



# STANDARDS AND DISCIPLINE

STUDENT CONDUCT AND COMMUNITY STANDARDS

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# I. STUDENT CONDUCT AND COMMUNITY STANDARDS AUTHORITY

## A. Authority

The continuance of each student upon the rolls of the University, the receipt of academic credits, graduation, and the conferring of any degree or the granting of any certificate are strictly subject to the disciplinary powers of the University. Although ultimate authority on matters of student discipline is vested in the Trustees of the University, the Deans of the schools and his/her staff are given responsibility for establishing certain standards of behavior for their students beyond the regulations included in the Statutes of the University and for defining procedures by which discipline will be administered. The Deans of the schools are vested with the authority over the Dean's Discipline process by the Trustees of Columbia University. The Associate Vice President for Student Conduct and Community Standards (AVP) is appointed to oversee and manage the Dean's Discipline process at the behest of the Deans of each school. The AVP may appoint administrative hearing officers, to efficiently and effectively supervise and facilitate the Dean's Discipline process.

Adoption of the following guidelines, henceforth referenced as the Standards and Discipline, is at the discretion of the Dean for each school. Currently the following schools have adopted the Standards and Discipline and are governed by the guidelines below; for schools not listed, please refer to the respective school's *Bulletin*:

- Columbia College
- The Fu Foundation School of Engineering and Applied Science, Undergraduate
- School of General Studies
- College of Dental Medicine

- Graduate School of Arts & Sciences
- School of Professional Studies

For the purposes of this document and the facilitation of the Dean's Discipline process, a "student" is defined as any person pursuing a degree from the University and any person who is not officially enrolled for a particular semester, but who has a continuing academic relationship with Columbia University or an affiliate campus<sup>1</sup>.

## B. Interpretation and Revision

The AVP (or designee) will develop procedural rules for the administration of hearings that are consistent with provisions of the Standards and Discipline. The AVP (or designee) may make minor modifications to procedure as necessary and will include reasonable advance notice to the parties involved, either by posting online and/or in the form of written communication to the student. The AVP (or designee) may adjust procedures with notice that changes to law or regulation require policy or procedural alterations not reflected in the Standards and Discipline. Any question of interpretation of the Standards and Discipline may be referred to the Dean of a student's respective school (or designee), whose interpretation is final. The Standards and Discipline will be reviewed and updated annually under the direction of the AVP (or designee) with a comprehensive revision process being conducted every three to five years.

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<sup>1</sup> For the purposes of the Standards and Discipline, references to his/her or s/he also include their or they and any other preferred pronouns.

## II. COMMUNITY STANDARDS

### A. Standards of Behavior

As members of the Columbia University community, all students are expected to uphold the highest standards of respect, integrity, and civility. These core values are key components of the Columbia University experience and reflect the community's expectations of Columbia University students. Students are therefore expected to conduct themselves in an honest, civil, and respectful manner in all aspects of their lives. Students who violate standards of behavior related to academic or

behavioral conduct interfere with their ability, and the ability of others, to take advantage of the full complement of University life, and will thus be subject to Dean's Discipline.

### B. University Policies

Community members may find related University policies at: <http://studentconduct.columbia.edu/>.

### C. Prohibited Conduct

Longer descriptions of policy violations are provided below, but in short, these allegations are subject to Dean's Discipline. Prohibited conduct includes, but is not limited to, behavioral and academic misconduct.

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#### Behavioral Violations

- Access, Unauthorized
- Alcohol, Prohibited use of
- Collusion
- Columbia University Identification Card, Prohibited use of
- Columbia Identity (or affiliated organizations), Unauthorized Use of
- Disruptive Behavior
- Failure to Comply
- Entry/Egress, Unauthorized
- Falsification
- Federal, State, or Local laws, Violation of
- Fire Safety Policies, Violation of
- Illegal Drugs Policy, Violation of
- Hazing
- Information Technologies Policies, Violation of
- Physical endangerment, Threats, and Harassment
- Retaliation
- Smoking Policy, Violation of University
- Theft
- University Policies
- Vandalism
- Weapons

#### Academic Violations

- Academic Dishonesty, Facilitation of
- Assistance, Unauthorized
- Bribery
- Cheating
- Collaboration
- Dishonesty
- Ethics, honor codes, and professional standards, Violation of
- Failing to Safeguard Work
- Giving or Taking Academic Materials, Unauthorized
- Obtaining Advanced Knowledge
- Plagiarism
- Sabotage
- Self-Plagiarism
- Test Conditions, Violation

## D. Behavioral Violations

Behavioral violations of University policy have been identified for the purposes of maintaining a safe and healthy educational environment. Prohibited conduct includes, but is not limited to, the following:

### **Access, Unauthorized**

Gaining unauthorized access to the roof, fire escape, ledge, and/or window of any building is prohibited. This includes, but is not limited to, sitting or standing on a window, fire escape, or building ledge or in any way allowing any body part or item to hang and/or be placed outside, including by means of throwing or dropping.

