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The Berkeley-Haas PhD Program reserves the right to add, discontinue, or modify its policies at any time. Modifications subsequent to the original publication of this Student Handbook may not be reflected here.
PhD Program Office

The PhD Faculty Director, Director of Student Affairs, and Assistant Director are among the most important contacts you will have on campus. The PhD Program Office will monitor your academic progress and generally guide you through the program. The PhD Program Office also maintains the records of all students enrolled in the doctoral program, assist with applications for qualifying exams, academic petitions, registration, and financial aid.

Questions regarding financial aid, fellowship payments, stipend checks, and billing statements should be directed to the Director of Student Affairs.

<table>
<thead>
<tr>
<th>PhD Faculty Director</th>
<th>PhD Director of Student Affairs</th>
<th>PhD Assistant Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nicolae Garleanu</td>
<td>Melissa Hacker</td>
<td>Bradley Jong</td>
</tr>
<tr>
<td><a href="mailto:garleanu@haas.berkeley.edu">garleanu@haas.berkeley.edu</a></td>
<td><a href="mailto:melhacker@berkeley.edu">melhacker@berkeley.edu</a></td>
<td><a href="mailto:bjong@haas.berkeley.edu">bjong@haas.berkeley.edu</a></td>
</tr>
<tr>
<td>(510) 643-6349</td>
<td>(510) 642-3944</td>
<td>(510) 642-1409</td>
</tr>
<tr>
<td>F628</td>
<td>F477</td>
<td>F477</td>
</tr>
</tbody>
</table>

The PhD Program Office is open Monday through Friday unless otherwise noted. Students are notified by email of any office closures.

PhD Faculty Director responsibilities:
- In conjunction with the field advisors, serves as Head Graduate Advisor for all doctoral students.
- Reports to the Dean of the Graduate Division on the acceptability of upper division and graduate courses completed by a candidate at other institutions.
- Endorses applications for candidacy for the PhD degree and for qualifying examinations.
- Signs the petitions of doctoral students for various academic matters.
- Supplies information on doctoral students’ progress to the Dean of the Graduate Division.
- Assists the Dean of the Graduate Division in the enforcement of regulations, particularly those relating to registration, admission to graduate courses, and maintenance of acceptable scholastic performance.
- Serves as an intermediary between the students, the faculty, the administration, and the Graduate Division.
- Determines which courses may be taken on a satisfactory/unsatisfactory basis.
- Chairs the PhD Committee. (The PhD Committee handles issues such as admissions, allocation of financial aid, and program requirements. The Committee is composed of the PhD Faculty Director, the Director of Student Affairs, the faculty field advisors, and the chair of the PhD Association (PhDA).

The Faculty

Internationally recognized leaders in the study of the economic, social, political and technological forces shaping global markets today, members of the Berkeley-Haas Faculty perform important interdisciplinary research with colleagues at Berkeley and at other top universities around the world. The PhD Program and Berkeley-Haas web sites contain information on current faculty teaching and research interests. Faculty mailboxes are located on the fifth floor adjacent to the Faculty Lounge, in F580.

Within Berkeley-Haas, faculty members are associated with fields of study. It is not uncommon for faculty members to be associated with more than one field. Some faculty members also hold joint appointments in departments outside of the business school. This will be important to you when you begin to select your degree committee members.
The Field Advisor and Group Chair are the most important faculty members for students as they administer the doctoral program within the field of study.

**Field of Study**

There are seven major fields of study available in the PhD Program: Accounting (ACC), Business and Public Policy (BPP), Finance (FIN), Marketing (MKT), Operations Management (OITM), Management of Organizations (MORS), and Real Estate (RE). In addition, there are other fields that sponsor courses or support research centers. These are Economic Analysis and Public Policy (EAP), Institute of Business and Economic Research (IBER).

<table>
<thead>
<tr>
<th>Field of Study</th>
<th>2015-2016 Group Chair</th>
<th>2015-2016 Field Advisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACC</td>
<td>Sunil Dutta</td>
<td>Panos Patatoukas</td>
</tr>
<tr>
<td>BPP</td>
<td>Rui de Figueiredo</td>
<td>Steven Tadelis</td>
</tr>
<tr>
<td>FIN</td>
<td>Annette Vissing-Jorgensen</td>
<td>Martin Lettau</td>
</tr>
<tr>
<td>MKT</td>
<td>Leif Nelson</td>
<td>Ganesh Iyer</td>
</tr>
<tr>
<td>OITM</td>
<td>Candace Yano</td>
<td>Candace Yano</td>
</tr>
<tr>
<td>MORS</td>
<td>Toby Stuart</td>
<td>Laura Kray &amp; Ming Leung</td>
</tr>
<tr>
<td>RE</td>
<td>Nancy Wallace</td>
<td>Nancy Wallace</td>
</tr>
</tbody>
</table>

The Field Advisors assist doctoral students in many ways. Their main duties include:

- Reviewing each new student’s prior work and determines what requirements or prerequisites have been satisfied.
- Assisting students in selecting a program of study; approve each student’s program of study, and monitors academic progress.
- Scheduling and help direct student preparation for the preliminary written field examinations (prelims).
- Determine that a student is prepared for the oral examination and advancement to candidacy.
- Coordinate the allocation of the field’s student financial aid resources.
- Serve as members of the PhD Committee, making admissions decisions and formulating policy for the program.

**PhD Association**

The PhD Association (PhDA), funded by Berkeley-Haas, represents all students in the PhD Program on official University matters.

The PhDA activities and purpose includes:

- The PhDA provides a voice for PhD students at Berkeley-Haas, both within the school and in the wider campus community.
- The PhDA Chair sits on the PhD Committee.
- A PhDA representative sits on the business school’s Computer Policy Committee.
- The PhDA organizes social get-togethers for the PhD students.
PhD Officers/Peer Advisors serve one-year terms. The current officers are:

<table>
<thead>
<tr>
<th>Department</th>
<th>Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACC</td>
<td>Henry Laurion</td>
</tr>
<tr>
<td>BPP</td>
<td>Sibo Lu</td>
</tr>
<tr>
<td>FIN</td>
<td>Troup Howard</td>
</tr>
<tr>
<td>MKT</td>
<td>Andy Chen</td>
</tr>
<tr>
<td>MORS</td>
<td>Katherine Ullman</td>
</tr>
<tr>
<td>RE</td>
<td>Haoyang Liu</td>
</tr>
<tr>
<td>Social Chair</td>
<td>Sam Tan</td>
</tr>
</tbody>
</table>

The PhD student lounge is located in F534. This is a place where you can sit to relax, eat your lunch or meet with other students. Berkeley-Haas PhD student mailboxes are located in the PhD lounge. Students are strongly advised not to leave valuables in boxes or the lounge area.

All new PhD students are assigned a desk and Berkeley-Haas desktop computer. In most cases, this means a carrel in a multi-person office. The Peer Advisors and the PhD Office are responsible for assigning new students to their desks.

**Student Email**

We communicate primarily by email. You can log onto your Berkeley-Haas email account from home, any Berkeley-Haas computer as well as from the Berkeley-Haas computer center. Check your email often, as most administrative and financial information will be conveyed through this mode of communication.

**Important points of contact**

- Berkeley-Haas PhD Program: Located in F477. (510) 642-1409.
- GSI/GSR Hiring Coordinator: Located in S522. (510) 642-0004.
- Room keys and reservations: Located in S549. roomres@haas.berkeley.edu
- Reporting building problems during work hours: fixit@haas.berkeley.edu
- Berkeley-Haas Lost & Found: lost@haas.berkeley.edu
- Berkeley-Haas Security Guard: (510) 292-7800
- Computer Helpdesk: (510) 642-0434. helpdesk@haas.berkeley.edu
- Berkeley-Haas Student Resources: http://haas.berkeley.edu/students.html
- UC Emergency for Police: 911
- Cell Phone Users for Police: (510) 642-3333
- Police (non-emergency): (510) 642-6760

**Registering for Classes**

Registration is done online through TeleBears. The process is the same for students each semester. You will receive an email notice from the Berkeley Registrar’s office indicating your registration appointment window. Reminders will also be sent out from the PhD Program office. All Berkeley-Haas PhD students are required to maintain full-time status. In order to be considered a full-time student you must be enrolled in at least 12 units each semester.
Make an appointment to meet with your field advisor to lay out an initial list of required courses and options. Advice from other students also helps in planning your semester. The campus schedule of classes can be found online at: http://schedule.berkeley.edu. You can also find a complete listing of Berkeley-Haas classes on the internal web page: www.haas.berkeley.edu/Phd/current.html and click on “Haas PhD Course Information” and then select PhD from the dropdown menu.

You can visit the web pages of outside departments for additional information on their courses that you are considering. Find out if the course requires an “advisor code” in order to register. An advisor code is a 4 digit number you will be asked to enter on Telebears. Two of the numbers come from your home department (Berkeley-Haas) and two will come from the department offering the class.

Register for classes on telebears: https://telebears.berkeley.edu/telebears/home. You may find you need to change your schedule after you have registered for classes. The add/drop period, also called the adjustment period, takes place during the first three weeks of classes. The PhD program office can assist you with adding or dropping classes and changing grading options after the three week deadline. Please visit the PhD Program Office as soon as you make your decision, and before the last day of instruction for the given semester.

