

University Senate Plenary

December 12, 2025



University Senate

Proposed: December 12, 2025

Adopted: December 12, 2025

University Senate

Friday, December 12, 2025 at 1:15 p.m., via Zoom

[Registration required](#)

After registering you will receive a confirmation email with meeting details.

PROPOSED AGENDA

1. Adoption of the agenda
2. Adoption of the minutes of November 21, 2025
3. President's report and questions
4. Chair's report and questions
5. New business:
 - a. Resolutions:
 - i. Resolution to Approve an updated Columbia University Institutional Policy on Misconduct in Research (External Relations and Research Policy)
 - ii. Resolution to Approve an Academic Program Leading to the Ph.D. in Technology, Media, and Learning (Teachers College) (Education)
6. Adjourn

University Senate | Parliamentary Procedure Quick Guide: December 12, 2025

1. **Quorum:** Half of all sitting Senators (typically 90 to 111 senators). The online list of participants is the basis for determining a quorum. (A Senator may ask for an aural quorum call during the meeting—so stay awake and don't walk away.) If you are not speaking, please try to be muted at most times.
2. **Signing in.** Please rename yourself when you enter the meeting by putting "Sen" in front of your name. This helps everyone identify you as a Senator during the meeting.
3. **Voting**
 - 3.1. Only Senators present may vote. "Present" means on the online list of participants during the vote.
 - 3.2. **How to vote:** Generally you vote by raising your virtual hand.
 - 3.3. **Confidential votes:** Occasionally Senators request a confidential ballot. If this happens, please make sure you have access to your CU email account so you can vote.
 - 3.4. **Default:** A motion passes if more Senators vote for than against it. (This always applies to amendments to motions even if the main motion requires a super-majority.)
 - 3.5. **Exceptions**
 - 3.5.1. **Parliamentary exceptions:** 2/3 vote required for certain motions. The motion passes only if twice as many Senators vote for as vote against it. This includes:
 - Previous question (close debate and vote)
 - Suspend the rules (allow something normally not allowed)
 - Change the order of business
 - Limit or extend debate
 - 3.5.2. **University Senate exceptions:** Several kinds of actions require at least 3/5 of all Senators to vote in favor. None of these are on the agenda for this meeting.
4. **Debate**
 - 4.1. Only Senators can speak, with limited exceptions (officers of schools or committee members presenting reports)
 - 4.2. You ask to speak by raising your virtual hand. You may speak only when the chair calls upon you. Remember to unmute yourself. Please lower your virtual hand and mute yourself when you are finished.
 - 4.3. **Germane:** Speak only about the merits of the motion on the floor
 - 4.4. **Courteous:** Never speak ill of another Senator
 - 4.5. **Brief:** No more than 10 minutes without permission of the Senate (2/3 vote)
 - 4.6. **Engaged:** No reading from lengthy documents without permission (2/3 vote)

4.7. Don't hog the floor: Don't speak more than twice on same motion without permission (2/3 vote)

5. Amendment Rules

5.1. Must be germane to the main motion

5.2. Cannot just reverse the main motion

5.3. Can be amended only once (no amendments to amendments of amendments)

5.4. Must be voted on before the main motion. (To postpone a vote on an amendment, you must postpone the vote on the main motion)

6. Some privileged and incidental motions: Almost always in order.

6.1. Point of order: To point out that the rules are not being followed. Chair rules on it immediately.

Chair's decision may be appealed. Appeal is decided by majority vote—ties go to the chair.

6.2. Point of privilege (personal or general): To point out an urgent condition preventing one or more Senators from fully participating. Chair rules on it immediately and acts.

6.3. Call for the order of the day: If the Senate is not following its agenda. Chair rules immediately.

6.4. Adjourn. To close the meeting.

Minutes of the Meeting of November 21, 2025

75 out of 106 Senators were present.

Senator Jeanine D’Armiento (Ten., P&S), Executive Committee Chair, called the University Senate to order at 12:30pm. Sen. D’Armiento welcomed Senators and guests to the third Plenary of the 2025-2026 session and the first in-person Plenary of the year. Sen. D’Armiento reminded attendees of the Parliamentary procedures and that recordings are not permitted in Plenary meetings.

Senators adopted the [agenda](#) for the Plenary.

Senators then adopted the [minutes](#) of the October 24th, 2025 Plenary.

Updates from President Shipman

President Claire Shipman began her remarks by stating that the administration had been focused on the student experience over the last month, stating that they had been hearing from a number of students on issues related to quality of life, including housing, dining, the Dodge Fitness Center, issues with space, and the cost of clubs. President Shipman stated that one issue that she had particularly been hearing about was food insecurity, especially in light of the temporary pause on SNAP benefits. She stated that the recent LENS Survey indicated that 36 percent of student respondents reported being food insecure and that 62 percent of the respondents who say that they are food insecure stated that they were aware of the [CSSI Food Pantry](#). President Shipman stated that, in the longer term, the administration hopes to obviate the need for the Food Pantry. She stated that Executive Vice President for University Life and Wellbeing Melanie Bernitz had sent out information about how to navigate the issues students are having with SNAP cuts, including resources and donation information. President Shipman stated that the most important thing is that the Deans of each School have emergency funds to support students, including emergency meal swipes and other issues. She stated that the School of General Studies has received particular attention, as it is the population she believed is struggling the most with the issue of food insecurity. President Shipman noted that the General Studies administration was working on solutions to this issue and others, including the launch of the new housing building for General Studies students. She stated that the administration is working with the Deans on meal swipe accessibility, places for commuter students to warm up food on campus, and expanded hours for the Food Pantry. President Shipman stated that the administration was approaching this issue both on the short term and more systemically, noting that something was still not working since the community was still in the same place on this issue as before. She said that this issue related to the undergraduate community as a whole and the larger student body size this year. President

Shipman stated that she has a number of groups looking at issues such as housing and dining that need to be improved generally. She added that the Provost's Office was leading a robust effort to look at the academic component of this issue, including classroom space, class hours, the majors of interest to students. President Shipman stated that she is hoping to gather all the data in the next week or so to then work with the Senate and other stakeholders to examine the data. She stated that this is an opportunity to look at the student experience and student wellbeing in a general sense. President Shipman stated that it was clear that there needed to be more focus on raising money for the Arts & Sciences as the centerpiece for undergraduate life. President Shipman stated that Provost Angela Olinto and Chief of Staff to the President and Vice President for Campus Alignment Ushma Neill were both working hard to finish the work of the [Presidential Task Force on Columbia's Research Mission](#) and that they were thinking deeply about opportunities for commercialization of the research at Columbia. President Shipman also highlighted some of the accomplishments in the Columbia community recently: Director of the Columbia Initiative in Cell Engineering and Therapy and Herbert and Florence Irving Professor of Medicine [Michel Sadelain's election to the National Academy of Medicine](#), Senator Kristina Douglass's (Ten., CS) [nomination as a 2025 MacArthur Fellow](#), Columbia College senior [Stanley Davis's selection as a 2026 Rhodes Scholar](#), and Columbia School of Social Work Ph.D. Student [Aishworya Shrestha's announcement as a member of the United Nations 5th cohort of 17 Young Leaders for the Sustainable Development Goals](#). President Shipman stated that there have been several galas recently. She highlighted the recent [gala and anniversary installation for the School of the Arts](#), the School of Engineering and Applied Science gala, and the Vagelos College of Physicians and Surgeons [16th Annual Crown Awards Gala](#). President Shipman noted how the [77th Alexander Hamilton Award Dinner](#) and the [Military Ball](#) highlighted the strength and diversity of the Columbia community.

Sen. D'Armiento stated that Sen. Douglass was a member of the University Senate and was in attendance at the Plenary today and those present applauded her achievement.

Senator Benjamin Orlove (Ten., SIPA) thanked President Shipman for her attention to these issues, particularly food insecurity and said that he hopes that the administration continues to work with student leaders on this issue. He noted that the [Campus Planning and Physical Development Committee](#) on the Senate is tasked with tracking space over time and has worked on issues of trying to find spaces for students to meet when they are not in class.

Senator Mahmood Mamdani (Ten., A&S/SS) stated that he had been away from campus and that it was a shock returning to campus. He stated a request from himself and his constituents to open the gates to campus. President Shipman responded that Executive Vice President for University Facilities and Operations David Greenberg had put together an advisory committee with faculty and students that had recently met and got feedback on this issue. She stated that the administration wants to start with access to buildings immediately and then come up with a pilot program for reopening campus fully but that she did not know an exact date for this. Sen. D'Armiento asked if the advisory committee has met with the Campus Planning and Physical Development Committee. Sen. Orlove responded that the Campus

Planning and Physical Development Committee had not yet met with the advisory committee. President Shipman responded that the advisory committee had just had its first meeting but that she believes that the advisory should be able to meet with the Campus Planning and Physical Development Committee in the future.

Senator David Lurie (Ten., A&S/HUM) stated that an hour or two earlier, the [University announced a new posting policy](#) that he believed many Senators had not been able to review yet. He stated that the new policy contained a number of shocking abridgments to the free speech of faculty, students, and staff, specifically that all faculty would need prior authorization from the administration before posting anything on the doors to their offices. Sen. Lurie asked about the process behind the creation of this policy, whether the Senate was consulted for this process, and, if the Senate was not consulted, why this was the case. President Shipman stated that she had not heard of this and that she needed to ask her team and Provost Olinto. It was clarified to President Shipman that Vice President of Human Resources Dan Driscoll had sent the email on November 21, 2025. Sen. Lurie asked for clarification if the President and Provost were unaware of this policy change. President Shipman confirmed that she did not know and stated that she was not sure if VP Driscoll was emailing something that he believed already existed and that she needed to look into the issue. Sen. D'Armiento stated that the Senate was not consulted nor knew of the change until now. It was stated to President Shipman that the policy changes dated to August 14th, 2025 and that VP Driscoll was clarifying policies in existence. Sen. D'Armiento responded that this related to a more general concern of policies appearing on websites without the Senate or community being notified. President Shipman responded that the University was a work in progress and this policy seemed to date back to August 2025 and that she would get back to Sen. Lurie with more information.

Senator Simon Ogundare (Stu., P&S) stated that more than 400 members of his constituency had signed a letter regarding the Columbia [Rebuilding Trust website](#) detailing the University's response to the concerns raised regarding the [Hadden matter](#). Sen. Ogundare stated that his constituents were concerned about the lack of release of the report promised by the University to address the situation. He stated that the webpage has not been updated since launched and that the lack of response from the University has led to a [\\$1.2 billion settlement](#) that has financially crippled the University and made it unable to respond to the funding crisis for research. Sen. Ogundare added that this has potentially also led to almost 180 individuals being fired from the uptown campus. He asked if there will be any updates on this situation. President Shipman stated that she had received the letter and that the situation with Robert Hadden has been one of the most difficult things the institution has dealt with and has been unspeakable for the victims. She stated that, because of the nature of this incident, the University decided to move to an independent investigation and that the current status of the investigation is taking longer than expected. President Shipman stated that the investigators have not told the administration what they are doing and are being thorough in their investigation. She stated that they are interviewing and reinterviewing many people. President Shipman believed that the timing of the release should be after the start of the year and that there is no intention of not releasing the report. She stated that she believes that the investigators are likely to make it public themselves. President Shipman stated that she did not think it would be appropriate for her

to get in the way of the investigation and that she would like to wait until the report is out to comment, given the severity of the issue.

Senator Brent Stockwell (Ten., A&S/NS) asked President Shipman to describe the commercialization work with biopharmaceuticals, given that much of the investment focus currently is on AI. He added that many of the great discoveries taking place in universities like Columbia were not currently able to be translated and asked if that was something for which the administration was considering creating a fund. President Shipman responded that the administration was considering creating such a fund and is looking creatively at different ways of taking advantage of the scientific discoveries being made at Columbia. She stated that she hoped to bring this discussion to the scientific community, the experts in the area.

Senator Melinda Aquino (Admin. Staff, Morningside-Lamont-Manhattanville) stated that, as a staff member that is student-facing, she works with low-income students and appreciates the efforts made for students who are food insecure. She stated that she felt it necessary to mention that many staff are food insecure as well, noting that staff have reached out to her to understand if they are eligible to access the Food Pantry. Sen. Aquino stated that it was important to note the absence of mentioning the staff or support for the staff in President Shipman's opening remarks at plenary. She stated that staff help run the University day-to-day and that the recent increase in the student body size has fallen on staff to manage. Sen. Aquino said that some staff have noted that there seems to be a large number, proportionately, of staff for the [Office of Rules Administration](#) but hiring and salary freezes for other staff. She asked for acknowledgment of these issues and greater support for staff moving forward. President Shipman responded that administrative staff are essential to the University and deserve the same support as students and faculty. She stated that she has heard about food insecurity for staff before and that EVP Greenberg and Senior Executive Vice President Robert Kasdin are looking into the issue. President Shipman stated that, in the immediate term, the administration was focused on food insecurity for students, but that the administration can look at other populations in the community. She stated that Executive Vice President for Finance Anne Sullivan and Executive Vice President for Research Jeannette Wing had held a webinar that discussed many of the positive and hopeful things going on in the University, while also being realistic about the University's current financial landscape.

Senator Susan Bernofsky (Ten., ARTS) stated that she had a parallel question from the faculty perspective. She stated that faculty have seen a 6.5 percent increase in their health insurance contributions, an increase to Columbia Residential rent costs, and an effective cut to salaries. Sen. Bernofsky stated that faculty are being stretched very thin. She asked why the administration has cut faculty salaries when senior administrators' salaries have not been cut. President Shipman responded that she had worked with each of the Deans to address cost of living issues and that the issue has varied with each faculty division. She stated that there was a plan to look at this issue for Arts & Sciences in particular and that this was an issue that was better handled by each individual School. President Shipman stated that she wanted to form a short-term mechanism and then evaluate a solution for the long-term.

Senator Eli Baum (Stu., CC) stated that a faculty member at the medical school is under investigation by the Office of Institutional Equity (OIE) for holding a sign up in a public plaza that stated: “Help end genocide in Palestine”. He stated that he understood that President Shipman cannot speak on specific cases but that he wanted to understand the parameters of free speech on campus. Sen. Baum asked if President Shipman thought that holding up a sign advocating for stopping genocide in Palestine violated discrimination rules at the University. President Shipman responded that she can’t speak on specific cases and that she did not know the details of that specific case. She stated that not all cases go to her but that she understands that issue is deeply fraught and people have questions about academic freedom and free speech. President Shipman stated that Provost Olinto has been leading the [Provost’s Advisory Committee on Academic Freedom](#) in order to better understand these questions. She stated that, on the face of the issue, she did not think that the faculty member did something discriminatory but that there is likely a lot of context of the situation that she was not aware of. President Shipman stated that she does not have enough legal expertise to speak precisely on the issue. She stated that, in isolation, the message written on the sign was likely not the reason the case was taken up by OIE.

Senator Gerard Ateshian (Ten., SEAS) stated that President Shipman had just stated that the Deans were handling the decisions around cost-of-living increases. He questioned why the decision to freeze salaries was made by the central administration but now President Shipman was stating that the decision to unfreeze salaries could not be made by the central administration. Sen. Ateshian stated that the University has just reported a [\\$1.2 billion positive income](#) and that the University should take the initiative to finance the Deans of the Schools to finance not just the cost-of-living adjustments but the salary raises that faculty deserve. He stated that it was an extremely unfair situation that something special needs to be done to undo the salary freezes and that the faculty cannot expect to take a pay cut every time the University faces a crisis. Sen. Ateshian asked if President Shipman can demand that the University find a way to fund the Deans to resolve this issue. President Shipman responded that she feels strongly about the issue as well and that herself, Provost Olinto, and EVP Sullivan have spent weeks working with the Deans to help schools that feel that they really need to do something. She stated that she wished she had an endless pot of money to do everything but that, nonetheless, President Shipman understands that this is a top priority. She stated that some schools felt that they had other priorities for a variety of reasons and preferred to continue salary freeze rather than, for example, lay off staff and faculty, noting that Columbia is not a centrally driven institution but that there is support from the central administration.

Senator Amy Hungerford (Executive Vice President for Arts and Sciences and Dean of the Faculty of Arts and Sciences, Adm.) affirmed Sen. Ateshian’s concern and that she appreciated the patience from faculty and staff and that the administration is in the process of affirming what they want to do. She asked for patience for a few more weeks as they work on this issue and that she is hopeful to have an update soon.

Senator Robert Mulvey (Stu., GS) stated that the food insecurity issue at the School of General Studies is not separate from the issue of financial aid at General Studies with students taking out thousands of dollars in private student loans. President Shipman responded that it was a deeper systemic issue regarding

financial aid for General Studies, which she has discussed with Senator Lisa Rosen-Metsch (Dean of the School of General Studies, Adm.) as a top priority.

Senator Michael Mitsanas (Stu., JOURN) asked whether, irrespective to any changes to University policy with or without her consent, she believed that faculty should be required to obtain prior authorization from any Columbia administrator before posting anything on the door to their office. President Shipman responded that she was not able to answer Sen. Mitsanas's question because she was not sure the reason for the policy change that Sen. Lurie mentioned earlier or why faculty would need permission from administration to post on their doors. She stated that she had not yet seen the policy and would need to see it before commenting.

