



THE UNIVERSITY OF  
**CHICAGO**

# Student Manual

University Policies and Regulations



2017–2018

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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 in an environment where the free and open expression of ideas and critical questions are paramount. 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.***

# University Policies

## Civil Behavior in a University Setting

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

The ideas of different members of the University community will frequently conflict, and we do not attempt to shield people from ideas that they may find unwelcome, disagreeable, or even offensive. Nor, as a general rule, does the University intervene to enforce social standards of civility. There are, however, some circumstances in which behavior so violates our community's standards that formal University intervention may be appropriate. 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 \(http://freeexpression.uchicago.edu/page/report-committee-freedom-expression\)](http://freeexpression.uchicago.edu/page/report-committee-freedom-expression).

## Non-Discrimination Statement

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 University 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 as required by law (including Title IX of the Education Amendments of 1972). For additional information regarding the University of Chicago's Policy on Harassment, Discrimination, and Sexual Misconduct, please see: <http://harassmentpolicy.uchicago.edu/page/policy>.

The University official responsible for coordinating compliance with this Notice of Nondiscrimination is Bridget Collier, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Collier also serves as the University's Title IX Coordinator, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Collier by emailing [bcollier@uchicago.edu](mailto:bcollier@uchicago.edu), by calling 773-702-5671, or by writing to Bridget Collier, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Suite 510, Chicago, IL 60637.

# 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.
- 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 Bridget Collier, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Collier also serves as the University's Title IX Coordinator for the University, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Collier by emailing [bcollier@uchicago.edu](mailto:bcollier@uchicago.edu), by calling **773- 702-5671**, or by writing to Bridget Collier, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall 430, Chicago, IL 60637.

You may contact the Associate Provost and Director of the Office for Equal Opportunity Programs or their designee to report any complaints of discrimination, unlawful harassment, and sexual misconduct. The Associate Provost and Director of the Office for Equal Opportunity Programs or their designee 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.

#### ***Assistant Director, Office for Equal Opportunity Programs***

Elizabeth Honig, who serves as the Assistant Director for the Office for Equal Opportunity Programs and as a designee for the Associate Provost and Director for Equal Opportunity Programs, is also available to assist the community on all matters related to this Policy, Title IX, Affirmative Action, and Section 504/ADA. You may contact Ms. Honig by emailing [ehonig@uchicago.edu](mailto:ehonig@uchicago.edu), by calling **773-702-4913**, or by writing to Elizabeth Honig, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall, Chicago, IL, 60637.



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

Please contact Shea Wolfe, the Deputy Title IX Coordinator for Students & Associate Dean of Students in the University, at [swolfe1@uchicago.edu](mailto:swolfe1@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](#).
- 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)

### ***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.

[elrelations@uchicago.edu](mailto:elrelations@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.
- Ordained Religious Advisors by calling 773-702-2100 or emailing [spirit@uchicago.edu](mailto:spirit@uchicago.edu)

**Employees** may confidentially report a violation of this Policy to:

### **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/>.

Confidential resources such as the Sexual Assault Dean-on-Call, Confidential Advisor, Student Counseling Service, Ordained Religious Advisors, and Employee Assistant Program Counselors 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.

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 or their designee has the authority to resolve allegations of discrimination, unlawful harassment, or sexual misconduct informally. The Associate Provost or designee 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 or designee 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 or designee 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 or designee 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 or designee 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 or designee 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 or designee 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 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 or their designee 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 or designee. 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 or their designee. 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 Bridget Collier, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Collier also serves as the University's Title IX Coordinator for the University, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Collier by emailing [bcollier@uchicago.edu](mailto:bcollier@uchicago.edu), by calling **773- 702-5671**, or by writing to Bridget Collier, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall 430, Chicago, IL 60637.

You may contact the Associate Provost and Director of the Office for Equal Opportunity Programs or their designee to report any complaints of discrimination, unlawful harassment, and sexual misconduct. The Associate Provost and Director of the Office for Equal Opportunity Programs or their designee 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.

### ***Assistant Director, Office for Equal Opportunity Programs***

Elizabeth Honig, who serves as the Assistant Director for the Office for Equal Opportunity Programs and as a designee for the Associate Provost and Director for Equal Opportunity Programs, is also available to assist the community on all matters related to this Policy, Title IX, Affirmative Action, and Section 504/ADA. You may contact Ms. Honig by emailing [ehonig@uchicago.edu](mailto:ehonig@uchicago.edu), by calling 773-702-4913, or by writing to Elizabeth Honig, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall, Chicago, IL, 60637.

### ***Medical Facilities***

#### **Hyde Park**

***University of Chicago Medicine Adult Emergency Department: Medical and Counseling Services:  
773-702-6250, 5656 South Maryland Avenue, Chicago (24-hours)***

The **Emergency Department** 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**

29th 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

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.

***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, [bcollier@uchicago.edu](mailto:bcollier@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 Bridget Collier, 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

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

Please contact Shea Wolfe, the *Deputy Title IX Coordinator for Students & Associate Dean of Students in the University*, at [swolfe1@uchicago.edu](mailto:swolfe1@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](#).
- 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 Emergency Department, 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 Bridget Collier, Associate Provost and Director of the Office for Equal Opportunity Programs. Ms. Collier also serves as the University's Title IX Coordinator for the University, Affirmative Action Officer, and Section 504/ADA Coordinator. You may contact Ms. Collier by emailing [bcollier@uchicago.edu](mailto:bcollier@uchicago.edu), by calling 773-702-5671, or by writing to Bridget Collier, 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.

***Assistant Director, Office for Equal Opportunity Programs***

Elizabeth Honig, who serves as the Assistant Director for the Office for Equal Opportunity Programs and as a designee for the Associate Provost and Director for Equal Opportunity Programs, is also available to assist the community on all matters related to this Policy, Title IX, Affirmative Action, and Section 504/ADA. You may contact Ms. Honig by emailing [ehonig@uchicago.edu](mailto:ehonig@uchicago.edu), by calling 773-702-4913, or by writing to Elizabeth Honig, Office of the Provost, The University of Chicago, 5801 S. Ellis Ave., Levi Hall, Chicago, IL, 60637.

**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 or their designee 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.ywcachicago.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

<https://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)

<https://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: September 25, 2017

## Policy on Religious Accommodation for Missed Classes, Assignments, and Exams

The University of Chicago is home to students of all the world's major religions and, though firmly a secular institution, values the rich diversity of spiritual expression and practice found on campus. It is therefore the policy of the University that students who miss class, assignments, or exams to observe a religious holiday must be accommodated as follows: (i) absences may not be counted as a missed class in any course in which attendance is a measure of academic performance; (ii) reasonable extensions of time must be given, without academic penalty, for missed assignments; and (iii) exams must be reasonably rescheduled without academic penalty. Where a religious holiday occurs during the first week of the quarter, students who miss the first meeting of a class due to religious observance may not be dropped from the course roster, provided that they have given advance notice to the instructor of record of the need to miss the class due to a religious holiday.

Students must inform their instructors **in writing** of their need to observe a religious holiday reasonably well in advance of the absence, preferably at the beginning of the quarter. It is incumbent on the student who misses a class to catch up on any material discussed and assignments given during that class period. As a guide to students and to instructors in planning their courses and assignments, a list of religious holidays where observance may compete with the demands of the academic calendar can be found [here](#). This list is not a designation of religious holidays recognized by the University; it is simply an aid for planning purposes.

Any instructor with concerns regarding either a given holiday or the academic implications of a particular student's religious observance of holidays may seek guidance from the chair of their department; dean of their school; the Vice Provost for Academic Leadership, Advancement, and Diversity; or the Dean of Rockefeller Chapel. Additional resources include the area Dean of Students and the director of Spiritual Life.

## Hazing Policy

The University of Chicago prohibits hazing which is also illegal in the state of Illinois. A person commits hazing when they knowingly require 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 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 area Dean of Students, the Office of the 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 [Concerning Behavior Reporting Form](#).

## **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 their 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 the [Concerning Behavior Reporting Form](#) 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. Threat assessment consists of a process to identify and respond to students, employees (faculty, staff, other academic appointees, and postdoctoral researchers), and others who may pose a danger to themselves or others on campus, and to distinguish them from (1) those who may simply be struggling and in need of assistance and resources from other parts of the University or beyond, and from (2) those whose behavior may be unusual but not threatening or distressed. The mission of the multi-disciplinary 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;
- 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, you should not hesitate to 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 complete the [Concerning Behavior Reporting Form](#). Current membership of the Behavioral Intervention Team is available from the Office of the Dean of Students for the University.

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 the [Concerning Behavior Reporting Form](#) 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, consult with others as needed, and when appropriate, develop and implement a plan to help and support the individual and the safety of the University community.

## **Disability Accommodations**

### **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<sup>1</sup>**

A student who wishes to request an academic modification or adjustment should contact the Director or Associate Director of Student Disability Services (SDS) 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:

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<sup>1</sup> 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.



- 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.<sup>2</sup> If both on campus captioning

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<sup>2</sup> 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.*

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) the student 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; or (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 their 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 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 & Director, [Office for Equal Opportunity Programs](http://provost.uchicago.edu/issues/equal-opportunitytitle-ix) (<http://provost.uchicago.edu/issues/equal-opportunitytitle-ix>) 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. The Associate Provost 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).

## Graduate Student Parent Policy

We recognize that the decision to begin a family often coincides with the years during which students 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 \(https://grad.uchicago.edu/life-at-uchicago/family-resources/\)](https://grad.uchicago.edu/life-at-uchicago/family-resources/), which hosts a drop-in play space and a wide variety of classes, publishes the [UChicago Student Parent Resource Guide \(https://grad.uchicago.edu/life-at-uchicago/family-resources/\)](https://grad.uchicago.edu/life-at-uchicago/family-resources/), advises student parent organizations, and maintains a list of spaces convenient for nursing mothers. The University of Chicago also offers need-based, annual [child care stipends](#) to eligible PhD student applicants. 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 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, in which a normally full-time student maintains their full-time status, students will continue to enjoy the University benefits associated with full-time student

status, including access to University housing and Student Health and Counseling Services, 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.

For students who matriculated prior to summer 2016, 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 (or ten years for students in the School of Social Service Administration). For students who matriculated prior to summer 2016, 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 area 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 student's pregnancy or while a student 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.