Academic Student Calendar

To view the annual academic student calendar please visit: http://registrar.berkeley.edu/CalendarDisp.aspx?terms=2014D and http://registrar.berkeley.edu/prospective_students/registration_enrollment/stucal.html to view other important deadlines. You are responsible for familiarizing yourself with these dates and important deadlines.

Curriculum

Accounting

REQUIREMENTS YEARS I & II

Required Courses Years I & II

- ECON 204 Math Tools for Economics—prerequisite for ECON 201A (summer before first year).
- ECON 201A Economic Theory (Fall of first year).
- ECON 240A Introductory Econometrics (Fall of first year).
- ECON 201B Economic Theory (Spring of first year).
- ECON 240B Econometrics or ARE 212 Econometrics 2 (Spring of first year).
- PHDBA 375 Teaching Business—prerequisite to work as GSI (Spring of first year).
- ARE 213 Applied Econometrics (Fall of second year).
- ECON 234C Financial Decision Making in Firms (Spring of second year).
- PHDBA 229A-D Doctoral Courses in Accounting Research (offered in all semesters).
- PHDBA 229S Seminar Series in Accounting Research (offered in all semesters).

Required Research Papers Years I & II

- First-year research paper (due in the fall semester of the 2nd year).
- Second-year research paper (due in the fall semester of the 3rd year).

Preliminary Examination End of Year II
The preliminary examination primarily involves the material covered in the doctoral seminars in accounting research, but familiarity with other areas of accounting is expected. This knowledge is acquired through courses and independent reading.

REQUIREMENTS YEARS III THROUGH GRADUATION

Required classes each semester until graduation
- PHDBA 229A-D Doctoral Seminars in Accounting Research
- PHDBA 229S Seminar Series in Accounting Research

Options
- PHDBA 602 Independent Study/Supervised Research
- PHDBA 299 Independent Research

Oral Qualifying Examination (before the end of 6th semester, no later than June 30th)
Students submit and defend their dissertation proposals in the oral qualifying examination before the end of the third year. The objective is to determine whether students have the intellectual capacity and academic preparation to complete the program. Successful completion of prior phases of the program and a well-defined research proposal are required.

Dissertation
A dissertation is the formulation and completion of a major research project and its written presentation. It is the last step in the program. The university has specific guidelines for completing the dissertation. A faculty committee reviews the dissertation as an ongoing process. The committee is chosen by the student and must consist of three or more faculty members, one of whom must be from a department outside of Haas. When all members are satisfied, they sign off on the dissertation to signify their approval. The student then files the work with the University.

Business and Public Policy

Requirements Years 1 and 2:

Core Classes: Required and used to determine overall GPA for BPP; need 3.3 cumulative GPA in these classes.

<table>
<thead>
<tr>
<th>1st Semester - Fall</th>
<th>2nd Semester - Spring</th>
<th>3rd Semester - Fall</th>
<th>4th Semester - Spring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Econ 201A</td>
<td>Econ 201B</td>
<td>PHDBA C270</td>
<td>Econ 224</td>
</tr>
<tr>
<td>Econ 240A</td>
<td>Econ 240B OR ARE 212</td>
<td>PHDBA 279S</td>
<td>PHDBA 279A, B and/or C</td>
</tr>
<tr>
<td>PHDBA 297B</td>
<td>PHDBA 279A, B and/or C</td>
<td>PHDBA C270</td>
<td>PHDBA 279S</td>
</tr>
<tr>
<td>PHDBA 279S</td>
<td>PHDBA 375</td>
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</tr>
</tbody>
</table>

The table only outlines the required courses listed below. Students are expected to meet with the BPP Field Advisor to find additional courses or enroll in PHDBA 602 starting in their 3rd semester.

☐ Econ 204 Mathematical Tools for Economics, Prerequisite for Econ 201A; taught in the summer

☐ Econ 201A Economic Theory
☐ Econ 201B Economic Theory
☐ Econ 240A Introductory Econometrics or another Econometrics class approved by the BPP Field Advisor
☐ Econ 240B Introductory Econometrics OR ☐ ARE 212 Econometrics
☐ Econ 224 Economics of Institutions
PHDBA 279A, PHDBA 279B, PHDBA 279C Doctoral Seminars in BPP

- PHDBA 279A Teaching Business (required to work as a GSI)
- PHDBA 279B Research and Theory in Business: Behavioral Science
- PHDBA C270 Institutional Analysis (from the second year on)
- PHDBA 279S Research Seminar in Business and Public Policy - All students are required to enroll in, attend, and present their original research in the BPP student seminar, PHDBA 279S, from the fall of their second year in the program until they have graduated. First year students are strongly encouraged to audit the PHDBA 279S.

Optional Classes
- Additional courses in economics or political economy
- Additional courses in any outside discipline
- Additional methodology courses in any department
- Additional courses in BPP or any course relating to the student’s particular interests within the field

Requirements Years 1 and 2 (continued):
- Second-year research paper; due in the summer between the 2nd and 3rd year.
- Preliminary Examination
The exam is taken immediately after completing the BPP field sequence and covers the material in those seminars. The exam consists of the second year paper (above) and a two-day written test, and is usually administered during the month following the end of the student's second year.

Requirements – Years 2-graduation

Required Classes
- PHDBA C270 Institutional Analysis (from the second year on)
- PHDBA 279S Research Seminar in Business and Public Policy - All students are required to enroll in, attend, and present their original research in the BPP student seminar, PHDBA 279S, from the fall of their second year in the program until they have graduated.

Options:
- PHDBA 602 Independent Study/Supervised Research
- PHDBA 299 Independent Research

Oral Qualifying Examination
- QE before the end of the third year (6th semester), no later than June 30th
Students submit and defend their dissertation proposals in the oral qualifying examination before the end of the 3rd year. The objective is to determine whether students have the intellectual capacity and academic preparation to complete the program. Successful completion of prior phases of the program and a well-defined research proposal are required.

Dissertation
A dissertation is the formulation and completion of a major research project and its written presentation. It is the last step in the program. The university has specific guidelines for completing the dissertation. A faculty committee reviews the dissertation as an ongoing process. The committee is chosen by the student and must consist of three or more faculty members, one of whom must be from a department outside of Haas. When all members are satisfied, they sign off on the dissertation to signify their approval. The student then files the work with the University. The BPP group expects most dissertations to be completed at the end of the fourth year.

Term Paper Policy
Not wanting students to waste time on papers that have no future, and second, preventing students from using the exact same paper to fulfill several requirements, the BPP faculty have decided on the following policy:
1. Students cannot use the exact same paper for credit for multiple courses.
2. Students can use different components of the same broad project for multiple courses. Students should indicate in their submission how the paper differs from other graded work.
3. To the extent that papers have some overlap, this is acceptable, but the student should make clear to faculty what the overlap is, and faculty can grade the project accordingly. To be clear, if you have a great project that
you're investing a lot of time in, this project might (with some tweaking) be used across courses -- but we'll set a high bar in grading it to the extent that it is a paper that is earning you credit in two courses.

4. If students cannot finish their term papers by the due dates indicated in their courses syllabi, we are very happy to grant an extension. You will receive an incomplete grade for now, and you can turn in your work before August 31 to receive a letter grade. As far as we can tell, this is costless to you (you simply need to check in with the PhD office once we assign you a letter grade). It is advised, however, that you not postpone submitting a course-paper that may not turn into a dissertation chapter. This way you can use the summer to make significant progress on work that is more likely to lead to a dissertation chapter.

**Finance**

**Requirements Years 1 and 2:**

Core Classes: Required and used to determine overall GPA; need 3.3 cumulative GPA in these classes.

<table>
<thead>
<tr>
<th>1st Semester - Fall</th>
<th>2nd Semester - Spring</th>
<th>3rd Semester - Fall</th>
<th>4th Semester - Spring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Econ 201A</td>
<td>Econ 201B</td>
<td>PHDBA 239C</td>
<td>PHDBA 239DA</td>
</tr>
<tr>
<td>Econ 240A</td>
<td>Econ 240B</td>
<td>PHDBA 239S</td>
<td>PHDBA 239DB</td>
</tr>
<tr>
<td>PHDBA 239A</td>
<td>PHDBA 375</td>
<td>PHDBA 239S</td>
<td>PHDBA 239S</td>
</tr>
<tr>
<td></td>
<td>PHDBA 239B</td>
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</tr>
</tbody>
</table>

The table only outlines the required courses listed below. Students are expected to meet with the Finance Field Advisor to find additional courses or enroll in PHDBA 602 starting in their 3rd semester.

