

# THE UNIVERSITY OF CHICAGO



STUDENT MANUAL of UNIVERSITY POLICIES  
*and* REGULATIONS

2006-2007

THE UNIVERSITY OF  
**CHICAGO**

**Student Manual**  
University Policies and Regulations



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# UNIVERSITY CALENDAR

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## 2006

College Orientation  
Quarter Begins  
Thanksgiving Holiday  
Reading Period  
Convocation  
Quarter Ends

## Autumn Quarter

Saturday, September 16  
Monday, September 25  
Thursday-Friday, November 23-24  
Thursday-Friday, November 30-December 1  
Friday, December 8  
Saturday, December 9

## 2007

Quarter Begins  
MLK Holiday  
College Break  
Reading Period  
Convocation  
Quarter Ends

## Winter Quarter

Wednesday, January 3  
Monday, January 15  
Friday, February 9  
Thursday-Friday, March 8-9  
Friday, March 16  
Saturday, March 17

## 2007

Quarter Begins  
Memorial Day  
Reading Period  
Convocation  
Quarter Ends

## Spring Quarter

Monday, March 26  
Monday, May 28  
Thursday-Friday, May 31-June 1  
Friday-Sunday, June 8-10  
Saturday, June 9

## 2007

Quarter begins  
Independence Day  
Convocation  
Quarter Ends  
Medicine Ends

## Summer Quarter

Monday, June 18  
Wednesday, July 4  
Friday, August 24  
Saturday, August 25  
Friday, August 31

*The Student Manual of University Policies and Regulations is a collection of policies written by different administrative and academic units that are relevant to student conduct. Although correct at press time, the information in this Manual is subject to change during the academic year. For questions concerning the Manual, contact the Office of the Vice President and Dean of Students in the University at 773-702-7770.*

# TABLE OF CONTENTS

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## INTRODUCTION

## UNIVERSITY POLICIES

- 2 Civil Behavior in a University Setting
- 2 Policy on Unlawful Discrimination and Harassment
  - 2 Introduction
  - 2 Unlawful Discrimination and Harassment
  - 3 Procedures for the Resolution of Harassment Complaints
  - 5 Yearly Report on Unlawful Harassment to the Council of the University Senate
  - 5 Policy on Consensual Relations Between Faculty and Students and Between Supervisors and Employees
  - 6 Compliance and Locating this Policy
- 6 Protocol for Requesting Accommodation for a Disability
- 7 Domestic Partnership Policy
- 8 Alcohol and Other Drugs
  - 10 Health Risks
  - 10 Sanctions
  - 11 Counseling, Treatment, and Referral
- 11 Networking and Information Technology Policies
- 12 Patent, Software and Intellectual Property Policy
- 13 Safety and Appropriate Use of Facilities
  - 13 Firearms
  - 13 Non-Smoking Policy
  - 13 Bicycle Policy
  - 13 Parking

## ACADEMIC POLICIES AND REQUIREMENTS

- 14 Academic Honesty and Plagiarism
- 14 Academic Fraud
- 14 Degrees
  - 14 Degree Requirements
  - 14 Degree Application
  - 14 Awarding of the Degree
  - 15 Second Master's Degrees

- 15 Dissertation Requirements
- 16 Residence System for Students in Ph.D. Programs
  - 17 Scholastic Residence
  - 17 Scholastic Residence/Part-Time Registration
  - 18 Advanced Residence
  - 18 Pro Forma Registration
  - 19 Extended Residence
  - 19 Leaves of Absence
  - 20 Scholastic Residence Beyond the Fourth Year
  - 20 Withdrawal from Advanced Residence or Extended Residence
  - 21 Administrative Withdrawal from Advanced Residence or Extended Residence
- 21 Transfers Between Academic Units

## **ADMINISTRATIVE POLICIES AND REQUIREMENTS**

- 22 Health Insurance and Immunization Requirements
  - 22 Student Health Insurance Requirements
    - 22 Enrollment Deadline
    - 22 Automatic Enrollment
    - 22 Eligibility
    - 22 Students on Leave of Absence
    - 23 Students on Medical Leave of Absence
    - 23 Binding Coverage
    - 23 Premiums
  - 23 Immunization Requirements
- 24 Registration, Records and Enrollment
  - 24 Restriction of Registration
  - 24 Registration Related Policies
    - 24 Uniform Drop/Add Deadline and Census Day
    - 24 Restriction of Student Accounts and Privileges
      - 24 Category One Restriction
      - 25 Category Two Restriction
- 26 Student Educational Records and Directory Information
  - 26 Directory Information
    - 26 Directory Information Changes
  - 26 Record Maintenance
  - 30 Inspection and Review of Educational Records
  - 31 Amendment of Educational Records: Right to a Hearing
  - 31 Cost of Copies
  - 32 Release of Students' Educational Records
  - 32 Release of Information to Parents and Guardians of College Students

33	Student Enrollment Status
34	Other Provisions
34	Full-time Enrollment Status for F-1 or J-1 Visa Holders
34	Quarterly Mandatory Fees
34	Student Health and Wellness Fee
34	Student Activities Fee
34	Waiving the Mandatory Fees
35	Additional Administrative Regulations
35	Official Communication by Electronic Mail
35	Petitions
35	Student Employment
35	The University of Chicago Card

## STUDENT LIFE AND CONDUCT

36	Authority to Direct
36	Authority to Summon
36	Outdoor Events on the Campus
37	Publicity Policy
38	Responsibility for Guests
38	Sanctions by Administrative Departments
39	University Disciplinary Systems
39	Preamble
40	Area Disciplinary Systems
42	Allegation of a Sex Offense
43	Sanctions for Misconduct
43	Warning
43	Disciplinary Probation
43	Loss of Privileges
43	Discretionary Sanctions
44	Disciplinary Suspension
44	Disciplinary Expulsion
44	Revocation of Admission
44	Revocation of the Degree
44	Further Disciplinary Policy Information
45	Review Process

45	University House System Discipline
46	Rules and Regulations
49	Enforcement of House System Rules and Regulations
49	Disciplinary Procedures
50	Review Process
51	All-University Disciplinary System
51	Section 1: Provision for review of disciplinary procedures
51	Section 2: Statutory provision
52	Section 3: Definition of disruptive acts
53	Section 4: Constitution of University disciplinary committees
53	Section 5: Procedures
56	Section 6: Identification
56	Section 7: Sanctions
57	Section 8: Review Board
58	Section 9: Publication
58	Section 10: Transitional provision

## INTRODUCTION

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The University of Chicago is a community of scholars dedicated to research, academic excellence, and the pursuit and cultivation of learning. Every member of the University – student, faculty, and staff – makes a commitment to strive for personal and academic integrity; to treat others with dignity and respect; to honor the rights and property of others; to take responsibility for individual and group behavior; and to act as a responsible citizen in a free academic community and in the larger society. Any student conduct, on or off campus, of individuals or groups, that threatens or violates this commitment may become a matter for action within the University's system of student discipline.

*Crescat scientia;  
vita excolatur*

Let knowledge grow  
from more to more;  
and so be human life  
enriched.

*The Student Manual* is the official statement of University policies and regulations, and expected standards of student conduct which are applicable to all students. Academic units and administrative offices may have additional policies and guidelines which may provide more detailed information.

The primary purpose of policies and regulations and the articulation of expected standards of student conduct is to further the mission of the University and to protect the well-being of the community. They enable all the members of the University to function as a community and respond to situations which threaten or violate that community.

Policies and regulations are to be understood in the larger context of the functioning of the University and with sensitivity to reality that the University is not an abstract entity, but rather a sum of its individual units and community members. Rigid conformity to and narrow application of policies and regulations without taking into account the larger context of the functioning of the University are not appropriate in our academic community. Policies and regulations are often not more specific than is absolutely necessary and often are general enough to allow the University to respond to situations in their unique complexities and take into account the variations in values and goals of different University academic units and administrative offices. As such, they provide a broad framework that is designed to create a level of consistency across the University yet also accommodate local cultures. The University will create new policies and procedures and modify existing ones to address new issues and questions, and to reflect the evolution of our community and the larger society within which our community exists.

The contents of this manual do not create a contract between any individual and the University. The contents of the manual are subject to change from time to time at the sole discretion of the University, and from time to time updated information may be distributed regarding policy and regulation changes.



## UNIVERSITY POLICIES

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### CIVIL BEHAVIOR IN A UNIVERSITY SETTING

At the University of Chicago, freedom of expression is vital to our shared goal of the pursuit of knowledge, as is the right of all members of the community to explore new ideas and learn from one another. To preserve an environment of spirited and open debate, we should all have the opportunity to contribute to intellectual exchanges and participate fully in the life of the University.

The ideas of different members of the University community will frequently conflict and we do not attempt to shield people from ideas that they may find unwelcome, disagreeable, or even offensive. Nor, as a general rule, does the University intervene to enforce social standards of civility. There are, however, some circumstances in which behavior so violates our community's standards that formal University intervention may be appropriate. Acts of violence, explicit threats of violence directed at a particular individual that compromise that individual's safety or ability to function within the University setting, or other criminal acts are direct affronts to the University's values and warrant intervention by University officials. Abusive conduct directed at a particular individual that compromises that individual's ability to function within the University setting and/or that persists after the individual has asked that it stop may also warrant such intervention. Even if formal intervention is not appropriate in a particular situation, abusive or offensive behavior can nonetheless be inconsistent with the aspirations of the University community, and various forms of informal assistance and counseling are available.

### POLICY ON UNLAWFUL DISCRIMINATION AND HARASSMENT

*(Adopted by the Council of the University Senate, February 28, 2006)*

#### I. Introduction

The University of Chicago is a community of scholars dedicated to research, academic excellence, and the pursuit and cultivation of learning. Members of the University community cannot thrive unless each is accepted as an autonomous individual and is treated without regard to characteristics irrelevant to participation in the life of the University. Freedom of expression is vital to our shared goal of the pursuit of knowledge and should not be restricted by a multitude of rules. At the same time, unlawful discrimination, including harassment, compromises the integrity of the University. It is the intention of the University to take necessary action to prevent, correct, and, where indicated, discipline unlawful harassment.

#### II. Unlawful Discrimination and Harassment

This policy is the basis for the University's commitment to conform with the law in regard to nondiscrimination and maintaining a workplace free from sexual harassment and other unlawful forms of harassment.

Discrimination based on factors irrelevant to admission, employment, or program participation violates the University's principles. In keeping with its long-standing traditions and policies, the University of Chicago considers students, employees, applicants for admission or employment, and those seeking

access to programs on the basis of individual merit. The University does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity, national or ethnic origin, age, disability, veteran status, or other protected classes under the law. Such discrimination is unlawful.

Unlawful harassment based on one of the factors listed above is verbal or physical conduct that is so severe or pervasive that it has the purpose or effect of unreasonably interfering with an individual's work performance or educational program participation, or that creates an intimidating, hostile, or offensive work or educational environment.

A person's subjective belief that behavior is offensive, intimidating or hostile does not make that behavior unlawful harassment. The behavior must be objectively unreasonable. Expression occurring in an academic, educational or research context is considered as a special case and is broadly protected by academic freedom. Such expression will not constitute unlawful harassment unless (in addition to satisfying the above definition) it is targeted at a specific person or persons, is abusive, and serves no bona fide academic purpose.

Unlawful harassment includes same sex harassment and peer harassment among students, staff or faculty. Unlawful harassment by a faculty member, instructor, or teaching assistant of a student over whom he or she has authority, or by a supervisor of a subordinate, is particularly serious.

#### ***Additional Characteristics of Sexual Harassment***

Sexual harassment deserves special mention. Sexual harassment encompasses a range of conduct, from sexual assault (a criminal act), to conduct such as unwanted touching or persistent unwelcome comments, e-mails, or pictures of an insulting or degrading sexual nature, which may constitute unlawful harassment, depending upon the specific circumstances and context in which the conduct occurs. For example, sexual advances, requests for sexual favors, or sexually-directed remarks or behavior constitute sexual harassment when (i) submission to or rejection of such conduct is made, explicitly or implicitly, a basis for an academic or employment decision, or a term or condition of either; or (ii) such conduct directed against an individual persists despite its rejection.

Romantic relationships that might be appropriate in other contexts may, within a university, create the appearance or fact of an abuse of power or of undue advantage. Moreover, even when both parties have consented at the outset to a romantic involvement, such consent does not preclude a subsequent charge of sexual harassment against the instructor or supervisor. Because of its relevance to sexual harassment, the University's policy on consensual relations in cases where one person has educational or supervisory authority over another is reproduced under section V, "Policy on Consensual Relations between Faculty and Students and between Supervisors and Employees," below.

### **III. Procedures for the Resolution of Harassment Complaints**

The University's procedures for handling incidents of unlawful harassment place a strong emphasis on resolving complaints informally. The procedures include advising and mediation. It is important to note that the procedures do not preempt other formal or informal channels available within the University.

Persons who believe that their educational or work experience may be compromised by unlawful harassment should feel free to discuss the problem with a faculty member, dean, or supervisor and, if desired, to request that fac-

ulty member, dean, or supervisor to speak informally to the person complained about. If this does not resolve the matter, or if the individual prefers, the concerned party may make use of any or all of the following three avenues for resolution. No one at the University may reprimand or discriminate against an individual for having initiated an inquiry or complaint in good faith.

### ***Advising***

An individual who feels he or she has been unlawfully harassed may bring the matter to a Complaint Advisor whose role is to discuss with the complainant available options on how to proceed (a list of current Advisors appears in the *Student Manual* and in the University telephone directory). The advising is intended to provide a forum for free and open discussion between the complainant and the Advisor. Consequently, no record will be kept of the advising conversation other than an incident report that will not contain the names of either the complainant or the accused and that will be used only to keep a yearly record of the number of different types of reported incidents. Every attempt will be made to protect the privacy of the individuals involved in an advising conversation about unlawful harassment. If the Advisor learns of allegations that are so serious they obligate the University to act, then, upon the recommendation of the Coordinating Officer or Provost, there will be an administrative response, which may include a formal investigation and will include notifying germane administrative or managerial personnel (e.g., department chairperson and/or dean in matters involving faculty members and other academic personnel, and supervisors, managers and/or directors in matters involving staff employees).

Complaint Advisors will be selected and supervised by the Coordinating Officer (a position filled by a member of the Provost's Office) for a two-year term and will be drawn from a variety of different areas throughout the University. (For example, they may be Resident Heads, Deans of Students, the Ombudsman, or faculty members). The number of Advisors should be sufficiently large that individuals from all areas in the University are able to have access to the Advisors. Advisors will be required to participate in a program designed to make them familiar with the issues involved in dealing with unlawful harassment cases.

### ***Mediation***

When a complaint is brought to the Complaint Advisor, the complainant may ask for a mediated meeting with the accused. The goal of the mediation procedure is to provide a forum where the complainant and the accused can, with the aid of a third party, come to a mutually agreed upon resolution. Consequently, mediation will occur only if both the complainant and the accused are willing to participate in the process. The Complaint Advisor may serve as mediator or suggest a third party such as the Coordinating Officer or a faculty member of the Unlawful Harassment Panel (see below) to act as mediator.

### ***Formal Investigation***

Any person who wishes to discuss a possible complaint of unlawful harassment may use the informal advising and mediation avenues described above. But either the complainant or the accused may at any time ask that the matter under discussion be handled formally rather than informally. The appropriate procedure for a formal complaint depends on who is being accused of harassment.

If the person accused of harassment is a student, a formal complaint should be addressed within the procedures for student discipline described in the *Student Manual*.

If the person accused of harassment is a staff employee of the University, a staff member from the Office of Human Resources Management will guide the employee through the appropriate formal review process. Both parties must be informed of the outcome.

If the person accused of harassment is a faculty member or other member of the academic staff (such as a Research Associate, Lecturer, or Librarian), the formal complaint procedures described below apply.

### ***Procedures for Faculty and Other Academic Personnel***

Once a formal investigation has been requested, the Unlawful Harassment Panel will move to comply as quickly as possible. The Panel consists of three faculty members appointed by the Provost for three-year terms (with the possibility of reappointment) and the Student Ombudsman (as a non-voting student member). The Coordinating Officer will sit with the Panel ex officio but does not vote. A list of the current members of the Unlawful Harassment Panel can be found in the University Directory.

It is the task of the Panel to determine the facts. At any time in its proceedings, the Panel may decide that the complaint should be rejected as clearly unfounded. The Panel will be provided with written statements from the complainant and the accused, if necessary, will interview persons with knowledge bearing on the matter, including the complainant and the accused. The proceedings will be kept confidential.

If the complaint is found to have merit, the Panel will relay its findings to the Provost who will take appropriate action (for example, a reprimand, leave of absence without pay, invocation of statutory procedures for termination). If the complaint is found to have no merit (or if the facts cannot be established), the complaint will be dismissed. Both parties must be informed of the outcome.

A report of a justified complaint, including the Provost's action, is placed in the accused's official file in the Provost's Office.

## **IV. Yearly Report on Unlawful Harassment to the Council of the University Senate**

A yearly report will be made to the Council of the University Senate (1) detailing the number of different types of incidents of unlawful harassment brought to the attention of the Complaint Advisors or the Unlawful Harassment Panel, and (2) describing the goals of the University-wide program on unlawful harassment and how those goals were implemented during the year. The report will be prepared by the Coordinating Officer and reviewed and approved by the Unlawful Harassment Panel whose Chair will present it to the Council.