## **Leaves of Absence for Parental Relief**

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

Students who take a Parental Relief Leave of Absence may choose to continue to enjoy the University benefits associated with full-time student status, including access to University housing and Student Health Service, and if they would otherwise be eligible for them, stipends and health insurance coverage. 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, for students who matriculated prior to summer 2016, 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 (or ten years for students in the School of Social Service Administration). The leave of absence does, however, stop the clock on departmental, program, and University academic milestones and requirements for master's, professional, and doctoral students; the clock resumes when the student returns to full-time status. Stipend and health insurance received during a leave of absence count toward the total fellowship award for a student and do not extend the total number of quarters of support beyond a student's original fellowship agreement.

## **Milestone Extensions**

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

As with academic modification and leave of absence, for students who matriculated prior to summer 2016, 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 (or ten years for students in the School of Social Service Administration).

## Dependent Privileges

Privileges may be extended to a student's spouse/same-gender domestic partner and/or dependent child(ren) for the following:

- Access to the University Student Health Insurance Plan (U-SHIP)
- Access to fitness/recreation (via Ratner Athletic Center/Henry Crown memberships)
- Access to campus libraries (spouses/same-gender domestic partners only)
- Receive a University ID card (spouses/same-gender domestic partners only)

If a student wishes to enroll their spouse/same-gender domestic partner and/or child(ren) in U-SHIP, the student will need to complete the online U-SHIP enrollment process each academic year for each individual needing insurance coverage by the appropriate deadlines. Students will be informed by the insurance carrier of any documentation needed to verify dependent status.

In order to obtain access to recreational facilities, libraries, and/or ID cards, the student will need to present appropriate documentation (e.g., marriage license, proof of civil union, or approved Statement of Domestic Partnership for partnerships registered prior to July 1, 2017) at the appropriate office below:

- Athletics and Recreation - Ratner Athletic Center, 5530 South Ellis Ave., Front Desk
- Library and ID card - Regenstein Library, ID Privileges Office, 1100 East 57th St., 1st floor (student must accompany spouse/same-gender domestic partner and the student's library account must be in good standing)

A student must be married or be in a civil union in order to receive privileges for their spouse or partner. Following the landmark 2015 U.S. Supreme Court ruling legalizing same sex marriage, the University revised its same-gender domestic partner privileges policy to reflect the change in law. As such, privileges will be extended to a student's same-gender domestic partner only if the domestic partnership was registered with the University (via Human Resources or Campus and Student Life) prior to July 1, 2017.

## Student Employment

Students in a full-time registration status are expected to focus their attention and efforts principally on their academic work and may undertake employment, other than teaching and research related to their field of study, only secondary to their student status. The University will not employ full-time students for more than 20 hours per week during quarters of full-time registration without the express permission of an area dean of students. Students may request authorization from their area dean of students to work more than 20 hours per week, and exceptions are governed by the policies of individual divisions and schools. Teaching and research are critical to the University's academic enterprise and will therefore be prioritized in considering exceptions. Graduate students in a part-time registration status may be employed by the University without the limitation on the hours worked that are imposed on full-time registered students.

International students in J-1 or F-1 status should contact the Office of International Affairs with any questions regarding their employment eligibility and to discuss necessary arrangements if they seek to be employed for more than 20 hours per week with approval from an area dean of students. For more information please see: <https://internationalaffairs.uchicago.edu/page/employment-resources->

[international-students.](#)

While employed by the University, the student is covered by the University's human resources (HR) policies and procedures and may be disciplined or terminated from employment for policy noncompliance or inadequate performance. Students bear the responsibility of reviewing the Employee Handbook and becoming acquainted with the University's HR policies, all of which are available on-line at HR's webpage.

While employed at the University, the student may see personal or confidential information, including HR records, student records, donor and alumni information and, if employed at the Medical Center, patient records. Confidential information a student learns at work must remain confidential. Unauthorized disclosure of confidential information may result in discipline, including termination and student disciplinary charges.

Before accepting a position, a student should 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 the immediate supervisor. A student who decides to leave a job is expected to give the supervisor at least two weeks' notice.

Questions regarding student employment policies should be addressed to the student's supervisor or area Dean of Students.

## **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 their 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's [Annual Security and Fire Safety Report \(http://safety-security.uchicago.edu/clery\\_act\\_reporting/annual\\_security\\_report/\)](http://safety-security.uchicago.edu/clery_act_reporting/annual_security_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 harmful 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, the employee is expected to discuss it with their 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 Center for Leadership and Involvement or the appropriate area Dean of Students. To obtain a copy of the guidelines and request form, contact the Center for Leadership and Involvement (RC 001, 773-702-8787) 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 Center for Leadership and Involvement 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—for example, College Housing (<http://housing.uchicago.edu/>), Athletics, (<http://athletics.uchicago.edu/>), or the Center for Leadership and Involvement (<https://leadership.uchicago.edu/>). 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 [Annual Security and Fire Safety Report \(http://safety-security.uchicago.edu/clery\\_act\\_reporting/annual\\_security\\_report\)](http://safety-security.uchicago.edu/clery_act_reporting/annual_security_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 College Housing; 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., College 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 their 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, 773-702-9800), the Student Health Service (Suite R-100, 860 E. 59th St., 773-702-4156), their area Dean of Students, or the Office of Campus and Student Life (Edward Levi Hall, Suite 203, 773-702-7770). 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 \(http://wellness.uchicago.edu/\)](http://wellness.uchicago.edu/) 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 Campus and Student Life\_ [\(http://csl.uchicago.edu/\)](http://csl.uchicago.edu/) or their area Dean of Students.

## **Networking & Information Technology Policies**

### **Overview**

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

### **Acceptable Use**

The University of Chicago provides information technology for educational, research, and administrative applications by its students, faculty, and staff. Using the values of open discourse and institutional restraint as guideposts, the University's Acceptable Use Policy articulates and promotes the ethical, legal, and secure use of information technology by all members of the University of Chicago community and confirms the University's responsibilities in connection with accessing such information.

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/](http://itservices.uchicago.edu/policies/).

### **DMCA Violations**

Digital Millennium Copyright Act (DMCA) violations are a special case of Acceptable Use Policy

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>.

Under the DMCA, 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 Network Access Instruction on the College Housing site

([http://housing.uchicago.edu/services\\_policies/housing\\_technology/network\\_access\\_instructions/](http://housing.uchicago.edu/services_policies/housing_technology/network_access_instructions/)) 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 UChicagoTech (<http://polsky.uchicago.edu/>). 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 & Appropriate Use of Facilities**

### **Building Occupancy Limits & Access**

To maintain a physically 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 Lethal 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 those used as common eating utensils and personal use knives with folding blades four inches or less.<sup>3</sup>

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.

### **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 their regular job responsibilities and advance written approval has been obtained from the University's Chief of Police (or 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.

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<sup>3</sup> 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.

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 they are driving or in which they are 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 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 their 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 appropriate university 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 [Concerning Behavior Reporting Form](#).

#### **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 Facilities Services for 10 days, during which time a bicycle can be reclaimed by calling 773-702-8181. 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, 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.

For the University's full Policy on the Safety of Children in University Programs, go here:

<http://rmia.uchicago.edu/sites/rmia.uchicago.edu/files/uploads/Policy%20on%20the%20Safety%20of%20Children%20in%20University%20Programs%20Nov%2017.pdf>.

## **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 Student Manual: University Policies and Regulations 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 the 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 Eligibility

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.

### Degree Application

Students who expect to receive a degree at the end of a quarter must file a degree application. 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.

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 will be charged for each degree application that is cancelled after

the end of the fifth week of the quarter in which it is filed.

## **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 the Thanksgiving holidays, this deadline shall be the day before Thanksgiving.

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

PhD students interested in pursuing a UChicago master's degree in a field other than their PhD program must discuss the process and requirements with their Dean of Students and the Dean of Students of the desired master's degree program if different. Understanding that there is no presumption that the master's degree in a different field will automatically be allowed, students should discuss options with their Dean of Students as early as possible upon considering the possibility.

Most professional master's degree programs (e.g., Booth MBA programs, and the Physical Science Division MSFM (Financial Math) and MPCS (Computer Science)) will not allow PhD students to pursue a master's degree as part of a PhD program outside of official joint programs.

### **UChicago Master's Degree as Part Of PhD program**

Depending on doctoral program, students may earn a master's degree as part of their PhD program, and although the master's degree would generally be in the same field of study, it need not necessarily be in the same degree program as the doctorate. With appropriate approvals, PhD students may earn a UChicago master's degree in a closely allied PhD program in lieu of a master's degree in their own PhD program.

### **Second UChicago Master's Degree During PhD Program**

Students who have been awarded a UChicago master's degree in their own PhD field as part of their progress towards the PhD may consider applying for a second master's degree under a separate process, where the second master's degree forms a coherent whole with the student's doctoral program.

To protect the integrity of the University's degrees, the following conditions must be satisfied to award a second master's degree:

- The second master's program should form a coherent intellectual whole with the primary program.
- In the absence of a formal joint degree program approved by the Council of the Senate, there should be no overlap in the work used to satisfy the degree requirements (e.g., courses, papers, lab work).
- 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 the student's area Dean of Students. 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 (if in a



different division or school). There is no presupposition that such an application would be approved.

- After approval at the department and divisional level, the Office of the Provost must approve in writing the student's plan to obtain a second master's degree.

## 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 the same or a different field if they fulfill all the standard requirements for a University of Chicago master's degree while 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 inadvisable, 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 according to the [guidelines](https://www.lib.uchicago.edu/research/scholar/phd/students/embargo-procedures/) outlined by the Dissertation Office (<https://www.lib.uchicago.edu/research/scholar/phd/students/embargo-procedures/>). 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. Embargo renewals may be approved only in rare instances, and in general no more than one renewal will be allowed.

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

## Registration for Students in Ph.D. Programs

To record the progress of students toward the Ph.D., the University requires full-time continuous registration. Students complete Ph.D. program requirements as established by individual academic units, and program requirements vary by department or school, but the requirement for continuous registration applies across the University.

PhD students must be enrolled for at least 300 units, including the option of research or advanced study. The choice to enroll in specific courses is made in accordance with program requirements and students' scholarly needs, and PhD tuition associated with registration is a fixed sum that is not altered by enrollment in specific courses.

