing the student's grade-point average in the same manner as any other assigned F.
  - The Dean of the student's College, School, or Division will have discretionary authority to extend these deadlines. (Rev. 3.83)
1. An undergraduate student may, within the above deadlines, notify in writing the Dean of the College, School, or Division in which the student is enrolled at that time, that he or she has not attempted completion and will not complete the work required for removal of the I grade, and request that the I grade not be replaced by an F or NP. The Dean will forward such notification to the Office of the Registrar and that Office will not replace the grade I by an F or NP. This notification procedure is limited to no more than two courses and the decision is irrevocable. (Rev. 3.83)
  2. If a degree is conferred before the end of the above deadlines following the assignment of an I grade, the grade will not be converted to an F or NP. However, the student still has the option to remove the I grade within the above deadlines. (Rev. 3.83)

C. I Grade Criteria

Any instructor awarding an I grade must, at the same time, formally specify the:

- reason for awarding the I grade;
- nature of the work to be completed (term paper, hour exam, or other);
- percentage of the grade to be based thereon; and
- grade earned up to that point.

Specification will be made in the form of a written statement to the department chair and as a comment on the course report form submitted to the Registrar at the end of

each term.

#### D. I Grade Limits

##### *Graduate Students*

A graduate student with an I grade on his or her graduate record at Berkeley may proceed toward a degree only at the discretion of the Dean of the Graduate Division.

##### *Undergraduate Students*

Any undergraduate student with 12 or more units of I on his or her record may not register unless permission to do so is granted by the Dean of the College, School, or Division in which the student is enrolled.

#### A203. In Progress Grades (IP)

- For a course extending for more than one term, where evaluation of the student's performance is deferred until the end of the final term, provisional grades of IP (In Progress) are assigned in the intervening terms.
- Provisional grades are replaced by the final grade if the student completes the full sequence. In the event that the full sequence is not completed as scheduled, the Registrar shall replace the grade IP by the grade I when the instructor has no basis for assigning a grade for the term(s) completed. Further changes in the student's record will be subject to the conditions of Regulation A202.

#### A204. Passed/Not Passed, Satisfactory/Unsatisfactory Grades

Subject to the following limitations and to any additional regulations which may be adopted by the Faculties of the various Schools and Colleges and the Graduate Council:

- Undergraduates in good academic standing may elect to undertake letter-graded courses on a Passed or Not Passed basis; and
  - Graduate students in good academic standing may elect to undertake letter-graded courses on a Satisfactory or Unsatisfactory basis.
- A. Students enrolled in degree programs may receive credit for courses graded Passed or Satisfactory to a limit of one-third of the total units undertaken and passed on the Berkeley Campus at the time the degree is awarded.
- Units completed in an Education Abroad Program, on another University of California campus by an undergraduate in an intercampus visitor program, or by a graduate in an intercampus exchange or joint doctoral program are considered Berkeley work for the purpose of this Regulation.
  - For graduate degree programs, grades of Satisfactory assigned in courses numbered 299 and courses in 300, 400, or 600 series are excluded in the computation.
- B. Courses which are required in, or are prerequisite to, the student's major may be taken Passed or Not Passed or Satisfactory or Unsatisfactory only upon approval of the Faculty of the student's School or College,

- Courses which are required in a graduate student's major subject are determined by the student's adviser.
- C. Special or limited-status students may take courses on a Passed or Not Passed basis at the discretion of the Dean of the School or College in which they are enrolled.
- D. Further exception to this Regulation may be made only with the approval of the Committee on Courses of Instruction of the Berkeley Division and, where graduate students are concerned, the Graduate Council.

#### A205. Course Graded Passed/Not Passed or Satisfactory/Unsatisfactory

Departments may offer, subject to limitations in sections A and B below:

- Undergraduate courses which are to be added exclusively Passed or Not Passed;
  - And with approval of the Graduate Council, graduate courses which are to be graded exclusively Satisfactory or Unsatisfactory and courses in the 300 and 400 series in either manner.
- A. An instructor may be in charge of no more than one such undergraduate course in any term, exclusive of individual study or research courses, except with the consent of the Dean of the School or College in which the course is offered.
- B. Students enrolling in such courses are subject to limitations specified in Regulation A204.