## **V. Policy on Consensual Relations Between Faculty and Students and Between Supervisors and Employees**

Because those who teach are entrusted with guiding students, judging their work, giving grades for papers and courses, and recommending students to colleagues, instructors are in a delicate relationship of trust and power. This relationship must not be jeopardized by possible doubt of intent, fairness of professional judgment, or the appearance to other students of favoritism.

Supervisory employment relations involve similar obligations of fairness and seeming fairness in the management and evaluation of employees.

One of the tenets of our policy and our commitment to a climate free from sexual harassment has been the view that it is unwise and inappropriate for faculty or other instructors who have romantic relations with students to teach such students in a class, supervise them in research or graduate work or recommend them for fellowships, awards, or employment, or for employees who have romantic relations with employees under their supervision to maintain their supervisory status.

Such romantic relationships may sometimes develop. Prudence and the best interest of students and employees dictate that in such circumstances of romantic involvement, the faculty member, instructor or supervisor should promptly report the relationship to the appropriate chair, dean or supervisor, who will then help find other instructional or supervisory arrangements in a way that safeguards the welfare of the student or subordinate. Such alternatives may include, for example, ceasing to have the student take courses with the instructor or moving the subordinate employee to a different reporting relationship. Faculty and supervisors should keep in mind that initial consent to a romantic relationship does not preclude a charge of sexual harassment in the future.

## **VI. Compliance and Locating this Policy**

### ***Regulations Prohibiting Unlawful Discrimination***

The University's policy is consistent with federal, state, and local regulations governing non-discrimination and unlawful harassment including: the Age Discrimination in Employment Act, the Americans with Disabilities Act, the Civil Rights Acts of 1964 and 1991, Executive Order 11246, the Equal Pay Act of 1963, the Rehabilitation Act of 1973 (as amended), Title IX of the Education Amendments of 1972, the Illinois Human Rights Act, the City of Chicago Human Rights Ordinance, and the Cook County Human Rights Ordinance.

### ***Access to Information on Discrimination and Harassment***

The University's policy on unlawful discrimination and harassment can be found in the *Student Manual of University Policies and Regulations* (<http://www.uchicago.edu/docs/studentmanual/>). The complete text of the University's unlawful harassment policy can be found in the University Record, on the University Web site: <http://unlawfulharassment.uchicago.edu>

## **PROTOCOL FOR REQUESTING ACCOMMODATION FOR A DISABILITY**

The University of Chicago is a community of scholars, researchers, educators, students, and staff members devoted to the pursuit of knowledge. In keeping with its long-standing traditions and policies, the University of Chicago, in admissions, employment, and access to programs, considers students on the basis of individual merit and without regard to race, color, religion, sex, gender, sexual orientation, gender identity, national or ethnic origin, age, disability, or other factors prohibited by law. The University strives to be supportive of the academic, personal and work related needs of each individual and is committed to working with students with a disability to become full participants in

the life of the University. In all cases, the usual standards of judgment and assessment of students' overall academic performance apply. Neither the community nor the students concerned are well served by applying special or lesser standards of admission or of evaluation.

Students seeking accommodation for a disability should notify their area Dean of Students and a representative of the Office of the Vice President and Dean of Students in the University (Administration 233, 834-9710) as soon as possible. In the interactive process of determining accommodation, the representative of the Office of the Vice President and Dean of Students in the University works with the student to identify how best the University can assist the student to become a full participant in the University. The student will be asked to provide information to the University, including detailed and current documentation – within the last 3 years - from an appropriate professional on the nature and severity of the impairment and a description of the student's functional limitations. For students with learning disabilities and attention deficit disorders, the representative of the Office of the Vice President and Dean of Students in the University will provide a listing of required tests. Once complete documentation has been received, the University may have a consultant review the assessment and any recommended accommodations. Reasonable efforts are to be made both by the student requesting accommodation and the representative of the Office of the Vice President and Dean of Students in the University to complete the disability determination process and consideration of reasonable accommodation as expeditiously as possible. This process may require up to ten weeks.

Temporary accommodation may be given when a student has requested accommodation due to a disability; has previously received disability accommodation in an educational setting; and the process to determine the appropriate accommodation at the University cannot be completed before the start of a quarter. Usually, a temporary accommodation is for one quarter only, though in exigent circumstances with prior approval, temporary accommodation may continue into the next quarter. Receipt of temporary accommodation does not imply that the student is eligible to receive accommodation.

At the conclusion of the process of determining whether a student is eligible to receive accommodation, even if the student received temporary accommodation, it may be determined that the student does or does not have a disability or that the student is disabled but not eligible to receive accommodation for the disability.

Ordinarily, the representative of the Office of the Vice President and Dean of Students in the University and area Dean of Students will meet with the student to discuss the matter. The student receiving accommodation and the area Dean of Students will maintain contact as appropriate in ongoing efforts to accommodate the student.

### **DOMESTIC PARTNERSHIP POLICY**

A domestic partnership is defined as two individuals of the same gender who live together in a long-term relationship of indefinite duration, with an exclusive mutual commitment in which the partners agree to be jointly responsible for each other's common welfare and share financial responsibilities. The partners may not be related by blood to a degree of closeness which would prohibit legal marriage in the state in which they legally reside and may not be married to any other person.

Privileges will be extended to a student's domestic partner and partner's child(ren) for the Student Accident and Sickness Insurance plan, housing, athletic facilities, and libraries. Students who wish to enroll their domestic partner and/or his or her child(ren) for these privileges should contact the Benefits Office, 970 East 58th Street, 3rd floor, (702-9634) to request a Statement of Domestic Partnership form. Once approved by the Benefits Office, the statement will certify that the student's partnership meets the University's requirements.

If a student wishes to enroll his or her domestic partner and/or partner's child(ren) in the Student Accident and Sickness Insurance (SASI) plan, the student will need to complete the on-line SASI enrollment process for him/herself and any dependents, as well as complete and submit the Statement of Domestic Partnership form to the Benefits Office.

In order to obtain gym, library, and/or housing privileges, the student will need to present his or her approved Statement of Domestic Partnership at the appropriate office.

- Athletic and Recreational Sports - Ratner Athletic Center, 5530 South Ellis Avenue, Front Desk
- Library - Regenstein Privileges Office, 1100 East 57th Street, 1st floor (bring partner)
- Housing - Graduate Students Assignment Office, 5316 South Dorchester Avenue

## ALCOHOL AND OTHER DRUGS

All members of the University community are responsible for being familiar and complying with the requirements of federal and Illinois statutes and Chicago ordinances concerning the consumption, possession, and sale of alcohol and other drugs. The University expects each member of the community to be responsible for his or her own conduct and the consequences of that conduct.

Various federal and state laws prohibit the possession, distribution, and use of controlled substances, unless in compliance with licensing requirements or a doctor's prescription. Moreover, Illinois law prohibits the consumption and possession of alcohol by persons under the age of 21 and the supplying of alcohol to any person under the age of 21. Additionally, Illinois law prohibits the sale of alcoholic beverages except by those licensed to sell such beverages. Illinois law and city ordinances also prohibit public intoxication, operation of a vehicle or bicycle under the influence of alcohol or other intoxicants, and consumption of alcohol in a public place. Violation of these or other laws relating to drugs and alcohol may result in probation, fines, imprisonment, and a permanent criminal record. Violation of drug laws may also result in civil seizure on forfeiture of property used in connection with the offense. A violation may also result in University disciplinary action. For more detailed information about federal and state statutes with respect to illicit drug trafficking and possession, and state statutes regarding alcohol use by minors, please consult the University publication *Common Sense* about the University's drug and alcohol policy.

The University recognizes both alcohol and drug abuse as potential health, safety, and security problems. The University expects faculty, students and staff to assist in maintaining a University environment free from the effects of alcohol and other drugs.

The University prohibits all students and employees from the unlawful manufacture, possession, use, distribution, sale, or purchase of alcohol and other drugs on University premises or as part of any University activity, and from working under the influence of alcohol or illicit drugs. The only exception to this provision applies to moderate consumption and/or possession of alcohol on University premises at approved functions (e.g., receptions) by those legally permitted to consume or distribute alcohol. Such functions must comply with all applicable University guidelines.

In addition, all student employees are required to be able to perform their jobs. If an employee may be impaired by medication taken according to a doctor's prescription or the medication's directions, he or she is expected to discuss it with his or her supervisor.

Besides the legal restrictions, the following University guidelines govern events on campus at which alcoholic beverages are served:

- Alcoholic beverages may not be served at any event at which undergraduates are present unless prior written approval has been obtained at least one week in advance from the Office of the Reynolds Club and Student Activities or the appropriate Dean of Students
- All areas of the University which will serve alcoholic beverages at a function when students will be present must have the servers or a responsible event representative of the function attend alcohol risk management training (UCARE) offered by the Health Education Office at the Student Care Center and be present the entire length of the function (details at <http://scc.uchicago.edu>).
- All areas of the University that wish to serve alcohol in a University public area (common rooms, lounges, quads, etc.) at an event at which graduate or professional students are likely to be in attendance must, at least one week in advance of the event, consult with the appropriate area Dean of Students and the unit responsible for the particular space allocation, and must designate a faculty or staff member to be present and responsible for the event. Registered graduate and professional student organizations must obtain written authorization to hold such events through the Office of the Reynolds Club or their area Dean of Students.
- Sufficient amounts of non-alcoholic beverages must be available at all functions where alcohol is available. Further, appropriate quantities of non-salty food must be served at all such events. There may be no reference to the availability of alcohol in any publicity, including electronic notices, for a University event.
- University officials or agents of the University have the authority to prohibit attendees from bringing alcoholic beverages to a function or into a building, including events held in outdoor areas such as the quads. Such beverages may be confiscated by the official or agent. Other drugs will never be permitted at functions.

Besides these general standards of conduct, areas of the University may also have specific drug and alcohol policies relating to their activities and providing additional details (e.g. Housing, Athletics, Office of the Reynolds Club and Student Activities); please consult them for details.



## Health Risks

The use of illicit drugs and the abuse of alcohol and prescription drugs have potential adverse health consequences that may be permanent. These consequences include disorders and dysfunctions that affect the central nervous system, reproductive functioning, cardiovascular and pulmonary systems, and endocrine functioning. Specifically, there are both short- and long term effects on cognition, memory, retention, information processing, coordination, and athletic and academic performance. The use of illicit drugs and the abuse of alcohol also affect emotional equilibrium, mental well-being, and the ability to make critical decisions. Such use also impairs judgment, which in turn increases one's vulnerability and risk-taking behavior, including engaging in unprotected sex, which may lead to exposure to HIV and other sexually transmitted diseases and unplanned pregnancy. The chronic use and abuse of illicit drugs and alcohol have been shown to cause adverse permanent changes in most of the biological systems studied. These changes can lead to severe impairment, disability, and premature death.

For a further discussion of the health risks of the use of illicit drugs and the abuse of alcohol and prescription drugs see the publication *Common Sense* about the University's drug and alcohol policy.

## Sanctions

Besides legal consequences, the unlawful possession, use, or distribution of illicit drugs and alcohol and any violation of the University alcohol and other drug policy by a student or employee may result in appropriate discipline under the student disciplinary system or the employee corrective action procedure. For students, sanctions include, but are not limited to, removal from the University House System; discharge from student employment; and probation, suspension, or expulsion from the University. The University may refer students or employees for criminal investigation and prosecution. Specific areas of the University (e.g. Housing, Athletics) may also take action based on a violation of this general University policy and their specific policies.

The University retains full and final discretion on whether, when, and under what conditions a student may be reinstated or an employee may be returned to employment after an instance of alcohol abuse and improper drug use. Student organizations that violate this policy are also subject to sanctions, including, but not limited to, probation and removal of recognized student organization status. The particular sanction in a given case will depend on such factors as the nature of the violation, the seriousness of the offense, and the prior record of the individual or organization, and may include the successful completion of an approved rehabilitation or chemical dependency program.

Under federal law, student employees who are convicted under any criminal drug statute (including misdemeanors) for a violation occurring either on University property or during working hours must notify his or her area Dean of Students within five days of the date of conviction. A conviction includes any plea or finding of guilty, any plea of "nolo contendere" (no contest), and/or any imposition of a fine, jail sentence, or other penalty. Under federal law, if the convicted employee is working on a project funded through a federal grant or contract, the University is required to notify the relevant federal contracting or granting agency within ten days of receiving such notice of conviction.

### **Counseling, Treatment, and Referral**

Students who believe they may have an alcohol or drug problem are strongly encouraged to seek assistance through resources available at the University. Students should seek aid through the Student Counseling and Resource Service (5737 S. University Avenue, 702-9800), their area Dean of Students, or the Office of the Vice President and Dean of Students in the University (Administration 219, 702-7770). Such contacts will be kept confidential, except as required by law or to the extent necessary to protect the immediate health, safety, or security of the individual or others. The University has the right to take any necessary action to protect the health, safety, and security of the affected individual and others, including deciding whether, when, and under what conditions a student may be reinstated or an employee may be returned to employment after an instance of alcohol abuse or improper drug use.

The Student Care Center and the Student Counseling and Resource Service are staffed by professional counselors and physicians who are trained to evaluate, diagnose, treat, and refer individuals who have a problem in avoiding the use of illicit drugs and the abuse of alcohol. Individuals requiring inpatient detoxification and/or rehabilitative services are referred to institutions and hospitals in the local community which specialize in these types of services. Initial evaluation, consultation, counseling, and treatment on an outpatient basis are available through the Student Care Center and the Student Counseling and Resource Service. The costs of such treatment and referrals may be covered in whole or in part by the individual's health insurance. Please note that use of these or other treatment programs does not preclude appropriate disciplinary action and sanctions by the University if the individual violates the University alcohol or other drug policy and any other University policy or rule.

Students with any questions regarding this policy should contact the Student Counseling and Resource Service or their Dean of Students.

### **NETWORKING AND INFORMATION TECHNOLOGY POLICIES**

The University of Chicago provides information technology for educational, research, and administrative applications by its students, faculty, and staff. This Eligibility and Acceptable Use Policy stems from the University's Statutes and Bylaws and from its more general policies and procedures governing faculty, students, staff, and facilities. With only a few exceptions, the present policy simply applies these larger policies and procedures to the narrower information-technology context. It balances the individual's ability to benefit fully from information technology and the University's need for a secure and reasonably allocated information-technology environment.

For the most up to date Eligibility and Acceptable Use Policy, as well as information on the Digital Millennium Copyright Act (DMCA) as it applies at the University, students are advised to go to the Networking Services and Information Technologies (NSIT) web site's policy section at <http://nsit.uchicago.edu/policies.html>.

As stated in the Eligible and Acceptable Use Policy, "Use of information technology that violates this Policy and rules based on it may result in disciplinary proceedings and, in some cases, in legal action. Disciplinary proceedings involving information technology are the same as those for violations of other University policies, and may have serious consequences."

Generally, a student found to be in violation for the first time will have his or her University network privileges (including networking for the student's computer and access to central University computer services) suspended pending a meeting with a representative of the Office of the Vice President and Dean of Students in the University regarding the nature of the violations. The student's area Dean of Students and the director of undergraduate student housing also may summon the student. At the meeting, the student will be required to agree not to repeat the violation.

A second violation of either the DMCA or the EAUP will result in a similar suspension of network privileges pending disciplinary action. Disciplinary action in the case of a second violation is an automatic University fine of \$1,000, plus meetings with appropriate area Dean of Students.

A student may request a review of the second violation charge and fine. The student must make the request for a review of the decision in writing, within 15 days, to the Office of the Vice President and Dean of Students in the University. The grounds for a review are as follows:

1. prescribed procedures were not followed.
2. the penalty will have unforeseen consequences for the student that are harsher than intended.
3. new information is now available that wasn't at the time he or she signed the letter agreeing to the terms of the consequences to a second violation.

In case of a third violation, an Area Disciplinary Committee will be convened, and the sanctions available to the Committee include suspension or expulsion from the University. The accused student does not have network privileges pending the outcome of the disciplinary proceeding.

In addition, students residing in the residence halls should be aware of specific policies around computers and networking in University House System. The most current policies around the use of personal wireless networking devices and required security settings for personal computers can be found by going to the NSIT web site's policy section at <http://nsit.uchicago.edu/policies.html>.

## **PATENT, SOFTWARE AND INTELLECTUAL PROPERTY POLICY**

Students occasionally use the facilities or resources of the University to make discoveries or inventions that have commercial application. Such inventions are most likely to occur in a laboratory or research team environment, but can in principle happen in many ways. University Statute 18 governs policy with respect to patents and software. It underscores the University's commitment to complete freedom of research and the unrestricted dissemination of information. At the same time, it gives the University the right to take advantage of the commercial benefits of the work that has been done under its auspices with the inventors.

Statute 18 identifies the inventions, discoveries, and software of which the University becomes the owner. It may grant the University rights to inventions by students who do work with the substantial aid of its resources or funds it administers. It does not give the University the right to the work of students merely because they are enrolled at the University or because they do the work while they are in residence. Inventors, discoveries, or software authors who create a piece of intellectual property with commercial potential using sub-

stantial University support, however, have an obligation to disclose their discovery even if there is uncertainty about the eventual value of the property. Questions about the reach of this policy in particular cases and invention disclosures themselves should be directed in the first instance to the Office of Technology and Intellectual Property (UCTech). In the case of doubt, a disclosure should be filed and a written release obtained.

Students who have intellectual property claimed by the University and think the discoveries should be exempt from Statute 18 because the work did not meet its conditions may present a case to the Committee on Patent, Software and Intellectual Property. A representative from the Office of the Vice President and Dean of Students in the University will sit in on the committee's deliberations. After hearing such cases, the Committee will make a recommendation to the President as to the appropriate ownership of the intellectual property.

