

# **POLICIES AND PROCEDURES HANDBOOK**

Ph.D. Program in Architecture

School of Architecture and Urban Planning (SARUP)

University of Wisconsin-Milwaukee

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## 1. INTRODUCTION

Established in 1982, the Ph.D. program at the School of Architecture & Urban Planning (SARUP) is an internationally recognized center of excellence in research and doctoral studies. It attracts diverse, cross-disciplinary faculty participation from within the UW System and student enrollments both from national and international realms. Given its unique vantage to examine aspects of both the manmade and natural environments, the doctoral program offers three primary areas of research concentration for incoming students - *Environmental Design Research (EDR)*, *Buildings-Landscapes-Cultures (blc)*, and *Sustainability, Resources and Technology (SRT)*. These areas correspond to the core interests of leading faculty who guide students and encourage them to work under their mentoring from early stages in their education. Admissions to SARUP's Doctoral Program are competitive, only 6 - 8% of total applicants are admitted, and even fewer are offered financial awards towards admission. Currently (2015), the Ph.D. Program has 28 enrolled students, in varying stages of academic progress. Some are financially supported through SARUP assistantships (Teaching & Research Assistantships), others via merit awards and faculty grants.

### **a. Environmental Design Research (EDR)**

The Environmental Design Research (EDR) focus area utilizes the theories and methods rooted in both the environmental design professions and the behavioral/social sciences to explore a broad range of architectural and environmental research questions. Concepts and techniques utilized in EDR are adapted from architecture, urban and regional planning, interior design, and landscape architecture as well as fields such as ergonomics, cultural geography, anthropology, sociology, and environmental psychology. In addition to the study of complex relationships between people and their physical, social, and cultural environments, EDR examines the application of such research to create experientially rich, culturally responsive, sustainable, and well-crafted environments. Students share a common core of theories and methods rooted in the environmental design professions, social and physical sciences, to pursue individually tailored, integrative programs of study. Examples of areas of interest shared by faculty and students include, but are not limited to, environment-behavior (environment and aging, architecture and organizations), culturally responsive design, evidence-based programming and design, and sustainability (sustainable architecture, integrative building performance, and sustainable community development).

### **b. Buildings-Landscapes-Cultures (blc)**

The Buildings-Landscapes-Cultures (blc) is an interdisciplinary research track concentrating on the examination of the material, cultural, and historical aspects of the built environment. The blc program serves students enrolled in the architecture and art history doctoral programs at the UW-Milwaukee and UW-Madison campuses respectively. It involves faculty members on both campuses with diverse research and teaching interests, including urban and architectural history, environmental history, material culture studies, public history, cultural landscape studies, and urban and architectural morphology. Core introductory courses present theories and methods related to the study and analysis of the built environment as a cultural artifact within a contemporary and historical framework and at myriad scales of analysis. Scholars within blc conduct research on everyday and ordinary environments and the socio-cultural, political, economic, visual culture, and aesthetic aspects of these spaces. Building on these foundations, students pursue their specific interests within a wide spectrum of humanities disciplines. Fieldwork is an important aspect of this program and multiple cross-campus fieldwork courses and

opportunities are available to enrolled students. For more information on Buildings-Landscapes-Cultures (blc) research track visit: [www.blcprogram.weebly.com](http://www.blcprogram.weebly.com) & [www.blcurbanmorphologies.com](http://www.blcurbanmorphologies.com)

### c. **Sustainability, Resources and Technology (SRT)**

The Sustainability, Resources and Technology (**SRT**) research focus area encompasses a range of research issues regarding the sustainability of the built environment in terms of economics, equity, and environmental issues. Students in this area are expected to engage in research based on the methods and techniques found in the physical and natural sciences. Opportunities for research include examination of advanced architectural practice and the evaluation of both the allocation of resources and technologies. The **SRT** area also assumes that research may be integrated with the other major fields, including **EDR** and **blc**. Consequently, cross-disciplinary research is encouraged.

### d. **Relationship Among the Three Areas of Research Concentration**

These three areas of research concentration overlap with regard to some courses, faculty interests, and student activity. These fields also vary in terms of their approaches, theories, methods, and related frameworks of inquiry. The policies and procedures in this handbook recognize that studies in each of these three fields require flexibility and interpretation. Consequently, many of these policies and procedures allow for modifications that are suited to each student's unique course of study.

### e. **Purpose of the Handbook**

The *Ph.D. Policies and Procedures Handbook* summarizes the degree requirements, courses and prerequisites, and steps toward the completion of the Ph.D. degree, along with other policies and procedures of the Ph.D. Program. It supplements but does not override the *UWM Graduate School Bulletin*. Faculty members and students are also referred to the *UWM Graduate School Graduate Student Academic Appeals and Exceptions Handbook*, [www.uwm.edu/Dept/Grad\\_Sch/Publications/](http://www.uwm.edu/Dept/Grad_Sch/Publications/), for the Graduate Student Appeals Process. Based on ongoing discussions of the Ph.D. Committee, and the SARUP faculty, the Handbook is constantly revised and expanded. Students are recommended to use this Handbook as a set of guidelines when designing their doctoral research trajectory.

## 2. **OVERVIEW OF PH.D. PROGRAM REQUIREMENTS**

The Ph.D. Program is a research degree structured around a series of related, typically sequential (but occasionally overlapping) requirements as follows:

- a. To establish **doctoral student status** and **residency**
- b. To develop a **program of study**
- c. To undertake courses in the **core, area of concentration, and major and minor fields of study**
- d. To conduct and complete an **intermediate research project (IRP)**
- e. To complete the **doctoral preliminary examinations** leading to advancement to **candidacy with dissertator status**
- f. To design, conduct, and defend a **dissertation** that makes an original contribution to scholarship in the field via the assessment of a team of designated experts

Depending on background preparation and the amount of time spent in full-time residency, enrolled students should be able to complete the program in approximately four - five years from the date of initial enrollment (although some choose to extend this time line further given the unique research opportunities and/or constraints of their professional and personal commitments.) Extending the time line beyond the sixth year is generally not recommended, owing to the competitive nature of funding opportunities.

