

CHARTERS AND STATUTES  
COLUMBIA UNIVERSITY  
IN THE CITY OF NEW YORK



Edition of April 6, 1959  
With Amendments as of January 2022

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# CONTENTS

|                |   |
|----------------|---|
| <b>Preface</b> | v |
|----------------|---|

## **Part One      Charters (in brief)**

|                               |   |
|-------------------------------|---|
| of 1754 .....                 | 3 |
| of 1784 .....                 | 3 |
| of 1787 .....                 | 3 |
| of 1810 .....                 | 3 |
| Change of Corporate Name..... | 9 |

## **Part Two      Statutes**

|       |  |    |
|-------|--|----|
| I     | The President .....  | 13 |
| II    | The University Senate.....                                       | 16 |
| III   | Faculties and Administrative Boards .....                        | 29 |
| IV    | Departments .....  | 32 |
| V     | Officers of Administration.....                                  | 35 |
| VI    | Officers of Instruction and Research.....                        | 39 |
| VII   | Code of Academic Freedom and Tenure .....                        | 53 |
| VIII  | Retirement Program and Employee Benefits .....                   | 72 |
| IX    | The Libraries .....  | 74 |
| X     | Religious Activities.....  | 76 |
| XI    | Columbia College.....  | 79 |
| XII   | Faculty of Law .....   | 80 |
| XIII  | Faculty of Medicine (College of<br>Physicians and Surgeons)..... | 82 |
| XIV   | Faculty of Engineering and Applied Science.....                  | 84 |
| XV    | Graduate School of Arts and Sciences .....                       | 86 |
| XVI   | [Deleted].....   | 90 |
| XVII  | Faculty of Architecture, Planning<br>and Preservation .....      | 91 |
| XVIII | Faculty of Journalism .....                                      | 92 |
| XIX   | Faculty of Business.....   | 93 |
| XX    | Faculty of Dental Medicine.....                                  | 94 |

---

|         |   |     |
|---------|---|-----|
| XXI     | Faculty of Climate .....                        | 96  |
| XXII    | Faculty of General Studies.....                 | 97  |
| XXIII   | Barnard College.....                            | 98  |
| XXIV    | Teachers College .....                          | 102 |
| XXV     | Faculty of Professional Studies .....           | 105 |
| XXVI    | Union Theological Seminary .....                | 106 |
| XXVII   | Faculty of Social Work.....                     | 107 |
| XXVIII  | International Studies.....                      | 108 |
| XXIX    | Faculty of Arts and Sciences.....               | 110 |
| XXX     | Faculty of the Arts.....                        | 112 |
| XXXI    | Faculty of Nursing.....                         | 113 |
| XXXII   | Faculty of Public Health.....                   | 114 |
| XXXIII  | Faculty of Health Sciences.....                 | 115 |
| XXXIV   | Summer Session .....                            | 117 |
| XXXV    | Institutes .....                                | 118 |
| XXXVI   | The American Assembly.....                      | 119 |
| XXXVII  | Fees .....                                      | 120 |
| XXXVIII | Students .....                                  | 122 |
| XXXIX   | Academic Calendar .....                         | 124 |
| XL      | Academic Costume .....                          | 126 |
| XLI     | [Deleted].....                                  | 129 |
| XLII    | Foundations.....                                | 130 |
| XLIII   | Externally Funded Research and Instruction..... | 132 |
| XLIV    | Rules of University Conduct.....                | 136 |
| XLV     | Amendments.....                                 | 160 |
| Index   | .....   | 161 |

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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 apportioned 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;

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- i. promulgate a code of conduct for faculty, students, and staff 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.)—Faculties of Medicine and Dental Medicine

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

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

Doctor of Occupational Therapy (O.T.D.)—Faculty of Medicine

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

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

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

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

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

Doctor of Musical Arts (D.M.A.)—Faculty of the Graduate  
School of Arts and Sciences

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, the Arts, Journalism, Teachers College,  
Union Theological Seminary, Climate, and the 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; Archi-  
tecture, Planning and Preservation; Dental Medicine; Social  
Work; Business; Nursing; Public Health; and Professional  
Studies

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

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

Master of Professional Studies (M.P.S.)—Faculty of Profes-  
sional Studies

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

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

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

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

Bachelor of Science (B.S.)—Faculty of Nursing

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 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

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- 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;

## **§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



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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 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

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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. When practicable, meetings of the Senate shall be conducted in person. Virtual meetings of the Senate may be called by the President, by the chair of the Executive Committee of the University Senate in consultation with the members of the Executive Committee of the University Senate, and in accordance with other methods specified in 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; General Studies; International and Public Affairs; Barnard College; Teachers College; Social Work; the Arts; Nursing; Public Health; Professional Studies; and Climate.

**§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:

African American and African Diaspora Studies  
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  
Climate  
Computer Science  
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  
Emergency Medicine  
English and Comparative Literature  
Environmental Health Sciences

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Epidemiology  
French  
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  
Medical Humanities and Ethics  
Medicine  
Microbiology and Immunology  
Middle Eastern, South Asian, and African Studies  
Molecular Pharmacology and Therapeutics  
Music  
Naval Science  
Neurological Surgery  
Neurology  
Neuroscience  
Nursing  
Obstetrics and Gynecology  
Ophthalmology  
Orthopaedic Surgery  
Otolaryngology/Head and Neck Surgery  
Pathology and Cell Biology  
Pediatrics  
Philosophy  
Physical Education and Intercollegiate Athletics  
Physics  
Physiology and Cellular Biophysics  
Political Science  
Population and Family Health  
Professional Studies  
Psychiatry

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Psychology  
Radiation Oncology  
Radiology  
Rehabilitation and Regenerative Medicine  
Religion  
Slavic Languages  
Social Work  
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 senior executive, executive, or senior vice presidents), the general counsel, the secretary, 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 appointed by the Trustees shall be appointed 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, and any senior executive or executive vice president 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. Executive vice presidents** Each senior executive and executive vice president or equivalent officer and any other executive reporting directly to the 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 plan-

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ning 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 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. 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 General Studies, the dean of the Faculty of the Arts, the dean of the Faculty of the Graduate School of Arts and Sciences, and the dean of the Faculty of Professional Studies, 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.
- b. It shall be the duty of the dean of each Faculty, subject to

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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, General Studies, Graduate School of Arts and Sciences, the Arts, and Professional Studies. 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. 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 clinical (department)
  - clinical professor
  - clinical professor of law
  - professor of professional practice in (department)
  - visiting professor
  - visiting professor (of department) at the Columbia University Medical Center
  - visiting professor of clinical (department)
  - adjunct professor
  - adjunct professor of clinical (department)
  - adjunct clinical professor (department)
  - associate professor
  - 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 department) at the Columbia University Medical Center
  - 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 department) at the Columbia University Medical Center  
visiting assistant professor of clinical (department)  
adjunct assistant professor  
adjunct assistant professor of clinical (department)  
adjunct assistant clinical professor (department)  
instructor  
instructor at the Columbia University Medical Center  
instructor in clinical  
adjunct instructor  
adjunct instructor in clinical  
senior lecturer  
senior lecturer at the Columbia University Medical Center  
senior lecturer in (discipline)  
lecturer  
lecturer at the Columbia University Medical Center  
lecturer in (discipline)  
special lecturer  
associate  
associate at the Columbia University Medical Center  
associate in clinical  
associate in (discipline)  
assistant  
assistant at the Columbia University Medical Center  
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.

- 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

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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 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, of Dental Medicine, of Nursing, and of Public Health, a professor of (department) at the Columbia University Medical Center and an associate professor of (department) at the Columbia University Medical Center are appointed annually for full-time service, 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 annually, 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.



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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.

- 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 (department) at the Columbia University Medical Center, visiting associate professor of (department) at the Columbia University Medical Center, or visiting assistant professor of (department) at the Columbia University Medical Center in the Faculties of Medicine, of Dental Medicine, of Nursing, or Public Health, such appointments being for officers whose clinical qualifications correspond to those of University officers in the three grades of visiting professor.

Appointments for part-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.

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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.

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.

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- 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 at the Columbia University Medical Center is an officer, holding the doctorate, who may be appointed for full-time or part-time service for a stated term. In a department in the Faculties of Medicine or Public Health or in the Faculties of Dental Medicine or Nursing, an instructor in clinical (department) is an officer, holding the doctorate, who may be appointed for 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).
- 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. In a department in the Faculties of Medicine or Public Health or in the Faculties of Dental Medicine or Nursing, a senior lecturer or lecturer can only be appointed for part-time service. In a department in the Faculties of Medicine or Public Health and in the Faculties of Dental Medicine and Nursing, a senior lecturer at the Columbia University Medical Center or a lecturer at the Columbia University Medical Center is an officer, holding the doctorate or its professional equivalent, who is appointed for full-time service for a stated term, and who does not qualify for the title of 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

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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 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. In a department of the Faculties of Medicine or Public Health and in the Faculties of Dental Medicine or Nursing, an associate in clinical is an officer who teaches or provides clinical care, but who has only a Master's degree in a discipline for which the Master's degree is not the terminal degree. In a department in the Faculties of Medicine or Public Health and in the Faculties of Dental Medicine or Nursing, an associate at the Columbia University Medical Center is an officer who, because of special competence in a given field, is appointed for full-time service for a stated term, and who does not qualify for the title of lecturer at the Columbia University Medical Center.
- 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 at the Columbia University Medical Center is an officer, holding the doctorate, who is appointed annually for full-time service in a department in the Faculties of Medicine or Public Health or in the Faculties of Dental Medicine or Nursing, to whom is assigned the conduct of instruction under the direction and supervision of an officer of higher rank. 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 or Public Health or in the Faculties of Dental Medicine and Nursing, 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.

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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 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

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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

staff associate

graduate research assistant

departmental research assistant

All officers of research shall be appointed by the President.

- 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

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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 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

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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 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



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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 or the President 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 teaching, 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 insti-

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tute, 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

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full-time to part-time career status, or vice versa. Because of 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 within one year of the birth or adoption of the child may, at the discretion of the President and upon written request to his or her department, be eligible for one additional year of full-time service, which will not count in setting the limits on nontenured service set forth in Section 71(b). In the case of the birth or adoption of multiple children at the same time, eligibility is limited to one year of full-time service for each set of children. 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) for that child. 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

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in the case of officers without substantial clinical responsibilities or eleven years of service in the case of officers with substantial clinical responsibilities.

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

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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

- 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



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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 eleventh and terminal year of service, not later than May 31 of his or her tenth 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 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

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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:
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

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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 proposed 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 of full-time service;
  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 and up to seven years of full-time service;
  4. at least eighteen months before the expiration of an appointment after seven and up to twelve years of full-time service; and

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5. at least twenty-four months before the expiration of an appointment after twelve or more years of full-time service.

