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# CHARTERS AND STATUTES

COLUMBIA UNIVERSITY  
IN THE CITY OF NEW YORK



Edition of April 6, 1959  
With Amendments to June 2013

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## PREFACE

So far as can be ascertained, this is the forty-eighth edition of the Statutes of King's College, Columbia College, and Columbia University, which comprise a consecutive series covering a period of 205 years. The first Statutes were adopted by the Governors of the College of the Province of New York in the City of New York in America on June 3, 1755, and they are entered in full on the minutes of that date. These Statutes were revised in 1763. Subsequent editions were published in 1785, 1788, 1811, 1816, 1821, 1827, 1830, 1836, 1843, 1848, 1851, 1853, 1856, 1857, 1859, 1860, 1865, 1866, 1870, 1874, 1878, 1880, 1882, 1884, 1885, and 1887.

In 1890 an exhaustive study was made of the then existing Statutes and of all previous legislation of the Trustees as far back as 1820, with a view to the codification of the Statutes, resolutions, and administrative practice, and for the purpose of establishing the practice of embodying in the Statutes and Bylaws all resolutions of continuous operation. A complete revision of the Statutes had become necessary at this time owing to the fact that the College had grown into a university and had thereby become a far more complex organization, calling for definitions and delimitations of power as to offices, schools, and departments. As the result of this study, a revised edition of the Statutes was published in 1892, and at the same time much obsolete legislation was repealed.

Since 1890 the Statutes have been printed with amendments in 1891, 1892, 1894, 1896, 1897, 1899, 1900, 1902, 1905, 1908, 1909, 1911, 1916, 1922, 1926, 1930, 1938, 1947, 1952, and 1956, and, as contained in the present edition, they constitute the organic administrative law of the University as it now exists.

George E. Warren, Clerk  
April 1959

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# PART ONE—CHARTERS

(in brief)





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## CHARTERS

On October 31, 1754, in the twenty-eighth year of the reign of George II, a royal charter was granted by Letters Patent to the Governors of the College of the Province of New York, in the City of New York, in America, creating them a “Body Corporate to erect and maintain a college to be known as King’s College for the Instruction and Education of Youth in the Learned Languages and Liberal Arts and Sciences”; with power to elect their successors, to hold property, to appoint a president, fellows, professors, and tutors, and to confer degrees.

This charter remained in force until May 1, 1784, when the Legislature, at its first session after the adoption of the Constitution of the State of New York, passed an act entitled “An Act for granting certain privileges to the college heretofore called King’s College, for altering the name and charter thereof, and erecting a university within this state.”

By the terms of this act the franchises and property of the Governors of King’s College were vested in a corporation styled the Regents of the University of the State of New York, who were thereby empowered to appoint a president and professors and to make ordinances for the government of King’s College, the name of which was changed to Columbia College, and of such other colleges as they should found, composing the University.

This act was repealed by “An Act to institute an university within this state and for other purposes therein mentioned,” which was passed April 13, 1787, largely through the efforts of Alexander Hamilton, then a member of the Legislature, and a regent of the University. By the terms of the repealing act, the original charter granted to the Governors of King’s College was amended, ratified, and confirmed, and the franchises and property formerly enjoyed by the Governors of King’s College were vested in the Trustees of Columbia College in the City of New York, who were named in the act and declared and constituted Trustees of Columbia College, in perpetual succession, according to the true intent and meaning of said charter.

On March 23, 1810, the original charter was further amended by the following act:

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An Act Relative to Columbia College  
in the City of New York  
[Laws of 1810—Chapter 85]

WHEREAS the Trustees of Columbia College in the City of New York have represented, that sundry impediments to their trust, and to the interest of literature in the college, are found by experience from certain restrictions and defects in their charter, and have prayed relief, and that their charter, when amended, may be comprised in one act: Therefore,

- I. *Be it enacted by the people of the State of New York represented in Senate and Assembly,* That John H. Livingston, Richard Varick, Brockholst Livingston, Abraham Beach, John Lawrence, Gershom Seixas, Richard Hairson, John Watts, William Moore, Cornelius I. Bogart, John M. Mason, Edward Dunscomb, George C. Anthon, John N. Abeel, James Tillary, John H. Hobart, Benjamin Moore, Egbert Benson, Gouverneur Morris, Jacob Radcliff, Rufus King, Samuel Miller, Oliver Wolcott, and John B. Romeyn, the present Trustees of the said college, and their successors, shall be and remain forever hereafter, a body politic and corporate, in fact and in name, by the name of The Trustees of Columbia College in the City of New York, and by that name shall and may have continual succession for ever hereafter, and shall be able in law to sue and be sued, implead and be impleaded, answer and be answered unto, defend and be defended, in all courts and places whatsoever, and may have a common seal, and may change and alter the same at their pleasure, and also, shall be able in law to take by purchase, gift, grant, devise, or in any other manner, and to hold any real and personal estate whatsoever; Provided always, The clear yearly value of the real estate to be so acquired, shall not exceed the sum of twenty thousand dollars; and also that they and their successors shall have power to give, grant, bargain, sell, demise, or otherwise dispose of, all or any part of the said real and personal estate, as to them shall seem best for the interest of the said college.

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- II. *And be it further enacted,* That the said Trustees, and their successors, shall forever here-after have full power and authority to direct and prescribe the course of study, and the discipline to be observed in the said college, and also to select by ballot or otherwise, a president of the said college, who shall hold his office during good behavior; and such professor or professors, tutor or tutors, to Tutors, and assist the President in the government and education Officers of the students belonging to the said college, and such other officer or officers, as to the said Trustees shall seem meet, all of whom shall hold their offices during the pleasure of the Trustees; Provided always, That no such professors, tutor, or other assistant officer shall be Trustee.
- III. *And be it further enacted,* That if complaint shall be made in writing to the said Trustees, or their successors, by any member of the said corporation of any misbehavior in office by the President, it shall be lawful for the said Trustees, or their successors, from time to time, upon examination, and such due proof of misbehavior, to suspend or discharge such President, and to appoint another in his place.
- IV. *And be it further enacted,* That eleven of the said Trustees, lawfully convened, as is hereinafter directed, shall be a quorum for the despatch of all business, except for the disposal of real estate, or for the choice or removal of a president, for either of which purposes there shall be a meeting of at least thirteen Trustees.
- V. *And be it further enacted,* That the said Trustees shall have full power and authority to elect by ballot their own chair once in every year, or at such other periods as they shall prefer.
- VI. *And be it further enacted,* That the said Trustees shall also have power, by a majority of votes of the members present, to elect and appoint, upon the death, removal out of the state, or other vacancy of the place or places of any Trustee or Trustees, other or others in his or their places or stead as often as such vacancy shall happen; and also to make and declare vacant the seat of any Trustee who shall absent himself or herself from five successive meetings of the board; and also

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to meet upon their own adjournment, and so often as they shall be summoned by their chair, or in his absence by the senior Trustee; whose seniority shall be accounted according to the order in which the said Trustees are named in this act, and shall be elected hereafter; Provided always, That the said chair or senior Trustee shall not summon a meeting of the corporation unless required thereto in writing by three of the members; And provided also, That he cause notice of the time and place of the said meeting to be given in one or more of the public newspapers printed in the City of New York, at least three days before such meeting; and that every member of the corporation resident in the City shall be previously advertised in writing of the time and place of every such meeting.

VII. *And be it further enacted*, That the said Trustees and their successors, shall have power and authority to grant all such literary honors and degrees, as are usually granted by any university, college, or seminary of learning in this state, or in the United States; and in testimony of such grant to give suitable diplomas under their seal, and the signatures of the President and such professors, or tutors of the college, as they shall judge expedient; which diplomas shall entitle the possessors respectively to all the immunities and privileges which either by usage or statute are allowed to possessors of similar diplomas from any university, college, or seminary of learning.

VIII. *And be it further enacted*, That the said Trustees, and their successors, shall have full power and authority to make all ordinances and by-laws which to them shall seem expedient for carrying into effect the designs of their institution; Provided always, That such ordinances or by-laws shall not make the religious tenets of any person a condition of admission to any privilege or office in the said college, nor be inconsistent with the constitution and laws of this state, nor with the constitution and laws of the United States.

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- IX. *And be it further enacted*, That all the real and personal estate whatsoever and wheresoever, which were formerly vested in the governors of the college of the province of New York in the City of New York in America, or in the Trustees of Columbia College in the City of New York, be and the same is hereby confirmed to and vested in the said Trustees of Columbia College in the City of New York, and their successors forever, for the sole use and benefit of the said college; and that it shall and may be lawful to and for the said Trustees, and their successors, to grant, bargain, sell, demise, improve and dispose of the same as to them shall seem meet; Provided always, That the lands given and granted to the governors of the college of the province of New York in the City of New York in America by the corporation heretofore styled “The Rector and Inhabitants of the city of New York, in communion of the Church of England, as by law established,” on part whereof the said college is erected, shall not be granted for any greater term of time than sixty-three years.
- X. *And be it further enacted*, That the eighth, ninth, tenth, and eleventh sections of the act, entitled, “an act to institute an university within this state and for other purposes therein mentioned,” passed the thirteenth day of April, in the year of our Lord one thousand seven hundred and eighty-seven, be and the same are hereby repealed.



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## CHANGE OF CORPORATE NAME

The name of the corporation was changed from The Trustees of Columbia College in the City of New York to The Trustees of Columbia University in the City of New York by an order of the Supreme Court of the State of New York, held in and for the County of New York, at the County Court House in the County of New York, on the 17th day of July 1912.





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## PART TWO—STATUTES



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# I

## THE PRESIDENT

**§1. Powers** The President shall be the chief officer of the University and, subject to the Trustees, shall have general charge of the affairs of the University. The President shall be the presiding officer of the University Senate and the chair of every Faculty and Administrative Board established by the Trustees. His or her concurrence shall be necessary to every act of a Faculty or of an Administrative Board, unless after his or her nonconcurrence, the act or resolution shall be again passed by a vote of two-thirds of the entire body at the same or at the next succeeding meeting thereof. In all cases where there shall be nonconcurrence between the President and a majority of the faculty or Administrative Board present at the time, the names of those voting on each side shall be entered on the minutes and each member shall be entitled to have entered on the minutes his or her reasons for his or her vote.

**§2. Duties** It shall be the duty of the President

- a. to exercise jurisdiction over all the affairs of the University.
- b. to call special meetings of the University Senate and meetings of the several Faculties and Administrative Boards and to give such directions and to perform such acts as shall in his or her judgment promote the interests of the University, so that they do not contravene the Charter, the Statutes or the resolutions of the Trustees, or of the University Senate, or Faculties or Administrative Boards.
- c. to report to the Trustees annually, and as occasion shall require, the condition and needs of the University.
- d. to administer discipline in accordance with the Statutes of the University and the rules promulgated pursuant thereto.

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**§3. Acting president** In the event of the death, disability, resignation, or retirement of the President and pending the election of a president or an acting president by the Trustees, the Provost (or if there is more than one Provost, the Provost designated by the Trustees) shall perform the duties and exercise the authority of the President.

**§4. Leave of absence** The President shall have power to grant leave of absence for reasonable cause and for such length of time as he or she shall judge the occasion may require. Such leave of absence shall be entered upon the minutes of the appropriate Faculty.

In the case of professors absent on leave, the President shall have power to make such temporary arrangements for the work of the University as he or she may deem proper, provided that no expenditure shall be incurred beyond the compensation waived in each case by the absent professor, and provided, further, that no part of such funds shall be used to give additional pay to anyone already in the service of the University, except with the consent of the Trustees.

**§5. Scientific tests** The President shall have power to permit members of the staff of instruction to use the various laboratories of the University for scientific tests or experiments under arrangements to be approved by the President, provided such use does not interfere with the normal use of the laboratories for the purposes of instruction and research.

**§6. Degrees and certificates** The President shall have power to admit to the academic degrees for which they have qualified candidates recommended by the Faculty or Administrative Board concerned or by the University Senate as having satisfactorily fulfilled the requirements of the Statutes; he or she shall also have power to award such certificates for academic attendance and performance as the University Senate shall from time to time approve. The President shall have power to confer honorary degrees and award University Medals for Excellence as authorized by the Trustees.

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**§7. Loan of collections** The property of the University shall not be loaned without the permission of the President, and he or she shall report such action to the Trustees from time to time.

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## II

### THE UNIVERSITY SENATE

**§20. Membership** The University Senate shall be a unicameral body whose membership shall be composed of representatives from the following categories:

a. *Administration members*

1. The President
2. The Provost (or if there is more than one Provost, the Provost designated by the President)
3. The dean of the Faculty of the Graduate School of Arts and Sciences
4. The dean of Columbia College
5. Five members, who shall be appointed by the President, from among officers of administration who are part of the central administration and administrators of Faculties

b. *Faculty members*

1. Forty-two officers of instruction having an appointment without stated term as professor or associate professor as defined in Sections 60 and 61, to be elected from and by such officers of instruction, subject to the provisions of Section 21
2. Sixteen officers of instruction having an appointment for a stated term as defined in Sections 60 and 61 to be elected from and by such officers of instruction, subject to the provisions of Section 21

c. *Student members*

Twenty-two students as defined in Section 381 to be elected from and by such students as provided in Section 21, one student from Barnard College to be elected from and by the students of Barnard College as provided in Section 21, and one student from Teachers College to be elected from and by the students of Teachers College as provided in Section 21

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d. *Affiliated institution members*

1. Two representatives of the faculty of Barnard College
2. Subject to renegotiation of the existing affiliation agreement with Teachers College, two representatives of the faculty of Teachers College
3. Subject to renegotiation of the existing affiliation agreement with the Union Theological Seminary, one representative of the faculty of the Union Theological Seminary

e. *Professional library staff members*

Two members who shall be elected from and by those persons holding a full-time trustee or presidential appointment to the professional library service

f. *Research members*

Six members who shall be elected from and by those persons designated as senior research scientist or senior research scholar, Lamont research professor, research scientist or research scholar, Lamont associate research professor, associate research scientist or associate research scholar, Lamont assistant research professor, postdoctoral research scientist, postdoctoral research scholar, or postdoctoral research fellow, senior staff associate and staff associate, as defined in Section 62 of these Statutes, and who are not entitled to vote as officers of instruction

g. *Administrative staff members*

Two members who shall be elected from and by those persons having an appointment from the President or the Secretary of the University, or who are in Grade VII or above of the University Personnel Classification System for officers of administration and supporting staff and who are not entitled to vote in any other category for members of the University Senate

h. *Alumni members*

Two alumni members who shall be chosen by the Alumni Council of the Alumni Federation of the University

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**§21. Elections, eligibility, recall, and term of office**

a. *Election of faculty members*

1. The forty-two memberships for officers of instruction having an appointment without stated term as professor or associate professor as defined in Sections 60 or 61 shall be apportioned by the University Senate every five years among the Faculties of the Columbia Corporation in proportion to the number of such officers of instruction; provided, however, that each such faculty, other than the Faculties of Arts and Sciences and Health Sciences, which shall not be entitled to elect any members, shall be entitled to elect at least one member; and for the purposes of this paragraph (1), apportionment and election of members from the Faculties of the College, General Studies and the Graduate School of Arts and Sciences, treated as one group, shall be among the three disciplines of the Social Sciences, Humanities, and Pure Sciences, respectively, as specified in Section 153 of the Statutes.
2. The sixteen memberships for officers of instruction with stated term shall be apportioned by the University Senate every five years among the Faculties of the Columbia Corporation other than the Faculties of Arts and Sciences and Health Sciences. All such officers of instruction having an appointment as preceptor, associate, lecturer, instructor, and assistant professor, regardless of whether all such officers are full time or part time, shall be entitled to vote. Officers of instruction having an appointment with a stated term above that of assistant professor also shall be entitled to vote in this category. For the purposes of this paragraph (2), apportionment and election of members from the Faculties of the College, General Studies and the Graduate School of Arts and Sciences, treated as one group, shall be among the three disciplines of the Social Sciences, Humanities, and Pure Sciences, respectively, as specified in Section 153 of the Statutes.

b. *Election of student members*

The twenty-four memberships for students shall be apportioned by the University Senate every five years as follows: twenty-two among the Faculties of the Columbia Corporation;



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provided, however, that at least one student member shall be elected from each Faculty other than the Faculties of Arts and Sciences and Health Sciences; two additional student members shall be elected from the Faculty with the largest number of full-time students; one additional student member shall be elected from each of the Faculties with the next largest number of students; until the limit of twenty-two student seats for the Columbia Corporation is reached; one student member shall be elected from Barnard College; and one student member shall be elected from Teachers College. For the purposes of this subsection (b), the Faculty of the Graduate School of Arts and Sciences shall be treated as consisting of three separate Faculties, comprised of the disciplines of the Social Sciences, Humanities, and Pure Sciences, respectively, as specified in Section 153 of the Statutes.

c. *Election of members from professional library staff and administrative staff*

Two members shall be elected from and by the research staff and administrative staff.

d. *Election of members of officers of research*

The six memberships for officers of research shall be appointed by the University Senate biennially as follows: four among officers of research members designated as senior research scientist or senior research scholar, Lamont research professor, research scientist or research scholar, Lamont associate research professor, associate research scientist or associate research scholar, and Lamont assistant research professor; one additional research officer member shall be elected from those persons designated as postdoctoral research scientist, postdoctoral research scholar, or postdoctoral research fellow; and one additional research officer member shall be elected from those persons designated senior staff associate or staff associate.

e. *Representatives from affiliated institutions*

Each of the affiliated institutions shall choose representatives from among their respective Faculties to serve as members in such manner as each of them may determine.

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f. *Direct and indirect elections*

All members elected under subsections (a), (b), and (c) shall be chosen by direct election, except that student members may be chosen by indirect election as hereinafter provided. If the indirect election method is chosen, then the student member of the University Senate shall be elected by the elected student governing body of the Faculty from which the student member of the University Senate is being chosen. Such choice shall be exercised only by a referendum of the students within such Faculty and shall stand unless and until reversed by a succeeding referendum. If there is no elected student governing body of the Faculty which is authorized to hold indirect elections, and if either a seat assigned to a student member has remained vacant for six months or longer, or elections have failed to fill such a seat, then a member may be elected from one or more departments within that Faculty in rotation, as may be prescribed by the body designated of the University Senate, to administer University Senate elections.

g. *Time of election and term of office*

There shall be two regular election periods each year, one in the spring and one in the fall. The regular term of office for each member shall be as follows:

1. For each member elected in the spring elections, the term of office shall begin fourteen days before the day of Commencement next following his or her election and shall be for two years; provided that a member elected to a vacant seat shall assume office immediately; and provided further that if the spring elections are not completed by the date set for the beginning of his or her term, the member shall assume office immediately upon the completion of the elections.
2. For each member elected in the fall elections, the term of office shall commence immediately upon election and shall expire fourteen days before the day of the second Commencement next following his or her election.
3. For each appointed member, the term of office shall commence immediately upon appointment and shall expire fourteen days before the day of the second Commencement next following his or her appointment.

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It shall be the responsibility of each member to advise the commission supervising elections of members to the University Senate, as early as possible, if he or she will be unable to serve his or her full term. When such commission is so advised, provision will be made to vote, at the next election, for a member to fill the anticipated vacancy. The term of such member shall be the same as that of all other members elected in the same election period, except that if the seat is occupied at the time of election, the term shall commence upon the effective date of resignation of the retiring member. Except as provided in subsection (f), any vacancy occurring between election periods shall be filled in the same manner in which the original member was chosen, and the term of office for each member so elected shall commence immediately upon election and shall expire fourteen days before the day of the second Commencement next following the election. The Executive Committee of the University Senate may designate a date for the expiration of terms and beginnings of new terms different from the date set herein, if such a redesignation is necessary to allow for an orderly transition of the work of the University Senate from one session to the next. No person shall be disqualified from election because he or she will be a member of the category from which he or she is elected for less than two years. However, his or her membership shall terminate when he or she is no longer a member of the category from which he or she was elected.

h. *Recall*

Every elected member shall be subject to recall. Upon petition signed by one-fourth of the number of members of the category from which the member was elected, a recall election shall be held. A majority of votes cast for recall shall cause the recall of the member and his or her membership shall thereupon become vacant.

The provisions of subsection (f) shall also apply to recall elections.

**§22. Duties** It shall be the duty of the University Senate

- a. to report to the Trustees its opinion as to any exercise of power proposed by a Faculty under Section 35;

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- b. to submit such proposals to the Trustees or to the President or to the several Faculties as in its judgment may serve to increase the efficiency of University work;
  - c. to consider any question that may arise as to the conduct or efficiency of any officer of administration or instruction, and to report thereon to the Trustees through the President.

**§23. General policies** Subject to the reserve power of the Trustees and the provisions of Section 25, the University Senate shall be a policy-making body which may consider all matters of University-wide concern, all matters affecting more than one Faculty or school, and all matters pertaining to the implementation and execution of agreements with the other educational institutions that are now or may hereafter become affiliated with the University. Without limitation by enumeration the University Senate shall

- a. develop and review plans and policies to strengthen the educational system of the University;
- b. work on the long-range master plan for the physical development of the University; recommend ways in which it can be improved; and keep the same under continuing review;
- c. work for the advancement of academic freedom and the protection of faculty interests;
- d. work for the promotion of student welfare and the enhancement of student life;
- e. initiate and review policies to govern the University's relations with outside agencies for research, instruction, and related purposes;
- f. foster policies for cooperative and mutually beneficial relations with the neighboring community;
- g. review by broad categories the annual budget of the University after its adoption and advise the Trustees as to its general conformity with the goals of the University;
- h. consider and recommend policies relating to the awarding of University prizes and honors, and assist the Trustees in the selection of recipients of such prizes and honors;
- i. promulgate a code of conduct for faculty, students, and staff

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and provide for its enforcement;

- j. initiate proposed changes in Chapter II of these Statutes which have been passed by a vote of at least three-fifths of all incumbent members of the University Senate.