### **Alcohol, Prohibited use of**

The possession and/or use of alcohol when not in accordance with established policy (Columbia University [Policy on Alcohol and Drugs](#)) and the *Guide to Living* is prohibited. This includes but is not limited to possessing and consuming alcohol when under the age of 21, using false identification to obtain alcohol, providing alcohol to a minor, and possessing and consuming alcohol in a prohibited area. Additionally, possessing a keg, bulk container, or device used for rapid consumption of alcohol, forced consumption of liquor for the purpose of initiation into or affiliation with an organization, and taking part in games of chance, drinking games, contests, and other activities that induce, encourage, or require consumption are prohibited.

### **Collusion**

Inciting or assisting another person with violating University policy(ies), including but not limited to acting as an accomplice through action or negligence to the commission of any prohibited act, is prohibited.

### **Columbia University Identification Card, Prohibited use of**

As stated on the back of the CUID card, "The ID is your official University ID card and is issued for official purposes only. This card is non-transferrable and is the property of the University." Students are expected to produce their CUID card when requested by a University official, should not allow another person access to their CUID card, and should not use their CUID card in an unauthorized manner. *See also Failure to Comply and Falsification policies.*

### **Columbia Identity (or affiliated organizations), Unauthorized Use of**

Unauthorized use (including misuse) of University or organizational names and images is prohibited. Students should consult the [Design Guidelines](#).

### **Disruptive Behavior**

No student should engage in behavior that interferes with or compromises the well-being of the University community. Students should not expose others to conduct that is disorderly, lewd, or indecent.

### **Entry/Egress, Unauthorized**

Gaining entry and/or egress to/from any unauthorized space is prohibited.

### **Failure to Comply**

Failure to respond to the legitimate request of a University official or law enforcement officer acting in the performance of his/her duties is prohibited. This includes, but is not limited to, failing to supply a Columbia University ID upon request.

### **Falsification**

Furnishing false information, when dealing with a University official, is prohibited. This includes, but is not limited to, dishonesty when dealing with faculty or staff members or allowing another person to use his/her Columbia University ID.

### **Federal, State, or Local laws, Violation of**

Violations of federal, state, or local laws are prohibited.

### **Fire Safety Policies, Violation of**

Violations of local, state, federal or University [fire policies](#) are prohibited. This includes but is not limited to possession and/or use of flammable materials, certain cooking items, and/or items that operate with an open flame (i.e. grills, lanterns, candles or incense). Additionally, starting a fire (including by means of careless cooking), pulling a false fire alarm, tampering with fire safety equipment, and failing to evacuate during a fire alarm are prohibited.

### **Illegal Drugs Policy, Violation of**

The possession and/or use of illegal drugs, unauthorized controlled substances, and/or drug paraphernalia when not in accordance with established policy (Columbia University [Policy on Alcohol and Drugs](#)) and the *Guide to Living* is prohibited. The sale, distribution, intent to distribute, and/or manufacture of illegal drugs or controlled substances is also prohibited.

### **Hazing**

Any reckless or intentional act which endangers the mental or physical health or safety of a student for the purpose of initiation, admission into, affiliation with, or as a condition of continued membership in, a group or organization is prohibited. This may include the destruction or removal of public or private property, or any act that a reasonable person would find demeaning, uncomfortable, embarrassing, humiliating, or ridiculing. The express or implied consent of participants will not be an excuse. Apathy or acquiescence in the presence of hazing are not neutral acts; they will also be considered violations of this policy.

### **Information Technologies Policies, Violation of**

Any violation of the University [Acceptable Use and Computing Policies](#), including but not limited to copyright infringement, is prohibited.

