Regulations and University Policies Concerning Graduate Study

Master’s and Doctoral Degrees Offered at the University

The University offers the Doctor of Philosophy degree and administers the award of this degree centrally in the Office of the University Dean of Graduate Studies. The University also offers the degrees of Doctor of Education, Doctor of Medicine, Doctor of Musical Arts, and Doctor of Nursing Practice, which are administered by the respective schools. Requirements for the degree of Doctor of Education can be obtained from the Margaret Warner Graduate School of Education and Human Development (see www.warner.rochester.edu); for the degree of Doctor of Medicine in the School of Medicine and Dentistry, see www.urmc.rochester.edu/smd; for the degree of Doctor of Musical Arts in the Eastman School of Music, see www.esm.rochester.edu; and for the degree Doctor of Nursing Practice in the School of Nursing, see www.son.rochester.edu.

The master’s degree is offered in arts, science, music, engineering, nursing, business administration, accountancy, and education. Information on master’s degrees other than MA and MS can be found as follows: for the Master of Business Administration and Master of Science in Accountancy through the William E. Simon Graduate School of Business Administration, see www.simon.rochester.edu. For the Master of Music through the Eastman School of Music, see www.esm.rochester.edu, for the Master of Public Health through the Department of Community and Preventive Medicine in the School of Medicine and Dentistry, see www.urmc.rochester.edu/cpm.

Administration of Graduate Studies

As authorized by the Board of Trustees in a Charter for Administration of Graduate Studies, the Provost assigns responsibility for the administration of all post-baccalaureate work within each school to the dean of that school, who may delegate it to an associate dean of graduate studies or to another appropriate official. Policies for graduate work within each school are determined by the respective faculties and their administrative officers in accordance with the provisions in these Regulations.

The University grants the Doctor of Philosophy degree and administers the award of this degree centrally in the Office of the University Dean of Graduate Studies. The general requirements for the PhD are set at the University level, as described later in this Bulletin. The Council on Graduate Studies recommends to the Provost for transmission to the Board of Trustees all candidates for the Doctor of Philosophy degree.

Schools and interdisciplinary programs offer approved PhD programs under University policies described in this Bulletin. More specific requirements for degree programs may be set by individual schools and departments.

General requirements for the MA and MS degrees are set at the University level and described in this Bulletin. General requirements for other master’s degrees and specific requirements for all master’s degree programs are set by individual schools.

The administration of work for master’s degrees and for doctorates other than the PhD is vested in the associate dean of graduate studies and the Committee on Graduate Studies or equivalent in each school. Each school recommends its candidates for graduate degrees other than the PhD to the Provost for transmission to the Board of Trustees. If a candidate for one of these degrees has taken work in more than one school in the University, the recommendation for award of the degree originates in the school responsible for the student’s major department or program.

University Policies for All Graduate Programs

Admission

Admission to graduate studies is granted to graduates of accredited colleges/universities, technical schools, and music schools who present satisfactory evidence of ability to pursue graduate study. Additional admission requirements are set by certain schools of the University. These are stated separately in the general announcements of each school in this bulletin.

An applicant’s qualifications are examined by the relevant department/program of major interest and by the associate dean of graduate studies in the appropriate school to determine whether previous training and ability promise success in work
for advanced degrees. Individual departments, with the approval of
their associate deans for graduate studies, may limit the num-
ber of graduate students to be admitted, determine the credit
hours of prerequisite study, stipulate language requirements, or
set other special admission requirements.

Admission to a graduate degree program at the University
of Rochester is for that program alone. Admission to any other
program requires a completely new admissions application.

In certain cases, applicants who do not meet all the require-
ments for admission may be admitted conditionally. Their stand-
ing is reviewed after the first term of study to decide on their
continuation in graduate work. Occasionally, a student without
a bachelor's degree is admitted because of demonstrated high
academic competence; such students are considered graduate
students.

Special students have satisfactory undergraduate records
except that they lack prerequisite courses for the intended area
of graduate study. Such prerequisites must be completed within
a year, and a student will not be continued as a special student
beyond this time. Admission as a special student does not
 guarantee subsequent admission and matriculation with full
graduate-student status.

Probationary admission may be granted to a student whose
credentials indicate only marginal preparation for graduate
work, on approval of the associate dean of graduate studies in the
appropriate school and the department of major interest. Such
a student can be admitted to full standing upon completing, at
the discretion of the department, from 12 to 24 semester hours
of graduate credit with all grades of at least B. If the student
receives any grade lower than B, enrollment in graduate studies
is subject to termination. (For School of Nursing, see Student
Handbook relating to probation policies.)

A person wishing to take a graduate course or courses not
leading to a degree may register as a nonmatriculated student.
Approval of the associate dean is required for the Eastman
School of Music; approval of the director of PhD programs for
PhD courses for the School of Nursing. In the Simon School,
approval of the associate dean is required for courses other than
the four basic core courses. Subsequent evaluation of such work
for inclusion in a graduate program is subject to the limitations
on transfer credit stated in the sections that follow.

All full-time and part-time students taking 6 or more credit
hours need to comply with University and New York State im-
uminization requirements. Please see the University Health Serv-
ice website (www.rochester.edu/uhs) for specific requirements,
health history form, and immunization requirement link.

Registration
A matriculated graduate student is one who has been admit-
ted to a graduate degree program and has completed initial
registration in that program. Once matriculated, a graduate
student must maintain continuous enrollment by registering
each academic year semester (every quarter in the Simon School)
and paying required fees until all requirements for the degree are
completed. Auditing a course does not fulfill this requirement.
Requirement for summer registration varies by program.

Registration must be completed within two weeks after the
beginning of a semester for all courses that carry credit. Late reg-
istration is accepted with the payment of a late registration fee.

Dropped Courses
A regular semester course may be dropped at any time through
the sixth week of classes, provided the student obtains the ap-
proval of his or her faculty advisor and the instructor(s), notifies
the graduate registrar on the proper form, and the change does
not alter the student's time status. No record of such actions ap-
ppears on the official transcript.

Following the start of the seventh week of classes, a drop
notification (or a change from credit to audit) sent to the gradu-
ate registrar must bear the signatures of the faculty advisor,
course instructor(s), and associate dean of graduate studies.
Such late drops will be recorded on the official transcript and
identified by the grade W. At the option of the course instructor,
a grade of E may also be attached.

In exceptional circumstances, the associate dean of graduate
studies may approve dropping a course without record after the
start of the seventh week of classes. Review of the circumstances
is initiated by an appropriate written petition.

Dropping credit hours after the seventh week of a semester
or retroactive after the conclusion of the semester is not permit-
ted if the change affects the student's time status (full-time status
changes to part-time status) for that particular semester.

No academic credit is granted for courses in progress at the
time a student withdraws from the University, except by explicit
approval of the associate dean acting upon a written petition.

Audited Courses
Audit of a course related to a degree program is permitted for
full-time and part-time graduate students, when approved by
the student's faculty advisor, the course instructor(s), and the
associate dean of graduate studies. There is a fee for this. With
the approval of the associate dean of graduate studies, the school
may decide to pay this fee. The audited course will appear on
the student's transcript provided the student attends throughout
the course. Students who wish later to receive credit for such a
course may do so by (1) changing the registration in the office of
the graduate registrar prior to the end of the sixth full week of
classes in a given semester and (2) paying the required tuition
for the course.

Full-time Status
A full-time graduate student is defined as a student who regis-
ters for at least 12 hours of credit for the semester (or 9 hours
of credit for the quarter at the Simon School), or a graduate
assistant or other student doing work equivalent to that of an
assistant who registers for at least 9 hours of credit for the semes-
ter. Master's students in the School of Nursing should consult
the School of Nursing Student Handbook regarding credit require-
ments for full-time status.

Change of time status (i.e., full time to part time, or full
time to x-time) requires approval from the associate dean, except
for the Warner School and the School of Nursing.
Residency
A student is defined as being in residence at the University of Rochester if he or she is registered as a full-time student and is using the facilities of the University (laboratories, libraries, consultations with faculty members, or course attendance) with sufficient frequency and regularity to establish this status clearly. Some period of residence at this University is required for all advanced degrees. (See departmental residency requirements stated in this bulletin.)

Summer Residency Status
Requirements for registration during summer sessions vary across graduate programs. Any student who has been classified as full time during the preceding academic year and is registered for the summer is considered full-time during the summer regardless of summer credit load. Students in residence but not registered for summer credit may register for “990: doctoral summer in residence” or “890: master’s summer in residence” and will not be subject to summer tuition charges.

Study in Absentia or Special Status
In certain circumstances it may be desirable for a matriculated graduate student to engage in full-time or part-time study or research for a limited period of time at another university, research organization, or scholarly institution and to register for appropriate graduate credit or dissertation status at the University of Rochester. All such requests must be made in writing. Advance approval by the associate dean of graduate studies may be required.

Grades
Grades for graduate students are reported on one of two systems. One is A (excellent), A–, B+, B (good), B–, C (poor), and E (failure). The other is S (satisfactory) and E (failure). (See the bulletin of the Eastman School of Music for the grading system in effect for that School.)

The grade S may not be used for any student in a class in which the other students are graded on the A, A–, B+, B, B–, C, E scale (except “591” and “595”).

Minimum grades for courses or research work carrying graduate credit are C or S. C is, however, considered to be a failing grade for any student who is on probation. Moreover, a student who receives the grade of C in each of two courses, or for eight hours of work toward the degree (even if in only one course), will thereby have raised the question of the adequacy of his or her academic performance. In those circumstances the student’s record must be reviewed by the associate dean of graduate studies (in the School of Nursing, the Student Affairs Committee) in consultation with the student and the program director. Individual schools may have established higher minimum standards.

The following grades are also assigned to courses: I, assignments not completed, and W, withdrawal from a course.

Courses or research for which a student has registered and which are graded I (incomplete) must be completed within the time period stated by the professor. Matriculated graduate students in Arts, Sciences and Engineering should refer to the “Policies Governing Use of the Grade of Incomplete in Graduate Courses” in the relevant section of the Bulletin. It is the responsibility of the student to complete the work; the professor may replace the grade of incomplete with IE (failure) or with a passing grade at any time. Retroactive dropping of credit hours after the conclusion of a semester is not permitted if the change affects the student’s time status (full-time status changes to part-time status) for that particular semester.

Leaves of Absence

Leave of Absence (Non-Medical)
The associate dean of graduate studies may grant a leave of absence to a matriculated graduate student who has not yet completed all requirements for the degree. The leave will ordinarily be limited to one year. Students must register for “985: leave of absence” each semester they are in this category and must pay the designated fee. It should be noted that registration of “985: leave of absence” does count toward the degree time limit.