**§24. Powers** The University Senate, subject to the reserve power of the Trustees and the provisions of Section 25, shall have power, and it shall be its duty:

- a. *Academic correlation:* to secure the correlation of courses offered by the several Faculties and Administrative Boards; to adjust all questions involving more than one Faculty or Administrative Board;
- b. *Degrees:* to prescribe, by concurrent action with the appropriate Faculty or Administrative Board, the conditions upon which the following degrees shall be conferred and to recommend candidates for such degrees:

Doctor of Philosophy (Ph.D.)—Faculty of the Graduate School of Arts and Sciences and Administrative Board of the Graduate School of Arts and Sciences

Doctor of the Science of Law (J.S.D.)—Faculty of Law

Juris Doctor (J.D.)—Faculty of Law

Doctor of Medical Science (Med.Sc.D.)—Faculty of Medicine

Doctor of Medicine (M.D.)—Faculty of Medicine

Doctor of Dental Surgery (D.D.S.)—Faculty of Dental Medicine

Doctor of Physical Therapy (D.P.T.)—Faculty of Medicine

Doctor of Nursing Practice (Dr.N.P.)—Faculty of Nursing

Doctor of Nursing Science (D.N.Sc.)—Faculty of Nursing

Doctor of Public Health (Dr.P.H.)—Faculty of Public Health

Doctor of Education (Ed.D.)—Faculty of Teachers College

Doctor of Engineering Science (Eng.Sc.D.)—Faculty of

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Engineering and Applied Science

Doctor of Social Welfare (D.S.W.)—Faculty of Social Work

Doctor of Musical Arts (D.M.A.)—Faculty of the Arts

Master of Philosophy (M.Phil.)—Faculty of the Graduate School of Arts and Sciences and Administrative Board of the Graduate School of Arts and Sciences

Master of Architecture (M.Arch.)—Faculty of Architecture, Planning and Preservation

Master of Arts (M.A.)—Faculties of the Graduate School of Arts and Sciences, Teachers College, Union Theological Seminary, and Administrative Board of the Graduate School of Arts and Sciences

Master of Science (M.S.)—Faculties of Medicine, Engineering and Applied Science, Journalism, Teachers College, Architecture, Planning and Preservation, Journalism, Dental Medicine, Social Work, Business, Nursing, Public Health, and Continuing Education

Master of Business Administration (M.B.A.)—Faculty of Business

Master of Health Administration (M.H.A.)—Faculty of Public Health

Master of International Affairs (M.I.A.)—Faculty of International and Public Affairs

Master of Public Administration (M.P.A.)—Faculty of International and Public Affairs

Master of Laws (LL.M.)—Faculty of Law

Master of Public Health (M.P.H.)—Faculty of Public Health

Master of Fine Arts (M.F.A.)—Faculty of the Arts

Master of Comparative Law (M.C.L.)—Faculty of Law

Master of Education (Ed.M.)—Faculty of Teachers College

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Master of Arts in Teaching (M.A.T.)—Faculty of Teachers College

Master of Arts in Liberal Studies (M.A.L.S.)—Faculty of the Graduate School of Arts and Sciences

Bachelor of Arts (B.A.)—Faculty of Barnard College

Bachelor of Arts (B.A.)—Faculty of Columbia College

Bachelor of Arts (B.A.) Faculty of General Studies

Bachelor of Arts (B.A.)—Faculty of Teachers College

Bachelor of Science (B.S.)—Faculty of Dental Medicine

Bachelor of Science (B.S.)—Faculty of Engineering and Applied Science)

Bachelor of Science (B.S.)—Faculty of General Studies

- c. *Certificates:* to prescribe the conditions upon which certificates and such other certificates as the University Senate may from time to time approve, shall be awarded upon recommendation of the several Faculties, Administrative Boards, or committees;
- d. *College courses:* to prescribe, by concurrent action with the Faculties of Columbia College, Barnard College, and General Studies, severally, the extent to which courses offered by other Faculties and leading to graduate or professional degrees or diplomas shall be included in the programs of studies under those Faculties, and the conditions upon which such courses may be elected by candidates for a nonprofessional first degree;
- e. *Barnard College:* to prescribe the manner in which the degree of bachelor of arts conferred upon graduates of Barnard College shall be maintained at all times as a degree of equal value with the degree of bachelor of arts conferred upon the graduates of Columbia College;
- f. *Other institutions:* to adopt regulations, subject to approval by the Trustees, providing for the proper execution, as regards

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- educational matters, of agreements that are now in existence or that may hereafter be made between the University and such other educational institutions as are now or may hereafter become affiliated with the University, and to prescribe what degrees, diplomas, and certificates may be granted by said institutions and the conditions for granting the same;
- g. *Summer Session*: to adopt regulations governing the relation of instruction in the Summer Session to the other work of the University;
  - h. *Fellowships and scholarships*: to determine the conditions upon which fellowships and University scholarships shall be awarded, to appoint all fellows and University scholars, and to make rules for their government, subject to such restrictions as may be prescribed by the Statutes or by the terms upon which the several fellowships and University scholarships are established;
  - i. *Academic Calendar*: to fix, annually in advance the Academic Calendar, the dates for entrance and final examinations, the date of Commencement, and the order of Commencement exercises;
  - j. *Research bureaus*: to encourage original research and to authorize the establishment of research bureaus to be conducted by a Faculty or by one or more departments under such terms as the University Senate may prescribe;
  - k. *Libraries*: to advise in such matters pertaining to the administration of the libraries as may be laid before it by the Provost or Provosts or by the University Librarian;



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**§25. Limitations of powers**

- a. Unless Trustee concurrence is required, acts of the University Senate under Sections 22 and 23 shall become final on passage. In all matters involving a change in budgetary appropriations, involving the acquisition or disposition of real property, affecting contractual obligations of the University, or as required by law, such concurrence shall be required. In all other matters, the action of the University Senate will be final unless the President shall advise the University Senate not later than its next regularly scheduled meeting that Trustee concurrence is necessary. Acts of the University Senate under Sections 22 and 23 shall be concurred in or not concurred in by the Trustees by the second stated meeting of the Trustees following the submission of the University Senate's action to the Trustees, except when the Trustees shall advise the University Senate of their need for a longer specified period of time to consider such actions. Whenever the Trustees do not concur in an act of the University Senate under Sections 22 and 23, they shall return the measure to the University Senate with an explanation of the reason for their action.
- b. No exercise of the powers conferred on the University Senate by Section 24 that involves a change in the educational policy of the University in respect to the requirements of admission or the conditions of graduation shall take effect until the same shall have been submitted to the Trustees at one meeting and another meeting of the Trustees shall have been held.
- c. Notwithstanding the provisions of subsections (a) and (b), the President may convene a special meeting of the University Senate within fifteen class days of any University Senate action, and may request it to reconsider such action.

**§26. By-Laws and committees** The University Senate shall have the power to organize itself and to make all such By-Laws and regulations for its own proceedings as shall not contravene the

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Charter of the University or these Statutes. Such By-Laws shall be amended only by a three-fifths vote of all incumbent members of the University Senate. Any such By-Laws and regulations may provide for such committees as may be necessary or desirable. Such committees shall include an Executive Committee. The Trustees shall work with the Executive Committee of the University Senate in the nomination of six Trustees as provided in the By-Laws of the Trustees. The Trustees shall work with the Executive Committee of the University Senate in the selection of a President of the University as provided in the By-Laws of the Trustees. The President shall work with the Executive Committee of the University Senate in the selection of the Provost or Provosts as provided in Section 50. The Executive Committee of the University Senate shall participate in the appointment of University Professors as provided in Section 61.

**§27. Meetings** The University Senate shall meet regularly as provided in its By-Laws. Special meetings shall be held on the call of the President and in accordance with its By-Laws. The President shall be the presiding officer of the University Senate. In the absence of the President, the chair of the Executive Committee of the University Senate shall preside.

**§28. Staff** The University shall furnish, to the extent provided for in the University's budget, assistance to the University Senate as a whole and to its committees in connection with its official business, as may be authorized by the Executive Committee of the University Senate.

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### III

## FACULTIES AND ADMINISTRATIVE BOARDS

**§30. Faculties** The following Faculties are established: The Faculties of the Graduate School of Arts and Sciences, Columbia College, Arts and Sciences, Health Sciences, Law, Medicine, Engineering and Applied Science, Dental Medicine, Architecture, Planning and Preservation, Journalism, Business, Library Service, General Studies, International and Public Affairs, Barnard College, Teachers College, Social Work, the Arts, Nursing, Public Health, and Continuing Education.

**§31. Members of Faculties** A Faculty shall consist of those officers of administration and instruction who have been assigned to it by the Trustees, on the nomination of the faculty. A Faculty may nominate any full-time officer of instruction whose appointment to the University is for full-time service in instruction for such time as such full-time service is maintained. A retired officer of instruction who is appointed a special lecturer and who served on a Faculty immediately prior to his or her retirement may be nominated by that Faculty for such time as his or her service as special lecturer continues. In addition, any other officer of instruction whose appointment to the University is for part-time service in instruction shall, after his or her second consecutive year of such service to the University, be eligible for an annual nomination by a Faculty during each year of such subsequent service to the University. Notwithstanding the provisions of this section, no officer of administration or instruction shall be nominated or assigned to a Faculty of the University in which he or she is a candidate for a degree or a certificate.

**§32. Administrative Boards** The following Administrative Boards are established: Parker School of Foreign and Comparative Law, Administrative Board for the Master of Arts in Teaching, and the Administrative Board of the Graduate School of Arts and Sciences, with respect to the programs outlined in Section 152b.

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**§33. Members of Administrative Boards** An Administrative Board shall consist of those officers of administration and instruction who have been assigned to it by the Trustees; provided, however, that no officer of administration or instruction shall be assigned to an Administrative Board of the University under which he or she is a candidate for a degree or certificate.

**§34. Right to vote** Any Faculty or Administrative Board (as defined in Sections 31 and 33 of these Statutes, the members of which are hereinafter referred to as “statutory members”) may invite other officers of administration and instruction and students registered in such Faculty or Administrative Board to participate in its deliberations and in the deliberations of its committees or other subordinate bodies. Subject to such conditions and restrictions as it may determine, a Faculty or Administrative Board may grant such invited individuals the right to vote in decisions of its committees or other subordinate bodies; provided, however, that a majority of the members of any such committees or other subordinate bodies shall be statutory members of the Faculty or Administrative Board; and provided, further, that only statutory members shall have the right to vote in decisions of the full Faculty or Administrative Board. Nothing in this section shall impair the right of the Faculty or Administrative Board to conduct meetings open only to its statutory members.

**§35. Powers** Except for the Faculties of Arts and Sciences and of Health Sciences, the several Faculties and Administrative Boards, subject to the reserve power of the Trustees and the provisions of the Statutes, shall have power and it shall be their duty

- a. to fix the academic requirements of admission, the program of studies, and the conditions of graduation, and to recommend for degrees students who have fulfilled these conditions;
- b. to establish rules for ascertaining the proficiency of students, and for the assignment of honors;
- c. to fix the times of examinations other than the entrance and final examinations;
- d. to prepare and publish from time to time a statement of the program of studies, specifying the studies to be pursued in each year, and in each of the departments of instruction;

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- e. to make all such regulations for their own proceedings, and for the better government of their respective schools and colleges, as shall not contravene the Charter of the Corporation, the Statutes, or any resolution of the Trustees or University Senate.

**§36. Limitation of powers** Every proposed exercise of the powers conferred on any of the Faculties and Administrative Boards, which involves a change in the educational policy of the University in respect to the requirements of admission, the program of studies, or the conditions of graduation, shall be submitted to the University Senate before being recommended to the Trustees, and such recommendation shall not be laid before the Trustees until the University Senate has acted thereon, or until another meeting of the University Senate has been held. No exercise of such power by any Faculty or Administrative Board shall take effect until the same shall have been submitted to the Trustees at one meeting, and another meeting shall have been held.

**§37. Secretaries** Each Faculty and Administrative Board shall elect annually a secretary, who shall perform the usual duties of a recording officer, and such other duties as may be assigned to him or her by the President, by the dean of the Faculty or the director of the Administrative Board, or by the Faculty or the Administrative Board.

**§38. Meetings** Each Faculty and Administrative Board shall meet at least once during the academic year, unless otherwise directed by the President, and special meetings shall be held on the call of the President, or, in his or her absence, any Provost, or the dean or the director.

**§39. Minutes** Each Faculty and Administrative Board shall keep a book of minutes of its proceedings, which shall be submitted by the President at meetings of the Trustees.

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## IV

# DEPARTMENTS

**§40. Departments** The following departments of instruction are established in the University:

Anesthesiology  
Anthropology  
Applied Physics and Applied Mathematics  
Architecture, Planning and Preservation  
Art History and Archaeology  
Arts, The  
Astronomy  
Biochemistry and Molecular Biophysics  
Biological Sciences  
Biomedical Engineering  
Biomedical Informatics  
Biostatistics  
Business  
Chemical Engineering  
Chemistry  
Civil Engineering and Engineering Mechanics  
Classics  
Computer Science  
Continuing Education  
Dental Medicine  
Dermatology  
Earth and Environmental Engineering  
Earth and Environmental Sciences  
East Asian Languages and Cultures  
Ecology, Evolution and Environmental Biology  
Economics  
Education  
Electrical Engineering  
English and Comparative Literature  
Environmental Health Sciences  
Epidemiology  
French and Romance Philology

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Genetics and Development  
Germanic Languages  
Health Policy and Management  
History  
Industrial Engineering and Operations Research  
International and Public Affairs  
Italian  
Journalism  
Latin American and Iberian Cultures  
Law  
Mathematics  
Mechanical Engineering  
Medicine  
Microbiology and Immunology  
Middle Eastern, South Asian, and African Studies  
Music  
Naval Science  
Neurological Surgery  
Neurology  
Neuroscience  
Nursing  
Obstetrics and Gynecology  
Ophthalmology  
Orthopaedic Surgery  
Otolaryngology/Head and Neck Surgery  
Pathology and Cell Biology  
Pediatrics  
Pharmacology  
Philosophy  
Physical Education and Intercollegiate Athletics  
Physics  
Physiology and Cellular Biophysics  
Political Science  
Population and Family Health  
Psychiatry  
Psychology  
Radiation Oncology  
Radiology  
Rehabilitation and Regenerative Medicine

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Religion  
Slavic Languages  
Sociology  
Sociomedical Sciences  
Statistics  
Surgery  
Systems Biology  
Urology

**§41. Members of departments** Each department shall consist of those officers of administration and of instruction who are appointed by the Trustees, or pursuant to their authority, to render academic service within the scope of the subject covered by the title of the department.

**§42. Right to vote** In each department, professors, associate professors, assistant professors, and instructors shall be entitled to vote on matters of instruction being considered by the department.

**§43. Chairs of departments** The President shall appoint a chair of each department of instruction.



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## V

# OFFICERS OF ADMINISTRATION

### §50. Officers of administration

- a. The officers of administration, in addition to the President, are one or more Provosts, one or more vice presidents (who may be designated executive or senior vice presidents), the general counsel, the secretary, the treasurer, the deans of the several Faculties, and such other officers as the Trustees may appoint. The President from time to time may appoint one or more additional officer or officers to perform specific assignments.
- b. All officers of administration shall be appointed by the Trustees on nomination of the President and shall be answerable to him or her and subject to his or her general supervision. They shall hold their offices at the pleasure of the Trustees. The President may, from time to time, reassign duties and responsibilities among the various officers of administration. The President shall work with the Executive Committee of the University Senate on a confidential basis in the selection of the Provost or Provosts, by exchanging with it suggestions and comments as to possible nominees and their qualifications, and endeavoring through consultation to resolve any differences in viewpoint, all to the desired end that a common endorsement of the ultimate nominee or nominees may result.
- c. The President, any Provost, any vice president, the treasurer, and the clerk shall have power, subject to the requirements of the By-Laws and the Statutes and to any limitations prescribed by the Trustees thereof, to execute in the name of and on behalf of the University any and all contracts, leases, deeds, assignments, agreements, orders, or other instruments. The President, with the approval of the Trustees, may authorize other officers of administration to execute such documents pertaining to their assigned duties as the President may designate.

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**§51. Provost** The Provost or Provosts shall be appointed by the Trustees on the nomination of the President. In the event of the absence or disability of the President, the Provost (or the Provost designated by the Trustees, if there is more than one Provost) shall be the chief executive officer of the University and shall perform the duties and exercise the authority of the President. The Provost or Provosts, subject to the direction of the President, shall be the chief academic officer(s) of the University. The Provost or Provosts shall develop and implement a University-wide academic plan, periodically evaluate University programs and activities, and receive and evaluate the annual reports of the deans of the Faculties and directors of Administrative Boards of the University. The Provost or Provosts shall be members of all Faculties and Administrative Boards, and may call meetings of the same; in the absence of the President, the Provost (or the Provost designated by the President, if there is more than one Provost) shall preside at such meetings.

**§52. Vice presidents** Each vice president shall be appointed by the Trustees on the nomination of the President and shall have such duties as the President may prescribe.

**§53. Executive vice president for Health and Biomedical Sciences** The executive vice president for Health and Biomedical Sciences shall be appointed by the Trustees on the nomination of the President. He or she shall be directly responsible to the President. He or she shall be in immediate charge of the educational administration of the work of the Faculty of Health Sciences; shall be its executive officer; and shall be dean of the Faculty of Health Sciences. He or she shall have general supervision of the relationships of the University with other institutions concerned with the health sciences. He or she shall perform such further duties as shall be determined by the President.

**§54. Executive vice president for Arts and Sciences** The executive vice president for Arts and Sciences shall be appointed by the Trustees on nomination of the President. In subordination to the President and the Provost, he or she shall be responsible for matters of planning and policy, and academic and budgetary matters, in the Arts and Sciences.

This officer shall chair the Planning and Budgeting Committee of the Arts and Sciences, which shall include the deans of the several

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Faculties within the Arts and Sciences; shall be in immediate charge of the educational administration of the work of the Faculty of Arts and Sciences; and shall be its executive officer. This officer shall perform such further duties as shall be determined by the President.

**§55. General counsel** The general counsel shall be appointed by the Trustees on the nomination of the President. The general counsel shall, under the President, be responsible for the management of the legal affairs of the University and shall have such other duties as the President may prescribe.

**§56. Secretary** The Secretary of the University shall receive and keep the President informed concerning the minutes of all Faculties and Administrative Boards; shall be custodian of the University documents and records placed in his or her care; and shall have such other duties as the President may prescribe.

**§57. Treasurer** The treasurer shall be appointed by the Trustees on the nomination of the President. The treasurer shall under the President receive, hold, and manage the University's monies, securities, and other investments. He or she shall perform such other duties as the President may determine.

**§58. Deans**

- a. The deans of the several faculties, in subordination to the President and the Provost or Provosts (and, in the cases of the dean of the Faculty of Medicine, the dean of the Faculty of Dental Medicine, the dean of the Faculty of Nursing, and the dean of the Faculty of Public Health, to the executive vice president for Health and Biomedical Sciences and dean of the Faculty of Health Sciences, and of the dean of the Faculty of Columbia College, the dean of the Faculty of Continuing Education, the dean of the Faculty of General Studies, the dean of the Faculty of the Arts, and the dean of the Faculty of the Graduate School of Arts and Sciences, to the executive vice president for Arts and Sciences), shall have immediate charge of the educational administration of the work of the Faculty to which they may be appointed, and they shall be the executive officers of their respective Faculties.

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- b. It shall be the duty of the dean of each Faculty, subject to the reserve powers of the President and the Provost or Provosts, to enforce the rules and regulations of such Faculty; to administer discipline in the school or college of which he or she is dean; and to report to the President the condition and needs of the Faculty to which he or she may have been appointed, as occasion may require.
- c. Each dean shall be a member of the Faculty of which he or she is the dean. The dean of each of the following Faculties shall also be a member of the Faculty of Arts and Sciences: Columbia College, Continuing Education, General Studies, Graduate School of Arts and Sciences, and the Arts. The dean of each of the following Faculties shall also be a member of the Faculty of Health Sciences: Dental Medicine, Medicine, Nursing, and Public Health.

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## VI

# OFFICERS OF INSTRUCTION AND RESEARCH

**§60. Appointments** The appointment of all officers of instruction and research, except as otherwise provided in the Statutes or directed by the Trustees, shall be made upon nomination of the several departments, subject to approval by the Faculties in which or the Administrative Boards under which such officers are primarily to serve. The appointment of all officers of instruction and research shall be subject to these Statutes and to such other rules regarding submission and review of nominations for appointments to these offices as the President may prescribe. The number and the amount of compensation of officers of instruction and research appointed under this Chapter shall be determined in advance by the Trustees. All appointees to offices of instruction and research shall hold their offices during the pleasure of the Trustees in accordance with this Chapter. Except with the approval of the President, no officer of instruction shall be appointed as an officer of research, or vice versa, except that an officer of instruction who is a lecturer may also be appointed a senior research scientist or senior research scholar, a Lamont research professor, a research scientist or research scholar, a Lamont associate research professor, an associate research scientist or associate research scholar, a Lamont assistant research professor, or a postdoctoral research scientist or postdoctoral research scholar, and vice versa. Neither an officer of instruction nor an officer of research shall engage in any outside occupation which interferes with the thorough, efficient, and earnest performance of the duties of his or her office. No officer of instruction or research shall use the official title of the University, or of any of its parts, or refer to his or her professional connection therewith, without the prior written approval of the Trustees, in any opinion or certificate which he or she may give as to the merits or claim of any business undertaking or of any scientific or practical invention. Any appointment of a member of the staff of an affiliated hospital or institute as an officer of instruction or research shall terminate on the expiration or termination of the applicable affiliation agreement or the termination or separation of the person so appointed from the affiliated hospital or institute.