## **SAFETY AND APPROPRIATE USE OF FACILITIES**

### **Firearms**

Possession of firearms of any kind, explosives, or other dangerous objects or materials on the University campus or elsewhere on its property is prohibited.

### **Non-Smoking Policy**

In accordance with regulations promulgated by the City of Chicago, and the State of Illinois, the University of Chicago is a smoke-free environment, therefore smoking is prohibited in all buildings owned and operated by the University of Chicago, which includes dormitories. Smoking is permitted outside a building but not within fifteen feet of the entrance. For residential properties owned by the University and managed by Real Estate Operations, smoking is allowed in private dwellings, but not the public areas of these buildings.

### **Bicycle Policy**

Bicycles should not be locked or secured to handrails, sign posts, lamp posts, trees, fences, or to any other location that obscures the free ingress/egress of any building, stairway or pathway. Bicycles found secured to any object other than the bicycle racks are subject to removal by Facilities Services.

Impounded bicycles will be stored by the University Police (5555 S. Ellis Ave.) for 10 days, during which time a bicycle can be reclaimed by calling 702-8181. After 10 days, the bicycle will be donated to charity.

### **Parking**

First-year students in the College are not permitted to bring cars to campus. All other students may have cars and are responsible for making appropriate parking arrangements.

## **ACADEMIC POLICIES AND REQUIREMENTS**

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### **ACADEMIC HONESTY AND PLAGIARISM**

It is contrary to justice, to academic integrity, and to the spirit of intellectual inquiry to submit the statements or ideas of work of others as one's own. To do so is plagiarism or cheating, offenses punishable under the University's disciplinary system. Because these offenses undercut the distinctive moral and intellectual character of the University, we take them very seriously.

Proper acknowledgment of another's ideas, whether by direct quotation or paraphrase, is expected. In particular, if any written or electronic source is consulted and material is used from that source, directly or indirectly, the source should be identified by author, title, and page number. Any doubts about what constitutes "use" should be addressed to the instructor.

### **ACADEMIC FRAUD**

The University's Policy on Academic Fraud can be accessed on the Web at <http://www.uchicago.edu/uchi/policies.html>. Charges against students are subject to these specific procedures only to the extent that they involve dissertations of students who have received their degrees, or work published or submitted for publication. Other cases of academic fraud by students are subject to the University's disciplinary system.

### **DEGREES**

#### **Degree Requirements**

To be eligible for any graduate degree, a student must complete a minimum of three quarters of full time residence in the University, or its equivalent. To be eligible for a degree from the College, a student must complete a minimum of six quarters. Students in Ph.D. programs must be registered in the quarter in which the degree is awarded/received.

#### **Degree Application**

Students who expect to receive a degree at the end of a quarter must file a degree application with the appropriate Dean of Students. The application for the degree should be filed before the beginning of the quarter but no later than the end of the first week of the quarter in which the degree is expected. Graduate students in the divisions must first seek approval from their departments.

A degree application is valid only for the quarter in which the application for the degree is made. The application must be filed even if degree plans are tentative. If the degree is not granted at the end of that quarter, re-application must be made no later than the end of the first week in the next quarter in which a degree is expected. A cancellation fee of \$50 will be charged for each degree application withdrawn after the end of the first week of the quarter.

#### **Awarding of the Degree**

Students are expected to settle all financial obligations to the University and clear all restrictions established by departments within the University, including current quarter tuition and fees, by the end of ninth week of autumn, winter and spring quarters, and by the end of the eighth week of summer quarter. Should the ninth week of autumn quarter conclude with the two Thanksgiving holidays, this deadline shall be the day before Thanksgiving.

## Second Master's Degrees

### *Two master's degrees from the University*

In general, students may receive a second master's degree from the University while still enrolled in a primary program. This may be of significant benefit to a student. However, to protect the integrity of the University's degrees, the following conditions must be satisfied to award a second master's degree:

There should be no overlap in courses, papers, lab work, etc., used to satisfy the requirements of the degrees (in the absence of a formal joint degree program approved by the Council of the Senate).

The student must formally apply to the unit granting a second degree and receive written approval of acceptance into the program from the dean or chair of this unit, as well as from the area Dean of Students, before half of the course requirements for the second degree have been undertaken. There is no presupposition that such an application would be approved.

The dean or chair of the student's primary program, as well as the area Dean of Students, must approve in writing, before half of the course requirements for the second degree have been undertaken, the student's plan to obtain a second master's degree.

The Office of the Provost must approve in writing, before half of the course requirements for the second degree have been undertaken, the student's plan to obtain a second master's degree.

The second master's program should form a coherent intellectual whole with the primary program. This should be evaluated by those whose written approval is required.

### *Students with master's degrees from other institutions*

Students coming to the University with a master's degree from another institution may receive a master's degree from the University in a different field, and no special considerations apply. When a student enters the University in the same or closely related field in which a previous master's degree is held, the University may award a second master's degree in that field. To be eligible, a student must fulfill all the standard requirements for a master's degree from the University by work done as a student at the University.

## DISSERTATION REQUIREMENTS

Doctoral dissertations and master's theses are original contributions to scholarship. As such, they should be and are made available to the scholarly community at the University of Chicago and elsewhere. As a condition for receipt of the doctorate, all doctoral dissertations produced by students at the University are bound and placed in the circulating collections of the University Library. They are made available to researchers here through direct borrowing, and copies may be purchased from ProQuest Information and Learning. An abstract is published in *Dissertation Abstracts* and made available electronically through ProQuest Digital Dissertations along with the digitized full text of the dissertation itself. Master's theses and papers are typically kept in students' academic departments or in the offices of the deans of students of the different schools or divisions, and are made available to other scholars upon request.

The booklet *University-wide Requirements for the Ph.D. Dissertation* describes in detail the rules to which all students must adhere regarding format, paper, fonts, illustrations, and the like. It is available in most departments, in the

Dissertation Office on the first floor of Regenstein Library (phd@lib.uchicago.edu), and on the Web at <http://phd.lib.uchicago.edu>. Once the dissertation manuscript is in final form, two copies, an abstract with an additional title page, and all required forms must be submitted to the student's academic unit. The chair of the student's department or the academic dean of the student's school must certify that these materials are in compliance with University-wide requirements. After the two copies of the dissertation and the abstract and additional title page have been accepted in their final form, they must be deposited in the Dissertation Office accompanied by a Departmental Approval Form signed by the chair or dean, along with other required forms.

The Dissertation Office performs a second audit to ensure that the copies of the dissertation meet University-wide requirements. If there are deficiencies, the Office notifies the student and the department or school, detailing necessary corrections for the student to be eligible to receive a degree. If deficiencies cannot be corrected by replacing a few pages, both manuscripts will be returned to the department or school. The corrected copies must be re-submitted to the department or school for approval.

After the student receives the degree, one copy of the dissertation is added to the University Library's collections. The other copy and the abstract and title page are sent to ProQuest Information and Learning. All students are required to execute a publication agreement with ProQuest. Because the dissertation is published, students should be aware that they must obtain permission from the holder of the copyright to include copyrighted material in the dissertation. The publication agreement, available in the Dissertation Office, has details. The Dissertation Office will require documentary evidence that the student has obtained all necessary permissions or has made a good faith effort to do so.

Two approved manuscripts, the Departmental Approval Form, the ProQuest Doctoral Dissertation Agreement form, the abstract, and all other forms are due on the Wednesday three and one half weeks before the date of the Convocation in which the student expects to receive the degree. Since the Office checks manuscripts in the order in which they are received, all students, particularly those living outside Chicago, should try to secure their department's approval of the final manuscripts and complete all requirements well in advance of the deadline.

## **RESIDENCE SYSTEM FOR STUDENTS IN PH.D. PROGRAMS**

To record the progress of students toward the Ph.D., the University uses a system of continuous registration that assigns students to residence statuses based on their years of enrollment in a doctoral program. During those years, and within that system of residence statuses, students complete Ph.D. program requirements as established by individual academic units. Program requirements vary by department or school, while the system of residence statuses is uniform across the University.

To receive a Ph.D., students in doctoral programs at the University are registered in Scholastic Residence for four years, and then maintain registration in the status of Advanced Residence for eight years (and, if necessary, in the status of Extended Residence) until the doctorate is awarded. In all statuses, satisfactory academic progress toward the doctorate, as determined by the specific programs, is a prerequisite for continued registration. Note particularly that in addition to setting degree requirements, with progress markers and deadlines, academic programs may set a time limit on degree completion. The reg-

istration statuses and other details of the registration system for doctoral students are described below.

### **Scholastic Residence**

Students entering a Ph.D. program are registered in Scholastic Residence for each of their first four years of study, unless they earn the Ph.D. in fewer than four years. During each of those four years, students are required to be registered for at least three academic quarters: normally the Autumn, Winter, and Spring Quarters. Some programs require registration during the Summer Quarter as well. (This requirement for three or four quarters of registration for each year between entry into and completion of a Ph.D. program is how the University defines "continuous registration.")

During the early years of Scholastic Residence, students are engaged primarily in course work; during the later years, that typically changes to a combination of course work, examinations, and independent research and writing. The appropriate academic endeavors are determined by the academic programs, and not by the University. Scholastic Residence is defined by the University as a full-time student status.

During the period of Scholastic Residence, students have all the privileges associated with full-time status: access to student housing, full library privileges, use of athletic facilities, quarterly computer time, access to student health insurance and the services of the University's Student Care Center and Student Counseling and Resource Service, ability to borrow under federal student loan programs (so long as the student is otherwise eligible to participate in these programs), and deferment of repayment of past federal student loans.

University residence requirements are distinct from academic program requirements. While course requirements vary by academic unit, most students will complete them well within the period of Scholastic Residence. Such an accomplishment does not exempt the student from any of the four years required in Scholastic Residence; it means that the final quarters spent in this status are likely to be occupied with independent research, the development of the dissertation proposal, and preparation for the dissertation. Some students enter a doctoral program at the University with a master's degree earned from another institution in the field they are studying for the Ph.D. While an individual academic program may choose to waive certain of its course requirements as a result of prior graduate work, such adjustments in program requirements do not exempt students from any of the required four years of Scholastic Residence.

In the PhD programs in the professional schools, in cases where admission is based on prior graduate training, the period of Scholastic Residence is adjusted accordingly and the total number of years in Advanced Residence is held to the maximum of eight.

### **Scholastic Residence/Part-Time Registration**

Although it is an option rarely chosen, students in Scholastic Residence can, with the permission of their academic programs, elect to be part-time students. As such, they pay half the regular tuition assessed for Scholastic Residence, and they double the length of time they remain in that status. To be more precise about the latter, the University defines two part-time quarters in Scholastic Residence to equal one full-time quarter in that status.



Once a student elects to register in Scholastic Residence/Part-Time for one quarter, the student is required to balance that registration with a later registration in Scholastic Residence/Part-Time status for a second part-time quarter. Part-time students may take up to two courses per quarter, but the tuition charge remains the same whether they take one course or two. Part-time students should check in advance with the Office of Student Loan Administration to see whether they are eligible to borrow or defer educational loans while registered in this status.

### **Advanced Residence**

At the completion of four years of Scholastic Residence, the student enters the status of Advanced Residence and remains in this status (or in Pro Forma status, if approved, and as described below) for a maximum of eight calendar years. During this period, students are typically engaged in the conduct of a scholarly research project, and in writing a dissertation based upon it. Students are expected to register in at least three of the four quarters of each year they spend in Advanced Residence, typically in the Autumn, Winter, and Spring Quarters. Note, however, that some academic programs require registration in all four quarters of the academic year. Enrollment in such programs does not reduce the eight-year maximum span allowed for Advanced Residence; neither does voluntary registration during the fourth quarter of an academic year, even though that may not be required by an academic program.

The University defines Advanced Residence as a full-time student status. Students in Advanced Residence are eligible for all the benefits associated with full-time registration: access to student housing, full library privileges, use of athletic facilities, quarterly computer time, access to student health insurance and the services of the University's Student Care Center and the Student Counseling and Resource Service, ability to borrow under federal student loan programs (so long as the student is otherwise eligible), and deferment of repayment of past federal student loans. Students in Advanced Residence may register for formal course work during any quarter of any year spent in this status, or they can maintain the status with no course registration. During Advanced Residence, the choice to enroll in specific courses is made in accordance with program requirements and students' scholarly needs. Students may not use this as an opportunity to take courses to fulfill program requirements for a degree other than the one in which they are registered. Either way, the tuition associated with registration in Advanced Residence is a fixed sum that is not altered by enrollment in specific courses, and is much less than that for Scholastic Residence.

Students in Advanced Residence status who withdraw or are withdrawn from their programs, and who subsequently are readmitted, must register retroactively for three of every four of the intervening quarters from the time of withdrawal until the time of resumption of study and pay tuition at whatever rate is current at the time of reentry.

### **Pro Forma Registration**

Pro Forma registration is a limited privilege designed to provide full-time status to doctoral students who must move away from the Chicago area, usually abroad but otherwise a substantial distance, in order to conduct the preparatory field research, archival research, or data collection which their dissertations will require. Students who are engaged in formal programs of intensive language training instruction abroad, as needed for completing their doctoral

programs, are also eligible to apply for Pro Forma status. Note, however, that the choice to reside at a substantial distance from the University does not, in and of itself, qualify a student for Pro Forma status; neither does engagement in the research activity which continues throughout the dissertation stage qualify a student for Pro Forma status. All students other than those for whom the preparatory dissertation research requires a substantial geographic relocation are required to register in either Scholastic Residence or Advanced Residence, in accordance with the number of years of doctoral study completed.

Applications for Pro Forma registration must be recommended by the chair of the student's academic department and approved by the Dean of Students of the student's school or division. Normally applicants for Pro Forma status already will have been admitted to candidacy for the Ph.D. Pro Forma registration can be approved for up to one year; applications for the renewal of Pro Forma status must be accompanied by a statement explaining why an extension is needed to carry out the research objective as originally defined. No student may be registered in Pro Forma status for more than the number of quarters of registration that are standard over two calendar years for the student's department (six or eight quarters).

Students in Pro Forma status are entitled to access to e-mail and the University's electronic network, to student loan programs and deferment of past loans (if they are otherwise eligible to participate in such programs), and to student health insurance. Library privileges and access to student housing are not available to Pro Forma registrants, by virtue of their absence from the University.

### **Extended Residence**

After the elapse of twelve years from the date on which they began their doctoral programs, students who have not completed their Ph.D.s must enter the status of Extended Residence. Students are expected to register in at least three of the four quarters of every year that they spend in Extended Residence, typically the Autumn, Winter, and Spring Quarters.

Extended Residence is not defined by the University as a full-time student status. Students in Extended Residence are entitled to use of the University libraries, as well as access to faculty, e-mail accounts, and the University electronic network. They are not eligible for any of the other benefits associated with full-time student status. Students remain registered in Extended Residence until they complete their Ph.D.s.

Students in Extended Residence status who withdraw or are withdrawn from their programs, and who subsequently are readmitted, must register retroactively for three of every four of the intervening quarters from the time of withdrawal until the time of resumption of study and pay tuition at whatever rate is current at the time of reentry.

### **Leaves of Absence**

Leaves of absence can be requested by and granted to students in Ph.D. programs during either the Scholastic Residence or the Advanced Residence stages, subject to the conditions and procedures described below. Note, however, that such leaves do not extend a doctoral student's eligibility for full-time student status (in either Scholastic or Advanced Residence) beyond the total of twelve years from entry into the Ph.D. programs. Three types of leaves of absence are available to students in Ph.D. programs.

1. During Scholastic Residence, a student who has completed three or fewer years in this status may apply to the Dean of Students of his or her division or school for a leave of absence of up to four academic quarters. Upon returning from such a leave, the student will be required to register in Scholastic Residence until the requirement of four years of registration in that status has been fulfilled.
2. A student in Advanced Residence may apply for a leave of absence only if temporarily incapacitated by major illness or injury. Applications for such a leave must be endorsed by the Dean of Students of the student's school or division; they can only be granted by the Office of the Provost. A student may take such a medical leave of absence for no more than four academic quarters.
3. A female student in either Scholastic or Advanced Residence who becomes pregnant may request a one-quarter leave of absence for childbirth. The one-quarter maternity leave of absence may be taken in the quarter of the childbirth or an adjacent quarter. This includes summer quarter whether registration is required or not. Such a leave may be granted by the Dean of Students of the student's school or division.

Availability of student health insurance during a leave of absence, and other issues that may arise about that coverage, will be governed by the operative student health insurance rules and policies at the time the leave is taken. Other University facilities and services are not available to students on leaves of absence.

### **Scholastic Residence Beyond the Fourth Year**

Depending on their duration and on a student's registration in subsequent quarters, Leaves of Absence or Pro Forma registration may extend the period of registration in Scholastic Residence beyond four calendar years. Note, however, that this does not affect the total of twelve years of full-time student status, from the beginning of the doctoral program, for which that student is eligible. For example, a student registered in Scholastic Residence for three years and taking a Leave of Absence in the fourth will return to Scholastic Residence for his or her fifth year of study and move to Advanced Residence for his or her sixth through twelfth years. After that, the student will register in Extended Residence, if necessary.

### **Withdrawal from Advanced Residence or Extended Residence**

If a student in Advanced Residence or Extended Residence decides not to complete the Ph.D., he or she must formally withdraw from the program in writing. To resume study after such withdrawal requires reapplication to the University. If readmitted, the student will be required to register retroactively in Advanced or Extended Residence, whichever is appropriate, for three of every four of the intervening quarters from the time of withdrawal until the time of resumption of study and to pay tuition at whatever rate is current at the time of reentry. In addition, the student will be required to pay a reinstatement fee of \$150 per quarter for each of these quarters.