- Econ 204 Mathematical Tools for Economics, Prerequisite for Econ 201A; taught in the summer

- Econ 201A Economic Theory
- Econ 201B Economic Theory
- Econ 240A Econometrics
- Econ 240B Econometrics
- PHDBA 375 Teaching Business (required to work as a GSI)
- PHDBA 239A Discrete-Time Asset Pricing
- PHDBA 239B Continuous-Time Finance
- PHDBA 239C Empirical Finance
- PHDBA 239DA Microstructure (7.5 weeks)
- PHDBA 239DB Corporate Finance (7.5 weeks)
- PHDBA 239S Finance Seminar (every semester after the first year)

**Highly recommended (depending on field):**

- PHDBA 297T Inefficient Markets
- PHDBA 239E Dynamic Game Theory and Applications
- ECON 202AB Macroeconomic Theory
- ECON 219A Applications of Psychology and Economics
- ECON 220AB Industrial Organization
- ECON 234C Financial Decision-Making in Firms
- ECON 236AB Aggregate Economics
- ECON 240AB Econometrics
- ECON 244 Applied Econometrics
- ECON 280AB International Economics

**Other optional classes:**
ECON 209A Theory and Applications of Non-Cooperative Games
ECON 250ABC Labor Economics
PHDBA 297B Research and Theory in Business: Behavioral Science
STAT 200A Statistics
STAT 204 Summary of Stat 205A and Stat 205B
STAT 205A Probability Theory and Measure Theory
STAT 251 Stochastic Calculus
MATH 104 Real Analyses
MATH 105 Analysis
MATH 202A Measure Theory

**Requirements Years 1 and 2 (continued):**

- Students are *required* to produce a research paper that identifies an open question in the literature and poses a potential solution. Students submit these papers at the end of the summer of the first year to the field advisor and present their work in a seminar early in the fall semester of their second year.

**Preliminary Examination**

This is given in the summer at the end of the second year. The exam consists of two parts. The written examination day takes place at the beginning of the summer for eight hours and closed book. The second part is a paper requirement, which has to include a novel piece of research to be written under the supervision of at least two faculty members. The papers are due in early August and will be presented to the faculty at the beginning of the fall semester.

**Requirements – Years 2-4**

**Core (Required) Classes**

- PHDBA 239S Finance Seminar (every semester after the first year)

All students are required to enroll in, attend, and present their original research in the Finance student seminar, PHDBA 239S, from the fall of their second year in the program until they have graduated.

**Options:**

- PHDBA 602 Independent Study/Supervised Research
- PHDBA 299 Independent Research

**Presentations**

Starting in the third year, students have to present their research to the faculty and fellow students in a formal seminar.

**Oral Qualifying Examination**

- QE before the end of the third year (6th semester), no later than June 30th

Students submit and defend their dissertation proposals in the oral qualifying examination before the end of the 3rd year. The objective is to determine whether students have the intellectual capacity and academic preparation to complete the program. Successful completion of prior phases of the program and a well-defined research proposal are required.

**Dissertation**

A dissertation is the formulation and completion of a major research project and its written presentation. It is the last step in the program. The university has specific guidelines for completing the dissertation. A faculty committee reviews the dissertation as an ongoing process. The committee is chosen by the student and must consist of three or more faculty members, one of whom must be from a department outside of Haas. When all members are satisfied, they sign off on the dissertation to signify their approval. The student then files the work with the University.
Management of Organizations

Requirements: Years 1 and 2:

**Macro Track Core (Required) Classes**

- PHDBA 375 Teaching Business (required to work as a GSI)
- PHDBA 297B Research and Theory in Business: Behavioral Science

- Four (4) doctoral level courses in an outside department, usually Psychology or Sociology; sometimes Economics, Political Science, Education, Public Health, Anthropology, Computer Science, Engineering, or History.
- Advanced methods courses (2 courses minimum)
- PHDBA 259A Research in Micro-Organizational Behavior (1 semester – Fall of 1st year only)
- PHDBA 259B Research in Macro-Organizational Behavior (2 semesters)
- PHDBA 259S Research Seminar in Management of Organizations – All MORS students are required to enroll each semester starting in year 1. Students are required to give a research presentation each year starting year 2 until graduation.
- PHDBA 297T Macro-Org Behavior Classical Overview (1/2 semester course – Fall of 1st year only)

**Optional Classes**

- ECON 250A, B, or C labor Economics
- ECON 224 Economics of Institutions
- ARE 212 and ARE 213 Econometrics
- Students without adequate backgrounds in statistics should take multiple intermediate statistics courses.
- Additional courses on research methods in any department are strongly recommended.

**Micro Track Core (Required) Classes**

- PHDBA 375 Teaching Business (required to work as a GSI)
- PHDBA 297B Research and Theory in Business: Behavioral Science

- Two doctoral level courses in Psychology
- Two advanced methods courses (usually in Psychology)
- PHDBA 259A Research in Micro-Organizational Behavior (2 semesters)
- PHDBA 297T Macro-Org Behavior Classical Overview (1/2 semester course – Fall of 1st year only)
- PHDBA 259S Research Seminar in Management of Organizations – All MORS students are required to enroll each semester starting in year 1. Students are required to give a research presentation each year starting year 2 until graduation.

**Optional Classes**

- Additional courses in any outside discipline
- Students without adequate backgrounds in statistics should take multiple intermediate statistics courses.
- Additional courses on research methods in any department are strongly recommended.
Requirements: Years 1 and 2 (continued):

☐ Preliminary (Comprehensive) Examination
The written examination is taken during the summer between the 1st and 2nd year. It tests mastery of the basic subject matter of the field.

☐ Second-year research paper:
Management of Organizations students must prepare an empirical paper, written in journal article style, during the summer between their 2nd and 3rd years. It must be submitted to faculty before the last Friday in July for review. This paper must be approved by two Management of Organizations faculty members in order for students to continue in the program. Management of Organizations students are expected to participate in research seminars, colloquia, and student group meetings from the beginning of their program.

Requirements: Years 2 through graduation

Options:
☐ PHDBA 602 Independent Study/Supervised Research
☐ PHDBA 299 Independent Research

Oral Qualifying Examination
☐ QE before the end of the 3rd year (6th semester), no later than June 30th
Students submit and defend their dissertation proposals in the oral qualifying examination before the end of the 3rd year. The objective is to determine whether students have the intellectual capacity and academic preparation to complete the program. Successful completion of prior phases of the program and a well-defined research proposal are required.

Dissertation
A dissertation is the formulation and completion of a major research project and its written presentation. It is the last step in the program. The university has specific guidelines for completing the dissertation. A faculty committee reviews the dissertation as an ongoing process. The committee is chosen by the student and must consist of three or more faculty members, one of whom must be from a department outside of Haas. When all members are satisfied, they sign off on the dissertation to signify their approval. The student then files the work with the University.

Marketing

Requirements Years 1 and 2:

Consumer Behavior Track:

Core (Required) Classes:

☐ PHDBA 269A Buyer Behavior
☐ PHDBA 269B Choice Modeling
☐ PHDBA 269C Marketing Strategy
☐ PHDBA 375 Teaching Business (required to work as a GSI)
☐ ECON 101A or 201A Micro Economics
☐ PSYCH 205A Psychological Statistics and Data Analysis
☐ PSYCH 205B Psychological Statistics and Data Analysis
☐ One semester of Social Psychology (e.g. PSYCH 250B Perspectives in Personality: Trends and Issues, PSYCH 290J Seminar: Social)
☐ One semester of Cognitive Psychology (e.g. PSYCH 290Q Seminar: Cognition, PSYCH 210C Proseminar: Cognition, Brian, and Behavior) or Behavioral Decision theory (need #)
Options:
- PHDBA 269D Special Research Topics in Marketing
- ECON 219B
- ECON 204A/B Introduction to Econometrics
- At least three electives approved by the Marketing Field Advisor

Requirements Years 1 and 2:
Marketing Science Track:

Core (Required) Classes:
- Econ 204 Mathematical Tools for Economics, Prerequisite for Econ 201A; taught in the summer; only required for Marketing Science Students

Requirements Years 1 and 2:
Marketing Science Track:
Core (Required) Classes Continued:

- PHDBA 269A Buyer Behavior
- PHDBA 269B Choice Modeling
- PHDBA 269C Marketing Strategy
- PHDBA 375 Teaching Business (required to work as a GSI)
- Econ 201A Economic Theory
- Econ 201B Economic Theory
- Econ 240A Introduction to Econometrics
- Econ 240B Introduction to Econometrics
- Econ 241A Econometrics
- Econ 220A Industrial Organization
- Econ 220B Industrial Organization
- At least three electives approved by the Marketing Field Advisor

Options:
- Additional methodology courses in an outside department
- PHDBA 269D Special Research Topics in Marketing

Consumer Behavior and Marketing Science Requirements
Years 1 and 2:
- Preliminary Exam: The field exam is taken during the summer between the second and third year. This is an open book exam with two components: breadth and depth. The breadth portion of the exam is based on the basic discipline and required courses on topics outside areas of student expertise (usually Choice Models and Marketing Strategy). The student will be asked to select four questions from a larger set. The depth portion of the exam is based on general knowledge in consumer behavior and decision making, and the student's area of research. In preparation for the depth portion of the exam, the student will be given a list of approximately 50 papers. The student will answer four questions related to these papers. Expected time is 4 hours. The second portion of the
exam will have two questions about the student’s area of research. In the third portion of the exam, the student
will be given a paper to review which should be submitted within 24 hours.
☐ Second-year paper: The second-year paper is done under the supervision of a faculty member and can be
completed either as an independent study or a joint research project. The paper must be of publishable quality.
☐ End of Second-year Overall Evaluation: At the end of the second year the faculty will conduct an overall
evaluation of each student's record, which includes performance in the courses taken, performance in the written
examination, quality of second-year paper, quality of the presentation based on the second-year paper, and general
relation of the student with the program.
This is given in the summer (mid-June) at the end of the second year. The exam consists of two parts written on
consecutive days. Each examination day is eight hours and closed book. On the first day, the questions are based
on the required finance field courses. On the second day, questions test general finance knowledge and intuition.