While registered, students may have access to student housing, library privileges, use of athletic facilities, eligibility for student health insurance and access to the services of the Student Health Service

(SHS) and Student Counseling Service (SCS). If otherwise eligible to participate in federal student loan programs, registered students have the ability to borrow under federal student loan programs and to defer repayment of past federal student loans.

Although some divisions and schools have shorter limits on registration (see below), for most of the University's doctoral programs, to receive a Ph.D., students who matriculated prior to summer 2016 may register for up to twelve years from the date of their matriculation, and students who matriculated in summer 2016 or beyond may register for up to nine years from the date of matriculation.

- Some divisions and schools have registration limits that are less than nine and twelve years:
  - Booth School of Business, see p. 6 of the [PhD Program Guidebook](#).
  - [Physical Sciences Division](#)
  - [School of Social Service Administration](#)
- Leaves of absence may extend a student's eligibility to register beyond the time limits for students who matriculated in summer 2016 or beyond (see *Leaves of Absence*).
- To meet the full-time continuous registration requirement, students are required to be registered annually for at least three academic quarters (normally autumn, winter, and spring), and some programs require registration during the summer quarter as well.
- Students may still be allowed to graduate after reaching their divisional or school registration limit with departmental and divisional permission (see *Time Limit Administrative Withdrawal*). Satisfactory academic progress toward the doctorate, as determined by the specific programs, is required for continued registration. Academic programs may set a time limit on degree completion.

Doctoral candidates who submit their approved dissertation by Friday of the first week of a quarter and apply to graduate in that quarter are not required to register as students in that quarter. If not registered, students would not be required to pay tuition or fees associated with registration and would therefore not have access to the privileges associated with student status. All students should consult with their area dean of students and, as applicable, advisors in the Office of International Affairs, before making the decision of whether to register in this case. Some divisions and schools may have earlier deadlines or other requirements, and students are required to follow divisional/school guidelines in those cases. Students with questions about continuous registration requirements, time limits on registration eligibility, dissertation deposit timelines, and the impact of leaves of absence on registration time limits should consult with their area dean of students.

Students with questions about continuous registration requirements, time limits on registration eligibility, dissertation deposit timelines, and the impact of leaves of absence on registration time limits should consult with their area dean of students.

## Pro Forma Status

Pro Forma status 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 dissertation research, archival research, or data collection for their dissertations;
- engage in formal programs of intensive language training instruction abroad, as needed for completing their doctoral programs; or
- in the laboratory sciences, follow their primary faculty advisor who has moved to another institution.

A student's choice to reside at a substantial distance from the University does not, in and of itself, qualify a student for Pro Forma status.

Applications for Pro Forma status must be recommended by the student's academic department and approved by the area Dean of Students. Normally applicants for Pro Forma status already will have been admitted to candidacy for the Ph.D. Pro Forma status can be approved for up to one academic year at a time. Applications for the renewal of Pro Forma status must be accompanied by a statement explaining why an extension is needed to carry out the objective as originally defined. In general, students may not be registered in Pro Forma status for more than a total of two academic years, except in the laboratory sciences, where there is no limit.

Because the student life fee is not assessed for students registered in Pro Forma status, they do not have access to on campus student health and counseling services for the period they are in Pro Forma.

Doctoral students in Pro Forma must be enrolled for at least 300 units of research or advanced study during every quarter they are in Pro Forma registration status.

## **Time Limit Administrative Withdrawal**

Students who matriculated prior to summer 2016 and who have not completed their Ph.D. after the elapse of twelve years (or ten years for students in the School of Social Service Administration) will not be allowed to register in their degree programs. Students who have been admitted to candidacy by the end of 12 years (or 10 for SSA) will, however, still be allowed to graduate past the twelfth year (or tenth for SSA) with their department and school or division's permission. Those students removed from their programs at the end of the twelfth year (or tenth for SSA) 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 are removed from their programs at the end of the twelfth year (or tenth for SSA), students at the beginning of the tenth year of their programs (or eighth for SSA) will be required to submit a degree completion plan, endorsed by their dissertation chair, to their departments and area Deans of Students.

Students who matriculated in summer 2016 or beyond and who have not completed their Ph.D. after the elapse of nine years will not be allowed to register in their degree programs. If they have been admitted to candidacy by the end of nine years, however, they will still be allowed to graduate past the ninth year as described above.

## **Leaves of Absence**

Ph.D. students may apply to their area Dean of Students for leaves of absence, subject to the conditions and procedures described below. Leaves of absence must be approved by an area Dean of Students.

For students who matriculated prior to summer quarter 2016, leaves of absence do not extend their eligibility to register beyond the total of twelve years from entry into the Ph.D. program (or ten years for students in the School of Social Service Administration). For students who matriculated in summer quarter 2016 or after, leaves of absence can extend their eligibility to register beyond the total of nine years from matriculation into a Ph.D. program.

Availability of student health insurance during a leave of absence will be governed by the student health insurance policies at the time the leave is taken. Other University privileges, facilities, and services are

not available to students on leaves of absence, unless otherwise indicated.

Types of leaves of absence available to students in Ph.D. programs:

**Personal Leave of Absence.** Students may apply for a personal leave of absence for any reason. A student may be approved by their dean of students for a leave of absence of up to four academic quarters.

**Medical Leave of Absence.** Students may apply for a medical leave of absence if temporarily unable to continue in their program due to illness or injury. A student may be approved for a medical leave of absence by their dean of students for up to four academic quarters.

**Parental Relief Leave of Absence.** A student who becomes a parent during their 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 area Dean of Students of the student's school or division. Students are still eligible for University privileges during a Parental Leave of Absence. (For more information, refer to the Graduate Student Parent Policy.)

**Military Leave of Absence.** Students may apply for a military leave of absence in order to fulfill service in armed forces. This includes students from countries outside the United States who leave for service in their country's armed forces.

**Curricular Degree Leave of Absence.** Students may apply for a leave of absence to pursue another degree program that is integral to their Ph.D. The appropriateness, relevance, and length of time of the additional degree should be evaluated by the student's primary program and requires written endorsement by the program. A student may be approved by their dean of students for a curricular degree leave of absence for up to three years.

## **Withdrawal from Ph.D. Program**

If a student decides not to complete the Ph.D., they must formally withdraw from the program in writing. To resume study after withdrawal requires reapplication to the program. Students who withdraw or are withdrawn from their programs and who subsequently are readmitted to their program must register retroactively for three of every four of the intervening quarters from the time of withdrawal until the time of resumption of study or for all quarters from the time of withdrawal until the time of resumption of study, depending on the program requirements.

The student must pay tuition at the rate that is current at the time of reentry for retroactively registered quarters and a reinstatement fee of \$150 per quarter for each of these quarters. Fellowship support is not guaranteed upon readmission.

## **Restricted Registration Administrative Withdrawal**

The University has a system of continuous registration that requires all graduate students to be registered in some official status from the time of entry into the program until the degree is awarded. Following upon that requirement, students 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**

## **Admissions**

### **[Area Admissions Review Systems](#)**

#### **Applicants to University Degree Programs with Felony Convictions**

##### **Policy and Procedures**

In cases when an applicant acknowledges having been found guilty or convicted of a felony, a Committee composed as follows will be convened to evaluate the facts and determine if the applicant may be considered for admission at the University of Chicago:

- Dean of the Division/School or his/her designee;
- Chair of the Departmental Admissions Committee, head of the School's Admissions operation, or his/her designee; and
- Dean of Students in the University.

At least one member of the Committee must be a faculty member. The Committee may consult as needed with the Office of the General Counsel.

At its discretion, the Committee may ask the applicant for additional information to assist in its evaluation process. Applicants with felony convictions will not be *per se* disqualified from admission. Rather, in each instance and using reasoned judgment, the Committee will assess all of the information available to it on a case-by-case basis taking into consideration a variety of factors including but not limited to: (i) the nature and gravity of the offense; (ii) the time that has passed since the conviction; (iii) the applicant's age at the time of conviction; (iv) the surrounding circumstances; (v) what the applicant has accomplished since the conviction; and (vi) the nature of the academic program to which the applicant has applied.

### **[Non-Discrimination Statement](#)**

## **Student Health Insurance Policy**

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 students registered in an insurance-required program 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 enroll in or waive the student insurance plan by the deadline will by default be enrolled in U-SHIP and remain enrolled in U-SHIP through the end of the plan year, and thus will be responsible for the annual premium, which is billed quarterly.

The information below pertains to University policy, based in part on requirements set forth by the insurance provider. However, the information below is not fully exhaustive of policies set forth by the insurance provider. Detailed information about the U-SHIP plan, including full policy details as set forth by the insurance provider, can be found at: <http://wellness.uchicago.edu/page/student-health-insurance>

## Eligibility

The University Student Health Insurance Plan (U-SHIP) generally is available to all registered students enrolled in programs that convene in the Hyde Park Campus and their eligible dependents. Students in certain designated programs may not be eligible 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 area Dean of Students Office or the Registrar. Students in certain programs may be eligible to opt-in to U-SHIP (see more information about the opt-in plan below).

## Eligible Dependents

Effective Autumn Quarter 2018, students are required to provide documentation to the University that establishes proof of a dependent relationship as defined in this policy. The types of acceptable documents and the instructions for submitting documentation will be provided at the time of enrollment in U-SHIP or can be found on the [student insurance website](#).

Students enrolled in U-SHIP can choose to cover eligible dependents, including:

- Same- or opposite-gender spouse or civil union partner
- Same-gender domestic partner (only for domestic partnerships registered with the University prior to 7/1/17).
- Children under the age of 26, including natural children, stepchildren, adopted children, or wards; any child named in a court order for whom you are legally responsible for providing coverage under the terms of a qualified medical child support order; and your eligible same-gender domestic partner's child who depends on you for support and lives with you in a regular parent-child relationship.
- Unmarried eligible children over age 26 if the child is incapable of self-sustaining employment due to a mental or physical disability that occurred before attaining age 26, is dependent on you or your eligible spouse, civil union partner, or same-gender domestic partner for primary support and maintenance and is covered continuously by the plan prior to and beyond age 26.

- Military veteran dependent children up to age 30 if the child has established residency in Illinois, served in the active or reserve components of the U.S. Armed Forces, and received a release of discharge other than a dishonorable discharge.