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**§61. Officers of instruction:** Grades of office

- a. The following grades of office shall be recognized in all appointments of officers of instruction:
- University Professor
  - professor
  - professor of (department) at the Columbia University Medical Center
  - professor of (department) at (affiliated hospital or institute)
  - professor of clinical (department)
  - clinical professor
  - clinical professor of law
  - professor of professional practice in (department)
  - visiting professor
  - visiting professor of clinical (department)
  - adjunct professor
  - adjunct professor of clinical (department)
  - adjunct clinical professor (department)
  - associate professor
  - associate professor of (department) at (affiliated hospital or institute)
  - associate professor of (department) at the Columbia University Medical Center
  - associate professor of clinical (department)
  - associate clinical professor
  - associate clinical professor of law
  - associate professor of professional practice in (department)
  - visiting associate professor
  - visiting associate professor of clinical (department)
  - adjunct associate professor
  - adjunct associate professor of clinical (department)
  - adjunct associate clinical professor (department)
  - assistant professor
  - assistant professor of (department) at the Columbia University Medical Center
  - assistant professor of clinical (department)
  - assistant clinical professor
  - assistant clinical professor of law
  - assistant professor of professional practice in (department)
  - visiting assistant professor

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visiting assistant professor of clinical (department)  
adjunct assistant professor  
adjunct assistant professor of clinical (department)  
adjunct assistant clinical professor (department)  
instructor  
instructor in clinical  
adjunct instructor  
adjunct instructor in clinical  
senior lecturer  
senior lecturer in (discipline)  
lecturer  
lecturer in (discipline)  
special lecturer  
associate  
associate in clinical  
associate in (discipline)  
assistant  
assistant in clinical  
senior affiliate physician/dentist  
affiliate physician/dentist  
preceptor  
teaching assistant  
reader

Professorial and other instructional titles may be held only by persons with teaching duties. All appointments to the grades of professor and associate professor without a stated term described in subsections (c) through (e) which follow shall be made by the Trustees. All other officers of instruction shall be appointed by the President or the Secretary.

- b. The title University Professor is conferred upon a senior officer of the highest distinction. Such University Professors shall be eight in number, except that the number may be increased if officers appointed to that rank are aged 70 or above. University Professors shall be appointed by the Trustees with the affirmative advice of a majority of those members of the Executive Committee of the University Senate holding an appointment without a stated term as professor or associate professor as defined in this section. The scope of his or her service shall be on a University-wide basis. His or her exact teaching assignment shall be determined by the

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chair of his or her former department, the dean of his or her faculty, and the Provost or Provosts.

- c. Professors and associate professors are officers, holding the doctorate or its professional equivalent, who ordinarily are appointed for full-time service without a stated term. Appointments for full-time service for a stated number of years may also be made to these two grades subject to approval by the President. In the Faculties of Medicine, or of Dental Medicine, a professor of (department) at (affiliated hospital or institute) and an associate professor of (department) at (affiliated hospital or institute) are appointed for full-time service without financial guarantee and either annually or without stated term, and their terms of appointment shall be subject to the provisions of Section 60.

In the Faculties of Medicine, of Dental Medicine, of Nursing and of Public Health, an assistant professor of (department) at the Columbia University Medical Center is appointed annually for full-time service, and their terms of appointment shall be subject to the provisions of Section 60.

A professor of clinical (department) and an associate professor of clinical (department) are appointed for part-time service either without a stated term or annually and without financial guarantee, and a clinical professor and an associate clinical professor are appointed annually for part-time service in a department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, or in an affiliated hospital or institute. A clinical professor of law and an associate clinical professor of law are ordinarily appointed annually or for a stated term of years for full-time service in the Faculty of Law. The clinical qualifications of professors and associate professors with clinical titles shall correspond to those of University officers in the grades of professor and associate professor.

A professor of professional practice in (department) and an associate professor of professional practice in (department) are officers with substantial professional experience and expertise who are appointed for full-time service annually. Professors and associate professors of professional practice in (department) fulfill specialized instructional needs but may lack the research and publishing qualifications of University officers in the grades of professor and associate professor.



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- d. A visiting professor is an officer who normally teaches at another institution or otherwise possesses such special status or qualifications as to make this title appropriate and who is appointed annually for full-time or part-time service to give instruction for a stated term of one year or less. Such an appointment may be made to the grade of visiting professor, visiting associate professor, or visiting assistant professor.

Appointments for full-time service may also be made to the three grades of visiting professor of clinical (department), visiting associate professor of clinical (department), or visiting assistant professor of clinical (department) in a department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, such appointments being for officers whose clinical qualifications correspond to those of University officers in the three grades of visiting professor.

- e. An adjunct professor is an expert appointed annually for part-time service to give instruction in his or her special field. Such an appointment may be made to the grade of adjunct professor, adjunct associate professor, or adjunct assistant professor and, except with the approval of the President, may be held only by persons who serve the University in no other capacity.

Appointments for part-time service may also be made to these three grades in a nonclinical department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, such appointments being for officers whose qualifications correspond to those of University officers in the three grades of adjunct professor.

Individuals appointed to the modified suffix, or modified prefix titles at Cornell University Medical College also may be appointed in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, to the equivalent title of adjunct professor of clinical (department), adjunct clinical professor, adjunct associate professor of clinical (department), adjunct associate clinical professor (department), adjunct assistant professor of clinical (department), or adjunct assistant clinical professor.

- f. An assistant professor is an officer, holding the doctorate or its professional equivalent, who is appointed for full-time service for a stated term.

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In the Faculties of Medicine, of Dental Medicine, of Nursing and of Public Health, an assistant professor of (department) at the Columbia University Medical Center is appointed annually for full-time service, and their terms of appointment shall be subject to the provisions of Section 60.

An assistant professor of clinical (department) is an officer appointed annually for part-time service and an assistant clinical professor is appointed annually for part-time service in a department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, or in an affiliated hospital or institute. An assistant clinical professor of law is ordinarily appointed annually or for a stated term of years for full-time service in the Faculty of Law. The clinical qualifications of assistant professors with clinical titles shall correspond to those of University officers in the grade of assistant professor.

An assistant professor of professional practice in (department) is an officer with professional experience and expertise who is appointed annually for full-time service. An assistant professor of professional practice in (department) fulfills specialized instructional needs but may lack the research and publishing qualification of University officers in the grade of assistant professor.

- g. An instructor is an officer appointed for full-time service for a stated term to whom is assigned independent teaching or the conduct of laboratory work or classes under the direction and supervision of an officer of higher rank. Except in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, this title may not be held for more than five years of continuous service. In a department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, an instructor or an instructor in clinical (department) is an officer, holding the doctorate, who may be appointed for full-time or part-time service for a stated term. Individuals appointed as instructor or clinical instructor at Cornell University Medical College also may be appointed annually for part-time service in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, to the equivalent adjunct title of adjunct instructor in (department) or adjunct instructor in clinical (department).

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- h. A senior lecturer or lecturer is an officer, holding the doctorate or its professional equivalent, who is appointed for full-time service for a stated term or annually for part-time service, and who does not qualify for the title of adjunct professor.
  - i. A senior lecturer in (discipline) or lecturer in (discipline) is an officer who is appointed for full-time or part-time service for a stated term, which is renewable, to offer practical instruction in that discipline.
  - j. A special lecturer is a retired Columbia University officer of instruction who is appointed annually for part-time service to give instruction for a stated term of one year or less.
  - k. An associate, or in a department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, an associate in clinical, is an officer who, because of special competence in a given field, is appointed for full-time service for a stated term or annually for part-time service, and who does not qualify for the title of lecturer.
  - l. An associate in (discipline) is an officer who is appointed for full-time or part-time service for a stated term, which is renewable, to offer practical instruction in that discipline and who does not qualify for the title of lecturer in (discipline).
  - m. An assistant or an assistant in clinical is an officer, holding the doctorate, who is appointed annually for full-time or part-time service in a department in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, to whom is assigned the conduct of instruction under the direction and supervision of an officer of higher rank.
  - n. A senior affiliate physician/dentist or affiliate physician/dentist is an officer who is appointed annually for part-time service in the Faculties of Medicine or of Dental Medicine. A senior affiliate physician/dentist is an individual in good standing who performs extraordinary service in clinical care and/or who contributes to teaching. An affiliate physician/dentist is an individual in good standing who is primarily engaged in clinical care and/or contributes to teaching. These appointments will be limited to physicians throughout

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the Columbia University physician networks and to dentists throughout the Columbia University dental networks.

- o. A preceptor is a full-time candidate for a doctoral degree at Columbia University who has completed the residence requirement for that degree and who is appointed annually, for not more than three consecutive years, to offer, under the direction and supervision of an officer of higher rank, part-time instruction not to exceed two course sections a term.
- p. A teaching assistant or reader is ordinarily a full-time candidate for a graduate degree who is appointed annually for part-time service and who is charged, under the direction and supervision of an officer of higher rank, with giving part of the instruction in a course or the reading and grading of written course work.

**§62. Officers of research:** Grades of office

- a. senior research scientist or senior research scholar  
visiting senior research scientist or visiting senior research scholar  
adjunct senior research scientist or adjunct senior research scholar  
Lamont research professor  
research scientist or research scholar  
visiting research scientist or visiting research scholar  
adjunct research scientist or adjunct research scholar  
Lamont associate research professor  
associate research scientist or associate research scholar  
visiting associate research scientist or visiting associate research scholar  
adjunct associate research scientist or adjunct associate research scholar  
Lamont assistant research professor  
postdoctoral research fellow or postdoctoral clinical fellow  
postdoctoral residency fellow  
senior staff associate

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staff associate  
graduate research assistant  
departmental research assistant

All officers of research shall be appointed by the President or the Secretary.

- b. A senior research scientist or senior research scholar is an officer holding the doctorate or its professional equivalent, who is appointed for a term not to exceed five years, which shall be renewable, for full-time or part-time service, who is primarily engaged in research and whose qualifications correspond to those of University officers in the grade of professor.
- c. A Lamont research professor is an officer of research in the Lamont-Doherty Earth Observatory holding the doctorate or its professional equivalent, who is appointed for a term not to exceed five years, which shall be renewable, for full-time or part-time service, who is primarily engaged in research and whose qualifications correspond to those of University officers in the grade of professor.
- d. A research scientist or research scholar is an officer holding the doctorate or its professional equivalent, who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service, who is primarily engaged in research and whose qualifications correspond to those of University officers in the grade of associate professor.
- e. A Lamont associate research professor is an officer of research in the Lamont-Doherty Earth Observatory holding the doctorate or its professional equivalent, who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service, who is primarily engaged in research and whose qualifications correspond to those of University officers in the grade of associate professor.
- f. An associate research scientist or associate research scholar is an officer holding the doctorate or its professional equivalent, who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service, who is primarily engaged in research and whose

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qualifications correspond to those of University officers in the grade of assistant professor.

- g. A Lamont assistant research professor is an officer of research in the Lamont-Doherty Earth Observatory holding the doctorate or its professional equivalent, who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service, who is primarily engaged in research and whose qualifications correspond to those of University officers in the grade of assistant professor.
- h. A visiting senior research scientist or visiting senior research scholar is an officer whose primary affiliation is at another institution or who otherwise possesses such special status or qualifications as to make this title appropriate and who is appointed annually for full-time or part-time service to engage in research for a stated term of one year or less. Such an appointment may also be made to the grade of visiting research scientist, visiting research scholar, visiting associate research scientist, or visiting associate research scholar.
- i. An adjunct senior research scientist or adjunct senior research scholar is an expert appointed annually for part-time service to engage in research in his or her special field. Such an appointment may also be made to the grade of adjunct research scientist, adjunct research scholar, adjunct associate research scientist, or adjunct associate research scholar.
- j. A postdoctoral research scientist or postdoctoral research scholar is an officer holding the doctorate or its professional equivalent and who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service for the primary purpose of cooperating in research. Except with the permission of any Provost, this title may be held for a period of no more than three years.
- k. A postdoctoral research fellow or postdoctoral clinical fellow is an officer holding the doctorate or its professional equivalent, who holds a fellowship, and who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service for the purpose of cooperating in research and obtaining additional training. Except with the permission of any Provost, this title may be held for a period

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of no more than three years.

- l. A postdoctoral residency fellow is an officer holding the doctor of medicine, dental medicine, or dental surgery degree, who is appointed for a term not to exceed twelve months, which shall be renewable, for part-time service for the primary purpose of obtaining additional clinical training at an affiliated hospital or institute. This title may not be held for longer than the duration of the training program in which the fellow is enrolled.
- m. A senior staff associate is an officer holding a bachelor's or higher degree, who has had at least eight years of professional experience in his or her field, and who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service for the primary purpose of cooperating in research or conducting equivalent professional activity.
- n. A staff associate is an officer holding a bachelor's or higher degree, who has had at least four years of professional experience in his or her field, and who is appointed for a term not to exceed twelve months, which shall be renewable, for full-time or part-time service, for the primary purpose of cooperating in research or conducting equivalent professional activity.
- o. A graduate research assistant is a full-time candidate for a graduate degree at Columbia University, who is engaged in research that is in direct fulfillment of a requirement for the degree, and who is appointed for a term not to exceed twelve months, which shall be renewable, except that this title may not be held for more than a total of five years.
- p. A departmental research assistant is ordinarily a full-time candidate for a graduate degree at Columbia University who is appointed annually, for not more than a total of four years, to assist a department or one of its regular members in research.

**§63. Conditions of appointment: Officers of instruction**

Appointments tendered by the Trustees, the President, or the Secretary to any instructional grade shall be designated as full time or part time and shall be for service in the University as a whole, not in a particular subdivision. Full-time service implies a program of teach-

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ing, scholarly research, and, in the Faculties of Medicine, of Dental Medicine, of Nursing, and of Public Health, patient care. The standards of conduct expected of an officer of instruction are exemplified in part in the Statement on Professional Ethics and Faculty Obligations adopted by the University Senate on September 29, 1972.

Except in the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health, where appointments are for twelve months of service, any teaching assignment entails a period of residence of two terms totaling not more than nine months (less stated holidays), and including, if required, one week before and after each term. All absences during a period of residence must be excused by the President through administrative procedures established for this purpose.

Each professor and associate professor who holds an appointment without a stated term shall be entitled to a sabbatical leave of absence of one year on half pay or one-half year on full pay after completing twelve terms of full-time teaching, including time in the grade of assistant professor. The period of leave shall be considered as service to the University. In accordance with Section 4 of these Statutes, the President may grant other leaves of absence and may adjust all leaves of absence.

**§64. Professor emeritus/emerita** The title professor emeritus/professor emerita is conferred upon distinguished senior officers of instruction at or after retirement in recognition of length of service and eminence in their fields. It is bestowed at the pleasure of the Trustees on the recommendation of the President when approved by the Trustees.

**§65. Emeritus/emerita designation** may be conferred upon other distinguished full-time or part-time officers of instruction in the grades of adjunct professor, professor at an affiliated hospital or institute, professor at the Columbia University Medical Center, professor of clinical, clinical professor, and professor of professional practice, after nomination by the appropriate dean and department at or after their retirement, in recognition of length of service and eminence in their fields. Emeritus/emerita designation is bestowed at the pleasure of the Trustees on the recommendation of the President when approved by the Trustees.



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## VII

# CODE OF ACADEMIC FREEDOM AND TENURE

### §70. Academic freedom

- a. Academic freedom implies that all officers of instruction are entitled to freedom in the classroom in discussing their subjects; that they are entitled to freedom in research and in the publication of its results; and that they may not be penalized by the University for expressions of opinion or associations in their private or civic capacity; but they should bear in mind the special obligations arising from their position in the academic community.
- b. *Officers of instruction.* As used in this Chapter, “officer of instruction” means any person whose appointment in the Columbia Corporation is primarily for teaching, whether full time or part time, with or without tenure, whatever his or her title or type of appointment held, and whether or not assigned to membership in any Faculty. Where the provisions of this Chapter apply only to full-time officers of instruction, or only to those with tenure, necessary qualification is made.

### §71. Tenure

- a. *Definition.* To protect their academic freedom, officers of instruction are granted term appointments (i.e., for a specified length of time), during the currency of which they cannot be dismissed without cause; or appointments with tenure (i.e., without stated term), in which case they cannot be dismissed without cause, except in extraordinary circumstances in case of Discontinuance of a Unit (Section 74).
- b. *Eligibility and time limit.*
  1. Except as described in Sections 71(b)(2), 71(b)(3), 71(b)(4), 71(c) and 71(g) below, no officer of instruction shall be appointed or reappointed for full-time service for a period longer than eight consecutive years unless granted

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tenure. *Ad hoc* committee review for these officers is normally expected to occur no later than the officer's seventh year of service, except with the special permission of any Provost.

2. Except as described in Sections 71(b)(4), 71(c) and 71(g) below, no officer of instruction in the Faculties of Dental Medicine, Medicine, Nursing, and Public Health with substantial clinical responsibilities in any patient care setting shall be appointed or reappointed for full-time service for a period longer than eleven consecutive years unless granted tenure. *Ad hoc* committee review for these officers is normally expected to occur no later than the officer's tenth year of service, except with the special permission of any Provost. For the purpose of this provision, substantial clinical responsibility is defined as an average clinical commitment of two months per year in each of the first four years of appointment, with the expectation that the officer will continue to perform at least the same average level of clinical responsibilities for the remainder of his or her nontenured service.
3. When the departmental recommendation [of an officer] for promotion to tenure of an officer without substantial clinical responsibilities is not reviewed by an *ad hoc* committee until the officer's eighth year of service and, after receipt of the recommendation of the *ad hoc* committee, the appointment is not approved by the President or the Trustees, the officer shall be offered reappointment for a ninth and terminal year of service and shall not be deemed to have tenure as a consequence of such reappointment.
4. When the departmental recommendation for promotion to tenure of an officer with substantial clinical responsibilities is not reviewed by an *ad hoc* committee until the officer's eleventh year of service and, after receipt of the recommendation of the *ad hoc* committee, the appointment is not approved by the President or the Trustees, the officer shall be offered reappointment for a twelfth and terminal year of service and shall not be deemed to have tenure as a consequence of such reappointment.

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5. Any officer of instruction with a full-time appointment whose teaching obligation has for any reason been lightened by the appropriate officials will still be considered a full-time officer. Part-time service, discontinuous full-time service, service elsewhere than at Columbia University, one year of full-time service in a nonprofessional rank, and certain leaves of absence (as provided in Section 71f) shall not count in setting the eight-year limit for officers of instruction without substantial clinical responsibilities or the eleven-year limit for officers of instruction with substantial clinical responsibilities. In addition, the President may rule that a year of appointment is not to count for this purpose when an officer without substantial clinical responsibilities who is in the seventh, eighth or ninth year of counted service or an officer with substantial clinical responsibilities who is in the tenth, eleventh or twelfth year of counted service has been denied tenure, the Faculty Affairs Committee of the University Senate has recommended that the officer be given a new review after a grievance hearing under Section 73b, and the Provost or the President has accepted that recommendation. However, part-time service of officers given career appointments under Section 71c shall count toward the limit in the manner there prescribed.
- c. *Part-time career appointments for parents; additional eligibility of service for parents.*
    1. To enable persons who are professionally committed to University service to care for their children, departments may make part-time career appointments of eligible persons to junior ranks leading to tenure. Persons shall be eligible for this status only if they have one or more children under nine years of age at the beginning of the first academic year for which part-time career status is held. They must be primarily responsible for the raising of these children and must plan to spend a very substantial amount of time in that capacity. Eligible persons may be originally appointed to part-time career status or, with the consent of their departments, may change from full-time to part-time career status, or vice versa. Because of

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the purpose for which, and the circumstances in which such status is accorded, holders of such appointments are expected not to engage in gainful employment outside the University. Each year of part-time career status shall be counted as one-half year of full-time service in calculating the eight-year limit on appointments without tenure for officers without substantial clinical responsibilities and the eleven-year limit on appointments without tenure for officers with substantial clinical responsibilities.

2. Any professor, associate professor, assistant professor or instructor appointed with stated term who assumes primary responsibility for the care of a child under one year of age may, at the discretion of the President and upon written request to his or her department, be eligible for up to one additional year of full-time service, which will not count in setting the limits on nontenured service set forth in Section 71(b). Eligibility is limited to one year of full-time service for each child, with a maximum of two years. Faculty who have periods of appointment excluded from the eight-year limit on nontenured service by virtue of leaves of absence to care for a child may not have additional periods excluded under this Section 71(c)(2). The additional year or years of nontenured service provided in this Section 71(c)(2) may be taken in addition to the other exceptions to the normal limits on nontenured service provided in Sections 71(b), 71(c)(1) and 71(f).
- d. *Term appointments.*
1. All officers of instruction without tenure shall initially be appointed for one year. Reappointment of full-time officers so appointed with at least one year of residence at Columbia University may be for one, two, or three years. However, at the conclusion of any term appointment, an officer of instruction may with due notice be offered a one-year terminal appointment, even though such appointment will not complete eight years of service in the case of officers without substantial clinical responsibilities or eleven years of service in the case of officers with substantial clinical responsibilities.