### 3. **DOCTORAL STUDENT STATUS AND RESIDENCY**

#### a. **Admission with Doctoral Student Status**

Students are admitted with full **Doctoral Student Status** with *either* -

- An M. Arch. Degree or a Master's Degree (incl. MS, MLA etc.) in a related professional field (e.g. Architecture, Interior Design, Landscape Architecture, Urban Design, Urban Planning) or
- A Master's Degree in any field and/or significant experience in the practice, research, or teaching of Architecture or a related professional field

#### b. **Admission with Master's Students Status**

Exceptionally qualified applicants with only a Bachelor's Degree may be admitted with a **Master's Student Status** and advanced to full **Doctoral Student Status** upon:

- The completion of 36 credits of Graduate coursework or a Master's Degree
- Notification of the UWM Graduate School

#### c. **Required & Comprehensive Knowledge of Research and Methods particular to the Area of Concentration**

The **Ph.D. Program Committee**, as a condition of admission, may also require the completion of additional, required and recommended coursework in Architectural Research and/or Research Methods, as deemed necessary by the Major Professor in the student's specific focus area (EDR, blc or SRT).

#### d. **Graduate School Residency Requirements**

UWM's Graduate School policy requires that students complete a full-time residency of a minimum of - (a) One continuous academic year of Graduate level coursework, research, and related activities with a minimum of 8 graduate credits in each of two consecutive semesters exclusive of summer session, **or** (b) A minimum of 6 graduate credits in each of three consecutive semesters for a doctoral student holding a teaching or project assistantship with a 33.3% or more appointment.

#### e. **SARUP's Residency Recommendation for Ph.D. Students**

In-person residency throughout the course of the Ph.D. degree is highly recommended for all students. The faculty strongly urges full-time residency for at least two years and a minimum of 9 graduate credits per term until the completion of - (a) The Comprehensive Examinations (b) The completion of the Intermediate

Research Project IRP (as required in the program of study), *and* (c) The formal approval of the student's Dissertation Proposal, in consultation (and upon formal approval) with the Major Advisor.

Experience shows that full-time residency throughout the dissertation significantly speeds up progress towards the degree. A portion of a student's program may be completed away from the University owing to the - (a) Specific requirements of research and/or dissertation fieldwork, or (b) When opportunities for study or research in a specialized subject are more favorable at another location. Any deviations from the above recommendations (including residency time, IRP, Examinations and Dissertation), shall only be permitted with prior written approval (from both the major professor and the Ph.D. committee), a formal request from the student in writing, and supported by documentation that details the request and its impact on the student's long-term academic progress.

#### 4. **PROGRAM OF STUDY, MAJOR PROFESSOR, PROGRESS CHECKLIST, AND ACADEMIC ACTIVITY REVIEWS**

Course requirements vary substantially depending upon the student's ***Program of Study*** that is developed in consultation with, and in agreement with, the student's ***Major Professor***. The ***Program of Study*** is developed by each student and describes the requirements for the ***Major field & Minor field(s) of study***, the need (or waiver) for an ***Intermediate Research Project (IRP)***, and/or any other required waivers. Consequently, the selection of a major professor and the development of a ***Program of Study*** provide the foundation for the student's work.

##### a. **Selecting a Major Professor**

Most students identify a faculty member with whom they would like to work at the time of their admission (as documented in their Statement of Objectives) or soon thereafter during their first semester.

Ideally, this ***Major Professor*** guides the student through the curriculum and often become the ***Dissertation Chair***. However, while the ***Major Professor*** often becomes the chair of the student's dissertation committee, this is not a requirement – the two roles are therefore distinct. This occurrence is usually due to the selection of another faculty member whose research interests are more suited to the role of student's ***Dissertation Chair***.

In rare cases, the research interests of the students begin to diverge from those of the ***Major Professor*** during the course of their studies prior to the dissertation. In such circumstances, there are policies and procedures whereby the Major Professor, at the discretion of the student, can be replaced. The rules and policies for changing the student's ***Major Professor*** are the same as those for the ***Dissertation Chair*** and are described later. This change must be formally documented with the Major Professor and the Ph.D. Chair.

There are also circumstances in which the faculty member, rather than the student, may request replacement as the ***Major Professor***. This may occur, for example, if the ***Major Professor*** perceives that the student's research direction (in terms of method, theories, or substantive content) is so divergent from the scholarship, research, or expertise of the ***Major Professor***, that such a replacement is appropriate. Other instances may include extenuating professional circumstances. Under all such circumstances, the

student, Major Professor, and Ph.D. Program Committee shall consider and discuss alternative options to seek a satisfactory resolution allowing the student to potentially continue the original or modified **Program of Study**, and undertake the **Doctoral Preliminary Examination** as per schedule. Any and all of these changes must be formally documented with the Major Professor and the Ph.D. Chair.

#### **b. Developing and Maintaining the Program of Study**

The program of study and its components should be started, in consultation with the **Major Professor**, as soon as possible following admission. Often, the program of study for the first semester is established in order to facilitate enrollment and subsequent components of the program of study are further developed during the student's first year of studies.

During the first semester, the student is expected to meet with the **Major Professor** on a regular basis and develop the **Program of Study** to be submitted during the second or third semester of studies (if formally agreed upon by the **Major Professor**). Appropriate forms for the Program of Study are available at the student advising office, and it is the student's responsibility to submit these forms in a timely manner.

In general, the **Program of Study** consists of the following -

- a. A Cover page with the names of the **Major professor, Minor professor(s)**, and a brief abstract (500 - 1000 words) describing the overall focus of the **Program of Study**, with spaces for the signatures of the student, **Major professor, and Ph.D. Program Committee Chair**
- b. A proposed **Major Field of Study** within the student's **Area of Concentration**, including the title and name of the **Major Professor**, a brief description, coursework in this field, any directed research, and/or independent studies proposed towards completion of the **Major Field of Study**
- c. A proposed **Minor Field(s) of Study**, including a title, name of **Minor Professor**, a brief description, coursework in this field, any directed research, and/or independent studies required to complete the Minor. The student's advisor may also require that the student provide a brief description identifying the **Minor Field of Study** in thematic terms, in the form of a precise abstract that suggests the most critical questions that will become the focus of the student's future work/research. This statement should also have a title that succinctly suggests the broader outlines of the **Minor Field**. In some cases, more than one **Minor Field of Study** may be required as part of the **Program of Study** within the three concentration areas.
- d. A time-line/schedule showing when all coursework shall be completed towards Major and Minor Fields of Study.