Leave of absence is an x-time category of registration, which has implications for health insurance eligibility, possible loan deferments, and visa status. X-time is defined as neither a full-time or part-time student, but is used to maintain a student’s place in their graduate program so that they will not be considered withdrawn by the University.

Medical Leave of Absence
On occasion, a serious health problem requires a student to go on inactive status before the end of a semester. In that situation, it may be reasonable to give the student a pro-rated refund on tuition and certain fees. Associated with this special consideration is the right of the University to determine (1) whether the leave is justified on medical grounds and (2) whether the student has recovered sufficiently to return at some point in the future.

Any student who wishes to start a medical leave of absence mid-semester must petition the student’s school. The school will then ask the University Health Service (UHS) to review relevant health-related information, some of which may have to be provided by the student. The director of UHS (or his or her designee) will make a recommendation to the school regarding the appropriateness of allowing the student to take a medical leave of absence. The recommendation will be based on the seriousness of the health problem and the extent to which the health problem has interfered with the student’s coursework. Evidence of both is required.

The school will make the decision concerning the medical leave petition and will inform the student of that decision, including the effective date of the leave and any other conditions attached to it that are deemed appropriate to the circumstances of the particular case. Such conditions may include, for example, minimum and/or maximum length of time of the leave and/or requirements that must be met before the student can return from leave. Except in unusual situations, as determined by the school in its sole discretion, the petition to go on leave for medical reasons must be initiated by the student before the end of the semester in question.

A student who wishes to return from a medical leave of absence must petition the student’s school. The school will then
ask the UHS to review relevant health-related information, some of which may have to be provided by the student. The director of UHS (or his or her designee) will make a recommendation to the school regarding the appropriateness of allowing the student to return from medical leave of absence. The recommendation will be based on evidence that the medical condition that required the leave is controlled sufficiently to allow the student to make a successful return.

The school will consider that recommendation and whether any conditions imposed on the leave have been met, will decide on the student’s return, and will inform the student of its decision.

Except in unusual situations, as determined by the school in its sole discretion, the petition to return from medical leave of absence must be initiated by the student at least two and preferably three months before the expected date of return.

Students must register for “985: leave of absence” each semester they are in this category and must pay the designated fee. It should be noted that registration of “985: leave of absence” does count toward the degree time limit.

Involuntary Medical Leave of Absence

The University of Rochester provides a wide range of services to support and address the mental and physical health needs of students including assessment, short-term care as appropriate, and referrals. Our first concern is for the health and welfare of each individual in our community. Our goal is to enable all of our students to participate fully as members of Rochester’s academic community.

Students with psychiatric, psychological, or other medical conditions who pose a threat to themselves or others, or who disrupt the educational activities of the University community, may be required to take a leave of absence from the University. Under these circumstances, students will be given the opportunity to take a voluntary leave. However, if a student declines to take a voluntary leave, the University may determine that the student’s health and welfare, or the needs of the community, require a period of involuntary leave. The following policy establishes the protocol under which an involuntary leave of absence may occur and the process for return from such a leave.

The University may place a student on an involuntary leave of absence or require conditions for continued attendance when the student exhibits behavior associated with a psychological, psychiatric, or other medical condition that harms or threatens to harm the health or safety of the student or others; causes or threatens to cause significant property damage; or significantly disrupts the educational and other activities of the University community.

When a student exhibits any of the behaviors described above, the matter may be brought to the attention of the school associate dean of graduate studies (or designee). The associate dean of graduate studies (or designee) may place a student on an involuntary leave of absence or impose conditions upon the student’s continued attendance. The associate dean of graduate studies (or designee) will seek an immediate assessment of the student’s psychological, psychiatric, or other medical condition from the University Counseling Center (UCC), University Health Services (UHS), or from other appropriate professionals regarding the student’s circumstances.

The student will be notified that the associate dean of graduate studies (or designee) is seeking to determine whether he or she should be required to take a leave of absence. When reasonably possible, the student will be given the opportunity to confer with the associate dean of graduate studies (or designee) and to provide additional information for consideration.

The associate dean of graduate studies (or designee) will conclude the review of available information with a decision that may include the following:

- The student remain enrolled with no conditions;
- The student remain enrolled subject to conditions (including a description of those conditions); or
- The student be placed on an involuntary leave of absence.

If the associate dean of graduate studies’ (or designee’s) decision is to require an involuntary leave of absence, the decision will also indicate the length of the leave and describe the conditions (if any) under which the student may seek to return from leave. The student will then be withdrawn from active status by the associate dean of graduate studies.

The student shall be informed in writing by the associate dean of graduate studies (or designee) of the leave decision, the effective date of the leave, and conditions for return (if applicable). If a student is permitted to remain enrolled subject to conditions, the student shall be informed in writing of the effective date and the duration of the modified attendance.

Process for Return from Involuntary Medical Leave

A student seeking a return from leave must meet the conditions specified by the associate dean of graduate studies (or designee). The student must apply in writing to the associate dean of graduate studies. It is the responsibility of the associate dean of graduate studies to review the student’s compliance with specified conditions for the return from leave and to advise other University offices accordingly. Appropriate administrative duties with respect to commencing this leave process and maintaining its records will be the responsibility of the associate dean of graduate studies.

Confidentiality Regarding Medical Leave

All records concerning involuntary leaves of absence will be kept in accordance with the University confidentiality policy and other applicable policies. No statement regarding the leave of absence or withdrawal appears on the student’s official transcript.

Withdrawal from a Degree Program

The continuance of each student upon the rolls of the University, the receipt of academic grades, and the conferring of any degrees or the granting of any certificate are strictly subject to the discretionary powers of the University. Each student concedes to the University the right to require his or her withdrawal at any time for just cause.

Voluntary withdrawal from the University by a student who has not completed the degree program should be reported in writing by the student to the appropriate associate dean of graduate studies.
Readmission and Rematriculation after Withdrawal

Students who have withdrawn from work toward a graduate degree may apply for readmission. If readmitted, the student will be expected to reformulate a graduate program with the assistance of the faculty advisor and will be required to pay the stated rematriculation fee plus any other indebtedness previously incurred. Graduate courses completed successfully by the student prior to withdrawal may be counted as partial fulfillment of the requirements of the degree, provided:

A. the courses form an integral part of the student’s new program and are approved for inclusion by the faculty advisor; and

B. the courses were completed not more than five years prior to the date of application for rematriculation.

The maximum time for a rematriculated student to complete the program for the degree will be based on the credit hours remaining to be completed, computed at a rate of at least six credit hours a year. This does not negate the maximum time limit for the degree.

Continuing Registration in Master’s or PhD Dissertation Phase

All students must maintain continuous enrollment. If enrollment has been allowed to lapse, students must pay the appropriate fees for unregistered semesters in order to complete the degree.

MS, MA, or PhD students who have completed all credit requirements but not yet completed the final dissertation may register, with the approval of the advisor and the associate dean of graduate studies, for one of the categories below.

999/899

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are not enrolled in full-time coursework but are, nonetheless, working full time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It includes a relevant fee (often a dissertation fee), as well as other fees associated with full-time enrollment.
- Students are registered with specific reference to a faculty advisor, who is ultimately responsible for monitoring their full-time effort.
- The student has either completed all requirements for the degree other than the thesis or is enrolled in final coursework in addition to the work necessary for the degree requirements (e.g., dissertation, degree recital, etc.).
- The student has actively demonstrated full-time effort, whether through being physically located on campus or having completed the appropriate petitions to demonstrate full-time effort elsewhere in the U.S. (999A/899A) or abroad (999B/899B).
- Mandatory Health Fee is not required if the student is studying in absentia (e.g., 999A/899A) and the student is not enrolled in the University health insurance.
- International students utilizing the in absentia options must coordinate with ISO for immigration purposes.
- Students are eligible for federal loans.
- Students are eligible for University health insurance.

998/898

This status is utilized most often by the Warner School and can be applied as follows:

- It is considered part-time (at least half-time) enrollment for all reporting purposes.
- This dissertation category does not satisfy government requirements for F-1 and J-1 international students to maintain full-time enrollment and will require that students obtain advanced permission for a Reduced Course Load, if eligible.
- It is for students who are not enrolled in half-time coursework but are, nonetheless, working at least half time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It includes a relevant fee (often a dissertation fee).
- Students are registered with specific reference to a faculty advisor, who is responsible for monitoring their part-time effort.
- The student has either completed all requirements for the degree or is enrolled in final coursework in addition to the work necessary for degree requirements (e.g., dissertation, degree recital, etc.).
- Students are eligible for federal loans.
- Students are not eligible for University health insurance.

997/897

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are not enrolled in full-time coursework but are, nonetheless, working full time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It does not include a relevant fee, though it does include other fees associated with full-time enrollment. The decision to utilize 997/897, and thus not charge fees, is made independently by each school and may occur for many reasons (for example, the student has not yet completed four full-years of doctoral enrollment, the student is enrolled full time during the summer, the student has been granted a one-time waiver of fees at the master’s level, etc.).
- Students are registered with specific reference to a faculty advisor, who is ultimately responsible for monitoring their full-time effort.
- The student has either completed all requirements for the degree other than the thesis or is enrolled in final coursework in addition to the dissertation.
- The student has actively demonstrated full-time effort, whether through being physically located on campus or having completed the appropriate petitions to demonstrate full-time effort elsewhere in the U.S. (997A/897A) or abroad (997B/897B).
- Mandatory Health Fee is not required for students studying in absentia (e.g., 997A/897A or 997B/897B) and not enrolled in the University health insurance.
- International students utilizing the in absentia options must coordinate with ISO for immigration purposes.
- Students are eligible for federal loans.
- Students are eligible for University health insurance.

995/895
This status is utilized as follows:
- It is considered less than half-time enrollment for all reporting purposes.
- This category does not satisfy government requirements for F-1 and J-1 international students to maintain full-time enrollment and will require that students obtain advanced permission for a Reduced Course Load, if eligible.
- It is for students who are working less than half time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.) or who are enrolled solely to satisfy the continuous enrollment requirement.
- It includes a relevant fee (often an enrollment continuation fee).
- Students are not necessarily registered with specific reference to a faculty advisor to monitor their effort. The choice to register with specific reference to a faculty advisor is made at the individual school level.
- Students are not eligible for federal loans.
- Students are not eligible for University health insurance.
- Though less than half time, this status does fulfill the requirement of continuous enrollment.

