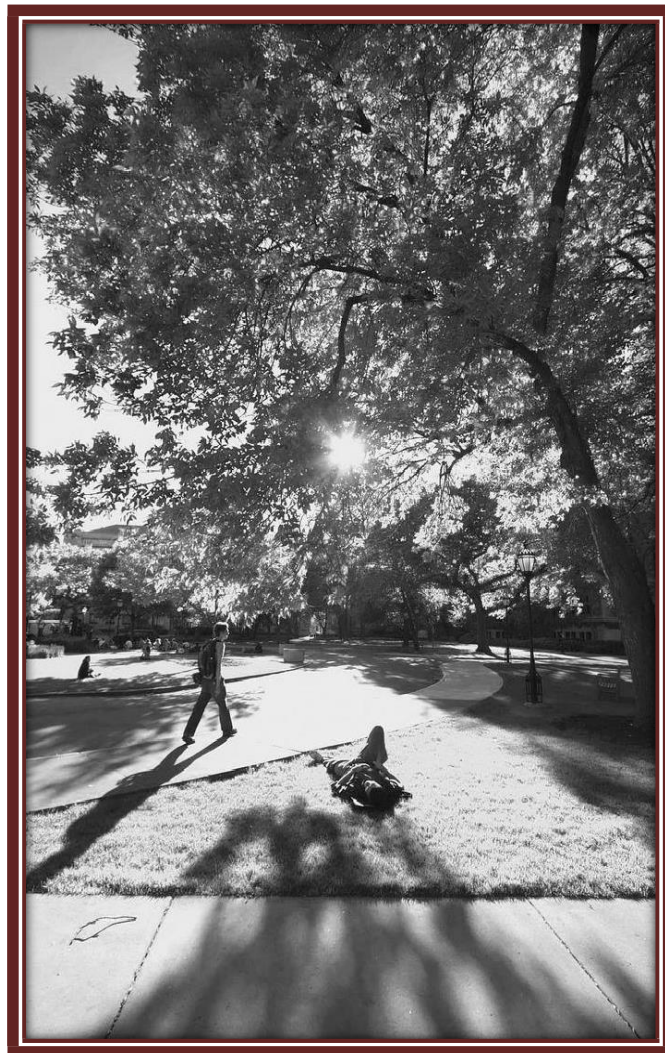




# THE UNIVERSITY OF CHICAGO

## Student Manual

University Policies and Regulations



2015-2016

## Contents

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# 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

## 2016

Quarter begins

Independence Day

Convocation

Quarter Ends

## 2016

College Orientation

Quarter Begins

Thanksgiving

Reading Period

Convocation

Quarter Ends

## 2017

Quarter Begins

Martin Luther King, Jr. Day

College Break

Reading Period

Convocation

Quarter Ends

## 2016

Quarter Begins

Memorial Day

Reading Period

Convocation

Quarter Ends

## SUMMERQUARTER

Monday, June 20

Monday, July 4

Friday, August 26

Saturday, August 27

## AUTUMNQUARTER

Saturday, September 17

Monday, September 26

Thursday-Friday, November 24-25

Thursday-Friday, December 1-2

Friday, December 9

Saturday, December 10

## WINTERQUARTER

Tuesday, January 3

Monday, January 16

Friday, February 10

Thursday-Friday, March 9-10

Friday, March 17

Saturday, March 18

## SPRINGQUARTER

Monday, March 27

Monday, May 29

Thursday-Friday, June 1-2

Saturday, June 10

Saturday, June 10



# University Policies

## Civil Behavior in a University Setting

### University-Wide Policy for Students

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. The University may restrict expression that violates the law, that falsely defames a specific individual, that constitutes a genuine threat or harassment, that unjustifiably invades substantial privacy or confidentiality interests, or that is otherwise directly incompatible with the functioning of the University. In addition, the University may reasonably regulate the time, place, and manner of expression to ensure that it does not disrupt the ordinary activities of the University.

For additional information regarding the University's commitment to free, robust, and uninhibited debate and deliberation among all members of the University's community, please see the [Report of the Committee on Freedom of Expression](#).

## 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, status as an individual with a physical or mental disability unrelated to ability, protected veteran status, military status, unfavorable discharge from military service, citizenship status, genetic information, marital status, parental status, ancestry, source of income, credit history, housing status, order of protection status, actual or perceived association with such a person, and does not discriminate against members of other protected classes under the law.

The University official responsible for coordinating compliance with the University of Chicago nondiscrimination policy is Ingrid Gould, Interim Affirmative Action Officer. She can be reached via email at [i-gould@uchicago.edu](mailto:i-gould@uchicago.edu) and by telephone at 773.702.8846. Her office is located in Edward H. Levi Hall, 5801 S. Ellis Avenue, Suite 510.

The Interim Title IX Coordinator for the University is Belinda Cortez Vazquez, Associate Dean of Students in the office of Campus and Student Life. She can be reached via email at

## Student Manual: University Policies and Regulations

[belinda@uchicago.edu](mailto:belinda@uchicago.edu) and by telephone at 773.834.9710. Her office is located in Edward H. Levi Hall, 5801 S. Ellis Avenue, Room 212.

The Interim 504 and ADA Coordinator for the University is Gregory Moorehead, Director of Student Disability Services. He can be reached via email at [gmoorehead@uchicago.edu](mailto:gmoorehead@uchicago.edu) and by telephone at 773.702.7776. His office is located at 5501 S. Ellis Avenue.

# University of Chicago Policy on Harassment, Discrimination, and Sexual Misconduct<sup>1</sup>

<sup>1</sup>Sexual misconduct includes but is not limited to sexual harassment, sexual abuse, sexual assault, domestic violence, dating violence, and stalking.

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## I. Introduction

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

Sexual misconduct may violate the law, does violate the standards of our community, and is unacceptable at the University of Chicago. Sexual misconduct can be devastating to the person who experiences it directly and can adversely impact family, friends, and the larger community. Regardless of the definitions provided below, people who believe they have experienced any sexual misconduct are encouraged to report the incident and to seek medical care and support as soon as possible.

## **II. Policy Basis and Application**

This policy expresses the University's commitment to an environment free from discrimination, sexual harassment and other unlawful forms of harassment, sexual misconduct, sexual assault, domestic violence, dating violence, and stalking and conforms to legal requirements. It applies to students and other program participants, staff, postdoctoral researchers, faculty, and other academic appointees, volunteers, as well as to anyone on whom the University has formally conferred a title, regardless of employment status. The University provides education and prevention resources, offers numerous support services and referrals for anyone who has experienced unlawful harassment or one of these crimes, encourages and facilitates reporting, which can assist prosecution, and is committed to disciplining anyone whom University procedure determines to have violated this policy.

This policy applies to misconduct that occurs: (1) on University property; or (2) off University property, if: (a) the conduct occurred in connection with a University or University-sponsored or -recognized program or activity; or (b) the conduct has or reasonably may have the effect of creating a hostile educational or work environment for a member of the University community. For example, this policy applies to misconduct that occurs between students during an off-campus party in a private residence, during a University-sponsored study abroad program, or during research- or conference-based University-supported travel. Also, misconduct that occurs off-campus and involves an alleged student perpetrator and an unaffiliated complainant is subject to investigation and adjudication, although the circumstances may be such that the inquiry is limited to assessing whether the student poses a threat to campus safety.

## **III. Unlawful Harassment and Discrimination**

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, status as an individual with a disability, protected veteran status, genetic information or other protected classes under the law. Such discrimination is unlawful.

Harassment based on one of the factors listed above is verbal or physical conduct or conduct using technology 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 intimidating, hostile, or offensive does not make that behavior harassment. The behavior must be objectively unreasonable. Expression occurring in an academic, educational or research context is considered a special case and is broadly protected by academic freedom. Such expression will not constitute 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.

Harassment includes same-sex harassment and peer harassment among students, staff, other academic appointees, postdoctoral researchers, faculty members, program participants, volunteers, and anyone on whom the University formally confers a title, regardless of employment status. Harassment by a faculty member, instructor, or teaching assistant of a student over whom the individual has authority, or by a supervisor of a subordinate, is particularly serious.

## IV. Sexual Misconduct and Definitions

Sexual misconduct encompasses a range of conduct, from sexual assault (a criminal act that the U.S. Department of Education defines as a form of 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 (1) 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 (2) such conduct directed against an individual persists despite its rejection.

In compliance with the Violence Against Women Reauthorization Act of 2013 ("VAWA") and the Clery Act, the University uses the State of Illinois Criminal Code's definitions of sexual assault and sexual abuse. The University incorporates the State's definitions of several other important terms, including domestic violence, dating violence, and stalking and recognizes that sexual assault, domestic violence, dating violence, and stalking are not gender-specific crimes. To aid searches, definitions are provided in alphabetical order.

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

**"Consent"** means voluntary, active and clear agreement, communicated by words or actions, to participate in specific sexual activity. Consensual sexual activity happens when each participant willingly chooses to participate.

In cases where a victim asserts that sexual activity occurred without consent, the standard is whether a sober, reasonable person in the same circumstances as the respondent should have known that the victim did not or could not consent to the sexual activity in question.

In Illinois, the legal age of consent is 17 but rises to 18 if the respondent holds a position of trust, authority, or supervision in relation to the victim. This means that there can be no consent when

one participant in the sexual activity is under the legal age of consent and any other participant is at or over the legal age of consent.

Consent is such a critical factor that Section VI is entirely dedicated to discussing it.

**“Dating violence”** means the use or threat of use of physical, mental or emotional abuse, or sexual violence by a person who is in a social relationship of a romantic or intimate nature with the victim.

**“Domestic violence”** means harassment, interference with personal liberty, intimidation of a dependent, physical abuse, or willful deprivation by a person who is or was a family or household member of the victim. A family or household member includes: a spouse, former spouse, parent, child, stepchild, or other person related by blood or by present or prior marriage; a person who shares or formerly shared a common dwelling; a person who has or allegedly has a child in common or shares a blood relationship through a child; a person who has a dating or engagement relationship; a personal assistant to a person with a disability; and a caregiver.

**“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 respondent threatens to use force or violence on the victim or on any other person, and the victim under the circumstances reasonably believes that the respondent has the ability to execute that threat or (2) when the respondent has overcome the victim by use of superior strength or size, physical restraint or physical confinement.

**“Harassment”** as a form of unlawful discrimination means verbal conduct, physical conduct, or conduct using technology that is based on a protected class and 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.

**“Harassment”** for purposes of domestic violence is knowing conduct that is not necessary to accomplish a purpose, would cause emotional distress to a reasonable person and does cause emotional distress to the victim.

**“Interference with personal liberty”** is committing or threatening physical abuse, harassment, intimidation, or willful deprivation to force a victim to engage in conduct from which that person has the right to abstain, or to abstain from conduct in which that person has a right to engage.

**“Interim measures”** are steps taken to ensure the safety of the complainant and/or University community before the final outcome of any investigation. Such measures may include changes to academic and extra-curricular activities, adjustments to living, transportation, dining, and working arrangements, issuing and enforcing no-contact orders, and honoring an order of protection or no-contact order entered by a State civil or criminal court. Depending on the circumstances, interim measures may be modified, supplemented or withdrawn before, during or after the final outcome of any investigation.

**“Intimidation of a dependent”** is subjecting a person who is a dependent because of age, health or disability to participate in or to witness physical force, physical confinement or restraint of another person.

**“Physical abuse”** includes sexual abuse and means any of the following: (1) the knowing or reckless use of physical force, confinement, or restraint; (2) knowing, repeated, and unnecessary sleep deprivation; and/or (3) knowing or reckless behavior that creates an immediate risk of physical harm.

**“Responsible employee”** means any faculty member, other academic appointee, or staff employee who would reasonably be expected to have the authority or duty to report or take action to redress sexual misconduct. A responsible employee is obligated to promptly report sexual misconduct to the Title IX Coordinator for the University. Responsible employees include (among others) faculty and instructors, RAs, Resident Heads, Resident Masters, TAs, preceptors, administrative assistants, UCPD staff, and other university employees

**“Retaliation”** means any adverse action taken against a person participating in a protected activity because of their participation in that protected activity. Retaliation against an individual for alleging harassment, supporting a party bringing a complaint, or assisting in providing information relevant to a claim of harassment is a serious violation of University policy and will be treated as another possible instance of harassment or discrimination. Acts of alleged retaliation should be reported immediately to the Title IX Coordinator for the University or Associate Dean of Students in the University for Disciplinary Affairs, and will be promptly investigated.

**“Sexual abuse”** means an act of sexual conduct:

- By the use of force or threat of force; or
- When the accused knew that the victim was unable to understand the nature of the act or was unable to give knowing consent; or
- Where the accused is under 17 years of age and the victim was at least 9 years of age but under 17 years of age when the act was committed; or
- 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 assault”** means an act of sexual penetration:

- By the use of force or threat of force, including threatening or endangering the life of the victim or any other person; or
- Where the accused knew that the victim was unable to understand the nature of the act or was unable to give knowing consent; or
- 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
- 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 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.

**"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.

**"Stalking"** means a course of conduct (two or more acts) directed at a specific person that would cause a reasonable person to fear for her or his safety or the safety of a third person, or to suffer emotional distress. Stalking behavior includes, but is not limited to: following a person; appearing at a person's home, work, or school; making unwanted phone calls; sending unwanted emails or text messages; leaving objects for a person; vandalizing a person's property; injuring a person's pet; and monitoring or placing a person under surveillance.

**"Victim"** means a person alleging to have been subjected to conduct prohibited by this policy and does not imply pre-judgment. The term "victim" is used interchangeably with the term "complainant" in this policy.

**"Willful deprivation"** is the purposeful denial of medication, medical care, shelter, food, or other assistance to a person who requires such things because of age, health or disability, thereby putting that person at risk of physical, mental, or emotional harm.

## **V. Consent**

### **What is Consent?**

- Consent means voluntary, active and clear agreement, communicated by words or actions, to participate in specific sexual activity. Consensual sexual activity happens when each participant willingly chooses to participate. It is the responsibility of the person who wants to engage in a sexual activity to obtain the consent of the other person for that sexual activity. Consent may also be withdrawn or modified at any time by the use of clearly understandable words or actions.
- In cases where a victim asserts that sexual activity occurred without consent, the standard is whether a sober, reasonable person in the same circumstances as the accused should have known that the victim did not or could not consent to the sexual activity in question.
- The definition of consent does not vary based upon a person's sex, sexual orientation, gender identity, or gender expression.
- Because people are not telepathic, consent is best obtained through direct communication about the decision to engage in specific sexual activity. Consent need not be verbal, but verbal communication is the most reliable and effective way to seek, assess, and obtain



consent. Non-verbal communication often is ambiguous. For example, heavy breathing can be a sign of arousal, but it also can be a sign of distress. To be sure, talking with sexual partners about desires, intentions, boundaries and limits can be uncomfortable, but it serves as the best foundation for respectful, healthy, positive and safe intimate relationships.

### **What is not Consent?**

- Consent cannot be obtained by threat of harm, coercion, intimidation, or by use or threat of force.
- The lack of explicit consent does not imply consent and likewise, the lack of verbal or physical resistance does not constitute consent. Thus, silence, passivity, submission, and/or the lack of resistance (including the absence of the word “no”) do not—in and of themselves—constitute consent.

### **Incapacitation**

Consent cannot be obtained from someone who is unable to understand the nature of the activity or give knowing consent due to circumstances. A person is mentally or physically incapacitated when that person lacks the ability to make or act on considered decisions to engage in sexual activity, *i.e.*, when a person’s perception and/or judgment is so impaired that the person lacks the cognitive capacity to make or act on conscious decisions, including without limitation the following circumstances:

- The person is incapacitated due to the use or influence of alcohol or drugs, or due to a mental disability. Alcohol and drugs can impair judgment and decision-making capacity, including the ability to rationally consider the consequences of one’s actions. The effects of alcohol and drug consumption often occur along a continuum. For example, alcohol intoxication can result in a broad range of effects, from relaxation and lowered inhibition to euphoria and memory impairment, and to disorientation and incapacitation. Incapacitation due to alcohol or drug use is a state beyond “mere” intoxication or even being drunk. Indicators of incapacitation may include inability to communicate, lack of control over physical movements, and/or lack of awareness of circumstances. An incapacitated person can also experience a blackout state during which he or she appears to give consent but does not have conscious awareness or the capacity to consent. Some medical conditions also can cause incapacitation.
- The person is asleep or unconscious.
- The person is under the legal age of consent. In Illinois, the legal age of consent is 17 but rises to 18 if the accused holds a position of trust, authority, or supervision in relation to the victim. This means that there can be no consent when one participant in the sexual activity is under the legal age of consent and any other participant is at or over the legal age of consent.