The **Ph.D. Program Committee** then reviews and approves the proposal according to the policies set forth in this document, and upon the recommendation of the student's Major Professor. The **Ph.D. Program Committee** may also approve the selection of **Major professor** and **Minor professor**, based on the specific request of the student and documented consent of the faculty concerned. Students attend the Committee meeting in order to answer questions and offer clarifications, should these be required.

#### **c. Progress Checklist**

Since every student undertakes a highly individualized course of study, it is important to manage the process fairly and efficiently. To do this, the Student Advising office maintains a "progress checklist" that should be updated annually on a Departmental form. The form includes the specific details for completion,

approval, associated signatures, and the duration of enrollment for each student (in number of years). This checklist requires periodic review and approval by the student's major professor, dissertation chair, and/or other administrative staff. Key items on the checklist include particulars/dates/signatures of the following milestones:

- **Number of credits** required to complete Doctoral Student Status as described previously
- Approved waivers and equivalent courses
- **Core courses** completed in the **area of concentration**
- Completion of a **major field of study**
- Completion of one or two **minor fields of study**
- Completion (or waiver) of **intermediate research project**
- Completion and outcome of the **doctoral preliminary examination**
- Approval of the **dissertation topic, committee, and dissertation chair**
- Approval of the **dissertation proposal** approved
- Completion and approval of the **dissertation defense**
- Completion and approval of the **dissertation**
- **Duration of enrollment** for each student (in number of years from date of initial enrollment).
- Funding received over the Duration of enrollment
- Teaching assignments given over the Duration of enrollment
- Comments about student's progress submitted by the **major professor** and/or the **Ph.D. Program Committee**

Please note that in recent months, over Fall 2014 & Spring 2015, several of the mentioned forms (as above) are being replaced by online prompts. The next revision of the Handbook shall account for these described changes.

#### **d. Academic Activity Reviews**

At the beginning of each school year, the **Ph.D. Program Committee** in conjunction with the student's **Major Professor** and/or the **Dissertation Chair** (should the student have advanced to that stage) reviews the progress of each Ph.D. student.

Upon the request of the Ph.D. Chair, all students shall be required to submit a one to two-page summary of their progress described in their **Program of Study** as well as any/all key activities of the past year, first to the **Major Professor** and/or **Dissertation Chair**, and then to the **Ph.D. Program Committee**. Such summaries shall include:

- A progress on residency, required course work, intermediate research project, major field of study, and minor field(s),
- The dissertation work plan, work that has been completed, work to be completed, under whose direction, and schedule for completion
- Any papers/posters presented at conferences and symposiums, papers published in proceedings, books, or journals, projects completed, lectures given, conferences, research activities, awards, other research or scholarly activity
- All university teaching and research activities, such as TA/RA positions, adjunct positions, lectures/seminars given at other universities

- Student's academic plans for the current year, under whose direction, milestones, and anticipated dates of completion of those tasks
- Any specific reasons/factors that may contribute to the timely completion (or delay) of expected academic milestones, and or expected academic performance

Based on the above, written comments of the **Major Professor** shall be given to each student.

## 5. CORE COURSES, AREAS OF CONCENTRATION, MAJOR AND MINOR FIELDS OF STUDY

***Given the wide range of backgrounds, courses, directions for study, and language skills, it is essential to establish a clearly documented program of study with your Major Professor. Waivers and similar adjustments in requirement are subject to the discretion of the Major Professor based on evidence of satisfactory completion of equivalent courses, examination, and/or demonstration of appropriate expertise.***

### a. Minimum credit requirements

Students must complete a minimum of 27 - 36<sup>1</sup> credits of Graduate Coursework prior to the **Doctoral Preliminary Examination** and subsequent to attaining **Doctoral Student Status**. This sum of 27 - 36 credits includes required courses, enrichment courses, and Major and Minor fields of study. For students admitted with **Master's Student Status**, there is a combined minimum of 54 - 72 graduate credits beyond the Baccalaureate Degree, of which up to 12 credits may be transferred from another accredited graduate institution. Please note that this credit "transfer" is contingent upon proof of course content, curriculum details, work completed via formal assignments, on expertise considered as appropriate and commensurate with doctoral studies, and as determined by the **Major Professor**.

### b. Core Course Requirements for all Areas of Research Concentration

In the first year of residency, students take required core courses and methods courses, based on their **area of concentration** and **major field of study**.

Core courses include Arch 585 (which may be waived for 'exceptionally-qualified' advanced students) and Arch 750. Additional requirements shall depend upon the **area of concentration, major field of study** and the detailed **Program of Study**, which typically includes courses in theory, methods, and substantive areas. These additional courses are determined by agreement between the student and the student's **Major Professor** and listed in the **Program of Study**.

### c. Additional Requirements for All Areas of Concentration and Major Fields of Study

The student, in conjunction with the Major Professor, will determine the complete set of courses needed for the **area of concentration**. Within this set of courses, the student will define their **Major field of study**,

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<sup>1</sup> Please note that the 3 PhD concentrations have different credit requirements towards their expected completion of the Major and Minor areas of Study. See *Section 5: Core Courses, Areas Of Concentration, Major And Minor Fields Of Study*

which will include 9 credits consisting of a group of courses in a distinct field of study. The **Major field of study** varies substantially with the course of study developed with a student's **Major Professor**. The area may include more in-depth courses in Architecture or a broader spectrum of courses with faculty outside the department.

#### **d. Environmental Design Research (EDR) – Required Courses and Major Field of Study**

In the first year of residency, EDR students take three required core courses in Environmental Design Research, Arch 750 Proseminar in Environmental Design Research, Arch 751 Theories in Environmental Design Research, Arch 785 Advanced Research Methods in Architecture, plus one other graduate level methods course. The two Environmental Design Research courses entail in-depth discussion and critical analysis of theories, substantive issues, and exemplary and cutting-edge work. The research methods courses provide overviews as well as practice in various quantitative and qualitative empirical, historical, archival, field, and participatory research methods, data collection techniques, data analysis, and research utilization. Prerequisites for these courses may include, at the recommendation of the major advisor, Arch 302 Architecture and Human Behavior, Arch 585 Research Methods in Architecture or other designated courses if the equivalent has not previously been taken. Consistent with Graduate School policy, EDR students must complete a minimum of 27 credits of graduate coursework subsequent to attaining Doctoral Student Status. For students admitted without a Master's degree, a minimum of 54 graduate credits beyond the Baccalaureate Degree must be completed. Refer to Graduate School Handbook for additional details.

