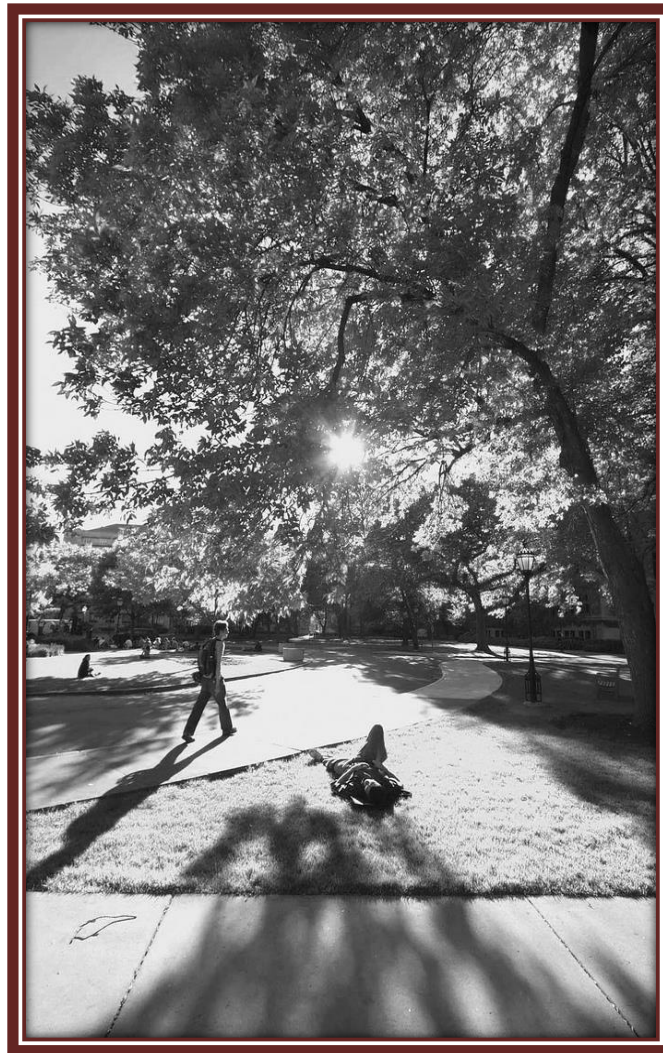




# THE UNIVERSITY OF CHICAGO

## Student Manual

University Policies and Regulations



2013-2014

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# Student Manual: University Policies and Regulations



**2013-14**

## **Introduction**

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 Student Manual is the official statement of University policies and regulations, and expected standards of student conduct that are applicable to all students. Academic units and administrative offices may have additional policies and guidelines that 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. These policies and regulations enable all the members of the University to function as a community and respond to situations that 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 the 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 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.***

## Academic Calendar

### 2013

Quarter begins	Monday, June 24
Independence Day (observed)	Wednesday, July 04
Convocation	Friday, August 30
Quarter Ends	Saturday, August 31

### SUMMER QUARTER

### 2013

College Orientation	Sunday, September 22
Quarter Begins	Monday, September 20
Thanksgiving	Thursday-Friday, November 28-29
Reading Period	Thursday-Friday, December 5-6
Convocation	Friday, December 13
Quarter Ends	Saturday, December 14

### AUTUMN QUARTER

### 2014

Quarter Begins	Monday, January 6
Martin Luther King, Jr. Day	Monday, January 20
College Break	Friday, February 14
Reading Period	Thursday-Friday, March 13-14
Convocation	Friday, March 21
Quarter Ends	Saturday, March 22

### WINTER QUARTER

### 2014

Quarter Begins	Monday, March 31
Memorial Day	Monday, May 26
Reading Period	Thursday-Friday, June 5-6
Convocation	Saturday, June 14
Quarter Ends	Saturday, June 14

### SPRING QUARTER



## University Policies

### 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.

### STATEMENT OF NONDISCRIMINATION

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, therefore, does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity, national or ethnic origin, age, disability, or veteran status, and does not discriminate against members of protected classes under the law.

The Affirmative Action Officer (773-702-5671) is the University official responsible for coordinating the University's adherence to this policy and the related federal, state and local laws and regulations (including Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act).

### 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



## Student Manual: University Policies and Regulations

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, genetic information 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, other academic appointees, postdoctoral researchers 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 and Sexual Assault**

Sexual harassment deserves special mention. Sexual harassment encompasses a range of conduct, from sexual assault (a criminal act that the U.S. Department of Education defines as sexual harassment), 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 department chair, dean, or supervisor and, if desired, to request that department chair, 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.

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### **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 chair and/or dean in matters involving faculty members and other academic appointees, 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 Ombudsperson, 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 to act as mediator. Mediation will not be used to resolve complaints of sexual assault.

### **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 Human Resources Services 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 academic appointee (such as a Research Associate, Lecturer, or Librarian), the formal complaint procedures described below apply.

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

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 Ombudsperson (as a non-voting student member). The Coordinating Officer will sit with the Panel ex officio and 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.



## Student Manual: University Policies and Regulations

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 probable 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 (as amended), 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, Genetic Information Nondiscrimination Act of 2008, Lilly Ledbetter Fair Pay Act of 2009, 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://studentmanual.uchicago.edu/>) and on University Human Resources Services' Web site (<http://hr.uchicago.edu/policy>). The complete text of the University's unlawful harassment policy can also be found at <http://unlawfulharassment.uchicago.edu/policy>.

The University's Sexual Assault Policy can be found in the Student Manual of University Policies and Regulations [https://studentmanual.sites.uchicago.edu/sex\\_assault](https://studentmanual.sites.uchicago.edu/sex_assault).

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## SEXUAL ASSAULT POLICY

### I. Statement

Sexual assault is a criminal act that violates the standards of our community and is unacceptable at the University of Chicago. Sexual assault can be devastating to the person who experiences it directly and can be traumatic to the person's family, friends, and larger community as well. Regardless of the definitions provided below, anyone who believes she or he has been sexually assaulted is encouraged to report the incident and to seek medical care as soon as possible.

### II. Policy Application and Resources

The University's sexual assault policy applies to students, staff, postdoctoral scholars and fellows, and faculty and other academic appointees, as well as to anyone on whom the University has formally conferred a title, regardless of employment status. For these individuals, the University provides education and sexual assault prevention resources, offers numerous support services and referrals for anyone who has experienced sexual assault, encourages and facilitates reporting and prosecution of sexual assault, and is committed to disciplining anyone who violates this policy. The University may also investigate alleged violations of this policy received from individuals outside the institution regarding individuals within the University if, for example, the alleged violation occurred on University property.

### III. Definitions and Important Principles

The University's definition of sexual assault encompasses the State of Illinois Criminal Code's current terminology and definitions of both sexual assault (frequently referred to as rape) and sexual abuse. The University incorporates the State's very explicit definitions of several important terms, adds two important principles, and recognizes that sexual assault is not a gender-specific crime.

Sexual assault is:

- An act of sexual penetration or sexual conduct by the use of force or threat of force, including threatening or endangering the life of the victim or any other person; or
- An act of sexual penetration or sexual conduct where the accused knew that the victim was unable to understand the nature of the act or was unable to give knowing consent; or
- An act of sexual penetration or sexual conduct with a victim who was under age 17 when the act was committed, or with a victim who was under age 18 when the act was committed and the accused was age 17 or more and held a position of trust, authority, or supervision in relation to the victim[\*]; or
- An act of sexual penetration or sexual conduct in which the accused delivered (by injection, inhalation, ingestion, transfer of possession, or any other means) to the victim without his or her consent, or by threat or deception, and for other than medical purposes, any controlled substance.

"Sexual penetration" means any contact, however slight, between the sex organ or anus of one person and an object, the sex organ, mouth or anus of another person, or any intrusion, however slight, of any part of the body of one person or of any animal or object into the sex organ or anus of another person, including but not limited to cunnilingus, fellatio, or anal penetration.

"Sexual conduct" means any intentional or knowing touching or fondling by the victim or the accused, either directly or through clothing, of the sex organs, anus, or breast of the victim or the accused, or any part of the body of a child under 13 years of age, or any transfer or transmission of semen by the accused upon any part of the clothed or unclothed body of the victim, for the purpose of sexual gratification or arousal of the victim or the accused.

"Victim" means a person alleging to have been subjected to conduct prohibited by this policy and does not imply pre-judgment.

"Accused" means a person accused of conduct prohibited by this policy and does not imply pre-judgment.

"Force or threat of force" means the use of force or violence, or the threat of force or violence, including but not limited to (1) when the accused threatens to use force or violence on the victim or on any other person, and the

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victim under the circumstances reasonably believes that the accused has the ability to execute that threat or (2) when the accused has overcome the victim by use of superior strength or size, physical restraint or physical confinement.

"Consent" is the freely given agreement to the act of sexual conduct or sexual penetration in question. The lack of explicit consent does not imply consent. The lack of verbal or physical resistance or the submission by the victim resulting from the use of force or threat of force by the accused does not constitute consent. The manner of dress of the victim at the time of the offense does not constitute consent. A person who initially consents to sexual penetration or sexual conduct is deemed not to have consented to any sexual penetration or sexual conduct that occurs after he or she withdraws consent during the course of that sexual penetration or sexual conduct.

Use of alcohol or drugs may impair an individual's capacity to consent freely and may render an individual incapable of giving consent.

*\*The age of consent in Illinois is 17 but rises to 18 if the accused holds a position of trust, authority, or supervision in relation to the victim.*

### *Important Principles*

#### **Confidentiality**

The University of Chicago will make every reasonable effort to preserve an individual's privacy and protect the confidentiality of information related to sexual assault. The University may issue a safety awareness alert, a brief description including time and location, to notify the community about the occurrence of a serious crime or pattern of crimes that might put the public at risk. The University is also required by law to tabulate and annually report sexual assault and other campus crime statistics to the public.

These statistics and the list of people to whom a crime may be reported for it to be included in the statistics appear in this publication and at <http://commonsense.uchicago.edu>. Neither safety awareness alerts nor campus crime statistics contain specific victim-identifying information. The confidentiality of disciplinary proceedings deserves special mention. Honoring the confidentiality of disciplinary proceedings and their outcomes is the responsibility of the accused, the victim, the institution, 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 consequences within the University, as well as potential civil liability.

#### **Institutional Obligation**

Because sexual assault is a serious crime that may threaten the community as a whole, in rare instances the University may be obliged to pursue an alleged sexual assault through internal disciplinary procedures without the cooperation of the victim. Always in such instances, the University will inform the victim of its obligation to address a community safety issue.

#### **IV. Support Services and Resources**

The needs of someone who has been sexually assaulted vary from person to person and may vary over time. The University offers a diverse array of services and external resources, many of which may be accessed 24 hours a day, so that a person may choose what she or he would find most helpful and healing.

The University urges anyone who has been sexually assaulted to seek support as soon as possible to minimize and treat physical harm, assist with processing the unique and complex emotional aftermath, and help preserve and understand options for pressing charges. Even for someone who does not wish to report the event to the police or pursue disciplinary action, seeking medical attention as soon as possible is important.

#### **Resources for Everyone**

*University of Chicago Medicine's Mitchell Emergency Room: Medical and Counseling Services: 773-702-6250, 901 East 58th St. (24-hours)*

The Mitchell Emergency Room follows specific policies and procedures, approved by the State, in treating an individual who has been sexually assaulted. The State will pay for emergency room care for victims who have been sexually assaulted and do not have health insurance; if a victim provides health insurance information to the

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emergency room, the emergency room will bill the insurance company and the policy holder will be notified as usual.

- The victim is placed in a private room.
- Medical care is given as soon as possible.
- A Sexual Assault Survivor Advocate or a Sexual Assault Dean-on-Call (for a student) may be called based on a victim's preferences.
- By law, city police are notified, and the victim may choose to file a report.

*University of Chicago Police Department: 773-702-8181 or 1-2-3 from a campus phone (24-hours)*

The University of Chicago Police Department (UCPD) urges anyone who has been sexually assaulted to call immediately in order to strengthen the likelihood of successful prosecution. A UCPD officer can be summoned by calling 773.702.8181, pressing the red button on one of the emergency phones located throughout the community, or coming directly to the UCPD office at 6054 South Drexel Ave.

Responsibilities of the UCPD include:

- Attending to the immediate needs of the victim, including personal safety and prompt medical care
- When appropriate, broadcasting a description of the offender
- Notifying the Sexual Assault Dean-on-Call if the victim is a student

The UCPD recommends the prompt reporting of sexual assaults. Nevertheless, individuals should not be reluctant to file a report at a later date. Reporting an incident does not obligate a person to press charges.

Chicago Police Department: 911 (24-hours) or 9-911 from a campus phone

### *Religious Organizations*

A variety of groups offer pastoral care and a community of faith to address individual needs. For more information, visit <http://spirit.uchicago.edu/>

### **Resources for Students**

*Sexual Assault Dean-on-Call: 773-702-8181, via University Police (24-hours) or 773-834-HELP (4357), a direct paging system.*

At any time, students may contact a Sexual Assault Dean-on-Call, who is trained to respond to sexual assault emergencies. A student may contact this Dean-on-Call even if he or she has not decided yet whether to report the sexual assault to the police. The Sexual Assault Dean-on-Call is available to answer any general or personal questions related to sexual assault and can help with:

- Finding emotional support
- Getting medical care
- Reporting the crime to the police
- Preserving evidence, and, if you wish, pressing charges
- Adjusting living arrangements
- Managing academic obligations
- Getting counseling
- Referring complaints of Sexual Harassment to an Unlawful Harassment Complaint Advisor

For more information, visit, <http://deanoncall.uchicago.edu/>.

*Student Health Service: 773-702-4156, 5839 South Maryland Avenue, R-100*

Physicians and certified nurse practitioners provide for students ongoing follow-up health care and services, including pregnancy testing, counseling, and referral services; and sexually transmitted disease testing, diagnosis, and treatment. There is a 24 hours a day advice line available to students for consultation. While acute, immediate post-assault treatment is provided at the Mitchell Emergency Room, the Student Health Service offers follow-up

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care, including health care services for students who have chosen not seek care immediately after an assault. For more information, visit [healthcare.uchicago.edu](http://healthcare.uchicago.edu).

*Student Counseling Service: 773-702-9800, 5737 S. University Ave. (SCS Staff Member-on-Call 24-hours)*

SCS supports students who are working through an experience of sexual assault or questions about relationships and sexuality. Consultation with a staff member is available in person during regular business hours and by telephone for after-hours emergencies. For more information, visit <http://counseling.uchicago.edu/>  
*Dean of Students: 773-702-7770, 5801 S. Ellis Ave. (Campus and Student Life)*

At any time, students may contact their area Dean of Students or Campus and Student Life. Deans of Students are available to help and work with students throughout the process, addressing short-term and long-term personal or academic issues that arise. <http://csl.uchicago.edu/get-help/dean-call-program/area-dean-students>

*Resources for Sexual Violence Prevention (RSVP): 773-834-7738*

RSVP organizes interactive peer workshops and educational programs on acquaintance rape prevention, sexual violence, and gender issues. For more information, visit <http://csl.uchicago.edu/get-help/resources-sexual-violence-prevention>

*Peer Health Educator: 773-702-8935*

Organized by Health Promotion and Wellness, this group of students develops programs and presentation for students on a variety of sensitive subjects, including sexual health. For more information, visit [wellness.uchicago.edu](http://wellness.uchicago.edu).