## Plan Periods and Premiums

The U-SHIP plan is an annual plan, dependent on quarterly student enrollment status. The plan year runs from September 1 – August 31. The period in which a student is enrolled in U-SHIP is determined by the first quarter a student is actively registered at the University, each academic year (for most students, this is Autumn Quarter), as follows:

- For students whose first quarter of registration is Autumn, the plan period runs from September 1 through August 31 of the following year.
- For students whose first quarter of registration is Winter, the plan period runs from January 1 – August 31.
- For students whose first quarter of registration is Spring, the plan period runs from the first day of Spring Quarter through August 31.
- For students whose first quarter of registration is Summer, the plan period runs from the first day of Summer Quarter through August 31.

Premiums are billed in three installments, generally on the Autumn, Winter, and Spring quarterly bills. Regardless of which quarter a student enters the University, the Spring Quarter premium provides coverage from the start of Spring Quarter through August 31. Students whose first quarter of enrollment is Summer Quarter will be billed for that period's premium on their Summer bill.

It should be noted that students in insurance-required programs are assessed a Student Life Fee each quarter which provides access to Student Health and Counseling Services (SHCS), from where students on U-SHIP must obtain referrals to seek care (per condition, not per visit) outside of SHCS. Without a referral, a \$50 non-referral fee will be reflected on the student's U-SHIP bill for each appointment provided outside of SHCS. Exception: If a student is residing more than 50 miles from the Hyde Park campus, a referral from SHCS is not required.

For more information on the referral requirement, please refer to the U-SHIP plan brochure at: <http://wellness.uchicago.edu/page/u-ship-information>

For more information on quarterly fees, including the Student Life fee as well as summer access to SHCS, visit: <http://studentmanual.uchicago.edu/fees>

## Enrollment/Waiver Deadline and Automatic Enrollment

The deadline to add dependents or waive U-SHIP is 5 p.m. Central time on Friday of the third week of the student's first quarter of registration each academic year (typically Autumn Quarter).

**Students who do not enroll in or waive U-SHIP coverage by the waiver deadline will be automatically enrolled in U-SHIP by default, will remain in U-SHIP for the remainder of the plan year, and will be responsible for the full cost of the insurance premium. This default enrollment is binding for the entire plan year.**

Students approved to register as a student after the insurance deadline must submit a manual insurance

enrollment/waiver application within 10 days of registration 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 <http://wellness.uchicago.edu/page/enroll-or-waive>.

## Waiver Requirements

A student who wishes to waive U-SHIP must provide proof of comparable coverage that meets University requirements and must show that the coverage is valid for the entire academic year (September 1 – August 31). Students who wish to waive U-SHIP must do so each academic year. Waivers are subject to audit by the University to ensure the plan meets comparable coverage requirements.

## Binding Coverage

The decision to enroll (including automatic enrollment by default) or waive U-SHIP coverage is binding for the remaining plan year, with the following exceptions:

- Students who graduate at the end of Autumn or Winter quarters will have their U-SHIP coverage terminated at the conclusion of the quarter in which they graduate. (See below for information on continuation coverage.)
- Students who are no longer actively registered in their program will have their U-SHIP coverage terminated at the conclusion of the last quarter in which they were actively enrolled in their program. (See below for information on continuation coverage.)

However, any student who made a claim on their U-SHIP plan during a particular quarter must remain in U-SHIP for the remainder of that quarter, regardless of when their ineligibility becomes effective. U-SHIP premiums are non-refundable if a student has made claims on the plan at any point during that quarter, nor are premiums pro-ratable.

## Mid-year Changes

In certain special cases it may be necessary to change health insurance coverage during the middle of the plan year (“mid-year change”). Specific circumstances that may qualify for a change in insurance enrollment in the middle of the plan year include:

- Loss of existing health insurance coverage (i.e., aging-off a parent’s plan; parent/spouse terminating a job)
- Addition or loss of health insurance coverage as a result of a change in employment
- Change in coverage as a result of marriage/divorce or change in domestic partnership status
- Need to add coverage due to the birth/adoption of a child
- Recent immigration of a dependent spouse/partner or children

Petitions to add or waive coverage must be made within 31 days of the qualifying life event noted above. If moving from U-SHIP to an alternate plan, that plan must meet the University’s comparable coverage requirements that are set for each academic year.



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.

Further information on mid-year changes can be found at: <http://wellness.uchicago.edu/page/mid-year-changes>.

## **Students on Medical Leaves of Absence**

Students participating in U-SHIP who take an approved leave of absence for medical reasons (MLOA) may continue coverage in U-SHIP for four (4) quarters maximum while on a MLOA. If the MLOA crosses academic years, insurance coverage may be provided that crosses two separate plan years at the premium rates in effect during those plan periods (i.e., MLOA extending from Spring Quarter through following Winter Quarter). If the MLOA crosses academic years, the program administrator should make sure the MLOA is recorded in AIS for the new year, and the student must take action to enroll in U-SHIP for the new plan year before the current coverage is terminated (August 31) so that there is no break in U-SHIP coverage while on the MLOA.

## **Withdrawals and Non-Medical Leaves of Absence**

Students who withdraw, take an approved leave of absence (LOA), or otherwise are not actively registered in their program of study 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, or those on a Medical Leave of Absence as described below).

If a student's registration status is changed to LOA at any point after 5 p.m. Central time on Friday of the third week of the quarter 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 in which the LOA was processed, with any assessment for premium remaining in effect.

Furthermore, any student who made a claim on their U-SHIP plan during a particular quarter must remain in U-SHIP for the remainder of that quarter, regardless of when the leave of absence or ineligibility becomes effective. U-SHIP premiums are non-refundable if a student has made claims on the plan at any point during that quarter, nor are premiums pro-ratable.

## **Continuation Coverage**

Upon termination of U-SHIP coverage, if a student was enrolled in U-SHIP for at least six (6) consecutive months prior to termination, that student is eligible to enroll in "continuation coverage" for up to three (3) months (form available here: <http://wellness.uchicago.edu/page/u-ship-information>). 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.

## **Opt-in Programs**

Due to the nature of the programs below, students in these programs do not go through the same U-SHIP enrollment/waiver process and will not by default be enrolled in U-SHIP. However, students in these programs may opt-in to U-SHIP by purchasing coverage directly through UnitedHealthcare:

- Booth School evening and part-time programs
- Social Service Administration evening and post-masters certificate programs
- Harris Public Policy part-time master's program
- Graham School of Continuing Studies (following programs only):
  - Master of Liberal Arts
  - Master of Science in Analytics (part-time program)
  - Master of Science in Threat and Response Management
  - Master of Science in Biomedical Informatics
  - Returning Scholars

Students in these programs are not assessed the Student Life Fee and thus are not eligible to visit the Student Health Service or Student Counseling Service for a referral. Students who opt-in to U-SHIP are not required to receive a referral from SHCS prior to visiting a provider, and are not charged the \$50 non-referral fee.

## Immunization Requirements

By State of Illinois law, generally all new students are required to present proof of immunity from

- Diphtheria
- Tetanus
- Pertussis
- Rubella (German measles)
- Measles
- Mumps
- Meningococcal disease for students under 22 years beginning in the fall of 2016.

The University notifies all new students of the immunization requirement and provides forms and instructions for compliance. Information and forms are also available here: <https://wellness.uchicago.edu/page/vaccinations-required-enrollment>. They may be returned by email to [sccimm@uchospitals.edu](mailto:sccimm@uchospitals.edu), by regular mail or in person (Student Health Service Immunization Program, 5841 S. Maryland Avenue MC 3052/R100, Chicago IL, 60637). 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, visit <http://www.ilga.gov/commission/jcar/admincode/077/077006940B01000R.html>.

## 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**

<b>Office Planning Restriction</b>	<b>Reason For Restriction</b>
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
Student Health Service	Failure to comply with state immunization requirements
Student Loan Administration	Default on loan repayments or no exit interview
Area Dean of Students	Disciplinary actions
Dean of Students in the University	Failure to complete mandatory sexual misconduct prevention training
University Registrar	Failure to confirm personal data

Restriction notifications are posted on the “My Alerts” portlet of the [my.uchicago.edu](http://my.uchicago.edu) 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 Two 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 in the College. 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 Educational 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 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 their legal first and/or middle name. A student may change their 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 the student is a graduate divisional student), and other offices across campus. 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 are governed by the University record retention policy

(<https://adminet.uchicago.edu/admincompt/finpolic/2708.shtml>).

For student records, the retention policy is as follows:

Type of Record	Retention Policy
Admissions applications	5 years from graduation or date of last attendance, 2 years if not enrolled
Academic records (transcripts are permanent)	5 years

Career advising	3 years
Discipline records	5 years from last incident, permanent if involves suspension or expulsion
Student affairs, extracurricular activities and athletics	6 years
Housing records	5 years after graduation or last attendance
Financial aid, student loan, and scholarship records	4 years after later of graduation or payoff
Disability accommodation records	7 years
Tuition and expense payment records	8 years

Specific questions should be directed to the student's area Dean of Students.

## 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 coordinate 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 to 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 (SHS) and/or the Student Counseling Service (SCS), 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 their physician or mental health professional about how to obtain their 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 their 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 the student 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, the student may write the University official responsible for the record or the area Dean of Students, clearly identifying the part of the record the student 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, the student 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 this 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 inspect and review their educational records, copies may be provided if circumstances effectively prevent the student from inspecting and reviewing their education records and other arrangements (e.g., electronic access) cannot be made. 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:  
<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 their 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 their 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 their 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 their 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 "appropriate persons," including parents, in the event of health and safety emergencies;
  - In response to a judicial order or subpoena; and

- 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 and have a signed release form submitted to their area Dean of Students.

## **Release of Information to Parents & Guardians**

FERPA requires the University 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 University may also notify parents if officials are aware of a health or safety concern that poses a significant danger to the student or to others. The College may also notify a parent or guardian in cases where there is a change in a student's status in the College.

In order to be notified of any other information parents must complete, and return to the office of the area Dean of Students, 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. In the College, 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 their area Dean of Students.

## **Student Enrollment Status**

Enrolled students are certified during each quarter of study as enrolled full-time, half-time, or less than half-time.

Note: 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 Catalog for further information.