#### **e. Buildings-Landscapes-Cultures (blc) – Required Courses and Major Field of Study**

In addition to Architecture 585 and 750 (these courses may be substituted with comparable courses in consultation with your advisor), blc students are required to take Arch 790 (Buildings-Landscapes-Cultures practicum for 3 credits) and are expected to take at least 6 to 12 credits of enrichment courses as developed in their program of study. Enrichment courses may include classes focusing in methods in departments clearly outside of Architecture (SARUP). Enrichment courses are available both at UWM (within and outside SARUP, including but not necessarily limited to, regularly offered courses and electives) and at UW-Madison (within the Department of Art History and other departments outside). In addition, enrichment courses might include a group of courses in departments such as (but not limited to), Urban Studies, Urban History, Art History, History, Middle Eastern Studies, Anthropology and Geography. Students enrolled in the blc track are expected to take at least one fieldwork related course. Fieldwork courses may also be available in other departments and should be considered in consultation with the student's committee or advisor. SARUP also has fieldwork offerings, which may be employed towards this requirement, in consultation with the Major Advisor.

#### **f. Sustainability, Resources, and Technology (SRT) – Required Courses and Major Field of Study**

In addition to Architecture 585 and 750, **SRT** students are **required** to take ARCH 723 (Fundamentals of Ecological Architecture, 3 credits). Students are also expected to take at least 6 to 12 credits of "enrichment" courses as developed in the **program of study**. This may include, for example, courses in the other two **areas of concentration** (EDR and BLC) as well as other courses at UWM (within and outside SARUP) and at UW-Madison. In addition to the **required** courses and **enrichment** courses, students will complete their **Major field of study** as defined in consultation with their **Major Professor**.

#### **g. Minor Field(s) of Study**

Outside the **area of concentration** and the **major field of study** students select a **minor field of study** (minimum of 9 credits of graduate coursework).

The selection of this field and proposed coursework should be included in the student's **program of study**. The **minor field of study** includes an independent **minor professor** involved in developing the program of study, the examination, and related matters. The **minor field of study** is intended to broaden a student's horizon and create opportunities for extensive interaction with faculty, scholars and peers outside of Architecture. In developing a course of study for a minor field, doctoral students may select either a minimum of 9 credits in (a) a single discipline which will be identified as such on the student's transcript or (b) in two or more related disciplines that will not be identified on the student's transcript.

Some faculty also encourage students to take a second **minor field of study** (6 to 9 credits) clearly separated from the first. The second minor may include language courses that are considered specific to the needs of the student's identified and future research field. Language courses typically include both elementary and advanced courses. In some cases, these language courses can also be completed off campus at other venues.

## 6. **INTERMEDIATE RESEARCH PROJECT (IRP)**

In addition to other requirements, all student must demonstrate the ability to conduct independent research via a detailed, scholarly paper of publishable quality, as specifically appropriate to the area and scope of research. This demonstration might consist of the submission and formal review of a student's Master's thesis from a prior program, with the clear demonstration of how this prior work establishes or exceeds the benchmarks expected for the completion of the IRP. When this is not the case, an **Intermediate Research Project** must be completed before **advancement to candidacy**.

In summary, this intermediate research project IRP (or its equivalent) must be:

- Based on the utilization of primary sources of information (i.e., qualitative or quantitative empirical, interview, artifacts, or archival sources not employed in the scholarship prior to this demonstration)
- Research conducted independently by the student under the mentoring of the Major Advisor while enrolled within the Doctoral Program
- Equivalent in its scope, substance and findings (conclusions) to a semester-long, graduate-level research project
- Clearly demonstrate the development of a research problem, an argument, and the justification for a hypothesis or thesis
- Specifically demonstrate the student's ability to critically analyze and interpret source materials towards complex research questions in the field

The choice of topic and research method is left to the student, in consultation with the Major Professor. Some students consider doing a project, which is a preliminary study towards their dissertation. Others pursue a topic broadly connected to their sphere of interest, yet not culminating in their dissertation. It is recommended that the student enroll in Arch 991 (Doctoral Level Research) for the duration of the IRP (sometimes more than one semester may be required to do the research and complete the writing of the

manuscript). The student must request one SARUP graduate faculty member to serve as the **Intermediate Research Project Chair for the IRP**. This faculty member must approve the research proposal, supervise the research, and approve the completed document.

The **Intermediate Research Project** must be typically completed by the end of the third year or as defined in the student's **Program of Study** in consultation with the Major Advisor.

## 7. DOCTORAL PRELIMINARY EXAMINATIONS

As part of preparation towards the **area of concentration, major field of study, and minor field(s) of study**, the student prepares for the **doctoral preliminary examinations**. This examination tests the student's understanding of theory and methods in relation to the student's developing dissertation research. An oral review is also scheduled after the completion of all written portions of the exam, whereupon the student answers questions from the examination committee, and receives feedback and formal notification of the outcome (as per the schedule set by the examination committee).

### a. Requirements for Taking the Examination

In order to be eligible to take any part of the **examination**, the student must (a) have completed all required courses and the intermediate research project IRP; (b) achieved at least a 3.0 GPA in all coursework taken for the degree, (c) have no outstanding incomplete grades in any course and no outstanding progress grades in non-research courses (i.e., other than Arch 991 and 992 or equivalent research courses in other departments). In exceptional circumstances, a waiver can be requested from the **Ph.D. Program Committee** for one or more of these requirements.

### b. Examination Components

The **examination** has three written components and one oral review. The three written portions include questions on (a) theory, (b) methods, and (c) major field of study and the minor field(s) of study. Questions may cover the content areas of core courses, other coursework, as well as current published research. Members of the examination committee may assign additional readings to be completed in preparation for the examination. Students should be able to acknowledge and critique current and seminal research studies in the field, engage in critical and integrative thinking and writing, and structure and justify arguments, claims, and opinions in a credible, conceptual, logical, and convincing manner.