Senator Liane Bdair (Stu., CC) asked how the decision to [expand the student body](#) was made for this school year and, if moving forward a similar increase is proposed, how it can be done without negatively affecting the experience of current students. President Shipman responded that the decision made this summer to expand the undergraduate class size was made by her in response a number of factors, including concerns around the size of the international student population. She stated that there were two big risk factors: the sources of research funding, which caused enormous damage last year, and the ability to have intentional students, given that the University is heavily reliant on an international student population of overall around 40 percent. President Shipman stated the decrease of the international student population not only affected the community because the University values the international student population but also the financial stability of the University, which is tuition driven. She stated that there were excellent students on the waiting list and that expansion was appropriate. President Shipman stated that, overall, there are fewer students on campus currently because the School of Professional Studies saw a significant decrease in their student population. She stated that, right now, the administration is looking at what the right number of students is on campus and that many of the issues that students were concerned about had been issues before this year.

Chair's Report and Questions

Sen. D'Armiento began her remarks by stating that the Senate had officially sent a letter regarding the cost-of-living increase. She stated that, when the Senate is informed that Deans have to prioritize issues and potentially include the cost of living as one of those priorities, the faculty do not see the cost of living increase as something that can be regarded as optional in light of other cost increases. Sen. D'Armiento stated that she thinks the University needs to accept the cost-of-living increase as a required part of the budget and that they have to solve rather this issue.

Sen. D'Armiento congratulated Sen. Mamdani and his family on the [election of his son Zohran Mamdani as Mayor of New York City](#). She stated that this was a historic election in many ways and that it was notable that the son of a faculty member and University Senator was elected to such a position. Sen. D'Armiento stated that, as a parent herself, she understands that, along the excitement of the occasion, she shares the hopes for the success of Sen. Mamdani's son and the success of New York City.

Sen. D'Armiento reviewed the agenda for the Plenary, including the attached [Parliamentary Procedure Quick Guide](#) in the packet materials.

Responses to Sec. 1.m. Petitions from Professor Mitts and Sen. Bernofsky (Structure and Operations)

Sen. D'Armiento introduced Senator Daniel Savin (Research Officers – Professional) to comment on the [Senate Structure and Operations Committee responses to the Sec. 1.m. petitions from Professor Mitts and Sen. Bernofsky](#) included in the plenary materials from the October 24th, 2025 Plenary for review. Sen. Savin stated that, at the previous Plenary, the Structure and Operations Committee had asked for questions and received none, which the committee took to mean that all matters had been addressed. He stated that now, the committee was considering the proposal for changes on Senate Committee memberships. Sen. Savin stated that if there are any questions to direct them to the Structure and Operations Committee.

Proposed Policy on Committee Membership (Structure and Operations)

Sen. D'Armiento introduced Professor of Social Work and member of the Structure and Operations Committee Susan Witte to lead the discussion on the [Proposed Policy on University Senate Committee Membership](#). Professor Witte stated that this proposed policy was in response to the Sec 1.m. petitions and reviewed the rationale as described in the petition: to ensure transparency in committee assignments, preserve the faculty-led nature of the Senate, to ensure institutional expertise and leadership on committees, to foster inclusive governance across all titles at the University, and to encourage broad representation on academic freedom. She stated that the petitions raised concern about uneven representation across schools and departments and a lack of transparency about committee assignments. Professor Witte stated that the concerns regarded representation for schools and departments and not stakeholder titles. Professor Witte stated that Senate ensured shared governance across titles and schools, not by departments or populations in what would be akin to a House of Representatives. She stated that the Structure and Operations Committee completed an exit review for the year in order to create a proposed structure to address these concerns and ensure balance. Professor Witte stated that all Senators serve on at least one committee and that membership to committees varies by committee mandate, noting, for example, that the [Student Affairs Committee](#) has many more students than other committees. She stated that there are three components to the proposal. Professor Witte stated that the first component of the proposal would be to maintain the ranking of top three preferences for each Senator and create a type of waiting list for openings on committees which would prioritize underrepresented schools or individuals that have been waiting to join a certain committee. She stated that some individuals serve on four committee or more and that an amendment has been proposed to give Senators that serve on two committees lower priority for other any additional committees beyond two to expand representation. Professor Witte stated the second aspect of the proposal was to consider expanding representation without expanding voting seats through the addition of non-voting observers from schools or groups not currently represented. She stated that the final component of the proposal would be for the Structure and Operations Committee to publish an annual review of the new system each spring and then do a comprehensive review

after four years to assess the effectiveness of the policy. Professor Witte stated that an implementation tool recommended in the proposal would be a Senator tracking spreadsheet on the Senate website that would break down representation for each committee by School and role, while also noting how many Senators wanted to be on a certain committee. She then summarized the goals of the proposal again and then reviewed the timeline for the piloting of this program as detailed in the packet materials.

Senator Jeffrey Wayno (Libraries) stated that he appreciated the proposal and that, while he felt the proposal was well-intentioned, it missed another side of the problem. He stated that some committees are over-subscribed and that there are other committees are under-subscribed and therefore struggle to deal with meaningful issues. Sen. Wayno stated that one of the under-subscribed committees that he co-chairs is the [Libraries and Digital Resources Committee](#). He noted that there are two Libraries Senators but Libraries seats on the Libraries and Digital Resources Committee, the Campus Planning and Physical Development Committee, the [Education Committee](#), the [External Relations and Research Policy Committee](#), the [Honors and Prizes Committee](#), and the [Information and Communications Technology Committee](#). Sen. Wayno stated that, in addition, library Senator membership was possible on three other committees: the [Commission on the Status of Women](#), the [Elections Commission](#), and the [Commission on Diversity](#). He stated that he and Senator Katherine Brooks (Libraries) were asked to serve on three committees and that this results in a number of problems. Sen. Wayno stated that this resulted in a number of positions filled by non-elected librarians, with challenges to populate the Libraries and Digital Resources Committee. He stated that the current proposal does not go far enough to address a minimum service requirement for members of the Senate, noting that everyone that serves on the Senate is busy with their full-time jobs. Sen. Wayno stated that he believes that individuals should not run for the Senate if they do not intend to serve on committees in a meaningful capacity. Professor Witte agreed with Sen. Wayno about members of the Senate participating fully and that she had wished that Sen. Wayno had raised his comments prior to the Plenary so that it could have been incorporated into the proposal language. She stated that the proposal was discussed over a number of Structure and Operations Committee meetings. Professor Witte stated that she could take Sen. Wayno's comments back to the Structure and Operations Committee for review but that the mandate that they were given previously was specifically around the lack of representation on certain committees. Sen. D'Armiento responded that certain constituencies having seats on many committees was done in an effort to give those constituencies a voice and that the serving Senators are often asked to recommend other members of their constituencies to fill vacant seats. She stated that the intention is to give a voice to all constituencies. Sen. D'Armiento added that the student Senators are among those asked to perform the most committee service because they have to serve on at least the Student Affairs Committee and one additional committee, with many serving on a third. She stated that she would not propose removing representation on certain committees. Sen. Savin added that, only a few committees on the Senate mandate that all members must be Senators. He stated that non-Senators serve on several committees and that one of the ways to involve more of the University community is to have people who ran for the Senate but were not elected serve as non-Senator members. Sen. Savin encouraged Senators to reach out to their colleagues and to volunteer for committee work. Sen. Wayno stated that he does help select individuals for membership but that this means he is selecting the

individuals from his constituency and that this was not democratic. Sen. Savin suggested that Sen. Wayno send a blast email to all librarians about open positions in committees. Sen. D'Armiento stated that they would consider Sen. Wayno's points in further discussion.

Senator Andrew Einstein (Ten., P&S) stated that he would be wary of putting a quota on minimum service requirements, noting that some committees require more work than others. He stated that, for example, the [Faculty Affairs, Academic Freedom and Tenure Committee](#) can have a tremendous amount of work over a short period of time and that there are subcommittees that take up time. Sen. Einstein added that the [Rules of University Conduct](#) has required a tremendous amount of time in the last year. He stated that even Senators serving on only one committee might be contributing a lot of work and that it was good to have non-Senators serve on committees, noting that he first got involved on the Senate through serving as a non-senator before deciding to run. Sen. Einstein stated that a simple quota does not seem the best way to address Sen. Wayno's concerns. Sen. Savin responded that committees are oversubscribed on a cyclical basis, with some committees being more popular than others depending on the year.

Senator Oren Pizmony-Levy (Ten., TC) stated that there were some aspects that proposal was missing. He asked if there would be a system on how Senators could get non-Senators from their constituencies to serve on committees, noting that he believed that having a campaign at the beginning of the year with available seats would be useful. Sen. Pizmony-Levy stated that he was not worried about a minimum committee requirement but rather that he was concerned about people serving on too many committees. He stated that he was concerned about leadership on committees. Sen. Pizmony-Levy asked if there was any question of how many years Senators could serve in leadership positions on committees so that new individuals would be able to lead. He added that he was curious about the structure of the Senate and that he had created network analyses of the Senate with his students last year. Sen. Pizmony-Levy stated that one of the things that he found with students is that some individuals held more than one position of leadership on the Senate and asked whether the Structure and Operations Committee would consider limiting the ability for those serving on the [Executive Committee](#) for leading other Senate committees, noting that he was worried about certain individuals occupying too many positions of power within the Senate and preventing discussion. Sen. D'Armiento responded that there are rules on the number of committees that an individual may chair. Sen. Pizmony-Levy responded that he was specifically worried about individuals serving on the Executive Committee and chairing another committee. Sen. D'Armiento responded that Sen. Pizmony-Levy's comments were helpful and that a lot of the current system was put in place before current levels of interest in Senate service. She added that not all Senators undertake similar levels of work and the problem is more complicated. Professor Witte responded that the Structure and Operations Committee did not take up the issue of term limits for committee chairs but that the committee can discuss these issues further. Sen. Savin added that, while he did not disagree with Sen. Pizmony-Levy's suggestion, that Sen. Pizmony-Levy's example of the Executive Committee was a poor example because the Executive Committee acts as the committee of committees and typically has the chairs of other committees serving in order to best understand the needs of all the committees. He added that this will be a discussion that the Senate will vote on eventually.

Commission on the Status of Women Annual Report 2024-2025

Sen. D'Armiento stated that the Plenary materials included the [2024-2025 Annual Report for the Commission on the Status of Women](#) and that, if anyone has questions, to reach out to the chairs of the committee.

Structure and Operations Committee Annual Report 2024-2025

Sen. D'Armiento stated that the Plenary materials included the [2024-2025 Annual Report for the Structure and Operations Committee](#) and that, if anyone has questions, to reach out to the chairs of the committee.

Sen. D'Armiento adjourned the meeting.

Respectfully submitted,

Senate staff

University Senate

Proposed: December 12, 2025

Adopted: December 12, 2025

66-0-0: In favor-Opposed-Abstained

RESOLUTION TO APPROVE AN UPDATED

COLUMBIA UNIVERSITY INSTITUTIONAL POLICY ON MISCONDUCT IN RESEARCH

WHEREAS the University administration seeks to update the previously established Columbia University Institutional Policy on Misconduct and Research, which itself was unanimously approved in 2006 both to consolidate the previous two policies covering Columbia University and the Health Sciences Campus and to come into compliance with federal regulations; and

WHEREAS Columbia University must again bring its institutional policies on research into compliance with mandatory federal guidelines promulgated by the U.S. Department of Health and Human Services coming into effect on January 1, 2026, which among other changes formalize the role of the Research Integrity Officer, require a formal pre-inquiry assessment of allegations, and more clearly define some key terms; and

THEREFORE BE IT RESOLVED that the University Senate approve the attached and updated Columbia University Institutional Policy on Misconduct in Research, which will be displayed in appropriate University publications, including the Faculty Handbook.

Proponent: External Relations and Research Policy Committee

Overview of Institutional Policy on Misconduct in Research and Required Revisions

Background

Columbia's current Institutional Policy on Misconduct in Research ("Policy") was adopted by the University Senate in February 2006 (proposed by the Executive Committee and approved without dissent) and is set out in the [Faculty Handbook](#). U.S. federal funding agencies require institutions like Columbia to promulgate such policies in accordance with federal regulations. Columbia's University-wide Policy sets forth the procedures required for handling allegations of research misconduct, defined per the regulations as fabrication, falsification or plagiarism at any point in the research lifecycle, from proposal through conduct and reporting of research.

Columbia's Policy requires the appointment of a Standing Committee on the Conduct of Research, a University-wide committee that oversees the research misconduct process. The Office of Research Compliance and Training (RCT) administers the Policy; the Vice President for Research Compliance, Training and Policy serves as the University's Research Integrity Officer, a role required by the U.S. Department of Health and Human Services (HHS).

By definition, research misconduct does not include honest error, differences in interpretation, self-plagiarism, or authorship disputes. A finding of research misconduct requires a finding that the respondent falsified, fabricated or plagiarized research intentionally, knowingly or recklessly, and that these actions constituted a significant departure from the standards of the relevant research community.

Revisions to Federal Regulations

In Fall 2024, HHS's Office of Research Integrity (HHS ORI) published revised regulations ("Revised Regulations") governing misconduct in research for research funded by the Public Health Service, including NIH and other funders. The revised regulations add several definitions and update and formalize procedures and best practices already in place at many institutions, including Columbia. The revised regulations require institutions to issue revised policies by January 1, 2026.

Revisions to Columbia's Policy

RCT identified key changes in the Revised Regulations and discussed them at two meetings of the Standing Committee on the Conduct of Research. With input from the Standing Committee and input from internal and external counsel, RCT developed a draft revision to the Policy ("Revised Policy") and discussed the Revised Policy at two meetings of the External Relations and Research Policy Committee of the University Senate. The External Relations and Research Policy Committee voted unanimously to move the Revised Policy forward to the plenary of the Senate for approval. In both cases, all agreed that the proposed changes should apply to all Columbia research, not only that funded by the Public Health Service. However, certain PHS-specific procedural requirements are outlined in an Appendix to the Policy.

Summary of Changes

The overall research misconduct procedures, including the role of the Standing Committee, review by ad hoc committees, the standard of review, and due process protections for all

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involved, remain unchanged. However, some terminology and definitions have been updated and some previous University practices have now been codified, as highlighted below.

- **Formalization of role of Research Integrity Officer.** Appointed by EVP for Research, head of Office of Research Compliance and Training.
- **Addition of formal Assessment of potential research misconduct concerns.** Assessment is conducted by the Research Integrity Officer or designee in collaboration with co-chairs of the Standing Committee, to determine whether the concern meets the definition of research misconduct and is sufficiently credible and specific to enable identification of relevant evidence. Must be documented.
- **Definitions of required states of mind, including definition of “recklessly”:** “To act recklessly means to propose, perform, or review research, or report results, with indifference to a known risk.”
- **Formal incorporation of prior guidance regarding plagiarism:** “...does not include disputes between formal collaborators who participated jointly in the development or conduct of a research project.”
- **Six-year statute of limitations,** with exceptions for subsequent use of allegedly falsified or fabricated data and for public health or safety.
- **No informal resolution of research misconduct concerns brought to an institutional official:** concerns brought to a department chair, dean’s office, or other institutional official must be assessed by the Research Integrity Officer.
- **Conflicts of interest:** in extraordinary circumstances, to mitigate a potential conflict of interest, the University may, as appropriate, utilize external resources with appropriate expertise to carry out any role called for by the Misconduct Policy.

Appendix I. Columbia University Institutional Policy on Misconduct in Research

The Columbia University Institutional Policy on Misconduct in Research was adopted by the University Senate on February 3, 2006, and revised on _____, 2025.

Section A. Introduction

Columbia is committed to upholding the highest standards of scientific rigor in research. The University is committed to fostering an environment that promotes research integrity and the responsible conduct of research, discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct.

All individuals conducting research under the auspices of Columbia are expected to conduct research with honesty, rigor, and transparency. Each such individual is responsible for contributing to an organizational culture that establishes, maintains, and promotes research integrity and the responsible conduct of research.

Columbia University believes that the occurrence of research misconduct is a threat to the basic principles of research. Misconduct in research damages the integrity of the profession and undermines the credibility of scholars. It is also antithetical to the values the University strives to maintain and promote.

The University takes seriously all allegations of research misconduct, and believes that the procedures for the assessment, inquiry, investigation and adjudication of any research misconduct concern should be clear for all parties involved. The University is also cognizant of the need for protections for the complainant, the respondent and all witnesses involved in any research misconduct proceeding. This Policy is designed to address both of these issues.

Allegations of research misconduct shall be addressed in accordance with this Policy and applicable regulations and policies. This Policy is based on the Federal Policy on Research Misconduct (the “*OSTP Policy*”) of the Office of Science and Technology Policy, with revisions added based on the Public Health Service Policies on Research Misconduct (the “*PHS Final Rule*”), codified at 42 CFR 93, applicable on January 1, 2026. In accordance with the OSTP Policy and the definitions below, “*Research Misconduct*” means any Fabrication, Falsification or Plagiarism in proposing, performing or reviewing Research or reporting Research results. Research Misconduct does not include honest error or differences of opinion.

This is a University-wide Policy which applies to all individuals conducting research under the auspices of the University, including Officers of Instruction, Officers of Research, Officers of the Libraries, students and members of the research staff, who may be involved in research at the University and all Research conducted by such individuals, whether or not federally funded, and proposals for such Research, other than Research undertaken in fulfillment of a course requirement (unless there is an expectation of publication or dissemination outside the University of the results of such Research). This Policy applies to such Research even if the individual who conducted such Research is no longer affiliated with the University.

Section B. Definitions

“Allegation”: a disclosure of possible Research Misconduct through any means of communication and brought directly to the attention of an Institutional Official.

“Complainant”: the individual bringing an Allegation of Research Misconduct.

“Fabrication”: the making up of data or results and the recording or reporting thereof.