**Requirements – Years 2-4 (consumer & science)**

**Core (Required) Classes**
☐ PHDBA 269S Marketing seminar (every semester after the first year)
All students are required to enroll in, attend, and present their original research in the Marketing student seminar,
PHDBA 269S, from the fall of their second year in the program until they have graduated.

*Options:*
☐ PHDBA 602 Independent Study/Supervised Research
☐ PHDBA 299 Independent Research

**Oral Qualifying Examination**
☐ QE before the end of the 3rd year (6th semester), no later than June 1st
Students submit and defend their dissertation proposals in the oral qualifying examination before the end of the 3rd
year. The objective is to determine whether students have the intellectual capacity and academic preparation to
complete the program. Successful completion of prior phases of the program and a well-defined research proposal
are required.

**Dissertation**
A dissertation is the formulation and completion of a major research project and its written presentation. It is the
last step in the program. The university has specific guidelines for completing the dissertation. A faculty
committee reviews the dissertation as an ongoing process. The committee is chosen by the student and must
consist of three or more faculty members, one of whom must be from a department outside of Haas. When all
members are satisfied, they sign off on the dissertation to signify their approval. The student then files the work
with the University.

**Real Estate**

**Requirements Years 1 and 2:**

**Core Classes: Required and used to determine overall GPA; need 3.3 cumulative GPA in these classes.**

<table>
<thead>
<tr>
<th>1st Semester - Fall</th>
<th>2nd Semester - Spring</th>
<th>3rd Semester - Fall</th>
<th>4th Semester - Spring</th>
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<tbody>
<tr>
<td>Econ 201A</td>
<td>Econ 201B</td>
<td>PHDBA 239C</td>
<td>PHDBA 239DA</td>
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<tr>
<td>Econ 240A</td>
<td>Econ 240B</td>
<td>PHDBA 239S</td>
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<td>PHDBA 239A</td>
<td>PHDBA 375</td>
<td>PHDBA 289S</td>
<td>PHDBA 239S</td>
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<td>PHDBA 239B</td>
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<td>PHDBA 289S</td>
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The table only outlines the required courses listed below. Students are expected to meet with the Real Estate Field Advisor to find additional courses or enroll in PHDBA 602 starting in their 3rd semester.

- Econ 204 Mathematical Tools for Economics, Prerequisite for Econ 201A; taught in the summer

- Econ 201A Economic Theory
- Econ 201B Economic Theory
- Econ 240A Econometrics
- Econ 240 Econometrics
- PHDBA 375 Teaching Business (required to work as a GSI)
- PHDBA 239A Discrete-Time Asset Pricing
- PHDBA 239B Continuous-Time Finance
- PHDBA 239C Empirical Finance
- PHDBA 239DA Microstructure (7.5 weeks)
- PHDBA 239DB Corporate Finance (7.5 weeks)
- PHDBA 239S Finance Seminar (every semester after the first year)
- PHDBA 289S Real Estate Seminar (every semester after the first year)

Recommended:
- MATH 104 Real Analyses
- STAT 251 Stochastic Calculus
- ECON 234A Macroeconomic Finance
- ECON 236B Aggregate Economics, Applied Macroeconomics
- ECON 234C Financial Decision-Making in Firms
- ECON 209B: Topics course on coordination and asymmetric information in finance and macroeconomics

Options:
- ECON 202A Macroeconomic Theory
- STAT 200A Statistics
- STAT 204 Summary of Stat 205A and Stat 205B
- ECON 202B Macroeconomic Theory
- ECON 224 Applies Econometrics
- MATH 105 Analysis
- MFE 230Q Introduction to Stochastic Calculus
- MBA 231 Corporate Finance
- MBA 236A Futures and Options Markets
- Math 202A Measure Theory
- Stat 205A Probability Theory and Measure Theory
- Econ 209A Theory and Applications of Non-Cooperative Games
- Econ 220A Industrial Organization
- Econ 241B Maximum likelihood, simulation methods, non-parametric econometrics
- Econ 280B International Economics

Requirements Years 1 and 2 (continued):

- Students are required to produce a research paper that identifies an open question in the literature and poses a potential solution. Students submit these papers at the end of the summer to the field advisor and present their work in a seminar early in the fall semester of their second year. During their second summer, after the preliminary examinations, students work toward producing a polished research paper. This is done under the supervision of two faculty members who evaluate the work. Success in independent research is a requirement for satisfactory progress in the program.
- Preliminary Examination

This is given in the summer at the end of the second year. The exam consists of two parts. The written examination day takes place at the beginning of the summer for eight hours and closed book. The second part is a paper requirement, which has to include a novel piece of research to be written under the supervision of at least
two faculty members. The papers are due in early August and will be presented to the faculty at the beginning of the fall semester.

**Requirements – Years 2-4**

**Core (Required) Classes – Years 2 until graduation**
- PHDBA 239S Finance Seminar (every semester after the first year)
- PHDBA 289S Real Estate Seminar (every semester after the first year)

All students are required to enroll in, attend, and present their original research in the Real Estate student seminar, PHDBA 289S, from the fall of their second year in the program until they have graduated.

**Options:**
- PHDBA 602 Independent Study/Supervised Research
- PHDBA 299 Independent Research

**Oral Qualifying Examination**
- QE before the end of the 6th semester (3rd year), no later than June 30th

Students submit and defend their dissertation proposals in the oral qualifying examination before the end of the 3rd year. The objective is to determine whether students have the intellectual capacity and academic preparation to complete the program. Successful completion of prior phases of the program and a well-defined research proposal are required.

**Dissertation**

A dissertation is the formulation and completion of a major research project and its written presentation. It is the last step in the program. The university has specific guidelines for completing the dissertation. A faculty committee reviews the dissertation as an ongoing process. The committee is chosen by the student and must consist of three or more faculty members, one of whom must be from a department outside of Haas. When all members are satisfied, they sign off on the dissertation to signify their approval. The student then files the work with the University.

**Preliminary Exams**

The written examination (prelims) is usually given at the end of the second year. All students in a field take the exam at the same time. Scores are available in approximately four weeks. Students are notified in writing of their results on the exam. Passing the preliminary exam is a requirement to continue in the PhD Program.

**Higher Degree Committees**

Faculty committees for higher degrees are ad hoc committees acting on behalf of the Administrative Committee of the Graduate Council. Therefore, decisions made by faculty committees for higher degrees are made on behalf of the Graduate Council, not Berkeley-Haas. The Chair of Graduate Advisors recommends appointment of faculty members to committees but final approval rests with the Graduate Division.

These titles are on many of the forms you must fill out as a PhD student:

- Chair of Graduate Advisors (Head Graduate Advisor): For the PhD Program, this is the PhD Faculty Director, not your field advisor.
- Chair: The chair MUST be a faculty member from your area of study at Haas. You may have co-chairs.
- Inside members: The inside members are faculty members from Berkeley-Haas
- Outside member: The outside member serves as the Graduate Dean’s representative and must be a member of the Berkeley Academic Senate. The outside member must hold an appointment in another
department or school outside of Berkeley-Haas (not outside your field of study). The faculty member must not hold any appointment with Berkeley-Haas, even 0%. No exceptions will be granted.

**Oral Qualifying Exam Committee**

All Berkeley-Haas PhD students are required to take their Oral Qualifying Exam and be Advanced to Candidacy by the end of their third year in the program (6th semester in the program). Failure to take and pass the oral exam by this deadline will result in the PhD Program Office requesting Graduate Division place the student on Academic Probation starting their 7th semester.

Formal application to take the Oral Qualifying Exam (also referred to as QE or Orals) must be made four weeks in advance. Forms are available on the PhD Program Office website. Advisors must attest that the student meets all the requirements and is ready to be tested. The Program Director reviews and approves the application. The application is then sent to Graduate Division for final approval. The Graduate Division formalizes the approval to take the qualifying exam and then officially notifies the student and the committee members of their appointment and the subject areas of the exam.

The student is responsible for arranging a time and place of the qualifying exam with the committee members. Once the Graduate Division has approved your application you are admitted to the oral examination. The date can be changed if extraordinary circumstances arise. If the exam is not taken within eighteen months, a new application must be made. Under most circumstances, the student will be informed of the results immediately.

At Berkeley-Haas, the orals committee is composed of four members. The rules for committee makeup are:

1. The chair is from the student’s field of study and must not be the student’s intended dissertation chair.
2. Two members must be from the student’s field of study (one of these is the chair of the committee).
3. A third member may be from the business school, but not necessarily from the student’s major field. (optional)
4. The fourth member must be from outside the business school and not affiliated with Berkeley-Haas.

**Dissertation Committee**

The dissertation committee is typically composed of three people: the chair, the inside member, and the outside member. You may have a co-chair if you wish. The chair of your dissertation committee cannot be the chair of your orals committee. See above for rules regarding the chair and outside member.