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2. In no case will term appointments of officers without substantial clinical responsibilities continue beyond eight years of full-time continuous service, except as provided above (Section 71b). Any such officer appointed for a ninth or subsequent year of full-time continuous service shall, except as provided above (Section 71b), be deemed to have tenure (i.e., to have an appointment without stated term) regardless of his or her University title, salary or other conditions of employment, and whether or not the appointment has been considered by an *ad hoc* committee.
  3. In no case will term appointments of officers with substantial clinical responsibilities continue beyond eleven years of full-time continuous service, except as provided above (Section 71b). Any such officer appointed for a twelfth or subsequent year of full-time continuous service shall, except as provided above (Section 71b), be deemed to have tenure (i.e., to have an appointment without stated term) regardless of his or her University title, salary, or other conditions of employment, and whether or not the appointment has been considered by an *ad hoc* committee.
- e. *Formal consideration for tenure.*
1. A full-time officer of instruction holding a term appointment may be considered by his or her department for tenure at any time.
  2. If an officer without substantial clinical responsibilities is reappointed and reaches the fourth, fifth, or sixth year of full-time service, the officer of instruction must, if he or she so requests, be considered for tenure during such year of service. Such an officer must be considered for tenure in any case not later than the end of the penultimate (i.e., seventh) year of his or her full-time service, in order that sufficient time may be allowed so that
    - a. if the departmental decision is favorable, budgetary approval may be given and approval by an *ad hoc* committee (where applicable) concluded prior to May 31 of the following (i.e., his or her eighth) year of service; and so that

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- b. if the decision of the department is unfavorable, the officer can be given clear and unambiguous notice, in writing, of his or her reappointment for an eighth and terminal year of service, not later than May 31 of his or her seventh year of service; and so that
    - c. if the departmental decision is favorable but, in cases where ad hoc committee review has been deferred to the eighth year of service with the special permission of a Provost, the decision of the *ad hoc* committee is unfavorable, or if a tenure appointment is not granted by the President or the Trustees, the officer can be given clear and unambiguous notice, in writing, of the decision and notification of his or her reappointment for a ninth and terminal year of service before the end of his or her eighth year of service. If the department's decision is unfavorable, the officer may ask for a written statement of reasons, in response to which request the chair of the department must state in writing his or her belief as to the reasons for the department's decision.
  3. If an officer with substantial clinical responsibilities is reappointed and reaches the seventh, eighth, or ninth year of full-time service, the officer of instruction must, if he or she so requests, be considered for tenure during such year of service. Such an officer must be considered for tenure in any case not later than the end of the penultimate (i.e., tenth) year of his or her full-time service, in order that sufficient time may be allowed so that
    - a. if the departmental decision is favorable, budgetary approval may be given and approval by an *ad hoc* committee (where applicable) concluded prior to May 31 of the following (i.e., his or her eleventh) year of service; and so that
    - b. if the decision of the department is unfavorable, the officer can be given clear and unambiguous notice, in writing, of his or her reappointment for an eleventh and terminal year of service, not later than May 31 of his or her tenth year of service; and so that

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- c. if the departmental decision is favorable but, in cases where *ad hoc* committee review has been deferred to the eleventh year of service with the special permission of a Provost, the decision of the *ad hoc* committee is unfavorable, or if a tenure appointment is not granted by the President or the Trustees, the officer can be given clear and unambiguous notice, in writing, of the decision and notification of his or her reappointment for a twelfth and terminal year of service before the end of his or her eleventh year of service. If the department's decision is unfavorable, the officer may ask for a written statement of reasons, in response to which request the chairman of the department must state in writing his or her belief as to the reasons for the department's decision.
- f. *Leaves of absence (term appointments)*. Upon written request, and with the approval of his or her department and the dean or vice president of his or her Faculty, a full-time officer of instruction holding a term appointment of professorial rank may be granted leave of absence or full exemption from teaching duties for a period up to and including one academic year. Except in the case of officers of instruction with one year of full-time service in a nonprofessorial rank, the first year of such leave or exemption from teaching duties will not count as part of the maximum number of years of service allowed for term appointments provided above (Section 71b). Subsequent periods of leave or exemption from teaching duties shall normally count as part of the maximum number of years allowed for term appointments. In cases of medical, maternity, or compulsory military service leave, however, or for reasons of personal hardship, the President, upon written request from the officer of instruction and with the approval of his or her department and the dean or vice president of his or her Faculty, may rule that the leave of absence is not to count for this purpose. Leaves do not constitute a break in continuous service.
- g. *Exceptions*. Subsections (b), (d), and (e) of this Section shall not apply to the following officers of instruction:

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1. members of the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health who hold clinical titles or titles indicating an appointment in an affiliated hospital or institute or at the Columbia University Medical Center;
  2. persons with appointments as senior lecturer in (discipline), lecturer in (discipline), and associate in (discipline);
  3. persons with appointments as clinical professor of law, associate clinical professor of law, and assistant clinical professor of law; and
  4. persons with appointments as professor of professional practice in (department), associate professor of professional practice in (department), and assistant professor of professional practice in (department).

A person who has once held an appointment as a clinical professor of law, associate clinical professor of law, or assistant clinical professor of law may not ordinarily thereafter receive a tenure appointment; a person who has once held an appointment as professor of law, associate professor of law, or assistant professor of law may not ordinarily thereafter receive an appointment as clinical professor of law, associate clinical professor of law, or assistant clinical professor of law.

**§72. Appointment, reappointment, resignation, and retirement**

- a. *Written appointments.* Terms and conditions of every appointment or reappointment of an officer of instruction will be stated or confirmed in writing by the chair of the department at the time the offer of appointment or reappointment is made. The notification will state whether the appointment or reappointment is for full-time or for part-time service. All written communications by a chair of a department stating the terms and conditions of an offer of appointment or reappointment shall state that the offer of appointment or reappointment is made subject to the approval of the Trustees, the President, or the Secretary, as the case may be, with respect to the pro-



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posed appointment or reappointment, and shall be approved in advance of delivery by the dean of the Faculty in which the appointment or reappointment is proposed to be made.

- b. *Notice of renewal.* Every full-time officer of instruction holding a term appointment will, if reappointed, be so informed in writing. Notification of renewal should follow the time schedule outlined in Section 72c below. Notification of the terms and conditions of renewal of a term appointment should be made by March 15, and in no case later than May 1, unless the President has announced delay in formal approval of the University budget for the next academic year. (Note: The provisions of this subparagraph have been suspended by the Trustees until the President notifies the Trustees that administrative budgeting procedures have been developed to ensure that the University budget and appointment procedures shall be completed by March 15 of each year.)
- c. *Notice of nonrenewal.* Written notice to a full-time officer of instruction who holds a term appointment, informing him or her that his or her appointment is not to be renewed, will be given in advance of the expiration of his or her appointment, as follows:
  - 1. not later than March 1 of the first academic year;
  - 2. not later than December 15 of the second academic year of full-time service, if the appointment expires at the end of that academic year;
  - 3. at least twelve months before the expiration of an appointment after two or more years of full-time service at Columbia University.

The provisions of this subsection (c) shall not apply to members of the Faculties of Medicine, of Dental Medicine, of Nursing, or of Public Health who hold clinical titles or titles indicating an appointment in an affiliated hospital or institute or at the Columbia University Medical Center, provided, however, that after two or more years of full-time service at Columbia University, any officer of instruction with such a title in those Faculties shall be entitled to at least six months' written notice of nonrenewal of his or her appointment for any reason,

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other than the termination or modification of the affiliation between the University and an affiliated institution, or the closing or curtailment of the operations of such institution.

- d. *Notice of resignation.* A full-time officer of instruction who wishes to resign at the end of the academic year should give notice in writing at the earliest possible opportunity, but not later than April 1, or 30 days after receiving notification of the terms of his or her appointment for the coming year, whichever date occurs later. The officer of instruction may properly request a waiver of this requirement of notice, in case of hardship or in a situation in which he or she would otherwise be denied substantial professional advancement or other opportunity.
- e. *Disability.* The University may at any time retire an officer of instruction on clear and convincing medical grounds. The University may require an officer of instruction at the expense of the University to undergo a medical examination by a physician designated by the University in any case in which a question of medical disability arises. If the officer of instruction denies such grounds and claims continued fitness, he or she may appeal to the University Senate Committee on Faculty Affairs, Academic Freedom, and Tenure (“The Faculty Affairs Committee”), which will attempt to resolve the matter. If the officer of instruction is still not satisfied, he or she may ask for a hearing (Section 75). The retirement of a full-time officer of instruction on medical grounds shall be effective as of the date on which the disability is determined to have occurred, and the officer shall be entitled to six months’ salary from such date and in addition thereafter to the benefits to which he or she is entitled under the terms of any disability insurance or similar plan maintained under Section 84 in which he or she is a participant.

### **§73. Grievance procedures**

- a. *General.* Where an officer of instruction has a grievance against his or her department, or against the University administration, he or she should complain in writing to the University Senate Committee on Faculty Affairs, Academic Freedom, and Tenure (“The Faculty Affairs Committee”). The

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Faculty Affairs Committee may inquire into the matter and mediate between the officer and the department, or between the officer and the University administration.

- b. *Reappointment and promotion.* If any officer of instruction holding a term appointment (including instructional appointments restricted to graduate students) alleges that discrimination because of race, color, religion, sex, age, or national origin, prejudice or violation of academic freedom significantly contributed to a decision not to reappoint him or her, or not to promote to tenure, or alleges that procedures were defective in reaching a decision not to promote to tenure, or alleges that student opinion as to his or her teaching ability was not effectively sought in reaching a decision not to promote to tenure, he or she may complain in writing to the Faculty Affairs Committee, stating the grounds for the allegation. These are the only grounds on which the Faculty Affairs Committee will recognize a challenge to such a decision. If they are alleged, the Faculty Affairs Committee will inquire into the circumstances and may make recommendations for resolving the dispute. The Faculty Affairs Committee and its duly constituted subcommittees shall have access to information relevant in grievance investigations, pursuant to guidelines for such access as agreed upon between the committee and the Provost. If the matter remains unresolved, and if, but only if, the Faculty Affairs Committee finds substantial grounds for believing that a violation of academic freedom or discrimination because of race, color, religion, sex, age, or national origin has occurred, it may provide for a formal hearing (Section 75). However, in such case the burden of proof shall rest upon the complainant.

**§74. Discontinuance of a unit**

- a. *General.* The bona fide discontinuance of a unit of instruction on account of demonstrated serious financial exigency is the only circumstance that should make possible the termination, outside the dismissal procedures defined in Section 75, of the appointment of an officer of instruction with tenure. The unit must be large enough to exclude the pos-

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sibility that the discontinuance could be aimed at specific individuals. Termination of appointments under this section may not be used to redeploy resources in those cases where attrition over a period of time is a reasonable alternative. The broad issues involved in any discontinuance must have been reviewed by the University Senate. The provisions of this Section are not intended to prevent the University from altering its educational policies by means other than abrogation of appointments; nor are they intended to encourage major redeployment without due consultation. Moreover, any merger, consolidation, or similar reorganization of two or more units of instruction into a single such unit, which continues to provide instruction in the same or equivalent subject areas, shall not constitute a discontinuance of the pre-existing units that could justify the termination of appointments under the provisions of this section.

- b. *Tenured faculty.* If a unit of instruction within the University is discontinued, every holder of a tenure appointment currently assigned to the unit affected should be placed in a suitable position elsewhere in the University. In the extreme case where the administration, after making a bona fide effort to reassign an affected officer of instruction, concludes that the only feasible course of action is to terminate the latter's appointment, it shall give him or her at least twelve months' notice, or one year's severance salary in lieu thereof. Prior to any such decision to terminate, the administration shall notify the Faculty Affairs Committee of the reasons why reassignment is not feasible and the Committee shall be given an opportunity to discuss the matter. When the appointment of an officer of instruction with tenure is terminated because of the discontinuance of his or her unit, for a period of at least five years his or her place shall not be filled by a replacement, unless he or she has first been offered reappointment and a reasonable time in which to accept or decline such reappointment.
- c. *Nontenured faculty.* An officer of instruction holding a term appointment, whose unit of instruction has been discontinued, shall not be terminated with less notice than is prescribed in Section 72c.

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## §75. Dismissal procedures

- a. *Definition of dismissal.* Termination of an appointment with tenure, or of a term appointment before the end of the specified term, or of an appointment with special conditions (e.g., as visiting, retired, or professor emeritus/emerita) before the end of the specified term, shall be considered a dismissal and shall be effected only in pursuance of the procedure specified below; except that an officer of instruction who is charged with a violation of the Rules of University Conduct, and who chooses to accept jurisdiction of the Hearing Officer, shall thereby lose his or her right to be judged, and shall not be charged, according to the provisions of this Section.
- b. *Grounds for dismissal.* No dismissal shall be effected by the University except for adequate cause. By “adequate cause” is meant the clear manifestation by an academic staff member of his or her professional unfitness for the position. Evidence to demonstrate professional unfitness, under the above standard, may include, but is not limited to, evidence of gross inefficiency, habitual and intentional neglect of duty, or serious personal misconduct.
- c. *Preliminary actions:*
  1. When reason appears to question the fitness of an officer of instruction, the President should discuss the matter with him or her in a personal conference and explore the possibility of a mutually satisfactory settlement.
  2. If a settlement cannot be reached by this means, the matter should be referred to the Faculty Affairs Committee, which will attempt to use its good offices to effect a resolution acceptable to both parties.
  3. Should conciliatory and mediatory efforts fail, the President, if he or she so desires, may initiate formal action against the officer of instruction. Dismissal proceedings should be commenced by a written communication to the officer by the President or his or her representative, stating the particular charges, summarizing the evidence on which the charges are based, and informing the officer of the procedures set forth herein to determine whether he

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or she should be removed from his or her position on the stated grounds.

4. The Faculty Affairs Committee shall receive a copy of the communication sent to the officer of instruction by the President or his or her representative.
5. The officer of instruction should acknowledge the President's letter and indicate whether he or she wishes to contest the charges in whole or in part. If he or she wishes to contest the charges, the Faculty Affairs Committee shall arrange for a hearing.
6. If a hearing is to be held, the Faculty Affairs Committee shall promptly inform the officer of instruction of the time and place of the hearing which it shall schedule in consultation with the faculty members who will hear the case.
7. The hearing shall be scheduled for no sooner than fourteen days and no later than twenty-eight days after the issuing of charges, unless compelling circumstances render such a time table manifestly unattainable.

d. *The hearing committee:*

1. The Faculty Affairs Committee shall, as its first order of business every year, choose twenty officers of instruction from among the tenured faculty of the University (excluding those currently serving on the Faculty Affairs Committee) to constitute a panel of potential hearers. Competence and representativeness shall be the primary criteria used in their selection. Members of this hearing panel shall serve for two-year terms.
2. When a case arises, the Faculty Affairs Committee shall select by lot five members of the panel that will serve as the hearing committee for that case. Each party shall have the right to two peremptory challenges; the Faculty Affairs Committee shall select required replacements from the same source and again by lot.

e. *Hearing procedures:*

1. The hearing committee shall have the duty and the power to protect the integrity of the proceedings. It shall elect

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its own chair. After consultation with the President and the officer of instruction, it shall exercise its judgment as to whether the hearing shall be public or private, except that the hearing shall not be public without the agreement of the officer involved. If the hearing is to be public, the hearing committee shall determine which media shall be admitted and what limits on attendance shall be set. It may, in the interest of preserving order, close a hitherto public hearing or change its site. At the request of either party or of the hearing committee, a representative of a responsible educational or other association shall be permitted to attend the proceedings as an observer.

2. During the proceedings, the officer of instruction and the representative of the administration shall be permitted the assistance of counsel. The hearing committee may also avail itself of the assistance of counsel.
3. A verbatim record of the hearing shall be taken and shall be accessible to both parties.
4. Insofar as it is possible to do so, the administration shall secure the cooperation of witnesses; it shall make available to the officer of instruction the necessary documents and other evidence within its control.
5. The officer of instruction and the administration shall have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the hearing committee determines that the interests of justice require the admission of his or her testimony, the committee will identify the witness, disclose his or her statement and if possible provide for interrogatories. Notwithstanding the foregoing sentence, if the hearing committee does not provide for interrogatories with respect to the proffered testimony of such a witness who will not or cannot appear, or if there is no response to any interrogatories directed to such a witness, the evidence of the witness shall not be received or considered by the hearing committee.
6. The hearing committee will not be bound by rules of evidence applicable in a court of law, but may admit any

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evidence which in its opinion is of probative value in deciding the issues involved.

7. The burden of proof that adequate cause exists for dismissal rests with the administration and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
  8. The hearing committee shall base its findings of fact and recommendations for the disposition of the case solely on the hearing record.
  9. The hearing committee shall make explicit findings with respect to each of the charges presented.
  10. The hearing committee may recommend dismissal, a penalty short of dismissal, or no penalty, depending upon the substantiation or lack of substantiation of the charges, the presence or absence of extenuating circumstances, and the gravity of the proved offense. If it recommends dismissal, the committee should also state whether the dismissal should be summary,
  11. or with notice, or salary in lieu of notice; and, if the latter, for what period. The committee shall in every case offer reasons for its recommendations.
  12. The hearing committee shall report its findings and recommendations simultaneously to the officer of instruction, to the President of the University, and to the chair of the Faculty Affairs Committee.
- f. *Review procedures:*
1. If the President rejects the report of a majority of the hearing committee, in whole or in part, he or she shall state his or her reasons for doing so, in writing, to the committee and to the officer of instruction and shall provide them with an opportunity to respond before asking the Trustees to review the case. If the officer of instruction rejects the report, he or she shall have the option of appealing directly to the Trustees.
  2. In reviewing the case, at the behest of the President or the officer of instruction, the Trustees shall be guided



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by the record of the hearing. They shall, however, provide opportunity for argument, oral or written or both, by the principals or their representatives, if requested and deemed necessary.

3. Should the Trustees sustain the decision of the hearing committee, the proceeding will terminate to that point. Should they reject the decision of the hearing committee, the Trustees shall return the case to that committee with specific objections in writing. The hearing committee shall then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Trustees shall make the final decision only after study of the hearing committee's reconsideration; they shall offer a reasoned opinion for a decision to overrule. The Faculty Affairs Committee shall receive the record at the conclusion of the proceedings.

g. *Suspensions:*

1. Until final decision has been reached, the officer of instruction shall not be suspended from his or her duties, or assigned to other duties, unless immediate harm to himself or herself or others is threatened by continuance of his or her normal service.
2. The decision as to whether immediate harm is threatened shall be made by the President of the University, but not until after he or she has consulted the Faculty Affairs Committee. A suspension can be effected only by the President or his or her duly authorized representative. An interim suspension, as provided in Section 75g(1), while the case is being decided, shall be with pay. A suspension imposed as a penalty short of dismissal, as provided in Section 75e(10), shall be without pay.

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## VIII

# RETIREMENT PROGRAM AND EMPLOYEE BENEFITS

**§80. Retirement** No officer of administration, officer of research, or officer of instruction shall be retired involuntarily from active service in the University on account of his or her age, except that, subject to the limitations of applicable federal and state law in force from time to time, an officer in the position of President, Provost, vice president, general counsel, secretary, treasurer, dean of a Faculty or school, or chair of a department of instruction in the Faculties of Medicine, Dental Medicine, Nursing and Public Health shall retire from active service as an officer of administration on the last day of the month in which his or her 70th birthday occurs. If they deem it in the best interests of the University, the Trustees may continue an officer in any of the aforementioned positions in active service beyond age 70.

**§81. Optional retirement** Any officer of administration or research may, at his or her own written request to the President or on motion by the Trustees, be retired from active service in the University at any time after he or she attains the age of 65 years or at any time on clear and convincing medical grounds. The University may require an officer of administration or research, at the expense of the University, to undergo a medical examination by a physician designated by the University in any case in which a question of medical disability arises. The retirement of an officer of administration or research on medical grounds shall be effective as of the date on which the disability is determined to have occurred, and the officer shall be entitled to six months' salary from such date and in addition thereafter to the benefits to which he or she is entitled under the terms of any disability insurance or similar plan maintained under Section 84 in which he or she is a participant. Any officer of instruction may, at his or her own written request to the President, be retired from active service in the University at any time after he or she attains the age of 65 years or in accordance with Section 72e.

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**§82. Appointment of retired officers for special services**

Any retired officer of administration or instruction may be appointed by the Trustees to render special services to the University. Appointments for such purposes shall be for periods of not more than one year (subject to renewal), and shall be on such conditions and with such compensations as the Trustees may determine.

**§83. Retention of names of retired officers** The names of all living retired officers shall be retained in the Directory or other appropriate announcements of the University.

**§84. Retirement and benefit plans** The University recognizes its responsibility to provide a program of retirement and other benefits for its officers and staff. In order to provide such benefits, the Trustees may from time to time adopt one or more retirement plans, group insurance plans, or other employee benefit plans. Officers shall be entitled to participate in such plans on the terms and conditions set forth in such plans.

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## IX

### THE LIBRARIES

**§90. University Librarian** There shall be a University Librarian appointed by the Trustees on the nomination of the President. He or she shall be the executive officer of all libraries under the control of the University. It shall be his or her duty, under the direction of the President, to enforce the Statutes relating to the libraries; to develop and implement programs supportive of University goals; to give continuous study to the needs and conditions of the libraries; and from time to time to report his or her findings and recommendations to the President through the Provost or Provosts. He or she shall appoint all needed personnel and fix their duties, titles, and compensation; shall be the custodian of all collections and other property of the libraries; shall have charge and control of library buildings and rooms; and shall make and enforce all needed rules relating to the libraries and their use.

**§91. Officers of the libraries** Officers of the libraries shall consist of librarians and such additional persons who are appointed for full-time or part-time service by the Trustees or the President on the nomination of the University Librarian. The number and amount of compensation of officers of the libraries appointed under this Chapter shall be determined in advance by the Trustees. All officers of the libraries shall hold their offices during the pleasure of the Trustees. The designation “librarian” shall apply only to an officer who is appointed on the nomination of the University Librarian as professionally qualified to serve instruction and research by assembling appropriate collections of library materials; by developing and maintaining library services; and by furthering the use of library and information resources for instruction and scholarship. Officers of the libraries will rank with officers of instruction with respect to University benefits and privileges.

**§92. Library resources** The University Librarian shall be responsible for establishing and implementing policies governing the development and maintenance of collections of library materials in

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the University. All books, serials, other printed matter, manuscript materials, and recorded information in other forms, given to the University or purchased from funds appropriated by the Trustees or given for the purchase of library materials, shall be deemed a part of the libraries and shall be marked and cataloged as such. No less than three copies of all reports and other matter printed by authority of the Trustees, except such as may be printed for their exclusive use, shall be deposited in the libraries.