**Administrative Withdrawal from Advanced Residence or Extended Residence**

The University has a system of continuous registration that requires all graduate students to be registered in some official status for three of every four quarters in each academic year from the time of entry into the program until the degree is awarded. Following upon that requirement, students at the state of Advanced or Extended Residence who are restricted and therefore cannot register must clear their restrictions by the end of the fifth week of the quarter or they will be assessed a \$250 continuous registration penalty fee. Any student who fails to clear all restrictions and become officially registered by the end of that same quarter will be administratively withdrawn from the University.

A student who has been administratively withdrawn from a Ph.D. program and later wishes to resume study must apply for readmission. If readmitted, the student will be required to register retroactively for three of every four of the intervening quarters from the time of withdrawal until the time of resumption of study and will be charged tuition at the rate current at time of reentry. In addition, the student will be required to pay a reinstatement fee of \$150 per quarter for each of those quarters, plus the one-time continuous registration penalty fee of \$250 which was previously assessed during the quarter of restriction.

**TRANSFER BETWEEN ACADEMIC UNITS**

A student who wishes to transfer from one department, division, or school of the University to another must submit a complete application to the new unit at the appropriate time of year to be reviewed for admission and funding by that unit.

## ADMINISTRATIVE POLICIES AND REQUIREMENTS

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### HEALTH INSURANCE AND IMMUNIZATION REQUIREMENTS

#### **Student Health Insurance Requirements**

The University requires all registered students to carry adequate health insurance to cover, among other costs, hospitalization and outpatient diagnostic and surgical procedures. If the student resides in Chicago during the academic year, the insurance must cover medical care other than emergency care in the Chicago area. Each year, students must satisfy the insurance requirement in one of two ways:

1. Enroll in the Student Accident and Sickness Insurance (SASI) plan offered by the University, OR
2. Complete the online SASI waiver application before the enrollment deadline. The waiver application requires the student to certify that his or her alternate insurance coverage is comparable to the Student Accident and Sickness Insurance plan.

#### ***Enrollment Deadline***

The enrollment deadline is 5 pm on Friday of the 2nd week of the student's first quarter of registration during the academic year (typically autumn quarter).

Students approved to register as a student after the insurance enrollment deadline must submit an insurance enrollment/waiver application at registration time. Failure to do so will result in automatic enrollment into the SASI Basic plan for the remaining plan year.

#### ***Automatic Enrollment***

Students who fail to enroll in or waive the Student Accident and Sickness Insurance (SASI) by the enrollment deadline will be automatically enrolled in the SASI Basic plan by default and will be billed for that enrollment. The enrollment is binding for the entire plan year. For students who are registered at the University during autumn quarter, the plan year runs from September 1 through August 31 of the following year.

#### ***Eligibility***

The Student Accident and Sickness Insurance plan generally is available to all registered students, their spouse or domestic partner, and dependent child(ren). Exceptions: Students in the GSB Evening and Weekend, SSA Evening, and the MLA programs are not eligible to enroll in SASI. Doctoral students in Extended Residence are also not eligible to enroll in SASI.

#### ***Students on Leave of Absence***

Students participating in SASI who take an approved leave of absence may elect coverage for up to twelve months under the SASI continuation plan. Application is required through the on-campus Chickering Insurance Coordinator. The SASI continuation plan premium is higher than the registered student premium.

### ***Students on Medical Leave of Absence***

Students participating in SASI who take an approved leave of absence for medical reasons may continue coverage in SASI at the registered student rate until the end of the plan year. At the end of the plan year, they may elect coverage for up to twelve months under the SASI continuation plan at a higher premium.

### ***Binding Coverage***

The decision to enroll (including automatic enrollment by default) or waive SASI coverage is binding for the remaining plan year. For students who are registered at the University during autumn quarter, the plan year runs from September 1 through August 31 of the following year.

In certain special cases it may be necessary to change health insurance coverage during the middle of the plan year. Only one coverage change per year is allowed. Petitions will be granted only for one of the following reasons:

- Life-change event (such as marriage, birth/adoption of a child, divorce)
- Loss of health insurance coverage (for such reasons as becoming too old for dependent coverage under a parental plan or a parent/spouse/same-sex domestic partner starting or terminating a job)
- Recent immigration of a dependent spouse, same-sex domestic partner, or children

Approved mid-year petitions to add coverage become effective on the day the previous insurance terminates, or the day after the post-mark date of the petition, whichever is later. Students will be responsible for the full premium for the quarter in which the changed coverage takes effect. The premium is not pro-rated. Midyear petitions to add a spouse, same-sex domestic partner or child may result in payment for their coverage summer quarter (see section on "Premiums" below).

### ***Premiums***

Premiums are assessed in three installments during the academic year. These charges are added to autumn, winter, and spring tuition bills. Students and dependents who are eligible to begin enrollment in the winter or spring quarters, or who are eligible only in autumn and spring quarters but not in winter, will be charged a summer quarter premium. The premium to enroll dependent children is a flat rate, irrespective of the number of dependent children enrolled.

### ***Immunization Requirements***

By State of Illinois law, generally all new students are required to present proof of immunity from German measles, measles (two shots required), mumps, and tetanus/diphtheria (three shots required for international students). The Student Care Center notifies all new students of the requirement and provides instructions for compliance. Forms will be mailed to all incoming students and are also available to be downloaded from the web. They must be returned by mail or in person. They cannot be returned electronically.

After the third Friday of the first quarter of enrollment, students who are not yet compliant will have their subsequent registrations restricted and will not have the restriction lifted until they have become compliant with the immunization requirement. A student who receives this notification is urged to call the Immunization Office at 702-9975 to resolve his or her immunization compliance status.

## REGISTRATION, RECORDS AND ENROLLMENT

### Restriction of Registration

The University has the right to restrict or cancel existing and further registration of a student, irrespective of academic standing, when in the judgment of the area Dean of Students or the Vice President and Dean of Students in the University, or his or her designee, the student's continued presence is likely to pose a substantial risk to the safety and well-being of the student or to others.

In order to be considered for resumption of studies such a student must establish to the satisfaction of the area Dean of Students that the student's presence in this particular environment will no longer be a risk to the safety and well-being of the student or to others. To this end, as a condition for resumption of studies, the area Dean of Students may, among other things, require the student to be evaluated, treated and recommended for resumption of studies by an appropriate professional.

Restriction of registration does not preclude the application of the student disciplinary process.

### Registration Related Policies

The most current policies, rules, and requirements related to such matters as registration, grades, graduation are available online at <http://registrar.uchicago.edu>. The divisions, schools, and College may also establish specific policies for their respective areas.

### *Uniform Drop/Add Deadline and Census Day*

University limits course drop/add activities to a period of no longer than three weeks from the first day of the quarter, permitting shorter periods as academic or professional units require, and establishes the third business day of the fourth week as the quarter's official census day. Accordingly, student registration statuses and course registrations for the quarter are to be completed by the end of the drop/add period. Course drops performed after the drop/add period expires are noted on the student transcript with a grade of "W", and the "change fee" is applied for any late adds. All reporting is tied to the data that are available on the census day, regardless of whether drop/add periods are shorter than the official three-week period used by most University academic departments.

### *Restriction of Student Accounts and Privileges*

The University applies restrictions to students' university accounts in two categories.

#### Category One Restriction

Penalties are applied locally to students' accounts by the restricting office. Restrictions in this category include:

Office Placing Restriction  
Registrar

Reason for Restriction  
unpaid transcripts & returned checks

The office placing the restriction will notify students of the penalty and its consequences. Category One restrictions will not interfere with the student's continuing registered status and enrollment in courses.

## Category Two Restriction

Penalties will deny registration privileges and will be imposed for three types of reasons: academic, financial, or non-compliance with federal or state regulations. Restrictions in this category include:

<u>Office Placing Restriction</u>	<u>Reason for Restriction</u>
Bursar	unpaid balances
International Affairs	failure to check-in as required of new international students
Library	unreturned materials, unpaid fines
Parking Office	five or more parking tickets
Real Estate Operations	delinquent rent payments
International House	delinquent rent payments
Student Care Center	failure to comply with immunization requirements
Student Loan	no exit interview, default on loan repayments
University Dean of Students	disciplinary actions

The restricting office and the University Registrar will communicate the restriction in this category to the student.

If a Category Two restriction is unresolved by Friday of week five of the quarter, the student will be prohibited from requesting courses and/or pre-registering for courses for the upcoming quarter. In addition, a Category Two restriction will also prohibit several university privileges and services. (Depending on the nature of the offense, a Category One restriction may also affect these services.)

Prohibitions will include the ability to:

- Obtain official transcripts of academic records and grade reports
- Obtain official certification of student or alumni status
- View academic and personal information on university administrative systems
- Obtain a new Chicago Card
- Borrow materials from the libraries
- Access and use athletic facilities
- Access University Housing
- Maintain valid parking permit

Once the Category Two restriction is cleared, the student's status will be changed back to an active student status for the upcoming quarter, and the student will regain requesting and/or registration privileges for courses. If the restriction is not cleared by Friday of week three of the upcoming quarter, the student will not be permitted to enroll in courses until the subsequent quarter. For example, if a Category Two restriction is imposed in autumn quarter, and it is cleared after Friday of week three of winter quarter, the student may not enroll in courses until spring quarter.



## **STUDENT EDUCATIONAL RECORDS AND DIRECTORY INFORMATION**

### **Directory Information**

The University makes available without the consent of a student only such information as would ordinarily be published in a student directory or other materials intended for public distribution: name, current address, electronic mailing address, telephone listing, major field of study (including degree program(s) fields, major(s), minor(s), year of study and/or class information), awards and honors, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees, the most recent educational agency or institution attended, and similar information. Through cMore, students may request that any or all of their information be withheld. The University may use parent information, class registration information, date of birth, race and gender information on occasion for internal purposes only. The University may from time to time use photographs of students in its publications and other materials.

### ***Directory Information Changes***

Students are responsible for ensuring that their directory information is accurate and current, and must maintain accurate current and emergency contact addresses. Name changes must be notarized.

The University sends by regular mail certain official communications, including but not limited to grade reports and bills, to the address on file with the University Registrar. If the mailing is not received or is returned to the University, because the student no longer resides at that address, a returned mailing will not be resent and the student is responsible for any late fees and other administrative action resulting from failure to respond to the mailing.

Generally, students maintain their directory information via cMore, the student's online academic records and information portal. Students use their CNET-ID and directory password to access these services, which are provided in a secured network environment. College students living in the University House System and Graduate School of Business students are directed to other websites to maintain their directory information.

### **Record Maintenance**

A student's educational records are defined under the Family Educational Rights and Privacy Act (FERPA) of 1974 as including, subject to the limitations described in the Act, "records, files, documents, and other materials which (1) contain information directly related to a student; and (2) are maintained by an institution or by a party acting for such institution." At the University, a student's educational records are often maintained in a number of offices: the Office of the Dean of Students in the student's academic unit, the student's department (if he or she is a graduate divisional student), the Career Advising and Planning Services (if he or she has initiated a file for placement purposes), in some cases by the Office of the Vice President and Dean of Students in the University. In addition, a student's official academic record is maintained indefinitely in the Office of the University Registrar.

Policies governing the maintenance, review, and ultimate disposition of students' educational records differ from one area of the University to another. The title of the person in each major academic area who is responsible for main-

taining student records is listed below, as well as the major categories of University staff who have a legitimate educational interest in student records as part of their normal administrative responsibilities and who have access to those records. Also listed is each area's general policy for reviewing and disposing of student records.

### ***College: Dean of Students***

College faculty, College advisers, and members of the Dean of Students' staff have access to student records.

The College generally keeps student files for one year after the student has graduated from the College. The files of bachelor's degree recipients are then destroyed; the files of students who have withdrawn from the College before receiving degrees are maintained up to three years and then destroyed.

Disciplinary files are maintained by the Dean of Students separately from a student's academic files. They are reviewed periodically by the Dean of Students, and incidental and minor reports are destroyed after graduation. Folders containing major reports, including reports of formal disciplinary action, are generally maintained for ten years from the time of graduation by the office of the Dean of Students.

### ***Division of the Biological Sciences: Office of Graduate Affairs***

Divisional faculty and appropriate members of the Dean of Students' staff; department secretaries.

The records of students who transfer to another division or school within the University are sent to the receiving unit.

The educational records of non-medical students in the Division of the Biological Sciences are generally maintained in the BSD Office of Graduate Affairs indefinitely.

### ***Pritzker School of Medical Education: Office of Medical Education***

Pritzker Deans and appropriate members of Pritzker's staff.

The educational records of students in the Medical School are reviewed at the time a student graduates or leaves the School. Incidental materials are destroyed, but the PSOM generally maintains indefinitely certain basic information such as the original application for admission, the transcript from the student's undergraduate college, the academic record from the University of Chicago, and basic correspondence.

### ***Division of the Humanities: Dean of Students***

Divisional faculty members and appropriate members of the Dean of Students' staff; department and committee secretaries.

Student records are maintained until such time as the student (1) withdraws from the University, (2) fails to register for three consecutive quarters, (3) completes a terminal degree, or, (4) transfers to another academic unit of the University. Files removed from the Office of the Dean of Students for reasons (1) through (3) above are sent to Divisional storage.

Files removed for reason (4) above are sent to the receiving academic unit.

If students in categories (1) through (3) above do not resume study at the University within two years, their files are reviewed by the Office of the Dean of Students. If the Dean of Students or the student's former department has no current information about the student (or if the degree awarded the student

was terminal), the file generally is destroyed. Records of students who have received a Ph.D. generally are retained by the Office of the Dean of Students for five years from the date of degree.

### ***Division of the Physical Sciences: Dean of Students***

Divisional faculty and appropriate members of the Dean of Students' staff; department secretaries.

The records of students who transfer to another division or school within the University are sent to the receiving academic unit. The records of students who withdraw from the University before completing their degrees and the records of students who are awarded terminal degrees are retained by the departments for two years and then are destroyed. The files of students who received terminal master's degrees and the files of students who received Ph.D.s are generally maintained in the department files for two years after the date of degree. The files of students who withdrew before completing the degree are generally maintained by departments for five years from the date of their last registration.

### ***Division of the Social Sciences: Dean of Students***

Divisional faculty and appropriate members of the Dean of Students' staff; department and committee secretaries.

The records of students who transfer to another division or school within the University are sent to the receiving academic unit. The records of students who receive a terminal master's degree, and the records of students who withdraw from the University are retained in the Office of the Dean of Students. If the student does not resume studies within two years, the records are reviewed. If the Dean of Students or the student's department has no current information about the student, the file generally is destroyed. The records of students who have received a Ph.D. are generally retained for five years from date of degree. These files are then reviewed and destroyed, unless the student's department chooses to retain them.

### ***Departments: Department Chair***

Departmental student records are maintained in conformity with the policies for the appropriate division described above. Departments usually continue to maintain indefinitely a file containing such basic information as a final transcript which shows the awarding of the degree, a copy of the abstract of the doctoral dissertation, correspondence subsequent to the date of the degree, grades for any departmental examinations that do not appear on the transcript, the title of the master's thesis, and the grade.

### ***Graduate School of Business: Dean of Students***

Faculty members of the Graduate School of Business and appropriate members of the Graduate School of Business staff.

Student admissions records are generally destroyed five years after the student's last registration.

### ***Divinity School: Dean of Students***

Faculty members of the Divinity School and appropriate members of the Dean of Students' staff.

The educational records of Divinity School students are generally maintained indefinitely.

***Law School: Dean of Students***

Faculty members of the Law School and appropriate members of the Dean of Students' staff.

The educational records of Law School students are generally maintained indefinitely.

***The Harris Graduate School of Public Policy Studies: Dean of Students***

Faculty members of the Harris Graduate School of Public Policy Studies and appropriate members of the Dean of Students' staff.

The educational records of Public Policy Studies students are generally maintained indefinitely.

***School of Social Service Administration: Dean of Students***

Faculty members of the School of Social Service Administration and appropriate members of the Dean of Students' staff. Prospective field instructors may review a student's application for course and internship assignments.

The educational records of SSA students are generally maintained indefinitely.

***The Graham School of General Studies: Dean of Students***

The Dean of Students, staff and specific program administrators.

The Summer Session and High School Student programs generally maintain student files for three years from the date of acceptance after which time the files are destroyed. The Master of Arts in Teaching Elementary Education, Graduate Student-at-Large, Returning Scholar, and Master of Liberal Arts programs generally maintain student records indefinitely. Other Graham School programs, those that are non-university credit based programs, generally maintain student records for a period of up to three years after which time the files are destroyed. If, however, Continuing Education Units (CEU) are awarded, the files are maintained indefinitely. Records connected with the award of CPDUs (Continuing Professional Development Units) to teachers for recertification are maintained indefinitely.

Major disciplinary incidents are maintained by the Office of the Dean of Students separately from a student's academic files. These files generally are maintained for at least ten years from the date of the incident.

***Office of the Vice President and Dean of Students in the University: Vice President and Dean of Students in the University***

Appropriate members of the Vice President and Dean of Students in the University staff.

The educational records of all students are generally maintained indefinitely.

***Office of Undergraduate Student Housing: Director of the University House System***

The Director and Assistant Directors of the University House System, and the Vice President and Dean of Students in the University have access to disciplinary files maintained by the Director of the University House System.