*Title IX Coordinator for Students: 773-834-9710, [belinda@uchicago.edu](mailto:belinda@uchicago.edu)*

To raise concerns or to file a complaint under our Unlawful Harassment and Sexual Assault Policies or Title IX, contact Belinda Cortez Vazquez, Associate Dean of Students in the University for Student Affairs, Administration 212.

*College Programming Office: 773-702-8616*

CPO presents an annual program called Sex Signals for incoming undergraduate students on issues of alcohol, dating, sex, and consent. <http://cpo.uchicago.edu/>

### **Resources especially for Staff, Other Academic Appointees, and Faculty**

Student Health Service nurse triage line: 773-702-1915

Human Resources Management Employee/Labor Relations (for staff):  
773-702-4411

Provost's Office (for faculty and other academic appointees):  
773-702-8846

Perspectives (Staff and Faculty Assistance Program):  
800-456-6327 (24-hours)

Counseling services are provided to employees affected directly and indirectly by sexual assault. <http://www.perspectivesltd.com/>

### **Non-University Resources for Everyone Chicago Rape Crisis Hotline (24hours)**

Immediate and long-term referrals, information,  
and counseling

888-293-2080

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**LGBT Crisis Hotline (24hours)**

Information, counseling, and referrals 773-871-2273

**Chicago Women's Health Center**

Gynecological care and counseling 773-935-6126

**YWCA Metropolitan Chicago**

Counseling and legal advocacy 312-372-6600

**Parks Francis YWCA**

Counseling and legal advocacy 773-955-3100

**Center on Halsted**

Services for the LGBT community 773-472-6469

**Rape Victim Advocates**

Counseling 312-443-9603

**Mayor's Office for Domestic Violence (24 hours)**

Information and referrals 877-863-6338

**Chicago Bar Association**

Lawyer 312-554-2000

### V. University Discipline Procedures

The appropriate University disciplinary avenue is determined by the status of the person accused of sexual assault. Anyone may choose to bring forward a complaint within the University instead of, or in addition to, seeking redress outside the institution in the legal system. Someone with a complaint of sexual assault may also opt to pursue his or her case via the legal system without engaging the University's disciplinary process, although, in the interest of community safety, the University may be obliged to pursue an alleged sexual assault through internal disciplinary procedures. Unlike the State of Illinois, the University does not impose a time limit after which it will not consider formal complaints of sexual assault. However, timely disciplinary processes take advantage of the most recent recollections and evidence and can facilitate more prompt resolution to what is often a traumatic and painful situation for the victim.

If the accused is a student, a complaint is addressed within the procedures for student discipline described in the Student Manual. The complaint should be addressed to the Dean of Students in the accused student's academic unit (College, Division, or School).

If the accused is a staff employee, a staff member from Human Resources Services will guide the individuals through the appropriate process.

If the accused is a faculty member or other academic appointee, a formal complaint is initially addressed by the area academic dean and an Associate Provost, and, as warranted, by the Provost.

In each of the three venues, the University is committed to initiating a prompt and thorough investigation. Such an investigation may occur alongside, rather than in lieu of, an independent law enforcement investigation. Sanctions for a member of the University community found to have sexually assaulted another person may include termination of employment or expulsion. If, after a University of Chicago degree is awarded, 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.

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### VI. Related Policies

Policy on Unlawful Discrimination and Harassment

<https://unlawfulharassment.uchicago.edu/sites/unlawfulharassment.uchicago.edu/files/uploads/Policy%20on%20Unlawful%20Discrimination%20and%20Harassment.pdf>

Personnel Policy U601 (Treatment of Confidential Information)-

<http://hrservices.uchicago.edu/fpg/policies/600/p601.shtml>

Personnel Policy U 402-Counseling Service-Staff and Faculty Assistance Program

<http://hrservices.uchicago.edu/fpg/policies/400/p402.shtml>

University Disciplinary Systems for Students <http://studentmanual.sites.uchicago.edu/page/university-disciplinary-systems>

Personnel Policy U703-Progressive Corrective Action <http://hrservices.uchicago.edu/fpg/policies/700/p703.shtml>

Personnel Policy U208-Termination of Employment Information

<http://hrservices.uchicago.edu/fpg/policies/200/p208.shtml>

Discipline for Faculty and Other Academic Appointees <http://facultyhandbook.uchicago.edu/page/termination-removal-cause>

### HAZING POLICY

The University of Chicago prohibits hazing. A person commits hazing when he or she knowingly requires a student or other person at the University to perform any act, on or off University property, for the purpose of induction, admission, or membership into any group, team, organization, or society associated with or connected to the University if the act is not sanctioned or authorized by the University and results in harm to any person or could reasonably be foreseen to result in such harm. A person's willingness to participate in an act of hazing does not justify or excuse the act, or fall outside of this policy.

Examples of hazing are included below. These examples are intended to be illustrative and not all-inclusive:

- the creation of physical or mental exhaustion or fatigue;
- forced consumption of alcohol or other intoxicants;
- physical and mental shocks;
- paddling;
- physically or psychologically dangerous or risky activities;
- coercive, degrading, or humiliating games and activities;
- appropriation of public or private property;
- physical harm;
- pressuring or coercing any person to participate in activities that are inconsistent with the University's community standards or policies or with applicable law.



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Any student or group that commits hazing will be subject to discipline under College Housing Discipline or the germane Student Disciplinary System, as appropriate. A staff member, post-doctoral researcher, academic employee, or anyone with a visiting appointment who commits hazing will be subject to discipline using the applicable disciplinary processes. In addition, because hazing is a crime under Illinois law, the State's Attorney may bring criminal charges against any person responsible for hazing.

Any person with knowledge of hazing is expected to communicate promptly with the Office of the Vice President of Campus Life and Student Services, the Office of the Provost, the University of Chicago Police Department, or University Human Resource Services. Reports also may be made using the University's whistleblower hotline (800-971-4317).

### **CAMPUS VIOLENCE PREVENTION POLICY & THREAT ASSESSMENT TEAM**

The University of Chicago affirms its long-standing commitment to robust intellectual dialogue and disagreement, and to civil conduct on campus and in its programs. When someone, whether a member of the University of Chicago community or not, jeopardizes that environment or threatens a person or people with violence, the University must call upon its full resources to promptly assess the situation, intervene as appropriate, and support those who raised concerns about the threat and others who may be involved.

In our vibrant and diverse community, distinguishing between exceptional creativity and quirky behavior on the one hand and genuinely aberrant behavior on the other can sometimes be difficult. Preventing violence on campus depends on members of the University community identifying and communicating behaviors of concern. Early identification of a concern allows University officials, if appropriate, to reach out to an individual or individuals, evaluate the circumstances, provide resources, reduce his or her stress if relevant, and avoid or minimize harm to the individual and others. Our process aims to promote early voicing of concerns and to be supportive, not punitive, while at the same time making campus safety paramount. Noticing the behaviors of those around you is an essential element of campus safety and the responsibility of all members of the community.

The University's Threat Assessment Team and Threat Assessment Hotline (**1-800-971-4317**) are available for anyone to share information about any individual or individuals who may be planning or at risk of engaging in violence, who has planned a violent act, or who may be the intended victim of a violent act. Threat assessment consists of a process to identify and respond to students, employees (faculty, staff, other academic appointees, and postdoctoral researchers), and others who may pose a danger to themselves or others on campus, and to distinguish them from (1) those who may simply be struggling and in need of assistance and resources from other parts of the University or beyond, and from (2) those whose behavior may be unusual but not threatening or distressed. The mission of the multi-disciplinary Threat Assessment Team is to assess concerns that an individual poses, or may reasonably pose, a threat of violence to self, others, or the University community, and to initiate an intervention designed to avert the threat if it exists. The purpose of the Threat Assessment Team is to respond appropriately to concerns expressed about behaviors exhibited by anyone—students, employees, tenants, visitors, and unaffiliated persons—before a critical incident so that the campus remains a safe and secure working and learning environment.

There are many behaviors that cause concern for the safety and well-being of an individual or the campus community and clearly violate fundamental principles and policies of our community. The following is not an exhaustive list but provides examples of behaviors or situations that may indicate risk to the safety of an individual, others, or our community.

- Specific threats to another person, group of people, or the community;
- Statements indicating approval of the use of violence to resolve a problem;
- Articulated plans to bring weapons to the workplace, classroom, or living spaces or to use a weapon to harm a person, group of people, or the community; or
- Threatening postings on posters, flyers, websites or other media.

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Other behaviors, while not violations of our principles and policies, also raise concerns and may, in certain circumstances, warrant intervention by the Threat Assessment Team or by another resource. Sometimes it can be difficult to determine if such behaviors indicate a threat to self or to others; the Threat Assessment Team is trained and available to do so. Examples of behaviors that may, particularly in combination, or may not indicate a threat include:

- Indication that someone wishes to die or is willing to die;
- Significant changes in behavior that suggest that an individual is in severe distress;
- Outbursts of anger, especially uncharacteristic outbursts;
- Signs of isolation or withdrawal from the community;
- Bullying behavior;
- Display of paranoia, distrust, and devaluation of others;
- Numerous conflicts with and alienation of others;
- Preoccupation with weapons, violent events, or persons who have engaged in violent acts;
- Extreme reaction to a loss or traumatic event; or
- Uncharacteristically poor performance at work or in academics.

If you are aware of an emergency or have an immediate safety concern, immediately call UCPD at 773-702-8181 or 123 from a campus phone or 911 when appropriate. If you are concerned about someone's behavior, and it is not an emergency, contact a member of the Threat Assessment Team or the Threat Assessment Hotline at 1-800-971-4317.

If you have a concern about a person or situation, even if you think it may be nothing, you are urged to share the information. The information you provide, no matter how trivial it may seem by itself, may be critical to understanding a broader picture of concerning behavior.

You will need to share the name of the person you are concerned about, the behavior you observed and/or communication that worried you, and (ideally) your name. While the Threat Assessment Team and Threat Assessment Hotline accept anonymous reports, if you do not identify yourself, the Threat Assessment Team will have fewer options to address the situation that concerns you.

If you report concerns, your identity and the information you share will be treated privately and as confidentially as feasible, with your safety and the safety of others in mind. The information you provide will be used to respond to the situation respectfully, appropriately, timely, and with the dignity of all parties involved in mind. The Threat Assessment Team members will gather information, assess the potential threat, and, when appropriate, develop and implement a plan to help and support the individual and the safety of the University community.

### Threat Assessment Team

*Dana Bradley, Assistant Vice President, Human Resource Services; [dbradley1@uchicago.edu](mailto:dbradley1@uchicago.edu); 773.702.0865*

*Emil Coccaro, Chair of Psychiatry and Behavioral Neuroscience; [ecoccaro@yoda.bsd.uchicago.edu](mailto:ecoccaro@yoda.bsd.uchicago.edu); 773.834.4083*

*Chair - Karen Warren Coleman, Vice President for Campus Life & Student Services (or her designee); [kwcoleman@uchicago.edu](mailto:kwcoleman@uchicago.edu); 773.702.0770*

*Ingrid Gould, Associate Provost for Faculty & Student Affairs; [igould@uchicago.edu](mailto:igould@uchicago.edu); 773.702.8846*

*Gloria Graham, Assistant Vice President for Police Services; [ggraham@uchicago.edu](mailto:ggraham@uchicago.edu); 702.702.7416*

*Ted Stamatakos, Associate General Counsel; [stamatak@uchicago.edu](mailto:stamatak@uchicago.edu); 773.702.7516*

# Student Manual: University Policies and Regulations

## DISABILITY ACCOMMODATION PROTOCOL

### Preamble

To ensure the intellectual richness of research and education, the University of Chicago seeks to provide an environment conducive to learning, teaching, working, and conducting research that values the diversity of its community. The University strives to be supportive of the academic, personal and work related needs of each individual and is committed to facilitating the full participation of students with a disability in the life of the University.

Section 504 of the Rehabilitation Act (Section 504) and the Americans with Disabilities Act (ADA) prohibit colleges and universities that receive federal funding from discriminating against qualified students with disabilities in educational programs and activities. A "qualified student with a disability" is a disabled student who, with or without reasonable accommodation (e.g., architectural access, communication aids/services, or modifications to policies and practices) meets the University's academic and technical standards required for admission or participation in the University's educational programs or activities. The University is committed to complying with Section 504, the ADA and amendments.

### Requesting [\*] Reasonable Accommodation

A student who wishes to request an academic modification or adjustment should contact the Director of Student Disability Services to initiate the disability determination process. The process of determining eligibility and considering what is a reasonable modification or adjustment is an interactive and collaborative process. Reasonable efforts are to be made both by the student requesting reasonable accommodation and the representative from Student Health and Counseling Services to complete the disability determination process and the consideration of any reasonable academic modification or adjustment expeditiously.

### The Disability Determination

The first step of the process is a determination of whether the student is disabled within the meaning of the ADA and Section 504. To be disabled under those laws, a person must have a physical or mental impairment that substantially limits one or more major life activity. To be "substantially limited" by an impairment means that the student cannot perform a major life activity that the average person in the general population can perform or that the student is significantly restricted in performing that major life activity compared to the average person in the general population. In making the disability determination, Student Disability Services considers the following:

- a) Is there a physical or mental impairment;
- b) Does the impairment limit a major life activity that an average person can perform with little or no difficulty, e.g. learning, reading, walking, hearing; and
- c) Does the impairment substantially limit the major life activity compared to the average person?

Disability determinations normally are based on information that the student provides to the University, including detailed and current medical documentation - within the last three years - from an appropriate professional regarding the nature and severity of the impairment and a description of the student's functional limitations. For students with learning disabilities, attention deficit disorders, and psychological disorders, the Director for Student Disability Services will identify required tests and contact information for local testers. Once complete documentation is received, the University may consult with external medical professionals to review the assessment and any recommended accommodations.

### Determining Reasonable Accommodation

The second step of the process is to determine any appropriate academic modification or adjustment, for which the student with a disability qualifies. To determine the appropriateness of particular academic modification or adjustment, the Director for Student Disability Services considers:

- a) The functional limitations caused by the disability;
- b) The essential requirements/elements of the academic program, course and/or University sponsored student life activity;
- c) The student's past performance with and without reasonable accommodation;
- d) The student's history of disability-related difficulties in participating in academic and/or University

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sponsored student life programs.

- e) Previous modification (s) or adjustment (s) received by the student in an educational setting; and
- f) A review of the recommended reasonable accommodation by the appropriate professional.

Reasonable accommodations are modifications or adjustments that enable the student with a disability to have equal access to the student's educational program or to the student life activities for which the student is eligible.

Academic modifications or adjustments are not predetermined but, instead, are individualized based on the functional limitations caused by the student's disability, academic program requirements and the student life activities. If necessary, the Director for Student Disability Services will consult with area Deans of Students and course instructors to understand the essential requirements/elements of a particular course. The academic modification or adjustment must be effective, but need not be state-of-the art or ideal. For example, a hearing impaired student receives auxiliary aids and services [\*\*] for classroom activities. If both on campus captioning services and remote captioning services are available and provide comparable access to classroom activities, yet remote captioning services are more consistently available and more cost-effective, the University may make only remote captioning services available to the student.

### **Provisional Reasonable Accommodation**

Provisional academic modification or adjustment may be given when: (i) a student has requested a reasonable accommodation; (ii) he or she has previously received a reasonable accommodation in an educational setting; and (iii) the process to determine the appropriate academic modification or adjustment at the University cannot be completed before the start of the quarter. Usually, a provisional academic modification or adjustment is for one quarter only, though in exigent circumstances with prior approval, provisional academic modification or adjustment may continue into the next quarter. Receipt of provisional reasonable accommodation does not imply that the student will qualify for reasonable accommodation on a long-term basis.