“Falsification”: the manipulation of Research materials, equipment or processes, or the change or omission of data or results such that the Research is not accurately represented in the Research Record.

“Good Faith”: as applied to a Complainant, Respondent or Witness, includes having a belief in the truth of one’s Allegation or testimony that a reasonable person in any of these roles could have, based on the information known to the Complainant, Respondent or Witness at the time. An Allegation of or cooperation with a Research Misconduct proceeding is not in good faith if made with knowledge of or reckless disregard for information that would negate the Allegation or testimony. Good Faith as applied to a member of the Standing Committee or any Inquiry or Investigation Committee includes cooperating with the Research Misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping the University meet its responsibilities under this Policy. A member of the Standing Committee or any Inquiry or Investigation Committee does not act in Good Faith if his/her acts or omissions during the Research Misconduct proceedings are dishonest or influenced by personal, professional or financial conflicts of interest with those involved in the Research Misconduct proceeding.

“Institutional Official”: the President, Executive Vice Presidents, the Provost and vice provosts, vice presidents, other senior officers, deans and vice-deans, associate deans, department chairs, division chiefs, and institute and center directors, but excluding any member of the Ombuds office.

“Intentionally”: To act intentionally means to act with the aim of carrying out the act.

“Knowingly”: To act knowingly means to act with awareness of the act.

“Plagiarism”: the appropriation of another person’s ideas, processes, results or words without giving appropriate credit. Plagiarism includes the unattributed verbatim or nearly verbatim copying of sentences and paragraphs from another’s work that materially misleads the reader regarding the contributions of the author. It does not include the limited use of identical or nearly identical phrases that describe a commonly used methodology. Plagiarism also does not include self-plagiarism or authorship or credit disputes, including disputes among former collaborators who participated jointly in the development or conduct of a research project. Self-plagiarism and authorship disputes do not meet the definition of Research Misconduct.

“Preponderance of the Evidence”: proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

“Recklessly”: To act recklessly means to propose, perform, or review research, or report research results, with indifference to a known risk of fabrication, falsification, or plagiarism.

“Research”: any systematic experiment, study, evaluation, demonstration, survey, or creative activity designed to develop or contribute to general knowledge (basic research) or specific

knowledge (applied research) by establishing, discovering, developing, elucidating, or confirming information. This applies to all fields of scholarly study, including but not limited to all fields of science, mathematics, engineering, arts, and the humanities.

“Research Misconduct”: Fabrication, Falsification, or Plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research Misconduct does not include honest error or differences of opinion.

“Research Record”: the record of data or results that embody the facts resulting from the research inquiry, including, without limitation, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports and journal articles.

“Respondent”: the individual who is the subject of an Allegation.

“Responsible Academic Officer”: with respect to any Respondent, the Chair, Dean or Director of the Department, School, Institute, Center or equivalent unit at the University of which such Respondent is a member.

“Retaliation”: an adverse action taken against a Complainant, Witness, or Committee member by the University or one of its members in response to a Good Faith allegation of research misconduct, or Good Faith cooperation with a research misconduct proceeding.

“Witness”: any individual who testifies or provides information with regard to an Allegation or whose Research Record is used as evidence during the course of a Research Misconduct proceeding.

Section C. Compliance with Laws, Regulations and Policies

The administrative procedures to be followed by the University pursuant to this Policy are, in all cases, subject to the requirements of law. The University will comply with all applicable federal and state laws, regulations and policies with respect to Research Misconduct.

To the extent that any Research that is subject to an Allegation was supported by, or is proposed to be supported by, a federal agency whose Research Misconduct regulations and policies are inconsistent with this Policy, the terms of such agency’s Research Misconduct regulations and policies shall apply to the administrative processes described herein. Such other terms, if any, may be described in Annexes to this Policy, as amended from time to time.

Section D. The Committee on the Conduct of Research and the Research Integrity Officer

1. The University has formed a special standing committee of Officers of Instruction, Officers of Research, Officers of the Libraries (collectively, the “*Officers*”) and students designated The Committee on the Conduct of Research (the “*Standing Committee*”) which will be responsible for setting and communicating standards with respect to Research Misconduct and overseeing the administrative procedures relating to the review of any allegation of Research Misconduct.
2. The members of the Standing Committee will be appointed by the Executive Vice President for Research (the “*EVPR*”). The Standing Committee shall have at least eleven

members, at least five of whom shall be selected from the Officers and students at the Columbia University Medical Center (“CUMC”) and at least five of whom shall be selected from the Officers and students of the University other than those at CUMC. The Standing Committee shall include at least one Officer of Research at CUMC, one Officer of Research at a campus of the University other than CUMC, one Officer of the Libraries and one student involved in Research at the University. The EVPR shall appoint at least one of the members as Chair of the Standing Committee. The Standing Committee members shall have staggered four-year terms which may be renewable.

3. The safeguards described in Section M below shall be provided to the members of the Standing Committee, as applicable.
4. The EVPR will appoint the head of the Office of Research Compliance and Training to serve as the University’s Research Integrity Officer (“*Research Integrity Officer*” or “*RIO*”). The RIO will be responsible for administering the University’s written policies and procedures for addressing allegations of research misconduct, in collaboration and consultation with the Standing Committee.
5. Any individual who has questions with respect to the Research Misconduct Policy may privately meet with the RIO and/or any member of the Standing Committee to discuss such questions.

Section E. The Making of an Allegation

1. An Allegation may be communicated through any means to (a) the RIO, or (b) to another Institutional Official, who must promptly transmit such Allegation to the RIO for an Assessment.
2. An Allegation may have profound implications for the Complainant, the Respondent and any Witness in a Research Misconduct proceeding and any individual making an Allegation should take great care in providing the basis of any charge.

Section F. Institutional Response to an Allegation of Research Misconduct

1. The University’s response to an Allegation shall consist of up to five phases:
 - **Assessment:** a consideration, through review of readily accessible information relevant to such Allegation, of whether such Allegation appears to fall within the definition of Research Misconduct, and is sufficiently credible and specific so that potential evidence of research misconduct may be identified (an “*Assessment*”);
 - **Inquiry:** the gathering of preliminary information and fact-finding to assess whether such Allegation has substance and if so, whether an Investigation is warranted (an “*Inquiry*”);
 - **Investigation:** the formal development of a factual record with respect to such Allegation and the examination and evaluation of such record leading to dismissal of the case or a recommendation of a finding of Research Misconduct and/or other appropriate corrective actions (an “*Investigation*”); and
 - **Adjudication:** the formal procedure for reviewing and evaluating the evidentiary record and report of an Investigation and for determining whether to agree with the recommended findings and to impose appropriate corrective actions (an “*Adjudication*”).

- **Appeal:** the formal procedure for determining whether to affirm, overturn, or modify the Adjudication (an “*Appeal*”).
2. It is expected that the Complainant, the Respondent and any other person involved in the administrative procedures described in this Policy will act in Good Faith in participating in such procedures.

Section G. Prerequisites for Finding of Research Misconduct

1. A finding of Research Misconduct requires the satisfaction of all of the following prerequisites:
 - there has been a significant departure from accepted practices in the relevant research community;
 - the Research Misconduct has been committed Intentionally, Knowingly or Recklessly; and
 - the Allegation is proven by a Preponderance of the Evidence.
2. Time Limits: This Policy applies only to Research Misconduct occurring within six years of the date the University receives an Allegation, except under either of the following conditions:
 - Subsequent use exception: The Respondent continues or renews any incident of alleged research misconduct that occurred before the six-year limitation through the use of, republication of, or citation to the portion(s) of the research record (e.g., processed data, journal articles, funding proposals, data repositories) alleged to have been fabricated, falsified, or plagiarized, for the potential benefit of the Respondent.
 - When the Respondent uses, republishes, or cites to the portion(s) of the research record that is alleged to have been fabricated, falsified, or plagiarized, in submitted or published manuscripts, submitted grant applications, progress reports submitted to funding agencies, posters, presentations, or other research records within six years of when the Allegation was received by the University, this exception applies.
 - Exception for the health or safety of the public: If the University (in consultation with a funding agency, where required) determines that the alleged Research Misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public, this exception applies.

Section H. The Assessment Phase

1. An Institutional Official who receives an Allegation must promptly transmit such Allegation to the RIO for an Assessment.
2. The RIO, in consultation with the Chair(s) of the Standing Committee, and/or other relevant experts, is responsible for promptly conducting the Assessment.
3. Conducting the Assessment must include a determination whether the Allegation (a) falls within the definition of Research Misconduct, including the time limits provisions of this Policy, and (b) is sufficiently credible and specific so that potential evidence of research

misconduct may be identified. If both criteria are met, an Inquiry is warranted. The Assessment only involves the review of readily accessible information relevant to the Allegation.

4. The RIO must keep sufficiently detailed documentation of the Assessment to permit a later review by the Standing Committee and any relevant sponsor of the reasons why an Inquiry was or was not warranted.
5. Should the Assessment conclude that Allegation does not appear to fall within the definition of Research Misconduct, but raises other potential compliance concerns, it should be referred to the appropriate office or individual for review. If the matter does not raise compliance concerns, it may be resolved informally by the Responsible Academic Officer and others who may be appropriate.

Section I. The Inquiry Phase

1. If, at the conclusion of an Assessment, the RIO determines that an Inquiry is warranted, the Chair(s) of the Standing Committee shall (a) notify (i) the Complainant, (ii) the Respondent, (iii) the appropriate Responsible Academic Officer and (iv) if the Allegation involves a Respondent who is an Officer of Instruction, Officer of Research, Officer of the Libraries, student or member of the research staff at CUMC (a "CUMC Respondent"), the Executive Vice President for Health Sciences (the "EVPHS") of the filing of the Allegation and the sources thereof and (b) in consultation with members of the Standing Committee, select three or more persons who are Officers of Instruction, Officers of Research, Officers of the Libraries or students (the "*Inquiry Committee*"), who may or may not be members of the Standing Committee, to assess the Allegation. In selecting the members of the Inquiry Committee, the Chair(s) of the Standing Committee should consider appointing a representative of the Complainant's and/or the Respondent's peer group.
2. On or before the date on which a Respondent is notified of the filing of an Allegation against him/her and at any other time during the Research Misconduct proceeding when additional records or evidence are discovered, the Standing Committee shall promptly take all reasonable and practical steps to obtain custody of all of the Research Record and evidence needed to conduct the Research Misconduct proceeding, inventory the Research Record and evidence, and sequester them in a secure manner, except that where the Research Record or evidence encompasses scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.
3. The Inquiry Committee shall review such evidence and interview such persons as may be necessary to make an assessment of whether the Allegation has substance and whether an Investigation is warranted.
4. If the RIO (in consultation with the Chair(s) of the Standing Committee) or the Inquiry Committee identifies additional Respondents during the Inquiry, the University is not required to conduct a separate Inquiry for each new Respondent. However, each additional Respondent must be provided notice of and an opportunity to respond to the Allegation, consistent with the other requirements of this Policy.

5. The safeguards described in Section M below shall be provided to the Complainant, the Respondent, any Witness and any Inquiry Committee member, as applicable, during the Inquiry.
6. Upon completion of the Inquiry, the Inquiry Committee shall provide the Respondent with a draft written report (the "*Inquiry Report*") of its findings and recommendation as to whether or not an Investigation is warranted. The Inquiry Committee shall also provide the Complainant with copies of those portions of the Inquiry Report relevant to the Complainant. The Respondent and the Complainant may comment on the draft Inquiry Report.
7. Following the review by the Inquiry Committee of any comments on the draft Inquiry Report provided by the Respondent or the Complainant, the Inquiry Committee shall provide the Standing Committee with a final Inquiry Report.
8. The Standing Committee may accept or reject the recommendation of the Inquiry Committee and shall promptly provide the Complainant, the Respondent and the appropriate Responsible Academic Officer with written notification of its decision, indicating in such notification the principal reasons for such decision and a copy of the final Inquiry Report.
9. In general, an Inquiry should be completed within 90 days of its initiation, provided that the Standing Committee may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section J. The Investigation Phase

1. If, at the conclusion of an Inquiry, the Standing Committee determines that an Investigation is warranted, the Chair(s) of the Standing Committee shall so notify, in addition to the persons listed in Section I.8 above, (a) the EVPR, (b) if the Allegation involves a CUMC Respondent, the EVPHS, and (c) if the Allegation involves federally funded research (or an application for federal funding), the applicable funding agency or agencies (collectively, the "*Funding Agency*") in accordance with Funding Agency requirements
2. The Standing Committee shall appoint a committee (the "*Investigation Committee*") to conduct the Investigation, which shall consist of at least three members, none of whom is a member of the Standing Committee or served as a member of the Inquiry Committee with respect to the Allegation relating to such Investigation and at least one of whom is an expert in the area of research that is the subject of such Investigation. In constituting the Investigation Committee, the Standing Committee shall select as members those persons who have the expertise pertinent to the matter and who will carry out the Investigation thoroughly, fairly and promptly and should consider appointing a representative of the Respondent's or the Complainant's peer group. The Standing Committee may appoint a person who is not affiliated with the University to the Investigation Committee if such person has the requisite expertise. The Standing Committee shall select one of the members as the Chair of the Investigation Committee.
3. The Investigation Committee shall:

- use diligent efforts to ensure that the Investigation is thorough and sufficiently documented and includes the examination of all Research records and evidence relevant to reaching a decision on the merits of the Allegation;
 - take reasonable steps to ensure an impartial and unbiased Investigation to the maximum extent practicable;
 - interview the Complainant, the Respondent and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation; and
 - pursue diligently all significant issues and leads discovered that are relevant to the Investigation.
4. The safeguards described in Section M below shall be provided to the Complainant, the Respondent, any Witness and any member of the Investigation Committee, as applicable, during an Investigation.
 5. If the RIO (in consultation with the Chair(s) of the Standing Committee) or the Investigation Committee identifies additional Respondents during the Investigation, the University is not required to conduct a separate Inquiry for each new Respondent. However, each additional Respondent must be provided notice of and an opportunity to respond to the Allegation, consistent with the other requirements of this Policy.
 6. Upon completion of the Investigation, the Investigation Committee shall provide the Respondent with (a) a draft written report (the "*Investigation Report*") of its findings and recommendations as to whether or not a finding of Research Misconduct should be made and, if so, what corrective actions would be appropriate under the circumstances and (b) a copy of, or supervised access to, the evidence on which the Investigation Report is based. The Investigation Committee shall also provide the Complainant with copies of those portions of the draft Investigation Report that are relevant to the Complainant. The Respondent and the Complainant may comment on the draft Investigation Report, provided that any such comments must be given to the Investigation Committee within 30 days of receiving such draft.
 7. Following the review by the Investigation Committee of any comments on the draft Investigation Report provided by the Respondent or the Complainant, the Investigation Committee shall provide the Standing Committee with a final Investigation Report.
 8. The Standing Committee may accept, reject or modify the recommendations of the Investigation Committee and shall promptly provide the Complainant, the Respondent, the appropriate Responsible Academic Officer, the EVPR and if applicable, the EVPHS and the Funding Agency, with written notification of its decision, indicating in such notification the principal reasons for such decision.
 9. In general, an Investigation should be completed within 180 days of its initiation, *provided* that the Standing Committee may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section K. The Adjudication Phase

1. If the Standing Committee accepts the Investigation Committee's recommendation that a finding of Research Misconduct should be made, the EVPR shall review the reports of

the Investigation Committee and the Standing Committee and shall consult with the appropriate Responsible Academic Officer and, if the Respondent is a CUMC Respondent, the EVPHS. After such review and consultation, the EVPR may accept, reject or modify the recommendations of the Standing Committee and shall promptly provide the Complainant, the Respondent, the appropriate Responsible Academic Officer and, if applicable, the EVPHS and the Funding Agency with written notification of his/her decision, indicating in such notification the principal reasons for such decision.

2. The safeguards described in Section M below shall be provided to the Complainant, the Respondent, any Witness and any member of the Investigation Committee, as applicable, during an Adjudication.
3. In general, an Adjudication should be completed within 60 days of its initiation, provided that the EVPR may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section L. Appeal

1. A Respondent shall have the right, within 30 days after his/her receipt of the notification of the EVPR's decision with respect to an Adjudication, to file a written appeal with respect to the decision of the EVPR to the Provost of the University as to either the finding of Research Misconduct or the corrective actions imposed. The Provost may affirm, overturn or modify the decision of the EVPR. The decision of the Provost shall be final in all respects with respect to the University and the Respondent shall have no further right of appeal.
2. The Provost shall promptly provide the Complainant, the Respondent, the appropriate Responsible Academic Officer and, if applicable, the EVPHS and the Funding Agency with written notification of his/her decision, indicating in such notification the principal reasons for such decision.
3. In general, an appeal should be completed within 30 days of its filing with the Provost, provided that the Provost may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section M. Safeguards

1. **Confidentiality:** To the extent possible consistent with a fair and thorough investigation and as allowed by law, knowledge about the identity of a Complainant, a Respondent and any Witnesses shall be limited to those persons identified in this Policy and others who need to know and all written materials and information with respect to any proceedings shall be kept confidential. Those who need to know, as determined by the RIO in consultation with the Chair(s) of the Standing Committee, may include, but are not limited to, institutional review boards, journals, editors, publishers, co-authors, and collaborating institutions.
2. **Conflicts of Interest:** The Standing Committee shall take reasonable steps to ensure that all individuals responsible for carrying out any part of the administrative procedures described in this Policy do not have unresolved personal, professional or financial conflicts of interest with the Complainant, Respondent or any Witness. In extraordinary circumstances, e.g., to mitigate a potential conflict of interest, the University may, during

any phase of the research misconduct process, from Assessment through Appeal, as appropriate, utilize external resources with appropriate expertise to serve in any role called for by this Policy.