### **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. The following classifications of students are considered full time:

- Students who are enrolled in 300 or more total units
- Master's students in the School of Social Service Administration and in the Urban Teacher Education Program who are enrolled in 200 units and non-credit practicums
- Ph.D. students in any quarter of enrollment
- Medical students who are enrolled in 100 units
- 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**

The following classifications of students are considered half time:

- Students who are enrolled in 200 to 299 total units, unless for other specified reasons they are considered full-time.
- Master's students in the School of Social Service Administration and in the Urban Teacher Education Program who are enrolled in less than 200 units and non-credit practicums

## Less Than Half-Time

The following classifications of students are considered less than half time:

- Students who are enrolled in 25-199 total units, unless for other specified reasons they are considered half-time or full-time
- Students enrolled in non-credit exams or coursework

## Students in Extended-College Status

The Office of the Dean of Students 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 Athletic facility 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 U-SHIP 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. Undergraduate non-degree visiting students are:

- Allowed in summer quarter only;
- Considered to be in full-time student status;
- Registered through the appropriate area Dean of Students or the Graham School of Continuing Liberal and Professional Studies;

- Charged a Non-Degree Visitor fee as well as other mandatory fees;
- Required to have health insurance;
- 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 Executive Vice Provost.

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

*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 of Continuing Liberal and Professional Studies and are:

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

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

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

Foreign students holding F-1 or J-1 status in the United States on the basis of an immigration document (Form I-20 or DS-2019) issued by the University of Chicago may not register part-time as defined by the University Registrar, nor may such students elect to reduce their registration status to part-time anytime during a quarter. Exceptions must conform to those outlined in federal regulations governing foreign students, and require approval in advance from the Office of International Affairs. For details on regulatory requirements and processes in place at the Office of International Affairs (OIA), students should consult OIA's website at <http://internationalaffairs.uchicago.edu> or contact their international student adviser at OIA.

## **Other Provisions**

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

## **Withdrawal from the University**

The University takes seriously the decision of any student to suspend studies and withdraw from their 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 and Counseling Services, 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 to resume their studies. The College is not obliged to approve a student's return. Students who are approved to resume their studies are expected to complete their program without further interruption (see the section on "Petitioning the Committee on the Resumption of Studies" in the College Catalogue at <http://college.uchicago.edu/advising/leave-absence-withdrawal>). 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 AND PROFESSIONAL SCHOOLS who decide to withdraw from their programs-of-study should meet with their area Dean of Students to review their plans.

International students should report their decision to withdraw to the Office of International Affairs.

Students who have taken educational loans must have an exit interview with the appropriate financial aid office.

## **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 Student Health and Counseling Services (SHCS). 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 SHCS. For a detailed description of the Student Life fee visit:

<http://bursar.uchicago.edu/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 SHCS through August 31. June graduates who are enrolled in U-SHIP, 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 SHCS through August 31. This election is made through the on-line enrollment site:

<https://uship.uchicago.edu/authenticate.php>

### **Waiving the Student Life Fee**

The Student Life Fee will be waived only for those students who live and study over 50 miles from campus and who will not be on campus during the academic year. Students need to petition their area Dean of Students to receive this waiver. There are no other grounds for waiving this mandatory fee.

## **Student Optional Disclosure of Private Mental Health Information**

The Illinois Student Optional Disclosure of Private Mental Health Act gives students the right to designate an adult as a contact person in the event that a Student Health Service or Student Counseling Service physician, clinical psychologist or qualified examiner determines that they pose a clear danger to themselves or others. Students are not required to designate a contact, but if they wish to do so, it can be anyone over the age of 18 years (parent, friend, sibling, etc.).

Upon enrollment in their academic program, all new University students will be notified of their rights under this state law and will receive instructions on how to obtain and submit the Disclosure form for designating an emergency contact. Forms are available at <https://csl.uchicago.edu/node/129833> and from the Campus and Student Life office (5711 South Woodlawn Avenue).

## **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 they were not treated appropriately during the interaction, that person must nonetheless comply with the request for identification and present their ChicagoCard. Subsequently, such an individual is encouraged to report their concern to their supervisor (if they are a University staff person or postdoc), the area Dean of Students (if they are a University student), or to the Associate Provost for Faculty and Student Affairs (if they are 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 area 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 their 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 area 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](#), [\[https://trustees.uchicago.edu/sites/trustees.uchicago.edu/files/uploads/UniversityOfChicagoGoverningDocuments.pdf\]](https://trustees.uchicago.edu/sites/trustees.uchicago.edu/files/uploads/UniversityOfChicagoGoverningDocuments.pdf) and [New Technology policy](#) [\[https://itservices.uchicago.edu/policies/new-information-technologies-and-intellectual-property-university\]](https://itservices.uchicago.edu/policies/new-information-technologies-and-intellectual-property-university)) 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 Center for Leadership and Involvement and other student groups (whether recognized or not) should seek permission from their area 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 their 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 their 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 area Dean of Students (or designee). In response, the Dean of Students (or designee) will make reasonable attempts to meet with the student to discuss their 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 SCS Director (or 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 area Dean of Students, and SHS or SCS Director (or their designees) and/or declines to authorize the release of germane medical records, then the area 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.

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. 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 the Dean 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 SCS Director (or 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.<sup>4</sup>

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 an university or may be beyond the standard of care that an university health service can be expected to provide or monitor, in which case continued enrollment may constitute

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<sup>4</sup> 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 SHS or SCS Director (or designee) and the student's provider to communicate directly regarding the circumstances and student medical information.

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 area 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 area Dean of Students (or 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 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 area 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 Dean of Students in the University (or designee). 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 in the University (or designee) and area Dean of Students (or designee) considers the student's request.

The Dean of Students in the University (or designee) and area Dean of Students (or designee) will review appropriate records and documentation, confer with the Director of SHS or SCS (or 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 in the University (or designee) and area Dean of Students (or designee) and the SHS or SCS Director (or 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 in the University (or designee) will use reasoned judgment to decide whether the leave of absence determination should remain in place, with or without modifications. The Dean of Students in the University (or designee) and area Dean of Students (or 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 their studies until the area 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>5</sup> In making this determination, usually the area Dean of Students will request that the student authorize their 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-

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<sup>5</sup> For information about requesting accommodation for a disability, see section on University Disability Accommodations.

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 area Dean of Students will ask the student to sign a release that authorizes the treating professional to notify the area Dean of Students (or designee) if the student does not adhere to the treatment plan.

## **Notification of Others**

The area Dean of Students (or 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 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.

There will be no distinction on a student's transcript between a voluntary and an involuntary leave of absence.

## **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 a 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 area 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 and issues relating to housing or insurance, the student should consult with their area Dean of Students.

## **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 773-834-0858), [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](http://leadership.uchicago.edu/alcohol-policy) (<http://leadership.uchicago.edu/alcohol-policy>). 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 the Center for Leadership and Involvement (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 10 p.m. and 8 a.m. Student organizations should make timely and appropriate arrangements with their Center of Leadership and Involvement 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 (CLI). 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 the Center of Leadership and Involvement (or 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 the Center of Leadership and Involvement (or 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 the Center of Leadership and Involvement (or 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 Center for Leadership and Involvement 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 (CLI).

## 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.*

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.”

## **Dean-on-Call**

The Dean-on-Call will often be called upon to be present at and monitor protests, demonstrations, and other events on or adjacent to University property. If called upon, 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 exchange and full participation in an event. In instances of disruptive behavior or violations of University policies, the Dean-on-Call will respond and provide direct instructions to stop disruption, if it is safe to do so. Failure to adhere to directives may result in referral to one or more University disciplinary systems.

## **Noise Level**

All Protests and demonstrations held outdoors are subject to the same guidelines outlined in the section [Outdoor Events on Campus \(https://studentmanual.uchicago.edu/outdoor#NoiseLevel\)](https://studentmanual.uchicago.edu/outdoor#NoiseLevel), 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 \(https://studentmanual.uchicago.edu/safety\)](https://studentmanual.uchicago.edu/safety). 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.

## **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.

## **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**

Members of the University community may publicize their events or causes in designated areas on campus through several methods (see Special Mention section for information on chalking, leaflets, online calendars and table tents). The form and content of the publicity will not be restricted, unless it violates the law, falsely defames a specific individual, constitutes a genuine threat or harassment, unjustifiably invades substantial privacy or confidentiality interests, or is otherwise directly incompatible with the functioning of the University. Additionally, event advertising may not include any suggestion of the availability of alcohol. All postings outside the designated areas of Reynolds Club must state clearly the name of the University organization or department responsible for the posting, and if applicable, event date, time and location. Postings should not cover current postings belonging to other organizations or individuals. Posters and flyers should be affixed to designated areas using adhesives or tacks that are easily removed and that do not damage surfaces. The use of glue, packing tape, duct tape or nails is prohibited. Facilities Services regularly clears off designated posting areas around campus.

Violation of the Posting Policy may result in a range of consequences including the removal of postings by University staff, a fine or disciplinary action against the student group or individual student. Violation of the policy by individuals not affiliated with the University may result in criminal charges and/or a no-trespass warning. A member of the University community who believes that a particular posting on

campus violates the law, falsely defames a specific individual, constitutes a genuine threat or harassment, or unjustifiably invades substantial privacy or confidentiality interests should contact UCPD (773-702-8181). Other questions or concerns about postings, including complaints about alteration, vandalism or unauthorized removal of current postings, should be directed to the Center for Leadership and Involvement (RC 001, 773-702-8787).

## **Anonymous Posting**

Anonymous postings that appear under a pseudonym or that do not include clear and unambiguous identifying information about the group or person responsible for them are allowed in designated areas in the Reynolds Club only. These postings must be dated and will be removed one week after posting. Anonymous postings must also adhere to all other guidelines described in this policy. Due to space constraints, anonymous postings must be placed only on designated bulletin boards and may not exceed one posting per event or cause.

## **Posting by Outside Organizations**

Postings produced by individuals or organizations unaffiliated with the University are permitted in designated areas in the Reynolds Club only and must adhere to all of the rules described in this policy. Unauthorized postings by outside entities found on University property outside the Reynolds Club are subject to removal.

## **Banners**

Only University groups may post banners on campus. Permissible locations include the Reynolds Club and on the walls and the main arches of Mitchell Tower. Banners may not be hung over windows and doors, or on 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 their event. All banners, including banners without event dates, must be removed after one week of posting the banner. Advance approval for banners in other campus locations must be obtained from the appropriate office or building management.