At the conclusion of the reasonable accommodation assessment process, even if the student received provisional reasonable accommodation, it may be determined; (1) the student is disabled and a requested academic modification or adjustment will be extended; (2) the student is disabled and a requested academic modification is adjusted to avoid compromise of the essential elements of the academic program, course and/or University sponsored student life activity; (3) the student is disabled but the requested academic modification or adjustment is not reasonable; (4) the student does not have a disability within meaning of the law; (5) that the student is not a qualified student with a disability.

### **Implementation of Approved Reasonable Accommodation**

Once disability and reasonable determination have been made, the Director for Student Disability Services will collaborate with the student's area Dean of Students to implement the appropriate academic modification or adjustment. Both the student and his/her area Dean of Students will be notified verbally and in writing of the approved academic modification or adjustment. Auxiliary aids and services extended to a student may be adjusted if the existing academic modifications are ineffective or if the student's condition changes. Student Disability Services staff members and the area Dean of Students will facilitate the implementation of reasonable accommodation.

In working with students with disabilities, the usual standards of judgment and assessment of students' overall academic performance apply. Neither the academic community nor the students concerned are well served by applying special or lesser standards of admission, program participation or of evaluation.

### **Request for a Review**

A student concerned with the disability eligibility or reasonable accommodation determination is advised first to meet and discuss the concerns with the Director for Student Disability Services. The Director for Student Disability Services will follow up in writing within 7 business days of the date of the meeting. If further discussion does not resolve the matter, the student may make a request for review to the Associate Provost in writing within 10 business days of the date of the written notification. The student may also request a review of the disability eligibility or reasonable accommodation determination without first discussing the concerns with the Director for Student Disability Services. The student should make the request for the review to the Associate Provost in writing within 15 days of the date of the initial written notification of the disability eligibility and reasonable accommodation determination. The Associate Provost will review the appropriate records and documentation and may ask the student for a meeting to clarify the request. The Associate Provost may discuss the request with the Director for

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Student Disability Services, Dean of Students and other appropriate professionals. He or she will communicate a final decision in writing as soon as practicable. The disability eligibility and reasonable accommodation determination remain in effect during the period in which the Associate Provost considers the student's request.

For more information visit [disabilities.uchicago.edu](https://disabilities.uchicago.edu).

\*A reasonable accommodation is a modification or adjustment to a course, program, service, job, activity, or facility that enables a qualified student with a disability to have an equal educational opportunity but does not lower or modify essential requirements, fundamentally alter the nature of a service, program or activity, or result in undue financial or administrative burdens.

\*\* Auxiliary aids and services are those items and services which, if provided, a student with a disability would have equal access to the student's educational program or to the student life activities for which the student is eligible. They include such considerations as but not limited to; adjustable lighting; sound amplification; note-takers; ASL interpretation; speech to text interpretation; use of a computer for in-class exams and in-class writing assignments; a distraction-free environment, whenever possible, for in-class exams; extra time for in-class examinations and in-class writing assignments; alternative book and *test formats*. *Auxiliary aids and services do not include personal attendants, individually prescribed devices, readers for personal use or study, or other devices or services of a personal nature such as tutoring or typing.*



### GRADUATE STUDENT PARENT POLICY

We recognize that the decision to begin a family often coincides with the years during which women and men are engaged full-time in graduate school. By establishing general principles and minimum modifications for students who become parents during their graduate studies, this policy addresses the conflicts and issues that may arise as two important milestones—an advanced degree and parenthood—come into play simultaneously.

In addition to the academic options outlined below, the University supports a range of student parent initiatives, including the [Family Resource Center](#), which hosts a drop-in play space and a wide variety of classes, publishes the [UChicago Student Parent Resource Guide](#), advises the Student Parent Organization (a Registered Student Organization), and maintains a list of spaces convenient for nursing mothers. Students are reminded that in accordance with Illinois state law, mothers may breastfeed in any location, public or private, where they are otherwise authorized to be.

The graduate student parent policy includes three academic support options described below:

1. Parental Relief Academic Modification,
2. Parental Relief Leave of Absence, and
3. Milestone Extensions.

As both male and female students plan for the birth or arrival of a child, they are encouraged to consider all three options in conversation with their advisors, departmental chairs, and area Deans of Students. Faculty must be realistic about the rate of progress of students experiencing pregnancy and childbirth or taking care of a new child. Together, students and their advisors should arrange a timeline for meeting requirements and make appropriate accommodations for particular circumstances. The success of this graduate student parent policy depends upon full, open, and timely communication and cooperation among the student, the advisor, department chair, and the area Dean of Students.

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The ultimate goal of this policy is to allow students the chance to adjust to the extra demands of pregnancy and parenting, while maintaining academic progress. Note that pregnant students choosing academic modification or leave of absence will need to provide verification from a medical provider regarding the need for the modification or leave.

### **Parental Relief Academic Modification**

During parental relief academic modification, which is a full-time student status, students will continue to enjoy the University benefits associated with full-time student status, including access to University housing and Student Health Service, and if they would otherwise be eligible for them, stipends and health insurance coverage. Students will remain eligible for Title IV federal aid, including Federal Stafford or GradPLUS Loans, and there should be no impact on international students' visa status.

Pregnant students, for whom it is medically necessary, may request academic modification for up to the equivalent of one quarter. In addition to taking academic modification during pregnancy, students may also choose academic modification for up to the equivalent of one quarter to care for a new child.

A quarter of academic modification does not extend a master's or professional student's eligibility for full-time status beyond the maximum allowed period of enrollment for their program nor a doctoral student's eligibility for full-time student status beyond the total of twelve calendar years from entry in the Ph.D. program. A quarter of academic modification does not stop the clock on departmental, program, and University academic milestones and requirements. For milestone extensions, see the last section of this policy. Stipend and health insurance received during a quarter of academic modification count toward the total fellowship award for a student and do not extend the total number of quarters of support beyond a student's original fellowship agreement.

The details of particular students' academic modifications should be arranged between students and their departments in consultation with an area Dean of Students. Some examples of academic modification are described below.

*Students who are in the early stages of their programs* may continue to take classes with academic modification that includes adjustments to course load and deadlines for course assignments, papers, examinations, and other course requirements. In consultation with their area Dean of Students, students in the early stages of their programs may also be permitted not to take classes during their quarter of parental relief and instead embark on an individualized study plan that will allow them to continue progress toward their degree. If students enroll in classes or seminars during their period of academic modification, class and seminar attendance and participation are expected to the extent permitted by the health of the parent and child.

*Students with teaching duties* are urged to initiate conversations with their department or program chairs and the area Dean of Students well in advance to arrange for appropriate teaching modifications or to teach in a quarter other than that of the birth or care of the new child.

*Students receiving tuition or stipends dependent upon laboratory and field research* are urged to initiate conversations with their department chairs, lab supervisors, and the area Dean of Students well in advance to adjust laboratory and research schedules.

*Students in programs where support is primarily from sources external to the University* must follow the rules specified by the granting agencies for absences and leaves. Early conversations with departments and Deans of Students are especially important so the University can coordinate as appropriate with granting institutions regarding certain research grant conditions.

Further modifications and considerations may be necessary throughout a woman's pregnancy or while she is nursing for students who may be exposed to toxic chemicals or who must travel for field research. Advisors, area Deans of Students, and students are urged to work together to provide a safe learning environment.

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### Leaves of Absence for Parental Relief

In lieu of taking Parental Relief Academic Modification quarter(s) described [above](#), pregnant graduate students in degree-granting programs of study may choose to take a one-quarter leave of absence if medically necessary. In addition to leave taken during pregnancy, students who become parents during their graduate studies may choose to take another one-quarter leave of absence to care for a new child. Students who are supported by fellowships external to the University must follow the rules specified by the granting agency for absences and leaves.

Students who take a Parental Relief Leave of Absence may choose to continue to enjoy the University benefits associated with full-time student status, including access to University housing and Student Health Service, and if they would otherwise be eligible for them, stipends and health insurance coverage. Before deciding to request a leave of absence, students are encouraged to consult with their financial aid office because eligibility for Title IV federal aid, including Federal Stafford and GradPLUS loans may be affected. Taking a leave may also have implications for a student's immigration status, and international students considering a leave should work with their area Dean of Students and with the Office of International Affairs to explore options and to make arrangements so that the leave can be as minimally disruptive as possible.

As with the quarters of academic modification, a Parental Relief Leave of Absence does not extend a doctoral student's eligibility for full-time student status beyond the total of twelve calendar years from entry in the Ph.D. program. The leave of absence does, however, stop the clock on departmental, program, and University academic milestones and requirements for master's, professional, and doctoral students; the clock resumes when the student returns to full-time status. Stipend and health insurance received during a leave of absence count toward the total fellowship award for a student and do not extend the total number of quarters of support beyond a student's original fellowship agreement.

### Milestone Extensions

Whether or not students receive academic modification or take a Parental Relief Leave of Absence, students in degree-granting graduate programs may request a one-quarter extension for department, program, and university milestones and requirements due to pregnancy or the demands of parenting a new child. For example, if a doctoral student's department requires petition to candidacy by the end of the fourth year, the student parent may request one additional quarter to prepare for the petition to candidacy.

As with academic modification and leave of absence, milestone extensions do not extend a master's or professional student's eligibility for full-time status beyond the maximum allowed period of enrollment for their program nor a doctoral student's eligibility for full-time student status beyond the total of twelve calendar years from entry in the Ph.D. program.

### 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 that 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 University Student Health Insurance Plan (U-SHIP), 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 U-SHIP, the student will need to complete the on-line U-SHIP 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



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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 ID Privileges Office, 1100 East 57th Street, 1st floor (bring partner)
- Housing - Residential Services, Graduate Student Housing Office, 5316 South Dorchester Avenue

### 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.

### 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 regarding 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 twenty-one and the supplying of alcohol to any person under the age of twenty-one. 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 or forfeiture of property used in connection with the offense. Additionally, a violation may result in University disciplinary action. For more detailed information about the University's drug and alcohol policies, 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.

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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:

- (a) Alcoholic beverages may not be served at any event at which undergraduates are present unless prior written approval has been obtained at least two weeks in advance from the Office of the Reynolds Club and Student Activities or the appropriate area Dean of Students. To obtain a copy of the guidelines and request form, contact the Office of the Reynolds Club and Student Activities at the Student Activities Center (RC 001, 702-8787) or visit our website at <https://studentactivities.uchicago.edu/>
- (b) 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. Recognized 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.
- (c) 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 successfully complete alcohol risk management training (UCARE) offered by Health Promotion and Wellness and be present the entire length of the function (details at <http://wellness.uchicago.edu>).
- (d) 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.
- (e) 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

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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 University's publication [Common Sense](#).

### **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 removal from the University House System; discharge from student employment; and probation, suspension, or expulsion from the University. For employees, sanctions include suspension, termination of employment, disqualification from future employment and prohibition from accessing University property. 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 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 treatment 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 Service (5737 S. University Avenue, 702-9800), their area Dean of Students, or the Office of Campus and Student Life (Administration, Suite 203, 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 Health Service and the [Student Counseling 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 Health Service and the [Student Counseling 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 Service or their Dean of Students.



### NETWORKING & INFORMATION TECHNOLOGY POLICIES

#### Overview

Information about technology services may be found at [itservices.uchicago.edu](https://itservices.uchicago.edu). Information specific to new students may be found at [itservices.uchicago.edu/welcome](https://itservices.uchicago.edu/welcome)

#### Eligibility and Acceptable Use

The University of Chicago provides information technology for educational, research, and administrative applications by its students, faculty, and staff. The University's eligibility and usage policies stem from its 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.

Note that any violation of a University of Chicago IT policy may lead to disciplinary action, and in some cases, legal action. Please acquaint yourself with the policies governing the acceptable use of University IT resources at [itservices.uchicago.edu/policies/](https://itservices.uchicago.edu/policies/).

#### DMCA Violations

Digital Millennium Copyright Act (DMCA) violations are a special case of Eligibility and Acceptable Use Policy (EAUP) violation. The University's File Sharing Policy can be found at <https://itservices.uchicago.edu/policies/file-sharing-policy>. The procedures for DMCA violations are as follows:

The first time that IT Services receives a DMCA complaint for a student, IT Services notifies the student. A student who receives a violation notice must, within the period of time specified in the notice, acknowledge the notice, state that a copy of the DMCA complaint was received, and agree to abide by the EAUP in the future. If IT Services does not receive a response to its violation notice within the specified time, IT Services will suspend the student's ability to connect a computer to the University network. The student is expected to rectify any problems outlined in the complaint and to cease using the University's network for purposes of copyright infringement.

A second DMCA notice involving the same student results in more serious action. The University immediately suspends the student's network privileges pending a meeting with a representative of the Office of Campus and Student Life regarding the nature of the violations. The student's area Dean of Students may summon the student as well. At the meeting with the representative from the Office of Campus and Student Life, the student must agree not to repeat the violation.

A third violation of the DMCA results in immediate suspension of network privileges pending student disciplinary action. Disciplinary action in the case of a third violation will be the convening of an Area Disciplinary Committee and the sanctions available to the Committee include suspension or expulsion from the University. The procedures

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for student discipline are described in the Student Manual of the University Policies & Regulations at <https://studentmanual.sites.uchicago.edu/page/university-disciplinary-systems>.

DMCA cases copyright holders may file a lawsuit against the violators. If the University receives a valid subpoena seeking the identity of the offender for such a lawsuit, the University will comply with the subpoena. Please see <http://dmca.uchicago.edu/> for information on the Digital Millennium Copyright Act (DMCA) as it applies at the University. Also, keep in mind that laws, policies, and procedures change frequently in this domain, so please consult the DMCA website regularly for current policies and procedures.

### **Wireless Devices**

Students residing in the residence halls should be aware of specific policies relating to computers and networking in University House System. In particular, residents are not permitted to install personal wireless network devices such as Wi-Fi routers or extenders, to the campus wired infrastructure. See the University House System [ResCom](#) pages for more information.

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

Official communications from the University are sent via electronic mail (email) to each student's [CNetID@uchicago.edu](mailto:CNetID@uchicago.edu) email account. Students are responsible for reading email sent to this official address. For information about email and forwarding options, please visit [itservices.uchicago.edu/email/](https://itservices.uchicago.edu/email/).

## **INVENTIONS AND DISCOVERIES**

Occasionally, students that use the facilities or resources of the University will make discoveries or inventions that have commercial application or other significance. 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 the policy with respect to discoveries and inventions.

Statute 18 identifies the inventions, discoveries, and software for which the University becomes the owner. It may grant the University the right to students' inventions that were supported by substantial aid from University resources or from funds the University administers. It does not give the University ownership of the work of students merely because they are enrolled at the University or because they develop the work while they are in residence. Inventors, discoverers or software authors who create intellectual property with commercial potential using substantial University support, however, have an obligation to disclose their discovery or creation even if there is uncertainty about the eventual value of the property. Questions about the reach of this policy in particular situations and invention disclosures themselves should be directed in the first instance to the [Center for Technology Development & Ventures](#) (UChicagoTech). In case of doubt, an invention disclosure should be filed as soon as a potential discovery or creation is realized.

Students who have intellectual property claimed by the University and think the discovery or creation should be exempt from Statute 18 because the work did not meet its conditions may present a case to the Committee on Intellectual Property. A representative from the Office of Campus and Student Life 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**

### **Building Occupancy Limits and Access**

To maintain a safe environment for all members of the University community, the number of people participating in a protest or demonstration must be considered and adhere to the occupancy limits of the protest or demonstration area. Walkways and entrances to and in buildings must remain open to allow others safe access and egress as well as a clearly designated pathway through the area.