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 are non-tenured full-time officers of instruction who hold titles modified by “at the Columbia University Medical Center”, provided, however, that written notice will be given to such an officer, informing him or her that his or her appointment is not to be renewed, for any reason, 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, in advance of the expiration of his or her appointment, as follows:

1. at least three months before the expiration of an appointment up to two years of full-time service;
2. at least six months before the expiration of an appointment after two years and up to eight years of full-time service, provided that the appointment will terminate on December 31 or June 30; and
3. at least twelve months before the expiration of an appointment after eight years of full-time service, which may be given at any time during the academic year with the appointment ending on the date twelve months from the notice of nonrenewal, whether or not that date falls on June 30 or December 31.

The notice provisions of this subsection (c) are subject to the dismissal and suspension provisions of Section 75, and shall not apply in the event of existence of grounds for dismissal in accordance with University policy.

- 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

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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 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

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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 possibility 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

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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.

## **§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

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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 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



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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 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

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- 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 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

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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 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

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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.

h. *Notwithstanding any provision of this Section 75,*

1. A member of the Faculty of Medicine, of Dental Medicine, of Nursing, or of Public Health who is a non-tenured full-time officer of instruction who holds a title modified by "at the Columbia University Medical Center", may have his or her clinical salary discontinued immediately, may be suspended with or without pay, or may be terminated immediately if he or she is found to be unfit to practice medicine, nursing or dentistry, as applicable, at the University based on the existence of the following circumstances:
  - (i) suspended or terminated hospital privileges as determined by a Medical, Dental or Nursing Board process including Columbia faculty;
  - (ii) loss of New York State medical, dental or nursing license, as applicable, resulting from a process before an official or accrediting body, including the State of New

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York's Office of Professional Medical Conduct and The New York State Education Department's Office of the Professions;

(iii) voluntary relinquishment of a New York State medical, dental or nursing license, as applicable, as part of a legal procedure; or

(iv) loss of DEA certification after a formal federal proceeding.

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## VIII

# RETIREMENT PROGRAM AND EMPLOYEE BENEFITS

**§80. Retirement** Subject to the exceptions and limitations under applicable federal and state law in force from time to time, 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.

**§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.

**§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

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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



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responsible for establishing and implementing policies governing the development and maintenance of collections of library materials in 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

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administrative officer of the University who has been designated by the President as the person to whom the director shall report.

**§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

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d. the director of the Earl Hall Center

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

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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. O.T.D. Candidates for the degree of doctor of occupational 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.
- e. 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.



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**§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.

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- b. The Administrative Board of the Graduate School of Arts and 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.* African American and African Diaspora Studies, Anthropology, Economics, History, Political Science, and Sociology
  - 2. *Humanities.* Art History and Archaeology, Classics, East Asian Languages and Cultures, English and Comparative Literature, French, Germanic Languages, Italian, Latin American and Iberian Cultures, Middle Eastern, South Asian and African Studies, Music, Philosophy, Religion, and Slavic Languages

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3. *Pure sciences.* Applied Physics and Applied Mathematics, Astronomy, Biochemistry and Molecular Biophysics, Biological Sciences, Biomedical Engineering, Biomedical Informatics, Chemical Engineering, Chemistry, Civil Engineering and Engineering Mechanics, Computer Science, Earth and Environmental Engineering, Earth and Environmental Sciences, Ecology, Evolution and Environmental Biology, Electrical Engineering, Genetics and Development, Industrial Engineering and Operations Research, Mathematics, Mechanical Engineering, Microbiology and Immunology, Molecular Pharmacology and Therapeutics, Neuroscience, Pathology and Cell Biology, Physics, Physiology and Cellular Biophysics, Psychology, Statistics, and Systems Biology.
  - 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

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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. 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 by concurrent action with the Faculty of Journalism.
- b. M.A. 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 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.

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## XX

### 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.

- d. 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 Dental Medicine.

**§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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## XXI

### FACULTY OF CLIMATE

**§210. Faculty** The Faculty of Climate shall consist of the President, the Provost or Provosts, the dean(s), and such officers of administration and instruction as may be assigned thereto by the Trustees.

**§211. Program of Study** The program of studies shall be designed to provide technical and professional instruction and research in climate studies and related fields.

**§212. Degrees**

- a. M.A. 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 by concurrent action with the Faculty of Climate.

**§213.** Nothing contained herein shall be deemed to impair the powers of the Faculties of Columbia College, General Studies, the Graduate School of Arts and Sciences, the Arts, Professional Studies (which together constitute the Faculty of Arts and Sciences); Architecture, Planning and Preservation; Business; Engineering and Applied Science; Journalism; International and Public Affairs; Law; Dental Medicine; Medicine; Nursing; Public Health (which together constitute the Faculty of Health Sciences); and Social Work and of their several deans.

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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 nontraditional students who have had at least a one-year break in their educational history since high school, who have a compelling reason to attend part time, or who pursue one of the Faculty's joint/dual degree programs. Admission into the full-time or part-time degree programs of the school is available to nontraditional candidates who shall have satisfied the admissions requirements prescribed by the Faculty. Exceptions to these requirements shall be made only by the President of the University.

**§222. Program of study** The program of studies shall be designed to offer to nontraditional students 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 the

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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 goal 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.

**§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. 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
  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.

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**§238. 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. The president of Teachers College shall be appointed by the Trustees of Teachers College with the advice and consent of the President of the University and shall serve for such term as the Trustees of the college may determine. The president of the college, subject to the authority of the President of the University and the provisions of the By-Laws and 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.

**§241. Faculty** The Faculty of Teachers College, or additional Faculties as hereafter may be constituted by division of the present faculty,

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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 Teachers College or professors thereof duly designated by the Trustees of the University, on nomination of the president of the college,

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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.

## FACULTY OF PROFESSIONAL STUDIES

**§250. Faculty** The Faculty of Professional Studies 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**

- a. M.P.S. Candidates for the degree of master of professional studies shall be qualified to receive that degree upon compliance with the conditions prescribed by the University Senate by concurrent action with the Faculty of Professional Studies.
- 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 Professional Studies.

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

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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, General Studies, the Graduate School of Arts and Sciences, the Arts, and Professional Studies 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 Corporation, the Statutes, or any resolution of the Trustees or University Senate.

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- b. Nothing contained herein shall be deemed to impair the powers of the Faculties of Columbia College, General Studies, the Graduate School of Arts and Sciences, the Arts, and Professional Studies, 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;
  4. to make all such regulations for its own proceedings, and

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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 Professional Studies. 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 Professional Studies, to give instruction in the Summer Session.

## 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

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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 Law, Medicine, Journalism, Business, Dental Medicine, Nursing, Professional Studies, 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 Law, Medicine, Journalism, Business, Dental Medicine, Nursing, Professional Studies, 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.

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## 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

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been recipients of academic honors from other universities or colleges 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.

**§434. Procedure** The Regulations shall be administered in

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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 the grant or contract. The principal investigator of each grant or contract awarded to the University shall provide to

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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. Affirmative Statement**

The Rules of University Conduct, found in Chapter XLIV of the Statutes of Columbia University, are intended to ensure that all members of our community may engage in our cherished traditions of free expression and open debate. The University, as a forum for the pursuit and attainment of knowledge in every field of human endeavor, has a special role in fostering free inquiry. A principal reason why universities have endured and flourished over centuries is that they provide a place for ideas to be tested, for values to be questioned, and for minds to be changed with as few constraints as possible. Like society at large, but even more so, the University has a vital interest in fostering a climate in which nothing is immune from scrutiny. And Columbia, in particular, has a long tradition of valuing dissent and controversy and in welcoming the clash of opinions onto the campus.

To be true to these principles, the University cannot and will not rule any subject or form of expression out of order on the ground that it is objectionable, offensive, immoral, or untrue. Viewpoints will inevitably conflict, and members of the University community will disagree with and may even take offense at both the opinions expressed by others and the manner in which they are expressed. But the role of the University is not to shield individuals from positions that they find unwelcome. Rather, the University is a place for received wisdom and firmly held views to be tested, and tested again, so that members of the University community can listen, challenge each other, and be challenged in return.

The University recognizes only two kinds of limitations on the right of freedom of expression, and both are to be narrowly construed. First, the University reasonably regulates the time, place, and manner of certain forms of public expression. In keeping with the University's dedication to the principle of uninhibited discourse, these regulations do not turn on the content of any message that might be expressed. Rather, they are necessary not because they would prevent any opin-

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ion from being stated or heard, but, to the contrary, because they protect the rights of free speech, free press, and academic freedom. Just as all members of the University community have the right to speak, to study, research, to teach, and to express their own views, so must they allow others in the community to do the same. The right to demonstrate, for example, cannot come at the expense of the right of others to counter-demonstrate, to teach, or to engage in academic pursuits requiring uninterrupted attention. As is true of the larger community in which the University sits, the University must protect the rights of all to engage in their callings and express their own views.

Second, the University may restrict expression that constitutes a genuine threat of harassment, that unjustifiably invades an individual's privacy, or that falsely defames a specific individual. These forms of expression stand apart because they do little if anything to advance the University's truth-seeking function and they impair the ability of individuals at the University to participate in that function. The University has an obligation to assure members of its community that they can continue in their academic pursuits without fear for their personal security or other serious intrusions on their ability to teach and to study.

Because of the University's function as an incubator of ideas and viewpoints, the principle of free expression must be jealously guarded. As President Bollinger has noted, "Our great institutions of higher education bear a special social responsibility for educating people to possess a nimble cast of mind, able to grasp multiple perspectives and the full complexity of a subject. And for centuries, great societies of all types have understood that this kind of intellectual capacity is essential to progress. But never have critical thinking and tolerance been more important for individual well-being and for our collective prosperity." Every member of our community therefore retains the right to demonstrate, to rally, to picket, to circulate petitions and distribute ideas, to partake in debates, to invite outsiders to participate, and to retain the freedom to express opinions on any subject whatsoever, even when such expression invites controversy and sharp scrutiny. Although the University values the civil and courteous exchange of viewpoints, it does not limit discussion because the ideas expressed might be thought offensive, immoral, disrespectful, or even

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dangerous. We expect that members of our community will engage in public discussions that may confront convention, and free expression would mean little if it did not include the right to express what others may reject or loathe.

**§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*. Delegates are appointed by the President and/or the Rules Administrator. In addition, all Deans and Deans of Students are automatically considered Delegates under these rules. Delegates have 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 does not conform to the Rules of Conduct. They shall, when facts



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known to them or brought to their attention warrant, file a complaint with the Rules Administrator against alleged violators.

- f. *Day* means a calendar day, regardless of whether the University is in academic session except for purposes of the procedures set forth in Section 448 and 450. Whenever any time limit expires on a nonworking day, it shall be extended to the next working day.
- g. *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.
- h. *Faculty* means officers of instruction appointed to any division, school, or other department of the University, including officers on leave.
- i. *Staff* means members of the administration, administrative staff, research staff, library staff, or supporting staff, and includes all non-instructional officers.
- j. *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.
- k. *Respondent* means a person against whom a charge for violation of these Rules has been filed.
- l. *Rules Administrator* means the Rules Administrator appointed under Section 445a.

**§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 Uni-

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versity Conduct apply to any demonstration, including a rally or picketing, that takes place on or at a University facility or at any University sponsored activity. 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.