In sum, an act will be deemed non-consensual if a person engages in sexual activity with an individual who is incapacitated, and who the person knows or reasonably should know is incapacitated, or with an individual who is asleep, unconscious, or under the legal age of consent.

### **Other Important Points regarding Consent**

- The existence of a romantic or sexual relationship does not, in and of itself, constitute consent.
- Consent on a prior occasion does not constitute consent on a subsequent occasion.
- Consent to one sexual act does not constitute consent to another sexual act.
- Consent to sexual activity with one person does not constitute consent to engage in sexual activity with another.
- Consent cannot be inferred from a person's manner of dress or other contextual factors, such as alcohol consumption, dancing, or agreement to go to a private location like a bedroom.
- Accepting a meal, a gift, or an invitation for a date does not imply or constitute consent.
- Silence, passivity, or lack of resistance alone or in combination does not constitute consent.
- Incapacitation by the person initiating sexual activity does not in any way lessen his or her obligation to obtain consent.

## **VI. Consensual Relationships**

In all cases, the person in the position of greater institutional authority must promptly report to his/her department chair, dean, supervisor, or the Title IX Coordinator for the University the sexual or romantic relationship so that the University may, in accord with policy, assist in separating the professional relationship from the intimate relationship.

### ***Academic Appointee-Student***

Trust is essential to sound relationships between individuals of inherently unequal power. Those who teach are entrusted with guiding students, evaluating their work, giving grades for papers and courses, and recommending students to colleagues. Students depend on the integrity of their relationships with those instructors and understandably expect instructors to exercise their authority fairly. The teacher-student relationship must not be jeopardized by possible doubt of intent or fairness of professional judgment, conflicts of interest, harassment, or the appearance to others of favoritism or advantage.

### ***Undergraduates***

In general, undergraduate students and academic appointees are vastly different groups of people with regard to age, scope of life experiences, developmental status, and vulnerability. These differences impart greater obligations to those with more institutional authority. In the interests of prudence and fostering a campus environment free of sexual harassment and discrimination, this policy prohibits sexual and/or romantic relationships between academic appointees and undergraduates at the University regardless of whether an instructional, mentoring, research, or other University of Chicago-based relationship exists or may reasonably be expected to exist in the future.

This policy also prohibits a graduate student with an academic teaching or academic supervisory role (such as a preceptor, teaching assistant, lecturer, or research assistant) from having a sexual and/or romantic relationship with an undergraduate student whom he or she teaches or supervises during the duration of the teaching or supervisory relationship. For example, a graduate student serving as a teaching assistant may not have a sexual and/or romantic relationship with an undergraduate student during the duration of the course for which the graduate student is serving in that role.

In addition, this policy prohibits coaches, paid and volunteer, of varsity teams and sport clubs from having sexual and/or romantic relationships with undergraduate students on their teams as well as not.

### ***Graduate and Professional School Students***

Graduate and professional school students generally are older and have had more developmental opportunities and life experiences than undergraduates. As a result, the parameters of acceptable romantic or sexual relationships between academic appointees and graduate and professional school students are different than those between academic appointees and undergraduate students. Although not per se prohibited, relationships between graduate/professional school students and academic appointees must occur within boundaries designed to ensure fairness and minimize the inappropriate exercise of authority. Often third-party witnesses to such a relationship or suspected relationship want the department chair or dean to address the matter but remain silent out of fear of reprisal. Such individuals are encouraged to come forward and are reminded that the policy is to remove the professional connections between the members of the couple.

Thus, an academic appointee is required to promptly report to his/her chair or dean or the Title IX Coordinator for the University a romantic or sexual relationship with a graduate/professional school student whom s/he teaches, advises, supervises, mentors, recommends for fellowships, awards, or employment, etc. or may reasonably expect to teach, advise, etc. in the future. The chair or dean will then work with the Office of the Provost to develop and implement a plan to mitigate actual and perceived favoritism and conflicts of interest by establishing an instructional and supervisory arrangement in which all relevant parties may have confidence.

Academic appointees must keep in mind that a graduate/ professional school student's initial consent to a romantic relationship does not preclude a charge of sexual misconduct in the future.

While there may be no apparent impediment to a sexual and/or romantic relationship between an academic appointee and a graduate/professional school student outside each one's disciplinary realm, students' academic interests and pursuits often shift. Beliefs about what is consensual may also shift over time. What may appear to be consensual at one point may subsequently be interpreted as coercive, especially in hindsight and after the end of the relationship. The inherent power differential between an academic appointee and a graduate/professional school student heightens the risks inherent in such relationships, prompting the University to advise strongly against them altogether even in the absence of a perceived or real conflict of interest.

In addition, any graduate student with an academic teaching or academic supervisory role is forbidden from having sexual and/or romantic relationship with a student whom he or she teaches or supervises during the duration of the teaching or supervisory relationship (*e.g.*, a graduate student serving as a lecturer may not have a sexual and/or romantic relationship with a student who is enrolled in that course during the duration of the course).

### **Other Imbalances of Power within the University**

As discussed above, an academic appointee is in a position of trust and authority with regard to students. Other examples of an unequal power dynamic include supervisor-subordinate, senior faculty member-junior faculty member, mentor-mentee, advisor-advisee, teaching assistant-student, faculty member-postdoctoral researcher, academic appointee-staff employee, faculty member-other academic appointee, and attending physician-resident/fellow. Supervisory employment relations involve obligations of fairness and seeming fairness in the management and evaluation of employees. The University's Nepotism Policies speak to some of these situations, and basic ethics and expectations of professionalism may also apply. (See Section IV Related Policies in the Policy Appendices.)

### **Reporting and Non-Retaliation**

Complaints or concerns about violations of this policy should be submitted to the appropriate dean or chair or to the Title IX Coordinator for the University. All complaints and concerns will be treated as confidentially as is feasible and will be addressed by the Title IX Coordinator for the University in partnership with the chair or dean. Retaliation against anybody who makes a complaint or raises a concern about a possible policy violation is prohibited.

## **VII. Important Principles**

### **University Reporting Options**

#### ***Responsible Employees***

As noted above, some University employees (referred to as "Responsible Employees") are required to report all incidents of sexual misconduct (including sexual harassment), dating violence, domestic violence, and stalking to the Title IX Coordinator for the University. Responsible employees must report such information regardless of where the incident occurred. Responsible employees include (among others) faculty and instructors, RAs, Resident Heads, Resident Masters, TAs, preceptors, administrative assistants, UCPD staff, and other university employees.

Please note that reporting an incident to the Title IX Coordinator for the University (or the Deputy Title IX Coordinator for Students) is private, and it does not mean the person who experienced sexual misconduct, dating violence, domestic violence, or stalking somehow loses control of the process. To the contrary, the Title IX Coordinators are here to advise members of our community on their options regarding remaining anonymous, confidentiality, the University's process for investigating complaints of sexual misconduct, dating violence, domestic violence, and stalking, and the University's disciplinary process. Indeed, in some cases, individuals choose not to move forward with the investigation process, but still request support services. When the University receives a report that someone in our community experienced sexual misconduct, dating violence, domestic violence, or stalking, the University will provide that person with a written summary of their rights and options, including information on contacting local law enforcement and community-based resources.

While only responsible employees are required to report all incidents of sexual misconduct (including sexual harassment), dating violence, domestic violence, and stalking to the Title IX Coordinator for the University, all other members of our community (including students) are encouraged to report such incidents to the Title IX Coordinator or Deputy Title IX Coordinator for students.

***Associate Provost & Director of the Office for Equal Opportunity Programs***

***Title IX Coordinator for the University***

The University official responsible for coordinating compliance with the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#) is Sarah Wake, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Wake also serves as the University's Title IX Coordinator for the University, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Wake by emailing [swake@uchicago.edu](mailto:swake@uchicago.edu), by calling 773-702-5671, or by writing to Sarah Wake, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall 427, Chicago, IL 60637.

You may contact the Associate Provost and Director of the Office for Equal Opportunity Programs to report any complaints of discrimination, unlawful harassment, and sexual misconduct. The Associate Provost and Director of the Office for Equal Opportunity Programs can also assist you in the following ways:

- If you are unsure of where to turn for help.
- If you have questions regarding the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#).
- If you have questions regarding Title IX of the Education Amendments of 1972.
- If you are seeking information regarding or the implementation of interim protective measures and accommodations related to a sexual misconduct matter.
- If you have a complaint or question regarding postdoctoral researchers, staff, faculty members, or other academic appointees engaging in harassment, discrimination, sexual misconduct, dating violence, domestic violence, stalking, or retaliation.
- If you need information regarding campus accessibility and accommodations for individuals with disabilities.

Please see <http://provost.uchicago.edu/issues/equal-opportunitytitle-ix> for additional information.

***Deputy Title IX Coordinator for Students & Associate Dean of Students in the University***

Please contact the Deputy Title IX Coordinator for Students & Associate Dean of Students in the University at [swolfel1@uchicago.edu](mailto:swolfel1@uchicago.edu) or 773-702-0438:

- If you are a student in need of any support services related to an incident of sexual misconduct, dating violence, domestic violence, or stalking.
- If you are a student who has questions regarding the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#).

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- If you are a student who has questions regarding Title IX of the Education Amendments of 1972.
- If you are a student seeking information regarding or the implementation of interim protective measures and accommodations related to a sexual misconduct matter.

### ***Associate Dean of Students in the University for Disciplinary Affairs***

Please contact the following individual if you would like to make a complaint regarding a student engaging in harassment, discrimination, sexual misconduct, dating violence, domestic violence, stalking, or retaliation.

Jeremy Inabinet, 773-702-5243, [inabinet@uchicago.edu](mailto:inabinet@uchicago.edu)

### ***Executive Director, Employee and Labor Relations***

Questions about or complaints regarding misconduct by a staff member should be directed to the Associate Provost & Director of the Office for Equal Opportunity Programs (referenced above) or the Employee and Labor Relations team in Human Resources.

Jake Rubinstein, 773.834.2657, [jakerubinstein@uchicago.edu](mailto:jakerubinstein@uchicago.edu)

### ***Electronic Reporting; Anonymous Reporting***

Any person may report a potential violation of this Policy by filling out the electronic form available at: <http://umatter.uchicago.edu/file-a-report/add-to-the-university/>. Such a report will be anonymous if filed without disclosing one's name or contact information.

### ***University of Chicago Police Department (UCPD)***

773-702-8181 or 1-2-3 from a campus phone (24-hours); or in-person at 6054 South Drexel Ave.

Responsibilities of the UCPD when receiving a report of sexual assault, dating violence, domestic violence, or stalking 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 Title IX Coordinator for the University.
- Notifying the Sexual Assault Dean-on-Call if the victim is a student.
- Providing victims with information concerning the importance of preserving evidence, and the rights of victims and the University's responsibilities regarding orders of protection, no-contact orders, and other similar court orders.

### ***Third-Party/Bystander Reporting***

Any person may report a potential violation of this Policy through any of the means listed above.

### ***Confidential Reporting***

Students may confidentially report a violation of this Policy to:

- Sexual Assault Dean-on-Call (SADoC) by calling 773-834-HELP.
- Confidential Advisor by calling Student Counseling Service at 773-702-9800 and asking for an appointment with the Confidential Advisor.
- Student Counseling Service by calling 773-702-9800.

Confidential resources such as the Sexual Assault Dean-on-Call, Confidential Advisor, and Student Counseling Service do not have an obligation to report sexual misconduct, dating violence, domestic violence, and stalking to the Title IX Coordinator and will not do so without the explicit consent of the complaining party. For more information about and a complete list of Confidential Resources, *see* Appendix I (Support Services and Resources for Those Who Have Experienced Sexual Assault) or <http://provost.uchicago.edu/initiatives/confidential-resources>.

### **Confidentiality**

#### ***Institutional Obligation to Respond***

If a known complainant discloses an incident or incidents of sexual misconduct to the University but asks to remain anonymous during the investigation and/or asks that the University refrain from investigating, the investigator, in consultation with the Title IX Coordinator for the University, will consider how to proceed, taking into account the complainant's wishes, the University's obligation to provide a safe and non-discriminatory environment, and the respondent's right to have specific notice of the allegations and an opportunity to be heard if the University were to take action that affects them. In such circumstances, the investigator may arrange for limited fact-finding to better understand the context of the complaint and explore viable options for investigation, adjudication, and remediation.

Because sexual assault is a serious crime that may threaten the community as a whole, in some instances the University may be obliged to address an alleged sexual assault through internal disciplinary procedures without the cooperation of the individual alleging the assault. Always in such instances, the University will respect the parties' privacy to the extent possible consistent with its legal obligations, and will inform the individual of its obligation to address a community safety issue. All publicly available recordkeeping, including Clery Act reporting and public disclosures, will not contain personally identifying information about the victim.

#### ***Confidentiality Obligations of Participants***

The University must protect privacy and confidentiality to fulfill its commitment to address complaints of sexual misconduct fairly and expeditiously. Every member of the University community should recognize that confidentiality breaches erode the community's trust in this process, impair its effectiveness, and may have the purpose or effect (unintended or intended) of retaliating against those who participate in the process.

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Fidelity to confidentiality is more likely to encourage parties and witnesses to participate in the process and share all information they possess, which is necessary for achieving fair outcomes. If parties or witnesses fear that their participation and the information they share will be revealed, then concerns about reputation, peer pressure, and retaliation may deter them and others from participating or even bringing forward complaints in the first instance.

For these reasons, all parties and witnesses involved in an investigation or hearing under this policy are prohibited from disclosing, at any time and through any medium (including social media), the identity of the parties and witnesses, and any details or information regarding an incident, investigation, or hearing to anyone except:

- (1) to University employees as necessary to implement any provisions of this policy or the business of the University;
- (2) as permitted by this policy (see exceptions below); or
- (3) as permitted or required by law.

In some circumstances, a person who fails to preserve confidentiality may face disciplinary action. For example, if a party or witness breaches confidentiality in order to retaliate against a person for his or her participation in an investigation or hearing, the disciplinary committee may hear a complaint of retaliation and impose sanctions. In addition, to ensure that parties and witnesses can participate in the investigation and any hearing in the absence of intimidation, harassment, or coercion, the University has the authority to issue a no-contact directive pursuant to which the individuals notified are forbidden from having contact, directly or indirectly, personally or through others, and through any medium (including but not limited to social media), with others specified in the directive. Violation of a no-contact directive may result in a disciplinary proceeding and the imposition of sanctions.

As noted, there are exceptions to the principle of confidentiality. First, the complainant and respondent are not subject to confidentiality with regard to the result of a disciplinary proceeding alleging domestic violence, dating violence, sexual assault or stalking. “Result” refers to the disciplinary proceeding’s determination, namely whether the alleged conduct was found to have occurred, any sanction imposed, and the rationale for the result and sanctions. As a practical matter, this means that after a disciplinary proceeding, the complainant and respondent may disclose to others the core allegations, the outcome, and the sanction imposed, if any, but not the identity of the parties, witnesses to the proceeding, or any information learned during the investigation or hearing that the complainant and respondent did not already know. Unnecessary or indiscreet disclosures may be viewed as retaliatory and may constitute grounds for University disciplinary action or, as discussed below, a lawsuit.

Second, the complainant and respondent may also share any information with certain people with whom they have a special relationship: parents or guardians, siblings, spouses, legal counsel, health care and mental health providers, clergy, and the person who is supporting them during the proceeding as permitted by the policy. It is generally wise to limit the number of people with whom information is shared, particularly because they, too, must hold the information in confidence. The complainant and respondent’s relationships with others, such as close friends,



romantic or sexual partners, roommates, housemates, teammates, fraternity brothers, etc., do not constitute special relationships within which sharing of confidential information is permitted.

Third, the University may disclose any information related to the matter as necessary (1) to those to whom it is necessary to give fair notice of the allegations and to conduct the investigation; (2) to law enforcement consistent with state and federal law; (3) to other University officials as necessary for coordinating interim measures or for health, welfare, and safety reasons; (4) to government agencies that review the University's compliance with federal law; and (5) to third parties as permitted or compelled by law (e.g., in response to a lawful subpoena or in compliance with federal privacy law).

A final, cautionary note is in order. There may be serious and personal legal consequences for those who breach the requirement of confidentiality. Facts surrounding allegations of sexual misconduct are often deeply disputed and thus breaches of confidentiality have the potential to seriously affect the reputations of the individuals involved. Although statements made in good faith as part of University disciplinary proceedings are legally protected and should not be used as the basis for a defamation lawsuit, statements made outside of the proceedings lack that protection and could lead to a legal claim by a person who believes that the statements are false, identify him or her to others, or have harmed his or her reputation.