### **Firearms, Weapons and Other Dangerous Objects and Materials**

Possession of firearms of any kind, explosives, or other dangerous objects or materials on University property is prohibited, except for weapons carried by sworn law enforcement personnel. This prohibition includes but is not limited to: ammunition, BB guns, pellet guns, air guns, paint guns, slingshots, knives (except for knives with small,

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folding blades designed for personal use), firecrackers, explosives, weapons of any kind, any object or material designed to inflict injury or death, and limitations of the foregoing.

### **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 Facilities Services, 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 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.

### **Minors**

The University encourages authorized campus visits by minors under the age of 18 (children) for participation in University classes, events and programs (e.g., Summer Sports Camp, Collegiate Scholars), making decisions about their academic future, and the authorized use of University facilities (e.g., Ratner Athletic Center for classes). Children who are not authorized participants in University classes, events and programs must be accompanied by a parent or guardian at all times. Children thus are not permitted on campus or in University buildings as an alternative to appropriate child care, when the child is too ill to attend school, or when the child needs a quiet study space, etc. Likewise, due to safety concerns unsupervised children may not play on campus grounds, roam University buildings, or sit unaccompanied on campus or in University buildings.



## **Academic Policies and Requirements**

### **ACADEMIC HONESTY AND PLAGIARISM**

It is contrary to justice, academic integrity, and to the spirit of intellectual inquiry to submit another's statements or ideas of work 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, or by website and date accessed. Any doubts about what constitutes "use" should be addressed to the instructor.

### **ACADEMIC FRAUD**

Charges of academic fraud against students are subject to the University's policy on academic fraud when the regulations of the external sponsors (e.g. the federal government) are involved as determined by the Office of the Provost. In all other cases, charges of academic fraud against students are subject to this academic fraud policy 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 area 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.

#### **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. This can be done through the myUChicago portal (<https://my.uchicago.edu>), except for Booth students who should apply through the Booth student portal. 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



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fee of \$50 will be charged for each degree application withdrawn after the end of the third week of the quarter. Cancellation fees for withdrawals received by the Registrar after the fifth week may not be waived.

### **Financial Obligations and the Awarding of a Degree**

Students are expected to settle all financial obligations to the University and clear all restrictions established by academic and administrative 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 two Thanksgiving holidays, this deadline shall be the day before Thanksgiving.

### **Second Master's Degrees for Students in Doctoral Programs**

#### *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.

Before half of the course requirements for the second degree have been undertaken, the student's plan to obtain a second master's degree must be approved in writing by the dean or chair of the student's primary program and student's area Dean of Students.

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 are original contributions to scholarship. As a condition for receipt of the doctorate, all students are required to execute a publication agreement with ProQuest UMI Dissertation Publishing.

The public sharing of original dissertation research is a principle to which the University is deeply committed, and dissertations should be made available to the scholarly community at the University of Chicago and elsewhere in a timely manner. In exceptional circumstances such as potential endangerment of research subjects or the dissertation author, for example, students may choose an embargo period in ProQuest, in consultation with their advisor and after receiving permission from the Deputy Provost for Graduate Education. If a dissertation includes copyrighted material beyond fair use, the author must obtain permission from the holder of the copyright.

All dissertations must follow the formatting and submission requirements stated in *University-wide Requirements for the Ph.D. Dissertation*, available from the Dissertation Office on the first floor of the Joseph Regenstein Library <http://www.lib.uchicago.edu/e/phd/>.

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### **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. 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. Beginning in 2013-2014, students who have not completed a Ph.D. after twelve years from the date of their matriculation will no longer be permitted to register at the University. Students will still be allowed to graduate after the twelfth year with their department's and division's permission as detailed below. 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 registration statuses and other details of the registration system for doctoral students are described below.

#### **Ph.D. Enrollment Requirement**

Federal regulations require that students be enrolled in coursework at least half-time (200 units) in order to receive federal financial aid. In addition to the University system of residence statuses used to track doctoral progress, UChicago requires all Ph.D. students to enroll in at least 200 units of coursework, including the option of an "Advanced Study" course to codify their continued progress toward the degree. Students must enroll and be graded quarterly in coursework.

#### **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." Beginning in 2013-14, continuous registration will be required during Scholastic Residence and Advanced Residence, but not through the completion of the Ph.D. program, in the case of those who have not completed a Ph.D. by the end of twelve years.) During the early years of Scholastic Residence, students are engaged primarily in course work; during the later years, students are typically engaged in a combination of coursework, 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, access to student health insurance and the services of the Student Health Service and Student Counseling Services, 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 Ph.D. 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.

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In the Ph.D. 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 doctoral students enter 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. Registration 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 University benefits associated with full-time registration: access to student housing, full library privileges, use of athletic facilities, access to student health insurance and the Student Health 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 must be enrolled for at least 200 units of coursework, including the option of an "Advanced Study" course. 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. The tuition associated with registration in Advanced Residence is a fixed sum that is not altered by enrollment in specific courses.

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 up to a total of eight years of Advanced Residence.

### **PRO FORMA REGISTRATION**

Pro Forma registration is a limited privilege designed to provide full-time status to doctoral students who must move a substantial distance away from the Chicago area, in order to conduct preparatory field research, archival research, or data collection for their dissertations. 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.

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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 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, access to student housing, and access to on campus student health services are not available to Pro Forma registrants, by virtue of their absence from the University.

Doctoral students in Pro Forma must be enrolled for at least 300 units of an "Advanced Study" course during every quarter they are in Pro Forma registration status. See the Ph.D. [Enrollment](#) section below for more information.

### **END-OF-12<sup>TH</sup>-YEAR ADMINISTRATIVE WITHDRAWAL**

Beginning in the 2013-2014 academic year, students who have not completed their Ph.D. after the elapse of twelve years will no longer be allowed to register in their degree programs. Students will, however, still be allowed to graduate past the twelfth year with their department and school or division's permission. Those students removed from their programs at the end of the twelfth year that go on to complete their dissertations will be allowed to petition their departments to graduate. If the department accepts the dissertation and certifies that the student can demonstrate current knowledge of their field, the student will then be required to pay a graduation fee in the quarter they plan to graduate. Each department can define acceptable means of determining current knowledge. In order to ensure as few students as possible find themselves removed from their programs at the end of the twelfth year, students at the beginning of the tenth year of their programs will be required to submit a degree completion plan, endorsed by their dissertation chair, to their departments and Deans of Students.

Students in the School of Social Service Administration will be administratively withdrawn if they have not completed their Ph.D. after ten years. They will have the same opportunity to petition to graduate as described above. To ensure as few SSA doctoral students as possible find themselves removed from their programs at the end of the tenth year, students will be required to submit a degree completion plan, endorsed by their dissertation chair, to their departments and Deans of Students at the beginning of the eighth year of their programs.

### **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 beyond the total of twelve years from entry into the Ph.D. programs. 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, unless otherwise indicated.

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 student who becomes a parent during his or her doctoral program may request a one-quarter Parental Relief Leave of Absence to care for the new child, and pregnant students for whom it is medically necessary, may request a Parental Relief Leave of Absence during pregnancy. Such

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leaves may be granted by the Dean of Students of the student's school or division. Students are still eligible for University benefits during a Parental Leave of Absence. (For more information, refer to the Graduate Student Parents Policy.)

### **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.

### **WITHDRAWAL DURING ADVANCED RESIDENCE**

If a student in Advanced 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 pay tuition at the rate of Advanced Residence had they not withdrawn. 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 stage of Advanced or Extended Residence (until Extended Residence is eliminated in 2013-2014) 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 (up through the equivalent of twelve years of registered student status) and will be charged tuition at the rate current at time of re-entry. 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

### 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. Additionally, if the student resides in Chicago during the academic year, the insurance must cover medical care provided in the Chicago area for both emergency and non-emergency medical situations. In keeping with this requirement, *each year all [insurance eligible students](#) are automatically enrolled in the University Student Health Insurance Plan (U-SHIP)*. Students wishing to waive out of U-SHIP coverage must provide proof of alternate comparable coverage before the enrollment/waiver deadline. Students who do not waive the insurance by the deadline will remain enrolled in U-SHIP and are responsible for the annual premium. Detailed information about the U-SHIP plan can be found at: <http://studenthealth.uchicago.edu/page/university-student-health-insurance-plan-u-ship-2013-2014>

#### *Enrollment/Waiver Deadline*

The deadline to upgrade coverage, add dependents, or waive U-SHIP is 5 pm on Friday of the fourth 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 deadline must submit an insurance enrollment/waiver application at registration time. Failure to do so will result in automatic enrollment into U-SHIP insurance coverage for the remaining plan year. For more information about enrollment and waiver requirements visit:

<https://studentinsurance.uchicago.edu/>

#### *Automatic Enrollment*

Each year, all eligible students are automatically enrolled in U-SHIP. Students who do not waive U-SHIP by the enrollment/waiver deadline will remain enrolled in U-SHIP 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 University Student Health Insurance Plan (U-SHIP) generally is available to all registered students, their spouse or domestic partner, and dependent child(ren). Students in the SSA and Booth evening/weekend programs are eligible to enroll on a voluntary basis and should contact their Dean of Students for more information. Exceptions: Students in the MLA programs or pro forma status are not eligible to enroll in U-SHIP.

#### *Students on Leave of Absence*

Students who take an approved leave of absence are ineligible for U-SHIP coverage once the leave of absence takes effect, with the exception of students taking a Parental Relief Leave of Absence, which need not affect U-SHIP coverage. Students who were enrolled in U-SHIP in the term immediately preceding their leave of absence may elect to enroll in "[continuation coverage](#)" for up to six (6) months. Application is required through the on-campus Insurance Coordinators, located in the Administration Building, Room 231/232 and must be made within 30 days from the end of prior U-SHIP coverage. The continuation coverage premium is higher than the registered student premium.

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### *Students on Medical Leave of Absence*

Students participating in U-SHIP who take an approved leave of absence for medical reasons may continue coverage in U-SHIP at the registered student rate until the end of the plan year (August 31st). At the end of the plan year, they may elect coverage for up to six (6) months under "[continuation coverage](#)" at a higher premium. Application for continuation coverage is required through the on-campus Insurance Coordinator located in the Administration Building, Room 231/232 and must be made within 30 days from the end of prior U-SHIP coverage.

### *Binding Coverage*

The decision to enroll (including automatic enrollment by default) or waive U-SHIP 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. Petitions for "[Mid-year Changes](#)" will be granted only for the following reasons:

- Life-change event (such as marriage, birth/adoption of a child\*, divorce, registration as a same sex domestic partner); \*application must be submitted within 30 days of the birth of the child.
- 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. Mid-year petitions to add a spouse, same-sex domestic partner or child may result in payment for their coverage during 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/or 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.

## **IMMUNIZATION REQUIREMENTS**

By State of Illinois law, generally all new students are required to present proof of immunity from German measles (Rubella), measles (two shots required), mumps, and tetanus/diphtheria (three shots required for international students). The Student Health Service 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 may be returned by email to [sccimm@uchospitals.edu](mailto:sccimm@uchospitals.edu), by regular mail or in person. Faxed copies are not accepted.

After the third Friday of the first quarter of registration, 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. Students who receive this notification are urged to call the Student Health Service at 773-702-4156 to resolve their immunization compliance status. For more information about the State of Illinois immunization law, go to: <http://healthcare.uchicago.edu/page/vaccinations-required-enrollment>

## **REGISTRATION, RECORDS AND ENROLLMENT**

The most current policies, rules, and requirements related to such matters as registration, grades, and 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*

The 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. The University establishes the third business day of the fourth week as the quarter's official census day. Accordingly, student registration statuses and



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course registrations for the quarter must 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 usually the "Late Charge Penalty fee" is applied for any late adds.

### *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.

The office placing the restriction will notify students of the penalty and its consequences. Category One restrictions will not interfere with the student's registration and enrollment in courses, but may affect the availability of services from that particular office.

#### **Category Two Restriction**

##### **Office Placing Restriction**

Bursar

International Affairs

Library

Parking Office

Residential Client Services

International House

Student Health Services

Student Loan Administration

University Dean of Students

University Registrar

Office of Sustainability

##### **Reason for Restriction**

unpaid balances

failure to check-in as required of new international students

unreturned materials, unpaid fines

five or more parking tickets

delinquent rent payments

delinquent rent payments

failure to comply with immunization requirements

no exit interviews, default on loan repayments

disciplinary actions

failure to provide contact or other required personal information

unresolved penalty on your recycles bike share account

Restriction notifications are posted on the "My Alerts" portlet of the [myUChicago](#) portal. Students are responsible for regularly checking their alert status and contacting the restricting office as soon as possible to resolve the matter. In addition to the notification on the portal, students will receive an email communication from the restricting office. The frequency of these communications will vary depending on the office.

The Office of the University Registrar also sends email notifications to students, summarizing all of their Category II restrictions, during key registration periods. If you receive one of these emails, your restriction may interfere with your ability to bid on classes and register. It is your responsibility to clear your restriction as soon as possible.

If a Category Two restriction is unresolved by Friday of week seven 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 generally 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

If a Category Two restriction is cleared in the quarter it was imposed or before the end of the subsequent quarter, the student's status will revert to an active student status; however, if it is not resolved in this time frame, the student will be administratively withdrawn from the University. If the restriction is not cleared by Friday of week three of

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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 EDUCATION 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. The University defines directory information as:

- Name
- Current address
- UChicago mail address
- Telephone listing
- Photographs
- 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
- Most recent educational agency or institution attended

Students may request that all of their information be withheld through myUChicago. The University may use information which the student has directed be withheld from public release for internal purposes or per exceptions provided by the Family Education Rights and Privacy Act (FERPA).

#### Address Changes

Students are responsible for ensuring that their directory information is accurate and current, and must maintain accurate current and emergency contact information.

The University sends by regular mail certain official communications, including 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.

Students update their address information via myUChicago, the student's online academic records and information portal. Chicago Booth students should update their address using the Chicago Booth portal. International students must also provide a permanent address in their country of citizenship in addition to the US residential address.

#### Name Changes

Requests for name changes must be submitted to the University Registrar. Detailed information about the name change process can be found online at <http://registrar.uchicago.edu/addressnamechanges>.

International students wishing to change their names in the University records should contact the Office of International Affairs, prior to submitting a request for name change to the Registrar's Office, to ensure the proposed change is acceptable.

Graduating students should submit name change requests at least two months before they are expected to graduate.

#### Preferred Name

Current students can indicate a "preferred" first and/or middle name, which is a name the student wishes to be commonly known as, if different from his or her legal first and/or middle name. A student may change his or her

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preferred first and/or middle name using myUChicago. The student's preferred name will only be seen via Class Rosters, Grade Rosters, Chalk, and the Online Directory.

The primary name will continue to be the student's legal name and will continue to appear on the transcript, diploma, UChicago Card, and any documentation involving financial aid, student accounts, or international student status. Students must continue to use their primary names when conducting official University business.

### **RECORD MAINTENANCE**

A student's education 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 education 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), and in some cases by the Office of Campus and Student Life. 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' education records differ from one area of the University to another. The title of the person in each major academic area who is responsible for maintaining 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

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 and Post Doctoral Affairs**

Divisional faculty and appropriate members of the Office of Graduate and Postdoctoral Affairs (OGPA) staff; graduate program administrators.

The records of students who transfer to another division or school within the University are sent to the receiving unit. The education records of non-medical students in the Division of the Biological Sciences are generally maintained indefinitely in the BSD OGPA.