990/890
This status is utilized as follows:
- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are in full-time residence during the summer for purposes such as completing a dissertation, performing research, completing a clinical rotation, etc.
- Note that this status is different than using 997/897 for full-time summer enrollment. If the 4th, 5th, and 6th bullets of the 997/897 definition can be satisfied, a school may wish to use that status instead, to allow the student to be eligible for federal loans.
- It does not include a relevant dissertation fee.
- Students are not necessarily registered with specific reference to a faculty advisor to monitor their effort. The choice to register with specific reference to a faculty advisor is made at the individual school level.
- Students are not eligible for federal loans.
- Students are eligible for University health insurance.

Refund of the Semester or Quarter Fee in the Final Semester
When the final corrected copies of the dissertation are submitted, the student is eligible for a refund of the current fee for continuing enrollment according to the following schedule:
- 75% during the first calendar month of the semester or second three weeks of the quarter.
- 50% during the second calendar month of the semester or second three weeks of the quarter.
- 25% during the third calendar month of the semester or third three weeks of the quarter.

The form for refund is available in the Office of the University Dean of Graduate Studies for PhD students, and in the office of the associate dean of graduate studies for master’s students.

Conferral of Degrees
Degrees are awarded by the Board of Trustees at its regular meetings (October, March, and May) and conferred annually at the University’s Commencements. A degree candidate, upon meeting all degree requirements, will likely be awarded the degree at the next meeting of the Board of Trustees, but will receive the diploma at the following Commencement.

Transcripts
Transcripts of graduate work will be issued only at the written request of the student. Fees are determined at the school level. Transcript requests should be directed to the University registrar. (Students in the Eastman School of Music should request transcripts from the registrar, ESM.) The University reserves the right to withhold academic transcripts if an outstanding balance is owed the University.

Student Records
The University of Rochester complies fully with the provisions of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g. Under FERPA students have, with certain limited exceptions, the right to inspect and review their educational records and to request the amendment of their records to ensure that they are not inaccurate, misleading, or otherwise in violation of the student’s privacy or other rights. Requests to inspect or review records should be addressed to the registrar, or to the appropriate administrator responsible for the record and will be honored within 45 days. Any student questioning the accuracy of any record may state his or her objection in writing to the University administrator responsible for the record, who will notify the student of his or her decision within 45 days of receiving the objection. Final review of any decision will be by the appropriate dean who, if requested by the student, will appoint a hearing committee of two faculty members and one staff member to investigate and make recommendations. Students concerned with the University’s compliance with FERPA have the right to file complaints with the U.S. Department of Education’s Family Compliance Office.
FERPA further requires, again with certain limited exceptions, that the student’s consent must be obtained before disclosing any personally identifiable information in the student’s education records. One such exception is disclosure to parents of dependent students. Another exception is disclosure to school officials with legitimate educational interests, on a “need-to-know” basis, as determined by the administrator responsible for the file. A “school official” includes anyone employed by the University in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); any person or company acting on behalf of the University (such as an attorney, auditor, or collection agent); any member of the Board of Trustees or other governance/advisory body; and any student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Other exceptions are described in the FERPA statute at 20 U.S.C. 1232g and regulations at 34 C.F.R. Part 99.

The University considers the following to be directory information: name, campus address, e-mail address, home address, telephone number, date and place of birth, academic fields of study, current enrollment (full or part time), dates of attendance, photographs, participation in recognized activities and sports, degrees and awards, weight and height of athletic team members, previous educational agencies or institutions attended, and other similar information. The University may publicize or respond to requests for such information at its discretion. However, the use of the records for commercial or political purposes is prohibited unless approved by the appropriate dean.

Currently enrolled students may request that directory information be withheld from disclosure by making a request, in writing, to the appropriate registrar. All requests made on or before September 30 will make it possible to have directory information omitted from printed directories. Requests made after this date should still be forwarded since they will prevent directory information from being released in the future. The University assumes that failure on the part of the student to specifically request the withholding of any directory information indicates approval of disclosure.

**Policies Concerning the Doctor of Philosophy Degree**

**Administration of PhD Degree Programs**

The degree of Doctor of Philosophy is awarded primarily for completion of scholarly work, research, or outstanding creative work satisfactorily described in a dissertation. It is assumed that recipients of this degree are well versed in the subject matter and research techniques of a specific discipline and have demonstrated breadth of interest and originality of outlook that indicate promise of success in future research and teaching. PhD degree programs offered by the University and registered with the State of New York are listed on page 20.

**Established Interdisciplinary PhD Programs**

For an established formalized interdisciplinary program (e.g., Visual and Cultural Studies, Neuroscience), a standing committee of faculty with formal affiliation to that program acts as a “department” and supervises the program requirements for its students.

**Ad Hoc Joint PhD Degree Programs**

To enable a student to pursue an individualized program of PhD study in more than one field, departments and programs authorized to offer work leading to the PhD degree may cooperate to offer a joint program. Joint work is supervised by an ad hoc committee convened for each student. One member of the ad hoc committee must be from outside the two programs of study.

Each ad hoc committee is appointed by the University dean of graduate studies upon nomination by the Graduate Committee of the school(s) in which the departments/programs are located. A proposal outlining how degree requirements will be met, along with supporting documentation (including program of study, proposed plan for qualifying examination(s), up-to-date advising record, proposed thesis topic) must be submitted for approval before the student is admitted to candidacy.

**University Administration of PhD Programs**

Each school of the University has a Committee on Graduate Studies or the equivalent, consisting of representatives of departments and programs offering graduate degrees. The duties of these committees include reviewing the administrative practices of the departments/programs and the school with respect to requirements and training for the PhD, and advising the associate dean of graduate studies about the work toward the PhD degree.

The University has a Council on Graduate Studies composed of:

- representatives of departments and programs in the University authorized to offer the PhD degree;
- the deans or associate deans for graduate studies of each school, or officer whose duties most closely correspond to this role;
- the Provost of the University;
- the University dean of graduate studies, who serves as chair.

The principal functions of the Council are:

- to decide on the basis of quality considerations which departments shall be authorized to give work towards the PhD degree, and to authorize or restrict, as necessary, the different PhD programs.
- to scrutinize the policies, standards, and facilities for work for the degree of Doctor of Philosophy throughout the University to ensure a minimum quality standard is met, and to make reports on the findings and recommendations to the Provost and President. In performance of this function, the council may engage scholars from other universities.
- upon nominations by the faculties or other authorized agencies in the several schools, to recommend to the Provost for transmission to the Board of Trustees the candidates for the Doctor of Philosophy degree.
A Steering Committee of the Council, composed of the University dean of graduate studies and the dean or associate dean of graduate studies (or equivalent) of each school, advises the Council in the performance of its functions, exchanges information, and adjusts procedures in the schools to enable administrative uniformity as needed.

The vice provost and University dean of graduate studies is appointed by the trustees on recommendation of the provost and president. The vice provost and University dean of graduate studies

- is the University spokesperson in matters of graduate studies
- presides at meetings of the Council and the Steering Committee
- may serve ex officio as a member of the committee established in any school for the conduct of the MA, the MS, or the PhD degree
- appoints (upon the advice of each associate dean of graduate studies) all committees for the final oral examination for the PhD degree
- the University dean of graduate studies or a delegate presides at all such examinations as chair.

**Admission to PhD Programs**

No person holding a full-time appointment as assistant professor or higher at the University of Rochester may be awarded an earned degree of Doctor of Philosophy from this University. An exception to this rule may occur only if the faculty member’s appointment is in a department other than the one in which the degree is earned and only if that appointment is warranted by the completion of a separate Doctor of Philosophy or other appropriate graduate degree. Faculty members holding the rank of instructor and non-faculty full-time employees of the University may pursue studies leading to the degree of Doctor of Philosophy only by special permission of the appropriate school’s Committee on Graduate Studies.

**Transfer Credit**

Work taken prior to matriculation in a graduate degree program is classified as possible transfer work. Limits on transfer credits are set at the program level. Credit hours may be accepted toward degree requirements if the subjects taken form an integral part of the proposed program of study and if taken within five years of the date of matriculation with a grade of B or higher as interpreted in this University. Requests for transfer credit must have the approval of the associate dean of graduate studies. Similarly, permission to take work at another institution for transfer credit after matriculation in a graduate program must be approved in advance by the associate dean of graduate studies.

**Full-Time Residency Requirement**

A minimum of one year (two consecutive semesters, excluding summers) in residence while enrolled as a full-time student is required. Doctoral Dissertation (“999”) may not be used to meet the one-year residency requirement. Further requirements may be completed by full-time residence either during the academic year or during the summer. Departmental/program requirements, however, may necessitate continuous residence until work for the degree is completed.

**Part-Time Study**

Ordinarily, graduate students may pursue work leading to the degree Doctor of Philosophy only if they are full-time students.

Permission to pursue a part-time plan of study is at the option of the department/program, subject to the approval of the Committee on Graduate Studies of that school. Part-time plans of study are subject to the following restrictions:

1. under no conditions will the residency requirement described above of one continuous academic year of full-time study be waived,
2. the minimum registration will be two courses, each carrying at least three credit hours, per calendar year (however, departments/programs may establish a higher minimum registration requirement), and
3. a student receiving grades lower than B (or S) in more than one-quarter of the courses for a given academic year may not be permitted to continue in the part-time program.

**Time Limit for PhD**

All work for the PhD, including the final oral examination, must be completed within seven years from date of initial registration, except that a student who enters with a master’s degree or its equivalent for which the full 30 credit hours is accepted in the doctoral program must complete all work within six years from date of initial registration. All registration categories, including “985: Leave of Absence,” count towards the time limit.

Students who for good reasons have been unable to complete a program within the above stated limits may, upon recommendation of the faculty advisor and the department chair/program director, petition the associate dean (in the School of Nursing, the PhD subcommittee) for an extension of time. Such extensions, if granted, will be of limited duration and must be reapproved at least annually. Requests for extensions beyond 12 years must be approved by the University dean of graduate studies.

**Program of Study**

At least 90 credit hours of study beyond the bachelor’s degree or 60 hours beyond an acceptable master’s degree are required. The associate dean of graduate studies may approve, for students who do not present the master’s degree, up to 30 credit hours of acceptable graduate work taken at this or another university toward the requirements for the doctoral degree (see section on Transfer Credit).

A tentative program of study leading to the degree of Doctor of Philosophy must be prepared by the student in consultation with his or her advisor. This should be done within two years after initial registration for doctoral studies. This program must include the following:

- A list of those courses for which the student must receive graduate credit. Other courses deemed desirable but not essential need not be listed.
- The specific foreign language(s), if any, in which the student must show competence (see below).
- The dissertation title if known, or area of study in which the dissertation is expected to be written.
- Name of the research director.
  The program of study must be approved by the department chair/program director or a designated representative and then transmitted to the associate dean of graduate studies for approval. Changes in a student’s program are made by the same procedure.
  The program of study will constitute the formal requirements that must be met by the student before completion of work for the degree.
  Credit hours used for two graduate degrees cannot be used for another graduate degree at the University.