3. **Safeguards for a Complainant:** In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Complainant:

- If an Allegation has been made by a Complainant in Good Faith, the University shall ensure that:
 - the Complainant is treated fairly and reasonably;
 - all reasonable and practical efforts are made to protect the Complainant from potential or actual Retaliation;
 - the procedures described in this Policy are fair and objective; and
 - diligent efforts are made to protect or restore the position and reputation of the Complainant.

However, in the event that the Standing Committee determines that a Complainant has made an Allegation for malicious reasons, or was otherwise not acting in Good Faith in making such Allegation, the Committee shall recommend that appropriate action be taken against such Complainant.

- During an Inquiry, the Complainant shall have the right to meet with the Inquiry Committee.
- During an Investigation, the Complainant shall have the right:
 - to identify persons who have information regarding any relevant aspects of the Investigation to be interviewed by the Investigation Committee;
 - to be accompanied by counsel for advisory purposes only when appearing before the Investigation Committee; and
 - to obtain a copy of a transcript of his/her own testimony, if any, and to correct such transcript, if necessary.

4. **Safeguards for a Respondent:** In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Respondent:

- Respondent is assumed not to have committed Research Misconduct unless and until a finding of such has been made in accordance with this Policy and should be protected from penalty and public knowledge of any accusation until judged culpable. The Respondent in turn shall cooperate with the administrative procedures described in this Policy, including by providing information, research records and evidence to the University representatives referred to herein when so requested.
- The University shall not impede the ability of a Respondent to continue to do his/her work, and shall ensure that other disciplinary or adverse action not be taken, during the period of any Inquiry or Investigation unless the EVPR determines that there are compelling reasons to suspend the Respondent's work or take such action during all or a portion of such period.
- During an Inquiry, the Respondent shall have the right:

- to meet with the Inquiry Committee;
 - to have reasonable access to the data and other evidence supporting the Allegation; and
 - to respond to the Allegation orally and in writing.
- During an Investigation, the Respondent shall have the right:
 - to appear before the Investigation Committee to present testimony on his/her behalf;
 - to identify persons who have any information regarding any relevant aspects of the Investigation to be interviewed by the Investigation Committee;
 - to be accompanied by counsel for advisory purposes only when appearing before the Investigation Committee; and
 - to obtain a copy of a transcript of his/her own testimony, if any, and to correct such transcript, if necessary.
 - to obtain a copy of the transcript of each Complainant and Witness interview (but must not be present during such interviews).
 - During an Appeal, the Respondent shall have the right to review the final Investigation Report.
 - The University shall take all reasonable and practical efforts, if requested and as appropriate, to protect or restore the reputation of any Respondent against whom no finding of Research Misconduct is made.
5. **Safeguards for Witnesses:** In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Witness:
- During an Investigation, a Witness shall have the right:
 - to obtain a copy of a transcript of his/her own testimony, if any, and to correct such transcript, if necessary.
 - If a Witness has cooperated with a Research Misconduct proceeding in Good Faith, the University shall ensure that:
 - all reasonable and practical efforts are made to protect such Witness from potential or actual Retaliation; and
 - diligent efforts are made to protect or restore the position and reputation of such Witness.
6. **Safeguards for Committee Members:** In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to members of the Standing Committee and any Inquiry or Investigation Committee:
- The University shall ensure that:
 - all reasonable and practical efforts are made to protect a member of the Standing Committee and any Inquiry or Investigation Committee from potential or actual Retaliation; and
 - diligent efforts are made to protect or restore the position and reputation of Committee member.

7. **Guarantees:** If, as a result of a finding of Research Misconduct, a Respondent with whom a Complainant or Witness works loses funding for his/her research, the University will guarantee the salary, stipend or tuition of the Complainant or Witness, as follows:

- Officers of Instruction: salary in accordance with University statutory provisions;
- Officers of Research: salary or stipend until the later of (x) the last day of the Complainant's or Witness' then current appointment period and (y) the date that is six months after the last day on which the Complainant or Witness was paid from the terminated funding (the "Six-Month Date");
- Other Officers and members of the support staff: salary until the Six-Month Date; and
- Students enrolled in pursuit of a degree: stipend and tuition in accordance with the commitment made to the student by his/her School, subject to the student remaining in good academic standing; provided that any such guarantee will terminate when the Complainant or Witness receives funding from an alternate source or accepts an offer of other employment

8. **Corrective Actions and Penalties.**

- The purpose of the procedures described in this Policy is remedial. The corrective actions with respect to any finding of Research Misconduct shall be commensurate with the seriousness of the Research Misconduct, including, without limitation, the degree to which the Research Misconduct was knowing, intentional or reckless; was an isolated event or part of a pattern; or had significant impact on the Research Record, Research subjects, other researchers, the University, other institutions or the public.
- No penalty involving dismissal from the University or other serious sanction may become effective except in accordance with the provisions of the University's Code of Academic Freedom and Tenure.

Section N. Notification to Funding Agency and Others

1. In addition to the notices to any Funding Agency provided for in Sections J, K, and L above, the EVPR shall, during the course of any phase of the administrative procedures provided for in this Policy with respect to an Allegation, notify the Funding Agency if any of the following events shall occur with respect to Research funded by such Funding Agency:

- if public health or safety is at risk;
- if the resources or interests of such Funding Agency are threatened;
- if research activities should be suspended;
- if there is reasonable indication of possible violations of civil or criminal law;
- if federal action is requested to protect the interests of those involved in the investigation;

- if the EVPR believes that the administrative processes may be made public prematurely, so that appropriate steps may be taken to safeguard evidence and protect the rights of those involved; or
 - if the research community or the public should be informed.
2. Upon the completion of the administrative procedures provided for in this Policy, if there has been a finding of Research Misconduct, notification of such will be given to journals and societies to which erroneous, inaccurate or fraudulent papers or abstracts have been submitted, and to past and present collaborating investigators and other institutions and research agencies with which the Respondent is or was previously affiliated to the extent deemed appropriate by the Standing Committee.

Annex A

Terms Applicable to Research Funded by the Public Health Service of the U.S. Department of Health and Human Services.

This Annex sets forth additional provisions from the PHS Final Rule.

Section A. Definitions

For purposes of this Annex, the following terms have the meanings set forth below:

“Accepted practices of the relevant research community”: those practices established by 42 CFR part 93 and by PHS funding components, as well as commonly accepted professional codes or norms within the overarching community of researchers and institutions that apply for and receive PHS awards.

“PHS Research”: (i) Applications or proposals for PHS support for biomedical or behavioral extramural or intramural research, biomedical or behavioral research training, or activities related to that research or research training; (ii) PHS-supported biomedical or behavioral extramural or intramural research; (iii) PHS-supported biomedical or behavioral extramural or intramural research training programs; (iv) PHS-supported extramural or intramural activities that are related to biomedical or behavioral research or research training, such as, but not limited to, the operation of tissue and data banks or the dissemination of research information; (v) Research records produced during PHS-supported research, research training or activities related to that research or research training; and Research proposed, performed, reviewed, or reported, as well as any research record generated from that research, regardless of whether an application or proposal for PHS funds resulted in an awarded grant, contract, cooperative agreement, subaward, or other form of PHS support.

Section B. The Inquiry Phase

1. The Inquiry Report must include the following information:
 - The names, professional aliases, and positions of the Respondent and Complainant(s).
 - A description of the allegation(s) of research misconduct.

- Details about the PHS funding, including any grant numbers, grant applications, contracts, and publications listing PHS support.
- The composition of the Inquiry Committee, if used, including name(s), position(s), and subject matter expertise.
- An inventory of sequestered research records and other evidence and description of how sequestration was conducted.
- Transcripts of interviews, if transcribed.
- Inquiry timeline and procedural history.
- Any scientific or forensic analyses conducted.
- The basis for recommending that the allegation(s) warrant an investigation.
- The basis on which any allegation(s) do not merit further investigation.
- Any comments on the Inquiry Report by the Respondent or the Complainant(s).
- Any institutional actions implemented, including internal communications or external communications with journals or funding agencies.
- Documentation of potential evidence of honest error or difference of opinion.

Section C. The Investigation Phase

1. An Investigation must be initiated within 30 days after the Standing Committee's determination that an Investigation is warranted.
2. Interviews: The Investigation Committee must interview each Respondent, Complainant, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation, including witnesses identified by the Respondent, and record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the record of the investigation.
 - Interviews during the investigation must be recorded and transcribed.
 - Any exhibits shown to the interviewee during the interview must be numbered and referred to by that number in the interview.
 - The transcript of the interview must be made available to the relevant interviewee for correction.
 - The transcript(s) with any corrections and numbered exhibits must be included in the institutional record of the Investigation.
 - The respondent must not be present during the witnesses' interviews but must be provided a transcript of the interview.

3. The final Investigation Report must include the following information:

- a description of the nature of the allegation(s) of Research Misconduct; including any additional allegation(s) addressed during the research misconduct proceeding.
- a description and documentation of the PHS support, including, for example, any grant numbers, grant application, contracts and publications listing PHS support;
- a description of the specific Allegations of Research Misconduct for consideration in the Investigation;
- composition of the Investigation Committee, including name(s), position(s), and subject matter expertise.
- inventory of sequestered research records and other evidence, except records the institution did not consider or rely on; and a description of how any sequestration was conducted during the investigation. This inventory must include manuscripts and funding proposals that were considered or relied on during the Investigation.
- transcripts of all interviews conducted.
- identification of the specific published papers, manuscripts submitted but not accepted for publication (including online publication), PHS funding applications, progress reports, presentations, posters, or other research records that allegedly contained the falsified, fabricated, or plagiarized material.
- any scientific or forensic analyses conducted. if not already provided to ORI, a copy of this Policy;
- any comments made by the Respondent and Complainant on the draft Investigation Report and the Investigation Committee's consideration of those comments.
- a statement for each separate allegation of whether the Investigation Committee recommends a finding of research misconduct.
- if the Investigation Committee recommends a finding of Research Misconduct for an allegation, the Investigation Report must, for that allegation:
 - identify the individual(s) who committed the research misconduct.
 - Indicate whether the Research Misconduct was Falsification, Fabrication and/or Plagiarism.
 - indicate whether the research misconduct was committed intentionally, knowingly, or recklessly.
 - state whether there was a significant departure from accepted practices of the relevant research community and whether the allegation was proven by a preponderance of the evidence.

- summarize the facts and the analysis which support the conclusion and consider the merits of any explanation by the Respondent.
- identify the specific PHS support.
- identify whether any publications need correction or retraction.
- if the Investigation Committee does not recommend a finding of Research Misconduct for an allegation, the Investigation Report must provide a detailed rationale.
- a list of any current support or known applications or proposals for support that the Respondent has pending with PHS and non-PHS Federal agencies.

Section D. Record Retention and Submission

1. The University must maintain the institutional record and all sequestered evidence including physical objects (regardless of whether the evidence is part of the institutional record) in a secure manner for seven years after completion of the proceeding or the completion of any HHS proceeding involving the research misconduct allegation under subparts D and E of this part, whichever is later, unless custody has been transferred to HHS under 42 C.F.R. Sec. 93.317(c) paragraph (b) of this section or ORI advises otherwise in writing.
2. On request, the University must transfer custody, or provide copies, to HHS of the institutional record or any component of the institutional record and any sequestered evidence (regardless of whether the evidence is included in the institutional record) for ORI to conduct its oversight review, develop the administrative record, or present the administrative record in any proceeding under 42 C.F.R. Sec. 93, Subparts D and E.

What you Need to Know about Research Misconduct



Columbia ReadI Program

What IS Research Misconduct?

Fabrication – making up data or results, and recording or reporting them

Falsification – manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record

Plagiarism – the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. It does not include the limited use of identical or nearly identical phrases that describe a commonly used methodology.

References:

<https://ori.hhs.gov/definition-misconduct>
<http://www.columbia.edu/cu/vpaa/handbook/appendixc.html>

Safeguards

As outlined in Columbia University's Institutional Policy on Misconduct in Research, all parties must be treated fairly and reasonably. To the extent possible, knowledge about the identity of parties is limited to those who need to know and all materials and information shall be kept confidential.

Based upon Columbia University's Institutional Policy on Misconduct in Research. <http://www.columbia.edu/cu/vpaa/handbook/appendixc.html>

What is NOT Research Misconduct?

- **Honest Error**
- **Difference of opinion**
- **Self-Plagiarism and**
- **Authorship or credit disputes**
- **Questionable research practices***

*Can still affect the integrity and quality of research

Who can Report Research Misconduct?

Anybody! Columbia has policies, protections and resources available for reporting research misconduct in good faith.

Where can Research Misconduct Occur?

Publications, presentations, posters, funding applications (funded or unfunded), theses, other reports of research results (including internal reports).

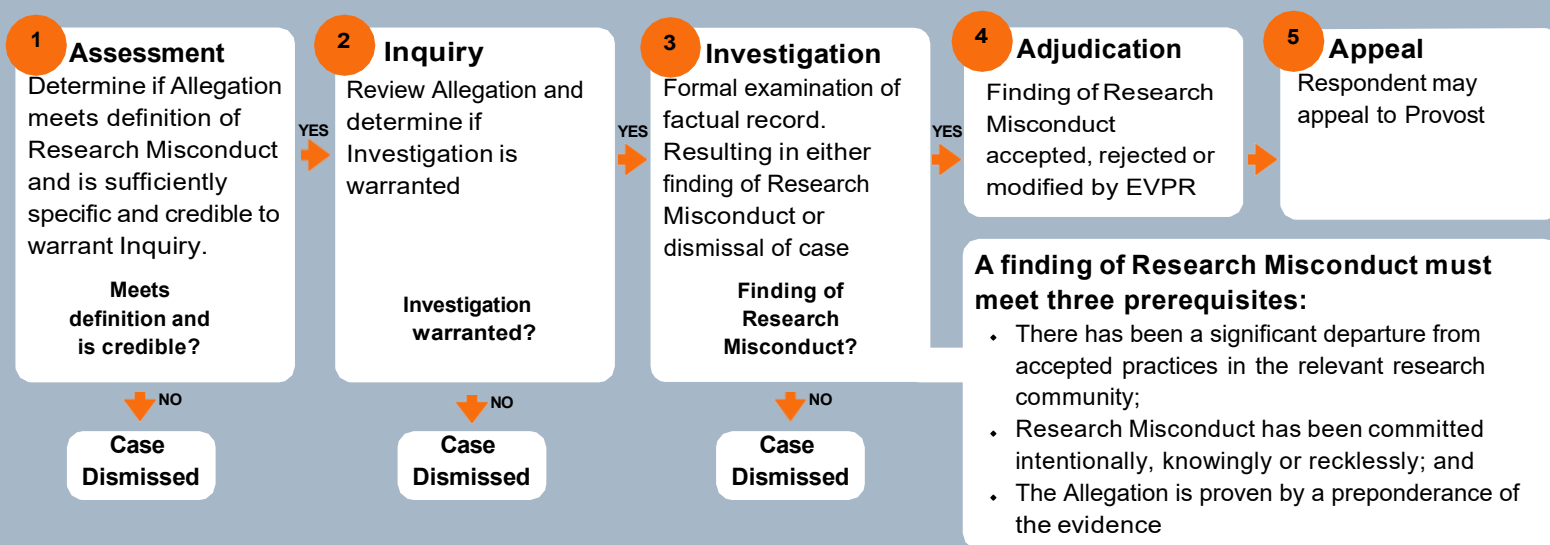
Who is Affected by Research Misconduct?

Everyone! research team, institution, research community, the public (taxpayers, patients), the overall credibility of research enterprise.

Roles

- **Standing Committee on the Conduct of Research:** EVPR-appointed standing committee that oversees research misconduct process
- **Ad Hoc Committees:** Appointed by Standing Committee to conduct Inquiries and Investigations
- **Office of Research Compliance and Training:** Staff all committees; support process
- **Research Integrity Officer:** Institutional official responsible for compliance with federal research misconduct regulations

Key Stages Following Formal Allegation



Office of Research Compliance & Training
<https://researchcompliance.columbia.edu>

24/7 Confidential Compliance Hotline
<https://compliance.columbia.edu/hotline>
866-627-3768

Ombuds Office
<https://ombuds.columbia.edu/>

Research Misconduct Definitions



Columbia ReadI
Program

“Allegation” - a disclosure of possible Research Misconduct through any means of communication and **brought directly to the attention of an Institutional Official.**

“Fabrication” - the making up of data or results and the recording or reporting thereof.

“Falsification” - the manipulation of Research materials, equipment or processes, or the change or omission of data or results such that the Research is not accurately represented in the Research Record.

“Institutional Official” - the President, Executive Vice Presidents, the Provost and vice provosts, vice presidents, other senior officers, **deans and vice-deans, associate deans, department chairs, division chiefs, and institute and center directors,** but excluding any member of the Ombuds office.

“Intentionally” - to act intentionally means to act with the aim of carrying out the act.

“Knowingly” - to act knowingly means to act with awareness of the act.

“Plagiarism” - the appropriation of another person’s ideas, processes, results or words without giving appropriate credit. Plagiarism includes the unattributed verbatim or nearly verbatim copying of sentences and paragraphs from another’s work that materially misleads the reader regarding the contributions of the author. It does not include the limited use of identical or nearly identical phrases that describe a commonly used methodology. Plagiarism also does not include self-plagiarism or authorship or credit disputes, including disputes among former collaborators who participated jointly in the development or conduct of a research project. Self-plagiarism and authorship disputes do not meet the definition of Research Misconduct.