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

Pritzker Deans and appropriate members of Pritzker's staff.

The education 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 USMLE scores, the Medical Student Performance Evaluation, all documentation regarding grade changes or dismissals, the student's photo and a copy of the student's diploma.

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

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

Student records are maintained until such time as the student (1) withdraws from the University, (2) is administratively withdrawn, (3) fails to register for three consecutive quarters, (4) completes a terminal degree, or,

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(5) transfers to another academic unit of the University. Files removed from the Office of the Dean of Students for reasons (1) through (4) above are sent to Divisional storage. Files removed for reason (5) above are sent to the receiving academic unit.

If students in categories (1) through (3) above do not resume study at the University within five 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 M.A. generally are retained by the Office of the Dean of Students for two years from the date of degree. 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.Ds 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.

### **Chicago Booth School of Business: Dean of Students**

Faculty members of the Chicago Booth School of Business and appropriate members of the Chicago Booth 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 education records of Divinity School students are generally maintained in *Divinity School: Dean of Students*

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

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

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

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### **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 education records of Public Policy Studies students are generally maintained indefinitely.

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

The Dean of Students' staff and specific program administrators. Prospective field instructors may review a student's application for course and internship assignments. The education records of SSA students are generally retained for five years from the date of degree completion.

### **The Graham School of Continuing Liberal and Professional 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 Urban Teacher Education program, Master of Science in Threat and Response Management, and Master of Liberal Arts program generally maintain student records indefinitely. The Graduate Student-at-Large and Returning Scholar programs generally maintain student records for up to three years after which time the files are destroyed.

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.

### **Campus and Student Life: Vice President for Campus Life and Student Services and Dean of Students in the University**

Appropriate members of the Vice President for Campus Life and Student Services and Dean of Students in the University staff.

The education records of all students are generally maintained indefinitely.

### **College Housing: Director of College Housing**

The Director, Assistant Directors and Assistant Directors of College Housing, and the Vice President for Campus Life and Student Services (or his/her designee) and Dean of Students in the University have access to disciplinary files maintained by the Director of College Housing.

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 Advancement: Director of Career Advancement**

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 who wish to open a reference file should contact Interfolio, Inc. directly at <http://www.interfolio.com/> and must pay the fees established by Interfolio, Inc. and approved by the University for this service. Information on adding new letters and maintaining files is available from Interfolio directly and is not managed by Career Advancement.

## **INSPECTION & REVIEW OF EDUCATION RECORDS**

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

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1. All students who are or have been in attendance at the University shall have the right to inspect and review their education 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 Campus and Student Life (Administration, Suite 203, 773-702-7770). A representative from the Office of Campus and Student Life 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 Campus and Student Life 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 education 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 Primary Care Services, 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 education records. A student should 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 education record.
9. Access to a student's education 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 EDUCATION RECORDS: RIGHT TO A HEARING**

The University will provide students an opportunity for review if they believe their education 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.

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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 20202-5920.

### **COST OF COPIES**

Where required by FERPA, students may obtain copies of their education 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 online via the myUChicago portal. For most students who are currently or recently enrolled (since 2005), there is no cost for transcripts except for optional expedited mailing fees, as students are assessed a lifetime transcript fee upon matriculation. Students and alumni who were never assessed the lifetime transcript fee can order transcripts for \$15/copy or choose to purchase the lifetime transcript service for \$60. More information can be found online at <http://registrar.uchicago.edu/transcripts>.

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

### **RELEASE OF STUDENTS' EDUCATION 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, counseling 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 Campus and Student Life 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 education record or have access to the information in the education record in order to fulfill his or her responsibilities for or on behalf of the University.

A student's education 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 & GUARDIANS**

FERPA requires the College to have a student's written consent to release information from the student's education 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



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or for disciplinary reasons. In order to be notified of the changes of status and enrollment listed above parents must complete, and return to the Office of the Dean of Student 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 notified of their status, the student may fill out a consent form. Both 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 quarter until the last day of the 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, with the exception of Ph.D. students in Scholastic Residence who may be half-time with the approval of their Dean of Students;
- All M.Div., Master's and professional students in the Divinity School are considered full-time;
- All 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.
- Other students in degree or non-degree seeking programs who are considered Full-Time equivalent due to the nature of their program of study or research as authorized.

#### 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 Master's students in the Social Service Administration school who are enrolled in non-credit practicums and less than 200 units of course work 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.

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 025 to 199 total units of registered course credit are considered less-than-half-time.

#### Students in Extended-College Status

The Dean of Students Office in the College may approve a sub status of Extended-College for those students who have completed required course registration and are choosing to graduate the end of that quarter or a subsequent quarter. Students approved for such status will be assessed a quarterly fee to maintain Extended-College status. Such students may hold Extended-College status for the remainder of the academic year in which they were approved for

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such status. While registered in Extended-College status, students may remain enrolled in the University Student Health Insurance Plan (unless they had waived the insurance for that policy year), and will be assessed the quarterly student life fee (unless they are residing more than 100 miles from campus). Students in Extended-College status also retain their Ratner and library privileges for the duration of this status.

If the student does not graduate before or by the end of summer quarter, they will be registered for a Leave of Absence (LOA) for the next academic year, beginning autumn quarter. Students on LOA do not have any of the above-mentioned privileges. Students on LOA may enroll for U-SHIP Continuation Coverage through the on-campus UnitedHealthcare StudentResources Office (provided they were enrolled in USHIP immediately prior to the LOA).

### Visiting Students

Students from other institutions or other visitors with no current institutional affiliation may enroll at the University of Chicago in one of the four following statuses depending on either the academic reason for attending the University of Chicago or existing arrangements between the University of Chicago and another institution.

*Undergraduate Non-Degree Visitors* are advanced undergraduate students pursuing a degree at another institution who would benefit from undertaking research at the University of Chicago during the summer quarter.

Undergraduate non-degree visiting students are:

- Considered to be in full-time student status;
- Registered through the Graham School;
- Charged the Non-Degree Visitor fee as well as other mandatory fees;
- Health insurance is required;
- Eligible to participate in laboratory-based research;
- Not eligible to enroll in courses at the University (thus exempt from the immunization requirements), and;
- Given student privileges such as access to the libraries, student housing, athletic facilities, and electronic networks.

Undergraduate non-degree visiting students must comply with all University rules and regulations and are subject to student disciplinary systems. This status is available for the summer term only and will not be extended. Summer term is understood to extend from the first day after the end of the spring quarter to the last day before the beginning of the autumn quarter; this is meant to accommodate differences in the academic calendars of institutions world-wide.

*Graduate Non-Degree Visitors* are advanced graduate students pursuing a graduate level degree at another academic institution, who are at the research or writing stage, and who temporarily work on their research project with a faculty member at the University of Chicago. Non-degree visiting students are:

- Considered to be in a full-time student status;
- Charged the Non-Degree Visitor fee per quarter as well as other mandatory fees;
- Eligible to participate in laboratory-based research;
- Not eligible to enroll in courses at the University (thus exempt from the immunization requirements);
- Not allowed to take on a teaching position with the University; and
- Given student privileges such as access to the libraries, student housing, athletic facilities, and electronic networks

Non-degree visiting students must comply with all University rules and regulations and are subject to student disciplinary systems. This status is available for no more than four consecutive quarters, including the summer quarter. This status may be extended by up to four consecutive quarters upon recommendation of the faculty sponsor and the area Dean of Students and with the approval of the Deputy Provost for Graduate Education.

A student who has been offered and has accepted admission to a graduate program at the University of Chicago may join the University as a non-degree visiting student for the summer immediately preceding the beginning of graduate studies with the University. Summer term is understood to extend from the first day after the end of the spring quarter to the last day before the beginning of the autumn quarter.

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*Exchange Students* are students at another institution who come to the University under an exchange agreement between the University and their home institution. The exchange agreement will stipulate the specific arrangements. However, generally, exchange students are:

- Considered to be in a full-time student status;
  - Not eligible to enroll in UChicago Student Insurance or to use on-campus Student Health Service;
  - Not charged University of Chicago tuition;
  - Not charged the University of Chicago mandatory student fees;
  - Charged any applicable course fees such as lab, book, or material fees;
  - Eligible to enroll in classes at the University of Chicago with documented approval for each class; and
  - Given student privileges such as access to the libraries, athletic facilities, and electronic networks.
- Exchange students must comply with all University rules and regulations and are subject to student disciplinary systems.

*Graduate Students-at-Large* are students interested in taking courses for a grade at the University of Chicago even though they are not admitted into a degree granting program at the University. Graduate Students-at-Large will be registered through the Graham School for General Studies and are:

- Eligible to enroll in up to 3 courses per quarter;
- Enrollment in 3 courses per quarter confers a full time student status;
- No more than 3 course credits earned as a Graduate Student-at-Large may be transferable if admitted into a degree program at the University (BSD exception).
- Charged tuition as well as other mandatory fees; and,
- Given student privileges such as access to the libraries, student housing, athletic facilities, and electronic networks

Graduate Students-at-Large must comply with all University rules and regulations and are subject to student disciplinary systems.

### **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. For details on regulatory requirements and processes in place at the Office of International Affairs (OIA), students should consult OIA's website at <http://internationalaffairs.uchicago.edu> or contact their international student adviser at OIA.

### **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.

*\* 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.*

### **WITHDRAWAL FROM THE UNIVERSITY**

The University takes seriously the decision of any student to suspend studies and withdraw from his or her program. Whether for academic, financial, or other personal reasons, such actions are understood to be life-changing. Students considering such actions are strongly encouraged to seek the confidential advice of their area Deans of Students, departmental advisers, financial aid, Student Health Center, and Campus and Student Life professionals.

COLLEGE STUDENTS who decide not to return to the College must formally withdraw their registration. To do so, students should contact the Office of the Dean of Students in the College. Students who decide to return to the College after being withdrawn must apply for readmission. The College is not obliged to approve student readmissions. Students who are readmitted are expected to complete their studies without further interruption.

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Students who do not meet with a dean will have a note “Unofficial Withdrawal from the College” posted to their University of Chicago transcripts and are liable for all tuition and fees assessed for any quarter for which they have registered.

STUDENTS IN THE GRADUATE DIVISIONS who decide to withdraw from their programs-of-study should make an appointment with their degree program administrators who will submit information about the withdrawal to the Deans of Students.

PROFESSIONAL SCHOOL STUDENTS must make an appointment with the office of their area Deans of Students to review their plans.

INTERNATIONAL STUDENTS should also report their decision to withdraw to the Office of International Affairs, and students who have taken educational loans must have an exit interview with the Office of Student Loan Administration.

### QUARTERLY MANDATORY FEES

#### Student Life Fee

Generally, all registered students must pay the quarterly Student Life Fee, a percentage of which covers services provided at the Student Health Services (SHS) and the Student Counseling Services (SCS). Students' spouses, same-sex domestic partners and dependent children age 14 and older who are insured through the University Student Health Insurance Plan (U-SHIP), are assessed the Dependent Life Fee and are entitled to receive services at SHS and SCS. For a detailed description of the Student Life fee visit:

<http://studenthealth.uchicago.edu/page/student-life-fee>

Summer Access: Students registered at the University during the summer will automatically be assessed the summer quarter Student Life Fee on their student account. 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 Life Fee for continued access to the services of PCS and SCS through August 31. This election is made through the on-line enrollment site:

<https://studentinsurance.uchicago.edu/>

#### Waiving the Student Life Fee

The Student Life Fee will be waived only for those students who live and study over one hundred miles from campus and who will not be on campus during the academic year. Students need to petition their area Dean of Students (<https://csldev.uchicago.edu/get-help/dean-call-program/area-dean-students>) to receive this waiver. There are no other grounds for waiving this mandatory fee.

### ADDITIONAL ADMINISTRATIVE REGULATIONS

#### ChicagoCard Policy

The campuses of the University of Chicago are places of learning, research, and residence; employment; recreation or sightseeing; and more. The University is pleased to welcome all who use its spaces and resources appropriately and responsibly. Students, faculty, staff, other academic personnel, postdocs, employees of affiliates operating in University buildings, alumni, guests, neighbors, visitors, tourists, and others use the campuses throughout the year. In an effort to sustain a welcoming and productive environment for those who live, work and study at the University, the University limits access to some spaces and resources to those who have been issued a ChicagoCard, an official identification card. The University issues a ChicagoCard to students, faculty, staff, and some academic visitors so that they may gain access to spaces and resources not available to the general public either in general or at certain times.

Individuals occupying University spaces or using University resources should understand that on occasion they may be asked to show identification or their ChicagoCard to a University employee *whose role includes* insuring that only authorized individuals are present on University property or in facilities operated by the University, or that only authorized individuals are using certain University resources.

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If asked by such a University employee to show identification, UChicago ID carriers are required to show their card. If a student, employee, or academic visitor who is asked for identification has any concern about the request or believes that he or she was not treated appropriately during the interaction, that person must nonetheless comply with the request for identification and present his or her ChicagoCard. Subsequently, such an individual is encouraged to report his or her concern to his or her supervisor (if he or she is a University staff person or postdoc), the area Dean of Students (if he or she is a University student), or to the Associate Provost for Faculty and Student Affairs (if he or she is a University faculty member, academic appointee, or academic visitor). Appropriate follow-up will then occur in accordance with University protocol.

All interactions are expected to comport with the University's commitment to civility (<http://csl.uchicago.edu/diversity-inclusion>), and the specific protocols of the schools, divisions, and other University offices and departments.

The ChicagoCard is not transferable, must never be lent to any other person, and must be presented upon request as described above. The ChicagoCard should be treated with care, just like a driver's license, passport, or credit card. Misuse of the identification card will result in its forfeiture and may lead to disciplinary action.

For more information about the functionality of the ChicagoCard and replacement of cards, please visit <http://itservices.uchicago.edu/services/uchicagocard/>.

### **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.

### **Audio and Video Recording on Campus**

#### *Public lectures and less formal or pedagogical presentations*

Public lectures or talks should be distinguished from lectures that are either part of or closely associated with courses, workshops, or other organized instructional activities. Typically, public lectures will be those where the speaker presents in her professional role as a scholar or expert, rather than as a teacher. Public lectures also should be distinguished from settings in which it is customary to present work-in progress: the kind of thing that might be marked, "Please do not quote." Thus, just because a lecture is advertised within a department does not make it public.

#### *Lectures and presentations by guests*

Units of the University that sponsor public lectures by invited outside speakers often record the lectures. Unless written permission has been obtained from the speakers, however, the sponsoring unit, and the University, will not have the right to distribute or disseminate these recordings. Without this right, these recordings have limited usefulness.

Therefore, permission to record and to make use of the recording should be obtained using a permission form prepared by the Office of Legal Counsel, which is available online at <http://www.lib.uchicago.edu/copyrightinfo/recording.pdf>.

#### *Lectures and presentations by University faculty members and academic staff*

The circulation or publication of the text of public lectures by University faculty or academic staff has long been considered normal and unproblematic; at the same time any reservation or refusal expressed by the presenter has always been respected. Consistent with this practice, public lectures by University faculty and staff may be recorded and used by the University, subject to University policy. The University may use for non-commercial purposes recordings of public lectures or presentations delivered by its employees within the scope of employment, even if copyright ownership is ceded to the author(s). Concomitantly, ONLY the University, acting through the appropriate University officials, has the right to make and use recordings of the faculty's public lectures on campus unless special arrangements are made with the University. In keeping with past practice, any reservation or refusal expressed by the faculty member should be respected.