### **Physical endangerment, Threats, and Harassment**

Knowingly and/or recklessly endangering the health or safety of others is prohibited. This includes, but is not limited to, threatening, harassing, or abusing others, whether directly or indirectly, in person or via electronic means. Additionally, unwanted physical contact or threat of physical contact with any person and threats of violence or placing a person in fear of imminent physical injury or danger is prohibited.

### **Retaliation**

Any adverse action taken against an individual, who has participated in any capacity in an investigation, proceeding, or hearing under these policies or procedures, is prohibited.

### **Smoking Policy, Violation of University**

Smoking is prohibited in any indoor area, in all University vehicles, and outdoor seating or viewing areas of sports arenas and recreational areas, such as those at Baker Field. Smoking is also prohibited outdoors within 20 feet of all University buildings (including undergraduate housing).

### **Theft**

Taking or possessing the property of the University or another person without permission is prohibited. This may include, but is not limited to, the unauthorized taking, misappropriation, possession, retention or disposal of any property owned or maintained by the University or any person.

## University Policies

Any violation of published University policies is prohibited and may be adjudicated through Dean's Discipline. Policies include, but are not limited, to the [Essential Policies](#) and the [Guide to Living](#).<sup>2</sup>

### Vandalism

Knowingly and/or recklessly damaging, destroying, defacing, and/or tampering with University, public, or private property of another person, is prohibited.

### Weapons

The possession, use, or distribution of explosives (including, but not limited, to fireworks and ammunition), guns (including, but not limited to, air, BB, paintball, facsimile weapons and pellet guns), or other weapons or dangerous objects (including, but not limited, arrows, axes, machetes, nun chucks, throwing stars, or knives with a blade of longer than 3 inches), including the storage of these items in a vehicle parked on University property is prohibited.

## E. Academic Violations

Academic misconduct violates the principle of intellectual integrity that is the foundation of our institutions. To violate that principle is one of the most serious offenses that a student can commit. Examples of academic misconduct are listed in the *Bulletin* and/or policies of the schools at Columbia University, and include, but are not limited to:

### Academic Dishonesty, Facilitation of

Assisting another student in a violation of academic integrity is prohibited. This may include, but is not limited to, selling and/or providing notes, exams, and papers.

### Assistance, Unauthorized

Giving unauthorized assistance to another student or receiving unauthorized aid from another person on tests, quizzes, assignments or examinations without the instructor's express permission is prohibited.

### Bribery

Offering or giving any favor or thing of value for the purpose of improperly influencing a grade or other evaluation of a student in an academic program is prohibited.

### Cheating

Wrongfully using or attempting to use unauthorized materials, information, study aids, or the ideas or work of another in order to gain an unfair advantage is prohibited. Cheating includes, but is not limited to, using or consulting unauthorized materials or using unauthorized equipment or devices on tests, quizzes, assignments or examinations, working on any examination, test, quiz or assignment outside of the time constraints imposed, the unauthorized use of prescription medication to enhance academic performance, and/or submitting an altered examination or assignment to an instructor for re-grading.

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<sup>2</sup> The [Gender-Based Misconduct Policy and Procedures for Students](#) and [Rules of University Conduct](#) are adjudicated through separate policies and procedures. However, behavior listed in this section that occurs in conjunction with violations of those respective policies may be adjudicated through Dean's Discipline.

**Collaboration, Unauthorized**

Collaborating on academic work without the instructor's permission is prohibited. This includes, but is not limited to, unauthorized collaboration on tests, quizzes, assignments, labs, and projects.

**Dishonesty**

Falsification, forgery, or misrepresentation of information to any University official in order to gain an unfair academic advantage in coursework or lab work, on any application, petition, or documents submitted to the University is prohibited. This includes, but is not limited to, falsifying information on a résumé, fabrication of credentials or academic records, misrepresenting one's own research, providing false or misleading information in order to be excused from classes or assignments and/or intentionally underperforming on a placement exam.

**Ethics, honor codes, and professional standards, Violation of**

Any violation of published institutional policies related to the ethics, honor codes, or professional standards of a student's respective school is prohibited.

**Failing to Safeguard Work**

Failure to take precautions to safeguard one's own work is prohibited.

**Giving or Taking Academic Materials, Unauthorized**

Unauthorized circulation or sharing of past or present course material(s) without the instructor's express permission is prohibited. This includes, but is not limited to, assignments, exams, lab reports, notebooks, and papers.