Banners and/or signs in outdoor areas (including those staked on the Main Quadrangles) are to be erected only by University departments or RSOs and the schedule of their display must be approved by the Center for Leadership and Involvement (RC 001, 773-702-8787).

## **Special Mention**

The University has other ways that University community members may publicize 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, 773-834-8300).

## **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 three residential dining commons (Bartlett, Cathey and Baker) 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 48 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/sites/legalcounsel.uchicago.edu/files/uploads/Policies/Political%20Campaign%20Memo%20%28Oct.%202012%29%5b2%5d.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., College Housing, the Library, Career Advancement, IT Services), is subject to sanctions up to, and including, revocation of access and withdrawal of services, and possible referral to the University's system of student discipline.

## **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 their 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 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](https://studentmanual.sites.uchicago.edu/page/area-admission-review-system): <https://studentmanual.sites.uchicago.edu/page/area-admission-review-system>.

*Area Disciplinary Systems* in the College, graduate divisions, professional schools, and the Graham School 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](https://studentmanual.uchicago.edu/area): <https://studentmanual.uchicago.edu/area>

*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](http://studentmanual.uchicago.edu/university_dicip_system): [http://studentmanual.uchicago.edu/university\\_dicip\\_system](http://studentmanual.uchicago.edu/university_dicip_system).

*Disciplinary System for Disruptive Conduct* provides a set of processes and standards that ensure the fair and impartial investigation of allegations that a student has engaged in disruptive conduct, i.e., conduct that falls outside of the principles of free expression and meets the definition supplied by Statute 21. The Disciplinary System for Disruptive Conduct is described [here](https://studentmanual.uchicago.edu/page/disciplinary-system-disruptive-conduct): <https://studentmanual.uchicago.edu/page/disciplinary-system-disruptive-conduct>

## **Area Admission Review Systems**

Each academic unit—the College, graduate divisions, professional schools, and the Graham School—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 designee), the cognizant academic dean (or 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 designee). 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 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—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 area 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 Harassment, Discrimination and Sexual Misconduct should be brought promptly to the attention of the Title IX Coordinator for the University and/or 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 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 designee). The Dean of Students will conduct an inquiry into the facts, which may include but is not limited to interviews and obtaining written statements from 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, to resolve the complaint formally, 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 the student is violating or has violated University policies or regulations will be placed in the student's educational record and retained according to the retention policies delineated above (see the section on "Record Maintenance" above). 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.

In situations where an individual student has acknowledged responsibility for misconduct and the most likely outcome for that misconduct would be a sanction of warning or disciplinary probation if the Area Disciplinary Committee were to be convened, the area Dean of Students (or designee) may offer to resolve the allegation of misconduct formally without referral to an Area Disciplinary Committee. In such matters, the area Dean of Students can propose the sanction of an official warning or place the student on disciplinary probation for a specified period of time (e.g., a quarter, a year, for the duration of the student's enrollment, etc.). The student will be given the option to accept or reject this offer for resolution in writing. If the student rejects this offer for resolution, then the area Dean of Students may refer the complaint to the Academic Dean with a recommendation to convene an Area Disciplinary Committee. If the student accepts the area Dean of Students' offer for formal resolution, the decision becomes final and unreviewable within the University, with one exception: If the area Dean of Students later receives new information that materially changes their evaluation of the case, then the area Dean of Students may withdraw the formal resolution and refer the complaint to the Academic Dean with a recommendation to convene an Area Disciplinary Committee. If the Dean of Students later finds that the student has engaged in additional misconduct, the Area Disciplinary Committee may be informed of this resolution. If the Area Disciplinary Committee is informed of this resolution, the Committee must consider it in determining further sanctions.

If the area Dean of Students refers the case to the area Academic Dean with a recommendation to convene an Area Disciplinary Committee, and 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.

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 area Dean of Students may decline to investigate, or recommend that the same 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, or that were discovered in the course of the investigation.

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 the Dean of Students investigates the complainant's original complaint. The Dean of Students may decline to recommend that a disciplinary committee hear either complaint or both 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 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 ordinarily consists of three faculty members, one student; the Dean of Students (or designee), and a representative from Campus and Student Life. At the discretion of the Academic Dean, up to two of the faculty appointees may be senior lecturers, clinical faculty or other equivalent academic appointees. The three faculty members, senior lecturers, clinical faculty or other equivalent academic appointees, the Dean of Students (or designee), and the representative from Campus and Student Life constitute a quorum. Both the Dean of Students (or designee) and the representative from Campus and Student Life attend the Area Disciplinary Committee meeting in a non-voting, advisory capacity. The Area Disciplinary Committee will meet to consider the incident 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 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 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., College Housing, University Registrar, etc.) are to be notified if the action taken by the Area Disciplinary Committee affects those offices. 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. This record will be maintained according to the retention policies for student records (see the section above on "Record Maintenance").

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 Review Process section.

### **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 area Dean of Students is informed of misconduct of a group and believes that the circumstances warrant it, the Dean of Students 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, the student 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 or obtaining written statements. Based on the inquiry the Dean of Students has the discretion and authority to dismiss the complaint, resolve the complaint informally with the parties, to resolve the complaint formally, or refer the complaint to the area 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 they 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 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 Dean of Students who resolves a case formally, or 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 Dean of Students who resolves a case formally, or the Area Disciplinary Committee, may give the accused student an official warning. A copy of the written notice warning the accused student that they are violating or has violated University policies or regulations will be placed in the student's educational record. This record will be maintained according to the retention policies for student records (see "Record Maintenance").

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 Dean of Students who resolves a case formally, or the Area Disciplinary Committee, may place the accused student on disciplinary probation for a specified period of time (e.g. a quarter, a year, for the duration of the student's enrollment, etc.). The Area Disciplinary Committee may stipulate whether the disciplinary probation status will be noted on the official transcript and for how long. A student on disciplinary probation is not considered to be a student in good disciplinary standing at the University for the period of the disciplinary probation status. The area Dean of Students who resolves a case formally or the Area Disciplinary Committee may specifically stipulate which, if any, of the normal rights and privileges enjoyed by students will be withheld during the period of disciplinary probation.

### *Loss of Privileges*

The area Dean of Students who resolves a case formally, or the Area Disciplinary Committee, may suspend specific student rights and privileges for a designated period of time.

### *Discretionary Sanctions*

The area Dean of Students who resolves a case formally, or 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*

Only the Area Disciplinary Committee may impose a disciplinary suspension, which will never exceed nine quarters. During the period of suspension 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 their part other than what would be required of any student who has, for a comparable period, interrupted their 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 the area Dean of Students or the Area Disciplinary Committee.

### *Disciplinary Expulsion*

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

### *Revocation of the Degree*

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

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

Sanctions delineated here are imposed on a student group and are arranged in increasing order of severity. An area Dean of Students who resolves a case formally, or 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 their 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 Dean of Students who resolves a case formally, or 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 Dean of Students who resolves a case formally, or the Area Disciplinary Committee, may place the group on disciplinary probation, during which time 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 Dean of Students 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 Dean of Students who resolves a case formally, or 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 or recruit new members for the group.

#### *Discretionary Sanctions*

The area Dean of Students who resolves a case formally, or 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*

Only the Area Disciplinary Committee may impose a disciplinary suspension of Recognized Student Organization status which will never exceed nine quarters. During the period of suspension 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 the area Dean of Students or the Area Disciplinary Committee.

#### *Disciplinary Withdrawal*

Only 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.

## **Review Process**

### **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 designee) not more than fifteen days following the date on which the Area Disciplinary Committee issues written notification of its decision. The disciplined student must submit the request for review and supporting material in writing; the Review Board will consider only a request for review and/or supporting materials prepared and/or submitted by the disciplined student, i.e., the Review Board will not consider materials prepared or arguments advanced by the student's support person (e.g., the student's 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 Campus and Student Life. The Review Board consists of the Dean of Students in the University (or designee), one member of the faculty of the student's academic area and who serves as chair, and one student member of the student's academic area. The faculty and student members are both appointed by the Dean of Students in the University (or designee) and neither shall be a member of the Area Disciplinary Committee that rendered the decision under review. All members of the Review Board must maintain independent judgment and an open mind about the decision under review. The Review Board's decision is final and non-reviewable. In making a decision, the Review Board does not conduct a new disciplinary proceeding and normally does not interview witnesses or seek additional information from the student seeking review or witnesses, although the Review Board has the authority to do so and may seek additional information regarding the proceeding from Campus and Student Life or the Dean of Students of the unit in which the matter originated. The Review Board, acting on the basis of the entire record, may sustain, reduce, modify or strike the sanctions imposed if it determines that prescribed procedures were not followed or, if it is satisfied in its reasoned judgment that the new and material information not available to the area Disciplinary Committee more likely than not would have resulted in a different decision, it may require the area Disciplinary Committee to reconvene and consider the new information in the proceedings.

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

### **University-wide Disciplinary System**

A complaint that a student engaged in a violation of the [University's Policy on Harassment, Discrimination, and Sexual Misconduct](http://harassmentpolicy.uchicago.edu/page/policy) (<http://harassmentpolicy.uchicago.edu/page/policy>) 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 they investigate 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](http://harassmentpolicy.uchicago.edu/page/policy#VII.%20Important%20Principles) (<http://harassmentpolicy.uchicago.edu/page/policy#VII.%20Important%20Principles>).

### **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. A 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 University-wide Disciplinary Committee may give the respondent an official warning. A copy of the written notice warning the respondent that they are violating or have 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 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 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 University-wide Disciplinary Committee may suspend specific student rights and privileges for a designated period of time.

### *Discretionary Sanctions*

The 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 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 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 a University-wide Disciplinary Committee.

### *Disciplinary Expulsion*

The 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 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. A 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 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-wide Disciplinary Committee may be informed of the earlier warning and the circumstances related to the warning. If the University-wide Disciplinary Committee is informed of the earlier warning, it must consider it in determining further sanctions.

#### *Disciplinary Probation*

The 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 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 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 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 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 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 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.