**Advancement to Candidacy**

Once a student has passed their oral qualifying examination, s/he will receive an application for candidacy from the PhD Office. This form should be filled out with the required signatures and returned to the PhD Office along with a check payable to UC Regents as soon as possible after the exam is taken. Advancing to candidacy qualifies international students a waiver for nonresident tuition. To remain in good academic standing all fourth year students must be advanced before the start of their fall semester (7th semester in the program). Failure to do so may result in the PhD Program Office requesting Graduate Division to place the individual on academic probation.

**Dissertation**
The Graduate Division website: [www.grad.berkeley.edu/current/index.shtml](http://www.grad.berkeley.edu/current/index.shtml) has a link to the Dissertation Filing Guide. This document is essential in preparing your dissertation and should be consulted before preparing your final copy. The dissertation is filed electronically except for the signature page, which is submitted in person with all ORIGINAL ink signatures. To file a dissertation, students must either be registered for that current semester or on filing fee status.

**Degrees**

Degrees are awarded in May, August, and December only. In order to be considered for a degree you must file your dissertation by the last day of the semester. Check with the PhD Office for the exact dates, since they change year to year.

**MS in Business Administration**

All Berkeley-Haas PhD students are eligible to apply for the MS degree in Business Administration upon completing three requirements: 1) No less than 24 units (two years) of approved graduate level coursework made up of core courses and electives. The required GPA for the MS degree follows the Berkeley-Haas PhD Program Good Academic Standing Policy: Take core courses for a letter grade to achieve the minimum grade of B or better in each individual core course and a cumulative core GPA of 3.3 (B+) by the end of the second year. Students cannot be on probation during the semester they receive the degree. 2) Students must take and pass the written preliminary examination for their field of study. Please note: these requirements are separate and different from the requirements for the PhD degree. In particular, the PhD degree requires an average grade of S (satisfactory) on both parts of the preliminary exam.

**Filing Fee/Summer Filing**

The Filing Fee is a reduced fee (one-half of the University Registration fee) for doctoral students who have completed all requirements for the degree except for filing their dissertation. It is not to be confused with Normative Time, which is the normal time to earn the degree and begins when a student advances to candidacy. The filing fee may be used only ONCE and the dissertation must be filed before it expires. Please consult with the PhD Program Office before going on filing fee status. Students who think they will file their dissertation over the summer should consult with the PhD Program Office to learn about the options available to them.

**Student Funding**

Financial aid is divided into four basic components: awards made by University Fellowship competitions, awards made by University’s Financial Aid office (including student loans and grants-in-aid), awards made by Berkeley-Haas, and outside awards. The aid awarded by Berkeley-Haas is further divided into three components: awards from the PhD program support from the Haas Dean’s Office, and awards made by the student’s field of study.

**Berkeley-Haas PhD Program**

The Berkeley-Haas PhD Program generally provides support to first year students in the form of a basic first year stipend, registration fees, and nonresident tuition. The program will continue to pay student tuition and fees through the fourth year of study assuming satisfactory academic progress. All domestic students are expected to qualify for California residency before they begin their second year. Nonresident tuition will not be covered after the first year for domestic students. Nonresident tuition will not be covered for international students starting the fourth year (7th semester) since all fourth year students are expected to have Advanced to Candidacy by that time.
In years 2–4 the majority of student funding is provided through research (GSR) and teaching (GSI) assistantships within the group.

**Fellowships**

There are several Berkeley-Haas fellowships that are offered each year to students. Announcements are sent out in the spring semester.

**Graduate Student Researchers (GSR)**

Research assistantships are administered by the various departments and research centers of the university and are overseen by the Graduate Division. Hiring is usually done by the faculty member to whom the student will report to. Your field advisor can assist you with securing a GSR position at Berkeley-Haas. Ideally, GSR work provides an opportunity for the student to learn how to conduct good research while earning an income. Students are encouraged to approach faculty members with whom they share interests and offer their services. This is the best way to secure a GSR position. Once hired, students will need to file paperwork and time sheets. Unless you are hired through an institute you should reach out to the Berkeley-Haas GSI/GSR Hiring Coordinator at (510) 642-0004. Criteria summary of eligibility for Graduate Student Academic Appointments can be found here: [http://grad.berkeley.edu/policies/guides/eligibility-appointments/](http://grad.berkeley.edu/policies/guides/eligibility-appointments/).

**Graduate Student Instructors (GSI)**

Graduate student instructors must meet minimum standards (as evaluated by students) and must be able to speak fluent English (determined by a campuswide examination). The Graduate Assembly and the Office of GSI Teaching & Resource Center conducts workshops and training sessions. Students interested in working as a GSI on campus need to review the UC Berkeley Graduate Student Instructor’s website at [http://gsi.berkeley.edu](http://gsi.berkeley.edu). Criteria summary of eligibility for Graduate Student Academic Appointments can be found here: [http://grad.berkeley.edu/policies/guides/eligibility-appointments/](http://grad.berkeley.edu/policies/guides/eligibility-appointments/).

The UC Berkeley campus requires all GSIs to complete a teaching training class. PHDBA 375 – Teaching Business, is taught at Berkeley-Haas and is only offered in the spring semester. PHDBA 375 is the only option Berkeley-Haas PhD students have to fulfill this requirement.

Students who do not speak English as a native language, and do not hold a Bachelor’s degree from an institution in the United States, must demonstrate oral English proficiency to be appointed as a GSI.

GSI duties vary by course and with each instructor. Typical duties include leading discussion sections, holding office hours, and preparing and grading exams. GSIs do not generally grade homework (readers typically do that).

At Berkeley-Haas, the number of GSI positions varies widely by field. In a typical year there might be fifty positions. Please refer to the Berkeley-Haas GSI website for position openings and details about working as a GSI. You can find more information at: [http://groups.haas.berkeley.edu/gsi/](http://groups.haas.berkeley.edu/gsi/). Students may also find opportunities to teach in other departments, such as Economics. GSI paperwork is filed with the individual hiring departments.

**Readers**

Individual faculty members hire readers to grade homework and exams. Reader positions are administered by departments and overseen by Graduate Division. Paperwork and timesheets must be filed with the appropriate department.
Outside Awards

The Graduate Division Fellowship Office (318 Sproul) offers a considerable amount of information on grants and fellowships from sources outside the university. Information on these fellowships and grants can be found on the Graduate Division website: http://www.grad.berkeley.edu/current/index.shtml.

Student Family Assistance

Learn more about campus resources that aid student families in the search for affordable housing, child care, health insurance, and more. Such programs include: family student housing, early childhood education program, parent grant, and GSR childcare reimbursement. More information can be found here: http://grad.berkeley.edu/financial/student_family.shtml. You can also review information regarding Back-Up Child Care available to students. More information can be found here: http://grad.berkeley.edu/backupchildcare/about.php.

Other Resources for Students

Graduate Student Code of Conduct

Your responsibilities and rights as a student of UC Berkeley and Berkeley-Haas can be found on The Center for Student Conduct’s website. The link to their site is: http://sa.berkeley.edu/code-of-conduct.

Graduate Division: Guide to Graduate Policy

The Guide to Graduate Policy is the comprehensive guide to graduate policies and study at UC Berkeley. As a graduate student at Berkeley you are responsible for understanding these policies and procedures. The PhD Program Office will assist you in this endeavor. You can find a searchable version of the Guide to Graduate Policy on the Graduate Division website: http://grad.berkeley.edu/policy/

Berkeley-Haas PhD Program Graduate Withdrawal and Readmission Policy

Before you withdraw, be sure to discuss the matter with your faculty advisor and the PhD Program Office. It is important to get as much information as you can. It is also especially important to know that you are not automatically guaranteed readmission if you withdraw. The group may ask you to reapply as part of the applicant pool being considered for admission at that time. If the faculty in your group decide that your application is not as strong as the others, you will not be readmitted.

Guide to Graduate Policy: http://grad.berkeley.edu/policy/

D1.8 Withdrawal

If instruction has already begun and a student wishes to discontinue study, a withdrawal must be formally requested and processed by the student’s department. Withdrawing results in dropping enrollment in all classes and the student will no longer be able to attend for that semester or any future semester unless readmitted by the department. Any student considering withdrawing should first consult with his or her department since readmission is not guaranteed. A department is not obligated to readmit any student who has withdrawn.

How students who are citizens and permanent residents of the United States withdraw from the University.
Students must approach their departments to process their withdrawal request, which is done through OLADS (Online Add/Drop System). Students may withdraw up to and including the last day of a given semester. The withdrawal covers the entire semester. However, students who withdraw may still be responsible for some or all of their registration fees. The amount of fees that a student may still owe is prorated according to the effective date of the withdrawal.

See the Registrar’s website (http://registrar.berkeley.edu/current_students/registration_enrollment/canwd.html) for further information as well as to determine the exact percentage of fees owed for any given withdrawal date.

**How international students (F and J status) withdraw from the University.**

International students should remain registered at all times. However, continuing students may withdraw for extremely limited reasons and remain in compliance with the federal Students and Exchange Visitors Information System (SEVIS) requirements. Before applying for withdrawal through his or her department, the international student must meet with an adviser at the Berkeley International Office (BIO, located in International House, 2299 Piedmont Avenue; 642-8189). If an international student fails to register or withdraw without consulting with BIO, his or her visa will be in jeopardy, which could result in deportation and denial of re-entry to the United States. More information can be found here: http://internationaloffice.berkeley.edu/students/current/withdrawal.