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### *Classroom activity and Non-public lectures*

Recording classroom activities or informal talks may be useful for some purposes. Units should be thoughtful about setting their own policies within the broad framework of University guidelines and expectations, to ensure that the act of recording does not impede expression or class participation and that the recording is not misused. Members of the faculty may record, or have recorded, their own classes for their personal use or for the purpose of exchange with colleagues, e.g., for the purpose of developing or demonstrating pedagogical skills.

Instructors may permit a student to record a class session for the convenience of the student, for the benefit of another student who is unavoidably absent, or as part of an accommodation for a student with a disability. Students must understand that under University policy, permission given by a member of the faculty to record a class is limited to permission to record for personal use only. It is, for example, never permissible to copy, file-share, sell, distribute, or Web-serve such recordings. Members of the faculty who believe that their classes are being inappropriately recorded, or that recordings are being misused, should contact their Dean of Students.

The University may from time to time wish to record, preserve, or disseminate the exemplary work of distinguished colleagues in the classroom or lecture room. When the University undertakes to make recordings of this sort, it will secure appropriate permissions.

University policies do not permit members of the faculty to publish recordings of their classroom or lecture room efforts, or to grant to others the right to distribute recordings, in any medium, of teaching or lecturing undertaken in fulfillment of teaching assignments, without prior approval by the Provost. The University has a sufficient interest in the intellectual property ([Statute 18](#) and [New Technology policy](#)) and in the University's reputation to justify its setting this limitation on what a member of the faculty may do. Moreover, there is a potential conflict of commitment: a teacher may feel some pressure to modify what or how he teaches to make it more marketable.

### *Recordings by student groups (RSO or other recognized groups)*

Recordings by student groups of University events, academic or non-academic, may be made only with the consent of an official of the University familiar with the event. RSO's should seek consent to record from the Office of the Reynolds Club and Student Activities and other student groups (whether recognized or not) should seek permission from their Dean of Students. After permission has been given, the students are then responsible for securing appropriate permissions from performers, speakers, and participants. Such recordings and any derivatives made from them are the property of the University. Students may not copy, make derivatives from, distribute, or disseminate such recordings in any medium without the permission of the University.

By longstanding policy, the University asserts no copyright in creative work such as film or video that is authored by students or student groups using resources normally available to them.

### *Copyright of recordings*

Recordings made at the University should be marked, "Copyright [date], The University of Chicago."

While the copyright of the recording is in the name of the University, the author of the underlying recorded work retains all applicable rights to that work. As is the case with University publications, Web sites, and other similar properties, recordings should carry the copyright of the University and not the individual unit.



## **Student Life and Conduct**

### **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 referral to an Area Disciplinary Committee.

### **INVOLUNTARY LEAVE OF ABSENCE POLICY**

As a community, our first concern is always the health and well-being of each student. To help students achieve their fullest potential and participate robustly and successfully in University life, the University provides students with a host of services, including the Student Counseling Services (SCS). SCS provides a wide range of mental health care to University of Chicago students, including assessments; emergency services; crisis intervention; medication management; academic skills counseling; short term individual, couples, and/or group psychotherapies; and referral services. SCS also provides consultation to University officials who have concerns about a student. Sometimes, a student's behavior raises concerns about the safety and well-being of the student or others or causes significant disruption to the functioning of the University. Anyone aware of such circumstances should immediately contact the student's Dean of Students (or his or her designee). In response, the Dean of Students will meet with the student to discuss his or her behavior and appropriate next steps. The Dean of Students may require that the student be assessed by SCS. The Dean of Students may determine that, in the best interest of the student and/or others, the student (1) may remain enrolled without conditions, (2) may remain enrolled with conditions that are to be described in writing, or (3) should or, in some circumstances, must take a leave of absence.

If a leave of absence is indicated, the student normally will be given the opportunity to take the leave of absence voluntarily. Often, the student may be in a better position to engage in treatment and return to stable, good health at home or in a less stressful environment. If the student declines to take a voluntary leave of absence, the Dean of Students has the authority to place the student on an involuntary leave of absence by restricting or canceling the student's existing and further registration irrespective of academic standing.

In making an informed decision to place a student on an involuntarily leave of absence, the Dean of Students will consider germane medical and other information available to him or her, including information provided timely by the student. The student may be required to sign a medical records release, and to authorize direct communication



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between the SCS Director (or his or her designee) and the student's medical provider(s) regarding the circumstances and the student's medical information, and to authorize the SCS Director to share the substance of those communications with the Dean of Students.

Ultimately, the Dean of Students may require an involuntary leave of absence when he or she determines: (1) that the student has engaged, or threatened to engage, in behavior that has or could cause significant property damage, or that has or could directly and substantially impede the rightful activities of others; and/or (2) based on the consultation with the SCS Director (or his or her designee) and the individualized assessment of the student's ability to safely participate in the University's programs, that the student is unable to function as a student and/or the student's continued presence on campus poses a substantial risk to the safety and well-being of the student and/or others.[\*]

When the Dean of Students judges a student's continued presence is likely to pose a substantial risk to the safety and well-being of the student or to others, the student may be placed on an emergency interim leave before a final determination, as described above, is made. Every reasonable attempt will be made for the Dean of Students to meet with the student and to consider germane medical and other information provided by the student before deciding on an interim leave and the student will be informed of the interim leave in writing. The emergency leave will remain in effect until a final decision has been made or a determination has been made that the reasons for imposing the interim leave no longer exists.

When the Dean of Students decides that a leave of absence is appropriate, the decision and the conditions for resumption of studies will be communicated in writing. A student on a leave of absence no longer attends classes, participates in University programs, or uses University facilities, must vacate University housing, and will be entitled to refunds of tuition, fees, and room and board charges as appropriate given the timing of the start of the leave of absence. When a Dean of Students mandates a leave of absence, generally such leave will be retroactive to the beginning of the quarter.

A student placed on an involuntary leave of absence may request, within fifteen days of the date of the decision, a review of the decision from the Office of Campus and Student Life. The student must submit the request for a review of the decision and any supporting materials in writing. The Vice President for Campus Life and Student Services (or his/her designee) and Dean of Students (or his/her designee) will review appropriate records and documentation, confer with the Director of SCS (or his/her designee) and, when feasible and appropriate, will meet with the student. The student may be required to sign a medical records release and to authorize direct communication between the Vice President for Campus Life and Student Services (or his/her designee) and Dean of Students (or his/her designee) and the SCS Director (or his or her designee) regarding the circumstances, the student's medical information, and information obtained from the student's medical provider(s). The Vice President for Campus Life and Student Services and Dean of Students will communicate a final decision in writing as soon as practicable. The leave of absence will remain in effect during the period that the Vice President for Campus Life and Student Services and Dean of Students considers the student's request.

A student on a leave of absence will not be permitted to resume his or her studies until the Dean of Students makes a fact-specific assessment of the circumstances and concludes that the student no longer poses a significant disruption to the functioning of the University and/or no longer poses a significant risk to the health and safety of the student or others (that cannot be eliminated by a reasonable accommodation).[\*\*] In making this determination, usually the Dean of Students will require the student to authorize his or her treating professionals to contact the Director of SCS to discuss the student's clinical condition, whether the student continues to pose a direct threat to the safety and well-being of him/herself and/or others, as well as the student's preparedness for (1) a return to the academic rigor of the University, (2) the ability to navigate self-sufficiently as a functioning, non-disruptive member of the University community, and (3) the capability for continuing appropriate treatment via SCS or other resources, if necessary. If the student is to continue treatment while resuming studies, the Dean of Students will ask the student to sign a release that authorizes the treating professional to notify the Dean of Students if the student does not adhere to the treatment plan.

### Notification of Others

The Dean of Students (or his or her designee) may notify a student's parents, emergency contact, or others when in the Dean of Student's judgment the student is unable to make the notification himself or herself or the student's

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behavior poses an imminent danger to students or others, or requires an immediate disclosure of information to avert or diffuse serious threats to the safety or health of the student or others. A leave of absence does not preclude the application of the University disciplinary systems.

*\*This individualized assessment is based on reasonable medical judgment relying on current medical knowledge and best objective information regarding the duration and severity of the risk, the probability that a potentially threatening injury will occur, and the likelihood that reasonable modification of existing policies, practices and procedures will sufficiently mitigate that risk. The individualized assessment will include consideration of germane medical information timely provided by the student, in which case the student normally will be asked to sign a release that will allow the SCS Director (or his or her designee) and the student's provider to communicate directly regarding the circumstances and student medical information.*

*\*\*For information about requesting accommodation for a disability, see the University's protocol on Disability Accommodation.*

### OUTDOOR EVENTS ON THE CAMPUS

#### Access to University Property

Many outdoor areas and a few buildings on campus are, in a general sense and during normal business hours, "open to the public." However, the entire campus and all University-owned buildings are private property. The University thus restricts access to some buildings and outdoor areas during business hours, and restricts access to all buildings and some outdoor areas during non-business hours. In addition, from time to time, the University exercises its right to deny individuals access to all or some University property, normally after an individualized determination has been made that a person(s) has engaged in criminal activity, suspicious activity, or behavior that is or is likely to be threatening, violent or disruptive to University operations and activities.

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, 834-0858, <https://studentactivities.uchicago.edu/>). A University Department and/or Recognized Student Organization (RSO) must sponsor all outdoor events. Requests must be submitted at least forty-eight 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.

#### Alcoholic Beverages

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 any University event and require appropriate identification for dispensing alcohol at events that have received approval. Unauthorized beverages may be confiscated by the official or agent.

#### Co-Sponsorship

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 advance arrangements with the Office of Risk Management.

#### Noise Level

To minimize the disruption of academic and administrative activities, music, amplified sound, or other loud noise 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 require event organizers to change the volume to a specific lower level, or turn off the amplifiers altogether if the activity is taking place at or near Medical Center buildings. The City of Chicago does not permit the use of amplified sound on private property between the hours of 10pm and 8am. Student organizations should make timely and appropriate

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arrangements with their ORCSA advisor. Protestors and demonstrators however, may not use amplified sound indoors. Their organizers may also need to obtain a permit from the City of Chicago and should consult the Office of the Reynolds Club and Student Activities. 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.

### **Equipment Construction**

The erection or construction of any structure (such as a tent, stage, signs, or other markers) requires the approval of the Senior Director for Student Life or his or her designee and consultation with the Environmental Health and Safety Office and Facilities Services.

### **Special Circumstances**

Any outdoor event or display which involves special circumstances, such as the duration over an extended period of time, student sleep-overs, large attendance, possibility of demonstration, or late-night/early morning events will require special permission of the Senior Director for Student Life, or his or her designee in advance of the event. For events where a large crowd is expected or where there is a potential for the attendance of persons with views that differ from the views held by event organizers, in advance of the event, 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 Associate Director of Community Development in the Office of Reynolds Club and Student Activities.

### **PROTESTS AND DEMONSTRATIONS POLICY**

*While the University respects the freedoms and rights of every individual, there remains an expectation for all who interact on Campus that their behavior be guided by the principles outlined in the 'Civil Behavior in a University' Section. Please see [Here](#).*

The primary function of a university is to discover and disseminate knowledge by means of research and teaching. To fulfill this function, a free interchange of ideas is necessary not only within the university but also with the larger society. At the University of Chicago, freedom of expression is vital to our shared goal of the pursuit of knowledge. Such freedom comes with a responsibility to welcome and promote this freedom for all, even in disagreement or opposition.

The right of freedom of expression at the University includes peaceful protests and orderly demonstrations. At the same time, the University has long recognized that the right to protest and demonstrate does not include the right to engage in conduct that disrupts the University's operations or endangers the safety of others. University Statute 21 states:

"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, is prohibited and is subject to disciplinary action".

### **The Dean-on-Call**

The Dean-on-Call will work actively to preserve an environment of spirited and open discourse and debate, allowing for the opportunity to have all participants contribute to intellectual exchanges and full participation in the event.

### **Noise Level**

All Protests and demonstrations held outdoors are subject to the same guidelines outlined in the section [Outdoor Events on Campus](#), under the heading Noise Level.

### **Building Occupancy**

For a protest or demonstration attention must be paid to the occupancy limits and general safety of the University community in the space used. Please see [Building Occupancy Limits and Access](#).

### **Placards, Banners and Signs**

Placards, banners, and signs generally are allowed but may not be dangerous for others or impede the participation of others in the life of the University. If the use of placards, banners, and signs are deemed to be dangerous or

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impede the participation of others, University officials will require the individuals carrying the placards, banners, or signs to move to a different location or remove their materials. Adherence to building closures is expected of people participating in a protest or demonstration within a University building and University officials will require that protestors or demonstrators leave at the time of building closure.

### **Advance Arrangements**

To further the effectiveness of their event, organizations and other groups of students organizing a protest or demonstration must make the appropriate arrangements with the staff of the Office of the Reynolds Club and Student Activities (ORCSA) and/or their appropriate RSO Advisor. The protest location must be approved in advance by ORCSA, and intended movements to other areas of campus or into buildings/offices must be expressed in the initial protest request and explicitly approved in advance. Like all other events or activities at the University, a request to hold a protest or demonstration should be submitted no later than 48 hours before the start of the event and must be approved by ORCSA and/or their appropriate RSO Advisor. The RSO Advisors together with the Dean-on-Call will be engaged with student protestors and demonstrators during the event to help assure that the event is effective, ensure participants' safety, and does not disrupt the normal functioning of the University. Students are also asked to make appropriate arrangements to acquire city permits for events occurring on city sidewalks and streets adjacent to the University, and must adhere to city ordinances and applicable state and federal law.

### **Protest and Demonstration Duration**

Protests and demonstrations normally are permitted until or unless University officials determine that University operations have been compromised and/or the rights of others have been significantly infringed. Interference with instruction and research are viewed as particularly disruptive to the University.

### **Policy Application**

Application of this policy does not preclude the application of other University policies or regulations as may be warranted by a given situation, e.g., Authority to Direct, University ID policy, use of the Dean-on-Call program, and University Disciplinary Systems. Furthermore, a protest or demonstration that significantly disrupts the operations of the University or fails to adhere to building closures may lead to arrest and prosecution for violations of City of Chicago ordinances or State or Federal statutes.

### **Counter-protests**

A protest, demonstration, or event on campus may invite another form of protest. When these occasions arise, the expression of all parties is important. Please note that a separate protest area may be designated by Campus and Student Life 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. All people participating in protests and demonstrations are expected to provide a form of University issued or government issued identification upon request from a University official.

### **POSTING 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 posting may not include any suggestions of the availability of alcohol. All posting 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 posting policy will result in consequences ranging from a penalty fine to suspension of the student organization or individual student. Complaints and questions must be directed to the Office of the Reynolds Club and Student Activities at the Student Activities Center (RC 001, 834-8300).

Anonymous posting is allowed in the Reynolds Club only. These postings must be dated and will be removed one week 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 and Bartlett Hall only. If a member of the University community has any concerns about postings on campus please contact the Office of the Reynolds Club and Student Activities at the Student Activities Center (RC 001, 834-8300).

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.

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Banners should not cover current banners belonging to other groups. A maximum of one six-foot banner per group may be posted at any time. Groups are responsible for removing banners within twenty-four hours of the event. All banners, including banners without event dates, must be removed after one week 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 Senior Director for Student Life or his or her designee.

### **Special Mention**

The University has other unique ways for you to publicize your events some, but not all, of which are detailed as follows:

#### *Chalking*

Chalking to publicize events is allowed only on campus sidewalks that can be washed out by rain. Water-soluble chalk must be used. Spray chalk is not allowed. 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 Activities Center (RC 001, 834-8300).