### c. Examination committee and preparation of questions

Near the beginning of the semester in which students wishes to start the **examination**, the student selects, in consultation with his or her **major professor**, three or more (but, no more than five) members of the **examination committee** who will prepare the examination. Typically, this is an "open book" examination. Written examination sections typically consists of a two- to four-day format of one to three questions for each of the three examination components: theory, methods, and substantive areas (with some degree of integration among the topics.) Final approval of the format, time period, questions and dates for examination rests with the **examination committee**. The examination may be taken at any time mutually agreed upon by the students and the **examination committee**. Students should notify their Major Professor and the **Ph.D. Program Committee** Chair at the beginning of the semester in which they would

like to take the examination in order to establish examination dates. The three written portions and the oral review must be completed within a period not to exceed 90 days.

#### **d. Scheduling the Examination**

Students who are ready to take the **examination** complete and file an “Application for the Doctoral Preliminary Examination” (available from the Graduate School and the SARUP Student Advising Office) as early as possible in the semester in which they wish to take the examination but **no later than three weeks** before the desired starting date. The Graduate School validates the student’s eligibility and forwards a warrant to the Chair of **Ph.D. Program Committee**.

#### **e. Examination Evaluation and Outcome**

All members of the **examination committee** evaluate the examination as a package, with primary responsibility assigned to author(s) of specific questions or portions of the examination. Initial feedback on the written portion of the examination is provided to students prior to the oral review so that students have an idea about any concerns, questions, or likely areas of inquiry. Following the oral review, final evaluations for the entire exam may consist of: **pass, oral clarification needed, written clarification needed, or no pass**. Oral or written clarifications must be completed within 30 days of the oral review. Students receiving a “**no pass**” may be required to re-take the entire examination. A student who fails to pass the **examination** after two attempts may be asked to discontinue Ph.D. work in the department, and in such a case is informed of reasons for the failure to qualify. After the examination has been approved, the Major Professor in the **area of concentration** signs a “**Completion of Ph.D. Requirement**” form and submits it to the **Ph.D. Program Committee** Chair indicating the student’s successful completion of the **examination**. Following successful completion of all parts of the **examination**, the **doctoral examination warrant** is signed by the **Ph.D. Program Committee** members and returned to Graduate School.

Please note that in recent months, over Fall 2014 & Spring 2015, several of the mentioned forms (as above) are being replaced by online prompts. The next revision of the Handbook shall account for these described changes.

### **8. DISSERTATION TOPIC, COMMITTEE, AND APPROVAL**

#### **a. Advancement to Candidacy with Dissertator Status**

Formal recognition of the doctoral student as a “Candidate for the Doctoral Degree” with “Dissertator Status” is achieved after passing all three parts of the **examination**, other preliminary steps, and approval of the dissertation topic and committee. This indicates the student’s readiness to undertake independent research. Please note that the Major Advisor may also have specific requirements to be completed prior to formal recognition of Dissertator Status. This may include the formal submission of a written Dissertation Proposal, approved by a committee and presented prior to this milestone. Students are advised to discuss this with their Major Professor.

The student submits an “Application for Doctoral Dissertator Status” (available from the Graduate School or the SARUP Student Advising Office). The student is officially admitted to Candidacy with Dissertator Status for the Ph.D. degree when **all** the requirements for the Ph.D. degree are completed except the dissertation. This information is verified for completion by the Graduate School when the student submits the

“Application for Doctoral Dissertator Status” form. The Doctoral Preliminary Examination Warrant and the Application for Doctoral Dissertator Status are signed by the Chair and members of the **Ph.D. Program Committee** and returned to the Graduate School. Dissertator status is approved when the form is signed by the Dean of the Graduate School.

#### **b. Dissertation Topic**

The **dissertation** must demonstrate the student’s ability to design, conduct, analyze, and report an independent investigation of a thesis, which contributes to the major field study. While the dissertation may be the result of research on which the student has collaborated with others, the candidate must be responsible for the design, analysis, and conduct of a study, which represents an individual intellectual and creative contribution. In many cases, the dissertation topic derives from a particular sub-area within the **major field of study** (perhaps research questions left unanswered by previous research in that area.)

#### **c. Dissertation Committee and Dissertation Chair**

The **dissertation committee** includes three members of the Graduate Faculty. The **dissertation chair** (who may or may not be the Major Professor in the **area of concentration**) must be a graduate faculty member of the Department of Architecture. The other dissertation committee members can be SARUP faculty members, university faculty outside SARUP or UWM, or professionals holding Ph.Ds. *The Graduate School must approve any member who is not a member of the Graduate Faculty of UWM, and allows only one non-UWM person on the dissertation committee.*

#### **d. Submission of Topic and Committee**

The student submits: a brief description of the topic of the proposed dissertation, some indication of methodology of investigation, and the names of the **dissertation chair**, and two other **dissertation committee members** to the **Ph.D. Program Committee** for approval. Once approved by the **Ph.D. Program Committee**, the Dissertation Topic and Committee are filed with the Graduate School.

#### **e. Registration Requirements for Students with Dissertator Status**

Doctoral students with Dissertator Status are required to maintain *continuous registration* (see the Graduate School *Bulletin for details*), *i.e.*, must enroll for a minimum of 3 credits (at the dissertator rate) each Fall and Spring semester in Arch 990 (Doctoral Dissertation) until the dissertation is completed and successfully defended. A special, reduced dissertation tuition rate is charged while the student is engaged in dissertation research. Until the dissertation is completed, a “K” or “E” grade will be assigned each semester. A grade of “K” is given if the progress on the dissertation was satisfactory during that particular semester; an “E” if the progress was not satisfactory.

#### **f. Replacement of Major Professor, Dissertation Chair, or Committee Member**

At any time, the doctoral student has the right to request replacement of the major professor, dissertation chair, or any member of the dissertation committee. In addition, subject to agreement by the doctoral student, the major professor, dissertation chair, or any member of the dissertation committee may, at any time, request release from their status. The mechanism is the same as used for approval of the **dissertation chair**, and committee by the **Ph.D. Program Committee**.