### **Leniency for Other Policy Violations**

To encourage reports of sexual misconduct, the University normally will offer leniency to a student who reports an alleged violation of this Policy in good faith with respect to other student conduct violations that come to light as a result of such reports. For example, the University ordinarily will not pursue disciplinary charges related to underage drinking by the reporting person if that policy violation comes to light as the result of a sexual assault complaint. The University will not discipline a reporting student for such conduct violations unless the University determines that the violation was egregious, including without limitation an action that places the health or safety of any other person at risk.

### **Non-Retaliation**

The University prohibits retaliation against any person who exercises any rights or responsibilities under this policy. Any act of retaliation may be a separate violation of this Policy and is subject to the full range of sanctions set forth in Section X and/or the [Student Manual](#).

## **VIII. Prevention and Education Programs**

The University provides numerous education programs and awareness campaigns to prevent and promote awareness of sexual assault, domestic violence, dating violence, stalking, rape, and acquaintance rape. In addition to covering the information addressed in this policy, these programs will, among other things, provide information regarding options for bystander intervention and information on risk reduction strategies. Descriptions of these prevention and education programs can be found in the University's annual security report titled *Annual Security and Fire Safety Report*.

## **IX. Informal Resolution of Complaints**

The University's procedures for responding to incidents depends on the nature of the incident, the relationship of the respondent to the institution, and, to the extent possible, the wishes of the person bringing forward the complaint. As explained below, allegations of discrimination, unlawful harassment, and sexual misconduct may be resolved informally by the Associate Provost & Director of the Office for Equal Opportunity Programs or their designee (for faculty, other academic appointees, or postdoctoral researchers) or the Associate Dean of Students in the University for Disciplinary Affairs (for students), depending on the status of the respondent. Under Title IX and VAWA, the University has an obligation to respond to all allegations of sexual misconduct (including sexual assault) domestic violence, dating violence, and stalking about which a “responsible employee” knows or should have known.

### ***Informal Resolution of Complaints Where a Student is the Respondent***

If the person informally accused of a violation of this Policy is a student, an informal complaint shall be made using the procedures for student discipline described in the [Student Manual](#). The complaint should be addressed to the Associate Dean of Students in the University for Disciplinary Affairs.

### ***Informal Resolution of Complaints Where an Academic Appointee or Postdoctoral Researcher is the Respondent***

#### ***Administrative Resolution***

At the request of the complaining party, the Associate Provost and Director of the Office for Equal Opportunity Programs has the authority to resolve allegations of discrimination, unlawful harassment, or sexual misconduct informally. The Associate Provost will notify the Chair of the Panel on Unlawful Harassment when such an investigation commences, and will notify the parties of the option to have the case heard by the Panel. Both the complainant and respondent will have the ability to present information and suggest witnesses related to an allegation of misconduct. After considering all the information available, the Associate Provost and Director of the Office for Equal Opportunity Programs will use the preponderance of evidence standard to conclude if the respondent is in violation of the University's Policy on Harassment, Discrimination, and Sexual Misconduct.

If the Associate Provost and Director of the Office for Equal Opportunity Programs concludes the respondent is in violation of the University's Policy on Harassment, Discrimination, and Sexual Misconduct, the Associate Provost and Director of the Office for Equal Opportunity Programs will consult with the respondent's dean or department chair to apply an appropriate sanction, including but not limited to, an official warning, disciplinary probation, and/or the suspension of specific rights and privileges for a designated period of time. The Associate Provost and Director of the Office for Equal Opportunity Programs cannot recommend invocation of statutory procedures for termination through the informal process. A copy of the written outcome and notice that the respondent has violated University policy or regulations will be placed in the respondent's official file in the Office of the Provost.

If the Associate Provost and Director of the Office for Equal Opportunity Programs later finds that the academic appointee or postdoctoral researcher has engaged in additional misconduct, the Panel on Unlawful Harassment may be informed of the earlier allegation, outcome, and sanction. If the Panel on Unlawful Harassment is informed of the earlier allegation, outcome, and sanction, the Committee must consider them in determining further sanctions.

Either the complainant or respondent may at any time ask that the matter be handled formally rather than informally. The Associate Provost and Director of the Office for Equal Opportunity Programs may at any time discontinue the informal resolution process and refer the matter for formal resolution.

### ***Mediation***

Mediation is an attempt to come to a mutually acceptable or agreed-upon resolution to a complaint. The goal of the mediation procedure is to provide a forum where the complainant and the respondent 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 respondent are willing to participate. A third party such as the Associate Provost & Director of the Office for Equal Opportunity Programs, a Harassment Complaint Advisor, or a faculty member from the Panel on Unlawful Harassment may act as mediator. All involved parties must voluntarily agree to mediation in order for it to occur. Mediation is not appropriate, even on a voluntary basis, in matters involving allegations of sexual assault, dating violence, domestic violence, and stalking.

### ***Remedies and Other Measures***

As mentioned above, a complainant is not required to pursue University discipline to be eligible for remedies related to an incident of sexual misconduct, dating violence, domestic violence, or stalking. The Title IX Coordinator for students can work with a complainant to explore these options which include, but are not limited to, no-contact directive, housing accommodations, and academic accommodations.

## **X. Formal Resolution of Complaints**

The appropriate procedure for resolving a formal complaint depends on the nature of the incident, the relationship of the respondent to the institution, and, to the extent possible, the wishes of the person bringing forward the complaint.

### ***Formal Resolution of Complaints Where a Student is the Respondent***

If the person formally accused of a violation of this Policy is a student, a formal complaint shall be made using the procedures for student discipline described in the [Student Manual](#). The complaint should be addressed to the Associate Dean of Students in the University for Disciplinary Affairs.

### ***Formal Resolution of Complaints Where an Academic Appointee or Postdoctoral Researcher is the Respondent***

If the person formally accused of a violation of this Policy is a faculty member, other academic appointee, or postdoctoral researcher, the investigation will be conducted by the Associate

Provost & Director of the Office for Equal Opportunity Programs or their designee and the matter will be adjudicated by the Panel on Unlawful Harassment.

The Panel consists of four 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 Associate Provost & Director of the Office for Equal Opportunity Programs will sit with the Panel *ex officio* and does not vote. A list of the current members of the Harassment Panel may be found at [http://www.uchicago.edu/about/boards\\_committees\\_and\\_councils/unlawful/](http://www.uchicago.edu/about/boards_committees_and_councils/unlawful/). If a hearing is requested, it is the task of the Panel to determine the facts in coordination with the Associate Provost & Director of the Office for Equal Opportunity Programs. At any time in its proceedings, the Panel may decide that the complaint should be dismissed. The Panel will be provided with written statements from the complainant and the respondent and, if necessary, will interview persons with knowledge bearing on the matter, including the complainant and the respondent.

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, or 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 simultaneously informed of the outcome. When a policy violation is found, a report of the complaint, including any disciplinary action, is placed in the respondent's official file in the Office of the Provost.

#### ***Formal Resolution of Complaints Where a Staff Member is the Respondent***

If the person formally accused of a violation of this Policy is a staff employee, Human Resources or their designee will normally conduct the investigation in partnership with the Associate Provost & Director of the Office for Equal Opportunity Programs. Both parties will be simultaneously informed of the outcome of the investigation. When a policy violation is found, a report of the complaint, including any disciplinary action, is placed in the respondent's official file.

#### ***Formal Resolution of Complaints of Sexual Assault, Dating Violence, Domestic Violence, or Stalking***

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, domestic violence, dating violence or stalking may also opt to pursue his or her complaint via the legal system without engaging the University's disciplinary process, although, in the interest of community safety, the University may be obliged to address an alleged sexual assault through internal disciplinary procedures.

In all cases, the University is committed to providing a prompt, fair, impartial, and thorough investigation and resolution that is consistent with the University's policies and is transparent to the complainant and the respondent. Such an investigation may occur alongside an independent law enforcement investigation and will be conducted by University officials who do not have a conflict of interest or bias for or against the complainant or the respondent. In the event of a conflict of interest or recusal, another trained University official or external subject matter expert

will be assigned to investigate and/or resolve the case. In most cases, the University's investigation and resolution process will be complete within 60 days of receiving a complaint. The University, in its discretion, may extend its investigation for good cause. If the timeframe for the investigation is extended, the University will provide written notice to the complainant and the respondent of the delay and the reason for the delay.

As explained above, although the procedures for investigating an alleged violation of this policy depend upon the status of the accused individual, such investigations will generally include: (1) assisting and interviewing the complainant (and the alleged victim, if that person is not the complainant); (2) identifying and locating witnesses; (3) contacting and interviewing the respondent; (4) if applicable, contacting and cooperating with law enforcement; and (5) providing information, including information regarding the importance of preserving physical evidence of the alleged sexual violence and the availability of a medical forensic examination at no charge to the victim.

The complainant's and/or respondent's sexual history with others will generally not be sought or used in determining whether sexual assault has occurred. However, in certain circumstances the sexual history between the parties may have limited relevance to explain context. For example, if consent is at issue, the sexual history between the parties may be relevant to determining whether consent was sought and given during the incident in question. Additionally, under limited circumstances necessary to understand the context, sexual history between the parties may be relevant to explain an injury, to provide proof of a pattern, or to address an allegation.

The standard used in such proceedings is a preponderance of the evidence. The respondent and complainant are entitled to bring a person of their choice to the proceedings, whose role is limited to providing support, not acting as an advocate, participant, or witness. In the interests of limiting the number of people with confidential information about the matter, each of the parties is expected to identify one support person and to make a change only in exceptional circumstances. The complainant, the respondent, and appropriate University officials will receive timely and equal access to information that will be used during formal disciplinary proceedings. The complainant and respondent are simultaneously informed, in writing, of the result of the formal disciplinary proceedings, the procedures for seeking review of the result (if applicable), and when the result becomes final. This notification will include the determination of whether a violation occurred, any sanction, and the rationale for the result and sanction. If the complainant or respondent seeks review of the result, both will be simultaneously informed in writing of any change to the outcome.

**Please see the [Student Manual](#) for information regarding procedures for the student complaint resolution process and sanctions that may be imposed upon a student found responsible for a violation of this Policy.** Third parties found to have violated the Policy may be banned from campus and/or otherwise restricted from attending or participating in University activities and programs.

All individuals whose duties include resolution of complaints of student violations of the Policy on Harassment, Discrimination, and Sexual Misconduct shall receive a minimum of 8 hours of annual training on issues related to sexual violence, domestic violence, dating violence, and

stalking and how to conduct the University's complaint resolution procedures, in addition to annual survivor-centered and trauma-informed response training.

### **Time Limits**

There is no time limit for filing a complaint of sexual misconduct, dating violence, domestic violence, or stalking. However, complainants should report as soon as possible to maximize the University's ability to respond promptly and effectively. Delayed reporting often results in the loss of relevant evidence, and/or in faded and unreliable memories; it also impairs the University's ability to summon witnesses, assess evidence, and, if appropriate, adjudicate claims and impose sanctions and other remedies. Furthermore, if the respondent is no longer affiliated with the University at the time of the complaint, it is likely that the University will be unable to summon the respondent or take disciplinary action against him or her, although the University will take reasonable steps to understand the facts, assess whether the respondent poses a present or ongoing risk of safety to the University community, and take any measures necessary to mitigate safety risk.

## **Appendices**

### **I. Support Services and Resources for Those Who Have Experienced Sexual Misconduct**

The needs of someone who has experienced sexual misconduct such as sexual assault, domestic violence, dating violence, or stalking 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 whatever would be most helpful and healing. Written information regarding these services and resources will be provided to individuals who report being victims of sexual assault, domestic violence, dating violence, or stalking. Exercising reasoned discretion, the University will provide interim protective measures and accommodations including, but not limited to, University no-contact orders, changes to academic, living, dining, transportation, and working situations, and honoring an order or protection or no-contact order entered by a State civil or criminal court, to any victim who asks for them, so long as they are reasonably available, regardless of whether the victim reports the incident to law enforcement. Information regarding accommodations and interim protective measures may be obtained from the Title IX Coordinator for the University. Any accommodations or protective measures will be confidential so long as confidentiality will not impair the University's ability to provide the accommodations or protective measures.

The University urges anyone who has experienced sexual assault, domestic violence, dating violence, or stalking 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. Individuals have many options with regard to reporting sexual assault, domestic violence, dating violence, and stalking, including reporting to the University of Chicago Police Department, the Chicago Police Department, and to various campus authorities. Additionally, victims have recourse through the civil and criminal court systems, by being able to seek orders of protection, no-contact orders, and other similar court orders. As feasible, the University will honor an order of protection or no-contact order entered by a State



civil or criminal court so long as it has been notified of the order and its terms. Victims also have the option to decline to notify such authorities.

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. Victims should be aware of the importance of preserving evidence, which may be necessary to the proof of criminal sexual assault, domestic violence, dating violence, or stalking, or to obtain an order of protection.

## **Resources for Everyone**

### ***Associate Provost and Director of the Office for Equal Opportunity Programs Title IX Coordinator for the University***

The University official responsible for coordinating compliance with the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#) is Sarah Wake, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Wake also serves as the University's Title IX Coordinator for the University, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Wake by emailing [swake@uchicago.edu](mailto:swake@uchicago.edu), by calling **773-702-5671**, or by writing to Sarah Wake, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall 427, Chicago, IL 60637.

You may contact the Associate Provost and Director of the Office for Equal Opportunity Programs to report any complaints of discrimination, unlawful harassment, and sexual misconduct. The Associate Provost and Director of the Office for Equal Opportunity Programs can also assist you in the following ways:

- If you are unsure of where to turn for help.
- If you have questions regarding the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#).
- If you have questions regarding Title IX of the Education Amendments of 1972.
- If you are seeking information regarding or the implementation of interim protective measures and accommodations related to a sexual misconduct matter.
- If you have a complaint or question regarding postdoctoral researchers, staff, faculty members, or other academic appointees engaging in harassment, discrimination, sexual misconduct, dating violence, domestic violence, stalking, or retaliation.
- If you need information regarding campus accessibility and accommodations for individuals with disabilities.

Please see <http://provost.uchicago.edu/issues/equal-opportunitytitle-ix> for additional information.

## ***Medical Facilities***

### **Hyde Park**

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

The **Mitchell Emergency Room** is the nearest medical facility to the Hyde Park campus and 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 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.
- The victim may have a medical forensic examination completed at no cost, pursuant to the Sexual Assault Survivors Emergency Treatment Act.

### **Gleacher Center**

**Northwestern Memorial Hospital Emergency Department** is the medical facility offering sexual assault evidence collection and treatment nearest to the Gleacher Center.

251 E. Huron St., Chicago (24-hours)

Telephone: 312-926-5188

### **Other Campuses**

Medical providers near each of the University of Chicago's other campuses are listed below. However, please note that outside the state of Illinois, hospitals are not subject to the Illinois law requiring the provision of certain services to sexual assault survivors free of cost.

### **Beijing**

#### **Haidian Hospital**

29<sup>th</sup> Zhongguancun Dajie, Haidan District, Beijing

Telephone: 62583042/62583093

#### **Beijing United Family Hospital**

Beijing United Family Hospital is farther from campus than Haidan Hospital, but offers English-speaking staff.

#2 Jiangtai Road, Chaoyang District, Beijing, China, 100015

Telephone: 400 891 9191

### **Delhi**

#### **Primus Super Specialty Hospital**

2, Chandragupt Marg, Chanakyapuri, New Delhi 110 021, India

Telephone: (011) 66206620/30/40



## Student Manual: University Policies and Regulations

All public or private medical hospitals in Delhi are required by law to provide free medical assistance to victims of sexual assault.

### **Hong Kong**

#### **Queen Mary Hospital**

102 Pok Fu Lam Road, Hong Kong  
Emergency Room (24 hours): +852-2255-3838  
Private Clinic (limited hours): +852-2255-3001

### **London**

#### **The Havens**

The Havens are self-contained centers located near London hospitals which are dedicated to providing assistance to victims of sexual assault. Among other things, the Havens offer forensic medical examinations, first aid, advice, emergency contraception, medical aftercare, and specialist support (e.g., counseling, psychology, and advocacy).

The Havens locations are: Camberwell Haven, near to King's College Hospital (south); Whitechapel Haven, near to Royal London Hospital (east); and Paddington Haven, near to St Mary's Hospital (west). Before visiting any of the Havens, you must first call 020-3299-6900 (available 24/7) to make an appointment.