### **§443. Violations**

- a. A person is in violation of these Rules when such person individually or with a group, incident to a demonstration, including a rally or picketing:
  - (1) (simple violation) engages in conduct that 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 that 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 that actually incite others to behavior that 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 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 short period of time

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to physically prevent, or clearly attempt to prevent, passage within, or unimpeded use of, a University facility, and thereby interferes with the normal conduct of a University function;

(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.)

(10) (simple) enters a private office without authorization;

(11) (serious) holds or occupies a private office for his own purposes; (Comment: Persons may not enter a private office unless invited and then not substantially 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 for more than a short period of time. Clear and unimpeded passageway 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 that 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 make threats with a firearm, explosive, dangerous or noxious chemical, or other dangerous instrument or weapon;

(16) (simple) 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 official responsibilities under these Rules,

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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; (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 University Judicial Board 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 violations of these Rules by members of the assembly and the Delegate so states in his order to disperse.

#### **§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 contacting the Rules Administrators and/or The Office of Public Safety. 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

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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. Only the University Judicial Board shall, in either case, be empowered to 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 these Rules should, to the extent practicable in their sole judgment, immediately make all reasonable efforts to create separate areas for demonstrators whose actions are believed to violate the Rules and for those wishing to demonstrate permissibly, or to observe, or to report on, cover, photograph, or document the demonstration. 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 short period of time, the 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 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. Members of the University community who do not self-identify may be charged with a violation of these Rules.
- f. *Treatment of outsiders.* In accordance with the jurisdiction of

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these Rules, 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 herein. Delegates also have a responsibility to protect the rights of lawful demonstrators. Delegates may warn counterdemonstrators or vigilantes whose actions the Delegate may consider to be in violation of these Rules. 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 University Senate's Executive Committee, 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 authorities 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. *Rules Administrator.* The Rules Administrator (or his/her designated Assistant Administrator) shall have primary responsibility for the administration of these Rules. He/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 and investigate complaints, file charges, organize informal settlements, and present evidence in support of charges to the hearing panels. 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 shall be an individual appointed from the Office of the Executive Vice President for University Life. The Rules Administrator may appoint one or more Assistant Administrators, who may

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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.

- b. *Delegate.* Delegates may be called upon to enforce these Rules by anyone subject to them, including faculty, students, and staff, or they may proceed to enforce them on their own initiative. A Delegate is obliged, upon the request of another Delegate, to assist that Delegate. The Rules Administrator shall be kept informed of all actions and charges undertaken by a Delegate.
- c. *University Judicial Board.* The University Judicial Board shall hear all charges of violations of these Rules. 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 a staff member, as defined in Section 441i. Each of these three groups—students, faculty, and staff—is eligible for the two remaining seats, but none of the groups may occupy both of those seats, and thereby form a majority of the Board. The members shall be chosen after consultation with the three groups. The Executive Committee shall designate the chair of the Board, as well as an alternate chair, and shall also appoint a pool of alternate board members. Appointments to the board shall be for a term of three years, and shall be staggered to ensure continuity. 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. Once confirmed by the Executive Committee, members of the University Judicial Board pool will be trained in the Rules of University Conduct and the precedents for adjudications and sanctions.
- d. *Appeals Board.* The Appeals Board shall hear all appeals from decisions or sanctions imposed by the University Judicial Board or, in cases of informal resolution, decisions or sanctions imposed by the Chair of the UJB, or by the Chair’s designee. The Appeals Board may overturn, affirm, or revise

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the decision, and it may overturn, affirm, or lessen the sanction. The Executive Committee of the University Senate shall at its first meeting each year appoint or fill vacancies in an Appeals Board consisting of three members, each of whom is a Dean of School or Division. 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 Appeals Board shall be persons from within the University. Members of the Board will not be from the school of the respondent.

- e. *Additional judiciary boards or members.* The Executive Committee of the University Senate may appoint additional boards, or persons to a board, should the need arise. The Executive Committee may divide the original University Judicial Board, or the original Appeals Board, as equitably as possible to ensure maximum continuity of experience.

**§446. Rights of the respondent** In order to provide accessible, prompt, and fair methods of investigation and resolution of incidents of misconduct, the University has developed a process for investigation and adjudication of allegations of misconduct. Throughout this process, the respondent has the following rights:

- To respect, dignity, and sensitivity.
- To appropriate support from the University.
- To privacy to the extent possible consistent with applicable law, University policy, and the respondent's wishes.
- To information about the University's Rules of University Conduct.
- To the presence of an advisor throughout the process.
- To participate or to decline to participate in the investigation or hearing process. However, a decision to refrain from participating in the process either wholly or in part will not prevent the process from proceeding with the information available.
- To a prompt and thorough investigation of the allegations.
- To adequate time to review documents during and following the investigation.



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- To adequate time to prepare for a hearing.
  - To introduce evidence into the record and call witnesses on one's own behalf.
  - To request access to University documents or camera footage that can be used in one's defense.
  - To an opportunity to challenge the Rules Administrator, members of the University Judicial Board, or members of the Appeals Board for a possible conflict of interest.
  - To refrain from making self-incriminating statements.
  - To appeal the decision made by a hearing panel and any sanctions.
  - To notification, in writing, of a report of misconduct, any charge filed, any resolution of the case, any factual findings of the investigation, any explanation of findings of responsibility, and any imposed sanctions, including the outcome of any appeal.
  - To understand that information collected in the process may be subpoenaed in criminal or civil proceedings.

## **Privacy**

The University will reveal information about its investigations and adjudication of misconduct only to those who need to know the information in order to carry out their duties and responsibilities. It will inform all University personnel participating in an investigation, proceeding, or hearing that they are expected to maintain the privacy of the process and of the respondent.

## **Advisor(s)**

The respondent may be accompanied to any meeting or hearing related to an incident of misconduct by the advisor(s) of his/her choice. Advisor(s) may support the respondent and provide advice about the investigation and disciplinary process. During meetings and hearings, the advisor(s) may talk quietly with the respondent or pass notes in a non-disruptive manner. The advisor may not intervene in a meeting or hearing or address the Rules Administrator or hearing panel, including by questioning witnesses or making objections. If a respondent desires to have an attorney serve as his or her advisor, the University will arrange for a volunteer attorney-advisor if the respon-

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dent so requests. Advisors may include but are not limited to family members, friends, counselors, therapists, clergy, attorneys, academic advisors, professors, and administrators.

### **Declining to Participate**

A respondent may decline to participate in the investigative or adjudicative process. The University may continue the process without the respondent's participation. In most cases, a refusal to participate in the investigative process will preclude a respondent from participating before the hearing panel.

### **Time Frame**

The University will seek to resolve every report of misconduct within approximately two (2) months of an incident, not counting any appeal. Generally, the time line will be as follows:

- Investigation begins within five (5) business days after an incident.
- Investigation completed within fifteen (15) business days after the investigation begins.
- Hearing (if any) held within fifteen (15) business days after the conclusion of the investigation.
- Notice of a decision for cause to reject a request from the respondent for an open hearing.
- Decision of the hearing panel issued within five (5) business days after the hearing.
- Notice of sanctions issued within five (5) business days after the decision of the hearing panel (or after the respondent accepts responsibility).
- Notice of appeal to the Appeals Board filed by the Rules Administrator and/or respondent within five (5) business days after the notice of decision or sanctions.
- Decision of the Appeals Board within ten (10) business days after notice of appeal received.
- Notice of appeal to the President filed by the Rules Administrator and/or respondent within five (5) business days after the decision of the appeal.

- 
- Decision of the President within ten (10) business days after notice of appeal.

Each of these stages is explained in greater detail below. The hearing panel may extend any time frame for good cause, with a written explanation to the Rules Administrator and respondent.

## **Notice**

The Rules Administrator will give the respondent a written explanation of his/her rights and options as soon as possible after an incident is reported. The University will also ensure that the respondent is updated throughout the investigative process, including with timely notice of meetings where the respondent may be present. More specifically, the respondent will be given the following written notices:

- Notice that a complaint was dismissed or that an investigation will proceed.
- Notice of a charge filed and any information that will be used in the hearing process.
- Notice of the date and time of any hearing and a list of hearing panel members.
- Notice of the hearing panel's decision of "responsible" or "not responsible." This notice will include an explanation of the University's appeals process.
- Notice of the sanctions imposed. This notice will include an explanation of the University's appeals process.
- Notice of whether an appeal has been filed.
- Notice of whether the decision, or sanctions, have been modified.
- Notice when the decision and sanctions become final.

## **Conflicts of Interest**

The University requires any individual participating in the investigation, hearing process, sanctioning or appeal process to disclose to the University any potential or actual conflict of interest. If a respondent believes that any individual involved in the process has a conflict of interest, within three (3) business days of receiving notice of his/her participation the respondent may make a written request to the

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Rules Administrator that the individual not participate. Any request should include a description of the conflict. If the Rules Administrator determines that a conflict of interest exists, he/she will take steps to address the conflict in order to ensure an impartial process. A respondent who believes that the Rules Administrator has a conflict of interest must submit the written request to the *Office of the Executive Vice President for University Life*.

## **§447. Prehearing Procedures/Investigation**

### **Filing Complaint(s)**

Any member of the University who believes a violation of the Rules has been committed may file a written complaint, either on paper or electronically via U.S. mail, email, or online portal, 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.

### **Complaint(s) Dismissed**

If the Rules Administrator dismisses a complaint, he/she will notify the complainant and respondent in writing.

### **Investigation of Complaints**

If an investigation proceeds, the Rules Administrator will notify the respondent in writing of the allegation(s). The Rules Administrator will conduct interviews and will gather pertinent information and documentation. The Rules Administrator will inform the Dean of the relevant school(s) that an investigation is commencing and will seek to coordinate any disciplinary proceedings. The University's process for responding to, investigating, and adjudicating allegations of misconduct will continue during any law enforcement proceeding. The University may need to temporarily delay an investigation while law enforcement is gathering evidence, but it will resume the investigation after it learns that law enforcement has completed its evidence-gathering and will generally not wait for the conclusion of any related civil or criminal proceeding.

The Rules Administrator will follow the protocols set forth below:

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- **Preserving Evidence.** The Rules Administrator will direct the respondent, witnesses, and other interested individuals to preserve any relevant evidence.
  - **Character Witnesses.** The Rules Administrator will not interview witnesses whose sole purpose is to provide character information.
  - **Prior Conduct Violations.** The Rules Administrator will not consider the respondent's prior conduct violations, unless the respondent was previously found to be responsible, or the previous incident was substantially similar to the present allegation(s) and/or the information indicates a pattern of behavior by the respondent.

### **Informal Resolution**

The Rules Administrator may seek to resolve certain cases through an informal process with the respondent. This type of informal resolution can take place during the investigation or after its conclusion. If these efforts are unsuccessful, the disciplinary process will continue.

### **Charge(s) Filed**

If a charge is filed, the Rules Administrator will prepare a report detailing the relevant content from the interviews and the documentation gathered. The report will include the Rules Administrator's assessment and recommended findings of responsibility.

The respondent will have the opportunity to review a copy of the investigative report and any other information that will be used during the hearing process. The names and other identifying information of other individuals may be redacted from such materials.