#### A207. Grade Appeals

##### A. Appeal Process (Am. 4.22.10)

- This Regulation covers grievances by students originating in units of instruction and concerning grades.
- Grounds for grievance are application of non-academic criteria, such as considerations of race, politics, religion, sex, or other criteria not directly reflective of performance related to course requirements; sexual harassment; or improper academic procedures that unfairly affect a student's grade.
- The student must first attempt to resolve a grade grievance with the instructor in charge. If such an attempt is unsuccessful or if the student prefers, the student shall seek assistance from the student Ombudsperson (or a mutually accepted third party) and the department chair. If a grievance is resolved between a student and an instructor and the resolution requires a grade change, the Chair of the Department (or equivalent unit) in which the course was taught shall refer the case expeditiously to the Committee on Courses of Instruction. After reviewing the case, the Committee on Courses of Instruction may instruct the Office of the Registrar to make the required change in the student's record.
- The following formal procedure may not be activated unless the student, instructor in charge, Ombudsperson (or any mutually accepted third party), and

Department Chair have failed to resolve the dispute informally, and it has been less than one calendar year since the last day of the semester in which the final grade for the course is posted<sup>13</sup>. Neither formal nor informal grade grievance processes may be initiated after the one-year deadline has passed. (EC.00)

- The formal procedure is to be completed as expeditiously as possible:
  - at the unit level within twenty (20) working days;
  - at the Senate level within forty (40) working days;if both parties are in residence and the University is in regular session (excludes Summer Session). (EC. 4.86)

#### B. Appeal of Grades in Courses and Examinations

- Each department or other instructional unit, or groups of units teaching similar disciplines shall establish a standing Grievance Committee Chair.
- For each case this Chair will appoint an ad hoc Grievance Committee composed of three faculty members only two of whom can be from the same unit; and two students in good standing appointed by the student association(s) of the unit(s). When no such association exists, students shall be appointed by the ASUC or the Graduate Assembly. (Student members must have passed courses or an examination in the unit(s) at least at the level of the disputed course or examination, and have been in residence for at least one year.)
- A student dissatisfied with the outcome of the informal discussion and petitioning for a change of grade may submit the case, in writing, to the Grievance Committee, which will obtain a written response from the instructor and will provide the parties the opportunity to present additional information orally or in writing.
- The Grievance Committee's recommendation to the Committee on Courses of Instruction, including minority view, if any, must be given in writing.
- If the Committee on Courses of Instruction finds for the student, it may:
  - change a failing grade to a P or S;
  - drop a course retroactively;
  - retain the course but eliminate the grade from GPA;
  - adopt the letter grade, if any, that was recommended by four of the five members of the unit's Grievance Committee.

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<sup>13</sup> Final grades are all grades defined in Berkeley Regulation A201 except I (incomplete), IP (in progress), and grades not submitted by the instructor on the end-of-term course report.

### 3.4 American Cultures Breadth Requirement

#### 3.4.1 American Cultures Variance Requests *(last revised 08/20/10)*

All undergraduate students admitted at lower-division status as of fall 1991 (or fall 1993 for upper division) must fulfill the American Cultures Breadth Requirement in order to graduate.

Requests to waive the American Cultures (AC) Breadth Requirement must be submitted to COCI for review and approval. Requests for a waiver of the AC Requirement will be approved only under extremely unusual circumstances, such as family or medical emergencies.

##### *Waiver Request Procedure:*

1. Students should contact the appropriate adviser or dean and seek assistance in requesting a waiver. The adviser or dean can then submit a request to COCI including a cover letter and a copy of the student's unofficial transcript. Requests should be submitted to COCI as early as possible, and students should always be prepared, in the event that COCI denies the request, to fulfill the AC requirement by passing an approved AC course.