### **Marine Biological Laboratory (Woods Hole, Massachusetts)**

#### **Falmouth Hospital**

100 Ter Heun Drive, Falmouth, MA 02540  
Telephone: 508-548-5300

### **Paris**

#### **Hopital Saint Joseph**

85 Rue Raymond Losserand, 75014 Paris  
Telephone: 01 44 12 33 33

Please note that hospitals in France will not conduct a medical forensic examination without a police order. Local law enforcement nearest to the Paris campus is: Commissariat du 13ème arrondissement de Paris, 144 boulevard de l'Hôpital, 75013 Paris.

### **Singapore**

#### **Raffles Hospital**

585 North Bridge Road Singapore 188770  
Telephone: (65) 6311 1555 (emergency); (65) 6311 1111 (24/hr hotline for appointments)

## ***Law Enforcement***

***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 any of the emergency phones located throughout the community, or coming directly to the UCPD office at 6054 South Drexel Ave.

Responsibilities of the UCPD when receiving a report of sexual assault, dating violence, domestic violence, or stalking 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 Title IX Coordinator for the University.
- Notifying the Sexual Assault Dean-on-Call if the victim is a student.
- Providing victims with information concerning the importance of preserving evidence, and the rights of victims and the University's responsibilities regarding orders of protection, no-contact orders, and other similar court orders

The UCPD recommends the prompt reporting of sexual assault, domestic violence, dating violence, and stalking. 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***

Anyone preferring not to report a matter to the University of Chicago Police Department may contact the Chicago Police Department.

***Harassment Complaint Advisors:*** <http://provost.uchicago.edu/initiatives/additional-resources>

An individual who feels he or she has been harassed in an incident without a sexual misconduct, dating violence, domestic violence, or stalking dimension may bring the matter to a Complaint Advisor, whose role is to discuss with the complainant available options on how to proceed. 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, which will not contain the names of either the complainant or the respondent and which 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 an individual who seeks the assistance of an Advisor. If the Advisor learns of allegations that are so serious that they obligate the University to act 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, other academic appointees,

and postdoctoral researchers; deans of students in matters involving students; and supervisors, managers, and/or directors in matters involving staff employees).

### ***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/>

***Office of International Affairs: 773-702-7752; [international-affairs@uchicago.edu](mailto:international-affairs@uchicago.edu)***

The Office of International Affairs can provide information and assistance regarding visas and immigration. For more information, visit <https://internationalaffairs.uchicago.edu/>.

***504/ADA Coordinator for the University: 773-702-5671, [swake@uchicago.edu](mailto:swake@uchicago.edu)***

To raise concerns or to file a 504 or ADA complaint under our Policy on Harassment, Discrimination, and Sexual Misconduct, Section 504, or ADA, contact Sarah Wake, Associate Provost & Director of the Office for Equal Opportunity Programs, Title IX Coordinator, Affirmative Action Officer, 504/ADA Coordinator. Levi Hall 427.

### **Resources Especially 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, domestic violence, dating violence, and stalking emergencies. A student may contact this Dean-on-Call even before deciding whether to report the sexual assault, domestic violence, dating violence, or stalking to the police. The Sexual Assault Dean-on-Call is available to answer any general or personal questions related to sexual assault, domestic violence, dating violence, and stalking, and can help with:

- Finding emotional support
- Getting medical care
- Reporting the crime to the police
- Preserving evidence, and pressing charges
- Obtaining information regarding the rights of victims and the University's responsibilities regarding orders of protection, no-contact orders, and other similar court orders.
- Adjusting living arrangements
- Managing academic obligations
- Getting counseling
- Referring complaints of harassment to a harassment Complaint Advisor

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

Please contact the ***Deputy Title IX Coordinator for Students & Associate Dean of Students in the University*** at [swolfel1@uchicago.edu](mailto:swolfel1@uchicago.edu) or 773-702-0438:

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- If you are a student in need of any support services related to an incident of sexual misconduct, dating violence, domestic violence, or stalking.
- If you are a student who has questions regarding the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#).
- If you are a student who has questions regarding Title IX of the Education Amendments of 1972.
- If you are a student seeking information regarding or the implementation of interim protective measures and accommodations related to a sexual misconduct matter.

### ***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 care, including health care services for students who have chosen not seek care immediately after an assault. For more information, visit <http://healthcare.uchicago.edu>.

### ***Student Health Service Nurse Triage Line: 773-702-1915***

### ***Student Counseling Service: 773-702-9800, 5555 South Woodlawn Avenue (SCS Staff Member-on-Call 24-hours)***

SCS supports students who are working through an experience of sexual assault, domestic violence, dating violence, or stalking, 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/>.

### ***Confidential Advisor: 773-702-9800, 5555 South Woodlawn Avenue (Ask to Speak With a Confidential Advisor)***

A Confidential Advisor is available by appointment through the Student Counseling Service. This is a licensed clinician who has received an additional 40 hours of training on Sexual Violence. Communication with a Confidential Advisor is considered privileged communication.

### ***Area Deans of Students***

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, including options for with changing academic, living, transportation, and working situations if requested and available. <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 Educators: 773-702-8935***

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

***Financial Aid***

The University's financial aid offices can provide information regarding and assistance navigating the University's financial aid programs. Students may find contact information for their applicable financial aid office here:

[http://csl.uchicago.edu/policies/disclosures#financial\\_aid\\_information](http://csl.uchicago.edu/policies/disclosures#financial_aid_information).

**Resources Especially for Staff, Postdoctoral Researchers (PDR), Other Academic Appointees (OAA), and Faculty**

***Associate Provost and Director of the Office for Equal Opportunity Programs***

The University official responsible for coordinating compliance with the University's [Policy on Harassment, Discrimination, and Sexual Misconduct](#) is Sarah Wake, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Wake also serves as the University's Title IX Coordinator for the University, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Wake by emailing [swake@uchicago.edu](mailto:swake@uchicago.edu), by calling 773-702-5671, or by writing to Sarah Wake, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall 427, Chicago, IL 60637.

Please see <http://provost.uchicago.edu/issues/equal-opportunitytitle-ix> for additional information.

**Human Resources Employee and Labor Relations (for Staff): 773-702-4411**

Questions or complaints regarding misconduct by a staff member should be directed to the Employee and Labor Relations team in Human Resources. You may also contact the Associate Provost and Director of the Office for Equal Opportunity Programs regarding complaints of harassment, discrimination, sexual misconduct, dating violence, domestic violence, stalking, or retaliation by a staff member.

**Perspectives (Employee Assistance Program) 24-hours: 800-456-6327**

Counseling services are provided to staff, faculty, OAA, and PDR affected directly and indirectly by sexual misconduct, domestic violence, dating violence, and stalking.

<http://www.perspectivesltd.com/>.

## **Non-University Resources for Everyone**

### **Community-based, State, and National Sexual Assault Crisis Centers**

Chicago Rape Crisis Hotline (24 hours): 888-293-2080  
*Immediate and long-term referrals, information, and counseling.*

LGBTQ Crisis Hotline (24 hours): 773-871-2273  
*Information, counseling, and referrals*

Chicago Women's Health Center: 773-935-6126  
*Gynecological care and counseling*

1025 W. Sunnyside Ave., Suite 201, Chicago, 60640  
<http://www.chicagowomenshealthcenter.org>

YWCA Metropolitan Chicago: 312-372-6600  
*Counseling and legal advocacy*

1 N. LaSalle St. #1150, Chicago, 60602  
<http://www.ywachicago.org>

Parks Francis YWCA: 773-955-3100  
*Counseling and legal advocacy*

6600 S. Cottage Grove Ave., Chicago, 60637

The Center on Halsted: 773-472-6469  
*Services for the LGBTQ community*

3656 N. Halsted, Chicago, 60613  
<http://www.centeronhalsted.org>

Rape Victim Advocates: 312-443-9603  
*Counseling*

180 N. Michigan Ave. #600, Chicago, 60601  
<http://www.rapevictimadvocates.org>

Mayor's Office for Domestic Violence Help Line (24 hours): 877-863-6338  
*Information and referrals for shelters, counseling, legal advocacy, and more*

Chicago Bar Association: 312-554-2000  
*Lawyer referral service*

For more Illinois community-based sexual assault crisis centers, visit the Illinois Coalition on Sexual Assault, <http://www.icasa.org>

Marine Biological Laboratory (Woods Hole, Massachusetts)

Independence House, Inc.

*Counseling, advocacy, and group counseling for survivors of rape, incest, stalking, sexual harassment, molestation, childhood sexual assault and intimate partner violence.*

220 Main St. Fl. Ste. 200, Falmouth, MA 02540  
800-439-6507

### **International Resources for Victims of Sexual Assault**

#### **Delhi**

Rape Crisis Cell Delhi

*Free legal services for rape victims; also assists with contacting law enforcement and obtaining medical examinations*

2nd Floor, 'C' Block,  
Vikas Bhawan, I.P. Estate,  
New Delhi - 110002.  
Nearest Metro Station: ITO  
Telephone: 23378317, 23378044

#### **Hong Kong**

RainLily

*24-hour crisis support, coordination with healthcare workers, social workers and police, forensic medical examinations*

Room 405-410, Kin Man House, Oi Man Estate, Ho Man Tin, Kowloon, Hong Kong  
Telephone: 2392 2569; 2375 5322 (hotline)

Additional information regarding Hong Kong resources may be found on the [U.S. Consulate's website](#).

#### **London**

The Havens

*As described above, the Havens are self-contained centers located near London hospitals which are dedicated to providing assistance to victims of sexual assault. In addition to medical examinations and first aid, the Havens offer advice, emergency contraception, medical aftercare, and specialist support (e.g., counseling, psychology, and advocacy).*

Locations: Camberwell Haven, near to King's College Hospital (south); Whitechapel Haven, near to Royal London Hospital (east); and Paddington Haven, near to St Mary's Hospital

(west). Before visiting any of the Havens, you must first call 020-3299-6900 (available 24/7) to make an appointment.

Rape Crisis England and Wales

*Counseling, advocacy, and support to rape victims (women and girls only)*

East London: PO Box 58203, London, N1 3XP

Telephone (helpline): 020 7683 1210

North London: Head Office, Unit 5-7 Blenheim Court, 62 Brewery Road, London, N7 9NY

Telephone (helpline): 0808 801 0305

South London: P.O. Box 383, Croydon, London, CR9 2AW

Telephone (helpline): 0808 802 9999

West London: PO Box 56663, London, W13 3BJ

Telephone (helpline): 0808 801 0770

## **Singapore**

Sexual Assault Care Center (SACC) at Association of Women for Action and Research (AWARE)

*Counseling, legal services, and social work services for victims of sexual assault*

Drop-in center: 5 Dover Crescent #01-22

Telephone (hotline): 6779 0282

## **II. Yearly Report on Harassment and Sexual Misconduct 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 harassment and sexual misconduct brought to the attention of the University-wide Student Disciplinary Committee, Title IX Coordinators, Human Resources, the Complaint Advisors, and the Panel on Unlawful Harassment; and (2) describing the goals of the University-wide program to prevent harassment and sexual misconduct and the ways in which those goals were implemented during the year. The report will be prepared by the Associate Provost & Director of the Office for Equal Opportunity Programs and reviewed and approved by the Panel on Unlawful Harassment, the Chair of which will present the report to the Council.

## **III. Compliance and Locating This Policy**

### **Regulations Prohibiting Discrimination**

The University's Policy is consistent with federal, state, and local regulations governing non-discrimination and 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.

The crimes of domestic violence, dating violence and stalking were added by VAWA (effective March 7, 2014) as crimes reportable under the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (“Clery Act”). Pursuant to the Clery Act, these crimes are reported in the publication *Annual Security and Fire Safety Report*.

### **IDHR, IHRC, and OCR Legal Recourse and Investigative/Complaint Process**

A University of Chicago employee has the right to contact the Illinois Department of Human Rights (IDHR) for further information or to file a formal charge of unlawful discrimination, harassment, or retaliation. Charges must be filed within 180 days of alleged sexual harassment or other alleged discrimination unless it is a continuing offense. An appeal process is available through the Illinois Human Rights Commission (IHRC) after IDHR has completed its investigation of the complaint. The investigative, charge, and complaint process, and legal recourse processes are described in more detail at <http://www2.illinois.gov/dhr/FilingCharge/Pages/Employment.aspx>.

<p>IDHR may be reached at: Illinois Department of Human Rights 100 W. Randolph St., 10th Flr. Intake Unit Chicago, IL 60601 (312) 814-6200 (866) 740-3953 (TTY)</p> <p>Other IDHR Offices: Springfield: (217) 785-5100 (866) 740-3953 (TTY) Marion: (618) 993-7463 (866) 740-3953 (TTY)</p>	<p>IHRC may be reached at: Illinois Human Rights Commission 100 W. Randolph St., Suite 5-100 Chicago, IL 60601 (312) 814-6269 (312) 814-4760 (TTY)</p> <p>Other IHRC Office: Springfield: (217) 785-4350 (217) 557-1500 (TTY)</p>
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All members of the University community may also contact the Office for Civil Rights (a division of the United States Department of Education) to file a complaint pertaining to Title IX:

Office for Civil Rights  
Chicago Office  
U.S. Department of Education  
Citigroup Center  
500 W. Madison Street  
Suite 1475  
Chicago, IL 60661  
(312) 730-1560

### **Access to Information on Harassment, Discrimination, and Sexual Misconduct**

The University's Policy on Harassment, Discrimination, and Sexual Misconduct can be found in the Student Manual of University Policies and Regulations (<http://studentmanual.uchicago.edu/>), on the Human Resources' Web site (<http://hr.uchicago.edu/policy>), at <http://harassmentpolicy.uchicago.edu>, and at <http://provost.uchicago.edu/issues/equal-opportunitytitle-ix>.

## IV. Related Policies

Counseling Service-Staff and Faculty Assistance Program  
(Personnel Policy U402)

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

Disciplinary Systems for Students

<https://studentmanual.sites.uchicago.edu/page/university-disciplinary-systems>

Discipline for Faculty and Other Academic Appointees

<http://provost.uchicago.edu/handbook/clause/termination-or-removal-cause>

Nepotism Policy for Faculty and Other Academic Appointees

<http://provost.uchicago.edu/handbook/clause/nepotism-policy-faculty-and-other-academic-appointees>

Nepotism Policy for Staff (Personnel Policy U206)

<http://humanresources.uchicago.edu/fpg/policies/200/p206.shtml>

Progressive Corrective Action (Personnel Policy U703)

<http://humanresources.uchicago.edu/fpg/policies/700/p703.shtml>

Termination of Employment Information (Personnel Policy U208)

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

Treatment of Confidential Information (Personnel Policy U601)

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

**Policy effective: August 1, 2016**

**Last administrative update: August 1, 2016**

## Hazing Policy

The University of Chicago prohibits hazing and is illegal in the state of Illinois. 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.

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 Dean of Students in the University, 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 Behavioral Intervention Hotline (800-971-4317).

## Campus Violence Prevention Policy & Behavioral Intervention 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 Behavioral Intervention Team and Behavioral Intervention Hotline (**1-800-971-4317**) are available for anyone to share information about any individual who may be planning or is at risk of engaging in violence, who has planned a violent act, or who may be the intended victim of a violent act. Intervention 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 Behavioral Intervention 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 Behavioral Intervention 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.

Other behaviors, while not violations of our principles and policies, also raise concerns and may, in certain circumstances, warrant intervention by the Behavioral Intervention Team or by another resource. Sometimes it can be difficult to determine if such behaviors indicate a threat to self or to others; the Behavioral Intervention 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;

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- 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 Behavioral Intervention Team or the Behavioral Intervention 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 Behavioral Intervention Team and Behavioral Intervention Hotline accept anonymous reports, if you do not identify yourself, the Behavioral Intervention 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 Behavioral Intervention 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.

### BEHAVIORAL INTERVENTION TEAM

*David Albert, Director of Student Counseling Service; [dalbert@medicine.bsd.uchicago.edu](mailto:dalbert@medicine.bsd.uchicago.edu); 773.702.9800*

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

*Eric M. Heath, Executive Director for Campus Safety; [emheath@uchicago.edu](mailto:emheath@uchicago.edu); 773.834.1274*

*Chair - Michele Rasmussen, Dean of Students in the University (or her designee); [mrasmussen@uchicago.edu](mailto:mrasmussen@uchicago.edu); 773.702.7770*

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

# 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 or Associate 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, which requires the direct involvement of the student. Reasonable efforts are to be made both by the student requesting reasonable accommodation and Student Disability 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 or the Associate 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 or the Associate 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 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 or the Associate 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 or Associate 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 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 Student Disability Services, the area 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 reduced distraction 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 Parents 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.