**§93. Use of the collections** Policies governing the consultation and borrowing of materials from the collections by officers, employees, registered students, and others will be prescribed by the University librarian with the approval of the President. Students who fail to comply with rules governing the care and use of the collections, including the proper charging and return of books, may, after review by the appropriate dean or other officer, be deprived of good standing in the University.

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## X

### RELIGIOUS ACTIVITIES

**§100. The Earl Hall Center** The Earl Hall Center shall consist of Earl Hall and the Chapel. The center shall have as its purpose the furtherance of the spiritual, philanthropic, and religious life of the University.

**§101. Director** There shall be a director of the Earl Hall Center who shall be appointed by the Trustees on the nomination of the President for an initial term of three years with no limitation upon renewal of the appointment at the Trustees' pleasure. The director shall have the following duties:

- a. to administer the budget and supervise the personnel of the Earl Hall Center;
- b. to initiate and administer programs for the furtherance of the spiritual, philanthropic, and religious life of the University;
- c. to administer the activities of, and to encourage cooperative efforts among, those participating in the programs of the Earl Hall Center;
- d. to coordinate the activities of counselors to groups participating in the programs of the Earl Hall Center; and
- e. to prepare, annually, a written report to the President with respect to the foregoing. The counselors shall not be appointees of the University.

**§102. The directorate of the Earl Hall Center** Associate and/or assistant directors of the Earl Hall Center may be appointed by the President to assist the director in the performance of his or her duties. Together with the director they shall constitute the directorate. The organization of the staff of the directorate shall be at the discretion of the director in consultation with the groups participating in and using the Earl Hall Center and in consultation with the administrative officer of the University who has been designated by the President as the person to whom the director shall report.

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**§103. Student Governing Board** There shall be established a Student Governing Board consisting of representatives of the various student groups participating in the activities of the Earl Hall Center. The board shall have the duty of supervising the student activities in the Earl Hall Center. The director may allocate available space to the Student Governing Board which, in turn, may assign such space to such student groups.

**§104. The Earl Hall Center Coordinating Council** There shall be established an Earl Hall Center Coordinating Council to consult with the director on matters of common concern. The council shall be composed, in equal numbers, of representatives designated, in accordance with the by-laws of the Earl Hall Center Coordinating Council, by the directorate, the Student Governing Board, and the counselors to groups participating in the programs of the Earl Hall Center, respectively.

**§105. Advisory Committee** There shall be an Advisory Committee for the Earl Hall Center. Its members shall be seven in number, appointed by the President, with the advice and consent of the University Senate, of whom at least one shall be a member of the University Senate and none of whom shall be members of the directorate, Student Governing Board, Coordinating Council, or any administrative officer one of whose principal concerns shall be the affairs of the Earl Hall Center. The members shall be appointed for staggered three-year terms not normally renewable and the chair shall be a member in his or her last year of service on such committee. The Advisory Committee shall meet at least annually to consider the written report of the director to the President, after which the Advisory Committee shall transmit the report to the President and the University Senate with its comments. In response to a publicly announced request of

- a. a person or group appealing an action of the Student Governing Board;
- b. the Student Governing Board;
- c. the Earl Hall Center Coordinating Council; or
- d. the director of the Earl Hall Center

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The Advisory Committee will seek to resolve in an informal manner any conflict relating to the Earl Hall Center. It shall make formal recommendations to the President when it cannot resolve any such conflict. The Advisory Committee shall also be empowered to make formal proposals to the University Senate, through the appropriate University Senate Committee, that the University Senate propose legislative amendments to the Statutes to implement the committee's proposals.

**§106. Gifts, bequests, and devises** Nothing contained in this Chapter X shall be construed to permit the violation of any covenant, condition, or restriction contained in any deed of gift or any bequest or devise or other instrument heretofore made relating to Earl Hall or the Chapel.



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## XI

### COLUMBIA COLLEGE

**§110. Faculty** The Faculty of Columbia College shall consist of the President, the Provost or Provosts, the executive vice president for Arts and Sciences, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§111. Admission** Every candidate for admission shall be required to present, before examination, a certificate of good moral character from his or her last teacher, or from some citizen in good standing; and students from other colleges shall be required to bring certificates from such colleges of honorable discharge.

**§112. Degree** Every student who shall have completed an approved course of not less than 124 points (a point being one hour a week of attendance for an autumn term or a spring term, or the equivalent thereof), and shall have passed satisfactorily all examinations required of him or her, shall be qualified to receive the degree of bachelor of arts.

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## XII

### FACULTY OF LAW

**§120. Faculty** The Faculty of Law shall consist of the President, the Provost or Provosts, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§121. Program of study** The program of studies shall be designed to afford a thorough, practical, and scientific education in the principles of law.

**§122. Degrees**

- a. J.D. Every candidate shall be entitled to be recommended for the degree of juris doctor who, being of good moral character, shall have completed the approved curriculum and passed all the examinations required of him or her.
- b. LL.M. Candidates for the degree of master of laws shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Law.
- c. M.C.L. Candidates for the degree of master of comparative law shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Law.
- d. J.S.D. Candidates for the degree of doctor of the science of law shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Law.

**§123. Legislative Drafting Research Fund**

- a. There shall be a Legislative Drafting Research Fund to provide opportunity for study of, and practical laboratory work in the legislative development of, the law.

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- b. Director and advisory board. There shall be a director of the Legislative Drafting Research Fund, who shall be appointed by the Trustees on the nomination of the President.

To assist the director in the performance of his or her duties, there shall be an advisory board consisting of the dean of the Faculty of Law, *ex officio*, and not fewer than four other persons nominated by the President and appointed by the Trustees for a term of three years. In making a nomination for director, the President shall consult with the advisory board.

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## XIII

### FACULTY OF MEDICINE (COLLEGE OF PHYSICIANS AND SURGEONS)

**§130. Faculty** The Faculty of Medicine shall consist of the President, the Provost or Provosts, the executive vice president for Health and Biomedical Sciences and dean of the Faculty of Health Sciences, the dean of the Faculty of Medicine, and such officers of administration and of instruction as may be assigned thereto by the Trustees. The faculty shall be responsible for the educational programs in medicine, occupational therapy, and physical therapy.

#### **§131. Degrees**

- a. M.D. Every candidate shall be entitled to be recommended for the degree of doctor of medicine who, being of good moral character, shall have completed the required curriculum and passed all the examinations required of him or her.
- b. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Medicine.
- c. Med.Sc.D. Candidates for the degree of doctor of medical science shall be qualified to receive such degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Medicine.
- d. D.P.T. Candidates for the degree of doctor of physical therapy shall be qualified to receive such degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Medicine.

#### **§132. Certificates**

- a. Candidates for the certificates in occupational therapy, physical therapy, and psychoanalytic training shall be qualified to receive the appropriate certificate upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Medicine.

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## XIV

# FACULTY OF ENGINEERING AND APPLIED SCIENCE

**§140. Faculty** The Faculty of Engineering and Applied Science shall consist of the President, the Provost or Provosts, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§141. School of Engineering and Applied Science** The School of Engineering and Applied Science shall conduct the courses of instruction in the several branches of engineering, applied science, and related fields.

**§142. Programs of Study** Programs of study shall be designed to provide undergraduate, graduate, and professional instruction and research in the various fields of engineering, applied science, and related fields.

**§143. Degrees**

- a. B.S. Every student who shall have completed an approved course and passed examinations as required by the Faculty of Engineering and Applied Science shall be qualified to receive the degree of bachelor of science.
- b. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Engineering and Applied Science.
- c. Professional degrees. Candidates for the professional degree in chemical (Ch.E.), civil (C.E.), electrical (E.E.), industrial (I.E.), mechanical (M.E.), mining (E.M.), metallurgical (Met.E.), nuclear (N.E.), or mineral engineering (Min.E.), or the professional degrees of Mechanics Engineer (Eng.M.) or computer systems engineer (C.S.E.) shall be qualified to receive that degree upon compliance with the conditions prescribed by the Faculty of Engineering and Applied Science.

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- d. M.A., M.Phil., and Ph.D. Candidates for the degrees of master of arts, master of philosophy, and doctor of philosophy shall be qualified to receive these degrees upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of the Graduate School of Arts and Sciences.
  - e. Eng.Sc.D. Candidates for the degree of doctor of engineering science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Engineering and Applied Science.

**§144. Henry Krumb School of Mines** The name Henry Krumb School of Mines shall be the designation of the work of the Department of Earth and Environmental Engineering.

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## XV

# GRADUATE SCHOOL OF ARTS AND SCIENCES

### §150. Faculty and Administrative Board

- a. *Faculty.* The Faculty of the Graduate School of Arts and Sciences shall consist of the President, the Provost or Provosts, the executive vice president for Arts and Sciences, the dean of the Faculty of the Graduate School of Arts and Sciences, and such officers of administration and of instruction as may be assigned thereto by the Trustees on the nomination of the faculty.
- b. *Administrative Board.* The Administrative Board of the Graduate School of Arts and Sciences shall consist of the President, the Provost or Provosts, the executive vice president for Arts and Sciences, the dean of the Faculty of the Graduate School of Arts and Sciences, and such officers of administration and of instruction as may be assigned thereto by the Trustees on the nomination of the Faculty of the Graduate School of Arts and Sciences.

**§151. Graduate School of Arts and Sciences** The Graduate School of Arts and Sciences shall be responsible for advanced instruction and research in the several branches of the social sciences, humanities, and pure sciences, as well as in related fields.

### §152. Powers

- a. The Graduate School of Arts and Sciences, subject to the reserve power of the Trustees and the provisions of the Statutes, shall have the power, and it shall be its duty, to prescribe the manner in which standards for the degrees of master of arts, master of arts in liberal studies, master of philosophy, and doctor of philosophy shall be maintained within the University, except as the degree of master of arts may be awarded by either the Faculty of Teachers College or the Faculty of Union Theological Seminary.
- b. The Administrative Board of the Graduate School of Arts and

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Sciences shall have the power, and it shall be its duty, through such subcommittees as it shall designate, to prescribe the requirements and regulations for all programs of study leading to the degrees defined in subsection (a) which are not within the jurisdiction of a specific department of instruction offering advanced instruction and research within the Faculty of the Graduate School of Arts and Sciences. Subject to the provisions of subsection (a), candidates in such special programs of study for the degrees defined in said subsection shall be qualified to receive those degrees upon compliance with the conditions prescribed by the University Senate under Section 24b by concurrent action with the Administrative Board of the Graduate School of Arts and Sciences.

- c. The Faculty and the Administrative Board of the Graduate School of Arts and Sciences shall, in their respective roles, exercise any powers of that Faculty and Administrative Board under Section 35; and thus they shall have the power, and it shall be their duty, to make all such by-laws and regulations for their own proceedings and for the better governance of the Graduate School of Arts and Sciences as shall not contravene the Charter of the Corporation, the Statutes, or any resolution of the Trustees or of the University Senate.

**§153. Programs of study** The programs of study shall include advanced instruction and research in

- a. The disciplines of the social sciences, humanities, and pure sciences, as offered by the following departments:
  1. *Social sciences.* Anthropology, Economics, History, Political Science, and Sociology
  2. *Humanities.* Art History and Archaeology, Classics, East Asian Languages and Cultures, English and Comparative Literature, French and Romance Philology, Germanic Languages, Italian, Latin American and Iberian Cultures, Middle Eastern, South Asian and African Studies, Music, Philosophy, Religion, and Slavic Languages
  3. *Pure sciences.* Applied Physics and Applied Mathematics, Astronomy, Biochemistry and Molecular Biophysics, Biological Sciences, Chemical Engineering, Chemistry, Civil Engineering and Engineering Mechanics, Computer Sci-



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ence, Earth and Environmental Engineering, Earth and Environmental Sciences, Ecology, Evolution and Environmental Biology, Electrical Engineering, Genetics and Development, Mathematics, Mechanical Engineering, Microbiology, Neuroscience, Pathology and Cell Biology, Pharmacology, Physics, Physiology and Cellular Biophysics, Psychology, and Statistics.

- b. All other programs of study as may, from time to time, be provided for under Section 152b.

**§154. Degrees**

- a. M.A. Subject to the provisions of Section 152a, candidates for the degree of master of arts shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate under Section 24b by concurrent action with the Faculty of the Graduate School of Arts and Sciences.
- b. M.A.L.S. Subject to the provisions of Section 152a, candidates for the degree of master of arts in liberal studies shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate under Section 24b by concurrent action with the Faculty of the Graduate School of Arts and Sciences.
- c. M.Phil. Subject to the provisions of Section 152a, candidates for the degree of master of philosophy shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate under Section 24b by concurrent action with the Faculty of the Graduate School of Arts and Sciences.
- d. Ph.D. Subject to the provisions of Section 152a, candidates for the degree of doctor of philosophy shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate under Section 24b by concurrent action with the Faculty of the Graduate School of Arts and Sciences.

**§155. Certificates.** Candidates for the certificates in medieval and Renaissance Studies, conservation biology, and in environmental policy shall be qualified to receive the certificate upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of the Graduate School of Arts and Sciences.

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## XVII

# FACULTY OF ARCHITECTURE, PLANNING AND PRESERVATION

**§170. Faculty** The Faculty of Architecture, Planning and Preservation shall consist of the President, the Provost or Provosts, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§171. Graduate School of Architecture, Planning and Preservation** The Graduate School of Architecture, Planning and Preservation shall conduct the courses of instruction in architecture and related fields.

**§172. Program of study** The program of studies shall be designed to furnish technical and professional instruction in the history, theory, and practice of architecture.

**§173. Degrees**

- a. M.Arch. Candidates for the degree of master of architecture shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Architecture, Planning and Preservation.
- b. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Architecture, Planning and Preservation.
- c. B.Arch. Every student who prior to July 1, 1973, was validly matriculated in an approved course leading to the award of the degree of bachelor of architecture and who shall have completed said course and passed examinations as required by the Faculty of Architecture, Planning and Preservation shall be qualified to receive the degree of bachelor of architecture.

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## XVIII

### FACULTY OF JOURNALISM

**§180. Faculty** The Faculty of Journalism shall consist of the President, the Provost or Provosts, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§181. Program of study** The program of studies shall be designed to furnish technical and professional instruction in journalism.

**§182. Degree** Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Journalism.

**§183. Certificates** Candidates for the certificate in advanced international reporting and the advanced science writing program shall be qualified to receive the certificate upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Journalism. The certificate for the advanced science writing program shall become effective with Commencement, 1965.

**§184. Advisory Board** The Advisory Board on the Pulitzer Prizes (formerly the Advisory Board of the School of Journalism) shall consist of twelve members, in addition to the President of the University. Five members shall constitute a quorum for the transaction of business. Vacancies occurring by death or resignation, except in the case of the President of the University, shall be filled by the Trustees on the nomination of the advisory board for a term of four years, the terms of service to be so adjusted that eventually the terms of three members of the advisory board shall expire on June 30 of each year.

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## XIX

### FACULTY OF BUSINESS

**§190. Faculty** The Faculty of Business shall consist of the President, the Provost or Provosts, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§191. Program of study** The program of studies shall be designed to furnish professional instruction in business and its management.

**§192. Degrees**

- a. M.B.A. Candidates for the degree of master of business administration shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Business.
- b. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Business.

## FACULTY OF DENTAL MEDICINE

**§200.** The College of Dental Medicine, founded to bring about greater union between dental education and medical education and given its title by agreement between the College of Dental Medicine of New York and the University, is a Faculty of the University. The title shall be used in all announcements of programs of teaching and research conducted by the Faculty of Dental Medicine.

**§201. Faculty** The Faculty of Dental Medicine shall consist of the President, the Provost or Provosts, the executive vice president for Health and Biomedical Sciences and dean of the Faculty of Health Sciences, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees. The Faculty shall be responsible for the educational programs in dental medicine and in dental hygiene.

### **§202. Degrees**

- a. D.D.S. The requirements for the degree of doctor of dental surgery shall be 128 points to be acquired in four years of two sessions each, unless advantage is taken of the courses of the Summer Session. Every candidate shall be recommended for the degree who, being of good moral character, shall have
  1. completed the required curriculum, and
  2. passed satisfactorily all the required examinations.
- b. B.S. The Faculty of Dental Medicine shall furnish instruction in the field of dental hygiene. Every student who has had not less than two years of college work in a college acceptable to this University and who shall have completed the course of study as prescribed by the Faculty of Dental Medicine shall be eligible to receive the degree of bachelor of science.
- c. M.S. Every student who shall have completed an advanced program of instruction in the field of dental hygiene as pre-

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scribed by the University Senate by concurrent action with the Faculty of Dental Medicine shall be qualified to receive the degree of master of science.

**§203. Certificates** Candidates for the certificates in orthodontia, periodontia, pediatric dentistry, prosthodontics, oral surgery, endodontics and advanced education in general dentistry shall be qualified to receive the certificate upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Dental Medicine.

**§204. Dental clinic** The dean of the Faculty of Dental Medicine shall be responsible for the management of the dental clinic.

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## XXII

### FACULTY OF GENERAL STUDIES

**§220. Faculty** The Faculty of General Studies shall consist of the President, the Provost or Provosts, the executive vice president for Arts and Sciences, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§221. Admission** The School of General Studies offers the University's undergraduate program for adults. Admission into the full-time or part-time degree programs of the school is available to men and women who at the time of their first registration shall have attained the age of twenty-one, and who shall have satisfied the admissions requirements prescribed by the Faculty. Subject to Section 235 of the Statutes, admission into the part-time degree programs for an approved course of study of not more than eleven points per term is also available to men and women who at the time of their first registration shall have attained the age of nineteen, and who shall have satisfied the admission requirements prescribed by the Faculty. Exceptions to these minimum-age requirements shall be made only by the President of the University. The above provisions shall first become effective for new students entering the school for the autumn term 1976–1977.

**§222. Program of study** The program of studies shall be designed to offer to adults the opportunity of obtaining a liberal arts education.

**§223. Degrees**

- a. Every student who shall have met the admission requirements, completed an approved course of study of not less than 124 points in the natural sciences and passed satisfactorily all the required examinations shall be qualified to receive the degree of bachelor of science.
- b. Every student who shall have met the admission requirements, completed an approved course of study of not less than 124 points in the social sciences or the humanities, and passed satisfactorily all the required examinations shall be qualified to receive the degree of bachelor of arts.

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## XXIII

### BARNARD COLLEGE

The following statutes are enacted in accordance with the terms of the agreement between the University and Barnard College, dated as of July 1, 1973, and as amended through December 7, 2007 (“the Agreement”).

**§230. President of the University** The President of the University shall be *ex officio* a Trustee of the college. He or she shall exercise such supervision and direction of the college as will promote the effective coordination of its activities with the other activities of the University, and may perform such acts as shall in his or her judgment promote the interests of the college and as shall not contravene the college’s Charter, as amended, or the provisions of the Agreement. As occasion may require, he or she may present, through the president of the college, matters for the consideration of the Trustees or faculty of the college. He or she may attend meetings of the faculty of the college and shall receive copies of the minutes of all its meetings.

**§231. President and Dean of Barnard College**

The internal administration of the college shall be conducted by a president, with the rank of dean in the University, who shall be appointed by the Trustees of the college with the advice and consent of the President of the University. In the absence of the president of the college, an acting president may be appointed by the Trustees of the college.

**§232. Representation in the University Senate**

The college shall be represented in the University Senate by such members as shall be provided from time to time by these Statutes.

**§233. Faculty** The faculty of the college shall consist of the president of the college and such officers of instruction as shall from time to time be appointed and reappointed by the University in accordance with Section 234.

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**§234. Officers of instruction** The college shall provide for, support, and maintain such officers of instruction as may from time to time be agreed on, as follows:

They shall be nominated by the president of the college, acting as dean in the University, with the approval of the Trustees of the college and of the University, and shall be appointed and reappointed by the University according to its custom.

Their standing shall be the same in all respects as that of other like officers in the University.

The college and the University shall consult on appointments in accordance with the Agreement.

Tenure procedures for faculty of the college shall be in accordance with the Agreement, provided that the University's participation in the procedures leading to the award of tenure to members of the faculty of the college shall not create any obligation on the part of the University to such members for their financial support nor any "tenure of title" in the University in the event of the termination or suspension of their employment by the college or in the event of the severance of the contractual relationship now or hereafter existing between the college and the University under the Agreement.

**§235. Degree** The college will continue to admit and recommend women for the degree of bachelor of arts. The University will confer the degree of bachelor of arts upon the students of the college who shall have satisfactorily fulfilled in the college the requirements of the University for that degree. To the extent permitted by these Statutes, all requirements for admission and the degree of bachelor of arts for students registered in the college shall be determined by the faculty of the college. The diploma shall be signed by the President of the University and by the president of the college. The degree of bachelor of arts conferred upon the graduates of Barnard College shall be maintained at all times as a degree of equal value with the degree of bachelor of arts conferred upon the graduates of Columbia College. The equivalency of the degrees shall be maintained in such manner as the University Senate may prescribe. Students of both the college and the University shall have common access to courses offered by

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the college or the University, subject only to normal prerequisites and to such exceptions as may be designated by the respective committees on instruction of the college and the various divisions of the University, with the goals of increasing coeducation and of enhancing the quality of undergraduate education at both institutions by common access to faculty and courses and joint utilization of facilities between the college and the University. The University shall grant no degree of bachelor of arts to women except upon students of Barnard College and upon students of the School of General Studies to the extent permitted under the terms of the Agreement between the University and the college, as it now exists or as it may hereafter be amended from time to time.

**§236. Certificates** The college as such shall grant no degree and shall not recommend to the University the granting of any degree other than the degree of bachelor of arts, but shall retain the right to grant certificates to students not candidates for a degree.