2. Requests should clearly outline (1) why the student has failed to fulfill the AC requirement, (2) why the student feels he or she cannot reasonably fulfill the requirement in order to graduate, and (3) any applicable documentation that support the facts of the request (e.g., e-mails).

3. The adviser or dean will be notified in writing of the Committee's decision.

- a. If COCI approves the waiver, the Office of the Registrar will be instructed to update the student's transcript.

- b. If COCI denies the request, the Committee will cite its reasons in the notification letter, and the student must pass an approved AC course.

4. COCI's decisions are final.

##### *Substitution Request Procedure:*

Requests to substitute an unapproved course to meet the American Cultures Breadth Requirement must be submitted first to the Subcommittee on the Breadth Requirement in American Cultures (AMCULT).

In order for any course to be substituted, the student must have passed the course with a C- or better, the course must have been worth at least 3 semester (or 4 quarter) units, and the course itself must be reviewed and approved by AMCULT.

AMCULT reviews course materials to ascertain whether or not the petitioned course has met the AC criteria outlined in Berkeley Division Regulation 300. Guidelines detailing what AMCULT requires for AC approval of a course can be found on the Academic Senate website (<http://academic-senate.berkeley.edu/committees/amcult>) as well as the website of the American Cultures Center (<http://americancultures.berkeley.edu>).

1. Requests to substitute a course to fulfill the AC requirement have three parts:
  - a. A completed substitution request form (available on the Academic Senate and AC Center websites);
  - b. A copy of the full course syllabus for the term in which the student took the course; and
  - c. A letter from the student clearly explaining how the course fulfills the AC requirement with respect to Regulation 300 and AMCULT's guidelines.
2. Completed substitution forms, along with the required supporting materials, should be submitted to AMCULT directly (320 Stephens Hall # 5842).
3. AMCULT reviews all course substitution petitions before COCI.
  - a. If AMCULT approves the course, the request will be automatically forwarded to COCI for final review.
  - b. If AMCULT denies approval to the course, the student will be notified of the Subcommittee's decision in writing and he or she must fulfill the AC requirement by passing an approved AC course.
4. COCI will review substitution requests forwarded by AMCULT, and the student will be notified of the Committee's decision in writing.
  - a. If COCI approves the substitution, the Office of the Registrar will be instructed to update the student's transcript to reflect the AC requirement as fulfilled.
  - b. If COCI denies the substitution, the Committee will cite its reasons in the notification letter, and the student must pass an approved AC course.

Recognizing the likelihood of more than one student petitioning to substitute the same course to fulfill the AC requirement, COCI has adopted the following as a general practice. If a course has been successfully petitioned as a substitution for the AC requirement, any student who petitions for the substitution of that course in the future

shall receive automatic approval for the substitution. The course must be the exact same course, taught by the same instructor, during the same academic term (i.e., the petitioning students must have been in the same classroom at the same time learning from the same instructor). Such petitions do not require review by the American Cultures Subcommittee.

Before submitting an American Cultures variance request to COCI or AMCULT, it is strongly advised that students consult with their academic advisers.

### **3.4.2 Regulations of the Berkeley Division of the Academic Senate Related to the American Cultures Breadth Requirement**

300. American Cultures Breadth Requirement<sup>14</sup> (En. 4.89, eff. F 1991; Am. 4.4.94, 11.3.10)

- A. Satisfaction of the American Cultures Breadth Requirement is a prerequisite for every Bachelor's Degree awarded to students who begin their studies at Berkeley in lower-division standing in Fall 1991 or thereafter, or upper-division standing in Fall 1993 or thereafter.
- B. The American Cultures Breadth Requirement is satisfied by passing, with a grade not lower than C- or P, a course expressly approved for that purpose by the appropriate committee of the Berkeley Division.
- C. The courses that satisfy this requirement must be integrative and comparative and address theoretical and analytical issues relevant to understanding race, culture, and ethnicity in American history and society. Each course will take substantial account of groups drawn from at least three of the following: African Americans, indigenous peoples of the United States, Asian Americans, Chicano/Latinos, and European Americans.
- D. The courses satisfying this requirement are not precluded from satisfying other requirements.