In unusual situations, without consent of the student, the student's major professor, dissertation chair, and/or committee members may, at any time, request release from their status as major professor, dissertation chair, or committee member. "Unusual situations" may include conflicts of interest, major changes in the dissertation topic, personal changes including, illness or death, disability, retirement, and/or termination of employment. However, once the Dissertation Proposal has been approved by the Major Professor and **dissertation committee**, unsatisfactory progress of the doctoral student is not cause for release of the **dissertation chair** or other Committee member from the **dissertation committee** with the obvious exceptions of death, disability, or some cases involving termination of employment.

## 9. DISSERTATION PROPOSAL, CONDUCT, AND DEFENSE

### a. Dissertation Proposal

The Dissertation is a report of an original investigation carried on by the candidate under the direction of the Major Professor. The Dissertation must be the candidate's own work. Although it may be the result of research enterprises in which the candidate has collaborated with others, it must reflect the candidate's interests, conceptualization, and style, and the major portion must represent the student's own creative contribution.

A **dissertation proposal** must be written and presented at an open colloquium (called the "Doctoral Dissertation Proposal Hearing" by the Graduate School) attended by the **dissertation chair (who may or may not be the student's Major Professor)** and a minimum of two additional **dissertation committee** members, as well as all other interested faculty and students. Preliminary studies, pilot data, and pilot tests may be conducted prior to approval of the proposal. The **dissertation proposal** should have sufficient level of specificity to allow for productive review and public debate. Literature review and the development of the rationale for the study (the "why"), and the research design, data collection methodology, instruments, and data analysis techniques (the "what" and "how") should be fully developed and described in concrete terms. While a high level of specificity and completeness assures more meaning for review and progress, the proposal is viewed as a step in a dynamic process. Any preliminary studies conducted or data gathered, if they are to be used as part of the larger Dissertation, must be reviewed as part of the process of review and approval. Modifications and improvements of the proposal are possible. Minor changes may be made with the **dissertation chair**. Any major change in the work plan requires the approval of the **dissertation chair** and the **dissertation committee**.

### b. Dissertation Proposal Approval (and Deferrals)

After the student has presented the **dissertation proposal**, minor clarifications and editorial revisions may be made and submitted to the **dissertation chair** for final approval *no later than ten working days after the proposal colloquium*. When the doctoral student and the **dissertation chair** agree that the proposal of the dissertation research is ready to be formally reviewed, the student completes a "Doctoral Dissertation Proposal Hearing Form" (available from the Graduate School or the School of Architecture and Urban Planning Office of Student Affairs). The proposal is approved by the **dissertation chair** and the **dissertation committee**. Approval of the dissertation proposal establishes agreement on the choice, scope, and methods of the research investigation. Once approved, the **dissertation chair** and the other **dissertation committee** members sign the "Doctoral Dissertation Proposal Hearing" form and forward it to

the **Ph.D. Program Committee** Chair who signs and forwards it to the Graduate School for final action, and the Graduate School notifies the student that the Proposal has been approved.

If the **dissertation chair** determines that the student needs more than ten working days to complete revisions to the **dissertation proposal**, a “Deferral” and a completion date (up to a maximum of four months) agreed between the student and the **dissertation chair** is communicated via memo to the student, including reasons for the Deferral and conditions for removal of the Deferral, with a copy to the Chair of the **Ph.D. Program Committee**. If minor revisions are not submitted and approved by the **dissertation chair** within ten working days, a status of Deferral and a maximum four month Deferral is automatically assigned. If a Deferral is assigned or agreed to, the entire **dissertation committee** is responsible for verifying that the Dissertation Proposal revisions have been made to their satisfaction. If the Deferral status is not removed up by the agreed-upon date for completion, the Deferral lapses into a “Disapproved,” and is so indicated on the “Doctoral Dissertation Proposal Hearing Form”, which is returned to the Graduate School, and the **revised dissertation proposal** must be re-presented at an open colloquium for **dissertation committee** approval. A new “Doctoral Dissertation Proposal Hearing Form” is required for the re-presentation.

### c. **Related Issues: Data Ownership; Research Involving Human Respondents**

In some cases, there may be issues of “ownership” of data or research tools used in or produced as a result of the dissertation research. This may occur if the research is part of other funded research, if some of the research tools, programming methods, etc. were developed previously, developed jointly by a faculty member and the student, or for other reasons. If this is anticipated in a particular dissertation, the **dissertation chair**, doctoral student, or other **dissertation committee** member should initiate the writing of a section of the proposal indicating written agreement on the respective rights of the doctoral student and the faculty member to the data and other research products generated for or by the dissertation research.

Any research involving human respondents must be submitted to the UWM institutional Review Board for the Protection of Human Subjects **prior to the collection of any data**. The proposed research, along with all instruments, must be submitted to the Associate Dean of Research who will determine if approval can be granted at the School level or if the proposal needs to be submitted to the UWM Institutional Review Board for the Protection of Human Subjects for approval. This approval should be requested prior to, or concurrently with, the committee review and approval of the dissertation proposal.

### d. **Conduct of the Dissertation**

The student works with his or her **dissertation chair** and the rest of the **dissertation committee** when conducting the dissertation research and writing the dissertation. The student should report to the **dissertation chair** at least once a semester (fall and spring), in writing if necessary, on the progress of the student’s dissertation research. The **dissertation chair** should maintain and respond to these reports.

When the dissertation is substantially complete, the student submits a draft of the dissertation to each member of the **dissertation committee**. The student must give each committee member ample time (at least 3 weeks) to read the completed draft dissertation. A committee member must not keep the draft for an inordinate period of time because of the press of other duties. After the committee members have read

the draft dissertation, they advise the **dissertation chair** on the readiness for defense. If substantial revisions are necessary, they must be completed before a dissertation defense date is set.

#### **e. Preparing for the Dissertation Defense and Examining Committee**

When the student and the **dissertation chair** feel that the dissertation is ready to be defended, the student files an "Application for the Doctoral Dissertation Defense and Graduation" with UWM's Graduate School (available from the Graduate School and the SARUP Office of Student Affairs). The application must be filed no later than the end of the second week of the semester in which the student expects to graduate. At least four weeks prior to the intended Defense, the student takes a draft manuscript of the Dissertation to the Graduate School for a format review per the format specified in the Graduate School's *Thesis and Dissertation Instructions*.