Disciplinary files are reviewed periodically by the Director and reports of minor disciplinary action generally are destroyed five years after the action occurred. Reports of major disciplinary action generally are maintained indefinitely.

***Office of Career Advising and Planning Services: Director of Career Advising and Planning Services***

Appropriate members of the Director's staff; department and school officials, with the approval of the Director.

Students desiring a reference letter file are referred to open one with Interfolio, Inc., a third-party provider on contract with the University to provide this service to all University of Chicago students and alumni. Students and alumni requesting this service should contact Interfolio, Inc. directly at [www.interfolio.com](http://www.interfolio.com) and must pay the fees established by Interfolio, Inc. and approved by the University for this service. Existing files established before October 1, 2001 are held by CAPS, but are not available to the student or alumnus until CAPS receives a signed consent form from that individual authorizing CAPS to open an online account with Interfolio, Inc. for that individual. Consent forms are available at the CAPS office or on the CAPS website at [www.caps.uchicago.edu/interfolio](http://www.caps.uchicago.edu/interfolio).

Letters are only added or deleted from a file at the request of the file holder. The student or alumnus who held a file at CAPS prior to October 1, 2001 had the privilege of reviewing or waiving his or her right to review each letter of recommendation added to the file after January 1, 1975. For files managed by Interfolio, Inc., the individual will enjoy the same rights of access. New reference letter files opened through Interfolio, Inc. include the same privilege for the individual to either review or waive the right to review each letter of recommendation added.

Files held at CAPS generally are not destroyed until either the candidate has reached the age of 75 or the Office has not heard from the candidate for 15 years.

**Inspection and Review of Educational Records**

In compliance with FERPA, the University will comply with the following procedures regarding the inspection and review of educational records:

1. All students who are or have been in attendance at the University shall have the right to inspect and review their educational records, subject to the limitations provided under FERPA and its applicable regulations.
2. Students should file written requests to see their education records with the Office of the Vice President and Dean of Students in the University (Administration 219, 702-7770). A representative from the Office of the Vice President and Dean of Students in the University will discuss such requests with the student to assure that the appropriate records are compiled for the student's review. The representative from the Office of the Vice President and Dean of Students in the University will make arrangements for access and will notify the student of the time and place where the records may be inspected.
3. Information, such as recommendations, received by the University from sources both inside and outside the University before January 1, 1975, and written under assumptions of confidentiality, will remain confidential.
4. Information, such as recommendations, collected by the University after January 1, 1975, in connection with a student's admission to the University will be considered to have served its purpose upon a student's acceptance, and will not be part of an official record. Recommendations for admission in the College will also be used for the purposes of initial academic advising. Should the applicant

matriculate in the College the recommendations will remain part of the student's educational record until the end of his or her first quarter in residence when the recommendations ordinarily will be removed from the record and destroyed. In any and all cases, should the student have waived his or her access to the letters of recommendation, they will not be provided for inspection.

5. For letters of recommendation from University of Chicago faculty or others, written after January 1, 1975, in connection with the student's admission to some part of the University other than the one in which the student is currently registered, the area of the University to which the student is applying will consider him or her an applicant and, as such, the student will not have access to such information.
6. A student's medical records, maintained separately by the Student Care Center, are unavailable for non-medical use within the University and are also unavailable to non-medical sources outside the University. Student medical records are not considered to be part of a student's educational records. A student may of course continue to consult his or her physician about his or her medical records.
7. Parental statements of financial resources will remain confidential. Where parents indicate a willingness for the information in such statements to be shared with the student, the statements will be made available to the student upon request.
8. Notes written by a member of the faculty, an adviser, or others concerning students, for the exclusive use of the writer, may be retained by the writer and will not be considered part of the student's educational record.
9. Access to a student's educational records will be provided within a reasonable period of time, but in no case more than forty-five days after the request has been made.

### **Amendment of Educational Records: Right to a Hearing**

The University will provide students an opportunity for a review if they believe their educational records to be inaccurate or misleading. If a student believes a record is inaccurate or misleading, he or she may write the University official responsible for the record or the area Dean of Students, clearly identifying the part of the record he or she wishes changed and specifying why the record is inaccurate and misleading. A conciliation conference between the student, the area Dean of Students, and the author of the challenged material will first try to reach a reasonable solution. Such a solution might be the correction or deletion of the challenged material, or the insertion by the student of a written explanation of the material.

Should the results of this conference prove unsatisfactory to the student, and if he or she so requests, a hearing will be conducted. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing. Note: such a challenge to a record does not include a student's disagreement with the grade received in a course, except if it involves a typographical error in the recording of the grade.

Complaints regarding alleged violations of FERPA may be submitted to: The Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4605.

### **Cost of Copies**

Where required by FERPA, students may obtain copies of their educational records at a cost of 10 cents per page, with the following exceptions:

Official transcripts are available only from the Office of the University Registrar. The transcript can be requested in person or by mail and will cost of \$12 per copy. Effective autumn 2005, registered students are charged a transcript fee that allows them to obtain official transcripts and academic records at no additional cost.

Credentials and reference letter files with the Office of Career Advising and Planning Services are handled by Interfolio and current prices can be found at [www.interfolio.com](http://www.interfolio.com)

### **Release of Students' Educational Records**

Under FERPA, except for "directory information" about a student, a student's records may be released without his or her prior written consent only to other school officials, including teachers, who have "legitimate educational interests." A "school official" is a person employed by the University in an administrative, supervisory, academic, research, or support staff position (including law enforcement and health staff); a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees, the Visiting Committee, or another University committee; a student serving on an official University committee (such as a disciplinary committee) or who is assisting another school official in performing his or her tasks; and any other person determined by the Office of the Vice President and Dean of Students to have a need to know the information in order to perform their administrative tasks, provide a service or benefit for a student, or to fulfill a legitimate educational interest of the University. A school official has a "legitimate educational interest" if the official needs to review an educational record or have access to the information in the educational record in order to fulfill his or her responsibilities for or on behalf of the University.

A student's educational records may also be disclosed without his or her prior written consent:

- to specified federal and state officials subject to certain conditions;
- to officials of another school, school system, or institute of post-secondary education that has requested the record and where a student seeks or intends to enroll;
- in connection with a student's application for or receipt of financial aid;
- to state officials who, pursuant to state statute prior to November 19, 1974, had access to records;
- to organizations such as the Educational Testing Service and the College Entrance Examination Board for the purpose of "developing, validating, or administering predictive tests";
- to accrediting organizations for the purposes of accrediting;
- to parents of a student who is dependent for income tax purposes;
- to "appropriate persons" in the event of health and safety emergencies; and
- in response to a judicial order or subpoena.

### **Release of Information to Parents and Guardians of College Students**

FERPA requires the College to have a student's written consent to release information from the student's educational record. Exceptions to this requirement include the release of information to other school officials who have a legitimate educational interest in the information, and "to parents of an eligible student who claim the student as dependent for tax purposes." The College may also notify parents if the College is aware of a health or safety concern that poses a significant danger to the student or to others.

With these restrictions in mind, the College will release the following information to parents or guardians who claim their students as dependents for tax purposes. The College may notify these parents or guardians when there is a change in a student's status (e.g., being placed on academic probation or removed from probation) or if there is a change in enrollment as a consequence of a student being barred for failure to meet the terms of academic probation or for disciplinary reasons. In addition, grades will be sent home to parents of students who are dependents for tax purposes. In order to be notified of a student's grades and the changes of status and enrollment listed above, parents must complete and return to the Office of the Dean of Students for the College a statement of their student's dependent status for tax purposes. If a student is not a dependent but wishes that parents be sent grades, the student may fill out a consent form requesting this. Both of these forms are sent to parents in the summer prior to the student's matriculation. Students may notify the University of changes in their tax dependency status at any point by filling out a form in the Office of the Dean of Students for the College.

### STUDENT ENROLLMENT STATUS

Students are certified during each quarter of study as enrolled full-time, half-time, or less than half-time. Students are certified as enrolled effective the first day of the respective quarter until the first day of the following quarter. Students who completely withdraw with an effective withdrawal date after the end of the first week of the quarter are certified as enrolled through that effective withdrawal date.

**Full-Time:** A status that is accorded to all students enrolled who undertake an academic workload consisting of any combination of courses, work experience, research, or special studies that is considered a full-time workload, as follows:

- All doctoral (Ph.D.) students in Scholastic Residence, Advanced Residence or Pro Forma are considered full-time;
- All M.Div., Master's and professional students in the Divinity School are considered full-time;
- All MAT and Master's students in the Social Service Administration school who are enrolled in 200 units and non-credit practicums are considered full-time;
- College students\*, Professional school students, students in programs that terminate upon the awarding of Master's degrees, and students in non-degree programs who are enrolled in 300 or more total units of registered course credit are considered full-time.

\* Degree-seeking College students are considered full-time through the end of the third week of any quarter. Thereafter their enrollment status is determined by registered course credit.

**Half Time or More, But Less Than Full Time:** A status that is accorded to all students who undertake an academic workload consisting of any combination of courses, work experience, research, or special studies that is considered at least one-half the academic workload of a full-time student.

- Doctoral (Ph.D.) students in Scholastic Residence, upon approval of the Dean of Students, may be classified as half-time.
- All MAT and Master's students in the Social Service Administration school who are enrolled in 200 units and non-credit practicums are considered half-time;



- College students, Professional school students, students in programs that terminate upon the awarding of Master's degrees, and students in non-degree programs who are enrolled in 200 to 299 total units of registered course credit are considered half-time.

**Less Than Half Time:** A status that is accorded to all students who undertake an academic workload consisting of any combination of courses, work experience, research, or special studies that is considered less than the academic workload of a half-time student, usually 025 to 199 total units of registered course credit; also,

- Doctoral (Ph.D.) students in Extended Residence (status affirmed by the Dean of Students) are considered less-than-half-time.
- College students, first professional students, students in programs that terminate upon the awarding of Master's degrees, and students in non-degree programs who are enrolled in 025 to 199 total units of registered course credit are considered less-than-half-time.

### **Other Provisions**

Any student who, during a quarter of non-registration, takes a language examination for which a fee is assessed, has a registration status of No Credit.

### **Full-Time Enrollment Status for F-1 or J-1 Visa Holders**

Foreign students holding F-1 or J-1 status in the United States on the basis of an immigration document (Form I-20 or DS-2019) issued by the University of Chicago may not register part-time as defined by the University Registrar, nor may such students elect to reduce their registration status to part-time anytime during a quarter. Exceptions must conform to those outlined in federal regulations governing foreign students, and require approval in advance from the Office of International Affairs.

## **QUARTERLY MANDATORY FEES**

### **Student Health and Wellness Fee**

Generally, all registered students must pay the Student Health and Wellness Fee which covers services at the Student Care Center (SCC) and the Student Counseling and Resource Service (SCRS). Students' spouses, domestic partners and dependent children age 14 and older, who are insured through the Student Accident and Sickness Insurance plan, are also assessed this fee and are entitled to receive services at SCC and SCRS.

Students registered during the spring quarter but not registered during the summer, and June graduates who remain in the Chicago area during the summer, may *elect* to purchase the summer Student Health and Wellness Fee to continue access to the services of SCC and SCRS.

### **Student Activities Fee**

Generally, all registered students are also charged the Student Activities Fee, which covers student organization activities and programs coordinated by the Office of the Reynolds Club and Student Activities.

### **Waiving the Mandatory Fees**

These two fees will be waived only for those students who live and study over 100 miles from campus and who will not be on campus during the quarter. Students need to petition their area Dean of Students to receive this waiver. There are no other grounds for waiving these two mandatory fees.

## **ADDITIONAL ADMINISTRATIVE REGULATIONS**

### **Official Communication by Electronic Mail**

Official communications from the University are sent via electronic mail (e-mail) to each student's CNetID@uchicago.edu e-mail account and students are responsible for the information. If a student wishes to read that mail via a personal account, he or she assumes the responsibility to set up and maintain any forwarding functions. Resources for claiming a University e-mail account and for establishing forwarding addresses can be found on the Web at <http://cnet.uchicago.edu>

### **Petitions**

Any student who wishes to request special consideration under a University regulation or an interpretation thereof must file a petition with the University through the Dean of Students in the unit in which the student is enrolled.

### **Student Employment**

A student employed by the University is employed only as an adjunct to his or her student status. As such, a student in the College, a masters' program, or a professional school, or a doctoral student in Scholastic Residence may be employed by the University no more than 19.5 hours per week during the school year. A doctoral student in Advanced Residence, depending on the level of financial support and with the written consent of the Dean of Students of her or his academic area, may be employed by the University for additional hours per week and thus might be eligible for the appropriate employee benefits.

International students in J-1 or F-1 status should contact the Office of International Affairs with any questions regarding their employment eligibility.

While employed by the University, the student is covered by the University's personnel policies and procedures and may be disciplined or terminated from employment for noncompliance. Upon employment, it is the student's responsibility to ask his or her supervisor for a copy of the Employee Handbook and to become acquainted with the University's policies. While employed at the University, the student may come in contact with personal or confidential information, including personnel records, student records, donor and alumni information and, if employed at the Medical Center, patient records. Information a student learns on the job should stay on the job and not be discussed outside the workplace or in inappropriate ways within the workplace. Unauthorized disclosure of confidential information may result in discipline, including discharge and student disciplinary charges. Questions regarding student employment should be addressed to the student's supervisor or area Dean of Students.

Before accepting a position, a student should make an effort to understand the duties and responsibilities of the position. A student employee is expected to follow payroll procedures carefully and to report hours worked accurately and in a timely manner. The student should discuss problems with or questions about the job with his or her immediate supervisor. A student who decides to leave a job should give the supervisor at least two weeks notice.

### **The University of Chicago Card**

The University of Chicago card is an official identification card and its use is subject to the regulations of the University. The card identifies a person as either a student or an employee, but not both. Students whose cards identify them as employees may obtain a quarterly supplementary card identifying them as students from the Office of the University Registrar. The card is not transferable and must be presented upon demand to a University official. A student is subject to disciplinary action if he or she fails to identify himself or herself adequately upon the request of a University official. Misuse of the card will result in its forfeiture and may be subject to disciplinary action.

## **STUDENT LIFE AND CONDUCT**

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### **AUTHORITY TO DIRECT**

On those occasions when a staff member finds it necessary to exercise authority on behalf and in the best interests of the University, students are obliged to follow his or her directives. Failure to follow the staff member's directive is a serious matter and may result in referral to an Area Disciplinary Committee.

If a student believes that a staff member has acted improperly, the student should:

1. Obey the instructions of the staff member.
2. Inform the staff member that the student believes the staff member is acting improperly.
3. Register a formal complaint with the student's Dean of Students.

### **AUTHORITY TO SUMMON**

From time to time, a Dean or his or her designee will require the immediate presence of a student to address a matter of genuine urgency. In such cases, the Dean or designee may issue a summons requiring the student to appear in person at a specified time and place, regardless of the student's other commitments. Failure to appear as required by the summons is a serious matter and may result in a restriction of registration or even in referral to an Area Disciplinary Committee.

### **OUTDOOR EVENTS ON THE CAMPUS**

All events and activities planned to take place out-of-doors on campus must be approved in advance by the Office of the Reynolds Club and Student Activities (ORCSA) (702-9038 or 834-0858). A University Department and/or Recognized Student Organization (RSO) must sponsor all outdoor events. Requests must be submitted at least 48 hours before the start of the event so that appropriate offices can be informed. The person in charge of the event(s) should submit a written request to reserve the quadrangle space, including the date, time, location, number of people expected to attend; whether food, alcohol, and/or non-alcoholic beverages will be served; and the playing of music, or other amplified sound, and set-up arrangements. (If alcohol will be served at an event, additional policies and approvals apply. See the University Alcohol Policy.) Additional information may be requested from the sponsor about the proposed event. Event organizers must be present for the duration of the event. All banners, tables, signs and other paraphernalia used, as well as all trash generated by the event, must be removed when the event concludes. Alcohol is not allowed at events that have not received the appropriate alcohol approval. University officials or agents of the University have the authority to prohibit attendees from bringing alcoholic beverages to an outdoor event. Such beverages may be confiscated by the official or agent.

Any event produced in conjunction with an outside organization or firm (whether paid or not) may require special contractual and/or insurance arrangements. The sponsor of any such event should inform ORCSA and the sponsor must make the necessary arrangements with the Office of Risk Management.

To minimize the disruption of academic and administrative activities, music or other amplified sound is permitted generally only between noon and

1:00 p.m. and after 5:00 p.m. on weekdays and all day on weekends. Even during approved hours, all noise should be kept at a reasonable level and University officials may inform event organizers to change the volume to a specific lower level.

The erection or construction of any structure (such as a tent, stage, signs, or other markers) requires the approval of the Director of ORCSA, or his or her designee and consultation with the Safety Office and Facilities Services. Any event which involves special circumstances, such as the duration over an extended period of time, student sleep-overs, or late-night/early morning events will require special permission of the Director of ORCSA, or his or her designee. Banners and/or signs are to be erected only by University Departments or RSOs and the schedule of their display must be approved by the Director of ORCSA or his or her designee.

For events where a large crowd is expected or where there is a potential for those persons with views that differ from the views held by event organizers to attend, student organizations should provide the contact information of their ORCSA advisor and departments should provide the contact information of an appropriate full-time staff member in their department; that staff member may be required to attend. Contact information should be provided to the Assistant Director of the Office of the Reynolds Club and Student Activities. Please note that a separate protest area may be designated by the Office of the Vice President and Dean of Students in the University for those persons with views that differ from the views held by the event organizers. In order to ensure the safety of all participants, the University Police Department may require the attendance of one or more officers.