## **3.5 Degrees**

### **3.5.1 Graduation Under Suspension of the Regulations**

Systemwide By-law 312A.3 states "Each Division shall recommend, in its discretion, candidates [for the degree list] under suspension of the regulations, provided that such candidates have been approved by the appropriate Faculty or Graduate Council."

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<sup>14</sup> See Berkeley Division Bylaw 33 regarding the membership of the Subcommittee on the American Cultures Breadth Requirement.



With respect to recommending candidates for degrees under suspension of the regulations, COCI (which recommends candidates on behalf of the Division) permits the deans (who represent the approving Faculty) to bring cases to the Committee before the student in question is placed on the degree list. This allows the deans to preemptively justify allowing the student(s) to graduate under suspension of the regulations and to inform the student whether he or she will be on the degree list.

In some cases the dean does not have an opinion and seeks the views of the Committee. However, in a large majority of cases the dean recommends suspension of the regulations.

If the Committee acts favorably on a request for graduation under suspension of the regulations, it will notify the dean that if the student is placed on the degree list with the rest of the candidates, COCI will recommend that student for graduation under Academic Senate By-law 312.A.3.

### **3.5.2 Senior Residence Requirement**

#### *Purpose*

The purpose of the Senior Residence requirement is to provide reasonable assurance that a student who secures a Bachelor's degree from Berkeley has spent enough time and completed enough work at Berkeley for the degree to be associated with the Berkeley campus.

#### *Policies*

First, it is the policy of COCI that in order to grant variances to the Senior Residence requirement it must be shown that the spirit of the requirement has been met. For example: A student who completes all upper division major and college requirements through UC Berkeley would likely be considered as having met the spirit of the Senior Residence requirement.

#### *Guidelines for Variances*

Students who have completed all required coursework but do not meet the Senior Residence requirement should contact the appropriate adviser or dean and seek assistance in requesting a waiver. The adviser or dean can then submit a request to COCI and include a copy of the student's unofficial transcript and a cover letter outlining the circumstances surrounding the student's request.

COCI considers the following circumstances when evaluating requests for variances to the Senior Residence requirement for cases not fitting the above policy statements:

1. The degree to which the student's program of study meets the spirit of the Senior Residence requirement.
2. Whether the deficiency is due to factors that, to a large part, are beyond the student's control. Such factors could include issues of health, family emergencies, financial hardship, and misadvising.
3. The size of the deviation.
  - a. Less than five units: If the variance request is submitted by the dean or director of the student's college or program, and is well documented (including an unofficial transcript, specific and valid reasons why the request is being made, etc.), COCI will approve the request in almost all cases. Of course, each Senior Residence Waiver request is unique, but there is an excellent chance that COCI will approve a properly documented sub-five-unit waiver request.
  - b. Between five and ten units: Must be thoroughly documented and supported. The circumstances prohibiting the student from completing the units in residence must be shown to be outside of the student's control, and the units must be taken at an acceptable institution, preferably one comparable in academic rigor to those within the University of California system. Successful Senior Residence Waiver requests that fall under this category are typically made on behalf of students who participate in a study abroad program that is not affiliated with the UC Education Abroad Program, as well as those who are unable to fulfill the requirement due to unforeseen and unavoidable personal, financial, health, or family-related issues.
  - c. Above ten units: Rarely approved outright. In order to receive COCI's approval, a case would have to be extremely compelling and well documented.