### **Administrative Resolution**

After the respondent has had an opportunity to review the investigative report and related material, the Rules Administrator will ask the respondent to respond to the alleged violation in one of the following ways: (1) Responsible; (2) Not Responsible; or (3) No Response. If the respondent accepts responsibility, the matter will proceed to the sanctioning stage, followed by any appeals. If the respondent declines

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responsibility, or chooses not to respond, the matter will proceed to the hearing stage. If the respondent selects not to respond, this shall not be considered to be an admission of responsibility.

## **§448. Hearing Process**

### **Hearing Panel**

If administrative resolution is not available, the Rules Administrator will submit the charge(s) to the University Judicial Board, which will determine whether the respondent is responsible or not responsible for a violation of the Rules. If the respondent is determined to be responsible, the University Judicial Board will provide the sanction based on their determination.

### **Written Submissions**

Both the Rules Administrator and the respondent will have the opportunity to submit to the hearing panel written responses to the investigation report and other relevant information. The Rules Administrator and the respondent will have the opportunity to review any written, recorded, photographic, or digital submissions by the other. The hearing panel may set reasonable parameters for these written submissions. The hearing panel will review the investigation report and written submissions. The panel may determine that a hearing is not necessary when all panel members agree that the information in the investigation report and the written submissions (if any) is sufficient to make a determination (for example, where the respondent does not dispute relevant facts). If the panel decides that a hearing is not necessary, the panel will proceed directly to make a determination, including an explanation of why a hearing is not necessary.

Either the Rules Administrator or the respondent may submit to the hearing panel a request to consolidate, or sever, the hearings of this and other respondents.

### **Hearing Procedures**

The University will, whenever possible, give the respondent at least five (5) business days' advance notice of the hearing. The hearing is a closed proceeding, meaning that the only individuals who may be

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present in the hearing room(s) during the proceeding are: the panel members, the Rules Administrator, the respondent, their respective advisors, witnesses (when called), and necessary University personnel. The Office of the Executive Vice President for University Life will work with other University personnel so that any individual whose presence is required may participate in the hearing.

A respondent may request in writing that a hearing be open to the public, and the request shall be granted unless the University Judicial Board decides to keep the hearing closed for cause. If the Board decides to keep the hearing closed, it must provide written notice to the respondent. In determining whether a hearing may be open to the public, they may consider: (1) the risk to public safety, including to witnesses who may be called, and (2) the deterrent or permissive effect on the campus community, including on particular individuals and organizations.

If a hearing is declared open, a dissenting member of the hearing panel can declare a conflict of interest and withdraw from consideration of the case.

In general, hearings will proceed as follows:

- Rules Administrator statement
- Respondent statement
- Questions to the Rules Administrator by the hearing panel
- Questions to the respondent by the hearing panel
- Witness testimony and questioning by the hearing panel
- Closing statement by Rules Administrator
- Closing statement by respondent

The panel may set reasonable time limits for any part of the hearing. The Rules Administrator and the respondent will have the opportunity to present witnesses and other information consistent with the Rules. The panel may determine the relevance of, place restrictions on, or exclude any witnesses or information. When the respondent

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is not able to be present for the hearing panel, arrangements will be made for participation via alternate means.

In cases where the respondent opts not to participate in the hearing, the panel may still hear from the Rules

Administrator, but it may not draw an adverse inference from a respondent's refusal to participate.

Additional hearing rules include:

- **Questioning.** Only the panel may ask questions of the Rules Administrator, the respondent, and any witnesses. Both the Rules Administrator and the respondent will have the opportunity to suggest questions of the other and of witnesses by submitting suggested questions to the panel in writing. The panel may revise or not ask any or all submitted questions.
- **Prior Conduct Violations.** The hearing panel will not consider the respondent's prior conduct violations, unless the information is provided because: the respondent was previously found to be responsible, or the previous incident was substantially similar to the present allegation(s) and/or the information indicates a pattern of behavior by the respondent.
- **Hearing Recording.** If the hearing is closed, the University will keep an audio recording of the hearing for the use of the panel, for sanctioning, and for purposes of appeal. The Office of the President, the panelists, the University Judicial Board, the Rules Administrator, and the respondent may request a transcript of the recording. If the hearing is open, the verbatim record of the hearing must be a public record.
- **Cell Phones and Recording Devices.** Cell phones and recording devices may not be used in the hearing room(s) unless approved by the panel in writing in advance.

### **Panel Determinations/Standard of Proof**

The panel will use "preponderance of the evidence" as the standard of proof to determine whether a violation of the Rules occurred. Preponderance of the evidence means that a panel must be convinced based on the information it considers that the respondent was more likely than not to have engaged in the conduct at issue in order to



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find the respondent responsible for violating the Rules.

The panel will find a respondent responsible, or not responsible, based on a majority vote. The panel will generally render a decision within five (5) business days after the conclusion of a hearing. The panel's decision will include an explanation of the basis for the decision.

If the panel finds the respondent responsible, the matter will proceed to the sanctioning stage. The panel will transmit its determination to the Rules Administrator and the respondent. The transmission must include (1) the finding of the respondent as responsible or not responsible; and (2) the reasoning behind the finding.

## **§449. Sanctions and Other Remedies**

### **How Sanctions Are Determined**

Available sanctions will be consistent across all University departments and schools. Similar offenses may result in different sanctions where there are distinguishing facts and circumstances in the opinion of the University Judicial Board.

The University Judicial Board will impose sanctions that are:

- Fair and appropriate given the facts of the particular case.
- Consistent with the University's handling of similar cases.
- Adequate to protect the safety of the campus community.

In cases where the respondent accepts responsibility through an informal resolution, the sanctioning will be designated to the chair of the University Judicial Board (or his/her designee).

In determining what sanctions will protect the safety of the University community, the University Judicial Board will be advised by University Public Safety or other experts and will consider: (1) the nature of the violation (simple or serious); (2) the risk that the respondent may engage in additional substantially similar misconduct; (3) the deterrent or permissive effect of a particular sanction on the campus community, including on particular individuals and organizations aware of the offense (keeping in mind that a sanction must always be fair and appropriate for the particular case); and (4) the precedent estab-

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lished by the University Judicial Board in previous cases.

To ensure that sanctions imposed by the University Judicial Board are consistent with the University's handling of similar cases, the Rules Administrator will be responsible for providing members of the University Judicial Board with records of any similar past cases, with the names and any other identifying information of past respondents removed.

A respondent who is found responsible for a simple violation of these Rules is subject to the full range of sanctions with the exception of: Dismissal or restriction from University employment; Suspension; Expulsion; and Revocation of degree. For repeated simple violations of these Rules, the respondent is subject to the full range of sanctions with the exception of: Expulsion, and Revocation of degree. A respondent who is found responsible for a serious violation of these Rules is subject to the full range of sanctions.

No notation, letter, or other record may be placed into the file of any community member in connection with activities covered by these Rules, either temporarily or permanently, unless the respondent has been found responsible for a Rules of University Conduct violation and has been sanctioned under these Rules.

The University Judicial Board will render a sanctioning decision within five (5) business days following the receipt of the panel's determination (or notification of a case where the respondent accepts responsibility). The sanctioning decision will be communicated in writing to the Rules Administrator and the respondent. The transmission must include (1) the finding of sanctions; and (2) the reasoning behind the imposition of sanctions.

### **List of Sanctions**

The University may impose any one or more of the following sanctions on a respondent determined to have violated the Rules:

- Private reprimand/warning.
- Public reprimand/warning.
- Disciplinary probation.
- Restricting access to University facilities.

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- Community service.
  - Issuing a “no contact” order to the respondent or requiring that such an order remain in place (restricted to cases of bodily harm and threats of bodily harm).
  - Dismissal or restriction from University employment.
  - Removal from University housing.
  - Suspension (limited time or indefinite).
  - Expulsion.
  - Revocation of degree.

In addition to any other sanction (except where the sanction is expulsion or revocation of a degree), the University may require any respondent determined to be responsible for a violation of the Rules to receive appropriate education and/or training related to the violation at issue. The University may also recommend counseling or other support services for the respondent.

### **Additional Responses**

The University may also determine that additional measures are appropriate to respond to the effects of the incident on the University community. Additional responses for the benefit of the University community may include:

- Increased monitoring, supervision, or security at locations or activities where the misconduct occurred.
- Additional training and educational materials for faculty, students, and staff.
- Revision of these Rules.

## **§450. Appeals**

### **Appeals Board**

Either the Rules Administrator or the respondent may appeal the decision of the University Judicial Board by submitting an appeal, in writing either by Registered U.S. mail or personal delivery, within five (5) business days after receiving the sanctioning notice. Appeals are decided by the Appeals Board. The three grounds for appeal are:

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1. A procedural error affecting the determination or sanction;
  2. New information that was not available at the time of the investigation or hearing and that may change the determination or sanction; and
  3. Excessiveness of the sanction.

Disagreement with the finding or sanctions is not, by itself, grounds for appeals.

If either the Rules Administrator or the respondent submits an appeal, the non-appealing party will be notified of the appeal and the grounds of the appeal. The non-appealing party may submit a written response within five (5) business days after notice of an appeal.

If the Appeals Board concludes that a change is warranted, based on a majority vote, the Board may revise the determination, reconvene the panel for it to reconsider the determination, or return the matter for additional investigation. If both the Rules Administrator and the respondent appeal, the appeals will be considered together.

The Rules Administrator and the respondent will be notified in writing of the final decision, which will be rendered within ten (10) business days of the receipt of the written appeal.

The respondent, but not the Rules Administrator, may also appeal the sanction set by the University Judicial Board. The Appeals Board may affirm or reduce the sanction, but may not increase it.

### **Presidential Action**

A final appeal may be made to the President for clemency or review, which the President may hear in his/her discretion.

### **§451. Records Disclosure**

Disciplinary proceedings conducted by the University are subject to the Family Educational Records and Privacy Act (FERPA), a federal law governing the privacy of student information. FERPA generally limits disclosure of student information outside the University without the student's consent, but it does provide for release of student disciplinary information without a student's consent in certain circumstances.

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A respondent who successfully requests an open hearing waives his or her rights under FERPA.

Any information gathered in the course of an investigation may be subpoenaed by law enforcement authorities as part of a parallel investigation into the same conduct, or required to be produced through other compulsory legal process.

#### **§452. 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.
- d. The University Senate Committee on Rules of University Conduct shall, at least every four years, facilitate a public discussion, engaging faculty, students, and staff, about whether revision of the Rules is merited.

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## XLV

### AMENDMENTS

**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 the Trustees at least thirty days in advance, and provided that with respect to any proposed amendment, alteration, or repeal related to the University's academic programs or to other academic matters, notice in writing shall be given at a previous meeting of the Trustees.