“Recklessly” - to act recklessly means to propose, perform, or review research, or report research results, with indifference to a known risk of fabrication, falsification, or plagiarism.

Green = new language from revised Policy; see also 42 C.F.R. Part 93.200 et seq.

Appendix I. Columbia University Institutional Policy on Misconduct in Research

The Columbia University Institutional Policy on Misconduct in Research was adopted by the University Senate on February 3, 2006, and revised on _____, 2025.

Section A. Introduction

Columbia is committed to upholding the highest standards of scientific rigor in research. The University is committed to fostering an environment that promotes research integrity and the responsible conduct of research, discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct.

All individuals conducting research under the auspices of Columbia are expected to conduct research with honesty, rigor, and transparency. Each such individual is responsible for contributing to an organizational culture that establishes, maintains, and promotes research integrity and the responsible conduct of research.

Columbia University believes that the occurrence of research misconduct is a threat to the basic principles of research. Misconduct in research damages the integrity of the profession and undermines the credibility of scholars. It is also antithetical to the values the University strives to maintain and promote.

The University takes seriously all allegations of research misconduct, and believes that the procedures for the assessment, inquiry, investigation and adjudication of any research misconduct concern should be clear for all parties involved. The University is also cognizant of the need for protections for the complainant, the respondent and all witnesses involved in any research misconduct proceeding. This Policy is designed to address both of these issues.

~~Definitions~~Allegations of ~~certain key terms used~~research misconduct shall be addressed in accordance with this Policy ~~are provided in Section B below.~~

and applicable regulations and policies. This Policy is based on the Federal Policy on Research Misconduct (the “*OSTP Policy*”) of the Office of Science and Technology Policy-, with revisions added based on the Public Health Service Policies on Research Misconduct (the “PHS Final Rule”), codified at 42 CFR 93, applicable on January 1, 2026. In accordance with the OSTP Policy, as used in this Policy and the definitions below, “*Research Misconduct*” means any Fabrication, Falsification or Plagiarism in proposing, performing or reviewing Research or reporting Research results. Research Misconduct does not include honest error or differences of opinion. ~~In addition, this Policy does not cover authorship disputes unless they involve Plagiarism.~~

This is a University-wide Policy which applies to all individuals conducting research under the auspices of the University, including Officers of Instruction, Officers of Research, Officers of the Libraries, students and members of the research staff, who may be involved in research at the University and all Research conducted by such individuals, whether or not federally funded, and proposals for such Research, other than Research undertaken in fulfillment of a course requirement (unless there is an expectation of publication or dissemination outside the

University of the results of such Research). This Policy applies to such Research even if the individual who conducted such Research is no longer affiliated with the University.

Section B. Definitions

“Allegation”: a disclosure of possible Research Misconduct through any means of communication and brought directly to the attention of an Institutional Official.

“Complainant”: the individual bringing an ~~allegation~~Allegation of Research Misconduct.

“Fabrication”: the making up of data or results and the recording or reporting thereof.

“Falsification”: the manipulation of Research materials, equipment or processes, or the change or omission of data or results such that the Research is not accurately represented in the Research Record.

“Good Faith”: as applied to a Complainant, Respondent or Witness, includes having a belief in the truth of one’s Allegation or testimony that a reasonable person in any of these roles could have, based on the information known to the Complainant, Respondent or Witness at the time. An Allegation of or cooperation with a Research Misconduct proceeding is not in good faith if made with ~~knowing~~knowledge of or reckless disregard for information that would negate the Allegation or testimony. Good ~~faith~~Faith as applied to a member of the Standing Committee or any ~~Ad Hoc Inquiry or Investigation Committee or a Preliminary Reviewer~~ includes cooperating with the Research Misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping the University meet its responsibilities under this Policy. A member of the Standing Committee or any ~~Ad Hoc Inquiry or Investigation Committee or a Preliminary Reviewer~~ does not act in ~~good faith~~Good Faith if his/her acts or omissions during the Research Misconduct proceedings are dishonest or influenced by personal, professional or financial conflicts of interest with those involved in the Research Misconduct proceeding.

“Institutional Official”: the President, Executive Vice Presidents, the Provost and vice provosts, vice presidents, other senior officers, deans and vice-deans, associate deans, department chairs, division chiefs, and institute and center directors, but excluding any member of the Ombuds office.

“Intentionally”: To act intentionally means to act with the aim of carrying out the act.

“Knowingly”: To act knowingly means to act with awareness of the act.

“Plagiarism”: the appropriation of another person’s ideas, processes, results or words without giving appropriate credit. Plagiarism includes the unattributed verbatim or nearly verbatim copying of sentences and paragraphs from another’s work that materially misleads the reader regarding the contributions of the author. It does not include the limited use of identical or nearly identical phrases that describe a commonly used methodology. Plagiarism also does not include self-plagiarism or authorship or credit disputes, including disputes among former collaborators who participated jointly in the development or conduct of a research project. Self-plagiarism and authorship disputes do not meet the definition of Research Misconduct.

“Preponderance of the Evidence”: proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

~~“Research”: all basic, applied and demonstration research in all fields of knowledge.~~

~~“Recklessly”: To act recklessly means to propose, perform, or review research, or report research results, with indifference to a known risk of fabrication, falsification, or plagiarism.~~

~~“Research”: any systematic experiment, study, evaluation, demonstration, survey, or creative activity designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research) by establishing, discovering, developing, elucidating, or confirming information. This applies to all fields of scholarly study, including but not limited to all fields of science, mathematics, engineering, arts, and the humanities.~~

~~“Research Misconduct”: Fabrication, Falsification, or Plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research Misconduct does not include honest error or differences of opinion.~~

“Research Record”: the record of data or results that embody the facts resulting from the research inquiry, including, without limitation, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports and journal articles.

“Respondent”: the individual who is the subject of an ~~allegation of Research Misconduct~~Allegation.

“Responsible Academic Officer”: with respect to any Respondent, the Chair, Dean or Director of the Department, School, Institute, Center or equivalent unit at the University of which such Respondent is a member.

~~“Retaliation”: an adverse action taken against a Complainant, Witness, or Committee member by the University or one of its members in response to a Good Faith allegation of research misconduct, or Good Faith cooperation with a research misconduct proceeding.~~

“Witness”: any individual who testifies or provides information with regard to an Allegation or whose Research Record is used as evidence during the course of a Research Misconduct proceeding.

Section C. Compliance with Laws, Regulations and Policies

The administrative procedures to be followed by the University pursuant to this Policy are, in all cases, subject to the requirements of law. The University will comply with all applicable federal and state laws, regulations and policies with respect to Research Misconduct.

~~All federal agencies that conduct or support research have been directed to implement the OSTP Policy.~~ To the extent that any Research that is subject to ~~allegations of Research Misconduct an Allegation~~ was supported by, or is proposed to be supported by, ~~any~~ a federal agency ~~that has not implemented the OSTP Policy, or the terms of this Policy whose Research Misconduct regulations and policies~~ are inconsistent with this Policy, the terms of such agency’s ~~policy, the terms of such agency’s policy~~ Research Misconduct regulations and policies shall apply to the administrative processes described herein. Such other terms, if any, ~~will~~may be described in Annexes to this Policy, as amended from time to time.

Section D. The Committee on the Conduct of Research and the Research Integrity Officer

1. The University has formed a special standing committee of Officers of Instruction, Officers of Research, Officers of the Libraries (collectively, the “*Officers*”) and students designated The Committee on the Conduct of Research (the “*Standing Committee*”) which will be responsible for setting and communicating standards with respect to Research Misconduct and overseeing the administrative procedures relating to the review of any allegation of Research Misconduct.
2. The members of the Standing Committee will be appointed by the Executive Vice President for Research (the “*EVPR*”). The Standing Committee shall have at least eleven members, at least five of whom shall be selected from the Officers and students at the Columbia University Medical Center (“*CUMC*”) and at least five of whom shall be selected from the Officers and students of the University other than those at CUMC. The Standing Committee shall include at least one Officer of Research at CUMC, one Officer of Research at a campus of the University other than CUMC, one Officer of the Libraries and one student involved in Research at the University. The EVPR shall appoint at least one of the members as Chair of the Standing Committee. The Standing Committee members shall have staggered four-year terms which may be renewable.
3. The safeguards described in Section ~~KM~~ below shall be provided to the members of the Standing Committee, as applicable.

~~The Making of an Allegation~~

- ~~4. The EVPR will appoint the head of the Office of Research Compliance and Training to serve as the University’s Research Integrity Officer (“*Research Integrity Officer*” or “*RIO*”). The RIO will be responsible for administering the University’s written policies and procedures for addressing allegations of research misconduct, in collaboration and consultation with the Standing Committee.~~
- ~~5. Any individual who has questions with respect to possible the Research Misconduct or who is considering making an allegation of Research Misconduct Policy may privately meet with the RIO and/or any member of the Standing Committee, to discuss such questions.~~

Section E. The Making of an Allegation

- ~~1. An Allegation may be communicated through any other Officer of Instruction, Officer of Research or Officer of the Libraries or any Officer in the Office of Research Administration or a University Ombuds Officer for advice or to discuss such questions. -means to (a) the RIO, or (b) to another Institutional Official, who must promptly transmit such Allegation to the RIO for an Assessment.~~
- ~~1. The University encourages reasonable efforts to be made to resolve issues of alleged Research Misconduct prior to the commencement of formal administrative procedures pursuant to this Policy. If an individual believes that there are grounds for making an allegation of Research Misconduct, such individual may initially so notify the appropriate Responsible Academic Officer,~~

~~who will use his or her good faith efforts to resolve such individual's concerns informally. The administrative procedures described in this Policy shall not be applicable to any such informal process.~~

~~2. In the event that the concerns of any individual are not resolved informally to the satisfaction of such individual, such individual may make a formal allegation of Research Misconduct (an "Allegation"). Any Allegation shall be made in writing and delivered to the Chair of the Standing Committee or the EVPR.~~

2. ~~An allegation of Research Misconduct~~An Allegation may have profound implications for the Complainant, the Respondent and any Witness in a Research Misconduct proceeding and any individual making an ~~allegation of Research Misconduct~~Allegation should take great care in ~~documenting~~providing the basis of any charge.

Section F. Institutional Response to an Allegation of Research Misconduct; **Prerequisites for Finding of Research Misconduct**

1. ~~A~~The University's response to an Allegation shall consist of ~~three~~up to five phases:
 - Assessment: a consideration, through review of readily accessible information relevant to such Allegation, of whether such Allegation appears to fall within the definition of Research Misconduct, and is sufficiently credible and specific so that potential evidence of research misconduct may be identified (an "Assessment");
 - **Inquiry:** the gathering of preliminary information and fact-finding to assess whether such Allegation has substance and if so, whether an Investigation is warranted (an "Inquiry");
 - **Investigation:** the formal development of a factual record with respect to such Allegation and the examination and evaluation of such record leading to dismissal of the case or a recommendation of a finding of Research Misconduct and/or other appropriate corrective actions (an "Investigation"); and
 - **Adjudication:** the formal procedure for reviewing and evaluating the evidentiary record and report of an Investigation and for determining whether to agree with the recommended findings and to impose appropriate corrective actions (an "Adjudication").
 - Appeal: the formal procedure for determining whether to affirm, overturn, or modify the Adjudication (an "Appeal").
2. It is expected that the Complainant, the Respondent and any other person involved in the administrative procedures described in this Policy will act in Good Faith in participating in such procedures.

Section G. Prerequisites for Finding of Research Misconduct

1. A finding of Research Misconduct requires the satisfaction of all of the following prerequisites:
 - there has been a significant departure from accepted practices in the relevant research community;

- the Research Misconduct has been committed ~~intentionally, knowingly or recklessly~~Intentionally, Knowingly or Recklessly; and
- the Allegation is proven by a Preponderance of the Evidence.

~~It is expected that~~

2. Time Limits: This Policy applies only to Research Misconduct occurring within six years of the Complainant, date the University receives an Allegation, except under either of the following conditions:

- Subsequent use exception: The Respondent and any continues or renews any incident of alleged research misconduct that occurred before the six-year limitation through the use of, republication of, or citation to the portion(s) of the research record (e.g., processed data, journal articles, funding proposals, data repositories) alleged to have been fabricated, falsified, or plagiarized, for the potential benefit of the Respondent.
 - When the Respondent uses, republishes, or cites to the portion(s) of the research record that is alleged to have been fabricated, falsified, or plagiarized, in submitted or published manuscripts, submitted grant applications, progress reports submitted to funding agencies, posters, presentations, or other person involved in the administrative procedures described in research records within six years of when the Allegation was received by the University, this Policy will act in good faith in participating in exception applies.
- Exception for the health or safety of the public: If the University (in consultation with a funding agency, where required) determines that the alleged Research Misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public, this exception applies.

Section H. The Assessment Phase

1. An Institutional Official who receives an Allegation must promptly transmit such procedures. Allegation to the RIO for an Assessment.
2. The RIO, in consultation with the Chair(s) of the Standing Committee, and/or other relevant experts, is responsible for promptly conducting the Assessment.
3. Conducting the Assessment must include a determination whether the Allegation (a) falls within the definition of Research Misconduct, including the time limits provisions of this Policy, and (b) is sufficiently credible and specific so that potential evidence of research misconduct may be identified. If both criteria are met, an Inquiry is warranted. The Assessment only involves the review of readily accessible information relevant to the Allegation.
4. The RIO must keep sufficiently detailed documentation of the Assessment to permit a later review by the Standing Committee and any relevant sponsor of the reasons why an Inquiry was or was not warranted.
5. Should the Assessment conclude that Allegation does not appear to fall within the definition of Research Misconduct, but raises other potential compliance concerns, it should be referred to the appropriate office or individual for review. If the matter does not

raise compliance concerns, it may be resolved informally by the Responsible Academic Officer and others who may be appropriate.

Section I. The Inquiry Phase

1. ~~Upon receipt~~if, at the conclusion of an ~~Allegation~~Assessment, the RIO determines that an Inquiry is warranted, the Chair(s) of the Standing Committee shall (a) notify (i) the Complainant, (ii) the Respondent, (iii) the appropriate Responsible Academic Officer and (iv) if the Allegation involves a Respondent who is an Officer of Instruction, Officer of Research, Officer of the Libraries, student or member of the research staff at CUMC (a "CUMC Respondent"), the Executive Vice President for Health Sciences (the "EVPHS") of the filing of the Allegation and the sources thereof and (b) in consultation with members of the Standing Committee, select three or more persons who are Officers of Instruction, Officers of Research, Officers of the Libraries or students (the "~~Preliminary Reviewers~~Inquiry Committee"), who may or may not be members of the Standing Committee, to assess the Allegation. In selecting the ~~Preliminary Reviewers~~members of the Inquiry Committee, the Chair(s) of the Standing Committee should consider appointing a representative of the Complainant's and/or the Respondent's peer group. ~~If the Inquiry subsequently identifies additional Respondents, the Chair of the Standing Committee shall so notify them.~~
-
2. On or before the date on which a Respondent is notified of the filing of an Allegation against him/her and at any other time during the Research Misconduct proceeding when additional records or evidence are discovered, the Standing Committee shall promptly take all reasonable and practical steps to obtain custody of all of the Research Record and evidence needed to conduct the Research Misconduct proceeding, inventory the Research Record and evidence, and sequester them in a secure manner, except that where the Research Record or evidence encompasses scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.
3. The ~~Preliminary Reviewers~~Inquiry Committee shall review such evidence and interview such persons as may be necessary to make an assessment of whether the Allegation has substance and whether an Investigation is warranted.
4. If the RIO (in consultation with the Chair(s) of the Standing Committee) or the Inquiry Committee identifies additional Respondents during the Inquiry, the University is not required to conduct a separate Inquiry for each new Respondent. However, each additional Respondent must be provided notice of and an opportunity to respond to the Allegation, consistent with the other requirements of this Policy.
- 4.5. The safeguards described in Section ~~K~~M below shall be provided to the Complainant, the Respondent, any Witness and any ~~Preliminary Reviewer~~Inquiry Committee member, as applicable, during the Inquiry.
- 5.6. Upon completion of the Inquiry, the ~~Preliminary Reviewers~~Inquiry Committee shall provide the Respondent with a draft written report (the "Inquiry Report") of ~~their~~its findings and recommendation as to whether or not ~~there is sufficient evidence to undertake an Investigation~~is warranted. The ~~Preliminary Reviewers~~Inquiry Committee shall also provide

the Complainant with copies of those portions of the Inquiry Report relevant to the Complainant. The Respondent and the Complainant may comment on the draft Inquiry Report.

~~6-7.~~ Following the review by the ~~Preliminary Reviewers Inquiry Committee~~ of any comments on the draft Inquiry Report provided by the Respondent or the Complainant, the ~~Preliminary Reviewers Inquiry Committee~~ shall provide the Standing Committee with a final Inquiry Report.

~~7-8.~~ The Standing Committee may accept or reject the recommendation of the ~~Preliminary Reviewers Inquiry Committee~~ and shall promptly provide the Complainant, the Respondent and the appropriate Responsible Academic Officer with written notification of its decision, indicating in such notification the principal reasons for such decision and a copy of the final Inquiry Report.