### *Submitting a Variance Before Coursework is Completed*

While COCI prefers that Senior Residence Waiver requests be submitted *after* the student in question has completed his or her coursework, a request may be submitted in advance if a student expects to be unable to meet the Senior Residence requirement due to pressing personal or academic reasons, and is particularly concerned regarding the likelihood of receiving approval for a variance. In such a case, the following procedure should be followed:

1. The student must first consult with an academic adviser regarding the circumstances surrounding the expected need for a Senior Residence Waiver.
2. The student and adviser must develop a specific course of action (“academic plan”) that will result in the student completing all required coursework at an acceptable institution, preferably one comparable in academic rigor to those within the UC system. For instance, “[Student] will attend [College/University] and satisfactorily complete [X] units.”
3. The adviser must prepare a Senior Residence Waiver request that includes the student’s unofficial transcript, a cover letter describing the student’s circumstances, and the academic plan that has been developed by the adviser and student.
4. COCI will review the request and may approve the student’s academic plan, indicating that if/when the student completes this plan the Committee intends to approve a Senior Residence Waiver for this student. It must be understood, however, that approval of the student’s plan is not official approval of a waiver of the Senior Residence requirement.
5. After the student has completed the coursework outlined in the academic plan, and the necessary processes have been completed to ensure that all transfer units and grades have been posted to the student’s transcript, the student must contact the appropriate academic adviser (and/or dean’s office) and ask that an official Senior Residence Waiver request be submitted on his or her behalf.

Students should always be sure to remind their advisers that their academic plans were pre-approved by COCI and that this is a follow-up to that request. Deans/advisers must similarly note in their Senior Residence Waiver requests to COCI that the request is a follow-up to a case in which the academic plan was already approved.

6. COCI will then review the final status of the student’s transcripts, confirm that the academic plan was fulfilled, and grant the Senior Residence Waiver. Upon approval, COCI will notify the Office of the Registrar that the student should be cleared for graduation.

### **3.5.3 Unit Requirement Waivers for Undergraduates**

The Committee on Courses of Instruction, at its meeting on March 18, 1988, resolved to delegate authority to the deans to approve waivers of up to 0.50 of the required 120 graduation unit requirement, for unit shortages caused by any conversion of quarter units to semester units. (This authority had until then been restricted to shortages of

0.50 semester units at UCB as a direct result of the 1984 semester conversion.) The new policy expands the dean's authority to accommodate transfer students.

### 3.5.4 Rescission of Degrees

Occasionally, cases arise in which it is necessary to rescind a student's degree to correct an administrative error. The two most common cases are:

- A. A degree was issued with an error (e.g., wrong major, omitted double major, omitted minor, etc.) and must be rescinded in order for a new and correct degree to be awarded.
- B. A degree was issued in error (i.e., the student had not fulfilled all graduation requirements), and the degree must be rescinded.

Because the dean is the recommending officer when granting degrees, the dean is also the appropriate officer when rescinding degrees. Thus, in all cases, requests to rescind degrees must come from the office of the dean of the college or school.

If a case were to arise regarding matters of student conduct, the appropriate office of student conduct or judicial affairs may submit the rescission request directly to COCI, but the appropriate dean(s) must have been given notice and a reasonable opportunity to comment before the request is sent to COCI.

In the case of rescinding a degree so that it may be replaced with a corrected degree, the following information must be provided to COCI:

- What was the nature of the error that resulted in the degree being incorrectly granted? (i.e., What happened and why does the degree need to be rescinded/replaced?)
- Has the student been informed of the requested rescission/replacement?
- Does the student currently have a diploma that reflects the error? If so, has the college or department arranged to collect the erroneous diploma?
- When will the student be placed on a new degree list?
- What will the student's new degree reflect? (i.e., graduation date, major, minor, etc.)

In the case of rescinding a degree because it was awarded in error, the following information must be provided in order for COCI to review the request:

- What was the nature of the error that resulted in the degree being granted? (i.e., Why was the student placed on the degree list? or What has changed that justifies the rescission?)
- Has the student been informed of the requested rescission?
- Has the student been provided with advising needed to reconcile the situation and successfully earn a degree?
- Does the student currently have a diploma? If so, has the college or department arranged to collect the diploma?