## **PUBLICITY POLICY**

The University community may publicize their events in designated areas through several methods. The form and content of the publicity will not be restricted, unless it is libelous, obscene, incites riot or other unlawful action. The publicity may not include any suggestions of the availability of alcohol. All publicity outside the Reynolds Club must state clearly the name of the organization or department, and if applicable event date, time and location. Violation of the publicity policy will result in consequences ranging from a penalty fine to suspension of the student organization. Complaints and questions must be directed to the Office of the Reynolds Club and Student Activities at the Student Organization Center (RC 001).

### **Postings (Announcements, Flyers & Posters)**

Anonymous posting is allowed in the Reynolds Club only. These postings must be dated and will be removed two weeks after posting.

Posting must be placed only on designated bulletin boards, no more than one posting per event and the posting should not cover current postings belonging to other organizations or individuals. The Office of the Reynolds Club and Student Activities monitors the bulletin boards in the Reynolds Club, Ida Noyes Hall, Bartlett Hall, Administration Building, Cobb Hall, Harper, Pick Hall, Regenstein Library Quadrangles and Stuart Hall. If a member of the University community has any concerns about postings on these boards, please do not remove the posting, instead contact the Office of the Reynolds Club and Student Activities at the Student Organization Center (RC 001).

**Banners**

Campus groups may post banners in the Reynolds Club, on the walls and the main arches of Mitchell Tower, but not over windows and doors, or on the woodwork. A maximum of one six-foot banner per group may be posted. Banners should not cover current banners belonging to other groups. Groups are responsible for removing banners within 24 hours of the event. Banners with no event dates must be removed after 2 weeks of posting the banner.

Approval for banners in other campus locations must be obtained from the appropriate office or building management. Banners and/or signs in outdoor areas are to be erected only by University Departments or RSOs and the schedule of their display must be approved by the Director of ORCSA or his or her designee.

**Chalking**

Chalking to publicize events is allowed only on campus sidewalks. Water-soluble chalk must be used. If a member of the campus community objects to the chalking on a campus sidewalk, please contact the Office of the Reynolds Club and Student Activities at the Student Organization Center (RC 001).

**Solicitation and Distribution of Handbills and Leaflets**

All handbills or leaflets must clearly state the name of the organization or individual. Policies on solicitation and the distribution of handbills and leaflets vary by building. For solicitation and the distribution of handbills and leaflets outside but on University property, contact the Office of the Reynolds Club and Student Activities.

**Online Calendar**

To post your event on the University online calendar, go to [events.uchicago.edu](http://events.uchicago.edu) or [events.uchicago.edu/students](http://events.uchicago.edu/students). A listing of events posted on the student events calendar is sent in a weekly email to all students in the College and any other subscribers to the listhost. Online calendar postings must follow University publicity policy.

**Table Tents in Dining Halls**

The Office of Undergraduate Student Housing must approve table tents for the dining halls and the Office of Reynolds Club & Student Activities (RC 003) must approve the table tents for the C-Shop & Hutchinson Commons. Unapproved table tents will be removed by dining facility staff. Only one table tent per table is allowed for a display of at most five (5) days. Table tent advertisement must be for campus events ONLY. All table tents must have the name of the sponsoring student group.

**RESPONSIBILITY FOR GUESTS**

Hosts are always responsible for the behavior of campus guests, who, while they are visitors, are expected to conform to the standards of conduct expected of students at the University.

**SANCTIONS BY ADMINISTRATIVE DEPARTMENTS**

In the event students violate the rules and/or regulations of administrative departments, such as the University House System, the Library, Career Services, and Networking Services and Information Technologies, such departments have authority to apply sanctions against their student clients and patrons up to and including withdrawal of all services.

## UNIVERSITY DISCIPLINARY SYSTEMS

### Preamble

The University of Chicago is a community of scholars dedicated to research, academic excellence, and the pursuit and cultivation of learning. Every member of the University – student, faculty, and staff – makes a commitment to strive for personal and academic integrity; to treat others with dignity and respect; to honor the rights and property of others; to take responsibility for individual and group behavior; and to act as a responsible citizen in a free academic community and in the larger society. Any student conduct, on or off campus, of individuals or groups, that threatens or violates this commitment may become a matter for action within the University's system of student discipline.

The intent of the student disciplinary systems is to ensure a fair and orderly proceeding on questions of possible student misconduct. A disciplinary proceeding enjoys neither the advantages nor the limitations inherent in an adversarial proceeding of a court of law.

The University's disciplinary systems and the legal-judicial structures of the general society differ and are distinct in principle. It may be taken as self-evident that students do not abdicate any of the rights that are guaranteed to them by the civil society and that they are at all times free to claim and assert those rights through the institutions, presumably judicial, of that society. At the same time, it is affirmed that the University is a private enclave, dedicated to a purpose that imposes additional and special obligations while granting certain privileges to its members.

The University's disciplinary procedures are therefore not to be confused with the processes of law: the University's regulations are applied to incidents that are not "cases," the bodies that hear and dispose of incidents are not "courts," individuals who may accompany a student in the course of a disciplinary proceeding are not "counsel" advocating on behalf of the student and scrutinizing procedures for compliance with "rules of evidence," and requests for review of disciplinary decisions are not "appeals." As a leading illustration of the sense of this statement, it should be understood that the relation of collegiality and trust that binds all members of the University community entails an obligation of truthfulness and candor on the part of everyone who participates in a disciplinary proceeding. An accused student must appear before a disciplinary committee to help it reach a complete and fair understanding of the facts of the incident at issue, not merely to present a narrowly constructed answer to the complaint.

### *The University has three student disciplinary systems:*

**Area Disciplinary Systems** in the College, graduate divisions, professional schools, and the Graham School of General Studies address violations of University policies and regulations and other breaches of the standards of behavior expected of University students. Area Disciplinary Systems are described below.

The **University House System Discipline** applies to offenses within or against the House System (e.g. vandalism, disruption, excessive noise). Serious offenses within the House System are referred to an appropriate Area Disciplinary System. The rules and disciplinary procedures for the House System are described beginning on page 45.

The **All University Disciplinary System** is a procedure for student offenses that are organized or designed to hinder or disrupt the operations of the University (for example: the disruption of teaching, research, administration, or meetings). The All University Disciplinary System is described beginning on page 51.

### **Area Disciplinary Systems**

Each academic unit — the College, graduate divisions, professional schools, and the Graham School of General Studies — has written procedures for student discipline. Those procedures may be obtained from the Office of the Dean of Students of the academic unit or from the Office of the Vice President/Dean of Students in the University. Procedures for undergraduate or graduate discipline follow the outline of the procedures described below, with variations that reflect the values and educational goals of the specific academic unit.

Conduct involving possible violation of University policies and regulations and other breaches of standards of behavior expected of University students should be brought promptly to the attention of the Dean of Students of the academic area of the accused student. Such violation and breaches of standards include but are not limited to: plagiarism, cheating on examinations, falsifications of documents or records, theft, vandalism, violation of computing policies, violation of the alcohol and other drug policy, physical or verbal abuse which threatens or endangers the health or safety of others, sexual harassment, sexual assault or sexual abuse, violation of an administrative department's regulations, failure to comply with directives of University officials including the University Police, and violation of the terms of imposed disciplinary sanctions.

Generally, the person bringing the allegation of misconduct first will discuss the allegation with the Dean of Students of the academic area of the accused student (or his or her designee). The complainant must maintain the strict confidentiality of the allegation of misconduct. The Dean of Students will conduct an inquiry into the facts, which may include interviews with pertinent other people. If the Dean of Students thinks that the circumstances warrant it, the Dean of Students will arrange for a meeting with the accused student as soon as practicable. In the meeting, the Dean of Students will inform the accused student of the alleged misconduct and will discuss the allegation. Based on the inquiry and in consultation with the Vice President/Dean of Students in the University (or his or her designee), the Dean of Students has the discretion and authority to dismiss the complaint, to resolve the complaint informally with the parties, or to refer the complaint to the Academic Dean with a recommendation to convene an Area Disciplinary Committee.

If the Area Dean of Students resolves an allegation of misconduct informally, the Area Dean of Students may give the accused student an official warning and suspend specific student rights and privileges for a designated period of time. A copy of the written notice warning the accused student that he or she is violating or has violated University policies or regulations will be placed in the student's educational record. If the Dean of Students later finds that the student has engaged in additional misconduct, the Area Disciplinary Committee may be informed of the earlier warning. If the Area Disciplinary Committee is informed of the earlier warning, the Committee must consider it in determining further sanctions.

If the Academic Dean decides that an Area Disciplinary Committee is to be convened, the Dean of Students of the academic area of the accused student will ask the complainant to submit in writing the allegation as well as any

available documentation supporting the allegation. The Dean of Students will inform the accused student of the allegation, give the accused student a copy of the academic unit's disciplinary procedures and ask the accused student to prepare a written response to the accusation. If there were witnesses to the alleged misconduct, the Dean of Students will ask each of the witnesses to submit a written statement as well. Pending the Area Disciplinary Committee proceedings, the Dean of Students may impose an interim suspension or any other interim measure to ensure the safety and well-being of others or to ensure the accused student's own physical or emotional safety and well-being. The Dean of Students has the authority to inform the University Registrar not to release the academic record of the accused student pending the outcome of the disciplinary proceedings.

The Academic Dean (or his or her designee) will appoint the members of the Area Disciplinary Committee. All members of the Area Disciplinary Committee are expected to maintain independent judgment and open-mindedness about the alleged misconduct. The Area Disciplinary Committee consists minimally of three faculty members, the Dean of Students (or his or her designee), and a representative of the Office of the Vice President/Dean of Students in the University. The latter two attend the Area Disciplinary Committee meeting in a non-voting, advisory capacity. The Area Disciplinary Committee also may have as many as two student members and, if requested by the accused student, must have at least one student member. The Area Disciplinary Committee will meet as soon as practicable.

When an Area Disciplinary Committee is convened, the accused student will be informed in writing of the alleged misconduct and the date, time, and place of the Area Disciplinary Committee proceedings. If the accused student has been accused of misconduct before, the Dean of Students may inform the Area Disciplinary Committee of the previous accusation, other pertinent information related to the previous allegation, and of any disciplinary action. In advance of the meeting, the accused student will be provided with a copy of all the written material furnished to the Area Disciplinary Committee. The accused student may bring a person to the proceedings whose role is limited to providing support to the accused student – not to serve as an active advocate or participant in the proceedings. The accused student should inform the Dean of Students three to five business days before the Area Disciplinary Committee is to meet if a support person will be attending the proceedings. If the person providing support is a lawyer, a representative of the University's Office of Legal Counsel also will attend the proceedings. The Area Disciplinary Committee may permit the complainant to attend the proceedings and may summon others to appear before the Committee.

The Area Disciplinary Committee will seek to reach a complete and fair understanding of the facts of the incident at issue. The student will be asked to speak for himself or herself before the Area Disciplinary Committee. During the proceedings, if the Area Disciplinary Committee hears other individuals, the accused student may choose to be present when those individuals are heard. Only the Area Disciplinary Committee may ask questions of the accused student and others who appear before the Committee. If the accused student refuses to appear before the Area Disciplinary Committee, the Area Disciplinary Committee shall proceed without the accused student.

Area Disciplinary Committee proceedings generally follow this outline: The chair of the Area Disciplinary Committee reminds all present that discipli-



nary proceedings are distinctly different from the legal-judicial processes of the general society; that the relation of collegiality and trust that binds all members of the University community entails an obligation of candor on the part of anyone involved in a disciplinary proceeding; that disciplinary proceedings and their outcome are to remain confidential. The chair then restates the allegation into which the Area Disciplinary Committee is inquiring to determine what may have happened and whether or not sanctions are to be imposed. The accused student may be asked to make a statement in response to the allegation. Subsequently, committee members ask questions of the accused and others present and may conduct further inquiry. At the completion of the inquiry, all present who are not members of the Area Disciplinary Committee will be asked to leave while the Committee members deliberate on the allegation and inquiry, possible sanctions and implications of those sanctions, and come to a decision. The Area Disciplinary Committee decides, by majority vote, whether or not they believe that the accused student's conduct violated University policies and regulations or breached standards of behavior expected of University students. Disciplinary sanctions available to the Area Disciplinary Committee are set forth in the following section, called Sanctions for Misconduct.

When the Area Disciplinary Committee reaches its decision, the Dean of Students will inform the accused student as soon as practicable and will send a confirmation letter in which both the decision and the review process are delineated. The action of the Area Disciplinary Committee is reported to the Office of the Vice President/Dean of Students in the University. Decisions of disciplinary suspension or expulsion will be recorded on the student's transcript and usually will read "Not permitted to register from [Date] to [Date]. [Name and Title of the Dean of Students in the University], [Date]" In cases of expulsion the notation includes a statement "Must Reapply." Other offices (e.g., Housing, University Registrar) are to be notified only if the action taken by the Area Disciplinary Committee affects those offices, and then only the action itself is transmitted.

A written record will be kept by the Office of the Dean of Students as part of the student's educational record with a copy furnished to the Office of the Vice President/Dean of Students in the University. This record should include all materials furnished to the Area Disciplinary Committee, a copy of the confirmation letter sent to the accused student, a statement of the main findings which were relevant to the final outcome of the disciplinary proceedings and to the sanctions imposed, as well as the considerations of the possible implications of the sanctions.

If the Area Disciplinary Committee imposes a sanction, the accused student may have the Area Disciplinary Committee's decision reviewed. Review procedures are set forth in the section called Review Process.

### ***Allegation of a Sex Offense***

If an Area Disciplinary Committee is convened for an allegation of a sex offense, the Area Disciplinary Committee procedures will be invoked with the following modifications and clarifications. The Dean of Students will explain the disciplinary procedures to the accused student and a representative of the Office of the Vice President/Dean of Students in the University will explain these procedures to the complainant. The accused student will receive a copy of all the written material furnished to the Area Disciplinary Committee, including a copy of the written complaint. The complainant ordinarily will be

asked to appear to answer questions of the Area Disciplinary Committee. To accommodate concerns for the well-being of the complainant, the Dean of Students may make appropriate arrangements enabling participation of the complainant without a face-to-face interaction with the accused student. The complainant will have the same opportunity as the accused student to bring a person to the proceedings whose role is limited to providing support – not as an active participant in the proceedings. If the person providing support is a lawyer, a representative of the University's Office of Legal Counsel also will attend the proceedings. During the proceedings, if the Area Disciplinary Committee hears other individuals, the accused student and the complainant may be present. The complainant will be informed of the outcome of the proceedings and will be told that, by federal law, the proceedings and their outcome must remain confidential and cannot be disclosed by anyone unless disclosure is authorized by law.

### ***Sanctions for Misconduct***

Sanctions delineated here are arranged in increasing order of severity. An Area Disciplinary Committee may combine different sanctions in a given decision. A Review Board may make use of all the alternative forms of sanctions.

#### ***Warning***

The Area Disciplinary Committee may give the accused student an official warning. A copy of the written notice warning the accused student that he or she is violating or has violated University policies or regulations will be placed in the student's educational record. If the Dean of Students later finds that the student has engaged in additional misconduct, the Area Disciplinary Committee may be informed of the earlier warning and the circumstances related to the warning. If the Area Disciplinary Committee is informed of the earlier warning, the Area Disciplinary Committee must consider it in determining further sanctions.

#### ***Disciplinary Probation***

The Area Disciplinary Committee may place the accused student on disciplinary probation during which period the student continues to enjoy all the rights and privileges of a student except as the Area Disciplinary Committee may specifically stipulate. If, during the period of disciplinary probation, an Area Disciplinary Committee finds that the student has engaged in additional misconduct, the Area Disciplinary Committee will be informed of the student's probationary status and the circumstances related to the student's probationary status. The Area Disciplinary Committee must consider the probation in determining further sanction.

#### ***Loss of Privileges***

The Area Disciplinary Committee may suspend specific student rights and privileges for a designated period of time.

#### ***Discretionary Sanctions***

The Area Disciplinary Committee may assign the student specific academic work, community service for a specific number of hours, or other appropriate discretionary assignments to be completed by a specific date, or impose restitution or fines.

*Disciplinary Suspension*

The Area Disciplinary Committee may impose a disciplinary suspension, never exceeding nine quarters, during which period the student is prohibited from exercising any rights and privileges of a student in the University. Unless the Area Disciplinary Committee specifically states otherwise in its decision, at the expiration of the period of suspension, the student may resume active status as a student without any action on his or her part other than what would be required of any student who has, for a comparable period, interrupted his or her residence in the University for any other reason. However, a student under suspension who has been charged with another offense may not resume active status as a student until final action has been taken on such charge by an Area Disciplinary Committee.

*Disciplinary Expulsion*

The Area Disciplinary Committee may expel a student. A student who has been expelled automatically forfeits all rights and privileges as a student in the University. Ordinarily, the University will not consider a re-application for eleven quarters following the date of expulsion.

*Revocation of Admission*

The Area Disciplinary Committee may revoke admission to the University for fraud, misrepresentation, or other violation of University standards in an accused student's application for admissions. Ordinarily, the University will not consider a re-application for eleven quarters following the date of the revocation of admission.

*Revocation of the Degree*

If, after awarding the degree, the Dean of Students is informed of misconduct that occurred before the degree was awarded disciplinary proceedings may be initiated. If an Area Disciplinary Committee is convened, the Committee may recommend revocation of the degree.