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.

## **LEAES 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. Students who accept UChicago stipend and health insurance during a Parental Relief Leave of Absence are expected to devote themselves to the purpose of the leave-parenting-and as such may not undertake full-time employment or study elsewhere. 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 EXTENTIONS**

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 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 & 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 *Annual Security and Fire Safety Report*.

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 Center for Leadership and Involvement Activities Center (RC 001, 702-8787) or visit the website at <http://leadership.uchicago.edu/forms-and-policies>.
- (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](#), [Center for Leadership and Involvement](#)); please consult them for details.

## HEALTH RISKS

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

For a further discussion of the health risks of the use of illicit drugs and the abuse of alcohol and prescription drugs, see the University's publication *Annual Security and Fire Safety Report*.

## 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 (5555 S. Woodlawn 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/ or 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/ or 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 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 always remain open to allow others safe access and egress as well as a clearly designated pathway through the area.

### **POLICY ON FIREARMS, OTHER LEATHAL WEAPONS, FIREWORKS AND DANGEROUS OBJECTS AND MATERIALS**

#### **I. Policy Statement**

The University of Chicago is committed to providing a safe and secure learning, working and living environment. Subject to the exceptions in Section III, the University prohibits the possession, use or storage of firearms, other lethal weapons, fireworks, and other dangerous objects or materials by anyone: (i) on any property owned, leased or controlled by the University, including but not limited to all buildings, land, parking areas, sidewalks and common areas; (ii) in any vehicle, owned, leased or controlled by the University regardless of location; (iii) at any external, University-sponsored activities or events; and (iv) employed by the University when conducting University business anywhere.

#### **II. Definitions**

Firearm means any device, regardless of its name, that is designed to expel a projectile by the action of an explosion, expansion of gas or escape of gas; any imitation or replica firearm; and any firearm that has been rendered inoperative.

Other lethal weapons consist of instruments, material or devices that ordinarily could result in or are readily capable of causing serious bodily injury or death, including replicas of the same. These include but are not limited to ammunition, gunpowder, BB guns, pellet guns, paint guns, stun guns, flare guns, blow guns, clubs, slingshots, blackjacks, swords, sabers, daggers, machetes, hatchets, crossbows, nunchucks, throwing stars, batons, billy clubs, and knives except

## Student Manual: University Policies and Regulations

those used as common eating utensils and personal use knives with folding blades four inches or less.\*

Fireworks include but are not limited to firecrackers, rockets, roman candles, cherry bombs, toy cannons and toy guns in which explosive materials are used, fire balloons, or other devices containing any combustible or explosive substance used to propel another object.

Other dangerous objects or materials means any object or material designed to inflict injury or death, including items that pose a potential hazard to the safety or health of others, and unauthorized hazardous materials or chemicals.

\* Many common objects and materials may be used or modified for use as a weapon. In deciding whether such an object or material is a weapon under this policy, the University will use reasoned judgment when considering, among other factors, the time, place and circumstances surrounding the use and possession of the common object or tool, including the explanation for its possession or use and whether it has been modified or altered to make it more effective as a weapon.

### III. Exceptions

A. Law Enforcement. This policy permits the possession, use and storage of firearms and other lethal weapons by sworn law enforcement personnel, authorized security officers and armed guards possessing, using and storing such devices as required by their job.

B. University Work. This policy permits lawful possession, use and storage of knives, other lethal weapons, and dangerous objects or materials within the scope of a person's employment by the University or work as a University contractor. For example, this policy does not prohibit the authorized possession, use and storage of radioactive materials in connection with laboratory research, or knives and other lethal weapons in connection with food preparation or consumption, or saws or shearing devices by Facilities Services employees or contractors.

C. Sponsored Programs. This policy permits the lawful possession, use and storage of other lethal weapons in connection with regularly scheduled and University-authorized educational, recreational or training programs, where the weapon is required for or is a central part of the curriculum or activity (e.g., the use of foils in fencing classes).

D. Ceremonies, Parades and Performances. This policy permits the lawful possession, use and storage of imitation firearms or lethal weapons by participants in any University-sponsored ceremony, parade or theatrical performance, provided that an academic appointee or staff employee has expressly agreed to supervise their use as part of his or her regular job responsibilities and advance written approval has been obtained from the Associate Vice President/Chief of Police (or his/her designee). NOTE: imitation firearms and lethal weapons should only be possessed, used and stored in settings where it is unlikely that their purpose would be misunderstood; also, easily identifiable toys, such as brightly colored or clear water guns, are excepted from this policy.

E. Parking Lots and Non-University Vehicles. This policy permits a person carrying a validly licensed concealed firearm under Illinois law to park a non-University owned or controlled vehicle he or she is driving or in which he or she is a passenger in any University owned, leased or occupied parking area or lot, but only if the firearm and any associated ammunition are maintained, at all times, in a case within the locked vehicle or in a locked container out of plain view and within the vehicle. A “case” includes a glove compartment or console that completely encloses the firearm and ammunition, the trunk of the vehicle, or a firearm-carrying box, shipping box, or other container. Also, the person may carry the concealed firearm in the immediate area surrounding the vehicle within the parking lot, but only for the limited purpose of storing or retrieving it from the trunk and only if the person unloads the firearm before exiting the vehicle. The University retains the authority to designate certain University owned, leased or occupied parking areas or lots as restricted areas in which all vehicles containing firearms are prohibited. In those instances, the University will post signage indicating the prohibition.

F. At Home. Nothing in this policy prohibits a University employee who is conducting University business while at home (other than in University housing) from possessing or storing firearms, other lethal weapons, fireworks, and other dangerous objects or materials. Nothing in this policy prohibits possession of knives in University housing for common eating utensils and food preparation purposes.

G. Special Exceptions. In addition, the University’s Chief of Police (or his/her designee) is authorized to grant additional exceptions either in connection with extraordinary emergency situations or in response to written requests and as follows. Written requests must be made at least 10 days in advance of the date on which possession, use or storage of the prohibited item is proposed. Using reasoned judgment, the Chief of Police will consider each request based on the circumstances associated with the request. The Chief of Police will issue his or her determination and any associated restrictions or conditions in writing.

#### **IV. Violations and Reporting**

Any student or group that violates this policy will be subject to discipline under the Housing Disciplinary System and/or an Area Disciplinary System. Contractors who violate this policy will be subject to contract termination. Staff employees, academic appointees, visiting academics, post-doctoral researchers, employees of affiliates and volunteers who violate this policy will be subject to discipline using the disciplinary processes applicable to each category. Employees of affiliates, volunteers, visitors or guests who violate this policy will be subject to the University’s Ban Policy. Discipline includes removal from the Housing System, suspension, expulsion, termination of employment or appointment, revocation of volunteer status, and a ban from accessing University property. In addition, because conduct that violates this policy may also constitute a crime, the University may refer any violation of this policy to law enforcement officials and thus persons who violate this policy may be arrested and prosecuted.

Any person with knowledge of a policy violation is expected to communicate promptly with the University of Chicago Police Department, the Office of the Dean of Students in the University, the Office of the Provost, or Human Resources. Reports also may be made using the University’s Behavioral Intervention Hotline (800-971-4317).

## **NON-SMOKING POLICY**

This policy covers the smoking of all tobacco, nicotine and other products, and includes cigars, cigarettes, "smokeless" cigarettes and other such delivery systems.

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 motor vehicles to campus. All other students may have motor vehicles 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.

# **Foreign Corrupt Practices Act Policy**

**Purpose:** As reflected in the University's Code of Business Conduct, University community members are required to act ethically, honestly and with integrity and comply with applicable laws at all times when conducting University activities within the United States or abroad. This includes compliance with the anti-bribery provisions of U.S. Foreign Corrupt Practices Act ("FCPA") and similar applicable anti-bribery laws of other countries with which the University

conducts international activities. As a general matter, the FCPA prohibits bribery of foreign officials in order to obtain or retain business or otherwise secure an improper advantage. Although this basic prohibition appears straightforward, the terms used in the FCPA have specific definitions that apply more broadly than this general statement suggests. Accordingly, this Policy is intended to assist University members with satisfying their FCPA obligations and supplements, but does not replace or otherwise alter, the principles and obligations set forth in the University's Code of Business Conduct and existing policies.

## **Policy Statement**

### **Bribery Prohibited**

University Community Members are prohibited from engaging in Bribery of a Foreign Official in connection with University business or other University activities. University Community Members must also be aware of, and comply with, applicable anti-bribery laws of the foreign countries with which they carry out international activities. Such foreign laws may include, but are not limited to, the U.K. Bribery Act, The Prevention of Bribery Ordinance of Hong Kong, and India's Prevention of Corruption Act. Since some of these foreign laws are in certain instances stricter than their FCPA counterpart, University Community Members should consult with the Office of Legal Counsel regarding the specific requirements of these foreign anti-bribery laws as needed.

"Facilitating" payments to Foreign Officials (i.e., payments that increase the speed at which Foreign Officials perform their functions) are permitted under the FCPA but may nonetheless violate local anti-bribery laws of the foreign jurisdiction (e.g., the U.K. Bribery Act). Therefore, facilitating payments are not permitted under this Policy unless (i) the payment is necessary to prevent risk of injury or harm to oneself or another person or (ii) the Office of Legal Counsel has determined the specific payment is permissible under the FCPA and the applicable laws of the local jurisdiction.

### **Key Definitions**

"*Bribery*" means the direct or indirect (i.e., through a third party) (a) offering, giving, directing or promising to another person (including a Foreign Official's family member) anything of value with the intention to induce or reward a Foreign Official to (i) undertake an official act or decision, (ii) violate his or her official duties, (iii) use his or her influence to affect an act or decision of the government or (iv) give an improper advantage; or (b) engaging in (a) without the aforementioned intention to induce or reward, but which nonetheless could reasonably be interpreted as such an inducement or reward. See the FAQs that follow this Policy for examples of common forms of bribery.

"*Foreign Official*" means any (a) employee, officer or agent of a foreign government, (b) political candidate of a foreign party, or (c) employee of a (i) foreign government owned or controlled commercial enterprise, university, research institution, health care facility, or instrumentality, (ii) public international organization (e.g., United Nations, World Bank, World Health Organization), or (iii) foreign political party.

“*University Community Member*” means (a) faculty, other academic appointees, postdoctoral appointees, staff, and other employees of the University and its affiliates; (b) University students; (c) members of the Board of Trustees or Directors of the University and its affiliates; (d) consultants, vendors, contractors and third parties doing business with, or on behalf of, the University and its affiliates; and (e) volunteers associated with the University.

## **Due Diligence of Agents, Vendors and other Third Parties**

When entering into a relationship with a third party that may interact with a Foreign Official on behalf of the University, University Community Members should complete sufficient due diligence to confirm that the retained individual or organization does not have a history of corrupt payments, and understands and agrees that they are not authorized to engage in bribery on the University’s behalf. The level of due diligence required will vary depending on the level of risk involved in the underlying arrangement or transaction (e.g., whether the third party will be interacting directly with Foreign Officials on behalf of the University or whether the services will occur in a country that involves a high risk of corruption).

University Community Members should ensure that the third parties described above do not have a history of violations of anti-bribery laws, provide them with a copy of this Policy, and regularly audit their activities to ensure ongoing compliance. Any agreements with these types of third parties should include provisions that they will comply with the FCPA and all other applicable local anti-bribery laws. A sample agreement provision is included here as Exhibit A.

## **Risk Assessment and Mitigation**

University Community Members must assess the risk of bribery in the international activities under their purview and take appropriate care to prevent and detect bribery and ensure compliance with University policies. Certain countries have a high incidence of corruption, and particular care should be taken when undertaking activities in or involving those countries. For information regarding high risk countries, see the Transparency International Corruption Perceptions Index available at <http://www.transparency.org/research/cpi/>.

Depending on the individual circumstances, appropriate steps may involve (i) additional training of employees and other third parties concerning this Policy, (ii) conducting appropriate due diligence before engaging third party vendors, agents or partners, (iii) ensuring that contracts contain anti-bribery and compliance with law provisions, and (iv) requesting guidance from the Office of Global Engagement and the Office of Legal Counsel before expanding operations into a new geographic location. See the FAQs that follow this Policy for additional suggested strategies to mitigate risk of an FCPA or other Policy violation.

Failure to take appropriate steps to prevent and detect bribery creates legal risk for the University and potential personal liability for the individuals involved.

## **Procurement and Record Keeping Requirements**



University Community Members must comply with the University's procurement and record keeping requirements as well as its financial controls for cash and non-cash transactions.

## Consequences of Violations

Violations of this Policy may result in appropriate disciplinary action up to and including termination of employment or other relationships with the University. Conduct constituting a violation may also expose the University and its Community Members to criminal or civil penalties in the United States and abroad.

## Non-Retaliation

The University prohibits retaliation against any person for making a report in good faith or cooperating in an investigation in connection with this Policy. Individuals who take retaliatory action will be subject to corrective action up to and including termination of employment.

## Questions and Reporting Concerns

For further information regarding this Policy, contact the Office of Legal Counsel at (773) 702-7237. In general, if you are not sure whether a particular action may violate this Policy, you should avoid that action unless otherwise advised by the Office of Legal Counsel. Known or suspected violations of this Policy must be reported to the "Point of Contact" or Hotline (800-971-4317 within the U.S.; 770-776-5641 outside the U.S.) in accordance with the [University Whistleblower Policy](#), or directly to the Office of Legal Counsel.

## Additional Information

Additional University of Chicago policies may provide further guidance on issues or activities addressed in this Policy including, but not limited to, [Business Conduct at the University of Chicago](#), [Gifts to Non-Employees](#), [Gifts to Other Not-for-Profit and Charitable Organizations](#), [Policy of Procurement and Engagement of Services](#) and [Financial Services Policies](#). See also the FAQs that follow this Policy.

## Exhibit A: Sample Provisions for Third Party Providers

***Compliance with Anti-Corruption Laws.*** [Third Party] shall comply with all applicable anti-bribery and corruption laws, including but not limited to the U.S. Foreign Corrupt Practices Act and the laws of any country in which [Third Party] will be providing services on behalf of the [University] (collectively, "Anti-Corruption Laws"). [Third Party] shall not, in connection with any activities contemplated in this Agreement, transfer anything of value, directly or indirectly, to a foreign official or government official (as such term is defined by the Anti-Corruption Laws) or other private (non-government) persons or entities working on behalf of any government in order to obtain any improper benefit or advantage for the [University] or for [Third Party] on the [University]'s behalf. [Third Party] warrants that no compensation paid or

payable to [Third Party] has been or will be used to pay any bribe or kickback in violation of Anti-Corruption Laws.

## **Frequently Asked Questions: FCPA Policy**

### **1. What anti-bribery laws are applicable to the University's international activities?**

The law most relevant to University international activities is the U.S. Foreign Corrupt Practices Act ("FCPA"), but many countries and jurisdictions also have their own anti-bribery laws, which may be more restrictive than the FCPA. You should be aware of any applicable local anti-bribery laws before engaging in these activities with individuals or entities located overseas (even if you remain within the U.S. while conducting such activities). Anti-bribery laws of the jurisdictions in which the University conducts activities include but are not limited to: (i) U.K. Bribery Act; (ii) the Prevention of Bribery Ordinance of Hong Kong; (iii) the Criminal Law and Anti-Unfair Competition Law of the People's Republic of China; (iv) the Prevention of Corruption Acts of each of India and Bangladesh; and (v) the Egyptian Penal Code. Contact the Office of Legal Counsel for more information about the respective anti-bribery and corruption laws of foreign jurisdictions that may apply to University activities.

### **2. What is the FCPA?**

The FCPA is a federal law, enforced by the U.S. Department of Justice, which prohibits payments, gifts, or even offers of "anything of value" to a "foreign official" for the purpose of influencing the official or otherwise "securing any improper advantage" in obtaining, retaining or directing business.

### **3. How does the FCPA apply to the University?**

Certain provisions of the FCPA apply to all "domestic concerns" (e.g., U.S.-based non-profits, NGOs, and educational institutions) and their officers, employees and agents. Thus, the FCPA applies to the University, its employees, and all third parties working on the University's behalf, such as vendors and consultants.

### **4. Can a payment be made to a third party as a way to avoid a violation of the FCPA?**

No. The FCPA prohibits direct and indirect payments. Therefore, one cannot make a payment to a third party if he or she knows (or should know) that some or all of that payment will be used in a way that violates the FCPA.