### 3.5.5 Posthumous Academic Awards *(Last revised 08/18/17)*

#### *General*

Upon recommendation from the appropriate academic unit, awards are to be made in each case for which the conditions are satisfied. The conditions depend only on grades, units of semester credit, and progress toward completing requirements for a degree.

#### *Undergraduate Degree*

- A. Bachelor's Degree - Unfulfilled requirements shall be waived, and a posthumous Bachelor's degree awarded, if at the time of death:
  1. The student was regularly enrolled and had attained a cumulative grade point average (GPA) of 2.00 or higher; and
  2. The student was within fifteen (15) semester units of completing all requirements for the degree, and/or was in the final semester leading to completion.
  
- B. Posthumous Certificate - If at the time of death the conditions for award of a posthumous Bachelor's degree are not satisfied, a certificate indicating progress toward the degree shall be awarded if:
  1. The student had completed at least one semester of instruction on this campus, was regularly enrolled for the current (or coming) semester on this campus, and had attained a cumulative grade point average of 2.00 or higher; and
  2. The student had consistently maintained full-time enrollment status (according to his or her college's standards) during his or her time on campus.

### *Graduate Degree*

- A. Master's Degree - Unfulfilled requirements shall be waived, and a posthumous Master's degree awarded, if at the time of death:
  - 1. The student was regularly enrolled and had attained a cumulative GPA of 3.00 or higher; and
  - 2. The student was within twelve (12) semester units of completing all requirements for the degree, and/or was in the final semester leading to completion.
  
- B. Juris Doctor (JD) – Unfulfilled requirements shall be waived, and a posthumous juris doctor awarded, if at the time of death:
  - 1. The student was regularly enrolled and was in good academic standing; and
  - 2. The student was advanced to their final year leading to completion.
  
- C. Doctor of Philosophy (Ph.D.) - Unfulfilled requirements shall be waived, and a posthumous Ph.D. degree awarded, if at the time of death:
  - 1. The student was advanced to candidacy;
  - 2. The student's dissertation was near completion.
  
- D. Candidate of Philosophy (C.Phil.) – If the time of death the conditions for award of a posthumous Ph.D. degree are not satisfied, a C.Phil. shall be awarded if:
  - 1. The student was advanced to candidacy;
  - 2. The student had a GPA of 3.00 or higher; and
  - 3. The student completed all requirements for the Ph.D. except for the dissertation.
  
- E. Posthumous Certificate - If at the time of death the conditions for award of a posthumous graduate degree or juris doctor are not satisfied, a certificate indicating progress toward the degree shall be awarded if:
  - 1. The student had completed at least one semester of instruction on this campus, was regularly enrolled for the current (or coming) semester on this campus, and had attained a cumulative grade point average of 3.00 (for graduate degree) or higher or in good academic standing (for a juris doctor); and
  - 2. The student had consistently maintained full-time enrollment status (according to Graduate Division and the School of Law's standards) during his or her time on campus.

### **3.5.6 Regulations of the Academic Senate Related to Degrees**

### 634. Minimum Standard for Graduation

Except as provided in Senate Regulation 782 for the grade of Passed/Not Passed, to receive a Bachelor's degree a student must obtain a grade-point average of at least 2.00 for all courses attempted in the University. (EC 3 Nov 69) (Rev 4 May 1995)

### 3.5.7 By-laws of the Berkeley Division Related to Degrees

#### 100. Degrees, Certificates, Honors

- The Division delegates to the Committee on Courses of Instruction its authority to recommend to the Chancellor at Berkeley, for transmittal to the President of the University, candidates for Degrees, Certificates, and Honors.
- In its review of doubtful cases, the Committee shall consult with the recommending officer.
- After forwarding its recommendations, the Committee shall report such action at the next regular meeting of the Division.