**Obtaining Advance Knowledge**

Unauthorized advance access to exams or other assignments without an instructor's express permission is prohibited.

**Plagiarism**

The use of words, phrases, or ideas belonging to another, without properly citing or acknowledging the source is prohibited. This may include, but is not limited to, copying computer programs for the purposes of completing assignments for submission.

**Sabotage**

Inappropriately and deliberately harming someone else's academic performance is prohibited.

**Self-Plagiarism**

Using any material portion of an assignment to fulfill the requirements of more than one course without the instructor's express permission is prohibited.

**Test Conditions, Violations of**

Compromising a testing environment or violating specified testing conditions, to intentionally or unintentionally create access to an unfair advantage for oneself or others is prohibited.



### III. DEAN'S DISCIPLINE OVERVIEW

It is expected that all students act in an honest way and respect the rights of others at all times. Dean's Discipline is the process utilized to investigate and respond to allegations of behavioral or academic misconduct. Dean's Discipline is not meant to be an adversarial or legal process, but instead aims to educate students about the impact their behavior may have on their own lives as well as the greater community.

Dean's Discipline is initiated when an allegation is reported that a student has violated a policy of the University or the student's affiliated school and/or program.

#### A. Jurisdiction

Students may be subject to Dean's Discipline for any activity that occurs on or off campus that impinges on the rights of other students and community members. This also includes violations of Local, State, or Federal law(s).

Upon accepting admission to Columbia University, students are expected to become familiar with and uphold the University's core values in such a way that they observe and abide by the policies of the University. Not knowing or understanding the Standards and Discipline does not excuse violations of policy.

The University does not promote or condone unlawful behavior. The University cooperates with law enforcement authorities in a manner consistent with its legal responsibilities and the interests of the University community. Students involved in outside proceedings for a violation of the law may also be subject to Dean's Discipline and/or interim actions, which are independent of those under the law. The University may take prompt action under its own procedures regardless of whether the public officials have disposed of a case or not. Students may be subject to Dean's Discipline for allegations of misconduct that occurs on University property, or allegations of misconduct that

occur off campus, if such off campus conduct is associated with a University activity or raises considerable concerns.

#### B. Outside Proceedings

It should be noted that the results of an outside investigation are rarely considered within the context of the institutional investigation unless that investigation reveals behavior that is particularly egregious and damaging to the well-being of the University community. SCCS may temporarily delay an investigation while criminal or civil proceedings are pending; however, interim measures may be taken immediately. In the event its investigation is delayed, it is the responsibility of the student to notify SCCS when the outside proceedings have concluded.

In cases of serious misconduct, SCCS reserves the right to respond to, investigate, and adjudicate misconduct during any concurrent law enforcement proceeding and is not obligated to wait for the conclusion of any related criminal or civil proceedings.

## IV. DEAN'S DISCIPLINE PROCESS

### A. Reporting an Allegation of Misconduct

Community members may file an incident report with SCCS electronically

via: <http://studentconduct.columbia.edu>.

When a report is received, SCCS will determine whether or not Dean's Discipline is an appropriate response or if the report should be referred elsewhere. SCCS will also determine whether or not more information is required to initiate disciplinary action. Although the reporter will not participate in the hearing process, SCCS staff may follow up with him/her upon resolution of the case.

No report will be referred for disciplinary action unless there is reasonable cause to believe there has been a violation of policy. Reasonable cause is defined as some credible information to support each element of the violation, even if that information is merely a credible witness or a complainant's statement. SCCS staff will assess the credibility of available information and determine if a report is wholly supported or unsupported by any such information. Information deemed not credible will not be forwarded for disciplinary action through Dean's Discipline; however, it may be addressed through less formal means, if applicable.

**Anonymity:** SCCS staff will consider requests for anonymity made by a complainant or witness and, in compelling circumstances, may withhold the name of such person. Circumstances in which this request may be granted include a reasonably based fear of retaliation, harassment, or any other inappropriate response to the disclosure of such individual's name.

**Retaliation:** Retaliation against any person involved in an investigation, including witnesses or investigators, is strictly prohibited and may result in interim or permanent measures and/or disciplinary action. The University defines retaliation as any adverse action

taken against an individual who has participated in any capacity in an investigation, proceeding, or hearing under these policies or procedures.