Foreign Language Requirements
Subject to the approval of the appropriate Committee on Graduate Studies, each department/program may designate its foreign language requirements for the PhD degree and specify the method of testing. Specific language requirements may be set for individual students by the department/program, subject to review by the associate dean of graduate studies. Each student should consult with his or her advisor concerning language requirements.
  The basic language requirement, if any, must be met before the candidate may be permitted to take the qualifying examination.

Qualifying Examination
All PhD programs must administer a qualifying examination as part of the PhD program requirements. The qualifying examination may be either written or oral or both, at the discretion of the department/program, and must be passed at least six months before the final examination may be taken. The Committee to conduct a qualifying examination will be appointed by the appropriate associate dean and will consist of at least three full-time faculty of professorial rank (four for the School of Medicine and Dentistry). Subject to the approval of the appropriate Committee on Graduate Studies, each department/program may designate whether or not it will include a member from another department/program on the committee. A vote to pass the candidate must be approved by a majority of the designated members of the committee. The votes of all committee members will be recorded. The office of the associate dean must be notified at least two weeks before a qualifying examination is to be held, and passage or failure must be reported within one month after the examination. After a failure, a second qualifying examination may be taken if in accordance with program policy. A third examination may be taken only upon the recommendation of the appropriate Committee on Graduate Studies and with the approval of the associate dean or equivalent. In the School of Nursing and the School of Medicine and Dentistry, a third examination will not be given.

Admission to Candidacy
When the associate dean of a school certifies that a student has passed the qualifying examinations and is recommended for candidacy, it is assumed that the student is a candidate for the PhD degree. Upon request, the University dean of graduate studies may issue a certificate attesting to this fact.

PhD Dissertation
Dissertation Advisory Committee
Ordinarily no later than when a student has been admitted to candidacy, the department chair or program director approves an advisory committee for the dissertation. The committee should meet the requirements for the final oral examination committee described below. The composition of the dissertation advisory committee should be reported to the associate dean.
  It is the responsibility of the dissertation advisory committee to advise the student concerning the proposed research and thesis, consult with him or her at appropriate stages in the research, and ordinarily to serve on the final oral examination committee.
  Upon recommendation of the faculty of the student’s department/program and the associate dean of the school involved, the University dean of graduate studies may approve a person other than a full-time University of Rochester faculty member (e.g., a senior research associate or an adjunct or part-time faculty member) to serve as the student’s faculty advisor or research director. Approval must be obtained in writing.
  In some circumstances, it may be appropriate to appoint to the advisory committee a person other than a member of the faculty of the University. With the approval of the associate dean and the University dean of graduate studies, this person may serve in place of or in addition to the outside department faculty member. Approval must be obtained in writing.

Preparation of Dissertation
A dissertation is required of each candidate for the degree Doctor of Philosophy. The dissertation research must be conducted and the dissertation written under the supervision of the main advisor or research director, regardless of the student’s residency status.
  The dissertation must be an original critical or synthetic treatment of a suitable subject, an original contribution to creative art, or a report on independent research formulated in a manner worthy of publication.
  The dissertation must be written in English except where the subject matter demands otherwise and when requested by the department chair/program director and approved by the associate dean of graduate studies. The Preparation of Doctoral Theses: A Manual for Graduate Students must be followed to prepare the dissertation. Copies are available from the Office of the University Dean of Graduate Studies, associate deans’ offices, departmental offices, or the University’s website: www.rochester.edu/theses.
  The dissertation must be approved by the research supervisor before the candidate may take the final oral examination.

Disclosure of Collaboration, Financial Support, and Prior Publication
All dissertations must include a section entitled “Contributors and Funding Sources.” Placement of this section in the dissertation is described in the Thesis Manual.
In this section, all collaborations with others in carrying out the dissertation research must be clearly described, and the student's independent contributions must be made clear. Similarly, the sources of financial support for the research must be listed.

Students who completed all work independently and/or without outside funding support should indicate this in the required section.

If content or results from the dissertation have been published in full or in part, the biographical sketch section of the dissertation must include bibliographic information about those publications. The dissertation will not be approved if it is subject to governmental or other restrictions that limit freedom of publication.

Final Oral Examination for the PhD Degree

Final Oral Examination Committee

The committee for the final examination for the PhD degree is appointed by the University dean of graduate studies on the advice of the appropriate associate dean of graduate studies. The committee shall consist of:

- At least two current full-time tenure-track members with the rank of assistant professor or higher who hold their primary appointments in the department offering the degree program, or are among the core faculty defined for an interdisciplinary PhD program, in the role of “inside members.” The dissertation advisor or supervisor may or may not hold a primary appointment in the department offering the candidate’s degree program but is considered to be inside that department or program for the purpose of committee membership. The advisor must be present for the examination.

- At least one current full-time faculty member at assistant professor rank or higher from outside the department offering the degree program or not a core member of the interdisciplinary degree program faculty, in the role of “outside reader.” The holder of a secondary appointment in the department offering the candidate’s degree program may serve as the outside member, provided that his or her primary appointment is in another department. A committee made up of faculty members whose primary appointments are all in the same department will not be permitted.

Exceptions to the above must be approved in writing, as described in the Dissertation Advisory Committee section above.

The University dean of graduate studies may appoint no more than one guest member, with vote, to any PhD final examination when requested by the program director or chair of the department concerned. The guest member may either replace or be in addition to the usual outside reader.

Such guest members shall be recognized experts in the field of the dissertation, but not necessarily members of a university faculty. A guest member who is not a current or former faculty member of the University must be approved by the University dean of graduate studies prior to the dissertation being registered. A request to the University dean of graduate studies must include a curriculum vitae and must have been approved by the associate dean of graduate studies in the relevant school.

In addition to the members of the examining committee, other persons may attend the closed portion of PhD final examinations with the approval of the University dean of graduate studies. These visitors shall not participate in the questioning and must leave before the committee votes.

Registering the PhD Dissertation for the Final Oral Examination

A candidate may proceed with registration of the dissertation only after receiving written permission of the advisor of the dissertation. The dissertation will not be accepted for registration if the candidate is not registered for the current semester/quarter.

The dissertation must be submitted to the office of the associate dean of graduate studies in the appropriate school to be processed and then delivered to the Office of the University Dean of Graduate Studies for registration.

The final oral examination cannot be held until at least 15 full working days have elapsed after the dissertation has been registered in the Office of the University Dean of Graduate Studies. The University dean of graduate studies’ deadline of 15 full working days may be increased to 20 full working days during the summer.

The dissertation is not considered registered until it arrives in the Office of the University Dean of Graduate Studies. Therefore, the department and/or school deadline may be in advance of the University dean of graduate studies’ deadline. It is the student’s responsibility to plan accordingly. The student should check with the office of the associate dean of graduate studies for established deadlines.

It is the responsibility of the candidate to submit the completed dissertation in final form to the office of the associate dean of graduate studies in the appropriate school by the school’s deadline. The dissertation must be bound in some manner and submitted together with the required paperwork, including the appointment form which states the departmental recommendation for members of the examining committee, and the date, time, and place of the examination. All typographical, spelling, and grammar errors must be corrected before the dissertation is submitted for registration. A “final draft” with numerous errors to be corrected after the defense is not acceptable.

The candidate must distribute copies of the dissertation to members of the final examination committee before or at the same time the dissertation is registered, or the examination will be canceled. Once the dissertation has been registered and copies distributed to committee members, no further changes can be made until after the final oral examination or the examination will be canceled.

Final oral examinations for the PhD degree may be scheduled by the normal procedure during the summer according to the PhD calendar. No final examinations can be held during the blackout periods listed in the PhD calendar established by the Office of the University Dean of Graduate Studies.

Final Oral Examination (PhD Dissertation Defense)

The final oral examination will be taken after completion of all other requirements for the degree but not earlier than six months after the qualifying examination. The final oral examination committee is presided over by the University dean of graduate studies or an appointed representative, who serves as chair.
The final oral examination for the Doctor of Philosophy degree must be taken at this University. The student, the advisor, and the appointed chair must be physically present. Participation of others via videoconference is permitted only if approved in advance by the advisor, the associate dean of graduate studies, the appointed examination chair, and the University dean of graduate studies.

The final oral examination will include the subject covered by the dissertation and the field in which the dissertation is written, with particular attention to recent and significant developments in that field. The purpose is to ascertain whether or not the candidate has proposed a significant thesis in the dissertation and whether or not he or she has defended the dissertation adequately by offering appropriate and effective arguments and by marshaling relevant and convincing evidence.

The presentation and defense of a significant dissertation is the capstone of the work for the PhD degree. All other work toward the degree is preliminary to this presentation. The final oral examination results not only in a judgment on a single work of scholarship but also implicitly on the quality of the whole graduate education of the candidate. Because the final oral examination has this wider meaning, it is important that the committee satisfy itself that a significant thesis has been successfully defended.

A vote of approval of the final oral examining committee must be unanimous, but in the case of a single dissenting vote the case will be presented for decision to the University Council on Graduate Studies. A candidate who fails the final examination shall be allowed one repeat examination, unless the examining committee recommends against it by a majority vote. Regulations for committee structure, timing of registration before defense, and so forth for a repeat examination are the same as those applied to the initial examination.

**Submission of Final Dissertation**

Following successful completion of the final oral examination, the candidate completes final revisions, secures approval of those revisions if so specified at the defense, uploads the final copy to the UMI/ProQuest website, and notifies the Office of the Dean of Graduate Studies that this process is complete. The candidate also should provide paper copies for use of the school or department if required.

Each PhD student is also required to submit a completed authorization form for inclusion of the dissertation in UR Research (the University’s digital research repository). Further instructions along with the authorization form will be given to the student at the final oral examination.

**University Policies Concerning the MA and MS Degree**

**Administration of Master of Arts and Master of Science Degrees**

The master’s degree is awarded in arts, science, music, engineering, nursing, business, and education. Certain policies for MA and MS degree programs are common across programs and are detailed in this Bulletin. All administration of work for master’s degrees and recommendation of candidates for these degrees is vested in the associate dean of graduate studies and the Committee on Graduate Studies in each school.

**Program of Study**

Each full-time master’s student must submit a proposed program of study to the associate dean of graduate studies before the end of the second term. Each part-time master’s student must submit a proposed program of study upon the completion of 9 or 12 hours of graduate credit or as determined by the school.