On the "Application for Doctoral Dissertation Defense," the **dissertation chair** re-identifies the **dissertation committee** and, in consultation with the student and the **dissertation committee**, recommends to the Graduate School two additional Doctoral Examining Committee members (**readers**). The final defense committee will have a *minimum* of four members (previous policy required five members). Three of the four must be active UWM Graduate Faculty. One of the four can be an outside member, approved by the department. All Doctoral Examining Committee members must be physically present at the Defense (no absentee ballots allowed, though under exceptional circumstances, a waiver can be requested from the Graduate School). Potential committee members not on the UWM Graduate Faculty must be approved by the Graduate School upon the **dissertation chair** submitting a specific request accompanied by the potential committee member's CV. Once approved, the **dissertation chair** invites the additional people to participate on the **dissertation defense/examining committee**. These matters must not change without notification of and specific approval from UWM's Graduate School. The **dissertation chair** insures that all members of the final **dissertation defense/examining committee** have complete copies of the final Dissertation manuscript at *least two weeks prior to the scheduled defense date (three weeks is recommended)*. In addition, two copies of the Dissertation must be available for public reading before *the scheduled defense date* (one with the Departmental Secretary, the other in a location suitable for general access by Ph.D. students), *no less than two (recommended three) weeks before the scheduled defense date*.

#### **f. Scheduling the Dissertation Defense**

Arranging and scheduling the completion of the Dissertation and Defense can be difficult. Past experiences of Ph.D. students show that it takes three to six months from the time a student submits a *first complete draft* of the Dissertation to the **dissertation committee** for review until it is ready for presentation at an oral defense. In scheduling the date of the Dissertation Defense, the student and **dissertation chair** need to consider the following:

- When the complete final draft will be finished, and how much reading time is required by committee members
- When the **dissertation defense/examining committee** members can attend, and, hopefully, when it is convenient for other faculty and student members of the Ph.D. Program to attend
- The room and time availability at the university (reserve a room in the Architecture and Urban Planning Building for three hours from the Departmental Secretary),

- The minimum two-week (recommended three-week) time period for **dissertation defense/examining committee** (as specified by the committee) and public reading of the Dissertation prior to the Defense (as above). An email to the Ph.D. Program Chair should confirm that this has been done.
- The student should observe UWM Graduate School deadlines for Dissertation submission and graduation. When the student and Committee decide on a date and place, they should notify the Chair of the **Ph.D. Program Committee** (the student, however, is responsible to advertise the event publicity).
- The Dissertation Defense must be held at least two weeks prior to UWM's Graduation Ceremony dates.

#### g. Evaluating the Dissertation Defense (Approval, Deferral, Failure, Pass)

The Dissertation Defense covers the methodological, substantive, and theoretical content of the dissertation, and provides the student with an opportunity to demonstrate to the dissertation defense/examining committee the ability to explain ideas and methods embodied in the dissertation and to defend the implications and conclusions of the research. All committee members are responsible for reading the Dissertation in its entirety and for voting on the Dissertation. A typical defense includes about an hour of presentation by the candidate, followed by about an hour of questions from and discussion with the dissertation defense/examining committee and others present.

At the conclusion of the Dissertation Defense, the **Dissertation Defense or Examining Committee** members shall vote either Pass or Fail, or they may decide to defer their assessment of the Dissertation Defense to a later date. The Warrant must indicate **pass, fail, or defer**. Clarifications and editorial changes to the manuscript may be made within ten working days, or if the Committee determines that the student needs more than ten working days to complete revisions, a "Doctoral Defense Deferral Form" must be so marked and forwarded to the Graduate School as soon as the Dissertation Defense is over. If the revisions are not submitted and approved and notification received by the Graduate School within ten working days, a status of Deferral is automatically assigned.

Specific reasons for the **deferral**, the conditions for removal of the **deferral**, and the completion date (up to a maximum of four months) required by the **dissertation defense/examining committee** must be communicated in writing to the student, with a copy to the Chair of the **Ph.D. Program Committee** and the Graduate School. The student in Deferral status cannot graduate and must register for the next semester if the Deferral is not changed to a Pass by the time of the Graduate School deadline for submission of the Dissertation. The entire **dissertation defense/examining committee** is responsible for verifying that the Dissertation revisions have been made to their satisfaction. At this point, the **dissertation defense or examining committee** passes or fails the Dissertation and the **dissertation chair** returns the signed Warrant to the Graduate School. If the Deferral status is not removed by the required date of completion, the Deferral lapses into a Fail.

Students who **fail** the defense may re-defend once after a waiting period, to be determined by the Dissertation Examination Committee and communicated to the student in writing. The Graduate School requires that this second defense take place within *one calendar year* of the date of the original defense. A new "Application for the Doctoral Dissertation Defense and Graduation" and a new Warrant are required before this defense can be conducted.

After the student has successfully completed the oral Defense, and the vote is **pass**, any revisions must be approved by the **dissertation chair** and the signed Warrant must be returned to the Graduate School no more than ten working days after the Dissertation Defense and at least one week prior to the Commencement Ceremony date for that semester. Two final unbound copies of the approved and signed Dissertation on 25% cotton bond paper, one additional copy of the Dissertation Abstract, and additional forms indicated in the Graduate School's *Thesis and Dissertation Instructions* and given the student at the time of the dissertation format review must be delivered to a degree-processing person in the Graduate School at least one week prior to the Commencement Ceremony.

## 10. **ENROLLMENT, CONTINUATION & COMPLETION**

### a. **Enrollment**

Students holding departmental or research assistantships (T.A., R.A., or P.A.), AOP fellowships, or other Graduate School fellowships are required to enroll in a minimum number of credits (see the SARUP Student Affairs/Advising Office or the Graduate School for the number of credits required and how these vary by type of assistantship and fellowship). Students with dissertator status must enroll each Fall and Spring semester for a minimum of 3 graduate level credits until the doctoral dissertation is filed in the University Library. If a student fails to maintain continuous registration after reaching dissertator status, the candidate will be required to pay a Doctoral Dissertation and Degree Completion fee equal to 12 times the current per credit dissertator fee/tuition rate. Summer registration is required if the student wishes to graduate at the end of the summer.