**Interim Measures:** In certain circumstances during the investigative process, SCCS and/or other University administrators may place restrictions on a student prior to the conclusion of the Dean's Discipline process. Restrictions that may be placed on a student include, but are not limited to: restricting contact with another individual or people; restricting access to the residence halls or other buildings on campus; suspending a student from participation in classes or events and/or organizations within the campus community; or hold(s) on a student's transcript, registration, grades and/or diploma. These interim actions will only be taken if it is determined that the student's behavior may make his or her presence on campus a danger to the normal operations of the institution, the safety of himself/herself, others, or to the property of the University or others. Students issued any interim measures may request a prompt and reasonable review of the need for and terms of any interim measure that directly affects them and may submit evidence in support of their request. Requests for review of the interim measure shall be submitted in writing to the Associate Vice President for Student Conduct and Community Standards and the Dean of the student's respective school.

## B. Notice and Scheduling

If a Dean's Discipline hearing is to occur, the student is informed in writing of the allegations made against him/her. Dates and times for disciplinary hearings are scheduled in consultation with the student's academic schedule to avoid conflict. The student is also informed of the next steps in the process and his/her ability to review the allegation(s) prior to the hearing. During the investigative/hearing process, the hearing officers reserve the right to add or modify the allegations based on information gathered throughout the investigation to more appropriately reflect the nature of the incident.

A student's participation in the hearing process is mandatory. Students will be notified of a hearing date no more than two times. If a student fails to participate in the hearing process after the second notification, a decision may be rendered in his/her absence.

## C. Preparing for the Hearing

If a student is notified that s/he is required to attend a Dean's Discipline hearing, s/he will be informed of the allegations. In preparation for the hearing the student should schedule a file review, prepare a written statement describing his/her perspective, and consult with an advisor. Students are also encouraged to speak with staff members from Counseling and Psychological Services (CPS) or other healthcare practitioners should s/he begin to feel overwhelmed while going through the process.

**File Review:** A student is informed through the notice letter that s/he has the opportunity to review his/her file prior to the hearing. S/he must schedule a time with an SCCS staff member to come to the office and view his/her file. Exceptions to this expectation are made only in extenuating circumstances. S/he may also discuss procedural information about the Dean's Discipline process with a SCCS staff member. To schedule an appointment, s/he should contact SCCS, via e-mail, at [conduct-admin@columbia.edu](mailto:conduct-admin@columbia.edu).

During the file review, a student may take notes (typed

or written), but may not photograph any part of their file.

**Written Statement:** The student is advised to prepare a written statement for the hearing process. This statement must be completed by the student and should outline his/her perspective on the allegation(s) and the incident as a whole. Statements submitted for the hearing process should be no longer than five (5) single-spaced typewritten pages. If additional attachments or information are provided, the material to be considered must be directly cross-referenced in the five-page statement. While submitting a written statement prior to the hearing allows the hearing officers time to review it before the hearing, this is not required.

**Role of the advisor<sup>3</sup>:** Undergraduate advising deans and designated administrators from the graduate and professional schools may advise and accompany students participating in the Dean's Discipline process. It is the responsibility of the student to schedule time to meet with his/her advisor before the hearing. These administrators can answer questions about the hearing and are able to provide guidance regarding general preparation for the hearing. The primary responsibility of the advisor is to serve as a continued resource to the student, particularly in cases that impact the student's academic progress.

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<sup>3</sup> A Student may not bring, into a hearing, any person other than his/her academic advisor (including, but not limited to family members, friends, or attorneys); however, if additional support persons accompany the student to the proceedings, accommodations will be made for them outside of the hearing location.

## D. The Hearing

**Hearing Officers:** Each hearing will be adjudicated by two (2) hearing officers, at least one of whom will be from SCCS; the second hearing officer may be an administrator from the student's respective school.<sup>4</sup>

## E. During the Hearing

- The student is presented with the information pertaining to the allegation that s/he has violated policy(ies).
- The student may then submit his/her statement and present information on his/her behalf. Questions may be posed by both the student and the hearing officers to clarify or understand the allegations as well as the student's perspective on the context, incident, and/or circumstances.
- Witnesses may not directly participate in the hearing, but may submit a written statement documenting his/her account as it directly relates to the incident. Because the determination of responsibility is based on a student's behavior and not his/her character, character references are not permitted or considered by the hearing officers.
- Any student participating in a Dean's Discipline hearing or submitting a witness statement is expected to be honest and forthcoming. Students who are found to be dishonest may be subject to additional disciplinary action.