The program of study, to be formulated with the assistance of the faculty advisor and approved by the associate dean, is expected to form a consistent plan of work pursued with a definite aim. Courses in another department closely related to, but outside the student’s major field of interest should not ordinarily exceed 12 hours of credit, and the candidate must have had thorough undergraduate preparation for such work. The program must include at least 20 hours taken at the University of Rochester as a matriculated student in a graduate degree program. Other than in approved combined undergraduate-graduate degree programs, no course completed before the candidate has received the bachelor’s degree may be included in the graduate program.

Two plans of study are available to students working for most MA and MS degrees; the principal difference between them is that under one plan (Plan A) a dissertation is required, while under the other (Plan B) a dissertation is not required, but in most departments a comprehensive examination must be passed.

Students may not switch from Plan A to Plan B (or vice versa) without written approval from the associate dean of graduate studies.

A minimum of 30 semester hours of correlated work of graduate character is required, at least 12 of which must be at the 400 level or higher, together with such other study as may be necessary to complete the student’s preparation in the chosen field and bring it to the required qualitative level. Minimum requirements are determined by the department/program concerned, with the approval of the associate dean of graduate studies.

**Transfer Credit**

Work taken prior to matriculation in a graduate degree program is classified as possible transfer work. Transfer credit may be accepted toward degree requirements if the subjects taken form an integral part of the student’s proposed program of study and if taken within five years of the date of matriculation with a grade of B or higher as interpreted in this University. Requests for transfer credit must have the approval of the faculty advisor and the associate dean of graduate studies.

The number and type of credit hours acceptable as transfer credit for work previously taken at the University of Rochester or another university is determined at the school level. Credit hours used for two graduate degrees cannot be used for another graduate degree at the University.
Permission to take work in another institution for transfer credit after matriculation in a graduate program must be approved in advance by the associate dean of graduate studies.

Part-Time Study

Students admitted to master’s degree programs on a part-time basis must follow continuous programs of study. The associate dean of graduate studies may disapprove a part-time program if the nature of the proposed study makes such a program inadvisable.

Time Limit for MS or MA Degree

A candidate must complete all the requirements for the master’s degree within five years (seven years at the Simon School) from the time of initial registration for graduate study, and must maintain continuous enrollment for each term after matriculation. Except in the School of Nursing, the five-year maximum period will be reduced at the rate of one term for each unit of three hours taken prior to matriculation at this University and applied toward the requirements for the master’s degree. All registration categories including “Leave of Absence” count towards the time limit.

Students who for good reason have been unable to complete a program within five years may, upon recommendation by the faculty advisor and department chair, petition the associate dean of graduate studies for an extension of time. Such extension, if granted, will be of limited duration.

Requirements for the MA or MS Degree under Plan A

Plan A requires the writing of a dissertation and the passing of an oral examination on the dissertation.

Program of Study for Plan A

A dissertation is required in each program for the Master of Arts or Master of Science degree under Plan A. The dissertation and the research upon which it is based represent a minimum of 6 and ordinarily a maximum of 12 credit hours in reading or research. In certain cases, and with the prior approval of the associate dean of graduate studies, the credit for dissertation research may exceed 12 hours.

Preparation of MS or MA Dissertation

The dissertation must show independent work based in part upon original material. It must present evidence that the candidate possesses ability to plan study over a prolonged period and to present in an orderly fashion the results of this study. The dissertation should display the student’s thorough acquaintance with the literature of a limited field.

“Preparing Your Thesis: A Manual for Graduate Students” is also used to prepare master’s dissertations. Copies of the booklet are available from the office of the associate dean of graduate studies or on the University’s website: www.rochester.edu/theses.

Registration of MS or MA Dissertation

The dissertation must be registered with the office of the associate dean of graduate studies and copies given to the members of the examining committee at least one week prior to the oral examination (two weeks in the School of Medicine and Dentistry). The final examination must be held prior to the date set by the associate dean of graduate studies.

Submission of Copies

The school or program may require printed and/or electronic copies of the final thesis as a condition of completion of the degree program.

Final Oral Examination for MS or MA under Plan A

Each candidate must pass a final oral examination before a committee of at least three members of the faculty appointed by the associate dean of graduate studies (four for the School of Medicine and Dentistry). One member will be from a department other than that in which the student has done the major portion of the work. No candidate may appear for the final examination until permission is received from the faculty advisor to proceed. The examination will not be given until at least a week has elapsed after registration of the dissertation. The final examination may be preceded by other examinations, oral or written, as designated by the department/program or school concerned.

Re-Examination

A student who fails the final oral examination may request re-examination not less than four months later. No student will be allowed to take the examination a third time without a recommendation from the department/program in which the major work was done and the approval of the Committee on Graduate Studies of the school.

Requirements for the MA or MS Degree under Plan B

Program of Study for Plan B

The degrees Master of Arts and Master of Science under Plan B are awarded for successful completion of at least 30 hours of graduate credit, or more if required in the student’s program of study. At least 18 hours of the coursework must be in the student’s principal department, except for interdisciplinary programs which have been approved by the relevant school’s Committee on Graduate Studies, and at least 12 of the 18 hours in the approved program must be in courses numbered 400 or over. Individual schools may set higher requirements.

If the department requires a course of directed individual study leading to the writing of a master’s essay, this course is in addition to the minimum requirement of courses numbered 400 or over. It may carry up to four hours of credit.

Ordinarily, research credit is not part of a Plan B master’s program; but, with the approval of the associate dean of graduate studies, up to six hours of research credit may be granted. Total credit for research, reading, and the master’s essay may not exceed six hours. Credit hours used for two graduate degrees cannot be used for another graduate degree at this University.
Directed Study for the Master’s Essay
The master’s essay, required by some departments/programs, must present evidence of the student’s ability to present a well-organized report on a topic of significance in the field. The writing of this essay is under the supervision of one member of the student’s principal department/program, and must be approved by one additional member designated by the chair of the department or by the program director for interdisciplinary programs.

Comprehensive Examination
Most Plan B programs of study require a comprehensive examination in the field of specialization. It may be written, oral, or both, and is conducted by at least two faculty members.

Students failing the general examination may be allowed to take another examination during the following semester but not later than one year after the original examination. More than one repetition of the examination is not permitted.

Standards of Conduct for Graduate Students

The University as a Community
The University of Rochester is dedicated to providing educational opportunities for its students and to transmitting and advancing knowledge. The tradition of the University as a sanctuary of academic freedom and a center of informed discussion is an honored one. It is committed to the protection of intellectual freedoms and rights: of professors to teach; of scholars to study; of students to learn; and of all to express their views.

The University of Rochester is pluralistic and values diversity. Members of the community must respect the rights of the individuals and diverse groups that constitute the University. It is essential that the University remain supportive of democratic and lawful procedure, dedicated to a rational approach to resolving disagreement, and free from discrimination, violence, threats, and intimidation.

Students are expected to abide by the rules of the University and to conduct themselves in accordance with accepted standards of good citizenship, honesty, and propriety, and with proper regard for the rights of others. Students must also obey federal, state, and local laws as would any good citizen. Furthermore, their responsibilities as students, scholars, researchers, and in many cases teachers and emerging professionals, often make special demands for the highest ethical standards.

The maintenance of harmonious community standards requires that behavior that interferes with or threatens the welfare of others or the University community be prevented. Ignorance of these standards will not be considered a valid excuse or defense. Student participation in any unlawful or other potentially serious violations of University policy may lead to suspension or expulsion from the University.

Basic Rights and Expectations of Students
Accused of Misconduct
Students who choose to attend the University of Rochester should understand that they have certain fundamental rights and that they have committed themselves to adhering to academic and social standards essential to the well-being of the community. Any student charged with misconduct will be treated in accordance with the basic standards of fundamental fairness, which include timely notification of charges, fair and impartial hearings, and the right of appeal. Students are expected to respond in a timely fashion to any and all written or verbal communication, including but not limited to voice mail, electronic mail, letters, and other forms of correspondence. Failure to check for these forms of communication does not relieve students of their responsibility to reply.

A significant goal of campus judiciary proceedings is to promote the welfare of the student, making the student aware of community standards, and discouraging the student from engaging in behavior that negatively impacts the University community. Another significant goal is to protect the University community’s collective interests and deter potential offenders.

There are important technical differences between campus and criminal judicial proceedings. The University of Rochester, in contrast to the state, does not have fully empowered police or investigative units, does not have legal counsel in preparing or presenting cases, and has limited capabilities in comparison with the state to subpoena witnesses or punish them for perjury. It would not be in either the University’s or the student’s best interest to attempt to incorporate these features in the campus judicial system. Indeed, a formal and adversarial procedure might have the effect of suppressing information that, in the interest of a student’s long-term development, is best to bring out.

University Procedures and the Public Law
The University is not a sanctuary from public law and does not promote or condone unlawful behavior. The University cooperates with law enforcement authorities in a manner consistent with its legal duties and the interests of the University community.

Students under prosecution for violation of public law may also be subject to University judicial proceedings, which are independent of those under public law. The University may take prompt action under its own procedures regardless of whether the public officials have disposed of the case or what disposition they make.

Students may be subject to the University conduct system for allegations of unlawful conduct that occur on University property or that occur off campus if such off-campus conduct is associated with a University activity or raises considerable concerns that the individual or group poses a threat to the safety or welfare of the University community.

Any student accused of misconduct will be treated in accordance with standards of fundamental fairness as explained on pages 43–44.

Jurisdiction and Responsibility for Academic and Nonacademic Misconduct
A complaint against a graduate student should be forwarded to the appropriate associate dean of graduate studies within that student’s school, who determines whether the complaint should be treated as an academic or a nonacademic matter. Academic matters will be referred to the appropriate associate dean, as
explained on pages 36–38. Nonacademic matters will be referred to the judicial officer, who will consult with the associate dean before going forward with any complaint against a graduate student that he or she receives from any source other than the associate dean.

There is not always a clear distinction between academic and nonacademic misconduct. The fundamental criterion for deciding whether a matter is academic or nonacademic is whether the student was acting in a scholarly or professional capacity. When the incident involves a student acting in his or her role as a student, teaching assistant, or expert in his or her discipline, then the matter is an academic matter. When the incident involves a student acting as an individual independent of these roles, then the matter is nonacademic. The available hearing procedures are not intended to be mutually exclusive; it is possible that a student could be subject to both academic and nonacademic discipline for the same misconduct.

Jurisdiction over cases of academic misconduct involving graduate students has been delegated to individual department hearing panels who, in consultation with the associate dean of graduate studies, make findings and submit recommendations to the University dean of graduate studies. Details of this process are provided below.