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# INDEX

*(The Arabic numerals used in this index refer to the section number of the Statutes and the roman numerals refer to the article number of the Charter unless otherwise indicated.)*

## A

---

- Absence, leave of, 4; 63; 71f
- Academic Calendar, 24i; 390
- academic year, 390
- baccalaureate sermon, 393
- Commencement, 24i; 392
- examinations, 24i; 391
- intermissions, 394a; 394b
- Summer Session, 24g; 340; 395
- Academic correlation, 24a
- Academic costume, 400
- for Trustees and members of  
    Faculties, 401
- Academic freedom, 23c; 70a; 71a;  
    73b
- Academic year, 390
- Acting president, 3
- Adjunct assistant professor, 61a; 61e
- Adjunct associate professor, 61a; 61e
- Adjunct associate research scholar,  
    62a; 62f
- Adjunct associate research scientist,  
    62a; 62f
- Adjunct professor, 61a; 61e
- Adjunct professor emeritus/emerita,  
    65
- Adjunct research scholar, 62a; 62i
- Adjunct research scientist, 62a; 62f
- Adjunct senior research scholar, 62a;  
    62i
- Adjunct senior research scientist,  
    62a; 62i
- Administration, officers of
- See* Officers of administration
- Administrative Board membership,  
    Graduate School of Arts and  
    Sciences, 150b
- Parker School of Foreign and  
    Comparative Law, 280
- Summer Session, 341
- Administrative Boards
- appointments, 60
- certificates, 6; 24c
- chairman, 1
- degrees, 6; 24b; 35a
- limitation of powers, 36
- listing of, 32
- Administrative Board for the master  
    of arts in teaching, 243
- Administrative Board of the Gradu-  
    ate School of Arts and Sciences,  
    150b
- Parker School of Foreign and  
    Comparative Law, 280
- Summer Session, 341
- meetings, 2b; 38; 51
- members of, 33
- minutes, 39; 56
- nonconcurrency by President, 1
- powers, 35
- President, 1; 2b
- Provost(s), member(s), 51
- questions involving more than  
    one, 24a

- 
- restriction on membership, 33
  - right to vote, 34
  - secretaries, 37
  - University Senate powers on, 24a; 24b; 24c
- Administrative committees
- certificates, 24c; 282
  - institutes, 282; 351
- Administrative staff
- University Senate members, 20g; 21c; 21e; 21f
- Admission requirements
- Columbia College, 111
  - General Studies, 221
  - involving a change in educational policy, 25b; 36
  - power of Faculties and Administrative Boards, 35a
- Advisory boards
- Legislative Drafting Research Fund, 123b
  - Pulitzer Prizes, 184
- African American and African
- Diaspora Studies, Department of, 40; 153a(1)
- Agreements, power to execute, 50c
- Alumni
- University Senate members, 20h
- Amendments, method of, XLV
- American Assembly, The
- officers of The Assembly, 361
  - officers of the University, 362
  - president of, 360; 361
  - President of the University, relation to, 360; 362
- Anesthesiology, Department of, 40;
- Anthropology, Department of, 40; 153a(1)
- Apparatus
- deposits on, 371
  - loan of, 7
- Applied Physics and Applied Mathematics, Department of, 40; 153a(3)
- Appointments
- affiliated hospital or institute, 60; 71g(1)
  - Barnard College, 234
  - clinical officers, 61a; 71g
  - conditions of, 63
  - Dental Medicine, 71g(1)
  - General Studies, 220
  - grades of office, 61a; 62a
  - language Officers, 61a; 71g(2)
  - library personnel, 90
  - medicine, 63; 71g(1)
  - Medical Center, 71g(1)
  - officers of administration, 50a; 50b
  - officers of instruction, 60, 61
  - officers of the libraries, 91
  - officers of research, 60; 62
  - retired officers, 80
  - Summer Session, 342
  - Teachers College, 240; 242
  - See also* Code of Academic Freedom and Tenure
- Architecture, Planning and Preservation
- degrees, 24b; 173
  - Faculty of, 30; 170
  - Graduate School of, 171
  - program of study, 172
- Architecture, Planning and Preservation, Department of, 40
- degrees, 173
  - faculty, 170



---

Graduate School of, 171  
program of study, 172

Art History and Archaeology, Department of, 40; 153a(2)

Arts, The, Department of, 40  
degrees, 24b, 302  
Faculty, 300  
program of study, 301

Arts and Sciences  
faculty of, 291  
officers, 292  
powers, 293  
purpose, 290

Assignments, power to execute, 50c

Assistant, 61a; 61m

Assistant clinical professor, 61a; 61f

Assistant clinical professor of law, 61a; 61f

Assistant professor, 61a; 61f

Assistant professor of clinical (department), 61a; 61f

Assistant research professor, Lamont-Doherty, 62a, 62g

Associate, 61a; 61k

Associate clinical professor (department), 61a; 61c

Associate clinical professor of law, 61a; 61c; 71g(3)

Associate in (language), 61a; 61.1; 71g(2)

Associate professor, 61a; 61c

Associate professor of clinical (department), 61a; 61c

Associate research professor, Lamont-Doherty, 62a, 62g

Associate research scholar, 60; 62a; 62f

Associate research scientist, 60; 62a; 62f

Astronomy, Department of, 40; 153a(3)

Award of certificates by President, 6

---

## B

---

Baccalaureate sermon, 393

Barnard College  
acting president, 231  
administration, 231; 238a  
admission, 235  
certificates, 236  
college courses, 24d  
courses of instruction, 235  
dean of, 231  
degree, 24e; 235; 236  
faculty, 30; 233  
fees, 237b  
libraries, 238  
officers of instruction, 234; 238a  
president of, 231  
President of the University, relation to, 230; 231  
tenure procedures, 234  
Trustees of, 230; 231; 238a  
University Senate members, 20d(1); 21b; 232  
University Senate power on degree standards, 24e; 235

Benefit plans, retirement and, 84

Biochemistry and Molecular Biophysics, Department of, 40; 153a(3)

Biomedical Sciences, 53; 57a; 130; 201; 310; 320; 331; 332

Biological Sciences, Department of, 40; 153a(3)

Biomedical Engineering, Department of, 40; 153a(3)

Biomedical Informatics, Department of, 40; 153a(3)

---

Biostatistics, Department of, 40  
Books and other library materials  
    gifts, 92  
    purchases, 92  
    use of collections, 93  
Buildings and grounds use by  
    students, 386  
Bureaus, research, 24j  
Business, Department of, 40  
    degrees, 24b; 192  
    Faculty of, 30; 190  
    program of study, 191

---

### C

---

Cancellation of registration, 382  
Caps, academic, 400  
Certificates, 6; 24f  
    for academic attendance, 6  
    in advanced education, general  
        dentistry, 203  
    in advanced international report-  
        ing, 183  
    in advanced science writing pro-  
        gram, 183  
    in advanced social welfare, 274  
    in critical care, 132  
    in endodontics, 203  
    in maternity nursing, 313  
    in medieval and Renaissance stud-  
        ies, 155  
    in nurse anesthesia, 313  
    in nurse midwifery, 313  
    in occupational therapy, 132a  
    in oncology, 313  
    in oral surgery, 203  
    in orthodontia, 203  
    in pediatric dentistry, 203  
    in periodontia, 203  
    in physical therapy, 132a  
    in primary care, adult, 313  
        in primary care, family, 313  
        in primary care, geriatric, 313  
        in primary care, neonatal, 313  
        in primary care, pediatric, 313  
        in prosthodontics, 203  
        in psychiatric/mental health nurs-  
            ing, 313  
        in psychoanalytic training, 132a  
        in social work (professional), 274  
Chair  
    Administrative Boards, 1  
    departments, 43  
    Faculties, 1  
    Trustees, V  
Chemical Engineering, Department  
    of, 40; 153a(3)  
Chemistry, Department of,  
    40; 153a(3)  
Civil Engineering and Engineering  
    Mechanics, Department of, 40;  
    153a(3)  
Classics, Department of 40; 153a(2)  
Clerk deeds and documents, 50c  
Climate  
    degree, 24b; 212  
    Faculty of, 210  
    powers, 213  
    program of study, 211  
Climate, Department of, 40  
Clinical professor, 61a; 61c  
Clinical professor emeritus/emerita,  
    65  
Clinical professor of law, 61a; 61c;  
    71g(3)  
Code of Academic Freedom and  
    Tenure, 23c  
    appointment and reappointment  
        notice of nonrenewal, 72c  
    written appointments, 72a  
    disability, 72e

- University Senate Faculty
  - Affairs Committee, 72e
- discontinuance of a unit
  - general, 74a
  - nontenured faculty, 74c
  - tenured faculty, 71a;74b
  - University Senate Faculty
    - Affairs Committee, 74b
  - University Senate relation to, 74a
- dismissal procedures
  - definition, 75a; 75e(10)
  - grounds for dismissal, 75b
  - hearing committee, 75d
  - hearing procedures, 75e
  - preliminary actions, 75c
  - Presidential action, 75c(1), (3), (4), (5); 75e(1), (12); 75f(1), (2); 75g(2)
  - review procedures, 75f
  - Rules of University Conduct, 75a, XLIV
  - suspensions, 75e(10); 75g
  - Trustee action, 75f(1), (2), (3)
  - University Senate Faculty
    - Affairs Committee, 75c(2), (4), (5), (6); 75d(1), (2); 75e(11); 75f(3); 75g(2)
- grievance procedures
  - general, 73a
  - grounds for complaint, 73b
  - reappoint and promotion, 73b
  - University Senate Faculty Affairs
    - Committee, 73a; 73b
- leaves of absence (term appointments), 71f
- officers of instruction, 70b
- part-time career appointments for parents, 71c
- resignation, notice of, 72d
- retirement, 72e
- Rules of University Conduct, 75a; XLIV
- tenure
  - ad hoc* committee, 71e(3)
  - definition, 71a; 71d
  - eligibility and time limit, 71b; 71d; 71e
  - exceptions, 71g
  - formal consideration for, 71e
  - term appointments, 71a; 71d
- Collections
  - loan of, 7
  - use of, 93
- College courses, 24d
- College of Dental Medicine of New York, 200
- College of Physicians and Surgeons. *See* Medicine
- Colors, academic, 400
- Columbia College
  - admission, 111
  - college courses, 24d
  - degree, 112
  - Faculty of, 30; 110
- Commencement, 24i; 392
- Compensation
  - adjustment of, for leave of absence, 4
  - Barnard College, 234; 238a
  - during sabbatical leave, 63
  - institutes, 350
  - library personnel, 90
  - officers of instruction, 60
  - officers of the libraries 91
  - officers of research, 60
  - Teachers College, 242
- Computer Science, Department of, 40; 153a(3)
- Conditions of appointment, 63
- Conditions of graduation involving

---

a change in educational policy,  
25b; 36  
power of Faculties and Adminis-  
trative Boards; 35a  
prepayment of dues, 373  
Conduct  
officers, 22c; 23i; 63; 75a; 75b  
*See also* Discipline; Rules of Uni-  
versity Conduct  
Conferring of degrees by President, 6  
Contracts and grants. *See* Externally  
funded research and instruction  
Coordinating committees  
certificates, 24c  
institutes, 351  
Corporate name, change of, p. 9  
Correlation of courses by University  
Senate, 24a  
Custodian of University documents  
and records, 56