***Further Disciplinary Policy Information***

Disciplinary processes will proceed for anyone who has been admitted to the University whether or not he or she is in residence. A sanction given to a student not currently in residence takes the form of a condition imposed upon resumption of active status as a student. If a complaint against a student who has applied for graduation has been brought to the attention of the Dean of Students but an Area Disciplinary Committee has not yet been convened by graduation time, the Dean of Students has the discretion and authority to decide whether the accused student may receive the degree and/or participate in convocation. When an Area Disciplinary Committee has been convened by the graduation date but the proceedings have not concluded, the accused student's graduation shall be postponed until the conclusion of the disciplinary proceedings including the completion of all sanctions.

A student who has been suspended or expelled is also barred from all University property for the period of the suspension or expulsion, absent written permission from the Dean of Students. While employment by the University is not an exclusive right or privilege of students, in cases in which employment is reserved for students or students are given preference in employment, the fact of suspension or expulsion may adversely affect status as

an employee. Further, the University is entitled to take into account the grounds on which sanctions have been imposed, as these may bear on qualifications for employment.

Maintaining the confidentiality of the disciplinary proceedings and their outcome is the responsibility of the accused student, complainant and all others participating in or privy to those proceedings. Unless disclosure is authorized by law, failure to respect the confidentiality of the proceedings and their outcome may result in disciplinary action.

The disciplinary procedures do not preclude the application of other policies such as Restriction of Registration.

### ***Review Process***

If a disciplined student wishes to request a review of the decision, the student must make that request in writing to the Office of the Vice President/Dean of Students in the University not more than fifteen days following the issuance of the written notification of the decision of the Area Disciplinary Committee. The disciplined student must submit the request for review and supporting material in writing. At the request of the disciplined student, the student may be granted an additional fifteen days to prepare those materials. The only legitimate grounds for review are: (1) that prescribed procedures were not followed, and (2) that new and material information unavailable to the Area Disciplinary Committee bears significantly in the student's favor.

A Review Board is constituted when a request for review is received by the Office of the Vice President/Dean of Students in the University. The Review Board consists of the Vice President/Dean of Students in the University (or his or her appointed representative), one member of the faculty of the student's academic area who serves as chair, and one student member of the student's academic area. The faculty and student members are both appointed by the Vice President/Dean of Students in the University and neither shall be a member of the Area Disciplinary Committee that rendered the decision under review. All members of the Review Board are expected to maintain independent judgment and open-mindedness about the decision under review. The Review Board, whose decision is final, does not conduct a new disciplinary proceeding. Nor does the disciplined student, generally, appear before the Review Board, although the Review Board reserves the right to ask the student to appear to clarify aspects of his or her request. The Review Board, acting on the basis of the entire disciplinary record, may sustain or reduce the sanctions imposed or, if satisfied that new and material information not available to the Area Disciplinary Committee might have resulted in a different decision, may require the Area Disciplinary Committee to reconvene and consider the new information in the proceedings.

### **University House System Discipline**

The University House System seeks to serve the educational objectives of the University by offering facilities which provide a setting in which individual education is furthered. The intent of the rules and regulations of the House System is to establish reasonable limits within which the greatest number of residents can work effectively and live pleasantly. These limits help to guarantee the basic rights of all residents to protection from behavior which creates excessive noise, endangers or disturbs other residents, or invites the intrusion of public authorities into the House System.

The basic rights and responsibilities of residents of the House System include:

1. Each resident has the right to the use of his or her own room. Each resident has the right to visitors who abide by Guest Procedures and House System rules and regulations. Residents are responsible for the conduct of the guests they bring into the residence halls. A resident may not entertain a guest in a room over the objections of a roommate. Visitors may not take up "occupancy" in a room.
2. Each resident has the right to peace, quiet, and public order in the House sufficient to provide adequate conditions for study and sleep. Each resident has a responsibility to respect the possession of this right by fellow residents. Additionally, residents are responsible for working to constructively address violations of this right.
3. Each resident has a right to representation, if not actual participation, in the making of regulations by students in the House, subject to reasonable procedures for enactment and amendment. Implicit in this is the right to adequate enforcement of the House rules.

### ***Rules and Regulations***

1. **Noise:** It is impossible to set specific standards regarding levels of noise in a residence hall which will satisfy all residents. Individual levels of noise tolerance vary widely. The purpose of the House System is to offer conditions which permit reasonable order for study and sleep. At no time may a resident create excessive noise which will disturb other residents. After 11 p.m. on weeknights and 1 a.m. on weekends, residents must contain noise in their rooms and in the public areas of the Houses at levels which will not prevent other residents from studying or sleeping. Exceptions to these limits may occasionally be made on weekends for formal House events which have the prior approval of the House Council and the resident heads.

- a. Residents may not practice or play musical instruments, electronic or acoustic, in student rooms, but should use music practice rooms for those activities.
- b. Excessive noise is a problem not only for residents, but for people living in the buildings neighboring the residence halls. Residents must act to keep noise from unduly disturbing neighbors as well as other residents.

2. **Personal Abuse:** The residence halls are intended to be communities where the individuality of all residents and their rights to make personal choices are respected, so long as those choices do not interfere with the rights of others. Housing staff members have the responsibility to ensure that this and all policies of the House System are observed. In protection of these rights and responsibilities, residents may not engage in personal abuse, written or oral, directed against other residents, guests, or members of the housing staff. Any form of abusive, threatening, or harassing behavior will be considered grounds for serious disciplinary action by the housing staff. Residents must also respect the personal property and assigned space of other members of the House System.

3. **Dangerous Acts:** Residents may not engage in activities which threaten the safety of others. A list of specific acts that come under the rubric of dangerous activities could never be exhaustive; however the following is a partial list:

- a. Possessing or using fireworks, firearms, other explosives, or weapons;
- b. Setting off false fire alarms. Tampering with fire extinguishers or other fire safety equipment;
- c. Playing with fire in any matter, whether or not any damage or injury occurs to person or property;
- d. Tampering with elevators;
- e. Physically attacking or threatening physical attack of other residents or visitors to the Houses;
- f. Throwing objects from the windows of the residence halls. The size, weight, and shape of such objects—and their potential for harm—cannot be subject to exhaustive debate. The directors in the Office of Student Housing will judge such cases. The rule is: no object may be thrown from the windows of the residence halls;
- g. Obstructing the use of any residence hall door by tampering with locks or otherwise preventing free access or egress.

Residents who engage in any of the acts listed above will be subject to serious disciplinary action, including the likelihood of being removed from a House or from the House System.

**4. Alcohol in the Residence Halls:** The State of Illinois prohibits the consumption or possession of alcohol by persons under the age of 21, and the supply of alcohol to any person under the age of 21. It is important that each resident of the University House System be aware of the state law with regard to the consumption, possession, and sale of alcoholic beverages.

The use of alcoholic beverages is not permitted in the common areas of the College Houses. Common areas include lounges, corridors, stairwells, study rooms, recreation rooms, community kitchens, entry-ways, and the like.

The use of University funds to purchase alcohol for students under the age of 21 is prohibited. Members of the housing staff may not purchase for or serve alcohol to students under the age of 21.

The University expects each resident of the House System to be responsible for his or her own conduct and the consequences of that conduct.

**5. Illegal Drugs:** The possession, use, or distribution of illegal drugs is not permitted in the University House System. Residents in violation of this rule may face serious disciplinary consequences, including the likelihood of removal from the House System.

**6. Private Parties in the Residence Halls:** Students are allowed to host private parties in their rooms in the residence halls with prior approval from the resident heads and in compliance with the House System Private Party Policy. Student hosts must assume full responsibility for the party and for the conduct of all guests at the party. Copies of the Private Party Policy are available from the resident heads.

**7. Smoking:** The Illinois Clean Indoor Air Act provides that “smoking is prohibited in any portion of a building used in whole or in part as a student dormitory that is owned and operated or otherwise utilized by a public or private institution of higher education” (Illinois HB 4174). As such, smoking is forbidden in the residence halls, including student rooms, lounges, lobbies, corridors and courtyards. The City of Chicago Clean Indoor Air ordinance prohibits smoking within 15 feet of the entrance to any building, including residence halls and dining commons.

House System residents are obligated to comply with the law. Residents who violate the law will be addressed by resident staff and are subject to disciplinary action including oral warnings, formal written warnings (probation) and removal from the House or House System.

**8. Visitor Procedures:** Most of the University House System residence halls are served by front desks at which residents' visitors must register before gaining access to the residence hall. Hosts must be present in the building to acknowledge either in person or by phone that they are willing to receive the visitor. Visitors will not be permitted to enter unless the host is present. Visitors are required to sign the visitors log at the front desk upon entry to the hall noting clearly their first and last names and the time and date of entry. Failure to follow visitor procedures may be cause for disciplinary action.

It is expected that visitors will remain in the company of their hosts. Visitors do not have the privilege of using house or hall amenities such as computers, game rooms, or laundry equipment, unless engaged in a shared activity with a resident.

**9. Restricted Areas:** Residents are not permitted to go on the roofs of the residence or dining halls, or to any other areas which are designated as "off limits." The minimum penalty for violating this rule will be a fine of \$50. Residents may also be fined for tampering with the physical plant of the residence halls by removing screens, exiting from secured alarmed doors, or tampering with electrical or phone systems, etc.

Residents may not enter any residence hall room to which they are not assigned, unless they are the invited guests of the person(s) assigned to that room.

**10. Pets:** Residents may not keep pets in any of the residence halls. This prohibition is imposed for reasons of cleanliness, health problems, and noise. Exceptions are made for fish in a small aquarium. The only other pets permitted in the residence halls are those belonging to resident masters, resident heads, and the directors of student housing who live in the House System year-round.

**11. Restricted Dining Halls:** The residential dining halls at Bartlett, Burton-Judson, and Pierce, are open only to individuals who have purchased meal plans and to those guests who purchase individual meals. Students must abide by the policies and procedures specified in food service publications.

**12. Overnight Guests:** House System guest procedures are based on the premise that residents of the House System ought to be able to have occasional personal guests in the residence halls, when space is available, under reasonable limitations that protect the rights of roommates and the interests of the University community. Anyone who is not a regularly assigned resident of a room is considered a guest. Residents may not host guests overnight in their room without the consent of all assigned residents of the room. Guests may not remain for more than three nights in the student rooms without prior approval of the Housing staff. Guests who wish to reside in the residence halls for more than three days may be required to take other lodging within the hall, if available, and must register at the desk to receive these services. Copies of the complete Guest Procedures are available from the resident heads.

**13. Door-to-Door Solicitation:** Door-to-door solicitation in the residence halls is prohibited unless prior approval has been given by the director of the House System. This includes but is not limited to distribution of information, electioneering or campaigning, solicitation of funds, or sales of products or services by residents or non-residents. Activity related to dorm-sponsored events such as signing up for House trips or Masters events, collecting dining account information, or House fund-raisers are not prohibited if conducted by residents or housing staff.

### *Enforcement of House System Rules and Regulations*

It would be illusory to assume that all conflicts and disputes which are likely to arise in the House System will be easily resolved by mutual understanding and agreement. Initial responsibility for settling disputes rests with individual residents and the elected House Councils. Residents are expected to attempt to resolve problems whenever possible before turning to the housing staff. The resident heads and assistant resident heads, as University officials living in the residence halls, will strive to protect the rights of all residents by advising and assisting individual residents and House Councils. When problems cannot be settled in this manner, the housing staff will enforce the rules and regulations of the House System and will impose disciplinary action as appropriate. On those occasions when members of the housing staff find it necessary to act in the role of University authority, residents are obliged to follow their directives. If a resident believes that a member of the housing staff is acting improperly, the resident should:

- a. Obey the instructions of the housing staff member.
- b. Inform the staff member that the resident believes the staff member is acting improperly.
- c. Register a formal complaint with the Office of Undergraduate Student Housing.

### *Disciplinary Procedures*

The goal of the Office of Undergraduate Student Housing and the housing staff is to settle problems at the lowest possible level, and to institute formal disciplinary action only when necessary. Official responses will be governed by the nature of the particular dispute or infraction. Initial action will begin at a higher level for serious offenses. House System disciplinary sanctions include:

**1. An oral warning from the assistant resident head or resident head:** The student is told why a particular behavior is a problem and what must be done by the student to correct the problem. No records of oral warnings are kept outside of the House.

**2. House System Probation:** House System Probation is a formal, written warning that a student's behavior is unacceptable and must change. Probation is imposed because the behavioral problem is serious or because the student ignored a previous oral warning. House System Probation is usually imposed by the resident head, but may sometimes be initiated by the directors in the Office of Student Housing. Probation is normally imposed for a specific period of time, usually for the remainder of the academic year. If, after being placed on House System Probation, the student violates House System rules and regulations or engages in disruptive activity in the House System, the student is usually required to move within the House System or to leave the House



System altogether. House System probation is treated as an internal, House System matter. Records of probation are kept only within the House and the Office of Undergraduate Student Housing.

**3. Visiting Restriction:** The directors may restrict a resident from visiting particular parts of the House System because of behavioral problems. Similarly, students living outside the House System may be restricted or “banned” from all or a part of the System for their failure to abide by House System rules and regulations. Such bans are usually imposed for a specified length of time.

**4. Moves within or Removal from the House System:** A resident who engages in seriously disruptive or dangerous behavior, or who violates the terms of House System Probation will be required to move within the House System or to leave the House System altogether. The decision will be made by one of the directors of the Office of Undergraduate Student Housing, usually with the recommendation of the resident heads. A resident who is required to leave a house or the House System is normally forbidden to visit in that house or in any part of the System for a specific period of time, and is normally prohibited from returning to that house or to the House System as a resident before the next academic year. When a resident is required to move within the House System or to leave the House System, the student’s area Dean of Students is notified in writing of the action. If the resident is required to leave the House System and is a first-year student in the College, the College residency requirement for first-year students is waived, and the parents of the student are notified of the action.

**5. Area Discipline:** The Director of the Office of Undergraduate Student Housing can recommend to the Dean of Students in a particular academic area that a student from that academic area be brought before the College, division, or school disciplinary committee in that area. If the Dean of Students accepts the Director’s recommendation, the student will be required to appear before such a disciplinary committee. Such a committee has the power to suspend or expel a student from the University.

### *Review Process*

**Required Moves within the House System:** A student who is required to move within the House System for disciplinary reasons may request a review of the decision of the directors of the University House System by the House System Disciplinary Review Committee. This Committee consists of three students drawn from lists of residents appointed by the Residential Student Councils, and two resident heads drawn from a list appointed by the Director of the Office of Undergraduate Student Housing. A student who seeks a review of a disciplinary decision must, within 48 hours of the decision, submit a written request with supporting material to the Director of the Office of Undergraduate Student Housing. Upon request, the student may be granted an additional 48 hours to prepare this material. The Review Committee will be convened as soon as possible after the student files for the review. At the hearing, both the Director of the Office of Undergraduate Student Housing (or a designee) and the student are given the opportunity to present their cases and to rebut the other’s presentation. A majority of three votes in the Committee is required to sustain, overturn, or modify the original decision. The decision of the Review Committee is final and binding on both the student and the University House System.

**Removal from the House System:** A student who is required by the directors of the University House System to leave the House System for disciplinary reasons may request a review of the decision by the student's Area Disciplinary Committee. A student who seeks a review must, within 48 hours of the decision, submit a written request with supporting material to the appropriate area Dean of Students with a copy to the Director of the Office of Undergraduate Student Housing. Upon request, the student may be granted an additional 48 hours to prepare those materials. The appropriate Area Disciplinary Committee, to which will be added one resident head from the housing staff, will be convened as soon as possible after the student files for a review. \*(In the College, the review will be conducted by one member of the Committee on College Discipline, a Resident Head from the Housing staff and a representative from the Dean of Student's office) In conducting a review, the Area Disciplinary Committee will follow the procedures outlined beginning on page 38 for a broad review. The Committee will not conduct a rehearing of the case, probably will confine itself to the written record, and will consider as grounds for review (1) that prescribed procedures were not followed, (2) that the penalty will have unforeseen consequences for the student that are harsher than intended, (3) that new information bears importantly in the student's favor. The decision of the Area Disciplinary Committee is final and binding on both the student and the Office of Undergraduate Student Housing.

Questions about these rules, regulations, and procedures should be directed to one of the directors in the University House System (5525 S. Ellis, Room 180, 702-7366).

### **All-University Disciplinary System**

In May 1970, in the wake of the serious University disruptions of the late 1960s, the Council of the University Senate, acting on the authority of the Statutes of the University, instituted the following disciplinary procedures to deal with incidents of University disruption.

Amended in 1976, these procedures have seen little use. The last occasion for the convening of a University Disciplinary Committee came in 1974. Faculty and student panels are regularly appointed, however, so the Committee can be promptly convened if another occasion arises.

What follows is the legislation enacted May 12, 1970 (and amended June 8, 1976) by the Council of the University Senate:

#### ***Section 1. Provision for review of disciplinary procedures***

The Council of the University Senate shall review, through an appropriate committee, the entire disciplinary system of the University with special reference to the innovations herein proposed, such review to be conducted not later than the Spring Quarter, 1973.

#### ***Section 2. Statutory provision***

The Council of the University Senate shall request the Board of Trustees to include within the Statutes of the University provisions to the following effect:

Conduct of members of the University disruptive of the operations of the University, including interference with instruction, research, administrative operations, freedom of association, and meetings as protected by the University regulations, is prohibited and is subject to disciplinary action. Interference with freedom of inquiry, teaching, and debate will be viewed as particularly destructive to the University.