### **5. Are there any payments to foreign officials that fall outside the FCPA?**

The FCPA permits "facilitation payments" to a foreign official for purposes of facilitating or expediting or securing the performance of routine, nondiscretionary government action. However, because applicable local anti-bribery laws may not include such an exception and given the difficulty in determining when this exception is available under the FCPA, the University Policy prohibits the making of facilitation payments unless the Office of Legal Counsel has determined the payment is permissible or where necessary to prevent personal

injury or harm (e.g., if a colleague requires emergency medical care and a payment will expedite the dispatch of an ambulance).

**6. For which types of University activities do I most need to consider the University's FCPA Policy?**

University members should consult the FCPA Policy when engaging in activities comparable to the examples below or other activities involving foreign officials.

- Collaborations with foreign institutions where the partner institution is owned or run by its government;
- Events hosted by the University (on campus or overseas) that include foreign officials;
- Projects, sponsored or otherwise, that involve interactions with foreign officials (e.g., projects requiring government-issued licenses, approvals or permits);
- Activities that require the hiring of agents or consultants who will interact with foreign officials; or
- University educational programs (on campus or overseas) in which foreign officials may enroll.

**7. Who qualifies as a "foreign official" under the FCPA and University Policy?**

A "foreign official" is defined very broadly under the FCPA. It includes employees and agents, at all levels, of a foreign government, state owned or controlled company or instrumentality (i.e., public utility or hospital), foreign political party or public international organization (e.g., the World Bank) as well as a candidate for foreign political office. The following are deemed "Foreign Officials" for purposes of the University's FCPA Policy:

- Administrators and faculty at foreign state universities;
- Advisors to ministries, government agencies or government officials;
- Members of government committees or panels;
- Healthcare professionals at government-owned or controlled hospitals/health care facilities;
- Members of a royal family;
- Police officers; and
- Customs officials.

**8. Can I pay a foreign official for provision of legitimate services?**

Yes, payments for legitimate services are acceptable. But care should be given to avoid payments that could be construed as having a corrupt purpose. To that end, each payment for goods or services should follow the University's Procurement policies and processes and be documented with the appropriate detail such that it is clear that the transaction was bona fide in all respects.

**9. What are some examples of common forms of bribery?**

Anything of value can serve as the basis of a bribe. Examples of common forms of payments or benefits that may constitute a bribe if coupled with an intent to improperly influence or reward the beneficiary include, but are not limited to:

- Unreasonable gifts, meals, entertainment, travel expenses or other hospitality;
- Unwarranted rebates or excessive commissions;
- Unwarranted allowances or expense reimbursements;
- Charitable contributions to organizations owned or recommended by a foreign official or owned by his or her family members;
- Contributions to a foreign political party or candidate for political office at the request of a third party;
- Uncompensated use of University services or facilities; and
- Promises of admission or acceptance to the University with respect to the foreign official or his or her family member.

A payment or benefit may be deemed unreasonable, unwarranted or inappropriate under the FCPA and the University's Policy if (i) the arrangement violates other applicable University policies and/or (ii) a third party could reasonably perceive that the purpose of the arrangement is to influence a foreign official's decision or reward the improper performance of his or her duties.

**10. When hosting a foreign official, what are ways to reduce the risk that an act is viewed as having a corrupt purpose?**

When hosting a foreign official, it may be appropriate to pay for the official's reasonable lodging and dining expenses so long as these payments are not being done to improperly influence the official. Activities such as giving a lavish meal or a gift that does not have a University connection (e.g., expensive theater tickets) or providing benefits to family members of an official (e.g., travel costs) may not be considered reasonable, and, therefore, may be more likely to be construed as having a corrupt purpose.

When presenting a gift, be sure to refer to the University's Policy on [Gifts to Non-Employees](#) and consider presenting the gift publicly, making clear that it is an expression of University hospitality and/or token of its appreciation.

**11. Does the Policy prevent me from giving gifts to my foreign colleagues?**

Gifts beyond a modest value (i.e., \$100 or less) may not be given under the University's Policy on [Gifts to Non-Employees](#). Check with your supervisor and/or the Office of Legal Counsel before giving larger gifts to persons who might be considered foreign officials.

**12. What are examples of how the FCPA and the University Policy apply to University activity?**

Example 1: You would like to enter into a collaborative research agreement with a foreign state-controlled institution. The foreign officials have not yet agreed to enter into the collaboration but would like to visit you at the University to discuss it further. You advise them that you have made reservations and arranged payment for them and their spouses (who are not affiliated with the institution) at a luxury hotel in Chicago, a driver and limousine to transport them to campus, and tickets for them to attend a Chicago sports event while in town.

In determining whether the arrangements you have made may violate the FCPA and University Policy, you should consider whether: (1) a payment or something of value is offered, promised, or given (2) to a foreign official (3) for a corrupt or improper purpose. In this case, (1) and (2) appear to have been satisfied. Even if you did not have a corrupt intent, the same may be determined from a consideration of the circumstances. Specifically, someone could reasonably conclude that the luxury hotel accommodations, limousine service and tickets were extravagant and not reasonably related to the purpose of the visit and therefore must have been offered in order to improperly induce the foreign officials to enter into the agreement. Covering the expenses for the officials' spouses, whose presence is unrelated to the business purpose of the trip, is also suggestive of improper motive.

Example 2: As part of your planning to conduct field research next month in a foreign country, you learn that the research team must obtain a research permit from the foreign government. You have completed the application process, submitted the required documents and paid the necessary fees. However, as a result of a backlog at the permitting office, you learn that your permit will not be issued for several months. A local agent in the foreign country advises you that he can make a one-time cash payment to a clerk in the permitting office to ensure that the clerk files and stamps the research permit applications for expeditious review. The clerk has no discretion with respect to filing and stamping the research permit application once the filing fees have been paid. A week later, the agent informs you that the application is being reviewed, and the government officials have concerns about the research in light of its subject matter. The agent says he is a friend of the director of the permitting office and can "make the problem go away" with a modest cash payment to the director. You authorize the agent to pay the director and the research permit is then promptly issued.

Was the indirect payment to the clerk a violation of the FCPA? Under these circumstances, this payment would likely qualify as a "facilitating payment" under the FCPA, since it is a one-time, small payment to obtain a routine, non-discretionary governmental service that you are entitled to receive (i.e., the stamping and filing of the permit application). *However, this payment may violate local laws of the foreign jurisdiction and may only be made if payment is consistent with the University's FCPA Policy, including prior consultation with the Office of Legal Counsel.*

Was the payment to the director a violation of the FCPA and University Policy? Yes. Since the payment was designed to corruptly influence a foreign official into improperly approving a permit, the payment to the director violates the FCPA and University Policy. Issuance of the research permit was a discretionary act, and one that the government had expressed concerns about granting.

### **13. What are some ways I might mitigate the risk of violating the FCPA and otherwise comply with the University's FCPA Policy?**

There are several risk mitigation strategies that you should consider when engaging in University activities involving foreign officials and foreign entities, including the following:

- Refer to the relevant Financial Services and Procurement policies before engaging in purchasing or payment activity with foreign officials or foreign entities;

- Maintain accurate and current financial records of any payments to foreign officials, including detailed invoices and receipts;
- Consult with the Office of Legal Counsel when considering presenting a gift to a foreign official, noting that gifts to foreign officials must not be extraordinary and should solely be motivated to express esteem or gratitude (and not corrupt intent). Gifts should be presented openly with transparency, and they should not be in the form of cash;
- When providing reasonable lodging or meals for a foreign official, pay the costs directly to vendors and do not give cash directly to the foreign official;
- Ensure that stipends are reasonable estimates of expected costs and do not provide any additional compensation or money to foreign officials;
- Do not condition payments on any specific action by a foreign official; and
- Before engaging third parties that will interact with foreign officials and entities on behalf of the University, conduct due diligence to determine the third-party's awareness and compliance with provisions of the FCPA and similar laws. Provide them with a copy of the University's FCPA Policy and consider adding provisions to contracts stating (1) that the contractor understands the prohibitions of the applicable anti-bribery laws and will ensure compliance with them, and (2) that any payments to foreign officials on behalf of the University must be expressly authorized by the University.

#### **14. Which University Offices can help me should I have questions?**

For questions related to purchasing and payment related policies and procedures, contact the Financial Services at 773-702-1944 or [finserv-help@lists.uchicago.edu](mailto:finserv-help@lists.uchicago.edu). For general questions, contact the Office of Legal Counsel at (773) 702-7237.

## **Academic Policies & Requirements**

### **Academic Honesty & Plagiarism**

It is contrary to justice, academic integrity, and to the spirit of intellectual inquiry to submit another's statements or ideas as one's own work. 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 Office of the Provost determines that the regulations of the external sponsors (e.g. the federal government) are involved. 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 charges 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 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.

### **Doctoral Students Earning Master's Degrees in Other Programs**

In general, doctoral 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 master's 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 granting ProQuest non-exclusive rights to reproduce, distribute, and sell their dissertations. If a dissertation includes copyrighted material beyond fair use, the author must obtain permission from the holder of the copyright.

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. If dissertation authors are concerned that making their research publicly available might endanger research subjects or themselves, jeopardize a pending patent, complicate publication of a revised dissertation, or otherwise be unadvisable, they may, in consultation with faculty in their field (and as appropriate, research collaborators), restrict access to their dissertation for a limited period of time. If a dissertation author needs to renew an embargo at the end of its term or initiate an embargo after graduation, the author must contact the Dissertation Office with the embargo request.



All dissertations must follow the instructions provided in the *University-Wide Requirements for the Ph.D. Dissertation*, available from the Dissertation Office ([phd.lib.uchicago.edu](http://phd.lib.uchicago.edu)) on the first floor of the Joseph Regenstein Library.

## **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.

## **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.

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-the-12<sup>th</sup>-Year Administrative Withdrawal**

Students who have not completed their Ph.D. after the elapse of twelve years will not be allowed to register in their degree programs (see paragraph below for SSA students). 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 and successfully defend their dissertations may be allowed 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 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**

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 Residence who are restricted and therefore cannot register must clear their restrictions by the end of the fifth week of the quarter or they will be assessed a

\$250 continuous registration penalty fee. Any student who fails to clear all restrictions and become officially registered by the end of that same quarter will be administratively withdrawn from the University.

A student who has been administratively withdrawn from a Ph.D. program because of restriction 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 & Requirements

## Health Insurance & 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, testing and surgical procedures. Additionally, the insurance must cover medical care provided in the Chicago area for both emergency and routine, non-emergency medical situations (or, if the student will not be in Chicago, it must provide this coverage wherever the student will be residing and studying during the academic year). In keeping with this requirement, *each year all [insurance eligible students](#) are enrolled in the University Student Health Insurance Plan (U-SHIP)*. Students wishing to waive out of U-SHIP coverage must affirm possession of alternate comparable coverage before the enrollment/waiver deadline. Students who do not waive the student insurance plan by the deadline will remain enrolled in U-SHIP through the end of the plan year and will be responsible for the annual premium. Detailed information about the U-SHIP plan can be found at: <http://studenthealth.uchicago.edu/insurance>

### Enrollment/Waiver Deadline

The deadline to add dependents or waive U-SHIP is 5 pm Central time 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 a manual insurance enrollment/waiver application at registration time if they wish to waive U-SHIP coverage. Failure to do so will result in the student remaining enrolled in U-SHIP coverage for the remainder of the plan year. For more information about enrollment and waiver requirements visit: <https://studenthealth.uchicago.edu/page/insurance-2015-2016>

### **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. This 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 a few designated programs may be ineligible for coverage under U-SHIP. For additional information on specific University programs of study that are ineligible for insurance coverage under U-SHIP, students should contact their Dean of Students' office or the Registrar.

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

Students who take an approved leave of absence (LOA) are ineligible to remain covered under U-SHIP (with the exception of students taking a Parental Relief Leave of Absence, which need not affect U-SHIP coverage). If a student's registration status is changed to LOA at any point after 5 pm Central time on Friday of the fourth week of the quarter – after the quarterly U-SHIP enrollment/waiver deadline -- and the student was covered by U-SHIP up to the date of the leave, then even though the LOA is backdated effective to the start of the quarter, U-SHIP coverage will remain in place through the end of the quarter, with any assessment for premium remaining in effect. U-SHIP coverage remains active through the end of the quarter in which the LOA was processed, and therefore, payments for the respective quarterly premium are non-refundable, and neither are assessments or payments pro-ratable.

Students who are enrolled in U-SHIP, who take an approved LOA that is processed after the quarterly U-SHIP deadline, will have their coverage terminated on the first day of the quarter immediately subsequent to the quarter in which their LOA took effect. Upon termination of U-SHIP coverage, students are eligible to enroll in "[continuation coverage](#)" for up to six (6) months. Application is required directly through the insurance provider, and may be facilitated by the on-campus Insurance Coordinators, located in the Woodlawn Social Services Center, Room 368/370. Application and payment must be made within 31 days from the end of prior U-SHIP coverage.

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

Students participating in U-SHIP who take an approved leave of absence for medical reasons (MLOA) may continue coverage in U-SHIP at the registered student rate until the end of the plan year (August 31st). Because students are eligible for four (4) quarters of U-SHIP coverage while on a MLOA, if the MLOA crosses academic years, insurance coverage may be provided that crosses two separate plan years, at different premium rates (i.e., MLOA extending from Spring quarter through following Winter quarter). If the student's MLOA extends beyond four quarters, they may purchase ongoing coverage for up to six (6) months under "[continuation coverage](#)". Application for continuation coverage is required directly through the insurance provider, and may be facilitated by the on-campus Insurance Coordinators, located in the Woodlawn Social Services Center, Room 368/370. Application and payment must be made within 31 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);
- Loss/change 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.

Petitions to Add or Waive coverage must be made within 31 days of the qualifying life event noted above.

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 typically are added to autumn, winter, and spring tuition bills. Students (and their dependents) who are eligible to begin enrollment in the winter or spring quarters will be charged a third installment to cover the full cost of their insurance premium; students who are registered only in autumn and spring, or winter and spring quarters, or solely spring quarter, will also be charged another installment for the insurance 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: <https://healthcare.uchicago.edu/page/vaccinations-required-enrollment>.

## **Registration, Records & 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 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 PLANNING RESTRICTION	REASON FOR RESTRICTION
Bursar	Unpaid balances
International Affairs	Failure to comply with international student check-in requirements
Library	Unreturned materials, unpaid fines
Parking Office	Five or more outstanding parking tickets
Residential Client Services	Unpaid rent assessments
International House	Unpaid rent assessments
Student Health Services	Failure to comply with state immunization requirements
Student Loan Administration	Default on loan repayments or no exit interview
University Dean of Students	Disciplinary actions
University Registrar	Failure to confirm personal data

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. Restrictions may interfere with a student’s ability to bid on classes and register. It is the student’s responsibility to clear restrictions 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 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 & 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 email address
- Telephone listing
- Photographs
- Major field of study (including degree program(s) fields, major(s), minor(s), year of study and/or class information)
- Current registration status
- 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

Graduate and professional school students may request that all of their information be withheld through the “My Information” portlet of the myUChicago portal. In the College students can request to have all of their information withheld by completing a form available in the office of the Dean of Students. 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).

Students should be aware that by instructing the University to withhold this information the University and every University official will be unable to confirm any information about a student’s attendance at the University, including the student’s enrollment status, program or degree confirmation, years of attendance or graduation, etc. The student’s name will also not appear in any University published material, including convocation and degree program publications. Because this may have serious consequences for a student’s ability to seek employment or graduate opportunities, students should consider carefully withholding this information. A student with questions about this should direct those questions to the student’s area Dean of Students.

## **Address Changes**

Students are responsible for ensuring that their directory information, including mailing address, is accurate and current, in addition to maintaining accurate emergency contact information.

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

Most students may update their address information via the “My Information” portlet of the myUChicago 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 U.S. 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 preferred 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 five years 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 five years from the time of graduation by the Office of the Dean of Students. In disciplinary cases, which result in a student's suspension or expulsion, the disciplinary records are maintained permanently.

## **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 maintains indefinitely the academic record from the University of Chicago, 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. The student's clinical performance evaluations written by faculty members are kept for 5 years past graduations.

## **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, (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; graduate program administrators.

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 generally retained by the graduate programs for two years and then are destroyed.

### **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: DEAN OF STUDENTS/ASSOCIATE DEAN/DIRECTORS**

Faculty members of Chicago Booth and appropriate members of the Chicago Booth 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 indefinitely.

### **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.

### **THE HARRIS GRADUATE SCHOOL OF PUBLIC POLICY STUDIES: DEAN OF STUDENTS**

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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.

### **INSTITUTE FOR MOLECULAR ENGINEERING: EXECUTIVE DIRECTOR AND DEAN OF STUDENTS**

Faculty members of the Institute for Molecular Engineering, the Executive Director, and appropriate members of the Dean of Students' staff.