### **Review Process**

#### **Standard of Review**

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

#### *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.

## **Disciplinary System for Disruptive Conduct**

As recognized in the [Report of Committee on Freedom of Expression](#), the University is fundamentally dedicated to the "preservation and celebration of freedom of expression as an essential element of the University's culture." As forms of free expression, "dissent and protest are integral to the life of the University," and thus "should be affirmatively welcomed, not merely tolerated, by the University" (Report of the Ad Hoc Committee on Protest and Dissent). The principle of freedom of expression, however, is not unlimited. The Committee on Freedom of Expression itself recognized that certain forms of expressive conduct are not protected, including violations of the law, defamation of individuals, invasion of privacy or confidentiality, and disruption of ordinary University activities. Similarly, the [Report of the Ad Hoc Committee on Protest and Dissent](#) observed that while "[v]ocal protest, and demonstrations in particular, are by their very nature disruptive to some degree,"<sup>6</sup> protesters "have reciprocal obligations of respect and constructive engagement." These obligations confer "a responsibility to not jeopardize the University's ability to meet its commitments and obligations." The Report further

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<sup>6</sup> Examples might include counter-demonstrations and counter-events; marches that do not drown out speakers; silent vigils; teach-ins; protest signs that do not block the vision of the audience; boycotts of speakers or events; pointedly challenging speakers during question and answer sessions, albeit in a way that does not monopolize that portion of the event or prevent the speaker from responding.

stated that the University is “entitled to impose strict limits on protest activities that threaten especially sensitive facilities and enforce those limits if they are breached.”

Described below is a disciplinary system for “disruptive conduct” as currently defined in [University Statute 21](#) as well as any substitutes, successors or other replacements for University Statute 21. The goal of the system is to establish a uniform set of processes and standards that ensure the fair and impartial investigation of allegations that a student has engaged in disruptive conduct, i.e., conduct that falls outside of the principles of free expression and meets the definition supplied by Statute 21. The expectation is that most matters arising under this system will be resolved informally and will include educational content designed to articulate the boundary between free expression and disruptive conduct.

### **Non-Students**

Staff employees, academic appointees, visiting academics, postdoctoral researchers, employees of affiliates and volunteers who violate Statute 21 are not covered by this system and will be subject to discipline using the disciplinary processes applicable to each category. Employees of affiliates, volunteers, visitors or guests who violate Statute 21 will be subject to the University’s [Ban \(No-Trespass\) Policy](#), which governs the process by which the University denies access to some or all University property after reaching a reasoned determination that a person has engaged in, among other things, threatening, disruptive or violent conduct. Persons who are not guests and have no affiliation with the University are also subject to the [Ban \(No-Trespass\) Policy](#), which may result in permanent prohibition from University property. In addition, because some conduct that violates this policy may also constitute a crime, any person who engages in disruptive conduct that constitutes a criminal act may be arrested and prosecuted.

### **Initial Fact-Gathering and Notification**

Anyone may make a complaint under this system. All complaints that a student has engaged in conduct that violates Statute 21 should be made in writing and brought promptly to the attention of the Associate Dean of Students in the University for Disciplinary Affairs, and in any event no later than 60 days after the alleged misconduct occurred. The complaint should identify the name(s) of the person(s) involved, and state with specificity the nature of the misconduct, and the circumstances under which it may have been committed. A complainant should make every effort to include all relevant facts known at that time and provide all available supporting materials. In response, the University will conduct a prompt and thorough investigation as detailed below and will do so notwithstanding any external process, such as a law enforcement investigation or criminal prosecution.

Generally, the complainant first will discuss the allegation with the Associate Dean of Students in the University for Disciplinary Affairs (or designee).<sup>7</sup> The Associate Dean of Students in the University for Disciplinary Affairs will conduct an expeditious inquiry into the facts, which may include but is not limited to interviews, information-gathering, and documentation of evidence. If warranted by the complaint and/or any other preliminary information gathered, the Associate Dean of Students in the University for Disciplinary Affairs will summon the respondent (the accused individual) to a meeting as soon as possible, review this policy and its processes (including the respondent’s right to have a support person’s assistance throughout the process), and provide a brief written summary of the allegation. If a respondent declines to participate in the initial information-gathering process, this decision may foreclose participation during later phases of the disciplinary process, including any proceeding before the

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<sup>7</sup> If an anonymous complaint precludes a meaningful inquiry into the facts from taking place, the complaint will be dismissed.

Committee.

In the meeting, the Associate Dean of Students in the University for Disciplinary Affairs will inform the respondent of the alleged misconduct and will discuss the allegation and applicable investigatory and adjudicatory processes. Following the meeting, the Associate Dean of Students in the University for Disciplinary Affairs will provide the complainant and the respondent with an opportunity to provide evidence and to suggest witnesses. The Associate Dean of Students in the University for Disciplinary Affairs will not interview witnesses whose sole purpose is to provide character information about either party.

Based on the inquiry and in consultation with the Faculty Chair of the Standing Disciplinary Committee on Disruptive Conduct, the Associate Dean of Students in the University for Disciplinary Affairs has the discretion and authority to dismiss the complaint. Alternatively, as explained below, the Associate Dean has the authority to resolve the complaint informally, or to refer the complaint to the Faculty Chair, who in turn may formally convene a disciplinary committee to hear the incident.

The Associate Dean of Students in the University for Disciplinary Affairs will also ensure that the complainant and respondent be updated throughout the investigative process, including timely notice of meetings where they may be present. More specifically, the complainant and respondent will be given the following written notices: (i) notice that a complaint was dismissed, the matter was resolved informally, or that an investigation will proceed; (ii) notice of a charge filed and any information that will be used in the hearing process; (iii) notice of the date and time of any hearing and a list of hearing panel members; (iv) notice of the hearing panel's findings and, if applicable, sanctions, including an explanation of the review process; (v) notice of whether a request for review has been filed; (vi) notice of the outcome of the request for review, including whether the decision, or sanctions, have been modified; and (vii) notice when the decision and sanctions become final.

### **Informal Resolution**

With the approval of the Faculty Chair, the Associate Dean of Students in the University for Disciplinary Affairs may resolve allegations of disruptive conduct informally. As outlined above, both complainant and respondent have the opportunity to present information and suggest witnesses related to an allegation of disruptive conduct. 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 determine if the respondent violated Statute 21. In situations involving conflicts between student organizations, the Associate Dean of Students in the University for Disciplinary Affairs will make reasonable efforts to resolve the differences between the organizations.

If the Associate Dean of Students in the University for Disciplinary Affairs concludes that by a preponderance of the evidence, the information obtained supports a finding that the respondent violated Statute 21, then, in consultation with the Faculty Chair, the Associate Dean will determine an appropriate sanction. Sanctions may include but are not limited to, a warning, disciplinary probation, and/or the suspension of specific student rights and privileges for a designated period. The Faculty Chair cannot issue an informal disciplinary sanction of suspension, or expulsion. The respondent may choose in writing to accept or reject the finding and sanction in order to reach a resolution. If the respondent rejects the finding and sanction, then the Faculty Chair will convene the Committee. If the respondent accepts the finding and sanction, the resolution of the disciplinary process becomes final and unreviewable within the University, with one exception: if the Associate Dean of Students in the University for Disciplinary Affairs or the Faculty Chair later receives new information that materially changes the evaluation of the matter, then the informal resolution may be withdrawn, and the matter heard and adjudicated by the Committee. If the respondent accepts the finding and sanction, a record of such finding and sanction will be issued to the respondent.



At any time before the Associate Dean of Students in the University for Disciplinary Affairs makes a finding and, if appropriate, imposes a sanction, the Associate Dean may discontinue the informal resolution process and refer the matter for formal resolution.

### **Formal Resolution**

If the Faculty Chair decides to convene the Committee, 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 (to the extent such information has not already been gathered). The Associate Dean of Students in the University for Disciplinary Affairs will provide the respondent with written notice of the allegations, give the respondent a copy of these procedures, and ask the respondent to prepare a written response to the allegation. If there were witnesses to the alleged misconduct, the Associate Dean of Students in the University for Disciplinary Affairs may summon them for a meeting, ask them to submit a written statement, and summon them to appear before the Committee to answer questions. A complainant should make every effort to include in the complaint all relevant facts known at that time and provide all available supporting materials.

### **The University-wide Standing Disciplinary Committee on Disruptive Conduct**

The University-wide Standing Committee on Disruptive Conduct (the Standing Committee), which hears and adjudicates complaints against students, includes faculty and students drawn from all academic units, and staff representing the academic units and Campus and Student Life. In consultation with the Spokesperson of the Committee of the Council, the Provost will appoint members of the Standing Committee to three-year terms. The faculty members of the Standing Committee will be drawn from the pool of faculty serving on the Council of the University Senate and from a list of councilors who have served during the preceding five years. The Provost will appoint staff and student members of the Standing Committee after soliciting recommendations from each academic dean or their designee. At the recommendation of the Faculty Chair, an Ad Hoc Disciplinary Committee (the Committee), drawn from the Standing Committee, will convene to conduct the disciplinary proceeding. The Committee members will be selected in a manner that ensures that one faculty member will have a primary academic appointment in the school or division in which the respondent is enrolled at the time of the alleged misconduct.

The Committee convened to hear and adjudicate a particular complaint normally consists 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 for Disciplinary Affairs (or designee) attends the Committee proceeding in a non-voting, advisory capacity. Two faculty members, including the Faculty Chair of the Committee, and one additional member (staff or student) of the Standing Committee constitute a quorum.

All members of the Committee must be able to maintain independent judgment and discharge their obligations in a fair-minded fashion, free from material bias and conflicts of interest, or they must recuse themselves. As soon as practicable before the hearing, the Associate Dean of Students in the University for Disciplinary Affairs will notify the complainant and the respondent of names and academic affiliation of Committee members. Either party may request a replacement if the participation of any member of the Committee on the grounds that such member has a genuine and material conflict of interest. Such requests must be made to the Associate Dean of Students in the University for Disciplinary Affairs within 48 hours of receiving notice of the identities of the Committee members. Requests must identify with specificity the alleged nature of the conflict of interest. Using reasoned judgment, the Faculty Chair (or designee) will decide whether the alleged conflict is genuine and material and, if so, whether it compels the Committee member's replacement via the same process.

## **Format and Order of Proceedings**

### **1. Information Considered by the Committee and the Role of the Support Person**

In connection with the proceeding, the complainant and the respondent will receive the same materials, subject to compliance with the Family Educational Rights and Privacy Act (FERPA, which may require redaction of certain identifying information), as received by the members of the Committee. With regard to persons summoned to appear before the Committee, if the Committee hears from other individuals, the respondent and the complainant both have the right to be present.