In cases of nonacademic misconduct, authority to hold students accountable through the conduct system (which the University considers to be any person or group who is or was in attendance during an academic period in which misconduct occurred or between academic periods for continuing students) is vested in the president of the University by the University's bylaws. This authority has been delegated through the dean of the college and dean of students to the judicial officer in the Office of the Dean of Students of the College (“the judicial officer”) for all nonacademic misconduct involving graduate students with a further delegation to conduct teams/officers.

These conduct teams/officers determine whether an alleged violation of the standards of the University community occurred by the preponderance of the evidence. If the team/officer finds that a violation did occur, it further determines the response which is most likely to benefit both the individual student and the larger University community. As the University official responsible for student conduct, the judicial officer receives the recommendation of these conduct teams/officers on behalf of the University, accepts or modifies the recommendation, and formally implements University action.

Discretionary responsibility for handling extreme cases, where such action is essential for maintaining the orderly processes of the University, is retained by the president or a delegate. The University also retains the right to interim suspend, ban, or otherwise constrain students if they pose a perceived threat to themselves or to the University community, including threats to their own physical or emotional safety and well being, the preservation of University property, or safety and order on University premises. Interim suspension, removal from housing, or other temporary restrictions may be imposed before, during, or after a hearing and any appeal process.

Other officers and agents of the University may promulgate rules and regulations applicable to students in particular situations independent of these procedures and guidelines. These officers and agents shall report serious violations of such rules and regulations to the judicial officer.

Definition of Academic Misconduct
The fundamental criterion for deciding whether a matter is academic or nonacademic is whether the student was acting in a scholarly or professional capacity. When misconduct involves a student acting in his or her role as a student, including activities as a research or teaching assistant, or expert in his or her discipline, then the matter is an academic matter.

Academic Honesty Policy
The University of Rochester considers academic honesty to be a central responsibility of all students. Suspected infractions of University policies will be treated with the utmost seriousness. Suspected graduate academic misconduct will be reported to the department chair and associate dean of graduate studies.

Plagiarism is a pervasive form of academic dishonesty. This is the use, whether deliberate or unintentional, of an idea or phrase from another source without proper acknowledgment of that source. The risk of plagiarism can be avoided in written work by clearly indicating, either in footnotes or in the paper itself, the source of any other major or unique idea which the student could not or did not arrive at on his or her own. Sources must be given regardless of whether the material is quoted directly or paraphrased. Another form of plagiarism is copying or obtaining information from another student. Submission of written work, such as laboratory reports, computer programs, or papers, which has been copied from the work of other students, with or without their knowledge and consent, is also plagiarism.

In brief, any act that represents someone else’s work as one’s own is an academically dishonest act.

A second example of academic dishonesty relates to misuse of library materials. Any act that maliciously hinders the use of or access to library materials is academically dishonest and falls under the terms of this policy. The removal of pages from books or journals disadvantages others in the academic community. Similarly, the removal of books from the libraries without formally checking out the items, the intentional hiding of materials, or the refusal to return reserve readings to the library is dishonest and harmful to the community.

There are several other forms of academic dishonesty including, for example, obtaining an examination prior to its administration or using unauthorized aids during an examination. It is also academically dishonest to assist someone else in an act of academic dishonesty. Fraud, misrepresentation, forgery, falsifying documents, records, or identification cards, and fabricating or altering research data are other forms of academic misconduct.

A student remains responsible for the academic honesty of work submitted to the University as part of the requirements for the completion of a degree (or any other coursework taken at the University) even after the work is accepted, the degree is granted, or the student is no longer matriculated at the University of Rochester.

Ignorance of these standards is not considered a valid excuse or defense.
Academic Misconduct

Associate dean receives report of potential academic misconduct; reviews material and/or meets with those involved.

- Case dismissed
- Informal or administrative resolution

If alleged academic misconduct involves sponsored research, threatens the integrity of the scientific method, or compromises the creation of new knowledge, the matter will be referred to and will follow the procedures outlined in the Policy on Misconduct, Scholarship, and Research in the Faculty Handbook.

Associate dean determines matter should be treated as academic misconduct

- Refers charges to student's department

Department Hearing Panel conducts hearing, makes findings, presents recommendation to the dean or director who submits them along with his or her recommendation to the University dean of graduate studies

- University dean of graduate studies issues decision and, if appropriate, a sanction

Student/Victim appeals decision to the provost

- Decision modified
- Decision upheld

Decision accepted
Judicial Process for Academic Misconduct

As indicated in the diagram on page 37, charges of academic misconduct are referred to the student’s department by the associate dean. In a school without departments, these matters will be handled by the school. Each department, disciplinary program, or school will have a written policy on file with the associate dean to deal with these matters and a designated group called the Department Hearing Panel (Committee on Academic Integrity at Eastman) to hear the charge. The department may utilize one of several mechanisms for hearing charges of academic misconduct. These may include a panel that consists of: (1) the usual faculty group that deals with graduate student business, (2) the entire faculty of the department, or (3) a committee appointed by the department chair specifically for the purpose of hearing the academic misconduct charge. A department’s written policy may also call for graduate student representation on the panel.

The Department Hearing Panel, in consultation with the associate dean and in accordance with the standards set forth in the section Fundamental Fairness above (to the extent appropriate to the circumstances— with the associate dean functioning as the “judicial officer” and the Department Hearing Panel as the “hearing team”) conducts a hearing, makes findings, and presents a recommendation to the appropriate dean or director. The dean or director then reviews the findings and recommendation, and submits them along with his or her recommendation to the University dean of graduate studies, who issues the final decision and sanction. An appeal may be made to the provost within seven days of the decision and will follow, to the extent feasible, the procedures set forth in the section Appeals below.

If either the department chair or the associate dean believes that the alleged misconduct in any way involves sponsored research (including federal training grants), threatens the integrity of the scientific method, or compromises the creation of new knowledge (including original art, scholarship, and research), the matter will be referred to and will follow the procedures outlined in the Policy on Misconduct in Scholarship and Research in the Faculty Handbook.

Definition of Nonacademic Misconduct

Students should conduct themselves in a way that reflects respect for the standards of our community; this includes obeying federal, state, and local laws as well as the guidelines listed below. Not knowing and understanding these standards is not a defense or valid excuse.

While this list is not intended to be exhaustive, some examples of how students might violate University standards and regulations follow:

1. Fraud, misrepresentation, forgery, falsifying documents, records or identification cards, fabricating research data, and plagiarism given to or received by a University official acting within the scope of his or her duties. This includes providing incomplete information regarding an investigation into alleged policy infractions.

2. Unlawful or improper use, manufacture, sale, distribution, or possession of alcohol as defined by University Alcohol and Other Drugs Policy.

3. Unlawful use, manufacture, sale, distribution, or possession of drugs, narcotics, controlled substances, and/or the paraphernalia* associated with such as defined by University Alcohol and Other Drugs Policy.

4. Possession, distribution, or use of items presenting an imminent or potential threat to the safety and well-being of others, including but not limited to the following:
   - weapons of any type (firearms, bb or pellet guns, knives, bows and arrows, stun guns, paint ball guns, and the like),† combustible materials such as gasoline or propane tanks
   - candles, incense, or other open flame or burning substances
   - operation of or tampering with fire safety apparatus for any purpose other than their intended and proper use

5. Disorderly conduct including
   - fighting, threats, assault, attempted assault, harassment, or other actual or attempted conduct which threatens the health or safety of yourself or another, or
   - noise violations or other actions which could reasonably be expected to compromise the unhindered pursuit of the University’s educational mission.

6. Obstruction, disruption, or noncooperation with a disciplinary hearing process, including perjury, and the failure to comply with an imposed response.

7. Failure to comply with any reasonable request of a University official acting within the scope of his or her duties.

8. Actual or attempted
   - theft to the property of the University or others, and/or
   - damage to the property of the University or others.

9. Unauthorized use or misuse of or entry into property or facilities
   - obstruction of or dangerous interference with the free flow of traffic on campus
   - leading or inciting the disruption of day-to-day activities of others on campus
   - misuse of University computers and computer systems and copyright infringement violations (see Computer Use Policies).

* Hookahs are frequently associated with drug use and are not permitted on campus without approval from the Center for Student Conflict Management. Students wishing to obtain approval must bring the hookah to 510 Wilson Commons during regular business hours. If approved, the student will be given a certificate, which must accompany the hookah at all times. Any unregistered hookahs are subject to confiscation by University Security and/or the University Fire Marshal’s Office. Students possessing unregistered hookahs will be documented.
† If a weapon is discovered, Security staff will confiscate it and turn the item over to the appropriate law enforcement agency. In cases where the term “weapon” is subject to interpretation, students are expected to comply fully with University Security staff directives. Possession of weapons may result in arrest and suspension and/or expulsion from the University.
10. Hazing, which may include actions taken or situations created which have the potential to produce mental or physical harm, discomfort, embarrassment, harassment, or ridicule to a reasonable person.

11. Sexual harassment, racial harassment, or any other form of illegal discrimination. This includes any form of unwanted sexual contact, including sexual assault. "Unwanted" means against a person’s wishes or without consent, including those instances in which the individual is unable to give consent because of unconsciousness, sleep, impairment, or intoxication due to alcohol or other drugs. (See University Policy on Harassment and Discrimination and additional information regarding Sexual Assault below.)

12. Failure to consider community expectations and to demonstrate proper regard for the academic and personal rights of others. This includes complicity. The absence of active participation in misconduct is often an insufficient response to violations of the code of conduct. Students are expected to take an active role in disengaging themselves from all acts of misconduct and are expected to report serious acts of misconduct to appropriate authorities. Failure to do so can be considered acts of complicity and may result in that student's facing the same charges as active participants.

13. Any violation of the University’s policies, rules, or regulations.

Additional Information on Certain Forms of Nonacademic Misconduct

Equal Opportunity Statement

This policy affirms the University of Rochester’s commitment to nondiscrimination, equal opportunity, and affirmative action in admissions, employment, and access to and treatment in University programs and activities, in accordance with federal, state, and local laws and regulations. (Titles VI and VII of the Civil Rights Act of 1964, as amended; Executive Order 11246, as amended by Executive Order 11375; Revised Order No. 4; the Equal Pay Act of 1963, as amended; the Rehabilitation Act of 1973, as amended; the Vietnam Era Veterans Readjustment Assistance Act of 1974; Titles VII and VIII of the Public Health Service Act; Title IX of the Education Amendments of 1972; the Americans With Disabilities Act (ADA) of 1990, and all applicable laws and ordinances of the State of New York, the City of Rochester, or other applicable regional governance.)