---

## D

---

Daughters of officers, tuition ben-  
efits for, 374  
Dean of Barnard College. *See* Presi-  
dent of Barnard College  
Dean of Columbia College, 57a  
member of faculty, 110  
member of University Senate,  
20a(4)  
Dean of Faculty of Architecture,  
Planning and Preservation  
member of faculty, 170  
Dean of Faculty of the Arts  
member of faculty, 300  
Dean of Faculty of Business  
member of faculty, 190  
Dean of Faculty of Climate  
member of faculty, 210

Dean of Faculty of Dental Medicine,  
57a  
Dental clinic, responsibility  
for, 204  
member of faculty, 201  
Dean of Faculty of General Studies,  
57a  
member of faculty, 220  
Dean of Faculty of the Graduate  
School of Arts and Sciences, 57a  
member of Administrative Board  
of the Graduate School of Arts  
and Sciences, 150b  
member of faculty, 150a  
member of University Senate,  
20a(3)  
Dean of Faculty of International and  
Public Affairs  
member of Administrative Board  
of Parker School of Foreign  
and Comparative Law, 280  
member of administrative commit-  
tees of regional institutes, 282  
Dean of Faculty of Journalism  
member of faculty, 180  
Dean of Faculty of Law  
member of Administrative Board  
of Parker School of Foreign  
and Comparative Law, 280  
member of Advisory Board of  
Legislative Drafting Research  
Fund, 123b  
member of faculty, 120  
Dean of Faculty of Medicine, 57a  
member of faculty, 130  
Dean of Faculty of Professional  
Studies, 57a  
member of faculty, 250  
Dean of Faculty of Social Work,  
member of faculty, 270

- 
- Dean of Teachers College. *See* President of Teachers College
- Deans of Faculties  
duties, 57a; 57b  
executive officers, 57a  
meetings of faculties, 38  
member of faculty, 57c  
officers of administration, 50a  
Reports, 51; 57b
- Death of the President, 3
- Deeds and documents, power to execute, 50c
- Degrees, VII; 24b; 24f; 35a  
bachelor or architecture (B.Arch.), 173c  
bachelor of arts (B.A.)  
Barnard College, 24e; 235  
Columbia College, 24d; 112  
General Studies, 223b; 235  
bachelor of science (B.S.), 24b  
dental hygiene, 202b  
engineering and applied science, 143a  
General Studies, 223a  
occupational therapy, 132a(2)  
physical therapy, 132a(2)  
Teachers College, 24b  
chemical engineering (Ch.E.), 143c  
civil engineering (C.E.), 143c  
computer systems engineer (C.S.E.), 143c  
doctor of dental surgery (D.D.S.), 24b, 202a  
doctor of education (Ed.D.), 24b  
doctor of engineering science (Eng.Sc.D.) 24b; 143e  
doctor of library Science (D.L.S.), 24b; 212b  
doctor of medical science (Med.Sc.D.), 24b; 131c; 202d  
doctor of medicine (M.D.) 24b, 131a  
doctor of musical arts (D.M.A.), 24b; 302b  
doctor of nursing practice (Dr.N.P.), 24b, 312  
doctor of nursing science (D.N.Sc.), 312c  
doctor of occupational therapy (Dr.O.T.), 24b; 131d  
doctor of philosophy (Ph.D.), 24b; 154d  
Administrative Board of the Graduate School of Arts and Sciences, 24b; 152b  
Engineering and Applied Science, 24b; 143e  
Graduate School of Arts and Sciences, 24b; 302b  
Teachers College, 245  
doctor of physical therapy (Dr.P.T.), 24b; 131e  
doctor of public health (Dr.P.H.), 24b; 322d  
doctor of the science of law (J.S.D.), 24b; 122d  
doctor of social welfare (D.S.W.), 24b; 273b  
electrical engineer (E.E.), 143c  
honorary, 6  
industrial engineer (I.E.), 143c  
juris doctor (J.D.), 24b, 122a  
master of architecture (M.Arch.), 24b; 173a  
master of arts (M.A.), 24b; 152a  
Administrative Board of the Graduate School of Arts and Sciences, 24b; 152b  
engineering and applied science, 143e

Graduate School of Arts and Sciences, 24b; 154a  
 Teachers College, 24b; 152a; 243  
 Union Theological Seminary, 24b  
 master of arts in liberal studies (M.A.L.S.), 24b; 152b; 154b  
 master of arts in teaching (M.A.T.), 24b; 243  
 master of business administration (M.B.A.); 24b; 192a  
 master of comparative law (M.C.L.), 24b; 122c  
 master of education (Ed.M.), 24b  
 master of fine arts (M.F.A.), 24b; 302  
 master of health administration (M.H.A.), 24b  
 master of international affairs (M.I.A.), 24b 281b(1)  
 master of laws (LL.M.), 24b; 122b  
 master of philosophy (M.Phil.), 24b; 143d; 154c  
     Administrative Board of the Graduate School of Arts and sciences, 24b;152b  
 master of public administration (M.P.A.), 24b; 281b(2)  
 master of public health (M.P.H.), 24b; 322b  
 master of science (M.S.), 24b  
     Architecture, Planning and Preservation, 24b; 173b  
     Business, 24b; 192b  
     Dental Hygiene, 202c  
     Engineering and Applied Science, 24b; 143b  
     Journalism, 24b; 182  
     Medicine, 24b; 131b  
     Social Work, 24b; 273a  
     Teachers College, 24b  
 mechanical engineer (M.E.), 143c  
 metallurgical engineer (Met.E.), 143c  
 mineral engineer (Min.E.), 143c  
 mining engineer (E.M.), 143c  
 nuclear engineer (N.E.), 143c  
 Demonstrations. *See* Rules of University Conduct  
 Dental Medicine  
     certificates, 203  
     College of, 200  
     degrees, 24b; 202  
     Faculty of, 30; 201  
     programs in, 201  
 Dental Medicine,  
     Department of, 40  
 Dental clinic, 204  
 Dental hygiene degrees, 202b; 202c  
     program in, 201  
 Departmental research assistant, 62a; 62o  
 Departments  
     appointments, 60  
     chairman of, 43  
     listing, 40  
     members of, 41  
     right to vote, 42  
 Deposits, 371; 372  
 Dermatology, Department of 40  
 Designation, emeritus/emerita, 65  
 Diplomas, VII, 24f  
     Barnard College, 235  
     Teachers College, 243  
 Director of Earl Hall Center, 101  
 Director of Legislative Drafting Research Fund, 123b  
 Director of Parker School of Foreign

- and Comparative Law  
 member of Administrative Board  
 of Parker School of Foreign  
 and Comparative Law, 280
- Director of Summer Session  
 member of Administrative  
 Board of Summer Session, 341
- Directors of Administrative Boards  
 meetings of Administrative  
 Boards, 38  
 reports, 51
- Directors of institutes, 282; 351
- Directory, retention of retired  
 officers' names therein, 83
- Disability, 72e; 81
- Discharge of students, 383
- Discipline  
 by deans, 57b  
 by President, 2d  
 of students, 381  
*See also* Conduct; Rules of  
 University Conduct
- Discontinuance of a unit. *See* Code  
 of Academic Freedom and  
 Tenure dismissal procedures.
- Dismissal procedures, 75
- Duties  
 President, 2  
 University Senate, 22
- 
- E**
- 
- Earl Hall Center, 100  
 advisory committee, 105
- Earth and Environmental Engineer-  
 ing, Department of, 40; 153a(3)
- Earth and Environmental Sciences,  
 Department of, 40; 153a(3)
- East Asian Languages and Cultures,  
 Department of, 40; 153a(2)
- Ecology, Evolution and Environmen-  
 tal Biology, Department of, 40;  
 153a(3)
- Economics, Department of, 40;  
 153a(1)
- Education, Department of, 40
- Educational policy  
 Faculties and Administrative  
 Boards, powers of, 35  
 involving a change in conditions  
 of graduation, 25b; 36  
 program of studies, 36  
 requirements of admission, 25b; 36  
 University Senate, powers of, 24  
 University Senate relation to, 22a
- Electrical Engineering, Department  
 of, 40; 153a(3)
- Emergency Medicine, Department  
 of, 40
- Emeritus/emerita designation, 65
- Employee benefits. *See* Retirement  
 program and employee benefits
- Employment, unofficial, 60
- Engineering and Applied Science  
 degrees, 24b; 143  
 Faculty of, 30; 140  
 programs of study, 142  
 School of, 141
- English and Comparative Literature,  
 Department of, 40; 153a(2)
- Environmental Health Sciences,  
 Department of, 40
- Epidemiology, Department of, 40
- Equipment, loan of, 7
- Examinations  
 entrance and final, 24i  
 other, 35c
- Exceptions, 432; 432b; 434c
- Executive vice president for Arts and  
 Sciences  
 duties, 54

- member of Administrative Board of the Graduate School of Arts and Sciences, 150b
- member of Faculty of Columbia College, 110
- member of Faculty of General Studies, 220
- member of Faculty of the Graduate School of Arts and Sciences, 150b
- member of Faculty of International and Public Affairs, 281
- Existing agreements, 431; 434b; 434g
- principal investigator, 434c; 434d; 434e
- procedure, 434
- regulations, 430; 431; 433; 434b; 434c
- reports, 434d; 434e
- review board, 432a; 434b; 434c
- terms of agreements, 430a; 430b; 430c; 434b; 434c
- University Senate relation to, 23e; 432a; 432b
- Externally funded research and instruction, 23e
- application of regulations, 433
- dissemination of information in contracts or grants, 430a; 434d; 404e; 404f
- F**
- 
- Faculties
- appointments, 60
- certificates, 24c
- chairman, 1
- deans, duties of, 57a; 57b; 57c
- degrees, 6; 24b; 35a
- executive officers, 57a
- limitation of powers, 36
- listing, 30
- meetings, 2b; 38; 51
- minutes, 39; 56
- nonconcurrence by President, 1
- officers of administration, 50a
- powers, 35
- President, 1; 2b
- Provost(s), member(s), 51
- questions involving more than one, 24a
- right to vote, 34
- secretaries, 37
- University Senate relation to, 22a; 22b; 23; 24a; 24b; 24c
- Faculty assignment. *See* Faculty membership
- Faculty membership
- Architecture, Planning and Preservation, 170
- Arts, 300
- Arts and Sciences, 21, 30
- Barnard College, 233
- Business, 190
- Climate, 210
- Columbia College, 110
- Dental Medicine, 201
- Engineering and Applied Science, 140
- General Studies, 220
- Graduate School of Arts and Sciences, 150a
- International and Public Affairs, 281a
- Journalism, 180
- Law, 120
- Medicine, 130
- Professional Studies, 250
- Social Work, 270
- Teachers College, 242



---

Fees, 370  
Barnard College, 237b  
deposits, 371  
payment of, 372  
prepayment of dues, 373  
Teachers College, 245; 246  
tuition benefits, husbands and  
wives of officers, 376  
officers, 375  
sons and daughters of officers, 374  
Union Theological Seminary, 262  
University, 372

Fellowships  
conditions of award, 24h  
University Senate power on, 24h

Foundations  
fellowships, 421; 425  
prizes, 424; 425  
professorships, 420  
scholarships, 422; 425

French, Department of, 40; 153a(2)