**§237. Joint Trustee Committee** There shall be a standing Joint Trustee Committee to ensure continuing cooperation between the University and the college.

**§238. Fees**

- a. The Trustees of the college shall continue to provide for the financial support thereof. The University is and shall be under no implied obligation, responsibility, or liability, of any kind whatsoever, for the maintenance, support, direction, or administration of the college, including, but not limited to, the conditions of employment and rights and privileges of its faculty, or for the disbursement of the income thereof, except as stated in the Agreement.
- b. The amount and direction of annual payments between the two institutions with respect to
  1. faculty exchange
  2. instruction
  3. special services
  4. libraries

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5. support costs
  6. instruction of children of its own faculty and of its own staff members, as well as for instruction of members of its own academic and nonacademic staff will be computed in accordance with the Agreement.

**§239. Libraries** The libraries of the University and of the college shall be open upon equal terms to all students and faculty of either institution, but each institution shall have sole control over the days and hours during which its libraries are open to students and faculty.

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## XXIV

### TEACHERS COLLEGE

The following Statutes are enacted in accordance with the terms of the agreement between the University and Teachers College, dated January 20, 1966, and as amended through October 1, 2004.

**§240. President** The President of the University shall exercise such supervision and direction of the college as will promote its effectiveness and coordinate its activities with other activities of the University and may perform such acts as in his or her judgment promote the interests of the college and do not contravene the college's Charter, as amended. As occasion may require, he or she may present through the president of Teachers College, matters for the consideration of the Trustees or faculty of the college. He or she may attend meetings of the Trustees or faculty of the college and shall receive copies of the minutes of all meetings. He or she shall have power of approval or disapproval of all nominations for appointments or promotion to the rank of assistant professor, associate professor, professor, or dean prior to their submission by the president of the college to the Trustees of the college. He or she shall have power to confer appropriate degrees upon recommendation of the faculty of the college, when the requirements of the Statutes of the University and college have been satisfactorily fulfilled.

**§240a. President of Teachers College** There shall be a president of Teachers College, with the rank of dean in the University, who shall be appointed by the Trustees of Teachers College, on the nomination of the President of the University, who prior to making such nomination shall first have conferred with a committee of the faculty of the college elected for that purpose. The president of the college, subject to the authority of the President of the University and the provisions of the Statutes of the college and the resolutions of its Trustees and the terms and provisions of this Agreement, shall have full charge of the administration of the college.

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**§241. Faculty** The Faculty of Teachers College, or additional Faculties as hereafter may be constituted by division of the present faculty, when and after such division is approved by the President and Trustees of the University, shall be a Faculty or Faculties of the University with the same powers and limitations of powers as are or shall hereafter be accorded to or placed upon the Faculties of the University.

**§242. Appointment of officers** The officers in Teachers College shall be appointed by the Trustees of the college in the manner prescribed by its Statutes, subject to the limitations stated in Sections 240 and 240a of these Statutes, and their salaries shall be paid by the college, and Columbia University shall have no responsibility for their salaries, tenure, or retirement allowances. The various appointments mentioned in Sections 240, 240a, and in this section shall be made by the college and not by the University.

**§243. Degrees** The University will confer appropriate degrees and diplomas upon students under the jurisdiction of the Faculty of the college and the Administrative Board for the master of arts in teaching who satisfactorily fulfill the requirements for such degrees and diplomas, as those requirements are from time to time established by that faculty and the Administrative Board for the master of arts in teaching, with the concurrence of the University Senate, in conformity with the provisions of the Statutes of the University as to degrees or diplomas. So long as this Agreement is in force, the college shall grant no degrees or diplomas.

**§244. Courses of instruction** Courses of instruction, either in the University or the college, shall be open, subject to the general regulations of each institution, to every qualified student, staff member or employee registered or employed in either. During each instructional term, unless otherwise provided by special agreement, each institution shall pay to the other at the statutory rate per point, for all courses taken in the other institution by its students, staff members, employees, or children of full-time officers of instruction or administration.

**§245. Doctor of philosophy** The University will maintain under its jurisdiction, in such manner as the University Senate may determine, the organization and procedures whereby the Faculty of Teach-

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ers College or professors thereof duly designated by the Trustees of the University, on nomination of the president of the college, may be charged with appropriate responsibility for the administration and supervision of the work of instruction and research leading to the degree of doctor of philosophy for all candidates for that degree electing agreed upon major subject.

**§246. Libraries** Each institution shall bear all the expenses of maintaining its own library. Both libraries shall be open, on equal terms, to all officers and students of both institutions.



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## XXV

# FACULTY OF CONTINUING EDUCATION

**§250. Faculty** The Faculty of Continuing Education shall consist of the President, the Provost or Provosts, the executive vice president for Arts and Sciences and dean of the Faculty of Arts and Sciences, the dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§251. Program of Study** The program of studies shall be designed to provide graduate instruction in applied professional fields.

**§252. Degrees** M.S. candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Continuing Education.

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## XXVI

# UNION THEOLOGICAL SEMINARY

The following statutes are enacted in accordance with the terms of the agreement between the University and the Union Theological Seminary, dated May 7, 1928.

**§260. Degrees** The University shall confer the degree of master of arts upon students under the jurisdiction of the faculty of the seminary who may satisfactorily fulfill the requirements for that degree as those requirements are from time to time established by that faculty with the concurrence of the University Senate.

**§261. Students and fees** Students enrolled in the University may be admitted to courses of instruction and research offered by the Faculty of the Seminary, and students enrolled in the seminary may similarly be admitted to such courses offered by the several Faculties of the University on such terms as may be mutually agreed upon by the Faculties of the University and the Faculty of the Seminary. Students enrolled in the University who register for courses given at the seminary shall pay to the seminary its established charges for tuition. Students enrolled in the Seminary who register for courses given under the jurisdiction of any University Faculty or Administrative Board shall pay to the University the University fee and its established charges for tuition. Candidates for the degree of master of arts enrolled under the Faculty of the Seminary in accordance with the terms of Section 261 of the Statutes shall have the status of students in the University and shall pay to the University during the sessions of the academic year the University fee and, on application for the degree, the established degree fee.

**§262. Libraries** The libraries of the University and of the seminary shall cooperate with each other in affording library privileges to the officers and students of the two institutions.

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## XXVII

### FACULTY OF SOCIAL WORK

**§270. Faculty** The Faculty of Social Work shall consist of the President, the Provost or Provosts, the dean, the associate dean, and such officers of administration and of instruction as may be assigned thereto by the Trustees.

**§271. The name** The Columbia University School of Social Work shall be the designation of the Department of Social Work.

**§272. Program of study** The program of studies shall be designed to furnish technical and professional instruction in social work and related fields.

**§273. Degrees**

- a. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate concurrently with the Faculty of Social Work.
- b. D.S.W. Candidates for the degree of doctor of social welfare shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate concurrently with the Faculty of Social Work.
- c. Ph.D. Candidates for the degree of doctor of philosophy shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of the Graduate School of Arts and Sciences.

**§274. Certificates** Candidates for the professional certificate in social work and the certificate in advanced social welfare shall be qualified to receive the certificate upon compliance with the conditions prescribed by the University Senate concurrently with the Faculty of Social Work.

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## XXVIII

### INTERNATIONAL STUDIES

**§280. Parker School of Foreign and Comparative Law** There shall be a Parker School of Foreign and Comparative Law, established in accordance with the terms of the agreement dated June 2, 1931, as amended October 19, 1949, between the University and the Supervising Trustees under the will of the late Edwin B. Parker, of Washington, D.C. The principal purpose of the school shall be to cooperate with the School of Law and the School of International and Public Affairs in equipping a limited number of advanced students to render practical service of a high order to the Government of the United States in its international relations, or to financial or industrial institutions engaged in international trade or commerce whose activities indirectly affect international relations. The school shall be conducted as an institute of foreign and comparative law and shall, among other things, provide the educational needs of the School of Law and the School of International and Public Affairs with respect to instruction in the laws of foreign countries. The direction of this school shall be assigned to an Administrative Board consisting of the President, the Provost or Provosts, the director, the Dean of the Faculty of Law, the Dean of the Faculty of International and Public Affairs, and not fewer than two other persons nominated by the President and appointed by the Trustees for a term of three years.

**§281. School of International and Public Affairs**

- a. **Faculty** The Faculty of International and Public Affairs shall consist of the President, the Provost or Provosts, the dean of the Faculty of International and Public Affairs, and such officers of instruction and of administration as may be assigned thereto by the Trustees.
- b. **Degrees**
  1. M.I.A. Candidates for the degree of master of international affairs shall be qualified to receive that degree upon the completion of an approved two-year course and the passing of examinations prescribed by the University

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Senate by concurrent action with the Faculty of International and Public Affairs.

2. M.P.A. Candidates for the degree of master of public administration shall be qualified to receive that degree upon the completion of an approved two-year course and the passing of examinations prescribed by the University Senate by concurrent action with the Faculty of International and Public Affairs.

**§282. Regional institutes** There shall be regional institutes established, as they may be approved by the President, for the purpose of teaching and research relating to specific areas of the world, especially in connection with the School of International and Public Affairs. Instructional and research activities shall be in conformity with the policies of appropriate Faculty bodies as designated by the President. The direction of each institute shall be assigned to an administrative committee consisting of a director, the Dean of the Faculty of International and Public Affairs, and no fewer than four other persons nominated by the President and appointed by the Trustees for a term of three years. Students who have completed the graduate program of study in an institute shall be qualified to receive the certificate of that institute.

**§283. Relationship to other University work** The University Senate shall have power to adopt regulations governing the relation of the schools and institutes provided for in this Chapter to other parts of the University.

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## XXIX

### FACULTY OF ARTS AND SCIENCES

**§290. Purpose** The Faculty of Arts and Sciences shall address the common concerns of the departments of the Arts and Sciences and their members, reserving to the Faculties of Columbia College, Continuing Education, General Studies, the Graduate School of Arts and Sciences, and the Arts the powers set forth in Sections 35 and 152 of the Statutes.

**§291. Faculty** The Faculty of Arts and Sciences shall consist of the President, the Provost, the executive vice president for Arts and Sciences, the deans of the Faculties within Arts and Sciences, officers of instruction appointed to the departments of the Arts and Sciences with professorial grades, and such officers of administration and of instruction as may be assigned thereto by the Trustees on the nomination of the faculty.

**§292. Officers** The executive vice president for Arts and Sciences shall be the executive officer of the Faculty.

**§293. Powers**

- a. Subject to the reserve powers of the Trustees and the provisions of the Statutes, the Faculty of Arts and Sciences shall have power and it shall be its duty
  1. to oversee the correlation and scheduling of courses offered by the Faculties within Arts and Sciences;
  2. to address all questions involving more than one Faculty within Arts and Sciences;
  3. to discuss and advise on issues affecting the Arts and Sciences relating to academic planning, budget, housing and facilities, and appointments and tenure;
  4. to make all such regulations for its own proceedings, and for the better government of the Faculty of Arts and Sciences, as shall not contravene the charter of the Corpo-

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ration, the Statutes, or any resolution of the Trustees or University Senate.

- b. Nothing contained herein shall be deemed to impair the powers of the Faculties of Columbia College, Continuing Education, General Studies, the Graduate School of Arts and Sciences, and the Arts, which constitute the Faculty of Arts and Sciences, and of their several deans.

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## XXX

### FACULTY OF THE ARTS

**§300. Faculty** The Faculty of the Arts shall consist of the President, the Provost or Provosts, the executive vice president for Arts and Sciences, the dean of the Faculty of the Arts, and such officers instruction and of of administration as may be assigned thereto by the Trustees.

**§301. Program of study** The program of studies in the School of the Arts shall be designed to provide undergraduate and graduate instruction and research in the creative and performing arts and in arts administration.

**§302. Degrees**

- a. M.F.A. Candidates for the degree of master of fine arts shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate concurrently with the Faculty of the Arts.
- b. D.M.A. Candidates for the degree of doctor of musical arts shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate concurrently with the Faculty of the Arts.



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## XXXI

### FACULTY OF NURSING

**§310. Faculty** The Faculty of Nursing shall consist of the President, the Provost or Provosts, the executive vice president for Health and Biomedical Sciences and dean of the Faculty of Health Sciences, the dean of the Faculty of Nursing, and such officers of instruction and of administration as may be assigned thereto by the Trustees.

**§311. Program of study** The program of studies shall be designed to provide graduate instruction in nursing, clinical research, and health policy.

**§312. Degrees**

- a. B.S. Every student who shall have completed an approved course and passed examinations as required by the Faculty of Nursing shall be qualified to receive the degree of bachelor of science.
- b. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Nursing.
- c. Dr.N.P. Candidates for the degree of doctor of nursing practice shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Nursing.
- d. D.N.Sc. Candidates for the degree of doctor of nursing science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Nursing.

**§313. Certificates** Candidates for the certificates in maternity nursing, critical care, nurse anesthesia, nurse midwifery, oncology, primary care—adult, primary care—family, primary care—geriatric, primary care—neonatal, primary care—pediatric, and psychiatric/mental health nursing shall be qualified to receive the appropriate certificate upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Nursing.

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## XXXII

### FACULTY OF PUBLIC HEALTH

**§320. Faculty** The Faculty of Public Health shall consist of the President, the Provost or Provosts, the executive vice president for Health and Biomedical Sciences and dean of the Faculty of Health Sciences, the dean of the Faculty of Public Health, and such officers of instruction and of administration as may be assigned thereto by the Trustees.

**§321. Program of study** The program of studies shall be designed to provide graduate instruction in public health education.

**§322. Degrees**

- a. M.S. Candidates for the degree of master of science shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Public Health.
- b. M.P.H. Candidates for the degree of master of public health shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Public Health.
- c. M.H.A. Candidates for the degree of master of health administration shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Public Health.
- d. Dr.P.H. Candidates for the degree of doctor of public health shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate in concurrent action with the Faculty of Public Health.

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## XXXIII

### FACULTY OF HEALTH SCIENCES

**§330. Purpose** The Faculty of Health Sciences shall address the common concerns of the College of Physicians and Surgeons, the College of Dental Medicine, and of the Schools of Nursing and Public Health and their members, reserving to the Faculties of Medicine, Dental Medicine, Nursing, and Public Health the powers set forth in Sections 35 and 152 of the Statutes.

**§331. Faculty** The Faculty of Health Sciences shall consist of the President, the Provost or Provosts, the executive vice president for Health and Biomedical Sciences and dean of the Faculty of Health Sciences, the deans of the Faculties of Medicine, Dental Medicine, Nursing, and Public Health, officers of instruction appointed to the departments of the College of Physicians and Surgeons, of the College of Dental Medicine, and the Schools of Nursing and of Public Health with professorial grades, and such officers of instruction and of administration as may be assigned thereto by the Trustees on the nomination of the faculty.

**§332. Officers** The executive vice president for Health and Biomedical Sciences shall be the executive officer of the Faculty and dean of the Faculty of Health Sciences.

**§333. Powers**

- a. Subject to the reserve powers of the Trustees and the provisions of the Statutes, the Faculty of Health Sciences shall have power and it shall be its duty
  1. to oversee the correlation and scheduling of courses offered by the faculties within the Health Sciences;
  2. to address all questions involving more than one Faculty within the Health Sciences;
  3. to discuss and advise on issues affecting the Health Sciences relating to academic planning, budget, housing and facilities, and appointments and tenure;

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4. to make all such regulations for its own proceedings, and for the better government of the Faculty of Health Sciences, as shall not contravene the charter of the Corporation, the Statutes, or any resolution of the Trustees or University Senate.
- b. Nothing contained herein shall be deemed to impair the powers of the faculties of Medicine, of Dental Medicine, of Nursing, and of Public Health, which constitute the Faculty of Health Sciences, and of their several deans.

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## XXXIV

### SUMMER SESSION

**§340. Duration** There shall be a Summer Session held during the period between Commencement Day and the opening of the autumn term in September.

**§341. Administration** The direction of the work of the Summer Session shall be assigned to the Faculty of Continuing Education. The University Senate shall have power to adopt regulations governing the relation of Summer Session instruction to the other work of the University.

**§342. Appointments** Subject to Section 60 of the Statutes, persons not otherwise in the service of the University may be appointed by the President, on the nomination of the dean of the Faculty of Continuing Education, to give instruction in the Summer Session.

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## XXXV

# INSTITUTES

**§350. Institutes** There shall be institutes established, as approved by the University Senate and authorized by the President, for the purpose of coordinating and developing research and teaching in special fields, particularly those of interest to more than one department. Instructional and research activities shall be in conformity with the policies of appropriate faculty bodies as designated by the President. An institute may have a budget for research expenses, clerical and technician help, and for allocations to departmental budgets for other research expenses or salaries. Salaries of regularly appointed officers of instruction will not be carried in an Institute budget. An institute may be dissolved by action of the President.

**§351. Director and committee** The direction of each institute shall be assigned to a coordinating committee or an administrative committee consisting of a director and members nominated by the President and appointed by the Trustees to serve for a term of three years.

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## XXXVI

### THE AMERICAN ASSEMBLY

**§360. President of the University** The President of the University shall be *ex officio* a Trustee of The American Assembly. He or she shall promote the effective coordination of its activities with the activities of the University. As occasion may require, he or she may present, through the president of The Assembly, matters for the consideration of the Trustees of The Assembly.

**§361. Officers of The American Assembly** The chief executive officer of The American Assembly shall be the president thereof who shall conduct the administration with the assistance of other officers, including a chair, all of whom shall be appointed by the Trustees of The Assembly with the advice and consent of the President of the University.

**§362. Officers of the University** Appropriate officers of The American Assembly may be nominated by the President of the University to be officers of the University and appointed and reappointed as such by the University according to its custom. Their standing shall be the same in all respects as that of other officers of the University.

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## XXXVII

### FEES

**§370. Fees** The fees to be paid by students in the several schools and colleges of the University shall be in such amounts and in effect on such dates as the Trustees shall from time to time fix and determine.

**§371. Deposits** A deposit for the use of apparatus or material, and other like purpose, shall be charged when prescribed by the chair of the department supplying the same, with the approval of the President.

**§372. Payment of fees** The University fee, tuition fees, and laboratory deposits shall be due and payable before the close of the regular periods of registration, as announced in the Academic Calendar, and no registration shall be complete until such payment has been made.

**§373. Prepayment of dues** No candidate for a degree in any school or college in the University shall be entitled to receive the same until he or she shall have discharged all his or her dues to the University.

**§374. Sons and daughters of officers** Sons and daughters of full-time officers of instruction and administration who hold direct appointments from the Trustees or the President of the University shall be granted special tuition benefits in such amounts as the Trustees shall from time to time determine.

**§375. Officers of instruction** Officers of instruction and administration who hold a direct appointment from the President or Secretary of the University, or from the Trustees of one of the corporations included in the University educational system, shall be granted free tuition, when, with the consent of the department concerned and the approval of the President, they are permitted to take courses of instruction and research.

**§376. Husbands and wives of officers** Husbands and wives of full-time officers of instruction and administration who hold a direct appointment from the Columbia Corporation shall be granted free tuition in the several schools and colleges of the Columbia Corporation.



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## XXXVIII

### STUDENTS

**§380. Registration.** Every person desiring to be admitted to attendance in the University shall present himself or herself at the office of the Registrar and shall there file a registration blank in the form prescribed by the University stating the term for which he or she desires to be registered and giving such information as may be required. To complete his or her registration he or she shall pay the prescribed fees to the Bursar.

**§381. Duration of registration.** Each person whose registration has been completed, and accepted by authority of the President, shall be considered a student of the University during the term for which he or she is registered or until his or her connection with the University is terminated by the exercise of the power of discipline by the appropriate University officer.

**§382. Discipline.** The continuance of each student upon the rolls of the University, the receipt by him or her of academic credits, his or her graduation, and the conferring of any degree or the granting of any certificate, shall be subject to the disciplinary powers of the University, which shall be free to cancel his or her registration at any time on any grounds it deems advisable.

**§383. Discharge.** An honorable discharge shall be granted to any student not subject to discipline who may desire to withdraw from the University; but no student, under the age of twenty-one years, shall be entitled to a discharge without the assent of his or her parent or guardian, furnished in writing to the proper dean or director.

**§384. Students in other institutions.** No student registered in any school or college of the University shall at the same time be registered in any other school or college of Columbia University or in any other institution without specific authorization of the dean or director of the school or college of the University in which he or she is first registered.

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**§385. Use of the name of the University.** The name of the University may not be used by any student or any group or organization of which a student is a member, without the approval of the Trustees or that of the President acting by authority of the Trustees.

**§386. Use of University rooms and grounds.** The rooms and grounds of the University may not be used for meetings, nor the bulletin boards for announcements, by any student or any group or organization of which a student is a member, without the approval of the Trustees or that of the President acting by authority of the Trustees.

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## XXXIX

# ACADEMIC CALENDAR

**§390. Academic year** In each part of the University the academic year shall begin in early September and shall end in May. Within that period there shall be an autumn term and a spring term, the number of days of instruction and examination, or the equivalent thereof, in each school or Faculty, to be fixed by the University Senate. Subject to the approval of the University Senate, the faculties of Continuing Education, Law, Medicine, Journalism, Business, Dental Medicine, Nursing, and Public Health may adopt such other academic year as may be more suited to their respective programs of study.

**§391. Examinations** The dates for entrance and final examinations in each part of the University shall be fixed annually, in advance, by the University Senate. Other examinations may be held at the pleasure of each Faculty.

**§392. Commencement** There shall be an annual Commencement on a day to be fixed annually, in advance, by the University Senate, when degrees shall be conferred.

**§393. Baccalaureate sermon** Commencement Week shall begin on the Sunday preceding Commencement Day with religious services, in which the officers and students of the University shall be invited to participate.