The education records of Institute for Molecular Engineering students are generally maintained for five years from the last date of attendance.

### **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**

The Dean of Students staff, registration staff, and program administrators have access to and maintain student records. For non-credit based programs, the Graham School's registration staff maintain a student's official academic record indefinitely. Hard copies of student records are generally kept by program administrators. These files are maintained indefinitely for degree programs and for a minimum of three years for all other programs. Electronic student data may be stored indefinitely by program staff.

Disciplinary incidents are maintained by the Office of the Dean of Students separately from a student's academic files.

### **CAMPUS AND STUDENT LIFE: DEAN OF STUDENTS IN THE UNIVERSITY**

Appropriate members of Campus and Student Life.

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 Dean of Students in the University (or his/her designee) 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**

The University's procedures regarding the inspection and review of education records under the Family Educational Rights and Privacy Act ("FERPA") are as follows:

1. All students who are or have been in attendance at the University have the right to inspect and review their education records subject to the limitations and exceptions set forth in FERPA and its related regulations, 20 U.S.C. § 1232g and 34 CFR Part 99.
2. "Education records" include all information maintained by the University that is directly related to a particular student. For this reason, academic calendars, course syllabi, general announcements, and other materials related generally to the germane academic program or course of study are not subject to FERPA review. Additionally, although students will have access to personal electronic data printed in an appropriate format, the University will not create custom documents, summaries, or reports from such systems or databases.
3. To facilitate the gathering and inspection of student records, all requests must be submitted in writing to the Office of Campus and Student Life (Edward H. Levi Hall, Suite 203, 773-702-7770); neither requests to other University offices nor verbal requests will be honored.
4. If a student's request is unclear or insufficiently specific, a representative from the Office of Campus and Student Life may discuss the request with the student to assure that the appropriate records will be gathered for the student's review. The representative from the Office of Campus and Student Life will then with relevant University offices to gather the requested records; review the records to confirm that they are complete and redact any FERPA-waived recommendations, information about other students subject to FERPA privacy obligations, or any other information protected from disclosure by FERPA or other applicable law; finally, the representative will make arrangements with the student to inspect the records in person.
5. Education records belong the University and, although students have the right to review and request amendments as set forth below, students are not authorized to photocopy, photograph, or otherwise image or duplicate University records. Students may, however, take personal notes regarding their educational records. Students should be mindful of the risks of sharing personal

information from their educational records with those who are not subject to FERPA's privacy requirements.

6. A student's medical records, maintained separately by the Student Health Service and/or the Student Counseling Service, are subject to strict confidentiality except as authorized by applicable law (*e.g.*, HIPAA and/or the Illinois Mental Health and Developmental Disabilities Confidentiality Act). Student medical records are not considered to be part of a student's education records within the meaning of FERPA. A student should continue to consult his or her physician or mental health professional about how to obtain 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. University students who apply for admission to another University professional school or graduate program have no right to access records of that school or program unless the student has been admitted to and begins attending that school or program.

9. Personal notes written by a member of the faculty, an adviser, or other University employee concerning a student that are generated and maintained for the exclusive use of the writer are not considered part of the student's education record under FERPA.

10. Access to a student's education records will be provided within a reasonable period of time, but in no case will an offer to meet and review the records be made more than forty-five days after the request. If, after reviewing his or her educational records, a student believes that certain records encompassed by the request were not made available for inspection, the student should submit a follow-up request clarifying the additional records he or she believes exist.

## **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 the initial conference prove unsatisfactory to the student, he or she may request a hearing. Additional information regarding the hearing procedures will be provided to the student upon receipt of the request. The FERPA amendment hearing procedure is, however, intended only to challenge facts that are inaccurately recorded; complaints about matters other than accurate recordkeeping (for example, objections to grades, opinions, or substantive decisions made about the student) are subject to the complaint and resolution procedures set forth in Section IX of the Student Manual.

Complaints regarding alleged violations of FERPA may be submitted to: The Family Policy Compliance Office of the U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-5920.

## Cost of Copies

Although the University offers students and former students an opportunity to review their educational records in person, copies may be provided if a student does not live within reasonable commuting distance of the University. In these unusual situations, the requester may be charged up to 10 cents per page, with the following exceptions:

Official transcripts are available only from the Office of the University Registrar, which may be requested online via the myUChicago portal. For 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 \$65. 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 who have a "legitimate educational interest" in the information. 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 University 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.

As specified in more detail in FERPA, a student's education records may also be disclosed without his or her prior written consent under certain circumstances, including:

- 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 a dependent for income tax purposes (see Release of Information to Parents & Guardians section following);
- To "appropriate persons," including parents, in the event of health and safety emergencies; and
- In response to a judicial order or subpoena;
- To parents of a student who is a dependent for income tax purposes (see Release of Information to Parents & Guardians section following) and to parents or guardians of a student who is not a dependent to the fullest extent allowed under FERPA.

## **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.

In order to be notified of any other information 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 School of 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**

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 School of Social Service Administration who are enrolled in non-credit practicums and less than 200 units of course work are considered half-time;
- 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.
- Ordinarily College students are not allowed to enroll in fewer than 300 total units of registered course credit at any time. Please refer to the College Catalogue for further information.

## **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.

- 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.
- Ordinarily College students are not allowed to enroll in fewer than 300 total units of registered course credit at any time. Please refer to the College Catalogue for further information.

## **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 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 United Healthcare Student Resources 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;

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- Charged the Non-Degree Visitor fee as well as other mandatory fees;
- Required to have 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. Graduate 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

Graduate 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 Vice Provost for Academic Initiatives Sian Beilock.

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

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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.

*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 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 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.

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. 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, 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 SHS and SCS through August 31. June graduates who are enrolled in U-SHIP coverage, who will remain in the Chicago area during the summer, also may elect to purchase the summer Student Life Fee, in order to meet the policy's requirements for primary care services from SHS and SCS through August 31. This election is made through the on-line enrollment site:

<https://studentinsurance.uchicago.edu/studentlifefee/authenticate.php>

## **Waiving the Student Life Fee**

The Student Life Fee will be waived only for those students who live and study over 100 miles from campus and who will not be on campus during the 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.

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, Audio & Video Recording on Campus**

### **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.

### **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 & 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 Health Service (SHS), Student Counseling Service (SCS), and Student Disability Services (SDS). SHS and SCS provide a wide range of health care to University of Chicago students, including general medical care; mental health care; assessments; emergency services; crisis intervention; medication management; academic skills counseling; short term individual, couples, and/or group psychotherapies; and referral services. SHS and SCS also provide consultation to University officials who have concerns about a student's health. SDS provides support for students with a disability to facilitate the student's full participation in the life of the University.

In extraordinary circumstances, a student's conduct 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 (or his or her designee) will make reasonable attempts to meet with the student to discuss his or her conduct and appropriate next steps. Based on a fact-specific inquiry, the Dean of Students may require that the student be assessed by SHS or SCS to determine if the student currently is able to function as a student and do so without posing substantial risk to the safety of the student or others, or serious disruption to the functioning of the University. Using reasoned judgement, 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.

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 in a timely manner by the student. The student may be asked to sign a medical records release, and to authorize direct communication between the SHS (or his or her designee) or 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 Director to share the substance of those communications with the Dean of Students or others, as appropriate. If a student declines to authorize communications between and among the student's provider, the Dean of Students, and SHS or SCS Director (or their designees) and/or declines to authorize the release of germane medical records, then the Dean of Students will make the

decision after considering all of the available information and will do so without the benefit of information that may be directly germane to the decision.

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 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.

Often, the student is in a better position to engage in treatment and return to stable, good health at home or in a less stressful environment than the University. With this in mind, if a leave of absence is indicated, the student normally first will be given the opportunity to take the leave of absence voluntarily, thereby eliminating the need to complete the involuntary leave process and preserving, to the extent possible, confidentiality and privacy. 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 or involvement in extra-curricular activities (e.g., athletics).

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 conduct that has caused or is likely to cause serious disruption to the learning, extra-curricular and living activities of members of the community or others, including by impeding the rightful activities of others; and/or (2) based on the consultation with the SHS (or his or her designee) or 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.[\*]

If a student refuses to cooperate with efforts deemed necessary by the Dean of Students to evaluate the cause of the student's conduct, the student may be placed on involuntary leave.

In some circumstances, the level of care and modifications needed may exceed the resources or appropriate staffing capabilities of a university or may be beyond the standard of care that a university health service can be expected to provide or monitor, in which case continued enrollment may constitute a serious disruption of the residential community or the learning environment, justifying an involuntary leave of absence. In addition, a student may be placed on an involuntary leave of absence if arrested for serious criminal conduct and/or formally charged criminally with a serious crime (normally a felony).

When the Dean of Students judges a student's continued presence is reasonably 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 (or his or her designee) to meet with the student and to consider germane medical and other information timely provided by the

student before deciding on an interim leave and the student will be informed of the interim leave in writing. The emergency interim 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.

## **DETERMINATION AND REQUEST FOR REVIEW**

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 promptly in writing.

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 leave of absence will remain in effect during the period that the Dean of Students considers the student's request.

The Dean of Students (or his/her designee) will review appropriate records and documentation, confer with the Director of SHS (or his or her designee) or SCS (or his/her designee) and, if feasible and appropriate, will meet with the student. The student may be asked to sign a medical records release and to authorize direct communication between the Dean of Students (or his/her designee) and the SHS (or his or her designee) or 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).

After review of all germane information, the Dean of Students will use reasoned judgment to decide whether the leave of absence determination should remain in place, with or without modifications. The Dean of Students (or his or her designee) will communicate a final decision in writing as soon as practicable. The decision is final and unreviewable within the University.

## **Return from Leave of Absence**

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).<sup>[\*\*]</sup> In making this determination, usually the Dean of Students will request that the student authorize his or her treating professionals to contact the Director of SHS or 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 SHS, 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 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.

## **APPLICATION OF OTHER POLICIES**

A leave of absence does not preclude the application of the University disciplinary systems and a student will not be permitted to return from a leave of absence until any pending disciplinary case is resolved. In addition, this policy does not preclude or take the place of disciplinary or administrative actions that are as result of violations of or non-compliance with other University policies, e.g., registration status blocked for failure to submit proof of immunizations or registration status withdrawn for failure to timely pay tuition.

## **Presence on Campus and Involvement in Student Activities**

Unless otherwise authorized in writing by the Dean of Students, a student who has been placed on a leave of absence must promptly vacate University housing, leave campus, cannot participate in student activities or use any University facilities, and may not return until the student has been authorized to return from the leave and reenroll. The only exception is that the student may access the University of Chicago Medical Center for the student's own health care treatment. A student on a leave of absence 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. For details on charges, funding, and issues relating to housing or health insurance, the student should consult with their area Dean of Students.

*\*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 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 Center for Leadership and Involvement (CLI 834-0858), [leadership.uchicago.edu](http://leadership.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 CLI 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 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 Center for Leadership and Involvement. 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 Senior Director for Student Life 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 CLI 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 Center for Leadership and Involvement.

## Protests & 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 is conduct by any member of the University community that substantially obstructs, impairs, or interferes with: (i) teaching, study, research, or administration of the

University, including UCMC's clinical mission; (ii) the authorized and other permissible use of University facilities, including meetings of University students, faculty, staff, administrators and/or guests; or (iii) the rights and privileges of other members of the University community. Any member of the University who engages in disruptive conduct will be subject to disciplinary action. Disruptive conduct includes but is not limited to (1) obstruction, impairment, or interference with University sponsored or authorized activities or facilities in a manner that is likely to or does deprive others of the benefit or enjoyment of the activity or facility and (2) use or threatened use of force against any member of the University community or his or her family that substantially and directly bears upon the member's functions within the University."

## **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 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 are encouraged to make advance arrangements with the staff of the Center for Leadership and Involvement (CLI) and/or their appropriate Recognized Student Organization (RSO) Advisor. Advance notification enables the University to help ensure that the event takes place in a constructive and peaceable manner.

When possible, a request to hold a protest or demonstration should be submitted at least 48 hours before the start of the event to ensure its successful execution. With the appropriate advance notice, RSO Advisors together with the Dean-on-Call will engage with student protestors and demonstrators during the event to help assure that the event is effective, to ensure participants' safety, and to assist organizers in seeing that the demonstration does not disrupt the normal functioning of the University. For events occurring on city sidewalks and streets adjacent to the University, students should make appropriate arrangements to acquire city permits and should adhere to city ordinances and applicable state and federal law.

Please see the [Report of the Ad Hoc Committee on Protest and Dissent](#) for additional information regarding the principles that govern protests and demonstrations on campus.

## **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-protest**

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 Center for Leadership and Involvement (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 Center for Leadership and Involvement 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 Center for Leadership and Involvement (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.

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 Center for Leadership and Involvement (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 list host ([orcsacalendar@listhost.uchicago.edu](mailto:orcsacalendar@listhost.uchicago.edu)). Online calendar postings must follow University publicity policy.

## **Table Tents in Dining Halls**

College Housing must approve table tents for the two residential dining commons (Bartlett and South Campus) and the Center for Leadership and Involvement (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**

Student hosts are responsible for the behavior of their guests, who in turn are expected to conform to the standards of conduct applicable to University students. Speakers who come to campus at the invitation of a student organization are welcome to bring guests to their event. However, in those instances where an event is open only to members of the University community, speakers are limited to a total of ten non-University guests unless special permission for additional guests is granted by the group's advisor and the manager of the speaking venue. In all instances, speakers who wish to bring guests to events open only to members of the University community must provide a list of guests to the advisor and the venue manager at least 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 Units**

Because access to and/or use of support services is a privilege not an entitlement, any student who violates the rules and/or regulations of an administrative or operational unit (e.g., the University House System, the Library, Career Advancement, IT Services), is subject to sanctions up to and including revocation of access and withdrawal of services.

## **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 of 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 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 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](#).

*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](#).

*University-wide Disciplinary System* is a procedure for student offenses that involve unlawful discrimination or sexual misconduct (including sexual harassment, sexual assault, domestic violence, dating violence, and stalking). The University-wide Disciplinary System is 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](#).

## **Area Admission Review System**

### **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 or chair of the admissions committee (or his or her designee), 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 or chair of the admission committee of the academic area of the accused student (or his or her designee [\*]). The complainant must maintain the strict confidentiality of the allegation of misconduct. The area senior admissions officer or admission committee chair will notify the admitted student of the alleged infraction, request a prompt written response to the allegation, and otherwise gather and review germane information. Based on the inquiry and in consultation with the Dean of Students in the University (or his or her designee), the senior admissions officer or admissions committee chair has the discretion and authority to dismiss the complaint, resolve the complaint informally, 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.

## 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.

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. Conduct involving violation of the Policy on Unlawful Discrimination and Sexual Misconduct should be brought promptly to the attention of the Associate Dean of Students in the University for Disciplinary Affairs in Campus and Student Life.

Reports from the 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

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policies, violation of the alcohol and other drug policy, physical or verbal abuse that threatens or endangers the health or safety of others, 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, the Dean of Students has the discretion and authority to dismiss the complaint, to resolve the complaint informally with the parties, or to refer the complaint to the Academic Dean with a recommendation to convene an Area Disciplinary Committee.

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

If the Academic Dean decides that an Area Disciplinary Committee is to be convened, the Dean of Students of the academic area of the accused student will ask the complainant to submit in writing the allegation as well as any available documentation supporting the allegation. The Dean of Students will inform the accused student of the allegation, give the accused student a copy of the academic unit's disciplinary procedures and ask the accused student to prepare a written response to the accusation. If there were witnesses to the alleged misconduct, the Dean of Students 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 Unlawful Discrimination or Sexual Misconduct)**

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.

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 section below, 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 Misconduct by a Group (Not Unlawful Discrimination or Sexual Misconduct)**

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, 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.

### **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.

## **Sanctions 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 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<sup>[\*\*\*]</sup> 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, 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.

## University-Wide Disciplinary System

A complaint that a student engaged in a violation of the [University's Policy on Harassment, Discrimination, and Sexual Misconduct](#) should be brought promptly to the attention of the Associate Dean of Students in the University for Disciplinary Affairs or the Associate Provost & Director of the Office for Equal Opportunity Programs.

The University is committed to providing a prompt and thorough investigation of all complaints alleging a violation of the University's Policy on Harassment, Discrimination, and Sexual Misconduct, notwithstanding any external investigative and legal processes. The University's investigation thus may occur alongside, rather than in lieu of, an independent law enforcement investigation or civil action.