---

## G

---

General counsel  
appointment, 55  
duties, 55  
officer of administration, 50a

General policies  
University Senate relation to, 23

General Studies  
admission, 221  
age requirements, 221  
college courses, 24d  
degrees, 24b; 221; 223; 235; 243  
Faculty of, 30; 220  
program of study, 222  
school of, 221

Genetics and Development, Department of, 40; 153a(3)

Germanic Languages, Department of,

40; 153a(2)

Gifts to libraries, 92

Grades of office, 61a; 62a

Graduate research assistant, 62a; 62.o

Graduate School of Architecture,  
Planning and Preservation, 171

Graduate School of Arts and  
Sciences, 151  
Administrative Board of, 32; 150b  
certificate, 155  
degrees, 24b; 152b  
powers, 152  
programs of study, 153a  
humanities, 153a(2)  
pure sciences, 153a(3)  
social sciences, 153a(1)

Graduation, conditions of. *See* Conditions of graduation

Grants, contracts and. *See* Externally funded research and instruction

Greek and Latin, Department of, 40; 153a(2)

Grievance procedures. *See* Code of Academic Freedom and Tenure

---

## H

---

Health Policy and Management,  
Department of, 40

Health Sciences  
faculty, 21a(1), 21a(2); 331  
officers, 332  
powers, 333  
purpose, 330

Henry Krumb School of Mines, 144

History, Department of, 40; 153a(1)

Holidays, 394a

Honorary degrees, VII; 6

Honors and prizes  
assignment of, to students, 35b  
honorary degrees, VII; 6

---

prizes  
award of, 425  
foundation of, 424  
Pulitzer Prizes, Advisory Board  
on, 184  
University Medals for  
Excellence, 6  
University Senate relation to, 23h  
Humanities, 153a(2)  
Husbands of officers  
exemption from fees, 376

---

## I

Industrial Engineering and Operations Research, Department of, 40  
Institutes  
administrative committee, 351  
coordinating committee, 351  
director, 351  
faculty designation, 350  
purpose, 350  
University Senate relation to, 350  
Instruction, externally funded.  
*See* Externally funded research and instruction  
Instruction, officers of. *See* Officers of instruction  
Instructor, 61a; 61g  
Instruments, power to execute, 50c  
Interchange of courses  
Barnard College, 235  
Teachers College, 245  
Union Theological Seminary, 262  
Intercollegiate Athletics, Department of. *See* Physical Education, Department of  
Intermissions, 394  
International and Public Affairs

degrees, 24b; 281b  
Faculty of, 30  
relationship to other University work, 283  
School of, 281  
International and Public Affairs, Department of, 40  
International Studies. *See* International and Public Affairs; Parker School of Foreign and Comparative Law; Regional Institutes  
Italian, Department of, 40; 153a(2)

---

## J

Journalism  
certificates, 183  
degree, 24b; 182  
Faculty of, 30; 180  
program of study, 181  
Journalism, Department of, 40

---

## L

Laboratories  
use for scientific tests by staff, 5; 434f  
Lamont-Doherty Earth Observatory  
assistant research professor, 62a, 62g  
associate research professor, 62a, 62e  
research professor, 62a, 62c  
Latin American and Iberian Cultures, Department of, 40, 153(2)  
Law  
degrees, 24b; 122  
Faculty of, 30; 120  
program of study, 121  
Law, Department of, 40  
Leases, power to execute, 50c  
Leave of absence, 4; 63; 71f

---

Lecturer, 60; 61a; 61h  
Lecturer in (language), 61a; 61i; 71g(2)  
Legislative Drafting Research Fund  
    director and advisory board, 123b  
    purpose, 123a  
Librarian, 91  
Libraries  
    administration of, 90  
    Barnard College, 238  
    gifts, 92  
Library personnel, 90  
Library resources, 92  
    officers of the libraries, 91  
    purchases, 92  
    Teachers College, 248  
    Union Theological Seminary,  
        263  
    University Librarian, 90; 91; 92; 93  
    University Senate members, 20e;  
        21c; 21e; 21f  
    University Senate relation to, 24k  
    use of collections, 93  
Libraries, officers of the. *See* Officers of the Libraries  
Library resources, 92

---

## M

Mathematics, Department of, 40;  
    153a(3)  
Mechanical Engineering, Department of, 40; 153a(3)  
Medals for Excellence, University, 6  
Medical Humanities and Ethics,  
    Department of, 40  
Medicine, Faculty of  
    certificates, 132  
    degrees, 24b; 131  
    faculty, 30; 130  
    programs in, 130  
Medicine, Department of, 40

Meetings  
    Faculties and Administrative  
        Boards, 2b; 38; 51  
    Trustees, VI  
    University Senate, 2b; 25c; 27  
Microbiology and Immunology,  
    Department of, 40; 153a(3)  
Middle Eastern, South Asian, and  
    African Studies, Department of,  
    40; 153a(3)  
Mines, Henry Krumb School of  
    designation of work of, 144  
Minutes of Faculties and Administrative  
    Boards, 39; 56  
Molecular Pharmacology and Therapeutics,  
    Department of, 40  
Music, Department of, 40; 153a(2)

---

## N

Name of the University  
    change of corporate name, p. ix  
Naval Science, Department of, 40  
Neurological Surgery, Department  
    of, 40  
Neurology, Department of, 40  
Neuroscience, Department of, 40;  
    153a(3)  
Nomination of officers, 50b; 60; 91  
Nursing, Department of, 40  
    certificates, 313  
    degrees, 312  
    department of, 40  
    faculty, 310  
    program of study, 311

---

## O

Obstetrics and Gynecology, Department  
    of, 40  
Occupational Therapy  
    certificate, 132a

degree, 131  
Program in, 130  
Officers of administration, II  
appointments, 50a; 50b  
exemption from fees, 345  
listing, 50a  
retirement, 80  
retirement, optional, 81  
University Senate members, 20a  
Officers of instruction, II  
appointments, 60; 61  
Barnard College, 234  
conditions of appointment, 63  
exemption from fees, 375  
grades of office, 61a  
leaves of absence, 4; 63; 71f  
residence, period of, 63  
retirement, 72e; 80  
retirement, optional, 72f; 81  
Teachers College, 240; 243  
University Senate members, 20b;  
21a; 21e; 21f  
University Senate relation to, 23c  
Unofficial employment, 60.  
*See also* Code of Academic  
Freedom and Tenure  
Officers of the Libraries, 91  
Officers of research  
appointments, 60; 62  
grades of office, 62a  
retirement, 80  
retirement, optional, 81  
University Senate members,  
20f; 21c; 21e; 21f  
unofficial employment, 60  
Ophthalmology, Department of, 40  
Optional retirement, 72f; 81  
Orders, power to execute, 50c  
Orthopaedic Surgery, Department  
of, 40

Other institutions  
affiliated hospital or institute  
appointment of staff members  
of, 60; 71g(1); 72c(3)  
University Senate relation to,  
23; 23e; 24f  
Otolaryngology/Head and Neck  
Surgery, Department of, 40

---

## P

---

Parker School of Foreign and  
Comparative Law  
Administrative Board, 32; 280  
director of, 280  
purpose, 280  
relationship to other University  
work, 283  
Part-time career appointments for  
parents, 71c  
Pathology and Cell Biology, Depart-  
ment of, 40; 153a(3)  
Pediatrics, Department of, 40  
Philosophy, Department of, 40;  
153a(2)  
Physical Education and Intercollegiate  
Athletics, Department of, 40  
Physical Therapy  
certificate, 132a  
degree, 131e  
program in, 130  
Physics, Department of, 40; 153a(3)  
Physiology and Cellular Biophysics,  
Department of, 40; 153a(3)  
Political Science, Department of, 40;  
153a(1)  
Population and Family Health,  
Department of, 40  
Postdoctoral clinical fellow, 62a; 62k  
Postdoctoral research fellow, 62a; 62k  
Postdoctoral research scholar, 62a,

- 
- 62j
  - Postdoctoral research scientist, 60;  
62a; 62j
  - Postdoctoral residency fellow, 62a;  
62l
  - Powers
    - Administrative Boards, 35
    - Faculties, 35
    - Graduate School of Arts and  
Sciences, 152
    - President, 1
    - Trustees, I to IX
    - University Senate, 24
  - Powers, limitation of
    - Administrative Boards, 24
    - Faculties, 36
    - University Senate, 25
  - Preceptor, 61o
  - Prepayment of dues, 373
  - President of Barnard College, 231
  - President of Teachers College,  
240a
  - President of the University
    - absence of, 3; 51
    - acting president, 3
    - annual report, 2c
    - appointment by Trustees, II;  
IV; 3
    - appointments by, 20a(5); 43; 50a;  
61a; 62a; 72a
    - Barnard College, 230; 231
    - chief executive officer, 1
    - death of, 3
    - deeds and documents, 50c
    - degrees and certificates, 6
    - disability of, 3; 51
    - discipline by, 2d
    - duties, 2
    - institutes, 282
    - intermissions, 394b
    - jurisdiction, 2a
    - leave of absence, granted by, 4;  
63; 71f
    - loan of collections, 7
    - meetings of Faculties and Admin-  
istrative Boards, 2b; 38; 51
    - meetings of University Senate, 2b;  
25c; 27
    - member of all Faculties and  
Administrative Boards, 1
    - member of University Senate, 1;  
20a(1)
    - minutes, 39
    - nonconcurrence of action of  
Faculties and Administrative  
Boards, 1
    - officers of administration, 50a
    - powers, 1
    - Provost designated by, 20a(2); 51;  
310
    - Pulitzer Prizes, 184
    - removal of, III; IV
    - resignation of, 3
    - retirement of, 3
    - scientific tests, authorized by, 5;  
404f
    - Teachers College, 240; 240a
    - Trustee concurrence of acts of  
University Senate, 25a
  - Prizes. *See* Honors and prizes
  - Professional degrees, Engineering  
and Applied Science, 143c
  - Professional Studies, Department  
of, 40
    - degrees, 252
    - faculty, 250
    - program of study, 251
  - Professor, II; 61a; 61c
  - Professor, emeritus/emmerita, 64