The success of the University of Rochester depends on an environment that fosters vigorous thought and intellectual creativity. It requires an atmosphere in which diverse ideas can be expressed and discussed. The University of Rochester seeks to provide a setting that respects the contributions of all the individuals composing its community, that encourages intellectual and personal development, and that promotes the free exchange of ideas.

To help establish and perpetuate an inclusive and open environment, all members of the University community are expected to support the University’s Equal Opportunity Statement:

The University of Rochester values diversity and is committed to equal opportunity for persons regardless of age, color, disability, ethnicity, gender identity or expression, genetic information, marital status, military/veteran status, national origin, race, religion/creed, sex, sexual orientation, or any other status protected by law. Further, the University complies with all applicable non-discrimination laws in the administration of its policies, admissions, employment, and access to and treatment in University programs and activities.

Questions on compliance with the Equal Opportunity Statement should be directed to the particular school or department and/or to the University’s Equal Opportunity Coordinator, Kathleen Sweetland, University of Rochester, P.O. Box 270039, Rochester, NY 14627-0039. Phone: (585) 275-9125—See HR Policy 100 The Equal Opportunity Coordinator also serves as the coordinator for grievances concerning claims of discrimination arising under Section 504 of the Rehabilitation Act of 1973, and Titles VI and IX of the Civil Rights Act of 1964.

Policy Against Discrimination and Harassment

Any behavior, including verbal or physical conduct, that constitutes unlawful discrimination against or harassment of any student, faculty, or staff member of the University community, based on protected class (e.g., race, gender, religion), is prohibited.

Retaliation is prohibited in any form against a person because he or she complained about conduct reasonably believed to be discrimination or harassment.

The University’s full policy on Discrimination and Harassment can be found in the Human Resources Policies and Procedures, # 106, available on the web at www.rochester.edu/working/hr/policies/ or in hard copy from the Office of Human Resources. The policy, which applies to all faculty, staff, and students, also describes the procedures available to address complaints of harassment and discrimination.

The Center for Student Conflict Management, (585) 275-4085, is responsible for handling campus conduct procedures dealing with the adjudication of incidents involving sexual assault and sexual harassment by students. (See www.rochester.edu/intercessor/assault/ for more information.)

What Is Sexual Assault?

Sexual assault refers to sexual contact without consent. Forms of sexual assault include rape, sexual abuse, attempted rape, and unwanted sexual touch. Sexual assault may, but need not, refer to sexual penetration, which includes vaginal intercourse, oral sex, or anal penetration. Sexual assault also includes conduct that involves any unwanted touching or fondling of the genitals or breasts of the victim. Date or acquaintance rape is sexual assault.

The University works to ensure that consistent supportive care of rape and sexual assault survivors is provided. Depending on the needs and the wishes of the survivor of the incident, a variety of on-campus supportive services can be put into place. If a survivor would prefer to work with off-campus agencies, assistance will be provided to make those contacts.

In all cases the safety and well-being of the survivor will determine what action will be taken. Survivors who have been physically injured can be referred to Strong Memorial Hospital.
Emergency Department or to the University Health Service depending on the severity of the injury. A University Security escort can be provided for those who need such assistance.

Whenever a survivor wishes to report an incident to University Security, an investigator will be notified. If an individual has not yet made a decision to file a report with University Security, but has concern about potential danger to themselves or to others, that person can be assisted in completing an anonymous proxy report that will allow University Security to be aware of some of the details of an incident without revealing the identity of the survivor. This practice allows University Security to protect the survivor and the rest of the campus community while allowing the survivor to determine whether and when she or he wishes to file a formal complaint.

If You Have Been Sexually Assaulted

The following resources can help you attend to your safety and medical and emotional needs.
- Rape Crisis Service at (585) 546-2777
- University Security at (585) 275-3333
- Rochester Police Department or the Monroe County Sheriff’s Office at 911
- University Counseling Center at (585) 275-3113
- Go to the Emergency Room of any local hospital (University Security can provide a ride)

Please consider reporting the incident by contacting
- Rochester Police Department or the Monroe County Sheriff’s Office at 911
- The Center for Student Conflict Management at (585) 275-4085
- Rape Crisis Service at (585) 546-2777
- University Intercessor at (585) 275-9125
- University Security at (585) 275-3333
- University Security will create a report and notify the Center for Student Conflict Management

If the incident is reported to University Security, the Center for Student Conflict Management will
- contact you to schedule an appointment. During this appointment they will discuss
  - if a possible violation of the Standards of Student Conduct has occurred
  - whether additional safety measures may be taken, such as issuing a temporary Active Avoidance Order, locating alternative housing arrangements, or removing the alleged perpetrator from campus pending the outcome of the conduct process.
  - whether or not an administrative hearing is required.
- ask you to schedule a time to speak with the University Intercessor to talk about your options and to insure that you are connected with the appropriate campus and community resources.
- contact the alleged perpetrator to inform the student of the report and to determine whether a responsible option is appropriate.

Incident Involving a Non-Student

The University will help and support you if the perpetrator is a non-student. Please follow the first and second steps of this document in regards to taking care of your needs and reporting the incident.

If you have questions about reporting sexual assault or the conduct process, please contact: Center for Student Conflict Management at (585) 275-4085 or the University Intercessor at (585) 275-9125.

Misuse of Information Technology Resources

Information technology resources at the University of Rochester are designed to support the missions of the University, notably the creation and dissemination of new knowledge, by protecting the University’s resources, reputation, legal position, and ability to conduct its operations.

The right to use computing and telecommunication resources can be revoked if misused or abused. Activities and products must be consistent with the University’s academic ethics, including guidelines on computer security, prohibition of racial and sexual harassment, academic misconduct, nondiscrimination, confidentiality of records, appropriate use of computing facilities, as well as federal and state computer crimes statutes. Violations include, but are not limited to, commercial activities not approved by the University; use of information technology resources to harass or to create, store, or transmit libelous or obscene materials; copyright and licensing infractions; and infringement on rights of personal privacy.

All students should review and adhere to the following University policies:
- University’s Information Technology Policy
- University’s Acceptable Use Policy
- University’s Email Use Policy.

These policies can be found on the University IT website at www.rochester.edu/it/policy/.

File Sharing

Sharing copyrighted works without the copyright owner’s permission is illegal and a violation of University IT policy. Copyrighted works may include songs, films, television shows, video games and other software, and other original creative works. If the University receives a complaint against you from the Recording Industry Association of America (RIAA), the Motion Picture Association of America (MPAA), or other copyright holding associations, you will be notified by email. For each complaint filed against you, you will face escalating consequences:

- First complaint: You will receive a warning from University IT and an informal letter of warning from the Dean of Students Office.
Nonacademic Misconduct

1. Judicial officer receives a report of alleged misconduct
2. Judicial officer consults with appropriate college/school associate dean to confirm that matter should be treated as nonacademic
3. Judicial officer meets with persons involved
4. Case dismissed
5. Judicial officer charges student with policy violation(s)
   - Student accepts responsibility for policy violation(s)
   - Student requests conduct hearing
   - Judicial officer works with student to determine appropriate response
   - Hearing
   - Conduct officers/teams submit recommendation to judicial officer
   - Decision of judicial officer communicated to student and victim, if any
     - Student/Victim appeals decision to appropriate dean/director
       - Decision accepted
       - Decision modified
     - Decision upheld
• Second complaint: You will have your RESNET and wireless network access suspended, there will be official disciplinary action from the Office of the Dean of Students including a $150 fine. University action may also include, but may not be limited to:
  • Termination of user privileges
  • Disciplinary probation
  • Community restitution
  • Suspension or expulsion from the University of Rochester

To learn more about the implications of illegal file sharing and to learn about options for legal downloading, please visit the University IT website for Copyright and File Sharing at www.rochester.edu/it/security/yourself/file-sharing.html#Policy.

Misuse of University Letterhead
When an individual or group uses a University letterhead, or employs the phrase “University of Rochester” in a specially invented letterhead, there is the implication that the communication has the sanction of the University. Such letterheads are sometimes used inappropriately in letters or other documents to pursue a personal goal or for social or political purposes that are not the direct responsibility of the University. In these cases, such a letterhead should not be used, however worthy the cause and despite the fact that University members may be part or all of the membership of a group.

If there is any doubt about the appropriate use of a University letterhead, the provost or the president should be consulted.

Conduct Process for Nonacademic Misconduct
All complaints against graduate students should be forwarded to the appropriate associate dean of graduate studies within that student’s school who determines whether the complaint should be treated as an academic or a nonacademic matter. Academic matters will be referred to the appropriate associate dean, as explained on pages 36–38. Nonacademic matters will be referred to the judicial officer who will consult with the associate dean before going forward with any complaint against a graduate student that he or she receives from any source other than the associate dean.

The judicial officer will review the incident report or “complaint” and relevant documentation in order to determine whether or not there is sufficient cause to initiate disciplinary proceedings or pursue alternative means for resolution. Possible resolution options are as follows:
A. Dismiss the complaint.
B. Decide that the complaint can be processed through informal means of resolution, such as mediation. For more information about mediation, please contact the Center for Student Conflict Management at (585) 275-4085.
C. Defer the case pending dismissal. Deferment periods are generally not expected to last more than one semester.
D. Decide that the complaint contains grounds to reasonably believe that the University's policies, rules, or regulations have been violated and charge the student, on behalf of the University, accordingly. If this action is taken, several procedures are possible, as explained below.

Order of Conduct Process
• Initial Meeting(s): When a student is reported to have engaged in behavior that may be detrimental to the University community, a conduct officer will reach out to the student and schedule an initial meeting. During this meeting the student will have the opportunity to read the report and share his or her perspective about what happened.
• Typically, during this meeting the conduct officer will work with the student to determine whether or not the student accepts responsibility for the possible policy violation. If the student accepts responsibility, the matter can be resolved at that time. If a student needs to participate in a formal conduct hearing, a pre-hearing conference meeting can be scheduled.
  
  Students who participated in conduct hearings to determine whether or not a policy was violated are called “respondents.”
• Pre-Hearing Conference Meeting: During a pre-hearing conference meeting, the conduct officer meets with the respondent(s) and discusses the hearing process as outlined in the fundamental fairness section of this document on page 43.
• Hearing: The purpose of a formal hearing is to determine the truth about a respondent's alleged misconduct. Through an objective and fair process guided by the fundamental fairness standards on page 43, a conduct officer or body (a) determines, based on the information gathered from all involved parties, whether or not a violation occurred and (b) recommends a response to the judicial officer if the respondent is found responsible.
• Post-Hearing Meeting: After the hearing the judicial officer or his or her designee will communicate with the respondent to discuss the outcome of the hearing and share information about how to submit an appeal if one is warranted.