**§394. Intermissions**

- a. In the discretion of the University Senate, there may be intermissions of the academic exercises of the University as follows: during the autumn term for two periods not exceeding three days each; at Christmastime for a period not exceeding four weeks; during the spring term for a period not exceeding one week; and on public holidays established by law. Subject to the approval of the University Senate, the faculties of Continuing Education, Law, Medicine, Journalism, Business, Dental Medicine, Nursing, and Public Health may adopt such other

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intermissions of the academic exercises of their respective faculties as may be more suited to their programs of study.

- b. The President may, in extraordinary cases, grant an intermission for other days not exceeding three days at any one time; and it shall be his or her duty to report the same at the next succeeding meeting of the Trustees, together with the object and the reason for granting such intermission.

**§395. Summer Session** Between the end of one academic year and the beginning of the next academic year there shall be a Summer Session of not less than six weeks in duration, consisting of not less than thirty days for regular class exercises, the opening and closing dates of which shall be fixed by the University Senate.

## ACADEMIC COSTUME

**§400. Costume** The following described academic costume is adopted to be worn upon all appropriate occasions, as indicating the several degrees and the Faculties to which they pertain:

### Gowns

1. *Pattern.* Those commonly worn, with pointed sleeves for the bachelor's degree, with long closed sleeves for the master's degree, and with round open sleeves for the doctor's degree.
2. *Material.* Worsted stuff for the bachelor's degree; silk for the master's and doctor's degrees.
3. *Color.* Slate blue.
4. *Trimmings.* For the bachelor's and master's degrees the gowns are to be untrimmed. For the doctor's degree the gown is to be faced down the front with black velvet, with bars of the same across the sleeves, or the facing and crossbars may be of velvet of the same color or piped with the same color as the bindings or edges of the hood, being distinctive of the Faculty to which the degree pertains.

### Hoods

1. *Pattern.* The pattern usually followed by colleges and universities save as modified below.
2. *Material.* The same as that of the gown.
3. *Color.* Black.
4. *Length.* The length and form of the hood will indicate the degree, as follows: For the bachelor's degree, the length shall be three-fourths that of the master's degree; for the master's degree, the customary length, not exceeding four feet; for the doctor's degree, the same length but having panels at the sides.
5. *Linings.* The hoods shall be lined with the official colors of the University: light blue with white chevron.

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6. *Trimmings.* The binding or edging, not more than six inches in width, shall be of silk, satin, or velvet, of the color distinctive of the subject to which the degree pertains, thus:

arts and letters, including journalism, white;

theology, scarlet;

law, purple;

medicine, green;

philosophy, dark blue;

science, yellow;

architecture and fine arts, brown;

music, pink;

dental medicine, lilac;

engineering, orange;

pharmacy, olive

business, drab;

library service, lemon;

education, light blue;

international affairs, peacock blue;

social welfare, citron;

7. *Cap.* The caps shall be of the material and form generally called mortarboard caps. The doctor's cap may be of velvet. The color should be slate blue. Each cap shall be ornamented with a long tassel attached to the middle point at the top. The tassel of the doctor's cap may be, in whole or in part, of gold thread.

**§401. Trustees and members of Faculties** Members and former members of the governing body shall be entitled, during and subsequent to their term of office, to wear the gown of highest dignity—that of the doctor's degree—together with the hood appropriate to the degree which they may have severally received. Members of Faculties and any persons officially connected with the University who have been recipients of academic honors from other universities or colleges

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in good standing, may assume the academic costume corresponding to their degree, as described in the foregoing section, provided, that such right shall terminate if such persons shall cease to be connected with the University. The President and deans of Faculties may adopt distinctive badges, not inconsistent with the costume hereinbefore described.

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## XLII

# FOUNDATIONS

**§420. Professorships** A professorship may be founded in the University by the payment to the University or other legal entity of such sum, for such purpose, and on such terms as the Trustees may approve.

**§421. Fellowships** A fellowship is an academic honor awarded by the University to a person of its selection and accompanied by a fellowship grant to be used in the furtherance of his or her studies or research. No services to the University or to the donor of the fellowship are required of any fellow, nor shall there be any restriction on his or her publication of studies or research as a condition of the grant. A fellow may engage in remunerative employment while holding a fellowship only when permission is granted by authority of the President. All fellows, except traveling fellows, shall comply with Section 380, "Registration," of the University Statutes.

A fellowship may be founded by the payment to the treasurer of such sum as the Trustees may approve, for the encouragement of advanced study and original research in such subject or subjects and bearing such title as the founder may designate, subject to the approval of the Trustees.

**§422. Scholarships** A scholarship is an award by the University to a person of its selection, on grounds of scholarly competence and need, of a stipend to be used in the furtherance of his or her studies and research. No services to the University or to the donor of the scholarship are required of any scholar, nor shall there be any restriction on his or her publication of studies or research as a condition of the grant. A scholar may engage in remunerative employment without authority of the President. All scholars, except traveling scholars, shall comply with Section 380, "Registration," of the University Statutes.

A scholarship may be founded in any part of the University by the payment to the treasurer of such sum, and for such purpose, as

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the Trustees may approve. The scholarship shall bear such title as the founder may designate, subject to the approval of the Trustees.

**§423. Grants-in-aid** A grant-in-aid is a sum of money given by the University on grounds of need to a student of its own selection. No services to the University or to the donor of the grant-in-aid are required of any student nor shall there be any restriction on his or her publication of studies or research as a condition of the grant. A recipient may engage in remunerative employment without authority of the President. All recipients shall comply with Section 380, “Registration,” of the University Statutes.

**§424. Prizes** A prize may be founded by the payment to the treasurer of such sum, and for such purpose, as the Trustees may approve. The prize shall bear such title as the founder may designate, subject to the approval of the Trustees.

**§425. Award of fellowships, scholarships, and prizes** Fellowships, scholarships, and prizes shall be awarded in accordance with the terms and conditions specified by the founder as approved by the Trustees and in accordance with the provisions of the Statutes.

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## XLIII

# EXTERNALLY FUNDED RESEARCH AND INSTRUCTION

### §430. Regulations

- a. The University shall enter into only such agreements for the support of research, instruction, or other academic activities (whether in the form of contracts or of acceptance of the terms of grants or gifts) or for the acquisition, lease or disposition of any academic building as do not confer power upon any external party, public or private, either to censor or to exercise effective veto on:
  1. the contents of instruction, or
  2. the publication or other dissemination of results and conclusions arising from research or instruction, or to require delay for an unreasonable time before such publication or dissemination of results is permitted.

The foregoing sentence is not to be construed to apply to the designation of purpose inherent in the acceptance of funds for specific research or instructional purposes or subjects.

- b. The University shall enter into only such agreements for the support of research or instruction as do not permit any external party to determine the participation or nonparticipation, or the degree thereof, of individuals in such research or instruction in the University on grounds of political or religious beliefs, political or religious affiliations, race, color or sex. The foregoing sentence is not to be construed to apply to restrictions based upon citizenship.
- c. The University shall enter into only such agreements for the support of research or instruction as do not require it, as a university, to participate in:
  1. handling or transmitting classified information, documents, material or equipment, or

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2. processing the security clearance of any person or facility, or
  3. controlling access to any information in accordance with any security regulation, whether public or private.

**§431. Existing agreements** Existing agreements that conflict with these Regulations shall be modified accordingly or terminated as soon as possible.

**§432. Exceptions** Any exception to the Regulations must be approved in accordance with the following procedures:

- a. By and with the advice and consent of the University Senate, the President shall appoint a review board consisting of seven members of whom three shall be members of the appropriate University Senate Committee and four shall not. Members of the board shall serve for terms of three years, and any vacancies that happen shall be filled promptly by the President with the advice and consent of the University Senate. The members of the review board need not be members of the University Senate. The review board shall hear and review any application for a particular exception to these Regulations.
- b. Exceptions in broad categories shall be made only by the University Senate after consideration and report by the appropriate University Senate Committee pursuant to Section 23e of the University Statutes.
- c. If and when an exception is approved, this fact shall be promptly announced to the University community. The nature of the agreement and the reasons for the exception shall also be announced to the University community, unless there are serious and unusual reasons for withholding or delaying disclosures.

**§433. Application of Regulations** The Regulations shall not apply to arrangements entered into by members of the University community in their individual capacities—arrangements to which the University is not a party.

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**§434. Procedure** The Regulations shall be administered in accordance with the following procedure:

- a. The dean, director, or chair of each Faculty, institute, center, or department of the University shall bring to the attention of each member of the Faculty, institute, center, or department, of which he or she is dean, director, or chair, who has expressed an interest in or who to the knowledge of such dean, director, or chair has conducted similar research or instruction in the past, any solicitations for contracts or grants to perform research or instruction addressed to the University and forwarded to the Faculty, institute, center, or department or addressed directly to the Faculty, institute, center, or department.
- b. The office administering University projects and grants will examine each existing and proposed agreement for the support of research or instruction to which the University is or would be a party to determine if the terms of the agreement are or would be in conflict with the Regulations, as amended from time to time, and any particular exceptions previously made by the review board.
- c. If the office administering University projects and grants determines that the terms of an agreement do not comply with the Regulations or particular exceptions previously made by the review board, then, at the request of the principal investigator of the proposed project, said office will apply to the review board for a particular exception to the Regulations. The review board will act promptly on any such appeal. If the application or the appeal is approved, the action will be announced to the University community by the review board and written authorization signed by the chair of the review board will be given to said office for acceptance of the agreement.
- d. The office administering University projects and grants shall regularly make available basic information concerning grants and contracts awarded to the University to members of the University community who request or have requested such information, together with a brief abstract of the purpose of

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the grant or contract. The principal investigator of each grant or contract awarded to the University shall provide to the office administering University projects and grants a brief abstract of the purpose of each grant or contract awarded to him or her for dissemination to members of the University community who request or have requested information in accordance with the preceding sentence.

- e. The principal investigator of each grant or contract awarded to the University shall forward to the office administering University projects and grants a copy of periodic progress reports of long-term projects, and of the final report required to be filed pursuant to the terms of the project or grant, concurrently with the delivery of such reports to the contractor or granting agency. The office administering University projects and grants shall deposit all such copies of such reports in one or more libraries of the University.
- f. The University administration shall arrange for the communication to members of the University community through the appropriate University Handbooks and by other means their research or instructional obligations and privileges, including the limitations on the use of University facilities for non-University activities contained in Section 5 of these Statutes.
- g. Nothing in this Chapter shall be interpreted to require the University unilaterally to breach any existing agreement.

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## XLIV

# RULES OF UNIVERSITY CONDUCT

**§440. Demonstrations, rallies, and picketing** Demonstrations, rallies, picketing, and the circulation of petitions have an important place in the life of a university. They are a means by which protests may be registered and attention drawn to new directions possible in the evolution of the University community. But, in order to protect the rights of all members of the University community and to ensure the proper functioning of the University as an institution of teaching and research, it is necessary to impose reasonable restraints on the place and manner in which picketing and other demonstrations are conducted and on activities of counter demonstrators or self-appointed vigilantes. This is the intention of the Rules of University Conduct: to protect the concurrent rights of both the University community as a whole and demonstrators.

While the University as a private institution is not subject to the constitutional provisions on free speech and due process of law, the University by its nature is dedicated to the free expression of ideas and to even-handed and fair dealing with all with whom it conducts its affairs. The Rules of University Conduct are thus enacted by the University to provide as a matter of University policy the maximum freedom of expression consistent with the rights of others, and a fair and speedy hearing to any person charged with a violation of these Rules.

A violation of these Rules is an offense against the entire University community. However, such violations are not here considered as crimes and University discipline should not carry the same stigma as a criminal conviction. All members of the University community are assumed to be innocent until proven guilty of a violation of the Rules. The University shall publicize the existence of the Rules and make them readily available to persons who may be affected by them. Such persons are responsible for being aware of all provisions contained in the Rules.

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**§441. Definitions** Terms used in this Chapter shall have the following meanings: (Comment: While gender-neutral language is employed in these Rules whenever possible, “he,” “him,” or “his” occasionally appear. They are used to avoid awkward locutions and are not intended to perpetuate gender stereotypes.)

- a. *University* means Columbia University in the City of New York.
- b. *University facility* means that place where a University function occurs.
- c. *University function* means any charter or statutory operation or activity of the University, including instruction, research, study, administration, habitation, social life, space allocation and control, food supply, and other functions directly related thereto. Specifically included are both functions of fixed-time duration (e.g., classes, examinations, lectures, etc.) and functions of continuing duration (e.g., the operation of libraries, research laboratories, maintenance shops, computers, business offices, etc.). Also included are functions ancillary to directly educational purposes, such as meetings, disciplinary proceedings, and athletic and social events sponsored by any University-approved organization.
- d. *Deans* are persons appointed by the President, and approved by the Trustees, either as dean, acting dean, or director of one of the divisions or schools of the Columbia Corporation, or such staff persons as they may assign to administer disciplinary affairs.
- e. *Delegates*. A “presidential delegate” is appointed by the President, and a “divisional delegate” is appointed by the dean or director of a division or school. Delegates have principal authority for the enforcement of these Rules. They shall warn individuals and groups whose actions may violate these Rules and may declare their belief that the demonstration is illegal under Sections 443a(18), (19), and (20). They shall, when facts known to them or brought to their attention warrant, file a complaint with the Rules Administrator against alleged violators.



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- f. *Dean's discipline* means in the case of students the normal disciplinary procedure of a school or division that would ordinarily apply but for these Rules; in the case of faculty and staff, dean's discipline means the normal disciplinary procedure that would ordinarily apply but for these Rules.
  - g. *Day* means a calendar day, regardless of whether the University is in academic session except for purposes of the appeal procedures set forth in Section 448. Whenever any time limit expires on a nonworking day, it shall be extended to the next working day.
  - h. *Students* are any persons registered in any division of the University, whether for courses or research, and whether or not they are candidates for a degree or certificate. They also include persons who are on leave or suspended or continuing matriculants for any degree or certificate., as well as persons registered during any preceding terms and who have not since that time earned the degree or certificate or withdrawn from the University.
  - i. *Faculty* means officers of instruction or research appointed to any division, school, or other department of the University, including officers on leave.
  - j. *Staff* means members of the administration, administrative staff, research staff, library staff, or supporting staff.
  - k. *Violation* means the commission of an act proscribed by these Rules. However, inadvertent or accidental behavior shall not be considered to be the substance of a violation.
  - l. *Sanctions* comprise the following penalties for violation of these Rules:
    - 1. *Disciplinary warning.* A disciplinary warning states that future violations will be treated more seriously. It in no way limits consideration for, or receipt of, financial aid or compensation for which the individual may be eligible. The period of warning shall be for not less than the remainder of the term in which the warning occurs nor for more than three regular terms, including the term in which the warning occurs. Upon notification by the proper authority, there shall be entered on the

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individual's transcript or personal record the notation: "Disciplinary Warning, from (date) to (date)." This notation is removed when the disciplinary warning has been terminated.

2. *Censure.* In addition to the provisions listed under disciplinary warning, censure remains on students' records until completion of the degree or certificate for which they are candidates. For faculty and staff this notation remains on the record for a maximum of four years. It in no way limits consideration for, or receipt of, financial aid or compensation for which the individual may be eligible. Subsequent conviction for a simple offense requires suspension for a semester or dismissal from the University; subsequent conviction for a serious offense requires dismissal from the University.
3. *Suspension.* Individuals who have been suspended are not permitted to continue their association with the University or reside in one of the University residence halls during the period of suspension, nor may they receive a leave of absence of any kind. The period of suspension shall be for not less than one regular term nor for more than three regular terms, not counting the summer session, but including the term in which the suspension occurs. The period of suspension shall be determined by the hearing officer; it may not be adjusted except under the appellate procedures set forth in these Rules or by an act of presidential clemency. Upon notification by the proper authority, there shall be entered on the individual's record the notation: "Suspended, from (date) to (date)." Upon termination of the period of suspension, the individual may apply for reinstatement. The notation on the record is permanent.
4. *Dismissal.* Unlike suspension, when an individual is dismissed no time period is specified nor is reinstatement anticipated, but in no case shall reinstatement occur less than one year after the imposition of the sanction except by act of presidential clemency. Upon notification by the proper authority, there shall be entered on the individual's

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record the notation: “Dismissed, (date).” Should the individual be subsequently readmitted or re-employed, upon notification from the proper authority, there shall be entered on the individual’s record the notation: “Readmitted or Re-employed, (date).” The notations on the record are permanent.

- m. *Respondent* means a person against whom a charge for violation of these Rules has been filed.
- n. *Rules Administrator* means the Rules Administrator appointed under Section 445b.
- o. *Hearing officer* means a hearing officer appointed under Section 445d.
- p. *University Judicial Board* means the appellate review board appointed under Section 445e.

**§442. Jurisdiction** The Rules of University Conduct shall apply to all members of the University community: administrators, administrative staff, research staff, library staff, supporting staff, faculty, and students. Also visitors, licensees, and invitees on a University facility shall be subject to the Rules of University Conduct. Violations by such persons may result in the revocation of their invitation or license to be on a University facility and their subsequent ejection.

The Rules of University Conduct apply to any demonstration, including a rally or picketing, that takes place on or at the University facility. Such facilities include, but are not limited to, all University campuses, research laboratories, maintenance shops, business offices, athletic fields, dormitories, classrooms, and meeting halls. The Rules of University Conduct do not apply to participation in a demonstration, including a rally or picketing, by full-time employees of the University represented by a collective bargaining agent, where the demonstration arises in the course of or is incident to a labor dispute involving the University.

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### §443. Violations and sanctions

- a. *Violations.* A person individually or with a group, incident to a demonstration, including a rally or picketing:
1. (simple violation) engages in conduct which places another in danger of bodily harm;
  2. (serious violation) causes or clearly attempts to cause physical injury to another person;
  3. (simple) uses words which threaten bodily harm in a situation where there is clear and present danger of such bodily harm;
  4. (serious) uses words in a situation of clear and present danger which actually incite other to behavior which would violate Sections 443a (2) or (6);
  5. (simple) causes minor property damage or loss, or endangers property on a University facility;
  6. (serious) misappropriates, damages, or destroys books or scholarly material or any other property belonging to the University, or to another party, when that property is in or on a University facility, and by such action causes or threatens substantial educational, administrative, or financial loss;
  7. (simple) interferes over a very short period of time with entrance to, exit from, passage within, or use of, a University facility but does not substantially disrupt any University function;
  8. (serious) continues for more than a very short period of time to prevent physically, or attempt clearly to prevent, passage within, or unimpeded use of, a University facility, whether or not a University function is substantially disrupted;
  9. (serious) enters or remains in a University facility without authorization at a time after the facility has been declared closed by the University; (Comment: The University shall make all reasonable attempts to publicize this declaration to the fullest extent possible.)

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10. (simple) enters a private office without authorization;
  11. (serious) holds or occupies a private office for his or her own purposes; (Comment: Persons may not enter a private office unless invited and then not in excess of the number designated or invited by the occupant. Anyone so entering must leave on request of a recognized occupant of such office or on request of another authorized person. Passage through reception areas leading to private offices must not be obstructed. Clear and unimpeded passage-way through lobbies, corridors, and stairways must be maintained at all times. For this purpose, the delegate may advise demonstrators as to the permissible number of participants in such restricted areas and regulate the location of such participants. Persons may use rooms in which instruction, research, or study normally take place only when such rooms are assigned to them through established University procedures.)
  12. (simple) causes a noise which substantially hinders others in their normal academic activities;
  13. (simple) briefly interrupts a University function;
  14. (serious) disrupts a University function or renders its continuation impossible;
  15. (serious) illicitly uses, or attempts to use, or makes threats with a firearm, explosive, dangerous or noxious chemical, or other dangerous instrument or weapon;
  16. (serious) fails to self-identify when requested to do so by a properly identified delegate;
  17. (serious) prevents a properly identified delegate from the discharge of his or her official responsibilities under these Rules, except through a mere refusal to self-identify;
  18. (simple) fails to obey the reasonable orders of a properly identified delegate regulating the location of demonstrators or others within the vicinity of a demonstration to assure unimpeded access to or use of a facility or to avoid physical conflict between demonstrators and others;

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(Comment: This regulation gives the delegate authority to regulate assemblies. The check against abuse of such authority is provided by the test of reasonableness imposed by the Hearing Officer in such disciplinary proceedings as may result from noncompliance. Should a delegate in the exercise of discretion fail to disperse an assembly in which some or all of the participants are violating or have violated the Rules, this should in no way be construed as excusing the violators, who remain liable for their acts under these Rules.)

19. (simple) fails to disperse from an assembly upon order of a properly identified delegate when such order results from repeated or continuing violations of these Rules by members of the assembly and the delegate has by verbal directions made reasonable effort to secure compliance before ordering dispersal;
  20. (serious) fails to disperse from an assembly upon order of a properly identified delegate when such order results from serious violation of these Rules by members of the assembly and the delegate so states in his or her order to disperse
  21. (simple) aids and abets others or other groups in a simple violation of these Rules;
  22. (serious) aids and abets others or other groups in a serious violation of these Rules.
- b. *Reserve clause.* Disciplinary matters not specifically enumerated in these Rules are reserved in the case of students to the deans of their schools or their delegated authorities and to the Regulations and mechanisms they have established, and in the case of faculty and staff to the President of the University or his or her delegated authority and to the regulations and mechanisms that have been established to deal with such matters.
- c. *Sanctions:*
1. A respondent who is found guilty of a simple violation of these Rules shall be sanctioned by disciplinary warn-

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ing or censure. Censure is the most severe penalty that may be imposed for a simple violation. (i) For repeated violations of a simple nature, or for a simple violation by a respondent already on disciplinary warning, the respondent shall be subject to censure or suspension; if already under censure, the respondent shall be subject to suspension. In especially extreme cases, dismissal may be imposed.

2. A respondent who is found guilty of a serious violation of these Rules shall be sanctioned by censure, suspension, or dismissal.