**Retroactive withdrawal.**

Students who want to withdraw after the semester has ended must complete a “Notice of Withdrawal” form available from the Registrar’s website (http://registrar.berkeley.edu/elecforms/RetroWDPet.pdf). Retroactive withdrawals cannot be processed online. Submit the form to Graduate Services Degrees (318 Sproul Hall) and a memo of explanation and support from the Head Graduate Adviser to the cognizant Associate Dean. If the request is approved, the Withdrawal form will be forwarded to the Registrar’s Office for processing.

**Conditions of withdrawal status.**

Graduate students who withdraw may not use any University facilities except those available to the general public, nor may they make demands on faculty time. To register for subsequent semesters, students must apply for readmission and obtain the approval of the Head Graduate Adviser in their department. A student who chooses to withdraw is not guaranteed readmission. See Section D1.9, “Readmissions,” below.

**Health insurance for students on withdrawal status.**

Graduate students who withdraw to perform field research or to work on their dissertations in California are eligible to apply to purchase SHIP. However, they may only enroll in SHIP for a maximum of two semesters in a non-registered status. For example, if a student purchases SHIP for two semesters during which he or she is withdrawn, the student is ineligible to purchase SHIP while on filing fee status. See the University Health Services website (http://uhs.berkeley.edu/students/insurance/FilingFee.shtml) for enrollment procedures and costs. Students doing dissertation research outside of California should register in absentia which provides SHIP coverage at a greatly reduced cost.

**D1.9 Readmission**

Readmission applies to all students who have ever been registered as graduate students in any program at Berkeley, who have left the University due to a semester withdrawal or the completion of a graduate degree program; students registered in absentia do not need to apply for readmission. No matter how long ago the student
was registered as a graduate student, he or she must apply for readmission, not admission, when planning to re-enter the University.

It is important for students to note that a department is not obliged to readmit a student who has withdrawn for any reason, including an official medical withdrawal. Readmission is recommended at the judgment of the department, which assesses the strength of the student’s academic record in weighing its approval. Although a student may have left having made satisfactory academic progress, some departments weigh petitions for readmission against their pool of new applicants for admission, who may be stronger candidates. To apply for readmission, a student should submit the “Application for Readmission — Graduate Students” for the department’s Head Graduate Adviser to endorse, signifying the program’s approval, and forward it to Graduate Services: Degrees Office (318 Sproul Hall). The student must pay a readmission processing fee. Applications are available at the Registrar’s website (http://registrar.berkeley.edu/GeneralInfo/elecforms.html).

Berkeley-Haas PhD: Good Academic Standing Policy

All PhD students at Haas are expected to maintain satisfactory academic progress toward an approved academic objective as defined by the University, the Graduate Division Guide to Graduate Policy and/or the Berkeley-Haas PhD Program. Satisfactory academic progress is determined on the basis of both the student’s recent academic record and overall performance. To remain in good academic standing a student must make timely progress toward degree completion and maintain satisfactory academic progress in all aspects of their field of study. As stated in every offer letter, our multi-year offer of financial assistance is conditional upon satisfactory academic performance in the program. Failure to meet the conditions below may result in the Berkeley-Haas PhD Program requesting Graduate Division place the student on academic probation or possible dismissal.

NOTE: Unsatisfactory academic progress may be determined on the basis of explicit requirements such as failing to meet those outlined below. However, the professional judgment of the faculty, upon review of all graduate work undertaken by the student, is paramount, and the faculty may establish more restrictive criteria for satisfactory academic progress.

Criteria to determine satisfactory academic progress toward degree are outlined below:

**COURSEWORK REQUIREMENTS**

- Take core courses for a letter grade and achieve a minimum grade of (B) or better in each individual core course. Students who fail to meet the minimum grade of (B) in core classes will be required to retake the class although this requirement may be waived if it is determined by the Faculty Field Advisor and relevant instructors that the student has either progressed to the point of it being unnecessary or an alternative course is deemed suitable and approved.
- The overall cumulative core GPA, calculated by averaging all core courses, must be at least 3.3 (B+) by the end of the second year. If a student retakes a class the PhD Program will only include the higher grade in our calculation. Students are expected to complete all core courses by the end of the second year.
- Maintain a cumulative GPA of at least 3.0.
- Have no more than two courses of unfinished coursework, defined as Incomplete (I), No Grade (blank), and/or No Record (NR) on the transcript.
• Have no more than one-third of the total units of all coursework graded Pass/No Pass or Satisfactory/Unsatisfactory. Excluded from this are PHDBA 299, PHDBA 602, courses offered only S/U, and group seminars. Group seminars are courses that end with “S” (i.e. PHDBA 229S).

PROGRESS TOWARDS THE DEGREE

• Meet all departmental degree requirements in accordance with departmental time limits, including satisfactory performance in core courses and on all required examinations; pass departmental preliminary examinations with a minimum grade of Satisfactory.
• Take and pass the oral qualifying exam by the end of the sixth semester.
• Advancement to doctoral candidacy by the end of the sixth semester.
• Graduate within two years (four semesters) of advancing to candidacy or by the end of ten semesters in the PhD Program, whichever occurs later.
• Form a doctoral committee; present a dissertation prospectus acceptable to the faculty member who agrees to supervise the student’s research and serve as chair of their dissertation committee; successfully pass a final defense of the dissertation when required; and complete a dissertation acceptable to all committee members.
• Evaluation by the appropriate faculty committee that there has been satisfactory progress towards the oral qualifying exam or completion of dissertation.

Please visit this link to familiarize yourself with the UC Berkeley Graduate Division Guide to Graduate Policy: http://grad.berkeley.edu/policy/. It is your responsibility to be aware of the UC Berkeley Guide to Graduate Policy.

F3.2 Normative Time

Normative time. The term “normative” time refers to the elapsed time (calculated to the nearest semester) that students would need to complete all requirements for the doctorate, assuming that they are engaged in full-time study and making satisfactory progress toward their degrees.

Business Administration Normative Time in Candidacy: 2 semesters

For the complete Graduate Division Policy on Normative Time go to: http://grad.berkeley.edu/policies/guides/f3-2-normative-time-and-calculation-of-normative-time-in-candidacy/

E1.8 Academic Probation

Probation for GPA below Graduate Division requirements. At the end of each semester, the Graduate Division reviews the records of all registered graduate students. Following this review, students whose grade-point average is below 3.0 will receive a letter from the Graduate Division informing them that they have been placed on probation and are subject to dismissal if their GPA remains below the minimum 3.0 requirement, or below the department’s requirement which may be higher, by the end of the following semester. A copy of the letter will be sent to each department.
• The Haas PhD Program requires a cumulative core GPA of 3.3 (B+) by the end of the second year.

Probation for students not yet advanced to candidacy. Graduate students who have not yet been advanced to candidacy can be placed on academic probation and ultimately dismissed if they fail to make normal progress toward their degrees. Probation is intended to provide a student whose performance is less than satisfactory with a
period in which to correct the deficiencies and to raise his or her performance to a level consistent with the
minimum standards set by the Graduate Division in consultation with the department. Students on probationary
status may register and enroll, but they may not hold academic appointments, receive graduate fellowships, or be
awarded advanced degrees.
Departments may recommend probation and dismissal on the basis of a written evaluation of the student’s
progress. However, only the Dean of the Graduate Division has the authority to place a student on probation, to
remove probationary status, and, if necessary, to dismiss a student from graduate standing. Some departments
may choose to issue warning letters to apprise students that they are not making satisfactory progress rather than
request formal probation for a student.
For the complete Graduate Division Policy on probation go to: http://grad.berkeley.edu/policies/guides/e1-7-
academic-probation/

E2.1 Dismissal

There are generally two reasons a graduate student may be dismissed: for disciplinary reasons due to violations of
the Code of Student Code and for academic deficiencies. The former is determined by the Vice Chancellor,
Division of Student Affairs at the recommendation of the Office of Student Conduct and with the concurrence of
the Graduate Dean. (For more information, see the Office of Student Conduct website:
http://students.berkeley.edu/osl/sja.asp?id=297)
Dismissal for academic reasons is entirely under the purview of the Graduate Dean under the auspices of the
Graduate Council.

Academic Dismissal. A student is subject to academic dismissal if:
1) the student’s academic deficiencies as determined by the department and the Graduate Division were not
corrected after a reasonable, established period of probation or lapsing; or
2) the student failed the comprehensive, preliminary, or qualifying exam, (however see Appendix A, section 9,
“Academic Standing” and information in second paragraph below) or
3) a department assesses that a student’s academic progress, although sufficient for the award of a master’s
degree, was insufficient to merit the student’s proceeding to the doctoral level, or
4) the student failed to meet the necessary clinical standards in a professional program (e.g., Optometry).

For the complete Graduate Division Policy on Dismissal go to: http://grad.berkeley.edu/policies/guides/e1-8-
dismissal/

Berkeley-Haas Policy for Handling Incidents of Academic Dishonesty

There is a perception that more and more cases of academic dishonesty are going unreported to the campus Center
of Student Conduct and Community Standards (CSCCS) – either because the instructor does not want to invest
the time required to conform to campus policy or because the instructor believes that a significant investment of
time might result in sanction that is insufficient. To begin to reverse this trend, the Office of the Dean wants to
create a culture where all faculty and students know that the faculty expects any instance of academic dishonesty
to be reported, and that certain types of academic dishonesty will result in sanctions more severe than in the past.
To this end, Berkeley-Haas ladder faculty members are resolved that:

1. To ensure that Campus has a formal record, a faculty member will report any incident of academic dishonesty
to the appropriate degree program office.