The complainant and the respondent may bring to the disciplinary proceeding a person of their choice whose role is entirely limited to providing support. The Associate Dean of Students in the University will develop a list of University academic appointees, staff employees and students who are willing to serve as support persons. Although the complainant and respondent are free to select any support person, they will be given a reasonable opportunity to select a support person from the list. The support person does not function as an advocate or participate directly in any way during the proceeding. If the support person is a lawyer, a representative of the University's Office of Legal Counsel also will attend the hearing. Regardless of whether a complainant, respondent or witness is represented by counsel, at all times they are expected to speak for themselves, directly communicate with the University personnel involved in the investigatory and adjudicative processes, and submit their own written statements.

### **2. General Process**

In order to reach a fair and reasonable resolution of the complaint, Committee proceedings will generally follow the outline described below:

- A. The Committee presumes the innocence of the respondent, assumes no facts or conclusions, ignores any previous history of disciplinary action with respect to the student charged, and reaches its decision as to whether the respondent has engaged in the prohibited act solely on the basis of the evidence actually before it.
- B. Committee proceedings are closed. The only individuals who may be present in the hearing room(s) during the proceeding are: Committee members, the Associate Dean of Students in the University for Disciplinary Affairs, the complainant and respondent (and their respective advisors), witnesses (when called), and necessary University personnel. The Associate Dean of Students in the University for Disciplinary Affairs will work with other University personnel so that any individual whose presence is required may participate in the hearing.
- C. The Faculty Chair reminds all present that disciplinary proceedings are distinct from the traditional legal-judicial process, and that the collegiality and trust which binds all members of the University community entails an obligation of candor on the part of all involved in disciplinary proceedings.
- D. The Faculty Chair notes that cell phones and any other recording devices may not be used during any part of the proceeding, and reminds those present that the Committee may set reasonable time limits for any part of the proceeding and will use reasoned judgment to determine the relevance of, place restrictions on, or exclude any witnesses or information.
- E. The Faculty Chair restates the basic complaint at issue before the Committee to determine what happened, whether the respondent engaged in disruptive conduct within the meaning of Statute 21, and, if so, the nature of the sanction to be imposed.
- F. The Committee normally asks the respondent and complainant each to make an opening statement to the Committee about the allegations. If the proceedings involve

multiple respondents accused of disruptive conduct arising out of the same event or events, the respondents each will be heard separately and not in the presence of the other respondents. If the respondent refuses to appear before the Committee, the Committee shall proceed without the respondent.

- G. Committee members may ask questions of the respondent and others coming before the Committee and may conduct further inquiry.
- H. If the Committee hears other individuals, the respondent and complainant have the right to be present.
- I. Only the Committee may ask questions of the respondent, complainant and others who appear before the Committee; the complainant and the respondent may not cross-examine or otherwise directly engage one another or others, but may, at the discretion and direction of the Faculty Chair, suggest questions to be posed by the Committee. The Committee may revise or decline to ask any or all submitted questions.
- J. The Faculty Chair may decide to move forward in the proceeding at any point if, in his or her judgment, anyone's actions cause undue delay. The Faculty Chair can require to leave the proceeding anyone who fails to respect the limitations of their role, engages in active advocacy, or harasses, abuses, or intimidates any participant in the proceeding. The proceeding will continue in their absence. The Faculty Chair will always also be mindful of the necessity of hearing reasonable and relevant points from participants, especially the complainant and the respondent.
- K. To ensure the integrity of the process, when students speak to the Committee during the hearing and in the presence of one another, until the Committee renders a decision the students must maintain confidentiality regarding what was said and must not communicate about the statements with anyone participating in it or with others outside the proceeding.
- L. At the conclusion of the proceeding, the Committee normally gives the complainant and respondent the opportunity to make concluding remarks of a reasonable duration.
- M. At the completion of the proceeding, the Committee will deliberate confidentially to consider the information obtained in the course of the proceeding and decide whether the respondent violated Statute 21 and, if so, the appropriate sanction. In making a determination, the Committee will apply a preponderance of evidence standard. Namely, the Committee will decide whether, in consideration of all of the information before it, it is more likely than not that the respondent's conduct violated Statute 21. Although axiomatic, it bears noting that non-disruptive protest and dissent should never be punished.
- N. Decisions are by majority vote of the members of the Committee.
- O. The Committee will impose sanctions that are fair and reasonable given the facts and circumstances. In deciding sanctions, normally the Committee will consider the nature of disruptive conduct; mitigating circumstances, if any; and past precedent, if any, established by the Committee. If appropriate, the Associate Dean of Students in the University for Disciplinary Affairs will provide the Committee with the facts and circumstances of any similar, past cases and associated sanctions.

### **3. Sanctions**

The sanctions listed below may be used singly or in combination by the Committee, which may also devise new sanctions that it deems appropriate. The same sanction options are available to the Review Board.

*Warning:* A letter shall be issued to the student. A prior warning related to misconduct under Statute 21 may be considered in determining a sanction for a current offense.

*Disciplinary Probation:* During this defined period, a student may continue to enjoy all the rights and privileges of a student except as the Committee stipulates. A prior disciplinary probation related to misconduct under Statute 21 may be considered in determining a sanction for a current offense.

*Loss of University Privileges:* Specific student rights and privileges, such as access to certain University buildings, events, organizations, or employment, may be suspended for a defined period.

*Discretionary Sanctions:* The Committee may require the completion of additional academic work, community service, or restitution/fines by a given deadline.

*Disciplinary Suspension:* For a period of no more than nine consecutive quarters, a student is prohibited from exercising any rights or privileges of a student at the University.

*Disciplinary Expulsion:* An expelled student forfeits the rights and privileges of a student at the University. Ordinarily, the University will not consider a re-application for eleven consecutive quarters following the date of the expulsion.

#### 4. **Notification of Outcome**

Normally, once deliberations have concluded, the Associate Dean of Students in the University for Disciplinary Affairs will provide the complainant and respondent with verbal or electronic notification of the outcome of the proceeding. No later than seven days after deliberations have concluded, the Associate Dean of Students in the University for Disciplinary Affairs will provide the complainant and respondent with formal, written notification of the outcome, including information regarding a request for review. The notification will include an explanation of the basis for the finding and sanction.

Only decisions of disciplinary suspension or expulsion will be recorded on the respondent'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 of the finding and sanction if the action taken by the Committee affects those offices. If required by law or authorized by the respondent, the Associate Dean of Students in the University for Disciplinary Affairs may disclose allegations of misconduct and the outcome of disciplinary proceedings to third parties, including to external organizations.

#### 5. Requests for Review

The complainant and respondent may request a review of the resolution of the disciplinary proceeding within 15 days of being informed, in writing, of the decision. The only recognized grounds are: (i) the prescribed procedures were not followed; and (ii) the discovery of new and material information unavailable to the Committee at the time of the proceeding bears significantly in the student's favor. A Review Board consists of one faculty member (who also serves as chair), one administrator (designated by the Dean of Students in the University), and one student. Decisions are by majority vote of the members of the Committee. Members of the Review Board may not serve if they were part of the Ad Hoc Committee that decided the

underlying matter.

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: (i) prescribed procedures were not followed; and/or (ii) new and material information unavailable to the Committee at the time of the proceeding bears significantly in the student's favor has been discovered. Additionally, if the Board is satisfied in its reasoned judgment that the new and material information not available to the Committee more likely than not would have resulted in a different decision, it may require the 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.

## **6. Confidentiality**

The University, including its agents (e.g., those who serve on the Standing and Ad Hoc Committee), has a legal obligation under federal law to maintain the confidentiality of student education records, including records used in the disciplinary process that include identifiable student information, except as required by law, e.g., as authorized by the student or compelled by a subpoena or court order. Although respondents, student witnesses and support persons are not bound by the federal law applicable to the University and its agents, they are encouraged to use good judgment when sharing information with third-parties, as some disclosures and related statements may give rise to legal claims against them by persons who believe that the disclosures or statements are false, invade privacy rights or cause reputational damage.

## **Student as Employee**

Nothing in this disciplinary system shall limit any student-employee's rights under Section 7 of the National Labor Relations Act (NLRA). The system thus would not apply to student-employees' participation in a demonstration, including a rally or picketing, who are represented by a collective bargaining agent and the demonstration arises in the course of or is incident to a labor dispute involving the University. However, the system applies to conduct not protected by the NLRA, including the prohibitions set forth in Statute 21, such as the destruction of property, threats of physical harm to others, the occupation of University facilities, and the disruption of University events.

## **Other Information**

Disciplinary proceedings under this system apply to anyone who has matriculated to the University, whether or not in residence, and for any graduate but only if the alleged misconduct occurred before the degree was awarded. If a complaint of disruptive conduct against a student who has applied for graduation has been brought to the attention of the Associate Dean of Students in the University for Disciplinary Affairs but by the date of graduation the matter has not yet been resolved informally or a Committee has not yet convened, the Faculty Chair has the discretion and authority to decide whether the

respondent may receive the degree and/or participate in convocation. If the Committee has been convened by the date of graduation but the proceedings have not concluded, the respondent shall not participate in convocation, and the student's graduation shall be postponed until the disciplinary proceeding has concluded, and, as applicable, the completion of all sanctions.

### **Provision for Review of Disciplinary Procedures**

The Council of the University Senate shall review, through an appropriate committee, this disciplinary system not later than the Spring Quarter, 2020.

### **Further Disciplinary Policy Information**

Disciplinary processes will proceed for anyone who has been matriculated at the University whether or not they are in residence and for anyone after graduation but only if the misconduct occurred before the degree was awarded. A sanction given to a student not currently in residence takes the form of a condition imposed upon resumption of active status as a student. If a complaint against a student who has applied for graduation has been brought to the attention of the area Dean of Students or the Associate Dean of Students in the University for Disciplinary Affairs but an Area or University 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 accused student may receive the degree and/or participate in convocation. When an Area or University 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 and University-wide student disciplinary systems, namely complainant, accused(s), and members of the Area and University-wide Disciplinary Committees, 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.

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 their 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 area Dean of Students or the Associate Dean of Students in the University for Disciplinary Affairs. 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.

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