### 3.5.8 Regulations of the Berkeley Division Related to Degrees

#### A290. Residence

Except as provided in Senate Regulations 614 and 694, the minimum residence at the University of California required for a degree is two Semesters. (See SR 688. For an exception to this regulation, see SR 690.) (Rev. 3.83)

#### A291. Senior Residence

- A. After 90 units toward the Bachelor's Degree have been completed, the remaining units must meet the following residence requirement (except as otherwise provided in this Section and SR 614):
1. At least 24 of the remaining units must be completed in residence in the College or School in which the degree is to be taken;
  2. These units must be completed in at least two semesters (the semester in which the 90 units are exceeded, plus at least one additional semester).
  3. A Summer Session can be credited as a semester in residence if the number of successfully completed units is greater than, or equal to, the minimum number of units required for a semester of residence. (En. 3.85)

4. Students enrolled in the Education Abroad Program may be permitted to satisfy the residence requirement by completing 24 of their final 60 units in residence in the College or School in which the degree is to be taken. At least 12 of these 24 units must be taken in the student's final Semester before graduation. For this option, approval prior to enrollment in the education Abroad Program must be obtained from the department concerned and the Dean of the student's College or School. (Rev. 3.83)



## APPENDIX 1

### Guidelines for Approval of Intercampus Courses Originating Elsewhere than Berkeley

#### *Courses*

- A. The course must be approved by the Academic Senate of the originating campus.
- B. The chair of the sponsoring Berkeley academic unit must approve the offering of the course.
- C. The course must be taught under an appropriate rubric at Berkeley. If no appropriate rubric exists (such as an existing course that has already been approved by Berkeley's Committee on Courses of Instruction), approval of a new course must be sought from COCI using the normal course approval process.

#### *Instructor of Record*

- A. There must be an instructor of record at the originating campus, approved by the chair of the sponsoring Berkeley academic unit. The instructor of record is responsible for the following:
  - Organizing and teaching the course;
  - Providing an easy and efficient means of communicating with students (usually email) as well as sending and receiving assignments; and
  - Grading work, assigning grades, and dealing with the removal of any incomplete grades assigned.
- B. There must be an adjunct instructor of record at Berkeley, approved by the chair of the Berkeley academic unit involved, who will:
  - Deal with any academic or administrative problems that arise on the Berkeley campus such as add/drops, petitions for incompletes (to be forwarded to the instructor of record), authorizing absences, hearing appeals for grade changes, etc.
  - Be a member of the Berkeley Division (i.e., not a contract lecturer or other temporary appointment) unless COCI authorizes an exception.
  - Confirm the course roster at the beginning of the term, making sure that mid-term status reports and final grade sheets are turned in.
  - Be available for consultation during the semester to assist Berkeley students.
  - Remain in perpetuity responsible for problems that may arise after the course has ended, acting *in loco professoris* for the instructor of record.

- Notify the Office of the Registrar of whose name should appear on all official publications such as the *Schedule of Classes* and electronic grading reports while the course is being offered.

C. During the term, the adjunct instructor of record may hire a GSI or appropriate individual to assist with administrative matters related to the course. In no instance, however, can the GSI serve as the adjunct instructor of record, given the temporary nature of the appointment.

### *Units of Credit*

A. When the originating campus is on a quarter system, credits are offered at the strict conversion rate (e.g., 4.0 quarter units = 2.67 semester units).

B. Additional work may be assigned by the instructor of record who is teaching the course on a campus using the quarter system to bring the course offered up to its semester equivalent. For example, work in addition to that required for 4.0 quarter units may be assigned to bring the equivalent units to 4.0 semester units. This work must represent five weeks of additional work; i.e., Berkeley students must do 50% more work than the students taking the course for 4.0 quarter units.

C. Whenever: 1) previously-approved Berkeley course names and numbers are used, and 2) the course will be taught by an instructor on a campus using the quarter system, the Berkeley adjunct instructor of record must work with the instructor of record at the offering campus to ensure that the course contains sufficient materials to assign the same semester units that appeared in the course that has been approved by COCI. If not, unit adjustments must be made and a new course approval form must be submitted to COCI, reducing the number of units to be awarded to Berkeley students.