2. In resolving the incident, the degree program office will take the lead in dealing with both the student(s) and
the campus Center of Student Conduct and Community Standards (CSCCS), involving the faculty member only
when necessary.
3. In cases of blatant academic dishonesty (as defined below), the presumption will be that the faculty member will assign to the student a final course grade of “F” and recommend to the Center of Student Conduct and Community Standards (CSCCS) a one-semester suspension.

Blatant academic dishonesty includes (but is not limited to):

- Arranging for another student to take an exam, or taking another student’s exam,
- Plagiarism consisting of inclusion without proper citation of more than 50 words composed by someone else,
- Submitting an exam answer that is virtually verbatim to that of another student, or willfully allowing other students to copy one’s own exam answers
- Communicating with another student or using a resource (e.g., the internet) during the taking of an in-class or take-home exam, where the instructor has explicitly stated in writing that such communication or resource usage is impermissible.

Based on the specific circumstances of any particular incident, the faculty member retains the right to assign a final grade higher than an “F” and/or recommend to the Center of Student Conduct and Community Standards (CSCCS) a sanction that is less or more severe than one-semester suspension. In any case, the campus Center of Student Conduct and Community Standards (CSCCS) retains final authority to determine a student’s actual academic sanction(s), as per campus policy.

4. At the beginning of each academic year, the Senior Assistant Dean for Instruction (ADI) will send an email to all students that stresses the importance of academic integrity, provides a link to a website with clear definition and examples of plagiarism, and emphasizes the Haas School’s policy regarding academic dishonesty.

**Berkeley-Haas Grade Grievance Procedure**

Students must first attempt to settle a grade dispute informally through discussions with the instructor. Students may include the executive director of their degree program, the campus student Ombuds person, or another mutually accepted third party who can attempt to mediate the dispute informally.

If you are unable to reach a mutually satisfactory resolution with the instructor informally, you may pursue a formal grievance process. This process is initiated when the student presents his/her case in writing to the Haas School’s grievance committee chair, who is the Haas School’s Senior Assistant Dean for Instruction. An ad hoc grievance committee composed of faculty members and students will be convened to review the case.

If the student or the instructor wishes to appeal the conclusions of the ad hoc committee, the case can be sent for review to the Committee on Courses of Instruction (COCI), a standing committee of the Berkeley Academic Senate. COCI has the final authority to uphold or overturn the grade.

Both the Haas School and COCI consider grades to be a matter of academic judgment and subject to grievance only on the basis of the following grounds:

- 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.

Time limit – You must initiate the formal grievance process within one calendar year of the last day of the semester in which the course in question was taken.
Campus Services
Billings and Payment Services - information about University loans and your Campus Accounts Receivable System (CARS) account.
Career Center - sponsors workshops specifically for graduate students and offers Ph.D. career counseling services by appointment.
Child Care - (Early Childhood Education Programs)-for information about campus child care programs.
Computing - for general information on computing services for students, see the "For Students" section of this Web site.
Financial Aid Office - important information for graduate students about student loans and federal student aid.
Housing (Cal Rentals) - Berkeley's own rental listings unit and resource for finding local housing.
Living at Cal - information on housing options on and off-campus.
Libraries - home page for the Berkeley library system.
Library Research Services for Graduate Students - UC Berkeley Library resources for Graduate Students.
Office of the Registrar - for up-to-date information on registration fees, adding/dropping a class, Tele-BEARS, Bear Facts, residency, grades, and more.
Resource - online guide for new Berkeley students with lots of information about shopping, dining, recreation, nightlife, campus organizations,
Student Calendar - important dates for filing and registration.

Arts & Recreation
Berkeley Art Museum and Pacific Film Archive - information on art exhibits, film screenings, collections, and more.
Cal Performances - information on dance, theater, music and other events at Berkeley's Zellerbach Auditorium.
East Bay Regional Parks - learn about the many parks and outdoor activities right in our own backyard!
Recreational Sports Facility (RSF) - information on membership, fitness classes, sports facilities, personal training, and more.

Library Resources
Long Business & Economics Library
www.lib.berkeley.edu/BUSI
Main Number: (510) 642-0370
Reference desk: (510) 642-0400
Located on the third level of the Student Services Building, the Long Library is the Haas School’s business information center. Students have access to an extensive collection of digital and print business information resources for course assignments, job searches, and personal interest explorations. In addition to information resources, library users will find a variety of comfortable study and lounge spaces on the upper and lower levels. A series of six group-study rooms on the lower level may be scheduled in advance through the Haas School’s online reservation service. Most study tables and all carrels are equipped with electrical and network outlets. Wireless connections are provided through AirBears, the campus LAN service.
The Long Library’s web site is your gateway to a variety of resources, including:
• Web-based business databases
• Links to thousands of full-text electronic journals, newspapers, and business magazines
• Guides on where to find business information by topic (industries, marketing, international, companies, etc.)
• A self-guided tour with photos (www.lib.berkeley.edu/BUSI/tour.html)

Using the Library’s Databases from Off-Campus
Most web-based information sources are remotely available to UC Berkeley students through the library proxy server (http://www.lib.berkeley.edu/Help/proxy.html). Since the University Library is funding your access to these online services, you will be required to login with your student ID number and your CalNet passphrase. All databases are under vendor license agreements which restrict access to current UC Berkeley students, faculty, and staff for educational use. Please visit www.lib.berkeley.edu/BUSI for more detailed information about the services offered through the Long Business and Economics Library.

Guide to Library Resources & Services for Berkeley-Haas PhD Students

This guide is intended as an overview of library resources and services of interest to graduate students in the Haas School of Business.

I. UCB'S COLLECTIONS IN BUSINESS & ECONOMICS
Materials in business & economics are scattered in several campus libraries, with the major concentrations in:

**Long Business Library**, Haas School of Business
- print and digital collections in business administration and related subjects.
- contact librarian: Hilary Schiraldi (schiradi@haas)
- homepage: http://www.lib.berkeley.edu/BUSI/
- loan periods - books – 3 months for graduate students

**Doe (Main) Library**
- collections in demography, economics, and government publications
- contact librarian for Economics: Jim Church (email: jchurch@library)
- homepage: http://www.lib.berkeley.edu/doemoff/reference.html
- books and bound journals are located in the Gardner Stacks (underground)
- current, unbound journals are located in the Periodicals Room on the 2nd floor

**Bioscience & Natural Resources Library**, Valley Life Sciences Building
- collections in agricultural and natural resource economics
- contact librarian: Norma Kobzina (email: nkobzina@library)
- homepage: http://www.lib.berkeley.edu/BIOS/
Reference desks are maintained in all three of the major resource centers. Librarians are available to assist you in using the catalogs, databases, and to help you find resources for your research.

Reference Desk contacts:
Long Business & Economics Library - 642-0400 or haasref@library.berkeley.edu
Reference Center, 2nd floor, Doe Library - 642-6657
Bioscience and Natural Resources Library - 642-0546

II. COURSE RESERVES
Reserve materials for undergraduate and graduate courses in business are housed in the Long Business Library. Use the OskiCat online catalog to determine what is on reserve by course number. Request materials at the Circulation Desk, just inside the front door.

III. RESOURCE SHARING IN CALIFORNIA
Resource sharing is a common practice among libraries in California and through programs with Stanford University and the other nine campuses of the University of California, we are able to obtain many of the print materials not be available at Berkeley. Sharing of digital resources is usually not possible due to vendor license agreements.
Stanford/Berkeley program - Berkeley graduate students may use their UCB ID for access to the Stanford University Libraries (http://www-sul.stanford.edu/).

Interlibrary Borrowing - This service is available for retrieving books and journal articles from libraries worldwide. Inquire at any reference desk or at the Interlibrary Borrowing Department, 133 Doe Library. This service takes time and requires advance planning on your part. Further details are available at http://www.lib.berkeley.edu/ILS/ibs.html

The holdings of other University of California libraries may be determined by using the Melvyl Catalog http://melvyl.cdlib.org/

IV. PHOTOCOPYING/PRINTING
Photocopy machines are available in all campus libraries. They operate on coins or copy cards. High volume cards may be purchased in room 321 Moffitt Library. Further information about library photocopying may be found at http://www.lib.berkeley.edu/COPY/. Printing from the library workstations is also available in most campus libraries. The copy cards purchased for photocopying may be used also for printing.

V. OskiCat: BERKELEY’S ONLINE LIBRARY CATALOG
OskiCat is a web-based gateway to the UC Berkeley Library's holdings and other resources. It's quick and easy to use, with flexible, powerful keyword and Boolean search features, and clickable links to authors and subjects. OskiCat also lets you save and mail bibliographic citations to your email account. Use OskiCat to search for book titles, book authors, journal titles, and subject headings on the Berkeley campus. Inventories, self-renewals and recalls may be initiated by catalog users. The URL for OskiCat is http://oskicat.berkeley.edu/

VI. BORROWING MATERIALS FROM CAMPUS LIBRARIES
Your student ID card serves as your library card for borrowing materials. Please present it at the circulation desk of the library you are using on campus to borrow books and journals. You may renew materials yourself without going into a library by using OskiCat. Direct access to materials stored in the Northern Regional Library facility is available through OskiCat. Simply click on the NRLF button next to the title in storage and you may request to have the item returned to the campus in 24-48 hours.