- 
- Professor, University, 26; 61a; 61b  
 Professor of clinical, 61a; 61c  
 Professor of clinical, emeritus/  
     emerita, 65  
 Professorial grades, 61a  
 Proficiency of students, 35b  
 Program of study, II  
     involving a change in educational  
         policy, 36  
         power of Faculties and Admin-  
         istrative Boards, 35a  
     statements of, 35d  
 Programs of study  
     Administrative Board of the  
         Graduate School of Arts and  
         Sciences, 152b; 153b  
     Architecture, Planning and Pres-  
         ervation, 172  
     Arts, The, 301  
     Business, 191  
     Engineering and Applied Science,  
         142  
     General Studies, 222  
     Humanities, 153a(2)  
     Journalism, 181  
     Law, 121  
     Pure Sciences, 153a(3)  
     Social Sciences, 153a(1)  
     Social Work, 272  
 Provost  
     appointment, 51  
     as chief academic officer(s), 51  
     as chief executive officer, 3; 51  
     deeds and documents, 50c  
     duties, 51  
     libraries, 24k  
     meetings of Faculties and  
         Administrative Boards, 38; 51  
     member(s) of all Faculty and  
         Administrative Boards, 51  
     member of University Senate,  
         20a(2)  
     officer(s) of administration 50a  
     selection of, 26; 50b  
 Psychiatry, Department of, 40  
 Psychology, Department of, 40;  
     153a(3)  
 Public Health, Faculty of  
     degrees, 24b; 322  
     program in, 321  
 Pulitzer Prizes, 184  
 Purchase of library materials, 92  
 Pure sciences, 153a(3)
- 
- Q**
- 
- Quorum of Trustees for enactment  
     of all business, IV
- 
- R**
- 
- Radiation Oncology, Department  
     of, 40  
 Radiology, Department of, 40  
 Reader, 61a; 61o  
 Reappointment after retirement,  
     72e; 82  
 Reappointment for ninth year with-  
     out tenure, 71b, e  
 Records, University, 55  
 Regional institutes  
     administrative committee, 282  
     certificate, 282  
     director, 282  
     faculty designation, 282  
     purpose, 282  
     relationship to other University  
         work, 283  
 Registration, 380  
     cancellation of, 382  
     duration of, 381  
     in other institutions, 384

- 
- regulations enforcement by deans, 57b
    - of Faculties and Administrative Boards, 35e
    - of University Senate, 26
    - other institutions, 24f
  - Rehabilitation and Regenerative Medicine, Department of, 40
  - Religion, Department of, 40; 153a(2)
  - Religious activities
    - Advisory Committee, 105
    - associate and assistant directors, 102
    - Coordinating Council, 104; 105c
    - counselors, 101d; 104
    - director, 101
    - directorate, 102; 104
    - Earl Hall Center, 100
    - gifts, bequests, and devises, 106
    - Student Governing Board, 103; 104; 105a; 105b
    - University Senate relation to, 105
  - Reports
    - deans and directors, 51; 57b
    - deposit in Libraries, 92; 434e
    - director of Earl Hall Center, 101e; 105
    - externally funded research and instruction, 434e
    - President, 2c
    - University librarian, 90
  - Research, externally funded. *See* Externally funded research and instruction
  - Research, officers of. *See* Officers of research
  - Research bureaus, 24j
  - Research professor, Lamont-Doherty, 62a, 62c
  - Research scholar, 60; 62a; 62d
  - Research scientist, 60; 62a; 62d
  - Residence, period of officers of instruction, 63
  - Resignation, notice of, 72d
  - Retention of names of retired officers, 83
  - Retired officers, 31; 72e; 82; 83
  - Retirement and benefit plans, 84
  - Retirement program and employee benefits, 80
    - appointment of retired officers for special services, 72e; 82
    - disability, 72e; 81
    - optional retirement, 81
  - Retention of names of retired officers, 83
  - Retirement, 72e; 80
  - Retirement and benefit plans, 84
  - Right to vote
    - in departments, 42
    - in Faculties and Administrative Boards, 34
    - University Senate elections, 21
  - Rules of University Conduct, 23i; 75a
    - administrative and judicial personnel, 445
      - additional judiciary board members, 445e
      - appeals board, 445d
      - delegate, 445b
      - rules administrator, 445a
      - University judicial board, 445c
    - affirmative statement, 440
    - appeals, 450
    - committee on, 452
    - definitions, 441
    - day, 441f
    - deans, 441d
    - delegates, 441e

faculty, 441h  
respondent, 441l  
rules administrator, 441k  
staff, 441i  
students, 441g  
University, 441a  
University facility, 441b  
University function, 441c  
violation, 441j  
enforcement, 444  
  creating separate areas, 444c  
  distribution of flier, 444d  
  self-identifying, 444e  
  summoning a delegate, 444a  
  treatment of outsiders, 444f  
  warning and advice, 444b  
hearing process, 448  
jurisdiction, 442  
prehearing procedures, investigation, 447  
records disclosures, 451  
rights of the respondent, 446  
sanctions and other remedies, 449  
violations, 443  
  *See also* Conduct; Discipline

---

## S

---

Sabbatical leave of absence, 63  
Salaries. *See* Compensation  
Scholarships  
  conditions of award, 24h  
  University Senate power on, 24h  
School of the Arts, 301  
School of Engineering and Applied Science, 141  
School of Foreign and Comparative Law, Parker, 280  
School of General Studies, 221  
School of International and Public Affairs, 280; 281; 282

School of Law, 280  
School of Social Work, 271  
Schools, Graduate  
  Graduate School of Architecture, Planning and Preservation, 171  
  Graduate School of Arts and Sciences, 151  
Scientific tests  
  authorized by President, 5; 434f  
Seat in faculty. *See* Faculty membership  
Secretaries  
  of Faculties and Administrative Boards, 37  
Secretary of the University  
  appointments by, 61a; 62a; 72a  
  custodian of University documents and records, 56  
  duties, 56  
  minutes of Faculties and Administrative Boards, 56  
  officer of administration, 50a  
Senior lecturer, 61a; 61h  
Senior lecturer in (language), 61a; 61i; 71g(2)  
Senior research scholar, 60; 62a; 62b  
Senior research scientist, 60; 62a; 62b  
Senior staff associate, 62a; 62m  
Slavic Languages, Department of, 40; 153a(2)  
Sociomedical Sciences, Department of, 40  
Social Work  
  certificates, 24c; 274  
  degrees, 24b; 273  
  Faculty of, 30; 270



---

program of study, 272  
School of, 271  
Social Work, Department of, 40  
School of Social Work, designation  
of work of, 271  
Sociology, Department of, 40; 153a(1)  
Sociomedical Sciences, department  
of, 40  
Sons of officers, tuition benefits for,  
374  
Special lecturer, 61a; 61j  
Special services, appointment to,  
after retirement, 72e; 82  
Staff, University Senate, 28  
Staff associate, 62a; 62k  
Statistics, Department of, 40;  
153a(3)  
Statutes, editions of, p. vi  
Students, XXXVIII  
definitions, 441g  
discharge, 383  
discipline, 382  
duration of registration, 381  
honors, 35b  
in other institutions, 384  
proficiency of, 35b  
registration, 380  
University Senate members, 20c;  
21b; 21e; 21f  
University Senate relation to, 23d  
use of name of the University by,  
385  
use of University rooms and  
grounds by, 386  
Summer Session  
Administrative Board, 341  
appointments to, 342  
duration, 340, 395

University Senate power on,  
24g; 340, 395  
Surgery, Department of, 40  
Systems Biology, Department of, 40

---

## T

---

Teachers College  
administration, 240a  
Administrative Board for the  
Master of Arts in Teaching, 32;  
244  
appointment of officers, 240;  
240a; 243  
dean of, 240a  
degrees, 24b; 152a; 244; 273  
doctor of philosophy, 245  
faculty of, 30; 241  
president of, 240a  
President of the University  
relation to, 240; 240a  
professional diploma, 243  
salaries, 243  
tenure, 243  
Trustees of, 240; 240a  
University Senate members,  
20d(2); 21d; 241; 242  
Teaching assistant, 61a; 61o  
Tenure  
*ad hoc* committee, 71b; 71d; 71e  
Barnard College, 234  
definition, 71a; 71d  
eligibility and time limit, 71b;  
71d; 71e  
exceptions, 71g  
formal considerations for, 71e  
Teachers College, 243  
Term appointments, 71a; 71d  
Term of office II; 60; 91

---

Tests, scientific, 5

Trustees

- By-Laws, VIII
  - chairman, V; VI
  - charters, pp. v to viii
  - corporate name, change of, p. 9
  - corporation, I; III; VI; p. 9
  - course of study, II
  - courts of law, I
  - degrees, VII
  - diplomas, VII
  - discipline, II
  - eligibility, II
  - honors, VII
  - meetings, VI
  - ordinances, VIII
  - other officers, II
  - powers, I to IX
  - President, II; III; IV; VII
  - professors, II; VII
  - quorum, IV
  - real estate, I; IV; IX
  - seal, I; VII
  - seniority, VI
  - students, II
  - vacancies, VI
- Tuition benefits
- sons and daughters of officers, 374

---

## U

---

Union Theological Seminary

- courses of instruction, 261
- degrees, 24b; 152a; 260; 261
- libraries, 262
- students and fees, 261

University Librarian, 90; 91;  
92; 93

University Medals for Excellence, 6

University Professor, 26; 61a; 61b

University Senate

- Academic Calendar, 24i
- academic correlation, 24a
- acts of, 25
- Administrative Boards, relation to, 24a; 24b; 24c
- Barnard College degree standards, 24e
- By-Laws and committees, 26; 27
- certificates, 24c; 24f
- College courses, 24d
- Commencement, 24i
- conduct, 22c; 23i
- degrees, 24b; 24e; 24f
- direct and indirect elections, 21f
- duties, 22
- educational policy, 22a; 24
  - involving a change in, 25b
- elections, 21
- examinations, 24i
- Executive Committee, 21g; 26;  
27; 28
- Faculties, relation to, 22a; 22b;  
23; 24a; 24b; 24c
- fellowships and scholarships, 24h
- general policies, 23
- honors and prizes, 23h
- libraries, 24k
- limitations of powers, 25
- meetings, 2b; 25c; 27
- membership, 20
- minimum voting requirements,  
21f; 21h
- other institutions, 23; 23e; 24f
- powers, 24
- President as presiding officer, 1;  
27
- President, selection of, 26
- Provost(s), selection of, 26; 50b

- 
- questions involving more than  
one Faculty and Administrative  
Board, 24a  
recall, 21h  
regulations, 26  
research bureaus, 24j  
staff, 28  
Summer Session, 24g  
term of office, 21g  
time of election, 21g  
Trustee concurrence of acts of,  
25a  
Trustee nominations, 26  
University Professors, appointment  
of, 26  
University work, relation to, 22b; 23  
vacancies, 21e; 21f; 21g  
Unofficial employment, 60  
Urology, Department of, 40  
Use of collections, 93  
Use of name of the University  
by officers, 60  
by students, 355
- 
- V**
- 
- Vice president for Health Sciences  
appointment, 53  
duties, 53; 57a  
member of Faculty of Dental  
Medicine, 201  
member of Faculty of Medicine,  
130  
Vice presidents  
appointments, 52  
deeds and documents, 50c  
designation of, 50a  
duties, 52  
officers of administration, 50a  
senior executive, executive, 52
- Visiting assistant professor,  
61a; 61d  
Visiting assistant professor of  
clinical, 61a; 61d  
Visiting associate professor,  
61a; 61d  
Visiting associate professor of  
clinical, 61a; 61d  
Visiting associate research scholar,  
62a; 62h  
Visiting associate research scientist,  
62a; 62h  
Visiting professor, 61a; 61d  
Visiting professor of clinical,  
61a; 61d  
Visiting research scholar, 62a; 62h  
Visiting research scientist, 62a; 62h  
Visiting senior research scholar, 62a;  
62h  
Visiting senior research scientist, 62;  
62h  
Vote  
in departments, 42  
in Faculties and Administrative  
Boards, 34  
University Senate elections, 21
- 
- W**
- 
- Wives of officers  
exemption from fees, 376