Interim protective measures and accommodations may be available to any complainant pending the resolution of a complaint, after a complaint is resolved, and/or if a student chooses not to move forward with a formal disciplinary process. These measures can include (but are not limited to) issuing a no-contact directive, housing accommodations, and academic accommodations. For additional information regarding interim protective measures and accommodations, see the Policy on Harassment, Discrimination, and Sexual Misconduct, or contact the Deputy Title IX Coordinator for Students or the Title IX Coordinator for the University.

Generally, the person bringing the allegation of misconduct first will discuss the allegation with the Associate Dean of Students in the University for Disciplinary Affairs (or designee). The Associate Dean of Students in the University will conduct an expeditious inquiry into the facts, which may include but is not limited to interviews with pertinent other people. If warranted by the preliminary information brought forward, the Associate Dean of Students in the University will arrange for a meeting with the respondent as soon as possible. In the meeting, the Associate Dean of Students in the University will inform the respondent of the alleged misconduct and will discuss the allegation. Regardless of their level of involvement in the inquiry, both the complainant and the respondent will be given the opportunity to provide evidence and to suggest witnesses on their respective behalves. Based on the inquiry and in consultation with a Faculty Chair of the University-wide Disciplinary Committee, the Associate Dean of Students in the University has the discretion and authority to dismiss the complaint, or, as explained below, to resolve the complaint informally with the parties, or to refer the complaint to a Faculty Chair of the University-wide Disciplinary Committee who can recommend formally convening a disciplinary committee to hear the incident.

Throughout the investigation and any subsequent disciplinary and review proceedings, the Associate Dean of Students in the University will provide the complainant and the respondent with periodic and timely updates.

## **Informal Resolution of Complaints**

### **Administrative Resolution**

At the request of the complaining party, the Associate Dean of Students in the University has the authority to resolve allegations of discrimination, unlawful harassment, or sexual misconduct informally. As outlined above, both the complainant and respondent will have the ability to present information and suggest witnesses related to an allegation of misconduct. After considering all the information available, the Associate Dean of Students in the University for Disciplinary Affairs will use the preponderance of evidence standard to conclude if the respondent is in violation of the University's Policy on Harassment, Discrimination, and Sexual Misconduct.

If the Associate Dean of Students in the University for Disciplinary Affairs concludes the respondent is in violation of the University's Policy on Harassment, Discrimination, and Sexual Misconduct, the Associate Dean of Students in the University will apply an appropriate sanction, including but not limited to, an official warning, disciplinary probation, and/or the suspension of specific student rights and privileges for a designated period of time (this may include administratively moving a residential student and/or removing a student from housing). The Associate Dean of Students in the University cannot issue a disciplinary sanction of suspension, expulsion, or revocation of a degree through the informal process. A copy of the written outcome and notice that the respondent has violated University policy or regulations will be placed in the student's educational record. In instances where the alleged behavior is included in the sexual misconduct portion of the University Policy on Harassment, Discrimination, and Sexual Misconduct, the complainant and respondent will receive written notification of the outcome.

If the Associate Dean of Students in the University later finds that the student has engaged in additional misconduct, the University-wide Disciplinary Committee may be informed of the earlier outcome and sanction. If the University-wide Disciplinary Committee is informed of the earlier outcome and sanction, the Committee must consider it in determining further sanctions.

Either the complainant or respondent may at any time ask that the matter be handled formally rather than informally. The Associate Dean of Students in the University may at any time discontinue the informal resolution process and refer the matter for formal resolution.

### **Mediation**

Mediation is an attempt to come to a mutually acceptable or agreed-upon resolution to a complaint. All involved parties must voluntarily agree to mediation in order for it to occur. Mediation is not appropriate, even on a voluntary basis, in matters involving allegations of sexual assault, dating violence, domestic violence, and stalking.

### **Remedies and Other Measures**

As mentioned above, a complainant is not required to pursue University discipline to be eligible for remedies related to an incident of sexual misconduct, dating violence, domestic violence, or stalking. The Title IX Coordinator for students can work with a complainant to explore these options which include, but are not limited to, no-contact directive, housing accommodations, and academic accommodations.

## **Formal Resolution of Complaints**

If a Faculty Chair of the University-wide Disciplinary Committee decides that a disciplinary committee is to be convened, the Associate Dean of Students in the University for Disciplinary Affairs will ask the complainant to submit in writing the allegation as well as any available documentation supporting the allegation. The Associate Dean of Students in the University will inform the respondent of the allegation, give the respondent a copy of the University-wide disciplinary procedures and ask the respondent to prepare a written response to the accusation. If there were witnesses to the alleged misconduct, the Associate Dean of Students in the University may ask pertinent witnesses to come before the University-wide Disciplinary Committee to answer questions and/or may ask witnesses to submit a written statement.

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 University-wide Disciplinary Committee is convened, the complaint will not be revised to include new or different allegations or supporting materials.

However, once a University-wide Disciplinary Committee is convened, the Associate Dean of Students in the University for Disciplinary Affairs may decline to investigate, or recommend that that University-wide 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 respondent makes a complaint against the complainant, the Associate Dean of Students in the University for Disciplinary Affairs may investigate the

respondent's complaint at or about the same time he or she investigates the complainant's complaint. In consultation with a Faculty Chair of the University-wide Disciplinary Committee, the Associate Dean of Students in the University may decline to recommend that a University-wide Disciplinary Committee hear either complaint or one of the complaints. The Faculty Chair of the University-wide Disciplinary Committee and Associate Dean of Students in the University also may recommend that both complaints be simultaneously heard by a single University-wide Disciplinary Committee or heard separately by the same or different University-wide Disciplinary Committee.

## **Composition and Training of the University-Wide Disciplinary Committee**

At the recommendation of the Faculty Chair of the University-wide Disciplinary Committee, a University-wide Disciplinary Committee will convene to conduct the disciplinary proceedings for allegation(s) against the respondent(s) of discrimination, unlawful harassment, or sexual misconduct. The University-wide Disciplinary Committee includes faculty and students drawn from academic divisions and schools at the University; and staff representing the academic divisions and schools and Campus and Student Life. A University-wide Disciplinary Committee consists generally of three faculty members, one student, one staff member, and the Associate Dean of Students in the University for Disciplinary Affairs (or designee). The Associate Dean of Students in the University (or designee) attends the Disciplinary Committee meeting in a non-voting, advisory capacity. Generally, faculty, students and staff serving on a University-wide Disciplinary Committee do not come from the academic unit(s) of either the complainant or the respondent. Two faculty members and a Faculty Chair of the University-wide Disciplinary Committee constitute a quorum.

The Associate Dean of Students in the University for Disciplinary Affairs will notify the complainant and the respondent of the members of the University-wide Disciplinary Committee as soon as practicable before the hearing. Either party may request a substitution if the participation of any individual on the Committee poses a conflict of interest. Such requests must be made to the Associate Dean of Students in the University within 48 hours of receiving notice of the members of the University-wide Disciplinary Committee. Requests must identify with specificity the alleged nature of the conflict of interest.

The University shall determine the identity of all individuals who will resolve complaints of alleged violations of the Policy on Harassment, Discrimination, and Sexual Misconduct. All individuals whose duties include resolution of complaints of student violations of the Policy on Harassment, Discrimination, and Sexual Misconduct shall receive a minimum of 8 hours of annual training on issues related to sexual violence, domestic violence, dating violence, and stalking and how to conduct the University's complaint resolution procedures, in addition to annual survivor-centered and trauma-informed response training. The University shall have a sufficient number of individuals trained to resolve complaints so that (1) a substitution can occur in the case of a conflict of interest or recusal; and (2) any request for review brought by a complainant or respondent will be determined by an individual or individuals with no prior involvement in the initial determination of whether a violation occurred.

## **Format and Order of Proceedings**

The general format and order of proceedings of a University-wide Disciplinary Committee follow those described in the preceding section, Area Disciplinary Systems.

To accommodate concerns for the well-being of the complainant and/or the respondent, the Associate Dean of Students in the University for Disciplinary Affairs may make appropriate arrangements enabling participation of the complainant and respondent without a face-to-face interaction. The complainant and the respondent may not directly “cross-examine” one another, but may, at the discretion and direction of the Faculty Chair of the University-wide Disciplinary Committee, suggest questions to be posed by the committee and respond to the other party.

During the hearing, if the University-wide Disciplinary Committee hears from other individuals, both the respondent and the complainant may be present. The University-wide Disciplinary Committee will apply a preponderance of evidence standard in making its determinations. Namely, the University-wide Disciplinary Committee will decide whether, in consideration of all of the information before it, it is more likely than not that the alleged misconduct occurred, or that the respondent breached standards of behavior expected of University students. Decisions are made by majority vote.

In connection with the hearing, the complainant and the respondent will receive the same materials, subject to compliance with FERPA, which may require redaction of certain identifying information. Both the complainant and the respondent may bring a person of their choice to the disciplinary hearing whose role is entirely limited to providing support, *i.e.*, not to function as an active participant in the hearing, provided that the involvement of the support person does not result in undue delay of the hearing. If the support person violates the limitations regarding their role or engages in behavior or advocacy that harasses, abuses, or intimidates either party, a witness, or an individual resolving the complaint, the support person will be required to leave the hearing. If the person providing support to the respondent and/or the complainant is a lawyer, a representative of the University's Office of Legal Counsel also will attend the hearing.

During the hearing, the University-wide Disciplinary Committee will generally allow the complainant or respondent to be present when the other party is heard. If the complainant or respondent requests it, the University shall arrange for the other party to hear the other speak to the University-wide Disciplinary Committee by an accepted virtual means, *e.g.*, telephone, video conferencing, etc. Similarly, 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.

If the respondent has been accused of misconduct before, the Associate Dean of Students in the University for Disciplinary Affairs may inform the University-wide Disciplinary Committee of the previous accusation, other pertinent information related to the previous allegation, and of any disciplinary action.

## **Notification of Outcome and Requests for Review**

The complainant and respondent will receive simultaneous formal and written notification of the outcome, including information regarding requesting review, within 7 days of the hearing. 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 University-wide Disciplinary Committee affects those offices, and then only the action itself is transmitted. Where appropriate, and as permitted by law, the Associate Dean of Students in the University for Disciplinary Affairs 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 Associate Dean of Students in the University for Disciplinary Affairs as part of the student's educational record. This record should include all materials furnished to the University-wide Disciplinary Committee, a copy of the confirmation letter sent to the respondent, a statement of the main findings that 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.

The complainant and the accused both may request a review of the outcome within 15 days of being informed, in writing, of the decision. For additional information about requesting a review of the outcome, please see: <https://studentmanual.uchicago.edu/review>.

## **Confidentiality**

For information regarding the confidentiality of investigations conducted pursuant to this policy and the proceedings (including the outcome), please see Section VII of the [University's Policy on Harassment, Discrimination, and Sexual Misconduct](#).

## **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 or University-wide Disciplinary Committee may combine different sanctions in a given decision. A Review Board may make use of all forms of sanctions.

### **Warning**

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

### **Disciplinary Probation**



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

### **Loss of Privileges**

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

### **Discretionary Sanctions**

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

### **Disciplinary Suspension**

The Area or University-wide 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 or University-wide 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 or University-wide Disciplinary Committee.

### **Disciplinary Expulsion**

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

## **Sanctions 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 or University-wide Disciplinary Committee may combine different sanctions in a given decision. A Review Board may make use of all forms of sanctions.

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 or University-wide 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 respondent's Dean of Students or the Associate Dean of Students in the University for Disciplinary Affairs later finds that the group has engaged in additional misconduct, the Area or University-wide Disciplinary Committee may be informed of the earlier warning and the circumstances related to the warning. If the Area or University-wide Disciplinary Committee is informed of the earlier warning, it must consider it in determining further sanctions.

### **Disciplinary Probation**

The Area or University-wide 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 or University-wide Disciplinary Committee may specifically stipulate. If, during the period of disciplinary probation, an Area or University-wide Disciplinary Committee finds that the group has engaged in additional misconduct, the Area or University-wide Disciplinary Committee will be informed of the group's probationary status and the circumstances related to the group's probationary status. The Area or University-wide Disciplinary Committee must consider the probation in determining further sanction.

### **Loss of Privileges**

The Area or University-wide 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 or University-wide Disciplinary Committee may assign the group specific academic work, community service for a specific number of hours, remedial education, 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 or University-wide 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 or University-wide 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 or University-wide Disciplinary Committee.

### **Disciplinary Withdrawal**

The Area or University-wide 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 matriculated at the University whether or not he or she is in residence and for anyone who has graduated, but only if the misconduct occurred after matriculation but before the degree was awarded. A sanction other than suspension or expulsion 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 Area Dean of Students or the Associate Dean of Students in the University for Disciplinary Affairs but an Area or University-wide Disciplinary Committee has not yet been convened by graduation time, the Dean of Students or the Faculty Chair of the University-wide Disciplinary Committee has the discretion and authority to decide whether the respondent may receive the degree and/or participate in convocation. When an Area or University-wide Disciplinary Committee has been convened by the graduation date but the proceedings have not concluded, the respondent's graduation shall be postponed until the conclusion of the disciplinary proceedings including the completion of any sanctions, regardless of the respondent's circumstances.

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 Area Dean of Students or the Associate Dean of Students in the University for Disciplinary Affairs. Employment by the University is not an exclusive right or privilege of students and the fact of suspension, expulsion, or other disciplinary sanctions may adversely affect status as an employee.

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.

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

## **Review Process**

### **Standard of Review**

The Review Board uses a preponderance of the evidence standard when deciding requests for review.

### **Allegation of Misconduct by an Individual or Group (Not Unlawful Harassment or Sexual Misconduct)**

If a disciplined student wishes to request a review of the decision, the student must make that request in writing to the Dean of Students in the University (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 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 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 Disciplinary Committee bears significantly in the student's favor.

### **Area Disciplinary System Review Board**

A Review Board will be promptly constituted once a request for review is received by the Dean of Students in the University. The Review Board consists of the Dean of Students in the University (or his/her designee); one member of the faculty of the student's academic area, who serves as chair; and one student member of the student's academic area. The faculty and student members are both appointed by the Dean of Students in the University (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 the Dean of Students in the University 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 the Review Board 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.

The Dean of Students in the University (or his/her designee) will promptly communicate the Review Board's decision to the requesting student.

### **Allegation of Unlawful Harassment or Sexual Misconduct by an Individual or Group**

In the event that the Faculty Chair of the University-wide Disciplinary Committee decides that an allegation of unlawful harassment or sexual misconduct will not be referred to a University-wide Disciplinary Committee for adjudication, the complainant may request a review of the Faculty Chair's decision. The student must make that request in writing to the Dean of Students in the University (or his/her designee) no more than fifteen days following the date on which the Faculty Chair's decision was transmitted to the complainant. The only legitimate grounds for review are: (1) that the preceding investigation of the alleged misconduct was incomplete; and/or (2) that new and material information unavailable to the Associate Dean of Students in the University for Disciplinary Affairs and the Faculty Chair of the University-wide Disciplinary Committee bears significantly in the complainant's favor.

When a University-wide Disciplinary Committee has made a determination regarding allegations of unlawful harassment or sexual misconduct the respondent 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; (2) that new and material information unavailable to the University-wide Disciplinary Committee would substantially change the outcome of the proceeding; and (3) the sanction is disproportionate to the violation.

### **University-Wide Disciplinary System Review Board**

Where allegations of unlawful harassment or sexual misconduct have been investigated, either party may request a review of the decision regarding those allegations. The Dean of Students in the University (or his/her designee) will evaluate the request for review to determine whether one or more of the enumerated criteria are met. If one or more of the enumerated criteria are met, a Review Board will be promptly constituted.

The Review Board consists of the Dean of Students in the University (or his/her designee); one faculty member of the University-wide Disciplinary Committee, who serves as chair; and one student member of the University-wide Disciplinary Committee. The faculty and student members are both appointed by the Dean of Students in the University (or his/her designee) and none shall be a member of any preceding Review Board that was involved in referring the case to a hearing or of the University-wide 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, and none shall have a conflict of interest with either party. 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 the Associate Dean of Students in the University for Disciplinary Affairs. 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 that the sanction is disproportionate to the violation. Additionally, if the Board is satisfied in its reasoned judgment that the new and material information not available to the University-wide Disciplinary Committee more likely than not would have resulted in a different decision, it may require the University-wide Disciplinary Committee to reconvene and consider the new information in the proceedings.

The complainant and the respondent shall be notified in writing of the outcome of the request for review within 7 days after the conclusion of the review. The review constitutes the final process for disciplinary proceedings, and the outcome is final and not reviewable within the University.