VII. ELECTRONIC JOURNALS
License agreements have been signed with a number of journal publishers for electronic access to their journals. To check whether Berkeley has access to a particular journal, use either the UC E-Journal Finder http://ucelinks.cdlib.org:8888/sfx_u cb/a-z/default or OskiCat http://oskicat.berkeley.edu/. Business Source Complete (http://search.epnet.com/login.aspx?authtype=ip.uid&profile=bai) is the major index of business & economics journals, and JSTOR is the major digital repository for back runs (http://www.jstor.org/). If you don’t find the journal you are seeking, please contact a librarian by phone (510-642-0400) or email (haasref@library.berkeley.edu). The e-journals may be used from any computer on campus, or remotely through the library proxy server http://www.lib.berkeley.edu/Help/proxy.html

VIII. U.C. eScholarship REPOSITORY
IX. DATABASES
The University Library subscribes to hundreds of databases available via the WWW. The best place to start for links to the available business and economics databases is the Long Library's list and descriptions located at http://www.lib.berkeley.edu/BUSI/databases_by_subject.html.
For a broader list of available databases in other subject areas, use the Electronic Resources menu at http://www.lib.berkeley.edu/find/types/electronic_resources.html. A list of engineering and technical databases is available at http://www.lib.berkeley.edu/ENGI/listdbs.html.
Remote access to databases is provided by the library proxy server (http://www.lib.berkeley.edu/Help/proxy.html). You must access all databases through the UCB network to be recognized as a participant in the university's subscription. Many of the databases require clicking on the link located on the Long Library's database list http://www.lib.berkeley.edu/BUSI/databases_by_subject.html.
There is a Data Lab in room 189 of Doe Library, which has two workstations for statistical work with programs such as SAS and SPSS. They are meant for use in social science data projects, using data from such online sources as the Inter-University Consortium for Political and Social Research and a local collection of data sets. Contact Data Services Librarian Harrison Dekker, listed directly below, for an introduction and assistance. He will consider proposals for acquiring new data sets.

Selected Web-Based Databases in Business & Economics

Academic Articles, Working Papers, Dissertations

*Academic Search Complete* - indexes over 10,900 periodicals and journals in the humanities, sciences, and social sciences. Full text is available for most of the publications.

*Business Source Complete* - provides full text for more than 7,400 scholarly business journals and other sources, including full text for nearly 1,100 peer-reviewed business publications.

*Digital Dissertations* - indexes and abstracts dissertations from universities worldwide.

*EconLit* - the major index of journals in economics, covers over 400 journals since 1969.


*International Bibliography of the Social Sciences* - indexes books and journals in the social sciences, including economics since 1981.


*NBer* - since 1994 provides the full text of NBER working papers in economics, indexes all papers.

*Public Affairs Information Service* - latest 10 years of indexing of public affairs and social science journals and books.

*Social Science Citation Index* (Web of Knowledge) use to determine who is citing the work of scholars in the social sciences, 1956-present.

Economic Data and Statistics

*Datasets* - provides thousands of data sets (available only at a dedicated pcs in Long Library and Doe Library’s Data Center)


*Global Financial Database* - excellent for long series of country economic data.


*International Financial Statistics (IMF)* - financial, trade, and national accounts statistics by country.

*Lexis-Nexis Statistical* – indexes the statistical output of the U.S. federal and state governments, international government organizations, and private research organizations.

*SDC Platinum* - provides merger & acquisition transactions, global new issues (IPOs & private placements), syndicated loans, corporate restructurings (bankruptcies), public finance (municipals), private equity (venture capital), corporate governance (poison pills, proxy fights) and more. (available only at a dedicated PC in Long Library.

*SourceOECD* - data and reports from the Organization for Economic Cooperation and Development.
STAT-USA - current and historical U.S. economic and financial data.
World Bank E-Library - fulltext of World Bank books and reports
World Development Indicators - World Bank data on 207 countries since 1960.

News and Popular Literature
Access World News – Full text content of local and regional newspapers (global coverage).
Lexis/Nexis Academic – full text of thousands of newspapers, magazines, journals, reports, etc.
Los Angeles Times (Proquest) – full text coverage since 1999.
New York Times (Proquest) - current and historical full text coverage of the NYT (1857-present).
Wall Street Journal (Proquest) - current and historical full text coverage of the WSJ (1889-present).

Country Information
Economist Intelligence Unit (EIU) - annual and quarterly reports for over 120 countries. Includes current economic and political analysis.
Europa World Online - country political and economic overviews, some statistics
ISI Emerging Markets - textual information and statistics from 33 emerging market economies.

Company and Industry Information
Business Monitor Online - market forecast reports on 14 industry sectors in 55 countries
CorpTech Web Directory - profiles for over 50,000 high tech companies
Hoover's Profiles - company profiles and financials
IBIS World Market Research Reports - profiles and statistics for 702 U.S. industries

Mergent Online - provides the fulltext of annual reports and forms 10-K, also the SEC and Worldscope databases for U.S. and international companies
WRDS - provides access to the S&P Compustat, IBES, and other numeric databases. Register for a password at (http://www.wrds.upenn.edu).

Where do I find in the Long Business Library…?

Many of the "where do I find" questions we receive in the Long Library may be answered by the following examples of resources available. If these do not meet your information need, please ask for assistance at the reference desk (Monday-Friday, 10:00 a.m. - 12 noon, 2:00-4:00 p.m.). http://www.lib.berkeley.edu/BUSI/

FINANCIAL STATEMENTS FOR U.S. and INTERNATIONAL PUBLIC COMPANIES
Current financial statements may be located by using MergentOnline. A link is located under "Databases A-Z" on the Long Library's homepage. Hoover's Online provides easily downloadable financial statements for many companies and Lexis/Nexis Academic contains various company reports in the “BUSINESS” category.

COMPANY PROFILES & HISTORY

AN INDEX OF ARTICLES ON BUSINESS TOPICS
Several databases index business journals, magazines, and newspapers, and the full text of many of the articles will be available online: Business Source Complete, Academic Search Complete, Factiva, Lexis-Nexis Academic.
You may access them by going to the "Databases A-Z" list on the Long Library's homepage.
BOOKS ON HOW TO WRITE A BUSINESS PLAN (OR ANY OTHER TOPIC)
Use the OskiCat online catalog (http://oskicat.berkeley.edu) and do a search on the subject "business planning," or a title word search with the terms "business plans." It is helpful to limit the location to BUSI (Long Library). OskiCat is the catalog for most libraries at UCB and is accessible from an icon on all library computers.

MARKET SHARE
Market Share Reporter (Reference Collection, HF5410 M35) contains market share statistics for thousands of products and industries. MarketResearch Academic, Mintel and the Business and Industry databases are also useful for finding market share.

PRODUCT SALES AND FORECASTS
The Business & Industry Database, MarketResearch Academic, and Mintel are very useful. Use the links on the Long Library's homepage under "Databases A-Z."

INDUSTRY OVERVIEWS AND DATA
IBIS World Industry Market Research provides online full-text reports for over 700 U.S. industries. Standard & Poor's Industry Surveys (Reference HC101 S77) includes overviews for more than 50 major industries. Mergent Industry Review (Reference HG4961 M68) provides additional statistical information. MergentOnline has 14 industry overviews for the U.S., Europe, & Asia Pacific. The Thomson Research/Investext database contains analyst industry reports and Business Monitor Online provides international industry forecasts for up to 58 countries. The Encyclopedia of Products & Industries (Manufacturing) has overviews for over 120 major product categories (Reference HD9720.5 E53).

LIBRARY RESOURCES FOR MARKETING RESEARCH
Long Library Subject Guide #10 provides an overview of databases, websites, and print materials relating to marketing. On the Long Library's homepage (http://www.lib.berkeley.edu/BUSI) click on "Subject Guides."

A LIST OF ELECTRONIC JOURNALS AVAILABLE THROUGH THE LONG LIBRARY
Thousands of journals in business and economics are available in digital format. Please use the ejournals links on the Long Library's homepage (http://www.lib.berkeley.edu/BUSI/electronic_journals.html). The fulltext of many popular business magazines and newspapers is available in Business Source Complete, Factiva, Lexis-Nexis Academic, New York Times(Proquest), and Wall Street Journal(Proquest).

AN ANALYST'S REPORT ON THE BIOTECHNOLOGY INDUSTRY
Thomson Research/Investext provides the full text of thousands of company and industry reports from U.S. and international investment bank analysts. Use the links on the Long Library's homepage under "Databases A-Z."

COUNTRY PROFILES AND ECONOMIC DATA
The EIU Country Reports and Profiles are available for most countries of the world. Information on emerging market economies may be found in ISI Emerging Markets. The International Financial Statistics and World Development Indicators databases provide economic information for the countries of the world since 1948. The Global Financial Database is a good source of long-term, specialized data for many countries. All of these are accessible by using the links on the Long Library's homepage under "Databases A-Z."