#### **§444. Enforcement**

- a. *Summoning a delegate.* Should any member of the University community believe that participants in an assembly or other demonstration are violating the Rules of University Conduct, he or she should notify the appropriate delegate(s) by calling the Security Office. The delegate(s) shall proceed to the site of the demonstration and gather information for possible transmission to the Rules Administrator. This includes the identities of any participants who the delegate feels are violating the Rules and the facts surrounding the demonstration.
- b. *Warning and advice.* Properly identified delegates shall warn those parties whose actions they consider to be in violation of these Rules. However, a member of the University community may be charged with a violation of these Rules even if no prior warning has been given or perceived. The hearing officer (or dean or other person conducting the proceedings in the case of dean's discipline) shall in either case determine whether the actions of the accused were in violation of these Rules.
- c. *Creating separate areas for demonstrations believed to be in violation of these Rules and for permissible demonstrations/observation.* Delegates believing that an assembly or other demonstration is violating Sections 443a (7), (8), (9), or (14) of these Rules should, to the extent practicable in their sole judgment, immediately make all reasonable efforts to create

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separate areas for demonstrators whose actions are believed to violate the Rules and for those wishing to demonstrate permissibly or to observe. There should be a reasonable distance between these areas, with a presumption in favor of allowing unobstructed view and observation, and they should be graphically delineated without creating barriers, to the extent feasible. Failure by a delegate to create these areas shall not excuse a violation of these Rules.

- d. *Distribution of a flier conveying pertinent information to demonstrators and observers.* Whenever an assembly or other demonstration believed to be in violation of these Rules continues for more than a very short period of time, the Presidential delegate shall consider preparing a flier for distribution to persons in the area of demonstration. The flier should repeat any previous warning by a delegate concerning the violation of these Rules that are believed to be taking place, describe the locations of any areas cordoned off under Section 444c, and identify the locations where full copies of these Rules are available. Failure by the Presidential delegate to prepare and distribute such a flier shall not excuse a violation of these Rules.
- e. *Self-identifying.* A properly identified delegate may request individuals believed to be violating these Rules to identify themselves through production of their University I.D. cards. Their cards will be returned immediately after the delegate has recorded the individual's name and I.D. number. Members of the University community who do not self-identify may be charged with a serious violation of these Rules under Section 443a(16).
- f. *Treatment of outsiders.* In accordance with the jurisdiction of these Rules (Section 442), any visitor, licensee, or invitee who the delegate determines is violating these Rules, and who does not comply with the delegate's warning and advice, may be ejected from a University facility without regard to the procedures set forth in Sections 446-448 herein. Delegates also have a responsibility to protect the rights of lawful demonstrators. Counterdemonstrators or vigilantes may be warned by delegates if they consider their actions to be in



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violation of the Rules. The same procedure of information-gathering shall be initiated by delegates for all suspected violators. Members of the University community should not take enforcement of these Rules into their own hands, since such action may result in violations of these Rules.

If the President, upon consultation with a majority of a panel established by the executive committee of the University Senate, decides that a demonstration poses a clear and present danger to persons, property, or the substantial functioning of any division of the University, he or she shall take all necessary steps to secure the cooperation of external authority to bring about the end of the disruption. The President shall make public his or her decision to the fullest extent possible as soon as it is feasible. Nothing in the above shall be construed to limit the President's emergency authority to protect persons or property.

#### **§445. Administrative and judicial personnel**

- a. *The delegate*
  1. The dean or director of each division or school shall appoint one or more divisional delegates.
  2. Divisional delegates may be called upon to enforce these Rules by anyone subject to them, or they may proceed to enforce them on their own initiative.
  3. Whenever feasible, a divisional delegate is obliged, upon the request of another delegate, to assist that delegate.
  4. There shall be one or more presidential delegates who shall have the powers and responsibilities of divisional delegates, but who shall, in addition, be kept informed of all actions and charges undertaken by the divisional delegates.
- b. *Rules Administrator.* The Rules Administrator, whose office shall be in the University Senate offices, shall have primary responsibility for the administration of these Rules. He or she shall maintain and have custody of the records of proceedings under these Rules; shall prepare and serve notices and other documents required under these Rules; shall accept

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and investigate complaints, file charges, organize informal settlements and present evidence in support of charges to the hearing officer. The Rules Administrator shall be appointed by the President after consultation with the Executive Committee of the University Senate and shall serve at the pleasure of the President. The Rules Administrator may appoint one or more Assistant Administrators, who may act in his or her stead. Persons otherwise concerned with the disciplinary procedures of a particular school or division may not be appointed as the Rules Administrator or an Assistant Administrator.

- c. *Deans and supervisors.* The dean of a school or division, or the dean's designee, shall hear all charges of simple violations of these Rules brought against students of that school or division, applying the substantive law of these Rules (including sanctions) in accordance with the procedure for dean's discipline of the school or division. Charges of simple violations of these Rules brought against faculty and staff shall be heard by the respondent's supervisor or other person who would normally conduct disciplinary proceedings against the respondent but for these Rules, applying the substantive law of these Rules (including sanctions) in accordance with the procedure of the dean's discipline applicable to the respondent.
- d. *Hearing officer.* The executive committee of the University Senate shall at its first meeting each year appoint or fill vacancies in a panel of not less than three hearing officers, each of whom shall serve for a term of two years. It shall also designate the order in which persons on the panel shall serve as hearing officers. A hearing officer shall conduct hearings on charges of a serious violation of these Rules. Hearing officers shall be lawyers appointed from without the University, and shall be chosen for their professional competence and experience in the conduct of hearings. A person with a full- or part-time affiliation with the University as faculty, student, or staff shall be considered from within the University for the purposes of these Rules; a person whose only direct affiliation is as an alumnus shall be considered from without the University. The Executive Committee of the University Senate may appoint additional

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persons to the panel of Hearing Officers should the need arise. Persons otherwise concerned with disciplinary procedures may not be appointed as hearing officers.

- e. **University Judicial Board.** The Executive Committee of the University Senate shall at its first meeting each year appoint or fill vacancies in a University Judicial Board consisting of five members, one of whom shall be a student, one of whom shall be a faculty member, and one of whom shall be from administration, administrative staff, research staff, or library staff. The Executive Committee shall designate the chair of the board and shall make appointments to the board, which shall ordinarily be for a term of three years, so as to provide for staggered terms to ensure continuity in the board. The members of the University Judicial Board shall be persons from within the University, and no person otherwise concerned with disciplinary procedures may be appointed to the Board.

#### **§446. Prehearing procedures**

- a. *Filing complaints.* Any member of the University who believes a violation of the Rules has been committed may file a written complaint with the Rules Administrator. The complaint shall state with particularity the person(s) involved, the nature of the offense and the circumstances under which the offense may have been committed.
- b. *Investigation of complaints.* Upon receipt of a complaint, the Rules Administrator, after such investigation as he or she deems advisable, shall determine whether there is reasonable cause to believe an offense has been committed. The administrator may interview any person, including a prospective respondent.
- c. *Complaints dismissed.* If the Rules Administrator determines that there is no reasonable cause to believe an offense has been committed, he shall so inform the complainant.
- d. *Informal settlements; charges filed.* If the Rules Administrator determines that there is reasonable cause to believe an offense has been committed, such administrator shall interview the prospective respondent(s). The Rules Administrator

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shall notify the respondent(s), during the interview, of the substance of the charges which may be filed. On the basis of the complaint investigation and the interview, the Rules Administrator shall

1. attempt an informal settlement of the matter with the respondent(s), either alone or in conjunction with the dean(s) of such respondent's(s') division(s); with the written consent of the respondent, the Rules Administrator may accept an admission of guilt of a simple or a serious violation and impose the sanction the Rules Administrator deems appropriate, without the necessity of formally filing charges; or
2. prepare charges for filing. The charges shall be in writing, stating with particularity the offense alleged, and shall charge one or more simple and serious violations against any one respondent based on the same conduct (similar conduct occurring at clearly different times is not considered "same conduct"); in the case of a serious violation, the charges shall state the witnesses likely to be called in support of the charges.

The Rules Administrator may file charges against a prospective respondent who has attempted and failed to achieve informal settlement with the appropriate dean or with the Rules Administrator.

- e. *Duties of the Rules Administrator after deciding to prepare charges.* Promptly after deciding to prepare charges of a violation of the Rules, the Rules Administrator shall either,
  1. in the case of charges of a simple violation (subject to Section 446h), file the charges with the respondent's dean or supervisor (or other person referred to in Section 445c), as the case may be, sending a copy by hand delivery to the respondent's(s') campus address or by hand delivery or regular mail if the respondent(s) has an off-campus address; or
  2. in the case of charges of a serious violation, (i) notify the hearing officer next available to serve in the order designated by the University Senate Executive Committee

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as provided in Section 445c. (ii) in consultation with the hearing officer, set a time and place for a hearing. The hearing may not be held less than ten days after notice is given to the respondent. (iii) file the charges with the hearing officer. (iv) give notice to the respondent(s) by hand delivery or by registered mail. Notice shall be considered given when delivered or, if mailed, five days after being deposited in the mail. The notice shall include

- a. a copy of the charge;
  - b. the name of the hearing officer;
  - c. the time and place of the hearing;
  - d. a copy of these Rules; and
  - e. any other information the Rules Administrator thinks relevant.
- f. *Procedural motions prior to the hearing on charges of a serious violation.* Not less than five days prior to the hearing, the Rules Administrator and the respondent may each file with the hearing officer, in writing and stating the reasons therefor, the following procedural motions:
1. motion to postpone the hearing;
  2. motion to consolidate this hearing with that of another respondent;
  3. motion to sever this hearing from that of another respondent;
  4. motion to dismiss the charges.

The hearing officer shall decide whether to grant a motion set forth in (1)–(4) above and shall communicate his or her decision to the administrator and to the respondent. Not less than two days prior to the hearing the respondent may file with the hearing officer a request for a closed hearing. The hearing officer shall automatically grant such a request. The hearing officer may in his or her discretion receive and rule upon other prehearing motions.

- g. *Respondent's right to an advisor.* A respondent may be assisted in his or her defense of charges of a serious viola-

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tion by an advisor of his or her choice from within or without the University; the advisor may be a lawyer. In the case of charges of a simple violation, the respondent may be assisted by an advisor only to the extent provided under the procedure of the relevant dean's discipline.

- h. *Procedure for charges of a simple violation by a respondent under censure.* Charges of a simple violation brought against a respondent for conduct while under censure (where a finding of guilty requires the sanction of suspension) shall not be heard under dean's discipline, but shall be filed with a hearing officer and treated for all procedural purposes as if they were charges of a serious violation. If a respondent is found guilty of a simple violation under dean's discipline for conduct not while under Censure, only the sanction of disciplinary warning or censure may be imposed; any prior discipline for an offense not related to these Rules shall not be taken into account. Multiple charges of simple violations against a respondent for conduct while not under censure shall be heard under dean's discipline as herein provided, and the dean or other person imposing a sanction after one or more findings of guilty may impose only the sanction of disciplinary warning or censure.
- i. *Interview of a respondent under dean's discipline.* Notwithstanding anything to the contrary in the procedures of the dean's discipline applicable to a particular respondent, in the case of charges of a simple violation of these Rules to be heard under dean's discipline, the dean or other person conducting the proceedings shall schedule an interview with the respondent, such scheduling to occur within 48 hours of the filing of the charges by the Rules Administrator. At the interview the respondent shall be informed of the evidence against him or her and shall have the opportunity to be heard in his or her defense. Failure to attend the interview unless excused for cause may be taken into account in considering the charges against the respondent.

#### **§447. The hearing on charges of a serious violation**

- a. *Presentation by the Rules Administrator.* The Rules Admin-

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istrator, who may be assisted by a lawyer from within or without the University, shall produce all evidence and call all witnesses in support of the charges. The respondent and his or her advisor may examine any evidence and cross-examine any witness.

- b. *Presentation by the respondent.* Following presentation by the Rules Administrator, the respondent and his or her advisor may produce evidence and call witnesses in his or her defense. The Rules Administrator may examine any evidence and cross-examine any witness.
- c. *Role of the hearing officer.* The hearing officer shall have broad discretion in the conduct of the prehearing procedures and the hearing, subject only to the express provisions of these Rules and to the principle that these Rules are intended to provide to the respondent a speedy and a fair hearing. The hearing officer will normally rely primarily on the Rules Administrator and the respondent and his or her advisor to present the case for and against the charges, but the hearing officer on his or her own motion may call and examine witnesses and invite the submission of additional evidence.
- d. *Record of the hearing.* The hearing officer shall provide for a verbatim record of the hearing, which may be by court reporter, tape recording, or such other means as the hearing officer shall determine. Unless the hearing has been closed at the request of the respondent, the verbatim record of the hearing shall be a public record.
- e. *Open hearing.* Unless a closed hearing is requested by the respondent, the hearing shall be open to members of the University community and to the University news media, except that the hearing officer may impose reasonable limits on the number of persons admitted, may exclude witnesses from attendance at the hearing, and may close the hearing as provided in Section 447g if it is disrupted by disorderly behavior of the participants or spectators.
- f. *Attendance of witnesses; testimony by respondent.* Members of the University community subject to these Rules are com-

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pelled, under penalty of disciplinary action under these Rules, to appear as witnesses if summoned by the hearing officer.

Failure to appear shall constitute a simple violation, provided there is proof of notice. The respondent is compelled to attend the hearing under penalty of suspension. He or she may be a witness only if he or she freely consents to be; failure to testify may not be weighed against him or her; however, failure to answer any question on the part of a respondent who agrees to testify may be weighed against him or her.

- g. *Contempt procedures; disruptions.* The hearing officer may find a person in contempt of the Rules who fails to obey a proper order of the hearing officer during the hearing. If any person present at a hearing continues seriously to interfere with or substantially disrupt the orderly functioning of the hearing, after being given proper warning by the hearing officer, the hearing officer may find the person in contempt of the Rules. The hearing officer may hear and decide cases of contempt by summary proceedings during the hearing.

If the person found in contempt is a respondent, he or she shall be subject to either disciplinary warning or censure and shall be warned that any further contempt, including further disruption, will lead to his or her suspension. The penalty for being twice found in contempt shall be suspension, in accordance with Section 441.1(3) of these Rules.

If the person found in contempt is not a respondent, he or she shall be subject to either disciplinary warning or censure and shall be asked to leave the hearing. The hearing officer will warn the party that if he or she does not leave, he or she will be suspended. Failure to leave at this time shall mandate a suspension in accordance with Section 441.1(3) of these Rules.

If a disruption occurs, the hearing officer may

1. order a recess and reconvene;
2. reconvene at an alternate place;
3. reconvene and limit the number of spectators;
4. reconvene and exclude designated spectator participants in the prior disorder;



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5. reconvene in a closed hearing, provided that members of the University news media shall be excluded only on request of the respondent, save when an individual reporter acts obstreperously, in which case the hearing officer may admit a replacement for him or her.
- h. *Respondent's right to elect alternate procedures in the case of charges of a serious Violation.* At any time up to the day of the hearing, student respondents may elect dean's discipline in lieu of these Rules; faculty and staff respondents may elect the disciplinary procedures to which they would ordinarily be subject but for these Rules. A respondent who has once elected the alternate procedure shall not thereafter be subject to these Rules with respect to the violations with which he or she was charged.
- i. *Status of respondent during proceedings.* Any respondent granted a leave of absence during the pendency of proceedings shall not, on that account, be granted a postponement or deferment. If, however, a respondent, having been notified of charges brought against him or her, voluntarily withdraws from the University permanently or indefinitely, the charges shall be dropped and proceedings shall be terminated. Upon any subsequent application for readmission to the University by a respondent who has withdrawn under such circumstances, the dean shall decide whether the applicant shall be subject to further discipline as a requirement for readmission.

Whether degrees or certificates shall be withheld from candidates charged with violations of these Rules pending hearings is a matter of administrative discretion to be exercised by the appropriate dean. The decision should take into account the seriousness of the charge, the degree of punishment likely to be given, and the extent to which the plans of the respondent will be disrupted.

A student's transcript shall not be withheld during the pendency of hearings, but the transcript shall be issued with a notation thereon of the pendency of the hearing and the possibility of sanctions if the respondent is found guilty of a vio-

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lation of the Rules. The requirement of the notation may be waived in the discretion of the appropriate dean.

If the respondent is charged with a violation of these Rules and criminal or civil charges are brought against the respondent for the same occurrence as the result of police action or civil proceedings, the University may proceed with the disciplinary action, with the understanding that the respondent's response to the criminal charge shall take precedence should a conflict in hearing times occur.

- j. *Conduct of hearings after the end of an academic term.* Except for the appeal procedures set forth in Section 448, the processes of these Rules shall go forward notwithstanding the end of an academic term. The University shall provide housing free of charge for up to seven days to all student respondents who remain at the University to participate in a hearing on charges against them after their room contracts with the University expire; the hearing officer in his or her discretion may extend the University's obligation to house respondents free of charge. The hearing officer in his or her discretion may excuse any student respondent from attendance at a consolidated hearing on a showing of hardship, provided the respondent agrees to be bound by the Hearing Officer's decision made on the basis of the consolidated hearing conducted during the respondent's absence.
- k. *Decision of the hearing officer.* The hearing officer promptly after the conclusion of the hearing shall prepare and send to the Rules Administrator and the respondent and such respondent's advisor, by hand delivery or registered mail, a written decision, with an explanation of the reasons therefore, either acquitting the respondent of the charges or finding the respondent guilty of the charges or of lesser charges on the basis of the clear preponderance of the evidence. The hearing officer may not find a respondent guilty of a simple violation subsumed under charges of a serious violation. If the hearing officer finds the respondent guilty, the hearing officer shall in his or her decision impose the sanction of suspension or dismissal, giving due regard to the circumstances of the offense

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and the offender, the seriousness of the offense, and the offender's prior disciplinary record, except that the sanction of suspension shall be imposed if the hearing officer finds the respondent guilty of charges of a simple violation based on conduct occurring while the respondent was under censure.

**§448. Appeal procedures**

- a. In cases of charges of a simple violation, the appeal procedure shall be as provided in the relevant dean's discipline. Only the respondent may appeal in the case of charges of a simple violation.
- b. In the case of charges of a serious violation, the appeal procedure shall be as follows:
  1. *Right to appeal; notice of appeal.* Either the Rules Administrator or the respondent may appeal the decision of the hearing officer by filing a notice of appeal with the chair of the University Judicial Board within ten days after the sending of the decision by the hearing officer. A person found in contempt by the hearing officer may appeal the hearing officer's decision by filing a notice of appeal with the chair of the University Judicial Board within ten days after the hearing officer's decision. A notice of appeal shall be in writing and shall include a brief statement of the reasons therefor. For purposes of this section, only those days shall be counted that occur during the University's fall or spring term; any action taken between those terms shall be considered as having occurred on the first day of the next following fall or spring term.
  2. *Arrangements for the appeal hearing.* Promptly after the filing of a notice of appeal, the chair of the University Judicial Board shall: (i) designate a time and place for the appeal hearing, which shall not be less than ten nor more than fourteen days after the filing of the appeal; (ii) notify the other members of the University Judicial Board and the Rules Administrator and the respondent and his or her advisor, or the person appealing a contempt decision, of the time and place of the appeal hearing; (iii) designate, in consultation with the Rules Administrator

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and the respondent and his or her advisor, or the person appealing a contempt decision, the portions of the hearing record to be considered by the University Judicial Board. The record will normally consist of the record of the pre hearing procedures, the verbatim record of the hearing and the Hearing Officer's decision.

3. *The appeal hearing; scope of the review of the University Judicial Board.* At the appeal hearing, the Rules Administrator and the respondent and his or her advisor, or the person appealing a contempt decision, shall present the case for and against the appeal to the University Judicial Board. In the case of an appeal of a contempt decision, the Rules Administrator shall present the case against the appeal. The case presented shall consist of reasoned argument based on the hearing record; the University Judicial Board shall not hear the testimony of witnesses and shall not consider any evidence not considered by the hearing officer. In its review, the board shall consider if requested: (i) whether the hearing officer erred in the interpretation of these Rules; (ii) abuse of discretion by the hearing officer; (iii) the reasonableness of the hearing officer's decision on factual matters in light of evidence presented; (iv) the reasonableness of the sanction imposed.
4. *Decision of the board.* Within fourteen days after the conclusion of the appeal hearing, the chair of the University Judicial Board shall prepare and send to the hearing officer, the Rules Administrator and the respondent and his or her advisor, or the person appealing a contempt decision, by hand delivery or registered mail, the board's written decision, with an explanation of the reasons therefor. The board's decision may affirm or reverse the hearing officer's decision in whole or in part, including reversing an acquittal and imposing sanctions, and may remand to the hearing officer or the Rules Administrator for such further proceedings as the board may direct, but the board may not increase the sanctions imposed by the hearing officer. The board's decision shall be by majority vote, including the chair.

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**§449. Presidential action** A final appeal may be made to the President for clemency or review which the President may hear in his or her discretion in the case of charges of a serious violation, and in the case of charges of a simple violation only if provided by the relevant dean's discipline.

**§450. Additional judiciary boards** Should further University Judicial Boards be needed, the Executive Committee of the University Senate may appoint additional University Judicial Boards and shall seek to divide the original University Judicial Board as equitably as possible to ensure maximum continuity of experience.

**§451. Committee on Rules of University Conduct**

- a. The University Senate Committee on Rules of University Conduct shall prepare any material that will facilitate the functioning of the procedures.
- b. Persons otherwise connected with the disciplinary procedures shall be excluded from the University Senate Committee on Rules of University Conduct.
- c. All changes in these Rules shall be passed by the University Senate for approval and acceptance by the Trustees in accordance with the Statutes of the University.

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## XLV

### AMENDMENTS

**§452. Method of amendment** The Statutes shall not be amended, altered, or repealed, unless notice in writing of such proposed amendment, alteration, or repeal shall have been given at a previous meeting of the Trustees.

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