Consistent with the powers reserved for the Board of Trustees, the Office of the President, and other ruling bodies, the Council of the University Senate shall formulate those rules that relate to student conduct prohibited by this Statute. The Council of the University Senate shall formulate the procedures that will enforce those regulations and shall provide for hearings where there are charges of violations of those regulations. The Council of the University Senate may also establish mechanisms for the formulation and administration of additional rules and regulations for student conduct prohibited by this Statute.<sup>19</sup>

19 On May 18, 1970, the Board of Trustees amended the Statutes of the University as follows:

1. By adding the following provision as Statute 24 and by redesignating the present Statutes 24 (Degrees) and 25 as Statutes 25 and 26 respectively:

Statute 24. Disruptive Conduct-Conduct of members of the University disruptive of the operations of the University, including interference with instruction, research, administrative operations, freedom of association, and meetings as protected by University regulations, is prohibited and is subject to disciplinary action.

2. By adding the following provision to Section 3 of Article IV of Statute 14 as paragraph (e) of said Section 3 by redesignating the present paragraphs (e), (f), (g), and (h) of said Section 3 as paragraphs (f), (g), (h), and (i) respectively.

Section 3 of Article IV of Statute 14 (the Organization and Powers of the University Senate and the Ruling Bodies)-(e) Consistent with the powers reserved to the Board of Trustees, the Office of the President, and other ruling bodies, the Council of the University Senate shall formulate those rules that relate to student conduct prohibited by Statute 24. The Council of the University Senate shall formulate procedures that will enforce those regulations and shall provide for hearings where there are charges of violations of those regulations. The Council of the University Senate shall formulate procedures that will enforce those regulations. The Council of the University Senate shall also establish mechanisms for the formulation and administration of additional rules and regulations for student conduct prohibited by Statute 24.

- (c) by taking, occupying or using, or destroying or damaging the property of the University or of any member of the University in the offices or premises of the University without authorization;
- (d) by obstructing the administration of University disciplinary processes by force, violence, physical interference, unreasonable noise, or by other obstacle to its functioning;
- (e) by obstructing any officer or employee of the University in the performance of his or her duties;
- (f) by altering, destroying, removing, or concealing without authorization or by falsifying any record or document of the University.

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### ***Section 3. Definition of disruptive acts***

It is misconduct, constituting a disruptive act, for any member of the University community to engage in conduct which substantially obstructs, impairs, or interferes with teaching, study, research, or administration of the University; the authorized use of University facilities; or the rights and privileges of other members of the University community, for example:

- (a) by obstructing, impairing, or interfering with University sponsored or authorized activities or facilities in a manner likely to deprive others of the benefit or enjoyment of the activity or facility;
- (b) by using force against any member of the University community or his or her family which substantially and directly bears upon the member's functions within the University, or threatening the use of force against him or her or his or her family in circumstances which create a reasonable fear that actual force is likely to follow;

#### ***Section 4. Constitution of University disciplinary committees***

Disciplinary committees, empowered to conduct hearings on charges of violation by students of statutory provisions and Council legislation prohibiting disruptive acts, shall be constituted as follows. During the Fall Quarter of each academic year:

1. The President of the University shall appoint a committee of five faculty members on rotating three-year terms and designate one member from this Committee as its Chair. These five faculty members shall constitute the standing University Disciplinary Committee. In the event the magnitude of the disruptive acts requires that more than one panel be in place to conduct hearings, the President of the University shall appoint twenty additional faculty members drawn by lot from the membership of the statutory boards to constitute a total of five panels.
2. A panel of fifteen students shall be constituted—ten graduate students, one to be appointed by each student council or other appropriate student body in the divisions and the schools (including the Pritzker School of Medicine), in consultation with the appropriate dean or master, and five undergraduate students by Student Government.

At such time as the University Disciplinary Committee is required to meet:

1. Two student members drawn by random selection from the student panel shall be added to the standing faculty committee.
2. In the event that multiple panels are required, each panel shall consist of a member of the standing Committee as Chair, and four persons drawn by random selection from the membership of the statutory University boards. Each panel shall have two student members, drawn as in (1).
3. The Chair does not vote except in the case of a tie. The Chair and four members of the Committee constitute a quorum, and decisions are reached by simple majority, except in the case of a decision to expel which requires four affirmative votes.
4. Vacancies on a disciplinary committee, whether of faculty or students created by failure to serve, shall be filled by appointment by the President.
5. Multiple panels shall remain in place until discharged by the President.

#### ***Section 5. Procedures***

The following procedures are to be followed in instances in which the charge against the student is violation of the University Statute and legislation of the Council prohibiting disruption of the operations of the University.

##### *Intent of Procedures*

The intent of these procedures is to ensure a fair and orderly hearing on the charges. Interpretation and detailed development of this procedural outline require that all parties to the proceeding consider procedural questions in the light of what is required by fundamental fairness and a reasonably prompt and organized movement toward an accurate determination of individual allegations in a process not having available all the resources of a proceeding conducted in a court of law. While responsibility for a fair and orderly procedure must be shared by all parties, the Chair of the University Disciplinary Committee is especially responsible for the conduct of the proceedings, and the Committee as a whole must be the judge of what procedures will best serve these ends in a particular circumstance.

*Charging*

Information that a student has engaged in acts disruptive of the operations of the University may be brought by any member of the University to the attention of the Vice President and Dean of Students in the University, a Dean of Students or a dean of the schools, the divisions, or the College. Charges of such violation may, however, be referred only by the Vice President and Dean of Students in the University or any one of the deans of students or deans of the schools, the divisions, or the College. Charges must be given to the student in writing, and must include a brief statement of the nature of the charge and of places and times at which the student can respond to the charge. Unless there is already in existence a University Disciplinary Committee able to handle the matter, one is promptly convened. The charging authority transmits to the Chair of the Committee, who thereafter becomes responsible for processing all aspects of the case under the Committee's direction, a copy of the charge and a statement of the evidence on which it is based. The facilities of the Office of the Dean of Students are at the disposal of the University Disciplinary Committee in whatever ways may, in the judgment of the Committee, facilitate a prompt and fair disposition.

*Informal Hearing*

Proceedings before the Committee normally begin with an informal private hearing conducted by a representative designated by the Committee. At this hearing the student charged is informed of his or her rights and of the substance of the procedure to be followed throughout by the Committee as set forth herein or in some other form. He or she is advised that he or she may be represented by someone of his or her own choosing at every stage of the proceedings, is asked to consider—and to decide, if possible—whether he or she will request a private or a public hearing of the case, is fully informed of all the evidence available to the Committee on which the charge is based, and is told that the Committee will hear any individuals with direct knowledge of the incident whom he or she may bring forward and that it will also accept statements in writing if he or she is not able to procure their attendance and assistance. This policy of full disclosure is further implemented by informing the student that any additional evidence becoming available to the Committee will be available to him or her before the hearing, and is told how he or she and his or her representative may have access to such evidence. Finally a date for the hearing before the Committee is set or arrangements are made for determining it and informing the student.

*Hearing*

The Committee presumes the innocence of the student charged, assumes no facts or conclusions, ignores any previous history of disciplinary action with respect to the student charged, and reaches its decision as to whether the student has engaged in the prohibited act solely on the basis of the evidence actually before it. In a hearing before the Committee the evidence is set forth and its significance discussed. In addition to the content of all evidence, the student charged is entitled to be informed of the source of all evidence and of the identity of those on whose credibility any evidence may depend. The Committee makes every effort, within the limits of its powers of investigation and invitation, to resolve all issues of fact appearing in the evidence and invites and encourages the student and his or her representative not only to comment upon conclusions which might seem reasonably inferable from the evidence but also to offer alternative interpretations of it in whole or in part. But the student charged, while required to appear, is not required to testify, and if he or she chooses to testify he or she may refuse at any point to answer any question,

and no prejudicial inference will be drawn from such refusal. All rules of evidence will, in similar fashion, be considered by the Committee with respect to their function and effect in an inquiry enjoying neither the advantages nor the limitations inherent in an adversary proceeding in a court of law. The student may have a private hearing at which a few observers of his or her own choosing are present as well as his or her chosen representative, or with the approval of the Committee a public hearing at which members of the University community and other persons are freely admitted within such limits and under such conditions as the Committee deems consistent with orderly conduct of the hearing. At any time the student charged or his or her representative may request changes of schedule in the interest of a more adequate presentation of his or her case or may change his or her mind as to whether he or she wishes a public or a private hearing. Such requests will be considered on their merits by the Committee. In deliberating upon the weight of the sanction to be imposed the Committee may take into account any facts of previous disciplinary action with respect to the student and, in the case of a student on probation or under a reserved suspension, is required to do so. The deliberations of the Committee will be private.

The Chair of each Committee has a special responsibility for procedural correctness. He or she may delegate this responsibility to another member of the Committee, but it is his or her responsibility to see that the function is provided for in the working of the Committee. The Chair or his or her deputy would (a) make an initial response to any procedural question which arises, (b) be obligated to alert the Committee to procedural implications of any action they may wish to take, (c) call to the attention of the Committee or any of its members any inconsistency between the demands of fair procedure and the actions of the Committee or its individual members at any point in the proceedings, and (d) be responsible in situations in which he or she feels it desirable or the Committee instructs him or her to seek further guidance, for seeking out and presenting to the Committee whatever relevant information may be available in the experience of previous committees, or in special circumstances from other sources (see below). None of the special responsibilities within the working of the Committee, however, should in any way impair or supersede the ultimate authority of the Committee as a whole in determining, within the framework of this legislation, its own procedures.

In discharging the function of the Committee, its Chair is authorized and encouraged to consult the precedents and experienced judgment available in the work of previous Committees. For this purpose he or she may have recourse, not only to the records and reports of previous Committees, but also to their Chairs or such other members of previous Committees as may seem to him or her appropriate. With the permission of the Committee he or she may, on specific points, consult such other persons determined to have useful advice. In transmitting the results of such inquiries to the Committee for its consideration he or she shall (a) emphasize that no advice or precedent is binding upon the Committee, (b) indicate clearly what the sources of any opinions or suggestions may be, and (c) express his or her own judgment as to the value of the suggestions offered.

#### *Failure to Appear*

There is but one exception to the rule that no sanction is imposed without fulfillment of the procedural requirements outlined above. A student who fails to appear for a hearing before the Committee may be suspended by action of the Committee when it is satisfied that he or she has been given notice of the charges as required above and has had sufficient opportunity to respond. A stu-

dent so suspended is notified of the suspension and offered another opportunity to appear on the original charge or charges. Failure to appear on the part of a student so suspended and so notified for a period of three weeks from the time at which notice of suspension was given to him or her or by the end of the quarter in which the original notice to appear was given, whichever is longer, is in itself grounds for imposition of sanctions, not excluding expulsion, by action of the Disciplinary Committee. In considering the case of the student who appears after having been suspended as a consequence of failure to appear, the Committee may take into account his or her original failure to appear in imposing sanctions where, in their judgment, such failure was willful.

#### *Records*

A summary written record of each case is kept by the Committee and furnished to the Review Board or the student upon request. This record should show at least (a) the chronology of the case from the receipt of the charges to final disposition by the Committee, (b) a statement of all actions taken by the Committee with respect to the case, (c) a statement of the chief findings of fact which were relevant to the final disposition of the case and the choice of sanction, including especially any findings that bear upon the difference of sanctions imposed in this case as opposed to similar cases, and (d) a notation of any procedural questions peculiar to the case. The student may keep his or her own record of the hearings. At least annually the Vice President and Dean of Students in the University shall make available to the University community a statistical summary of the activities of all University Disciplinary Committees and of the Review Board.

### **Section 6. Identification**

A student is subject to disciplinary action if he or she fails to identify him- or herself adequately upon proper request of a properly identified University official in the performance of his or her duty. Charges of such failure to identify oneself may be heard by a University Disciplinary Committee when the failure to identify is associated with a disruptive act. In no case shall the sanction imposed for such failure exceed one quarter of suspension.

### **Section 7. Sanctions**

Sanctions imposed upon students in any University disciplinary proceedings shall be given the practical meaning assigned in the following list. No others shall be imposed in cases of disruptive conduct except that restitution may be required for theft or damage to property associated with a disruptive act. It is the responsibility of the Vice President and Dean of Students to inform students by appropriate means of the various sanctions. The notes that follow this list are an integral part of it.

Disciplinary probation means that the person charged has been found to have engaged in the prohibited act but that the sanction of suspension or expulsion has been withheld. For a period of time specified in the decision of the Disciplinary Committee, the student continues to enjoy all the rights and privileges appertaining to the status of a student except as the Disciplinary Committee may specifically provide, but in the event that during the period of probation he or she is charged with and found by a Disciplinary Committee to have engaged in another prohibited act, the Disciplinary Committee, in determining sanctions, is informed of his or her probationary status and is required to take it into account.

Suspension means that the person charged has been found to have engaged in the prohibited act and that for a period of time specified in the deci-

sion of the Disciplinary Committee (but never exceeding nine quarters) the student is denied the exercise of all the rights and privileges appertaining to the status of a student in the University. Unless the Disciplinary Committee specifically provides otherwise in its decision, at the expiration of the period of suspension the student may resume active status as a student without any action on his or her part other than would be required of any student who has, for a comparable period, interrupted his or her residence in the University for any other reason, except that a student under suspension charged with another offense may not resume active status as a student until final action has been taken on such charge by an appropriate Disciplinary Committee.

Expulsion means that the person charged has been found to have engaged in the prohibited act, that he or she ceases to have the rights and privileges appertaining to the status of a student in the University, and that he or she may not resume such status without re-application for admission. Normally such reallocations will not be entertained for a period of eleven quarters following the date of expulsion.

*Note 1.* Sanctions may be imposed on anyone who has been admitted to the University whether or not he or she happens to be in residence at the time of the offense. The sanction imposed in the case of students not currently in residence takes the form of a condition imposed upon resumption of active status as a student.

*Note 2.* Sanctions on this list are arranged in increasing order of severity. They may be combined in a given decision. The Review Board, in mitigating sentences, may be expected to make use of all the alternatives.

*Note 3.* Rights and privileges appertaining to the status of a student include (but are not limited to) registration, participation in classes and other instructional activities of the University, taking of examinations and the satisfaction of any other requirement for a degree, application for and receipt of any degree, participation as a student in student activities and organizations and in University ceremonies or official bodies, and use of University facilities such as libraries, dormitories, and other student housing. While employment by the University is not an exclusive right or privilege of students, in cases in which employment is reserved for students or students are given preference in employment, the fact of suspension or expulsion may affect status as an employee. Further, the University as an employer is entitled to take into account in its employment policies the grounds on which sanctions have been imposed, as these may bear on qualifications for employment.

*Note 4.* Suspension and expulsion will be recorded on a transcript in such terms as will not distinguish explicitly or by inference between interruptions of registration and residence by disciplinary action and interruptions imposed for any other reason, such as academic performance.

### ***Section 8. Review Board***

There shall be established a Review Board with authority to review decisions of University Disciplinary Committees as follows.

#### *Constitution of Review Board*

The Review Board consists of:

- (a) the Vice President and Dean of Students in the University or his or her designated deputy,
- (b) one of the academic deans selected by the Provost,
- (c) a senior member of the faculty appointed as Chair by the President of the University,



- (d) an undergraduate student selected at random from the panel of students nominated for membership on University Disciplinary Committees,
- (e) a graduate student selected at random from the panel of students nominated for membership on the University Disciplinary Committees.

All members other than the Vice President and Dean of Students in the University are appointed for one-year terms at the beginning of the Winter Quarter of each academic year.

*Procedure for Clemency*

(1) A student on whom any sanction other than probation has been imposed by a Disciplinary Committee may petition the Review Board at any time (but no more often than once each academic year) for mitigation of the sanction imposed. The petition shall contain a brief history of the case and a statement of the reasons why the decision should be modified. The Review Board shall not in such a case pass upon the correctness of the proceedings in the adjudicatory tribunal but shall confine itself to considerations which properly bear upon the propriety of extending clemency. In making the determination regarding clemency the Board considers whether the sanction imposed bears unfairly on the petitioner in his or her individual circumstances, but also should take into account such factors as whether there is undue risk that on reinstatement the petitioner will engage in misconduct again and whether a lesser sanction will depreciate the seriousness of the petitioner's misconduct.

The Board may in its discretion permit the petitioner to make an oral presentation in addition to any written submission he or she cares to make. If three members of the Board agree on reinstatement or other mitigation of the sanction imposed, a copy of the Board's decision shall be sent to the Vice President and Dean of Students in the University for appropriate action.

*Procedure for Request of New Hearing*

(2) Within one academic quarter after a notice of a decision has been delivered to him or her, a person who has been suspended or expelled may petition the Review Board to request an appropriate Disciplinary Committee to hold a new hearing. The Review Board (by agreement of three of its members) will order a new hearing:

- (a) where the petitioner establishes to its satisfaction that he or she was denied a fair and impartial hearing;
- (b) where the petitioner establishes to its satisfaction that since the initial hearing he or she has discovered new and material evidence which if introduced at the hearing would probably have changed the decision.

*Conclusiveness of Disposition*

(3) Except as provided in (1) and (2) above, the disposition of the original adjudicatory tribunal is final and conclusive on all parts of the University.

**Section 9. Publication**

The Council's actions with respect to disciplinary procedures shall be published in such a way as to ensure their general availability to all students.

**Section 10. Transitional provision**

Irrespective of the calendar prescribed [in Sections 4 and 8] for the appointment of the student panel, the faculty groups, and the Review Board, the first panel, groups, and Board will be appointed as soon as possible after enactment of these regulations and procedures and will take office upon appointment.