#### *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.

#### *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 ([orcsacalendar@listhost.uchicago.edu](mailto:orcsacalendar@listhost.uchicago.edu)). 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 three residential dining commons (Bartlett, Pierce and South Campus) and the Office of Reynolds Club & Student Activities (RC006) must approve the table tents for the C-Shop & Hutchinson Commons. All requests must be submitted a minimum of five (5) days prior to the posting date. Only one table tent per table is allowed for a display of at most five (5) days. Unapproved table tents will be removed. 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 their guests, who, while they are visitors, are expected to conform to the standards of conduct expected of students at the University. When an event is open only to members of the University of Chicago community, speakers brought to campus under the invitation of a student organization are welcome to bring guests to the event. Speakers are limited to a total of ten non-University of Chicago guests unless special permission for additional guests is received from the group's advisor and the manager of the speaking venue. A guest list must be provided to the advisor and the venue manager no later than forty-eight hours before the event. If invited speakers are candidates for political office, the guidelines set forth in the University's Political Campaign Activity Memorandum (<http://legalcounsel.uchicago.edu/docs/political-campaign-activities.pdf>) must be followed.

### **SANCTIONS BY ADMINISTRATIVE DEPARTMENTS**

If students violate the rules and/or regulations of administrative departments, such as the University House System, the Library, Career Advancement, and IT Services, those departments have authority to impose sanctions up to and including revocation of access privileges and withdrawal of services.

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## UNIVERSITY DISCIPLINARY SYSTEMS

### Preamble

The University of Chicago is a community of scholars dedicated to research, academic excellence, the pursuit and cultivation of new knowledge, and the robust intellectual exchange among faculty and students. In support of this mission, every member of the University - student, faculty, other academic appointees, 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 University believes that students must take responsibility for their own conduct. Under some circumstances, students also must take responsibility for the conduct of a group, or individual members of the group of which they are part. The group may be informal, such as a study group, or formal, such as a student organization. Groups are often bound by shared interests, values, and a mutual trust. Trust is also a critical underpinning of our community—trust between and among peers as well as trust between and among individuals of different rank or status.

Every student bears responsibility for his or her misconduct, regardless of whether the misconduct takes place in a group setting or as a member or a group. However, individual misconduct may also be, at least in part, the responsibility of other members of the group and the group leadership. Misconduct by individual members of a group thus may become a matter for disciplinary action against the individual, the group, and the group leadership. The goal 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. Students who are subject to or involved in University discipline do not automatically abdicate any of the rights that are guaranteed to them by the civil society and, indeed, they remain at all times free to claim and assert those rights through the institutions, presumably judicial, of that society. At the same time, however, students must recognize that the University is a private enclave, dedicated to a purpose that imposes additional and special obligations while, at the same time, granting privileges to its members.

Student misconduct therefore may be simultaneously subject to external legal or administrative proceedings and the University's disciplinary system. Under those circumstances, the University's disciplinary system normally will proceed independently and notwithstanding the pendency of external processes. Furthermore, University disciplinary committees are not bound by external findings, adjudications or processes, and thus they make independent judgments about the extent to which (if at all) to consider such matters.

The University's disciplinary procedures therefore should not 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, the accuser, and others must appear before a disciplinary committee if summoned

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and participate in a manner that helps the committee reach a complete and fair understanding of the facts of the incident at issue.

### **The University has four 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 [here](#).

*Area Admission Review 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 who have accepted admission but have not yet assumed the role of a student at the University. Area Admission Review Systems are described [here](#).

*College Housing Discipline* applies to offenses within or against The College Houses (e.g. vandalism, disruption, excessive noise). Serious offenses within The College Houses are referred to an appropriate Area Disciplinary System. The rules and disciplinary procedures for the House System are described [here](#).

*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 [here](#).

### **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 Campus and Student Life. 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.

In all instances, 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.

Reports from University Police about student misconduct will routinely be brought to the area Dean of Students for possible disciplinary action. Furthermore, the area Dean of students may investigate and recommend disciplinary action based on reports from third parties of arrests, citations, or other conduct from external parties that come to the attention of the area Dean of Students.

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 that 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<sup>[\*]</sup>). 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 but is not limited to 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 for Campus Life and Student Services (or his/ 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. Mediation and/or informal resolution are not appropriate, even on a voluntary basis, in matters involving allegations of sexual assault.



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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 may ask pertinent witnesses to come before the disciplinary committee to answer questions and/or may ask witnesses to submit a written statement. Witnesses asked to submit a written statement will also be asked to sign a release to share their witness statement with the accused student.

A complainant should make every effort to include in the complaint all germane facts known at that time and provide all available supporting materials. Normally, once a disciplinary committee is convened, the complaint will not be revised to include new or different allegations or supporting materials.

However, once a disciplinary committee is convened, the Dean of Students, in consultation with Campus and Student Life, may decline to investigate, or recommend that that disciplinary committee or another disciplinary committee should decide, new or different allegations based on facts that were known or should have been known to the complainant at the time of the initial complaint.

On the rare occasion that the accused student makes a complaint against the complainant, the Dean of Students may investigate the accused student's complaint at or about the same time he or she investigates the complainant's complaint. The Dean of Students may decline to recommend that a disciplinary committee hear either complaint or one of the complaints. The Dean of Students also may recommend that both complaints be simultaneously heard by a single disciplinary committee or heard separately by the same or different disciplinary committees.

### **Allegation of Misconduct by an Individual (Not Sexual Harassment, Sexual Assault or a Sex Offense)**

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, one student, the Dean of Students (or his or her designee), and a representative from Campus and Student Life. The latter two attend the Area Disciplinary Committee meeting in a non-voting, advisory capacity. The Area Disciplinary Committee may have as many as two student members. Three faculty members, the Dean of Students (or his or her designee), and a representative from Campus and Student Life constitute a quorum. 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. The Area Disciplinary Committee may convene before meeting with the accused student to discuss procedural matters. 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 ask or summon the complainant and others to appear before the Committee to answer questions of the Area Disciplinary Committee.

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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. If the proceedings involve multiple students accused of participation in the same misconduct, the accused students will each be heard separately and not in the presence of the other accused students. 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 disciplinary 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 coming before the disciplinary committee and may conduct further inquiry. During the proceedings, if the Area Disciplinary Committee hears other individuals, the accused student may be present. 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 and in consideration of all of the information before it, whether it is more likely than not 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 Campus and Student Life. 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. Where appropriate, and as permitted by law, the Dean of Students may disclose allegations of misconduct and the outcomes of disciplinary proceedings to third-parties, including to external organizations.

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 Campus and Student Life. 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 Sexual Harassment, Sexual Assault or a Sex Offense (including and individual student or group)**

Instances of sexual harassment, sexual assault and sex offenses fundamentally violate the University's principles of community and the shared values and trust that bind its members. For purposes of the University's disciplinary systems, sexual harassment is that conduct prohibited by the University's Policy on Unlawful Discrimination and Harassment; sexual assault is that conduct prohibited by the University's Sexual Assault Policy; and a sex offense includes rape, sodomy, sexual assault with an object, forcible fondling, incest and statutory rape (as defined by applicable federal law). This applies to incidents involving accused individuals as well as accused groups.

The University is committed to providing a prompt and thorough investigation of all complaints of sexual harassment, sexual assault, or a sex offense notwithstanding any external investigative and legal processes. The

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University's investigation thus may occur alongside, rather than in lieu of, an independent law enforcement investigation or civil action.

If an Area Disciplinary Committee is convened for an allegation of sexual harassment, sexual assault, or a sex offense (whether made against an individual student or group), the Area Disciplinary Committee procedures will be invoked with the following modifications and clarifications. The Dean of Students and the Area Disciplinary Committee endeavor in all cases to initiate, proceed, and complete an investigation as promptly and judiciously as feasible. The Dean of Students will explain the disciplinary procedures to the accused student and a representative from Campus and Student Life will explain these procedures to the complainant. These two administrators respectively will provide the accused student and the complainant with periodic and timely updates.

As expeditiously as feasible, the Area Disciplinary Committee will convene before the hearing to discuss procedural matters and to receive educational content on conducting a disciplinary proceeding for an allegation of sexual harassment, sexual assault or a sex offense. Area Disciplinary Committees other than the standing College Disciplinary Committee will be augmented by the faculty chair of the College Disciplinary Committee or his or her designee who is outside the division or school of the complainant and the accused. The student member of the Area Disciplinary Committee must be a graduate or professional school student who is from a different division or school than the complainant and the accused. Two faculty members from the division or school of the accused and the chair of the College Disciplinary Committee (or his or her designee) constitute a quorum.

To accommodate concerns for the well-being of the complainant and /or the accused student, the Dean of Students may make appropriate arrangements enabling participation of the complainant without a face-to-face interaction with the accused student. If the person providing support for the accused and/or the complainant is a lawyer, a representative of the University's Office of Legal Counsel also will attend the proceedings. During the hearing, if the Area Disciplinary Committee hears other individuals, both the accused student and the complainant may be present. The Area Disciplinary Committee will apply a preponderance of evidence standard in deciding sexual harassment, sexual assault, and sex offense cases. Namely, the Area Disciplinary Committee will decide whether, in consideration of all of the information before it, it is more likely than not that the alleged sexual harassment, sexual assault or sex offense occurred, or that the accused student breached standards of behavior expected of University students.

In connection with the hearing, the complainant and the accused student will receive the same materials, subject to compliance with FERPA, which may require redaction of certain identifying information. The complainant will have the same opportunity as the accused student to bring a person to the disciplinary hearing whose role is limited to providing support-not to function as an active participant in the hearing. If the person providing support is a lawyer, a representative of the University's Office of Legal Counsel also will attend the hearing. During the hearing, the Area Disciplinary Committee will allow the complainant to be present when the accused student is heard. If an order of protection or other injunction has been issued by a court, is in effect at the time of the hearing, and directs one or both of the parties to have no contact with the other party, the complainant or the accused may be present in an accepted virtual means, i.e., telephone, video conferencing, etc.

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.

The complainant will be informed of the outcome of the proceedings concurrently with the accused. "Outcome" means whether the alleged conduct was found to have occurred but does not include information about disciplinary sanctions. Both complainant and accused will be informed that the proceedings and the outcome must remain confidential and cannot be disclosed by anyone unless disclosure is authorized by law. However, the University may disclose information about the sanction when it directly relates to the alleged victim, e.g., a no-contact directive is put in place, the duration of a suspension, etc.

The complainant and the accused both may request a review of the outcome within 15 days of being informed, in writing, of the decision. As with all requests for review, the only recognized grounds for review are: (a) the prescribed procedures were not followed; (b) new and material information unavailable to the Area Disciplinary Committee bears significantly in the student's favor.

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### **Allegation of Misconduct by a Group (Not Sexual Harassment, Sexual Assault or a Sex Offense)**

If an area Dean of Students receives a complaint alleging misconduct of a student group, the Area Disciplinary procedures will be invoked with the following clarifications and modifications. Misconduct of a student as a member of a group may have consequences for the individual student, for the group, as well as for the group leadership. Any member or members of a group and/or group leadership may also be held accountable for the misconduct if they were involved in the misconduct. Group members and/or leadership may also be held accountable if they:

- knew about the intended misconduct and failed to take appropriate steps to prevent it;
- should have anticipated the misconduct and taken appropriate steps to prevent it; or
- failed to disclose all information relevant to an investigation of misconduct of a group member or guest.

If the Dean of Students is informed of misconduct of a group and believes that the circumstances warrant it, he or she will arrange for a meeting with the group, group's leadership, or individual members as soon as practicable. In the meeting, the Dean of Students will inform the student(s) of the alleged misconduct and will discuss the allegation. When a group member or leader has knowledge that the misconduct is attributable to a specific member, members, guest, or guests of the group, he or she is expected to promptly identify the group member(s) or guest(s) to the Dean of Students.

The Dean of Students will conduct an inquiry into the facts. The inquiry may include interviews with cognizant other people. Based on the inquiry and in consultation with the Vice President for Campus Life and Student Services (or his/her designee), the Dean of Students has the discretion and authority to dismiss the complaint, resolve the complaint informally with the parties, or refer the complaint to the Academic Dean with a recommendation to convene an Area Disciplinary Committee for the individual group member, more than one group member (including the leaders), and/or for the whole group.

An Area Disciplinary Committee convened to examine the allegation(s) of misconduct involving multiple students should follow, as much as reasonably possible, the procedures outlined for a hearing when an individual student is brought forward. Confidentiality of the individuals (including keeping them from knowing that others also are accused of misconduct and prohibiting them from colluding in responding to the allegations) should be given high priority.

If in the disciplinary process it becomes clear that hearing the students together would help to reach a complete and fair understanding of the facts, the accused students may be informed that other students are involved in the same alleged misconduct. The Dean of Students will ask each student if he or she will agree to appear before the committee in the presence of the other student(s). If all of the accused students agree, they will be informed of the identity of the other students and asked to appear before the disciplinary committee each to speak for himself or herself in the presence of the other accused students.

If an accused student declines the opportunity to appear before the Area Disciplinary Committee in the presence of other accused students, the Area Disciplinary Committee will hear such a student separately. The committee will meet as a group with those students who have agreed to be heard in the presence of the other students.

When students are heard in the presence of each other, they are obligated to maintain confidentiality of the proceeding and must not communicate about the proceeding with others or each other outside of the committee hearing.

### **Sanctions for Misconduct of Individual Students**

Sanctions delineated here are imposed on individual students for misconduct whether the misconduct involved only the student or the student as part of a group. The sanctions 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.

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### *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 the Degree*

The Area Disciplinary Committee may recommend revocation of the degree for misconduct that occurred before the degree was awarded.

### **Sanction for Misconduct of a Student Group**

Sanctions delineated here are imposed on a student group and 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 sanction.

As previously noted, every student bears responsibility for his or her misconduct, regardless of whether the misconduct occurred in a group setting or as a member of a group. Misconduct by individual members of a group thus may also become a matter for disciplinary action and sanctions against the individuals.

### *Warning*

The Area Disciplinary Committee may give the group an official warning. A copy of the written notice warning the group that it is violating or has violated University policies or regulations will be placed in the group's file. If the

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Dean of Students later finds that the group 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 group on disciplinary probation, during which period the group continues to enjoy all the rights and privileges of a group except as the Area Disciplinary Committee may specifically stipulate. If, during the period of disciplinary probation, an Area Disciplinary Committee finds that the group has engaged in additional misconduct, the Area Disciplinary Committee will be informed of the group's probationary status and the circumstances related to the group'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 group rights and privileges for a designated period of time. Such loss of privileges may include but is not limited to loss of University funding, suspension or revocation of the privilege to apply for University funding, suspension or revocation of the privilege to use University space or facilities, suspension or revocation of the privilege to sponsor, co-sponsor and/or participate in any social event or other activity, and the suspension or revocation of the privilege to raise funds for the group.

### *Discretionary Sanctions*

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

### *Disciplinary Suspension*

The Area Disciplinary Committee may impose a disciplinary suspension of Recognized Student Organization status, not exceeding nine quarters, during which period the group is prohibited from exercising any rights and privileges of a Recognized Student Organization in the University. Unless the Area Disciplinary Committee specifically states otherwise in its decision, at the expiration of the period of suspension, the group may resume active status as a Recognized Student Organization without any action on the part of the group. However, a group under suspension who has been charged with another misconduct violation may not resume active status as a Recognized Student Organization until final action has been taken on such allegation by an Area Disciplinary Committee.