### b. **Continuation in Good Standing**

Any student's continuation in the program is at the discretion of the Graduate School, the **Ph.D. Program Committee**, and the recommendation of the **major professor** and/or **dissertation chair**. A doctoral student will be placed on **academic warning/probation** if any one or more of the following conditions exist:

- ***A grade below a B or a semester graduate GPA below 3.0.***

A student who has accumulated nine or more graduate credits with a graduate cumulative GPA below 3.0 *must obtain the approval* of the Graduate Dean, the **Ph.D. Program Committee**, and the student's Major Professor in order to continue in the program. Students who are approved to continue beyond their initial nine or more credits must achieve a graduate cumulative GPA of 3.0 by the completion of a maximum of nine additional graduate credits.

- ***Accumulation of more than one incomplete in any one semester for other than extraordinary circumstances not related to performance in the class (e.g., maternity or health reasons), or more than four incompletes over the period of residency***

A student on academic warning due to accumulated incompletes **MUST** remove all incompletes and all P/progress grades in other than research courses before being eligible to commence the Doctoral Preliminary Examinations. Instructors may change incompletes to a letter grade (including an F) or to a P1 (permanent incomplete) if agreed-upon deadlines for completion have not been met. Any

incompletes remaining after one year will be administratively recorded as a Permanent Incomplete (P1) and cannot be changed subsequently to a letter grade.

- ***The Intermediate Research Project not completed by the required time***

A student on academic warning issued by the ***Ph.D. Program Committee*** due to the Intermediate Research Project or Doctoral Preliminary Examination not being completed by the required time must obtain the written approval of the student's Major Professor and the ***Ph.D. Program Committee*** to continue in the program.

- ***The Doctoral Examination not completed by the required time***

A student on academic warning issued by the ***Ph.D. Program Committee*** due to the Intermediate Research Project or Doctoral Preliminary Examination not being completed by the required time must obtain the written approval of the student's Major Professor and the ***Ph.D. Program Committee*** to continue in the program.

For the above situations, special circumstances (e.g., maternity or health reasons) will be taken into consideration. A petition may be made by the student at any time to the ***Ph.D. Program Committee***. Students concurrently enrolled in other Ph.D. programs will not be allowed to continue in the Ph. D. Program in Architecture at UWM.

A student who is not removed from the "Graduate Dean's OK Required to Continue" status within one year will be *academically dismissed* by the Graduate School. A student who does not meet Graduate School or Architectural program probation and/or continuation requirements will be *academically dismissed*.

### **c. Time Limit**

All requirements for the doctoral degree must be completed within 10 years from the date of the student's initial enrollment in a program of doctoral study at UWM. Students who do not complete their doctoral degree within this time limit will be dropped from the Graduate School.

## **11. THE PH.D. PROGRAM COMMITTEE**

Each program level in the Department has a committee of faculty and students whose authority and responsibilities are established by the codification of the Department of Architecture and Urban Planning and are subject to the rules and policies of UWM. All matters of policy and advancement of Ph.D. students are made by the ***Ph.D. Program Committee***, subject to approval by the full departmental faculty and Graduate School as considered appropriate. The ***Ph.D. Program Committee*** is composed of faculty members and two Ph.D. students. The faculty members constituting the Ph.D. Program Committee are ratified annually by the School of Architecture. The Ph.D. student representatives are elected annually by the community of Ph.D. students.

Within this context, the ***Ph.D. Program Committee*** undertakes the following activities:

- Administrative tasks as described in this handbook

- Recommending to the SARUP faculty changes in policy, program content, courses and curriculum, and administration of the program
- Setting and administering admissions and retention criteria for the program
- Setting and administering the criteria for selecting recipients of various awards and assistantships available to that program
- Assisting with advertising and recruiting
- Course and curriculum review and development
- Providing oversight towards the Ph.D. General comprehensive examinations (which are conducted and supervised by the Major advisor)
- Preparation of 5-year reviews of the entire program
- Providing oversight towards the review and approval of the students program of study proposals dissertation topics and committees (which are conducted and supervised by the Major advisor/Dissertation Chair), and reviewing and updating these program policies and procedures.

Any student as well as any faculty member can and are encouraged to attend **Ph.D. Program Committee** meetings. The dates and agendas of these meetings are posted widely. Generally, the **Ph.D. Program Committee** meets 5-7 times each semester. When the agenda includes certain student personnel matters (e.g., admissions, financial aid, annual reviews, and advancement issues), the **Ph.D. Program Committee** may vote to close the meeting to students. For a matter to be brought to the attention of the committee, a student or faculty member should ask the Chair of the **Ph.D. Program Committee** to place the item on the agenda.

## 12. FINANCIAL ASSISTANCE

Based on the recommendations of the Doctoral Committee, the School of Architecture provides a limited number of **assistantships** in the form of Teaching, Research and Project Assistantships (TA, RA or PA positions). These assistantships are highly competitive and provide stipends and tuition waivers to the top 3 - 5% of total applicants. UWM's Graduate School also provides a limited number of **Graduate Fellowships, Dissertation Fellowships, and Non-Resident Tuition Remissions** for incoming and continuing graduate students. In addition, UWM's School of Architecture provides a limited number of **awards and scholarships** for continuing graduate students following enrollment. This listing of awards and scholarships is updated annually and is available at SARUP's Student Advising Office. If a student is interested in applying for any of these awards and scholarships, **application forms and associated deadlines** are available with SARUP Student Advising. In addition, a number of faculty members heading research institutes, centers, and grant projects hire doctoral students as Research and Project Assistants. It is the responsibility of individual students to explore these financial possibilities and to submit the required application materials on time.

Incoming doctoral students are usually funded for the **first two years** of their doctoral studies, the second year contingent to their academic performance and the availability of funds. Teaching and research opportunities are also available on a competitive basis after the second year of study, when continuing students are mentored to work with program faculty. SARUP expects that by the end of the **fourth** year of Doctoral Studies (from the initial date of enrollment in the program), all students shall complete their required courses (except owing to extenuating circumstances, or special circumstances). In effect, over their **fifth** and **sixth** years of Doctoral Studies, it is likely that should continuing students be funded, this

shall largely be via adjunct Teaching Positions (versus Teaching Assistantships) and/or Research Assistantships assigned to specific faculty.

No SARUP funding shall be available to students beyond their sixth year at UWM. Also, SARUP shall extend no funding to students who are already receiving external and/or internal financial awards at any stage of their academic trajectory at UWM.