~~8-9.~~ In general, an Inquiry should be completed within ~~60~~90 days of its initiation, provided that the Standing Committee may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section J. The Investigation Phase

1. If, at the conclusion of an Inquiry, the Standing Committee determines that an Investigation is warranted, the Chair(s) of the Standing Committee ~~Columbia University Institutional Policy on Misconduct in Research~~ shall so notify, in addition to the persons listed in Section ~~G-61.8~~ above, (a) the EVPR, (b) if the Allegation involves a CUMC Respondent, the EVPHS, and (c) if the Allegation involves federally funded research (or an application for federal funding), the applicable funding agency or agencies (collectively, the “*Funding Agency*”)-~~”) in accordance with Funding Agency requirements~~
2. The Standing Committee shall appoint ~~an ad hoc a~~ committee (the “*Ad Hoc Investigation Committee*”) to conduct the Investigation, which shall consist of at least three members, none of whom is a member of the Standing Committee or served as a ~~Preliminary Reviewer~~ member of the ~~Inquiry Committee~~ with respect to the Allegation relating to such Investigation and at least one of whom is an expert in the area of research that is the subject of such Investigation. In constituting the ~~Ad Hoc Investigation~~ Committee, the Standing Committee shall select as members those persons who have the expertise pertinent to the matter and who will carry out the Investigation thoroughly, fairly and promptly and should consider appointing a representative of the Respondent’s or the Complainant’s peer group. The Standing Committee may appoint a person who is not affiliated with the University to the ~~Ad Hoc Investigation~~ Committee if such person has the requisite expertise. The Standing Committee shall select one of the members as the Chair of the ~~Ad Hoc Investigation~~ Committee.
3. The ~~Ad Hoc Investigation~~ Committee shall:
 - use diligent efforts to ensure that the Investigation is thorough and sufficiently documented and includes the examination of all Research records and evidence relevant to reaching a decision on the merits of the Allegation;
 - take reasonable steps to ensure an impartial and unbiased Investigation to the maximum extent practicable;

- interview the Complainant, the Respondent and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation; and
 - pursue diligently all significant issues and leads discovered that are relevant to the Investigation.
4. The safeguards described in Section ~~K~~M below shall be provided to the Complainant, the Respondent, any Witness and any member of the Ad-Hoc-Investigation Committee, as applicable, during an Investigation.
5. If the RIO (in consultation with the Chair(s) of the Standing Committee) or the Investigation Committee identifies additional Respondents during the Investigation, the University is not required to conduct a separate Inquiry for each new Respondent. However, each additional Respondent must be provided notice of and an opportunity to respond to the Allegation, consistent with the other requirements of this Policy.
- 5-6. Upon completion of the Investigation, the Ad-Hoc-Investigation Committee shall provide the Respondent with (a) a draft written report (the “*Investigation Report*”) of its findings and recommendations as to whether or not a finding of Research Misconduct should be made and, if so, what corrective actions would be appropriate under the circumstances and (b) a copy of, or supervised access to, the evidence on which the Investigation Report is based. The Ad-Hoc-Investigation Committee shall also provide the Complainant with copies of those portions of the draft Investigation Report that are relevant to the Complainant. The Respondent and the Complainant may comment on the draft Investigation Report, provided that any such comments must be given to the Ad-Hoc-Investigation Committee within 30 days of receiving such draft.
- 6-7. Following the review by the Ad-Hoc-Investigation Committee of any comments on the draft Investigation Report provided by the Respondent or the Complainant, the ~~Ad-Hoc-Investigation~~ Committee shall provide the Standing Committee with a final Investigation Report.
- 7-8. The Standing Committee may accept, reject or modify the recommendations of the Ad-Hoc-Investigation Committee and shall promptly provide the Complainant, the Respondent, the appropriate Responsible Academic Officer, the EVPR and if applicable, the EVPHS and the Funding Agency, with written notification of its decision, indicating in such notification the principal reasons for such decision.
- 8-9. In general, an Investigation should be completed within ~~420~~180 days of its initiation, *provided* that the Standing Committee may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section K. The Adjudication Phase

1. If the Standing Committee accepts the Ad-Hoc-Investigation Committee’s recommendation that a finding of Research Misconduct should be made, the EVPR shall review the reports of the Ad-Hoc-Investigation Committee and the Standing Committee and shall consult with the appropriate Responsible Academic Officer and, if the Respondent is a CUMC Respondent, the EVPHS. After such review and consultation, the EVPR may accept, reject or modify the recommendations of the Standing Committee and shall promptly provide the Complainant, the Respondent, the appropriate Responsible Academic Officer and, if

applicable, the EVPHS and the Funding Agency with written notification of his/her decision, indicating in such notification the principal reasons for such decision.

2. The safeguards described in Section ~~K~~M below shall be provided to the Complainant, the Respondent, any Witness and any member of the ~~Ad Hoc~~ Investigation Committee, as applicable, during an Adjudication.
3. In general, an Adjudication should be completed within 60 days of its initiation, provided that the EVPR may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section L. Appeal

1. A Respondent shall have the right, within 30 days after his/her receipt of the notification of the EVPR's decision with respect to an Adjudication, to file a written appeal with respect to the decision of the EVPR to the Provost of the University as to either the finding of Research Misconduct or the corrective actions imposed. The Provost may affirm, overturn or modify the decision of the EVPR. The decision of the Provost shall be final in all respects with respect to the University and the Respondent shall have no further right of appeal.
2. The Provost shall promptly provide the Complainant, the Respondent, the appropriate Responsible Academic Officer and, if applicable, the EVPHS and the Funding Agency with written notification of his/her decision, indicating in such notification the principal reasons for such decision.
3. In general, an appeal should be completed within 30 days of its filing with the Provost, provided that the Provost may approve one or more reasonable extensions to the extent deemed necessary or appropriate.

Section M. Safeguards

1. **Confidentiality:** To the extent possible consistent with a fair and thorough investigation and as allowed by law, knowledge about the identity of a Complainant, a Respondent and any Witnesses shall be limited to those persons identified in this Policy and others who need to know and all written materials and information with respect to any proceedings shall be kept confidential. Those who need to know, as determined by the RIO in consultation with the Chair(s) of the Standing Committee, may include, but are not limited to, institutional review boards, journals, editors, publishers, co-authors, and collaborating institutions.
2. **Conflicts of Interest:** The Standing Committee shall take reasonable steps to ensure that all individuals responsible for carrying out any part of the administrative procedures described in this Policy do not have unresolved personal, professional or financial conflicts of interest with the Complainant, Respondent or any Witness. In extraordinary circumstances, e.g., to mitigate a potential conflict of interest, the University may, during any phase of the research misconduct process, from Assessment through Appeal, as appropriate, utilize external resources with appropriate expertise to serve in any role called for by this Policy.

3. **Safeguards for a Complainant:** In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Complainant:

- If an Allegation has been made by a Complainant in ~~good faith~~Good Faith, the University shall ensure that:
 - the Complainant is treated fairly and reasonably;
 - all reasonable and practical efforts are made to protect the Complainant from potential or actual ~~retaliation~~Retaliation;
 - the procedures described in this Policy are fair and objective; and
 - diligent efforts are made to protect or restore the position and reputation of the Complainant.

However, in the event that the Standing Committee determines that a Complainant has made an Allegation for malicious reasons, or was otherwise not acting in ~~good faith~~Good Faith in making such Allegation, the Committee shall recommend that appropriate action be taken against such Complainant.

- During an Inquiry, the Complainant shall have the right to meet with the ~~Preliminary Reviewers~~-Inquiry Committee.
- During an Investigation, the Complainant shall have the right:
 - to identify persons who have information regarding any relevant aspects of the Investigation to be interviewed by the ~~Ad Hoc~~Investigation Committee;
 - to be accompanied by counsel for advisory purposes only when appearing before the ~~Ad Hoc~~Investigation Committee; and
 - to obtain a copy of a transcript of his/her own testimony, if any, and to correct such transcript, if necessary.

4. **Safeguards for a Respondent:** In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Respondent:

- Respondent is assumed not to have committed Research Misconduct unless and until a finding of such has been made in accordance with this Policy and should be protected from penalty and public knowledge of any accusation until judged culpable. The Respondent in turn shall cooperate with the administrative procedures described in this Policy, including by providing information, research records and evidence to the University representatives referred to herein when so requested.
- The University shall not impede the ability of a Respondent to continue to do his/her work, and shall ensure that other disciplinary or adverse action not be taken, during the period of any Inquiry or Investigation unless the EVPR determines that there are compelling reasons to suspend the Respondent's work or take such action during all or a portion of such period.
- During an Inquiry, the Respondent shall have the right:
 - to meet with the ~~Preliminary Reviewers~~Inquiry Committee;

- to have reasonable access to the data and other evidence supporting the Allegation; and
- to respond to the Allegation orally and in writing.
- During an Investigation, the Respondent shall have the right:
 - to appear before the ~~Ad Hoc~~Investigation Committee to present testimony on his/her behalf;
 - to identify persons who have any information regarding any relevant aspects of the Investigation to be interviewed by the ~~Ad Hoc~~Investigation Committee;
 - to be accompanied by counsel for advisory purposes only when appearing before the ~~Ad Hoc~~Investigation Committee; and
 - to obtain a copy of a transcript of his/her own testimony, if any, and to correct such transcript, if necessary.
 - to obtain a copy of the transcript of each Complainant and Witness interview (but must not be present during such interviews).
- During an ~~appeal~~Appeal, the Respondent shall have the right to review the final Investigation Report.
- The University shall take all reasonable and practical efforts, if requested and as appropriate, to protect or restore the reputation of any Respondent against whom no finding of Research Misconduct is made.

5. Safeguards for Witnesses-

: In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Witness:

- During an Investigation, a Witness shall have the right:
 - to obtain a copy of a transcript of his/her own testimony, if any, and to correct such transcript, if necessary.
- If a Witness has cooperated with a Research Misconduct proceeding in ~~good faith~~Good Faith, the University shall ensure that:
 - all reasonable and practical efforts are made to protect such Witness from potential or actual ~~retaliation~~Retaliation; and
 - diligent efforts are made to protect or restore the position and reputation of such Witness.

~~6. Safeguards for Preliminary Reviewers and Committee Members.~~

6. Safeguards for Committee Members: In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to members of the Standing Committee and any Inquiry or Investigation Committee:

- The University shall ensure that:
 - all reasonable and practical efforts are made to protect a ~~Preliminary Reviewer or a~~ member of the Standing Committee ~~or~~and any ~~Ad Hoc~~Inquiry or Investigation Committee from potential or actual ~~retaliation~~Retaliation; and

- diligent efforts are made to protect or restore the position and reputation of ~~such Preliminary Reviewer or~~ Committee member.

~~7.~~ **Guarantees.**

7. ~~7.~~ If, as a result of a finding of Research Misconduct, a Respondent with whom a Complainant or Witness works loses funding for his/her research, the University will guarantee the salary, stipend or tuition of the Complainant or Witness, as follows:

- Officers of Instruction: salary in accordance with University statutory provisions;
- Officers of Research: salary or stipend until the later of (x) the last day of the Complainant's or Witness' then current appointment period and (y) the date that is six months after the last day on which the Complainant or Witness was paid from the terminated funding (the "Six-Month Date");
- Other Officers and members of the support staff: salary until the Six-Month Date; and
- Students enrolled in pursuit of a degree: stipend and tuition in accordance with the commitment made to the student by his/her School, subject to the student remaining in good academic standing; provided that any such guarantee will terminate when the Complainant or Witness receives funding from an alternate source or accepts an offer of other employment

8. **Corrective Actions and Penalties.**

- The purpose of the procedures described in this Policy is remedial. The corrective actions with respect to any finding of Research Misconduct shall be commensurate with the seriousness of the Research Misconduct, including, without limitation, the degree to which the Research Misconduct was knowing, intentional or reckless; was an isolated event or part of a pattern; or had significant impact on the Research Record, Research subjects, other researchers, the University, other institutions or the public.
- No penalty involving dismissal from the University or other serious sanction may become effective except in accordance with the provisions of the University's Code of Academic Freedom and Tenure.

Section N. Notification to Funding Agency and Others

1. In addition to the notices to any Funding Agency provided for in Sections ~~H, I, K,~~ and ~~JL~~ above, the EVPR shall, during the course of any phase of the administrative procedures provided for in this Policy with respect to an Allegation, notify the Funding Agency if any of the following events shall occur with respect to Research funded by such Funding Agency:

- if public health or safety is at risk;
- if the resources or interests of such Funding Agency are threatened;
- if research activities should be suspended;

- if there is reasonable indication of possible violations of civil or criminal law;
 - if federal action is requested to protect the interests of those involved in the investigation;
 - if the EVPR believes that the administrative processes may be made public prematurely, so that appropriate steps may be taken to safeguard evidence and protect the rights of those involved; or
 - if the research community or the public should be informed.
2. Upon the completion of the administrative procedures provided for in this Policy, if there has been a finding of Research Misconduct, notification of such will be given to journals and societies to which erroneous, inaccurate or fraudulent papers or abstracts have been submitted, and to past and present collaborating investigators and other institutions and research agencies with which the Respondent is or was previously affiliated to the extent deemed appropriate by the Standing Committee.

Annex A

Terms Applicable to Research Funded by the Public Health Service of the U.S. Department of Health and Human Services.

This Annex sets forth additional provisions from the ~~Public Health Service (“PHS”) Policies on Research Misconduct (the “PHS Policies”) of the Department of Health and Human Services applicable to Allegations of Research Misconduct involving PHS Research~~ PHS Final Rule.

Section A. Definitions

For purposes of this Annex, the following terms have the meanings set forth below:

“Accepted practices of the relevant research community”: those practices established by 42 CFR part 93 and by PHS funding components, as well as commonly accepted professional codes or norms within the overarching community of researchers and institutions that apply for and receive PHS awards.

“PHS Research”: (i) Applications or proposals for PHS support for biomedical or behavioral extramural or intramural research, biomedical or behavioral research training, or activities related to that research or research training, ~~such as the operation of tissue and data banks and the dissemination of research information~~; (ii) PHS-supported biomedical or behavioral extramural or intramural research; (iii) PHS-supported biomedical or behavioral extramural or intramural research training programs; (iv) PHS-supported extramural or intramural activities that are related to biomedical or behavioral research or research training, such as, but not limited to, the operation of tissue and data banks or the dissemination of research information; ~~and~~ (v) ~~Plagiarism of research~~ Research records produced ~~in the course of~~ during PHS-supported research, research training or activities related to that research or research training; and Research proposed, performed, reviewed, or reported, as well as any research record generated from that research, regardless of whether an application or proposal for PHS funds

resulted in an awarded grant, contract, cooperative agreement, subaward, or other form of PHS support.

Section B. The Inquiry Phase

1. The Inquiry Report must include the following information:

- ~~the name~~The names, professional aliases, and position~~positions~~ of the Respondent; and Complainant(s).
- ~~a~~A description of the ~~Allegation;~~allegation(s) of research misconduct.
- Details about the PHS ~~support~~funding, including any grant numbers, grant applications, contracts, and publications listing PHS support.
- ~~the~~The composition of the Inquiry Committee, if used, including name(s), position(s), and subject matter expertise.
- An inventory of sequestered research records and other evidence and description of how sequestration was conducted.
- Transcripts of interviews, if transcribed.
- Inquiry timeline and procedural history.
- Any scientific or forensic analyses conducted.
- The basis for recommending that the ~~alleged actions~~allegation(s) warrant an ~~investigation;~~ and investigation.
- anyThe basis on which any allegation(s) do not merit further investigation.
- Any comments on the Inquiry Report by the Respondent or the Complainant:(s).
- Any institutional actions implemented, including internal communications or external communications with journals or funding agencies.
- Documentation of potential evidence of honest error or difference of opinion.

Section C. The Investigation Phase

1. An Investigation must be initiated within 30 days after the Standing Committee's determination that an Investigation is warranted.
2. Interviews: The Investigation Committee must interview each Respondent, Complainant, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation, including witnesses identified by the Respondent, and record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the record of the investigation.

- Interviews during the investigation must be recorded and transcribed.
- Any exhibits shown to the interviewee during the interview must be numbered and referred to by that number in the interview.
- The transcript of the interview must be made available to the relevant interviewee for correction.
- The transcript(s) with any corrections and numbered exhibits must be included in the institutional record of the Investigation.
- The respondent must not be present during the witnesses' interviews but must be provided a transcript of the interview.

2.3. The final Investigation Report must include the following information:

- a description of the nature of the Allegations; allegation(s) of Research Misconduct; including any additional allegation(s) addressed during the research misconduct proceeding.
- a description and documentation of the PHS support, including, for example, any grant numbers, grant application, contracts and publications listing PHS support;
- a description of the specific Allegations of Research Misconduct for consideration in the Investigation;
- composition of the Investigation Committee, including name(s), position(s), and subject matter expertise.
- inventory of sequestered research records and other evidence, except records the institution did not consider or rely on; and a description of how any sequestration was conducted during the investigation. This inventory must include manuscripts and funding proposals that were considered or relied on during the Investigation.
- transcripts of all interviews conducted.
- identification of the specific published papers, manuscripts submitted but not accepted for publication (including online publication), PHS funding applications, progress reports, presentations, posters, or other research records that allegedly contained the falsified, fabricated, or plagiarized material.
- any scientific or forensic analyses conducted. if not already provided with the Inquiry Report, copies to ORI, a copy of this Policy;
- ~~a summary of the Research Record and evidence reviewed, and any evidence taken into custody but not reviewed; and~~
- any comments made by the Respondent and Complainant on the draft Investigation Report and the Investigation Committee's consideration of those comments.