## F. Determining Responsibility

Following the investigation and the conclusion of the hearing, a determination whether the student is responsible for the violation(s) is rendered. Each student's case is determined individually by the hearing officers.

**Standard of Proof:** The standard of proof used to

determine outcomes is the "preponderance of the evidence" standard. This standard allows for a finding of responsibility if, at the conclusion of the investigation, the information suggests it is more likely than not that a violation occurred. University policies are action-based; therefore, intent is not a factor when making a determination of responsibility. Intent may be considered when a sanction is issued.

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<sup>4</sup> In academic integrity and other select cases, an administrator or faculty member of the student's school may serve as a third hearing officer. The addition of a third hearing officer, along with the assignment, is determined collectively by the student's school and SCCS.

## G. Sanctioning

If a student is found responsible for a policy violation, sanctions will be issued in consideration of the specific circumstances of the case, institutional precedent, disciplinary history, aggravating and mitigating circumstances and community impact. A violation of prohibited conduct offends the core values of the Columbia community. Though each case is considered uniquely, a student found responsible for a prohibited conduct violation can expect to receive a minimum sanction of conditional disciplinary probation. A violation of academic integrity compromises the intellectual foundation of our institution. To violate that principle is one of the most serious offenses at Columbia University. Again, each case is considered uniquely; however, a student found responsible for an academic integrity violation can expect to receive a minimum sanction of disciplinary probation. Irrespective of the disciplinary outcome, faculty members reserve the right to assign grades as they deem appropriate.

### Sanctions and Disciplinary Records

The following sanctions allow a student to remain in good disciplinary standing:

- Disciplinary Warning: The student's behavior was in violation of policy and s/he has been educated regarding community standards. Additional violations of policy may result in further disciplinary action and more severe sanction(s).
- Conditional Disciplinary Probation: The student was found responsible for violating University policy. Due to mitigating circumstances, the student remains in good disciplinary standing on the condition that no future violations occur.

The following sanctions indicate that a student is not in good disciplinary standing<sup>5</sup>:

- Disciplinary Probation: The student was found responsible for a policy violation and is no longer in good disciplinary standing for a specific period of time. The student is permitted to continue academic progress at the University. Additional violations of policy may result in further disciplinary action and more severe sanction(s).
- Disciplinary Suspension<sup>6</sup>: The student is temporarily separated from the University for a specified period of time. During this period, the student is ineligible to participate in any Columbia University affiliated academic or extracurricular activities. Additionally, the student is not permitted to enroll in classes at any other institution for the purpose of transferring credit back to Columbia University.
- Expulsion<sup>7</sup>: The student is permanently separated from the University and will not be permitted to return at any time.

A student may also receive the following additional sanctions which include, but are not limited to:

- Suspension or permanent loss of housing: A student who loses the privilege of housing at Columbia is also not permitted to visit the residence halls or University owned or affiliated brownstones for an indicated period of time.
- Access restriction: A student who loses access to University facilities
- Removal from activities or services: A student is restricted from participation in academic or extracurricular activities and/or University organizations or restricted from University services.
- Educational projects or assignments
- Other sanctions (e.g., loss of host/guest privileges, restitution, compensatory services, removal from the housing lottery, etc.)

<sup>5</sup> In cases involving financially dependent undergraduate students, parent(s) and/or guardian(s) may be notified when a student is no longer in good disciplinary standing.

<sup>6</sup> Sanctions resulting in separation from the University, including disciplinary suspension or expulsion will be noted on a student's academic transcript.

**File Retention:** The disciplinary file is part of a student's educational record and is maintained by SCCS. This file generally contains a description of the alleged violation, supporting documentation, written statements, and official case-related correspondence. The University will maintain and report disciplinary files for a minimum of seven years from the date of incident or for four years after a student's graduation or separation, whichever extends the longest. After the maximum file retention period, the files will no longer be reportable except in cases resulting in suspension or expulsion which are retained indefinitely.

**Privacy and Reporting:** Disciplinary proceedings conducted by the University are subject to the Family Education Rights and Privacy Act ("FERPA," also called "The Buckley Amendment"). There are several important exceptions to FERPA that will allow the University to release information to third parties without a student's consent. For example, the release of student disciplinary records is permitted without prior student consent to University officials with a legitimate educational interest such as a student's academic advisor and to Columbia Athletics if the student is an athlete. The University will also release information when a student gives written permission for information to be shared. To obtain a FERPA waiver, please visit:

<http://www.columbia.edu/cu/studentconduct/documents/FerpaRelease.pdf>.