Conduct Officers/Bodies
There are three different conduct bodies available for resolving alleged violations of the standards of the University community by graduate students. They are as follows:
• Residential Life Staff: Residential Life Area Coordinators, Assistant Directors, and Associate Directors resolve, whenever possible, alleged violations of policies by residents from their respective living areas. They are authorized to issue the full range of responses up to, but not including, suspension from the University and expulsion.
• Administrative Conduct Officer: An Administrative Conduct Officer—typically the judicial officer, the assistant director in the Center for Student Conflict Management, the director of Residential Life, an associate director of Residential Life, or a designee appointed by the judicial officer—may conduct disciplinary hearings without a board or council. Administrative conduct officers are authorized to issue the full range of University responses.
Fundamental Fairness in All Disciplinary Hearings

A student will not be subject to official action for nonacademic misconduct unless

A. The student has had a conduct hearing OR
B. The student has waived the right to a hearing through a responsible option OR
C. The judicial officer has taken interim action (interim response pending a hearing) OR
D. Discretionary responsibility for resolving the matter has been retained by the president or a delegate.

The fundamental fairness points outlined below apply to all students who will participate in a hearing to determine whether they have violated the standards of our community. In many cases, the University is the only identifiable victim of an alleged offense, however, when the judicial officer identifies another student as a victim, they are also afforded the rights outlined below.

Fundamental fairness for disciplinary hearings at the University consists of the following standards:

1. All charges must be in writing and presented to the respondent and victim at the time of notification of the hearing.
2. Charges shall be reasonably specific as to the nature, time, and place of the alleged infraction.
3. The respondent and victim shall be informed of his or her rights in his or her preliminary meeting with the judicial officer.
4. The respondent and victim shall be afforded two (2) days to indicate a preference for which kind of hearing he or she wishes to have. This two-day limit shall also be the term during which offers for a Responsible Option, if offered, shall be valid. Final determination of hearing type shall be made by the judicial officer.
5. The respondent and victim shall be afforded at least seven days’ notice of the hearing in writing.
6. Hearings are normally scheduled within 14 business days after the hearing forum has been selected; however, the judicial officer may extend time lines to accommodate the academic calendar or other extenuating circumstances.
7. The respondent and victim may indicate a preference for an open or closed hearing. (open hearings can be attended by members of the University community, and information about the incident and hearing can be made available to members of the University community). In the absence of an indicated preference, hearings are closed. Final determination of whether a hearing will be open or closed hearing shall be made by the judicial officer.
8. The respondent and victim shall have the right to be accompanied by an advisor who may confer with and assist the accused but may not speak for him or her as an advocate. The advisor must be a member of the University community who is not an attorney. Names of recommended advisors who are well informed about disciplinary procedures are available from the Center for Student Conflict Management. Respondents and victims are strongly encouraged to choose an advisor knowledgeable in the conduct process. In cases involving allegations of sexual assault or harassment, advisors may not be undergraduate students.
9. Hearings are recorded. A recording of the hearing will be available in the event of an appeal, but remains the property of the University.
10. The respondent and victim shall have the opportunity to answer accusations and to submit the testimony of material witnesses on his or her own behalf. Witness statements, security reports, residential life incident reports, and deposition—scheduled with the judicial officer and respondent—shall be acceptable as documentation submitted to a board. All other documentation is subject to review by the judicial officer prior to the time of the hearing.
11. All evidence and testimony, including the relevant security reports, the text of statements made by the respondent and victim prior to the hearing and used at the hearing, and any physical evidence shall be presented in the presence of the respondent and the victim; however, legal rules of evidence shall not apply.
12. Relevant reports, documents, and other evidence may be reviewed by the respondent and victim in the Center for Student Conflict Management prior to the hearing. Copies of any such material may not, however, leave the office.
13. The respondent and victim shall have the opportunity to indirectly question (through the hearing teams/officers) all witnesses present during the hearing. This does not necessarily include the right to confront witnesses in person.
14. The respondent and victim shall be given an opportunity to make statements which will become part of the case record to be reviewed by the judicial officer and by any dean or director considering an appeal.
15. The respondent and victim will participate in separate hearing rooms (connected electronically) unless otherwise requested in order to allow full participation of the parties.

16. Respondents and victims should be aware of the fact that they may be required to refrain from speaking publicly about the outcome of judicial cases due to laws and University policies. In the event that such is necessary, the respondent and victim will be informed by the judicial officer.

17. The respondent, victim, and all other participants are expected to cooperate during the hearing and be truthful in their testimony and responses to questions. A respondent or victim may choose to refrain from providing testimony or answering questions; however, he or she may not then provide a statement on his or her behalf. Depending on all the information presented, a respondent who refuses to give testimony or answer questions may nonetheless be found responsible by the hearing officer of body.

18. The conduct board/officers shall determine by a majority vote whether it is more likely than not (i.e., by a preponderance of the evidence) that the respondent violated a University policy, rule, or regulation.

19. The findings and recommendations of the conduct board/officers will be forwarded to the judicial officer. In the event the judicial officer does not accept the findings or recommendation of the conduct board/officers, he or she may request further consultation and review by the conduct board/officers or may make a different finding or recommendation if warranted by the evidence presented at the hearing. The judicial officer will notify the respondent and victim of the outcome, unless prohibited by law.

20. The respondent and victim have the right to appeal a final decision in a nonacademic case to the appropriate dean/director and in an academic case to the provost.

21. The judicial officer has discretion to modify, expand, or narrow the decision in a nonacademic case to the appropriate dean/director and in an academic case to the provost.

Responses to Misconduct
Creating a space that allows members of the University community to live and work in a safe and respectable environment is an important component of the conduct process. A major goal of the conduct process in particular and the University in general is to teach why something is wrong as well as to prevent its repetition. This goal is often difficult to carry out, but an effort is made to create a response that will best educate the student or group involved.

Common Responses
This list is by no means inclusive of all options open to conduct officers and boards in creating appropriate responses for individual offenses.
- Disciplinary Warning, including an official letter of reprimand to the student stating that his or her behavior is in violation of University policy and may not recur.
- Community Restitution, which may require individuals or groups to write a letter of apology, participate in a designated service project, or give an identified community (on or off campus) a number of service hours to be completed within a specified time period. When appropriate, the individual or group may be required to devise its own community restitution plan to be approved by the judicial officer or his or her designee.
  - Counseling Intervention, which may be recommended, and in some cases required, when behavior indicates that the counseling may be beneficial to the student. Specific circumstances will determine an appropriate mental health service referral, which may include drug, alcohol, and other educational workshops. Such mandated interventions may be at the student’s cost.
  - Financial Restitution, which may require individuals or groups to restore or replace within a specified time, property which has been damaged, defaced, lost, or stolen.
  - Revocation or Restriction of Privileges, for the use of designated University facilities or programs.
  - Disciplinary Probation, which normally consists of an official notice that further violation of University policy will result in serious consideration being given that the individual or group not be permitted to continue as a student or group at the University of Rochester. This is a serious warning which serves as a check on the student’s or group’s future behavior. Once a student or group is on probation, any further disciplinary action will be more severe. Probation is given for a period of time and can limit the activities or privileges of a student or group. For example, students on probation are not able to join a fraternity or sorority nor are they permitted to study abroad.
  - Student groups that are placed on probation may be placed in one of two probationary categories:
    - Social Probation: A group on social probation is not permitted to hold functions/gatherings where alcohol is present.
    - Formal Disciplinary Probation: A group on formal disciplinary probation is not permitted to hold any functions or gatherings, including those gatherings that only involve its members.
  - Suspension from University Housing, which involves revocation of the privilege of living in University housing for a certain period of time. Students or groups who have their housing contracts or leases terminated for disciplinary reasons are not entitled to a reimbursement.
  - Suspension, which generally involves the revocation of the privilege of attending the University and using its facilities for at least one full year. Upon the conclusion of the term of the suspension, students need to request readmission to the University and may be required to meet additional conditions for re-entry.
  - Expulsion, which means the student is permanently separated from the University. He or she may not apply for readmission to any program.

Other common responses may include alteration of housing selection privileges; research assignments; project, program, and presentation requirements; revocation of other University
privileges (e.g., access to computer systems, dining venues, sports and recreation facilities); mandated follow-up meetings with University officials; mandated supervised study hours.

Once a response is issued, it is the responsibility of the student to ensure that the response is completed in a timely fashion. Failure to complete an assigned response will result in an additional charge and will be handled administratively by the judicial officer or his or her designee. Students failing to complete conduct responses normally have their student accounts placed on hold (making them unable to register for classes or receive transcripts) until such response is completed.

**Appeals**

**Grounds for Appeal**

An appeal is intended to provide an opportunity to consider any previously overlooked, exceptional, or unfair circumstances pertinent to the case. It is not intended to be a rehearing of the events presented at the original hearing. The only grounds on which an appeal can be made are:

1. the response was not appropriate
2. new information exists that was not available at the time of the hearing and this information is sufficient to alter the decision or
3. an error occurred during the process that is substantive enough to alter the decision.

**Process of Appeal**

An appeal must be made in writing to the appropriate dean/director (for nonacademic cases) or to the provost (for academic cases) within seven days of the date of the letter officially stating the original decision.

The name and contact information for the appropriate dean/director to whom the appeal should be submitted will be included in the decision letter. The letter must state the grounds on which an appeal is made and what the student believes supports an appeal on those grounds. The dean/director or provost may review material from the original hearing before considering an appeal. The dean/director or provost may consult with anyone he or she feels is pertinent to, or would be helpful in determining, the appeal.

**Effect of Appeal**

The student appealing will receive a written decision from the dean/director or provost. On appeals, the dean/director or provost may modify the decision, or the case may be referred back to a board for a new hearing. At the discretion of the dean/director or provost and upon the recommendation of the judicial officer, where appropriate, all or some of the responses may be suspended pending the final decision.

**Conduct Records**

Student records, including files from disciplinary cases maintained by the University, are treated with appropriate confidentiality, in accordance with the University policy on student records and relevant legal standards. Academic transcripts issued during periods of suspension or expulsion will be accompanied by a letter from the registrar indicating that the student is currently suspended or expelled from the University for conduct reasons. University staff who have knowledge of action taken against a student for misconduct may on occasion be asked to respond to inquiries regarding the student’s involvement in disciplinary action. In accordance with the confidentiality of such records, the University officer may only reveal such information with the authorization of the student, except when required by law or when the University officer perceives a significant risk to the safety or well-being of that student or others. Conduct files are normally destroyed seven years after the student’s separation from the University. However, certain University officials may indefinitely retain records in other appropriate circumstances.