- a statement for each separate Allegation identified during the Investigation, a finding as to allegation of whether the Investigation Committee recommends a finding of research misconduct.
- if the Investigation Committee recommends a finding of Research Misconduct did or did not occur and if so for an allegation, the Investigation Report must, for that allegation:
 - a statement identify the individual(s) who committed the research misconduct.
 - Indicate whether the Research Misconduct was Falsification, Fabrication and/or Plagiarism, and if it was intentional, knowing, or in reckless disregard;
 - a summary of indicate whether the research misconduct was committed intentionally, knowingly, or recklessly.
 - state whether there was a significant departure from accepted practices of the relevant research community and whether the allegation was proven by a preponderance of the evidence.
 - summarize the facts and the analysis which support the conclusion and consider the merits of any reasonable explanation by the Respondent;
 - a description of identify the specific PHS support;
 - an indication of identify whether any publications need correction or retraction;
 - if the Investigation Committee does not recommend a description finding of the person(s) responsible for the Research Misconduct;
- for an allegation, the Investigation Report must provide a description detailed rationale.
- a list of any current support or known applications or proposals for support that the Respondent has pending with PHS and non-PHS federal/Federal agencies; and
 - any comments made by the Respondent or the Complainant on the draft Investigation Report

Section D. Record Retention and Submission

1. The University shall must maintain records the institutional record and all sequestered evidence including physical objects (regardless of research misconduct proceedings whether the evidence is part of the institutional record) in a secure manner for 7seven years after completion of a research misconduct the proceeding or the completion of any PHS/HHS proceeding involving the research misconduct allegation under 42 C.F.R. Part 93, Subparts subparts D and E of this part, whichever is later, unless custody has been transferred to HHS under 42 C.F.R. Sec. 93.317(c) paragraph (b) of this section or ORI has advised the institution advises otherwise in writing that it no longer needs to retain.
2. On request, the records) in compliance with § 93.317(b). The records to be maintained include University must transfer custody, or provide copies, to HHS of the inquiry report and

~~final documents produced~~institutional record or any component of the institutional record and any sequestered evidence (regardless of whether the evidence is included in the institutional record) for ORI to conduct its oversight review, develop the administrative record, or present the administrative record in the course of preparing inquiry report.~~any proceeding under 42 C.F.R. Sec. 93, Subparts D and E.~~

**RESOLUTION TO APPROVE AN ACADEMIC PROGRAM LEADING TO THE
Ph.D. IN TECHNOLOGY, MEDIA, AND LEARNING
(Teachers College)**

WHEREAS the rapid pace of technological innovation continues to transform the way technology mediates information, communication, and learning, and

WHEREAS the relationship between human cognition and technological information systems is evolving in unprecedented ways, requiring new theories and methodologies of study; and

WHEREAS Teachers College has proposed this program to provide a research-focused counterpart to the existing Ed.D. program, allowing students to conduct cutting-edge research into the relationship between learning and technology; and

WHEREAS the program would require 150 weeks of full-time study and the completion of 75 credits, with up to 30 transfer credits accepted from previous graduate work; and

WHEREAS the program would expect to enroll two to three students per year and to reach a steady state of ten to fifteen students by year five, and expects no new hiring of full-time faculty or staff; and

WHEREAS talented researchers in master's programs often leave Columbia University for peer institutions throughout the Northeast who offer similar Ph.D. programs; and

WHEREAS the University Senate Education Committee has favorably reviewed the program;

THEREFORE BE IT RESOLVED that the University Senate approve the establishment of the Ph.D. in Technology, Media, and Learning, and

BE IT FURTHER RESOLVED that the University Senate Education Committee will review the program in 2031, five years after its expected launch.

Proponent: Education Committee



PROPOSAL FOR A NEW DEGREE, NEW DEGREE FROM AN EXISTING TRACK, NEW CERTIFICATE, OR NEW CERTIFICATION OF PROFESSIONAL ACHIEVEMENT (CPA) PROGRAM

Please insert the requested information in the table below:

Degree:	Ph.D.
Program Name:	Technology, Media, and Learning
If this program is currently a track in an existing program but has evolved as a stand-alone program, please indicate the program it's based on:	N/A
Sponsoring School(s):	Teachers College
Proposed Start Date:	AY 2027-28
Name and Email Address of the Primary Contact Person for this Proposal:	Ioana Literat, il2311@tc.columbia.edu Nathan Holbert, nh2118@tc.columbia.edu
Date of Proposal Submission:	April 15, 2025 (Revised: December 5, 2025)

DESCRIPTION OF THE PROGRAM

Please complete the questions below and submit this document and the external reviewer list (if applicable) through the APAS system (<https://apas.provost.columbia.edu/>) to begin the review process. *Please note: Firefox is the recommended browser for APAS; functionality may be less optimal when using Internet Explorer or Chrome.*

1) Purpose

- A) Describe in 1-2 paragraphs the purpose of the proposed program, its target audience, its content, and its format/pedagogical approaches.

The Ph.D. in Technology, Media, and Learning (TML) is concerned with the nature of information and knowledge, and the technological systems in which it is embedded, transmitted, and transformed. The program prepares students to understand the materiality and structure of techno-social systems, gather empirical data on how technological design influences knowledge construction and refinement, and develop theories about the cognitive, social, and cultural dimensions of information communication and transformation.

This new Ph.D. program builds on our faculty's recognized contributions to research on learning theory, the design of learning technologies and environments, multimodal literacies, and technology-mediated social interaction. Students in the program will engage with the ideas, practices, and methods of the field through face-to-face instruction, affiliation with faculty research labs, research apprenticeships on externally funded research projects, and independent research. They will also present their work at academic conferences and contribute and first author a range of scholarly publications. The curriculum emphasizes theoretical frameworks for the study of technology and learning, while developing students' methodological expertise through advanced training in both established and emerging methodologies (including quantitative, qualitative, computational, experimental, multimodal and digital research methods). Furthermore, as the technological landscape of the field is constantly changing, student research will often involve developing new methodological approaches for studying emerging technologies in learning contexts.

- B) How does the new program relate to ongoing programs? Will it replace any existing program(s)? Does the proposed program completely or partially duplicate (an) existing program(s) in any other unit of the University?

This Ph.D. program represents a distinct research-focused degree separate from our existing Ed.D. program. While the Ed.D. emphasizes applied research and practice, the Ph.D. will focus on theory-building, contributing foundational knowledge about cognitive, social, and cultural dimensions of learning with technology.

The program has no direct overlap with other Columbia University programs, though we have established collaborative relationships with several departments, programs, and centers at the University. Our faculty hold formal appointments, lead initiatives, and sustain long-term research partnerships across multiple CU schools and centers, including Computer Science, Law, Journalism, Public Health, Engineering, Barnard, Global Centers, and the Center for Teaching and Learning. Faculty regularly contribute through joint grants, guest lectures, workshops, advisory boards, and shared research infrastructure. Columbia and Barnard students participate in our courses and labs, while TC students have taken coursework at CU. The Ph.D. in Technology, Media, and Learning will formalize and strengthen these existing ties.

Examples of existing collaborations include:

- Prof. Paulo Blikstein serves as Affiliate Associate Professor of Computer Science and Director of the Lemann Center for Brazilian Studies at ILAS, collaborating across Computer Science, Political Science, Sociology, History, and Public Health, and co-leading federal grant work with CU faculty.
- Prof. Lalitha Vasudevan collaborates with the Law School on multimodal legal resources for incarcerated learners, serves with the Journalism School through the Spencer Education Journalism Fellowship, and is a member of the Mailman-based SURGE collective.
- Prof. Nathan Holbert collaborates with Barnard Computer Science, supporting shared lab meetings and cross-institutional student research.
- Prof. Ellen Meier serves on the Center for Teaching and Learning Advisory Board and participates in Provost-level teaching and learning initiatives.
- Our faculty maintain active partnerships with Columbia Global Centers on international research and public scholarship projects.

2) Need

A) Why is the proposed program needed locally, statewide or nationally?

The rapid evolution of technology -- such as artificial intelligence, virtual and augmented reality, social media, digital games, and more -- has transformed how humans encounter, engage with, and modify information systems. While humans have always acted in the world with and through technology, the fully networked nature of computational systems that have been bent towards machine learning and self-growing algorithms has resulted in a society where the boundary between humans and technology are invisible and, in many cases, inseparable. This has created an urgent need for reflection and revision of our understanding of human cognition, and the development of an advanced understanding of the construction and inner-workings of techno-social systems of knowledge and communication. Put simply, the world needs people that have a deep understanding of cognition, the design of technology, and the relationship between the two. Our program addresses three critical needs:

- **Theory Building:** The field requires researchers who can develop and test theories about how thinking and learning intersect with and are changed by emerging technologies. This need is all the more pressing with the continued evolution of internet and networking technologies and the introduction of entirely new classes of technologies such as AI that promise/threaten to fundamentally transform educational practices and spaces.
- **Research Leadership:** Top institutions and research organizations need scholars who can lead cutting-edge development and empirically grounded investigations into fundamental questions about technology and learning while critically considering the ethical dimensions of emerging technologies.
- **Knowledge Generation:** The expansion and evolution of technology demands scholars who can contribute new knowledge about how technological innovations impact learning processes and outcomes, and can quickly adapt existing knowledge to new socio-technical systems.

B) Have students at the University or elsewhere requested this program? How many?

We receive approximately 60 doctoral applications annually, with many candidates specifically seeking research training. Current graduate students and prospective applicants frequently inquire about Ph.D. opportunities, demonstrating strong demand for this degree. We often work closely with masters students in our labs, instilling research skills and cultivating their passion, yet later lose these outstanding candidates to our competitors (e.g., Stanford, Northwestern, Harvard, Michigan, Berkeley, Vanderbilt, etc.) who do offer PhD degrees in this field.

- C) If the program is career or professionally oriented, have persons in the profession or career requested establishment of the program? Have the employment needs of professionals in the field been taken into account when designing the program?

While we expect a significant number of our graduates to go into academic careers, industry leaders in educational technology increasingly cite the need for researchers with deep theoretical knowledge and advanced methodological training. These organizations -- many of whom we have established partnerships with (e.g. Google, Sesame Workshop) -- seek Ph.D. graduates who can conduct rigorous research on learning with technology.

Indeed, given rapid advances in new media and learning technologies (e.g., artificial intelligence, virtual and augmented reality, participatory online platforms, digital games, etc.) -- as well as a proliferation of educational programs and policies around these technological advances (e.g., STEM education, CSforAll, makerspaces, etc.) -- the employment prospects for researchers with expertise in such areas are extremely promising, both within and outside of academia. We have provided some examples of such positions in Section 6D.

- D) What other institutions in the metropolitan area and in the Northeast offer similar programs?

Within NYC, NYU Steinhardt offers a similar program: Ph.D. in Educational Communication and Technology, which admits 2-4 students annually. Notable competitors in the Northeast include Harvard's PhD in Learning Sciences and Education, MIT's Media Arts and Sciences PhD program, University of Pennsylvania's PhD in Learning Sciences and Technologies, and Rutgers' PhD in Communication, Information, and Media.

3) Curriculum

- A) Provide a brief summary of the program, in the form of a one-paragraph catalogue or website description.

The Ph.D. in Technology, Media, and Learning prepares scholars to conduct research on how technological innovations shape learning environments and processes. Through advanced coursework, research apprenticeships, and independent investigation, students develop theoretical expertise while mastering both quantitative and qualitative research methods. The program emphasizes theoretical development, methodological rigor, and original contributions to knowledge about thinking and learning in complex techno-social systems. Graduates emerge prepared to lead research initiatives in academic, industry, and policy contexts.

- B) Indicate the **minimum total number of credits** (or clock hours, as appropriate) required for completion of the program, as well as any other program requirements (e.g., final paper, field placement, capstone project). For Bachelor's programs, please indicate both the total number of points required for graduation (e.g., 124 or 128), as well as the minimum number of points within the major or concentration. Also note that the minimum number of points is 30 for Master's programs, 20-24 for Certificate programs, and 12 for Certification of Professional Achievement (CPA) programs.

Per Teachers College requirements, a minimum of 75 points, including up to 30 transfer credits accepted from previous graduate work.

Additional Requirements:

- **MSTU 5025: Researching Technology in Educational Environments.** All doctoral students will take this 3-credit foundational methods course, which exposes them to major methodological paradigms in our field and examines how scholars align theories, research questions, methods, and forms of

evidence. Taking this required course ensures that all Ph.D. students begin with a shared methodological foundation before moving into more advanced or specialized methods work.

- **Doctoral Colloquium.** All doctoral students will participate in the Doctoral Colloquium (a yearlong course taken for 3 credits in their first four years of study, for a total of 12 credits). Led by the program director, the Doctoral Colloquium aims to professionalize doctoral students as emerging researchers, while engaging them in discussion of critical issues and key works in the field.
- **Certification requirements.** There are 3 requirements for certification: a) the certification exam, b) the pilot study and c) the literature review.
 - Students take a certification exam at the end of their core coursework (typically in their 2nd year of doctoral studies). This is a take-home exam, written over a three-day period. The first part of the exam consists of a mandatory question that probes students' foundational knowledge of social, cultural and cognitive approaches to the study of technology and education. The second part of the exam allows students to choose one question out of three possible choices, in accordance with their research interests; this question tests students' readiness to engage in advanced research work, by asking them to design research studies according to specific scenarios or to apply a research lens to real-world examples. The questions are developed anew every semester by program faculty, by rotation. After the exams are returned, each exam is read and scored by all tenured/tenure-track faculty, who meet as a group to discuss students' exams. Students' names are removed from their exam and the exams are then circulated during the meeting of the faculty. The exam is read and discussed and a decision is made about its grade. Exams are rated as High Pass, Pass, or Failure. Students who fail the Qualifying Exam are able to take the exam one additional time. If they fail a second time they may not continue in the program.
 - Students design, execute and write up a pilot research study that aims to prepare them for dissertation work. Generally, this is a smaller-scale version of the dissertation project, or a separate project related to the topic. The pilot study is conducted under the close guidance of their faculty advisor / dissertation sponsor, who needs to read and approve it as complete.
 - Finally, students will write a comprehensive literature review related to their dissertation research. This review of literature will demonstrate the capacity to identify, organize, interpret, and critique a range of scholarship, and will build a foundation for the second chapter of the dissertation. The literature review will be read and approved by the dissertation sponsor.
- **Doctoral Dissertation.** The dissertation submitted for the Ph.D. in TML is an extensive written document reporting a disciplined, scholarly investigation of an issue at the intersection of technology and education. The steps to completing a dissertation include:
 - Dissertation prospectus: The student prepares a dissertation prospectus, which is meant to assess the feasibility of their dissertation plans, and which generally includes a statement of the purpose, a review of the literature, theoretical framing or conceptual framework, research question(s), research design (including plans for data collection and data analysis), and timeline. The prospectus defense hearing starts with a brief oral presentation of this content, followed by discussions with the committee, which includes the dissertation sponsor and at least two additional faculty members. Doctoral dissertation proposals must be approved in writing by a committee of at least three faculty: at least two must be department faculty named on the GSAS list of approved dissertation advisors; a third can be from within the department, from another department at Columbia, or from outside the university (with GSAS permission). Students will register for the Dissertation Seminar (MSTU 7501 for 1 point) when presenting the Dissertation Prospectus, and for MSTU 8900 (i.e.,

dissertation advisement) in every semester thereafter, until the final defense of the dissertation when students will register for TI8900, PHD Dissertation Defense. Students must defend the prospectus successfully by May 31 of their fourth year, though most students will defend it in Year 3, following the completion of coursework.

- IRB review: After the successful dissertation proposal hearing, the student applies for Institutional Review Board (IRB) approval. IRB approval is required regardless of whether or not the student intends to use human subjects.
- Oral defense of the dissertation: The purpose of the Dissertation Oral Defense is to determine the acceptability of the dissertation and to assess the need for revisions prior to preparation of the deposit. The Dissertation Oral Defense is held on a set date and a specific time for two hours. The student will be asked to make a presentation (usually 15-20 minutes), giving an overview of their research. The assembled committee will then engage the student in a discussion of the study. Per GSAS guidelines, the doctoral defense will be conducted by a final defense committee that is composed of exactly five members. Three of the members of the final defense committee must be inside examiners (holding a formal appointment or approved as a dissertation sponsor in the doctoral candidate's home department, program, or Teachers College), and at least one (but preferably two) of the five must be an outside examiner, as defined by the GSAS. Following the discussion and private deliberations by the committee, the committee will vote whether the dissertation approved as submitted, approved pending revisions, referred, or failed.

The quality of the dissertation will be determined by the candidate's demonstrated performance in the following areas:

1. Originality and significance: The dissertation addresses a novel research question, contributing new knowledge, insights, or solutions that are of significant importance to the field. It demonstrates a clear understanding of existing research and identifies gaps that need to be filled.
2. Research design: The dissertation employs appropriate research methods that are rigorous, ethically sound, and well aligned with the research objectives. Data collection and analysis processes are systematic, well-documented, and aligned with the research question(s).
3. Critical analysis: The dissertation demonstrates advanced critical thinking and analytical skills. Data is well analyzed and findings are synthesized with the existing body of knowledge to highlight contributions and implications.
4. Theoretical integration: The dissertation is grounded in a solid theoretical framework that demonstrates a deep understanding of relevant concepts.
5. Contribution to the field: The dissertation makes a substantial contribution to the field, with implications for theory, policy, practice, and/or future research. It clearly communicates the significance of the findings and how they can advance knowledge and improve educational outcomes.
6. Clarity and organization: The dissertation is well-written and appropriately structured and formatted.