To read more about the exceptions that apply to the disclosure of student records information, please visit: <http://www.essential-policies.columbia.edu/policy-access-student-records-ferpa>.

Unless otherwise specified by the student, SCCS will only disclose disciplinary records for students who were considered not in good disciplinary standing. This record includes the student's violation(s), the corresponding sanction(s), and the date of determination.

Students and alumni may inquire about their disciplinary record by visiting:

<http://studentconduct.columbia.edu>.

**Prohibition on Recording/Unauthorized Copying and/or Distribution:** Recording any part of the Dean's Discipline process or unauthorized copying and/or distribution of any documents by any means is prohibited; copying includes, but is not limited to, audio recording, streaming, photographing, scanning, or any other form of reproduction that conflicts with the spirit of this directive. Allegations of non-compliance may result in disciplinary action.

## H. After the Hearing

**Notice of Outcome:** Once a finding and sanction, if applicable, are determined by the hearing officers, the student will be notified in writing within ten (10) business days from the date of the hearing. S/he is also permitted to schedule an appointment to review the hearing officers' notes, type or take handwritten notes from his/her file, and/or attach his/her own written addendum to the hearing notes. Appointment requests should be made via e-mail to [conduct-admin@columbia.edu](mailto:conduct-admin@columbia.edu).

**Requesting an Appeal:** A student found responsible for violating policy may appeal the outcome of the hearing officers and/or the sanction(s). All appeal requests for cases involving academic misconduct are forwarded to the Dean of the student's respective school. Other appeal requests may be forwarded by the Dean to an alternative designee. Appellate officers receive relevant training at least once a year on how the adjudication and appeal processes works. The three grounds for appeal are:

- **Procedural error:** An appeal based on procedural error must identify each instance of said error within the investigative and/or hearing process and said error must have substantially affected the fairness of the process;
- **New information:** An appeal based on new information must explain why this information was not available or not provided to the hearing officers in a timely manner, and how this information would substantially alter the decision by the hearing officers; and/or
- **Excessiveness of the sanction:** An appeal based on the imposed sanction must explain why this sanction is inappropriate based on the weight of the information provided during the investigation, hearing and/or sanction phases of the Dean's Discipline process.

**Disagreement with the finding or sanction(s) is not, by itself, a ground for appeal. Moreover, the purpose of an appeal is not to initiate a review of substantive issues of fact.**

A student may appeal the outcome and/or sanction within five (5) days after receipt of the decision/outcome letter, by filing the appeal electronically to SCCS, directing its attention to the appellate officer outlined in the decision/outcome letter. Attached to their appeal, the student may provide a written submission for the appellate officer to review. This written submission should be no longer than five (5) single-spaced typed pages, using size 12 Times New Roman font and 1-inch margins. Relevant attachments are permitted so long as the material to be considered is directly cross-referenced in the five-page appeal request.

In determining an outcome, the appellate officer will have the ability to review the complete file, including all exhibits and permitted student submissions, and with that information will make an appropriate outcome.

If the appellate officer concludes that a change in the hearing officers' outcome is warranted, the appellate officer may enter a revised outcome, reconvene the hearing officers to reconsider the outcome, or return the matter for additional investigation. The appellate officer can also change the sanction.

Regardless of the outcome of the appeal, the appellate officer will notify the student of the final decision in writing at their earliest convenience.<sup>8</sup> The appellate officer's decision is not appealable.

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<sup>8</sup> Responses to appeal requests directed to the Dean of the GSAS will be issued within ten (10) business days of receipt of the respective request.

## **I. Alternate Resolution Options**

The AVP (or designee) has discretion to refer a complaint for mediation or other forms of appropriate alternate resolution. All parties must agree to alternate resolution and are bound by the decision with no review/appeal. Any unsuccessful alternate resolution can be forwarded for formal processing and a Dean's Discipline hearing.

## **V. AMENDMENTS**

The University may amend these standards and/or procedures periodically. Nothing in the standards or procedures shall affect the inherent authority of the University to take such actions as it deems appropriate to further the educational mission or to protect the safety and security of the University community.



**Student Conduct and Community Standards**  
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