### *Disciplinary Withdrawal*

The Area Disciplinary Committee may withdraw Recognized Student Organization status. A group whose Recognized Student Organization status has been withdrawn automatically forfeits all rights and privileges as a Recognized Student Organization in the University. Ordinarily, the University will not consider a re-application of Recognized Student Organization status for eleven quarters following the date of withdrawal.

### **Further Disciplinary Policy Information**

Disciplinary processes will proceed for anyone who has been matriculated at the University whether or not he or she is in residence[\*\*\*] and for anyone after graduation but only if the misconduct occurred before the degree was awarded. 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.

The University respects the privacy of student education records and the laws protecting that privacy. The University also recognizes that participants in the area student disciplinary systems, namely complainant, accused(s), and members of the Area Disciplinary Committee, may benefit from broader access to information before, during, and after a hearing. Such broader access often streamlines the disciplinary process, fosters a more complete and fair understanding of the facts, and leads to more satisfying outcomes. To achieve a better process and outcome, area Deans of Students normally will ask accused students to authorize the release of their statement and,

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in some instances, the disciplinary outcome to the complainant. Area Deans of Students may also, following consultation with Campus and Student Life, request that accused students authorize release of additional documents, such as witness statements; it may, in such instances, be necessary for the area Deans of Students to redact certain information. The area Deans of Students will also ask the complainant to sign a non-disclosure statement, requiring the complainant not to share the accused's statement, additional documents, and/or the outcome of the disciplinary hearing with others.

If a student is accused of academic fraud and the regulations of external sponsors are involved as determined by the Office of the Provost, the allegations are subject to the University's policy on academic fraud. The inquiry will be conducted, in accordance with the external sponsor's regulations governing scientific misconduct, by the department chair or Academic Dean of the academic unit in which the academic fraud allegedly occurred in collaboration with the Dean of Students of the academic area of the accused student. During this fact-finding phase, the accused student generally will continue to be registered as a student and enjoy all privileges pertaining to his or her status as a student. If the inquiry determines that there is sufficient basis to continue the investigation, the University's Standing Committee on Academic Fraud will be informed and the academic fraud investigation procedures will be initiated. Allegations of academic fraud that involve dissertations of students who have received their degrees, or work published or submitted for publications also are subject to the University's academic fraud procedures. If the academic fraud inquiry concludes in the dismissal of the allegation, the academic unit may decide that this alleged student misconduct should be heard by an Area Disciplinary Committee. All other allegations of academic fraud by a student will be subject to the area disciplinary system.

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.

The outcome of disciplinary proceedings for an allegation of a crime of violence or a non-forcible sex offense will be disclosed to the alleged victim upon a written request from the victim or the next of kin if the alleged victim is deceased as a result of the crime or offense.

Under federal law, crimes of violence include arson; assault offenses (aggravated assault, simple assault, intimidation); burglary; non-criminal homicide (manslaughter by negligence); criminal homicide (murder and non-negligent manslaughter); destruction, damage or vandalism of property; kidnapping/abduction; robbery; and forcible sex offenses. Forcible sex offenses are defined as any sexual act directed against another person forcibly or against that person's will, or not forcibly or against the person's will where the victim is incapable of giving consent. Forcible sex offenses include rape, sodomy, sexual assault with an object, and forcible fondling. Non-forcible sex offenses are incest and statutory rape.

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. However, consistent with federal law, the University does not require alleged victims of sex offenses (forcible or non-forcible) to maintain the confidentiality of the outcome of the disciplinary proceeding regarding those alleged offenses.

The disciplinary procedures do not preclude the application of other policies.

### REVIEW PROCESS

#### **Allegation of Misconduct by an Individual or Group (Not Sexual Harassment, Sexual Assault or a Sex Offense)**

If a disciplined student wishes to request a review of the decision, the student must make that request in writing to the Vice President for Campus Life and Student Services (or his/her designee) not more than fifteen days following the date on which the Area Disciplinary Committee issues written notification of its decision. The disciplined student must submit the request for review and supporting material in writing; the Review Board will consider only a request for review and/or supporting materials prepared and/or submitted by the disciplined student him/herself, i.e., the Review Board will not consider materials prepared or arguments advanced by the student's support person (e.g., his/her attorney). At the written request of the disciplined student, the student may be granted an additional



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fifteen days to submit those materials; further extensions of time will not be considered (nor will “supplemental” submissions of supporting 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 Division Disciplinary Committee bears significantly in the student’s favor.

### **Allegation of Sexual Harassment, Sexual Assault or Sex Offense by an Individual or Group**

When an Area Disciplinary Committee has made a determination regarding allegations of sexual harassment, sexual assault, or a sexual offense, the accused student and the complainant each may request a review of the decision regarding those allegations. 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 accused student’s or complainant’s favor.

### **Review Board**

A Review Board will be promptly constituted once a request for review is received by Campus and Student Life. The Review Board consists of the Vice President for Campus Life and Student Services (or his/her designee), one member of the faculty of the student's academic area and 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 for Campus Life and Student Services (or his/her designee) and neither shall be a member of the Area Disciplinary Committee that rendered the decision under review. All members of the Review Board must maintain independent judgment and an open mind about the decision under review. The Review Board’s decision is final and non-reviewable. In making a decision, the Review Board does not conduct a new disciplinary proceeding and normally does not interview witnesses or seek additional information from the student seeking review or witnesses, although the Review Board has the authority to do so and may seek additional information regarding the proceeding from Campus and Student Life or the Dean of Students of the unit in which the matter originated. The Review Board, acting on the basis of the entire record, may sustain, reduce, modify or strike the sanctions imposed if it determines that prescribed procedures were not followed or, if it is satisfied in its reasoned judgment that the new and material information not available to the area Disciplinary Committee more likely than not would have resulted in a different decision, it may require the area Disciplinary Committee to reconvene and consider the new information in the proceedings. Where allegations of Sexual Assault or Sexual Harassment have been investigated, either party may request a review of the decision regarding those allegations.

The Vice President for Campus Life and Student Services (or his/her designee) will promptly communicate the Review Board’s decision to the requesting student. Where allegations for Sexual Assault or Sexual Harassment have been reviewed, the University may disclose information about the outcome to the both the accused student and the accuser to the extent that the information directly relates to that student, e.g., a no-contact directive remains in place, the duration of a suspension, etc. In those instances, the outcome will not include information about disciplinary sanctions.

### **AREA ADMISSION REVIEW SYSTEMS**

Each academic unit—the College, graduate divisions, professional schools, and the Graham School of General Studies—has written procedures for addressing misconduct involving a student who has accepted admission but who has not yet assumed the role of a student at the University. Those procedures may be obtained from the academic unit or from the Office of Campus and Student Life. The unit-specific procedures follow the outline of the procedures described below, with variations that reflect the values and educational goals of the specific academic unit.

Authority to defer or revoke admission before matriculation rests with the area Admission Review Committee, composed of the area senior admissions officer, the cognizant academic dean (or his or her designee), and a representative from Campus and Student Life. Admission may be deferred or revoked for fraud, misrepresentation, material omission of fact, dishonesty, violation of University standards in the application for admission, violation of University academic standards, or any other pre-matriculation misconduct.

Generally, the person bringing the allegation of misconduct first will discuss the allegation with the senior admissions officer of the academic area of the accused student (or his or her designee [[\\*\]](#)). The complainant must

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maintain the strict confidentiality of the allegation of misconduct. The area senior admissions officer will notify the admitted student of the alleged infraction and request a prompt written response to the allegation. Based on the inquiry and in consultation with the Vice President for Campus and Student Life/Dean of Students in the University (or his or her designee), the senior admissions officer has the discretion and authority to dismiss the complaint, resolve the complaint informally with the parties, or refer the complaint to the area Admission Review Committee. If convened, the area Admission Review Committee will examine expeditiously the facts related to the allegation and the response. In its discretion, the area Admission Review Committee may seek additional information from others with knowledge about the alleged misconduct and may ask the admitted student and/or others to answer specific questions or meet with the committee. The area Admission Review Committee will determine the appropriate institutional action and/or discipline, including but not limited to withdrawal of admission, deferral of matriculation, public service, etc. Matriculation may be delayed so that the area Admission Review Committee may complete its investigation and make a decision.

The decision of the area Admission Review Committee is final and unreviewable within the University.

### **COLLEGE HOUSING DISCIPLINE**

College Housing 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 College Housing 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 College Houses 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 College Housing 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.

#### **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 College Houses 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 College Housing policies 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

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considered grounds for serious disciplinary action by the housing staff. Residents must also respect the personal property and assigned space of other members who live in College Housing.

### 3. Dangerous Acts

Residents may not engage in activities which threaten the safety of themselves or 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, fire sprinklers, 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. Going out onto a roof of any residence hall, dining commons or fire escape (if an active fire alarm is not present);
- g. 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 Undergraduate Student Housing will judge such cases. The rule is: no object may be thrown from the windows of the residence halls;
- h. 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 College Housing altogether.

### 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 living in College Housing is 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, music practice rooms, community kitchens, court-yards, entry-ways, and similar spaces.

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 living in College Housing 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, and the distribution of prescription drugs to someone other than for whom it is prescribed is not permitted in College Housing. Residents in violation of this rule may face serious disciplinary consequences, including the likelihood of removal from College Housing.

### 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 College Housing 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 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 fifteen feet of the entrance to any building, including residence halls and dining commons.

College Housing 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/or removal from the College Housing.

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### 8. Visitor Procedures

All of the 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 campus 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 show a government picture ID and to be signed in to the visitors log by the front desk clerk upon entry to the hall. The clerk will note clearly the visitor's 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, kitchens, 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 commons, fire escapes (unless there is an active fire or alarm), or to any other areas which are designated as "off limits." Residents who violate this policy will be subject to serious disciplinary action, including the likelihood of being removed from a House or from College Housing altogether.

Residents may not tamper with the physical plant of the residence halls including removing screens, tampering with locks to gain access, exiting from secured alarmed doors, entering/exiting a building via a window, or tampering with electrical, fire, or phone systems, etc.

### 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 College Housing who live in The College Houses year-round.

### 11. Restricted Dining Commons

The residential dining commons are open only to individuals who have a residential meal plan and to those guests who purchase individual meals. Students must abide by the policies and procedures specified on the College Housing and UChicago Dining website.

### 12. Overnight Guests

College Housing guest procedures are based on the premise that residents of The College Houses 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 except in rare situations, and only with prior approval of the College Housing staff. Guests who wish to stay for more than three days will want to seek lodging in area hotels.

Parents visiting students during the academic year should secure suitable hotel accommodations for overnight visits. Residence Hall rooms are not suitable for visiting parents; this includes apartments which are more spacious but shared with other students. The presence of parents for any extended length of time in a residence hall can be a source of uneasiness and discomfort among student residents. Consequently, no parent may stay overnight in a residence hall.

### 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 College Housing. 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 hall-sponsored events such as signing up for House trips or Master's events, or House fundraisers are not prohibited if conducted by residents or housing staff.

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### 14. Posting

Posters and flyers for House and hall activities, as well as those approved for a Registered Student Organization (RSO) are allowed on designated residence hall bulletin boards. Each House has at least one bulletin board that is reserved for the resident staff of the House. Postings may not be placed inside stairwells, inside elevators, on elevator doors, or on student room doors unless approved by the residents of that room. Flyers and announcements may neither advertise nor refer to the availability of alcohol at a specified event. If a posting contains obscene language and/or pictures, or if a posting is deemed to be offensive to a particular group or individual, the posting may be removed.

### 15. Posting and Solicitation in Dining Commons

Approval for public communications made in the residential dining commons including but not limited to handbills and flyers, banners, table tents, oral announcements and performances is given by the Director of College Housing, or designee. Information about the approval process is available on the College Housing website.

### 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 College Houses 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 College Housing 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 College Housing office.

### Disciplinary Procedures

The goal of the College Housing office 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. College Housing 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. **College Housing Probation:** College Housing 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. College Housing Probation is usually imposed by a Resident Head, but may sometimes be initiated by the Directors in the College Housing office. Probation is normally imposed for a specific period of time, either for the remainder of the academic year or for more serious violations up to the remainder of one's time as a resident in College Housing. If, after being placed on College Housing Probation, the student violates College Housing rules and regulations or engages in disruptive activity in The College Houses, the student is usually required to move within The College Houses or to leave College Housing altogether. College Housing Probation is treated as an internal, College Housing matter. Records of probation are kept only within the House and the College Housing office.
3. **Visiting Restriction:** The Directors of College Housing may restrict a resident from visiting particular parts of College Housing because of behavioral problems. Similarly, students living outside of College Housing may be restricted or "banned" from all or some of The College Houses for their failure to abide by College Housing rules and regulations. Students who violate a visiting restriction will likely face further disciplinary action, including the possibility of a referral to the College for further discipline.
4. **Moves within or Removal from College Housing:** A resident who engages in seriously disruptive or dangerous behavior, or who violates the terms of College Housing Probation will be required to move to another College House or to leave College Housing altogether. The decision will be made by one of the

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Directors of College Housing, usually with the recommendation of the Resident Heads. A resident who is required to leave a House or all of College Housing is normally forbidden to visit in that House or in any part of College Housing for a specific period of time, and is normally prohibited from returning to that House or to College Housing as a resident for a specific period of time. When a resident is required to move within College Housing or to leave College Housing, the student's area Dean of Students is notified in writing of the action. If the resident is required to leave College Housing 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 College Housing can recommend to the area 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 area 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 College Housing for disciplinary reasons may request a review of the decision of the Directors of College Housing by the College Housing Disciplinary Review Committee. This Committee consists of three students drawn from lists of residents appointed by the Residence Hall Student Councils, and two Resident Heads drawn from a list appointed by the Director of College Housing. A student who seeks a review of a disciplinary decision must, within 48 hours of the decision, submit a written request and any supporting material to the Director of College 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 review meeting, both the Director of College 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 College Housing.

**Removal from the House System:** A student who is required by the Directors of College Housing to leave College Housing 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 and any supporting material to the appropriate area Dean of Students with a copy to the Director College Housing. Upon request to the area Dean of Students, 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 faculty member of the Committee on College Discipline, a student 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 in this manual (<https://studentmanual.sites.uchicago.edu/page/area-disciplinary-systems>) 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 University House System.

*Questions about these rules, regulations, and procedures should be directed to one of the Directors of College Housing ([collegehousing@uchicago.edu](mailto:collegehousing@uchicago.edu), 773-702-7366).*

### 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:

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### *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.[‡]

### *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.

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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 for Campus Life and Student Services (or his/her designee), 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 for Campus Life and Student Services (or his/her designee), 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*



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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 student 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

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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 for Campus Life and Student Services 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 for Campus Life and Student Services and Dean of Students in the University 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 decision 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.

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*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 for Campus Life and Student Services and Dean of Students in the University or his or her designee,
- 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 for Campus Life and Student Services 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 for Campus Life and Student Services 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:

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- (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.

*\*On occasion it may be necessary for another administrator to fulfill the responsibilities for the area Dean of Students in the disciplinary process.*

*\*\*Under federal law, a sex offense includes forcible rape, forcible sodomy, sexual assault with an object, forcible fondling, incest and statutory rape.*

*\*\*\*A student is considered not to be in residence when, for example, he or she is studying abroad or on a leave of absence.*

‡ *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.

- a. 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;
- b. By obstructing the administration of University disciplinary processes by force, violence, physical interference, unreasonable noise, or by other obstacle to its functioning;

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- c. By obstructing any officer or employee of the University in the performance of his or her duties;
- d. By altering, destroying, removing, or concealing without authorization or by falsifying any record or document of the University.