D. The additional work must be graded by the instructor of record at the originating campus.

E. The additional work will not normally require Berkeley students to do academic work outside the normal dates of semester instruction (e.g., during the spring quarter weeks which fall outside the spring semester dates). However, such work may be mandated if students are informed of the requirement in the course description and in all publicity for the course.

### *Final Examinations*

A final examination must be arranged which meets the Berkeley Academic Senate guidelines on final examinations.

### *Administrative Support*

The sponsoring department at Berkeley must designate a person (perhaps the undergraduate assistant) who will provide administrative support to Berkeley students and other departments as needed.

### *Senior Residence*

Although taught by an instructor elsewhere, intercampus courses have been approved by the Berkeley Academic Senate for credit on the Berkeley campus and, therefore, may be used as appropriate to meet any University, School/College, and departmental graduation requirements.

## APPENDIX 2

### Credit by Examination

Credit by examination is governed by Senate Regulation 620:

620. Credit by examination may be earned only in accordance with general policies established by the appropriate committee on courses in each Division. The deans of the several schools and colleges shall have the power to approve or reject any application for the examination.

The Committee on Courses of Instruction's guidelines for granting credit by examination follow:

- On recommendation of the Board of Admissions, a new or reentering student may be allowed to receive credit by examination for knowledge acquired since graduation from high school, either by independent study or at another institution, and for which he/she has not been allowed advanced standing credit. Application for such credit should be made directly to the Office of Undergraduate Admissions at Berkeley.
- A student in good standing who is currently registered may qualify for course credit by examination. Application for such credit must be presented on a form, available from the Office of the Registrar, to the dean of the college or school. Credit by examination may be applied for any course listed in the *Berkeley Academic Guide* for the regular sessions that year at Berkeley, provided that the student's knowledge of the subject area may be tested properly by examination, in the opinion of the instructor in charge and of the department chair. (There is a fee for filing the petition.) In certain laboratory, field, or practice courses, an examination, either written or oral, may not be a satisfactory test. Credit by examination is not available if such credit would duplicate credit presented by the student for admission to the University or in elementary courses in foreign language that is the applicant's native language. Further information concerning credit by examination may be obtained from the Office of the Registrar.

The examination for credit may be the final course examination, if in the opinion of the instructor in charge, the final course examination provides an adequate test of the student's knowledge. A special examination will be employed when deemed necessary by the instructor. The examination *must be written*, must be a comprehensive

examination covering the entire course, and must be administered at one sitting, not to exceed three hours duration.

Credit by examination may be taken only on a Pass/Not Pass or Satisfactory/Unsatisfactory basis (to be computed in the one-third limitation). Credit by examination will only be granted for a course listed in the current *Schedule of Classes* (regular terms only). Application for credit by examination presented by a student on warning, probation, or dismissed status will not be received.

### *Procedure*

- The student makes application to the instructor in charge of the course in which the examination is sought. On the application the student indicates (a) the number and unit value of the University course for which credit is sought and (b) the term for which credit is sought.
- The instructor, after conferring with the student, reports to the dean of the student's college by endorsement on the petition the following information: (a) whether or not the course is one in which the student's knowledge may be tested adequately by an examination, and (b) whether or not the student's preparation seems adequate. The petition bearing the instructor's endorsement is then forwarded to the office of the dean of the student's college.
- The dean, upon receiving the instructor's report, scrutinizes the student's application to ensure that it complies with the rules of the college and determines whether or not the student may proceed to the examination. The application of the student, if and when the dean finally approves it, is forwarded to the Office of the Registrar.
- The Office of the Registrar, upon receiving the approved application, determines if the student and the course in which the examination is sought meet the eligibility criteria. If the eligibility criteria are met, the Registrar signs and forwards the application to the instructor, which serves as the instructor's authority for admitting the student to the examination, calls upon the instructor for a report after the date of the examination, and makes an appropriate record. If not, the student is notified.