- **En Route MA and MPhil Requirements:**

- Students who enter the program without a relevant master's degree will complete a Master of Arts (MA) en route to the Ph.D., upon successful completion of two Residence Units and required coursework. Students who already hold a relevant MA may be granted two Residence Units of advanced standing in lieu of the en route MA.

- In either case, students must complete a total of six Residence Units to be eligible for the Master of Philosophy (MPhil) degree, which is required for the Ph.D. In addition to the Residence Unit requirement, students must complete three program certification milestones prior to receiving the MPhil (each described above):

1. Certification Exam;
2. Pilot Study;
3. Comprehensive Literature Review.

Upon completion of these milestones and fulfillment of the RU requirements, the MPhil will be awarded, enabling students to proceed to the dissertation phase of the Ph.D.

- C) Please use the table below to list the required, elective, and selective coursework. “Selective” coursework consists of a list of courses from which a student must select a minimum number of credits (but need not take all courses on the list).

REQUIRED COURSES		Course Number (indicate if course is NEW)	Course Title & Instructor	Indicate whether course is fully, partially, or not at all online	# of Credits
Minimum number of required credits = <u> 3 </u>	TC	MSTU 5025	Researching Technology in Educational Environments	Not online	3
	TC	MSTU 6600	Doctoral Colloquium	Not online	3
	TC	MSTU 6601	Doctoral Colloquium	Not online	3
	TC	MSTU 6602	Doctoral Colloquium	Not online	3
	TC	MSTU 6603	Doctoral Colloquium	Not online	3
	TC	MSTU 7501	Dissertation Proposal Seminar	Not online	1
	TC	MSTU 8900	Dissertation Advisement	Not online	0
	TC	TI 8900	PhD Dissertation Defense	Not online	0
SELECTIVE COURSES:					
<u>Foundational Knowledge</u>					
Students must take one course from each foundational area (at least 3 must be 5000-level and up) = <u> 15 credits </u>	School	Course Number (indicate if course is NEW)	Course Title & Instructor	Indicate whether course is fully, partially, or not at all online	# of Credits
Cognitive Theory and Technology	TC	MSTU 4088	Introduction to the Learning Sciences and Educational Technology	Not online	3
	TC	MSTU 5035	Technology and Metacognition	Not online	3
Social Theory and Technology	TC	MSTU 4005	Equity, Ethical, and Social Issues in Educational Technology	Not online	3
	TC	MSTU 4016	The History of Communication	Not online	3
	TC	MSTU 5010	Boundaries and Theories of Learning with Technological Artifacts	Not online	3

	TC	MSTU 5020	Computer-Mediated Communication	Not online	3
Cultural Theory and Technology	TC	MSTU 4028	Technology & Culture	Not online	3
	TC	MSTU 5002	Culture, Media, and Education	Not online	3
	TC	MSTU 5004	Digital Geographies and Virtual Spaces	Not online	3
	TC	MSTU 5606	Theoretical Approaches to Communication and Culture	Not online	3
Technology and Educational Change	TC	MSTU 4083	Instructional Design of Educational Technology	Not online	3
	TC	MSTU 5001	Assessing the Impact of Technology in Schools	Not online	3
	TC	MSTU 5515	New Media Teaching and Learning	Not online	3
Design as Inquiry: Theory and Practice	TC	MSTU 5027	Tools and Toys for Knowledge Construction	Not online	3
	TC	MSTU 5180	Beyond Bits and Atoms	Not online	3
	TC	MSTU 5181	Beyond Bits and Atoms Lab	Not online	1-3
	TC	MSTU 5003	Theory and Programming of Interactive Media	Not online	3
SELECTIVE COURSES: Research Methods		Course Number (indicate if course is NEW)	Course Title & Instructor	Indicate whether course is fully, partially, or not at all online	# of Credits
Minimum number of credits = <u>12 credits</u>	School				
	TC	MSTU 6100	Digital Research Methods	Not online	3
	TC	MSTU 6532	Seminar in Communication, Media, and Learning Technologies Design	Not online	3
	TC	C&T 5502	Introduction to Qualitative Research in Curriculum and Teaching	Not online	3
	TC	ITSF 5000	Methods of Inquiry: Ethnography and Participant Observation	Not online	3
	TC	ITSF 5009	Social Network Analysis	Not online	3
	TC	HUDK 4050	Core Methods in Educational Data Mining	Not online	3
	TC	HUDM 4122	Probability and statistical inference	Not online	3
	TC	HUDM 5122	Applied Regression Analysis	Not online	3
	TC	HUDM 5123	Linear models and experimental design	Not online	3
	TC or CU	Other courses chosen in consultation with advisor to support research specialization			

ELECTIVE COURSES					
Minimum number of credits = <u>15 credits</u>	School	Course Number (indicate if course is NEW)	Course Title & Instructor	Indicate whether course is fully, partially, or not at all online	# of Credits
	TC	MSTU 5000	Virtual Reality, Augmented Reality, Mixed Reality, and Games as Learning Tools	Not online	3
	TC	MSTU 5013	Theory and Programming of Interactive Media: Part II	Not online	3
	TC	MSTU 5015	Research in Serious Games	Not online	3
	TC	MSTU 5029	Technology Leadership and Schools	Not online	3
	TC	MSTU 6000	Advanced Design of Educational Games	Not online	3
	TC	MSTU 6901	Research and Independent Study in Communication, Computing, and Technology in Education	Not online	3
	TC or CU	Other courses chosen in consultation with advisor to support research specialization			

D) Provide a sample schedule showing the courses the students will take during each term of the program. For elective or selective courses, simply enter “elective” or “selective.”

NOTE: This sample schedule also accounts for transfer credits. Per Teachers College stipulations, students can transfer up to 30 credits.

Semester 0: TRANSFER COURSES			
Course Number & Title	Credits	New?	Prerequisites
Transfer courses	16		
TOTAL CREDITS FOR SEMESTER:	16		
Semester 1 (Fall)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 5025 Researching Technology in Educational Environments	3		
MSTU 5035 Technology and Metacognition	3		
MSTU 5027 Tools and Toys for Knowledge Construction	3		
MSTU 6600 Doctoral Colloquium	3		
TOTAL CREDITS FOR SEMESTER:	12		
Semester 2 (Spring)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 5010 Boundaries and Theories of Learning with Technological Artifacts	3		
Methods Selective	3		
Elective	3		
MSTU 6600 Doctoral Colloquium (<i>yearlong course with continuous registration; credits applied in fall</i>)	0		
TOTAL CREDITS FOR SEMESTER:	9		
Semester 3 (Fall)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 5002 Culture, Media, and Education	3		
MSTU 6100 Digital Research Methods	3		

Elective	3		
MSTU 6601 Doctoral Colloquium	3		
TOTAL CREDITS FOR SEMESTER:	12		
Semester 4 (Spring)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 5515 New Media Teaching and Learning	3		
MSTU 6901 Research and Independent Study	1		
Methods Selective	3		
Elective	3		
MSTU 6601 Doctoral Colloquium (<i>yearlong course with continuous registration; credits applied in fall</i>)	0		
TOTAL CREDITS FOR SEMESTER:	10		
Semester 5 (Fall)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 6532 Seminar in Communication, Media, and Learning Technologies Design	3		
Methods Selective	3		
Elective	3		
MSTU 6602 Doctoral Colloquium	3		
TOTAL CREDITS FOR SEMESTER:	12		
Semester 6 (Spring)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 7501 Dissertation Proposal Seminar	1		
MSTU 6602 Doctoral Colloquium (<i>yearlong course with continuous registration; credits applied in fall</i>)	0		
TOTAL CREDITS FOR SEMESTER:	1		
Semester 7 (Fall)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 8900 Dissertation Advisement	0		
MSTU 6603 Doctoral Colloquium	3		
TOTAL CREDITS FOR SEMESTER:	3		
Semester 8 (Spring)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 8900 Dissertation Advisement	0		
MSTU 6603 Doctoral Colloquium (<i>yearlong course with continuous registration; credits applied in fall</i>)	0		
TOTAL CREDITS FOR SEMESTER:	0		
Semester 9 (Fall)			
Course Number & Title	Credits	New?	Prerequisites
MSTU 8900 Dissertation Advisement	0		
TOTAL CREDITS FOR SEMESTER:	0		
Semester 10 (Spring)			
Course Number & Title	Credits	New?	Prerequisites
TI 8900 PhD Dissertation Defense	0		
TOTAL CREDITS FOR SEMESTER:	0		

- E) Please provide the typical number of weeks in the Academic Year for this program, counting Fall and Spring semesters. Note that regulations define a “week” as any 7-day period in which ANY instructional activity occurs; this includes classes, discussion sections, labs, exam periods, and study periods. A single activity in a given week counts as a week of school. Virtually the only weeks not to be counted are orientation week and vacation weeks.

30 weeks (15 weeks each fall and spring semester)

- F) Please also indicate the number of weeks IN TOTAL that it would take a typical full-time student to complete the program. For example, for a one-year MS program, which can typically be completed in Fall and Spring terms, you would likely provide the same answer you gave immediately above (for weeks in the academic year). If a program requires 2 years of study, then you would multiply the number of weeks in the academic year by 2. If summer terms are included, please include 6-10 weeks, as appropriate, for each summer term

150 weeks (generally, this amounts to 5 academic years if the students do not take summer courses, or 4 years if they do).

- G) Does the proposed program rely to a significant extent on courses that are offered by other parts of the University? If so, identify those courses and confirm that you have discussed course availability and capacity with the unit in which those courses are housed.

No

- H) For any new courses to be developed for this program, provide a draft syllabus and include information on when the courses have been or will be approved by the appropriate Committee(s) on Instruction.

N/A

- I) Indicate whether course credits earned in the proposed program can also be counted toward another degree or certificate.

N/A

4) Library Resources

- A) Have you consulted with a library subject specialist about what library resources (e.g., books, databases, journals, streaming video or audio, data sets, etc.) or other support (research consultations, library instruction, etc.) you anticipate needing for this program? If yes, please list those resources expected below.

N/A. All necessary resources are already available through the Gottesman Libraries and the Digital Futures Institute at Teachers College.

5) Faculty

- A) Provide the name of the program director and the percent of time this individual will dedicate to leadership of the program.

Dr. Ioana Literat would direct the Ph.D. program in AY 25-26, devoting 25% of her time.

- B) Indicate if the program will require the hiring of new faculty either at its inception or by the time it reaches steady state. If so, indicate the number of new faculty it will require, divided between full- and part-time, the subjects they will teach and the year(s) of their initial appointment.

Since we plan to admit a limited number of students, we do not anticipate needing to hire new faculty. A newly hired tenure-track Assistant Professor joined us in Fall 2025. We expect this newly hired faculty to work closely with doctoral students, and to teach both required courses and new research courses in their area of expertise.

6) Students

- A) Describe the requirements for admission to the program.

The application process requires submission of several key documents. Applicants must provide a personal statement articulating their research interests and goals, along with a scholarly writing sample that demonstrates their academic capabilities. Three letters of recommendation from research supervisors or scholars familiar with the applicant's work will be required, as well as complete academic transcripts from all previous institutions. A comprehensive curriculum vitae or resume should detail the applicant's academic and professional experience. International applicants must also submit TOEFL or IELTS scores demonstrating English language proficiency.

The faculty evaluates applications based on several essential criteria. While a master's degree in education, communication, media studies, information technology, computer science, or a related field is preferred, we will consider candidates' overall academic preparation and performance. The admissions committee looks for evidence of research experience or clear potential for doctoral-level research, as demonstrated through past projects, publications, or professional work. Candidates should present a well-developed research agenda that aligns with our program's strengths and faculty expertise.

Following initial application review, the program invites promising candidates for interviews with the faculty committee. These interviews allow for in-depth discussion of research interests and fit, while providing candidates an opportunity to learn more about our program's resources and opportunities.

- B) Provide the anticipated enrollments of students in the program's first five years, and ultimate enrollment once it reaches steady state. Indicate the number of years it will take to grow the program to its full size.
- Year 1: 2-3 students
 - Year 2: 2-3 new students; 4-6 total
 - Year 3: 2-3 new students; 6-9 total
 - Year 4: 2-3 new students; 8-12 total
 - Year 5: 2-3 new students; 10-15 total (steady state)
- C) If this is a dual-degree program, either between schools of the University or a joint program in collaboration with another institution, describe the support the students will receive from the participating schools or institutions and how the program will ensure that they have access to the courses and resources they will need to complete its requirements.

N/A

- D) Describe the types of positions for which the program will qualify its students.
- Within academia, we expect that graduates from our PhD program will be in high demand not only for faculty jobs in graduate programs in education and learning sciences, but also in other adjacent disciplines with an interest in technology and learning, such as communication, media studies, or computer science.
 - Outside of academia, graduates of this program would be well-positioned for research leadership roles across multiple sectors. In technology companies, they can serve as Learning Sciences Researchers, Educational Technology Research Directors, or Learning Experience Research Leads, shaping how emerging technologies support learning and development. With emerging technologies such as AI expanding quickly in the tech sectors, Ph.D. graduates that can fill these positions are in high demand. Within educational technology companies, they can take on positions as Chief Learning Officers, Directors of Learning Innovation, or Research Directors, where they guide product development and evaluation using their methodological expertise. Policy organizations and

nonprofits will seek these graduates as Research Directors or Senior Scientists to inform educational technology policy and implementation.

7) Online Delivery. If the proposed program will have an on-line component, answer the following questions.

N/A. This will be a face-to-face program.

8) Finances

No new expenses are anticipated. Due to the small size of the PhD program (2-3 admitted students annually) and the size of our faculty (10 full-time faculty) and staff (2 staff members), the program will operate within existing resources, and no new faculty hires, administrative staff, or technical infrastructure are required at this time.

- C) Show the net surplus or deficit produced by the program in each of its first three years, and when it will reach steady state if that will occur in a later year.

Not applicable. Since the program does not generate new revenue or incur new expenses, no surplus or deficit is expected.

9) Evaluation

- A) Describe how the quality of the program will be evaluated, including the frequency of the reviews and who will conduct them. Describe how student input will be obtained as part of the evaluation of the program.

Student progress will be evaluated annually through a systematic review process that includes faculty assessment of academic performance, research progression, and professional development milestones (see also section B below). This review process will incorporate student self-evaluations and individual meetings with advisors to ensure students have voice in their development plans. Additionally, program faculty will conduct annual program-wide reviews at our annual spring retreat, examining student achievement data, curriculum effectiveness, and progress toward program goals. These reviews will incorporate feedback gathered from students in doctoral colloquium (our required doctoral student professionalization course). Finally, building on current efforts for our other programs, we will implement systematic tracking of alumni

career trajectories and maintain regular communication with graduates through alumni engagement events.

- B) Include a learning outcomes and assessment plan for the proposed program, using the below template. Examples can be found here:

<http://academicprograms.columbia.edu/assessment-student-learning>)

Program Goals for Student Learning	Assessment of Learning Outcomes
<i>Please list overall programmatic goals below.</i>	<i>Please indicate primary measures of student learning, which may include direct measures (e.g., coursework) and indirect measures (e.g., alumni outcomes).</i>
Students will demonstrate advanced theoretical understanding of the interplay between technology and learning in their respective areas of interest	Performance in relevant coursework; quality of theoretical engagement in dissertation proposals and final dissertations; performance on theory section of certification exam; original theoretical contributions in published work
Students will master and apply appropriate research methodologies to investigate questions about technology and learning	Performance in relevant coursework; quality of pilot study design and execution; quality of dissertation design and execution
Students will actively participate in scholarly discourse through research dissemination and academic engagement	Quality and quantity of conference presentations and peer-reviewed publications; participation in peer review of manuscripts or conference proposals; engagement in academic professional associations; impact of academic work via citations, press, public visibility
Students will develop professional competencies in teaching, mentoring, and research leadership	Teaching observations; student course evaluations; quality of research mentorship with master's students

10) External Review for NEW Master’s and Doctoral Programs.

Please provide the names of experts in the field of the program at institutions outside of New York State. Proposed reviewers should be specialists in the area of the program but should not have had an association with Columbia that would compromise the independence of their evaluations. NYSED considers that a conflict of interest exists if a proposed reviewer:

- has had an appointment at the University or is related to someone who has;
- was previously consulted about the development of the proposed program; or
- has a professional relationship with someone at the University such as collaborating on externally funded research and publications.

For new master’s programs, the University must supply one external review; for doctoral programs, two external reviews are required. For this reason, please identify 3 potential reviewers for master’s proposals, and 5 potential reviewers for doctoral proposals.

For each potential reviewer, include institutional affiliation, contact information and a link to the individual’s website which lists his/her educational credential (including where his/her degrees were received) and employment history. If full information on degrees and employment cannot be viewed from the website, NYSED may require that we supply them with the individual’s CV.

Please note that this requirement does not apply to new DUAL or JOINT degree programs, or to new BACHELOR's programs; we do not need to submit external reviews for these programs.

- [Yasmin Kafai](mailto:kafai@upenn.edu), Professor, University of Pennsylvania, kafai@upenn.edu
- [Joshua Danish](mailto:jdaniel@iu.edu), Professor, Indiana University, jdaniel@iu.edu
- [Joseph Poleman](mailto:Joseph.Polman@Colorado.edu), Professor, University of Colorado Boulder, Joseph.Polman@Colorado.edu
- [Dor Abramson](mailto:dor@berkeley.edu), Professor, University of California Berkeley, dor@berkeley.edu
- [Carol Lee](mailto:cdlee@northwestern.edu), Professor, Northwestern University, cdlee@northwestern.edu