



# 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 conferral 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 their designee(s) are given responsibility for establishing certain standards of behavior for their students beyond the regulations included in the [Charters and 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 ("AVP") for Student Conduct and Community Standards ("SCCS") is appointed to oversee and manage the Dean's Discipline process at the behest of the Deans of each school adhering to the Standards and Discipline, or the "Policy," and accompanying procedures. The AVP may appoint administrative Hearing Officers to efficiently and effectively supervise and facilitate the Dean's Discipline process. Adoption of the following guidelines is at the discretion of the Dean of each school. *See the Appendix for a comprehensive list of schools participating.*

For the purposes of this Policy and the facilitation of the Dean's Discipline process, a "student" is defined as any person pursuing a degree from the University, or who has an academic relationship with the University, including those who are not officially enrolled for a particular semester.

## B. Interpretation and Revision

The AVP (or designee) will develop procedures for the administration of hearings that are consistent with provisions of the Policy. The AVP (or designee) may make minor modifications to procedure as necessary and will provide 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 if a new law or regulation requires 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 (or designee) of a student's respective school, whose interpretation is final.

The Policy will be reviewed and updated annually under the direction of the AVP (or designee) with a comprehensive review process being conducted annually.

# 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 its students. Students are 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. Please note that 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.

## B. Prohibited Conduct

The following is a list of allegations subject to Dean's Discipline and the subsequent section provides a further detailed description of the prohibited conduct. Policy violations include, but are not limited to, the following behavioral and academic misconduct:

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### **Behavioral Violations**

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

### **Academic Violations**

- Academic Dishonesty, Facilitation of
- Assistance, Unauthorized
- Bribery
- Cheating
- Collaboration, Unauthorized
- 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 of

## C. 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/Egress, 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, and/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 and/or dropping.

Additionally, gaining entry to and/or egress from any unauthorized space is prohibited. Prohibited spaces include, but are not limited to:

- roofs, fire escapes, windows and/or building ledges;
- some walkways, bridges, tunnels; and
- classrooms, buildings, laboratories, and/or libraries after hours.

### **Alcohol Policy, Violation 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;
- possessing and consuming alcohol in a prohibited area;
- 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/or
- taking part in games of chance, drinking games,

contests, and other activities that induce, encourage, and/or require consumption.

### **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 misconduct, is prohibited.

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

As stated on the back of the Columbia University Identification (“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 own CUID card when requested by a University official and may not use their CUID card in an unauthorized manner nor allow another person access to their CUID card.

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

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

### **Copying and/or Distribution, Unauthorized**

Unauthorized copying or distribution of any University record 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.

### **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.

### **Endangerment**

Knowingly and/or recklessly endangering the health or safety of others or oneself is prohibited. The implied or express consent of the person against whom such violence or force is used will not be considered a justification for engaging in prohibited behavior. Prohibited behaviors include, but are not limited to:

- acts that endanger human life, or threaten physical injury;
- unwanted physical contact with any person that reasonably places that person in fear of physical injury or danger is prohibited (e.g., physical restriction, fighting, pushing, punching, slapping, spitting on, and/or kicking any person).

### **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 official duties is prohibited.

### **Falsification**

Furnishing false information, when dealing with a University official or local law enforcement, is prohibited.

### **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, and/or University [fire safety policies](#) are prohibited. This includes, but is not limited to:

- possession and/or use of flammable materials, certain cooking items, or items that operate with an open flame (e.g., grills, lanterns, candles, or incense);
- starting a fire (including by means of careless cooking);
- pulling a false fire alarm;
- tampering with fire safety equipment; or
- failing to evacuate during a fire alarm.

### **Harassment**

Harassing any individual for any reason is prohibited at Columbia University. Harassment is defined as unwelcome verbal or physical conduct/threat of physical conduct that, because of its severity, pervasiveness, and/or persistence, interferes significantly with an individual's work or education, or adversely affects an individual's living conditions. Harassment of an individual may occur in person, via electronic means, or through a third party.

### **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.

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

The possession or use of illegal drugs, unauthorized controlled substances, and/or drug paraphernalia when not in accordance with the law or established policy (i.e. [Columbia University Policy on Alcohol and Drugs](#) and the *Guide to Living*) is prohibited. This includes, but is not limited to:

- the sale, distribution, intent to distribute, or manufacturing of illegal drugs or controlled substances; or
- unauthorized use, possession, or distribution of prescription medication(s).

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

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

### **Retaliation**

Any adverse action or threatened action, taken or made, personally or through a Third-Party, against someone who has filed any complaint or has been the subject of a complaint or any other individual (a Hearing Officer, Witness, Third-Party Reporter, or Advisor) who engages with an established disciplinary process is prohibited.

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

Smoking is prohibited in any indoor areas, 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). Additionally, the possession of smoking-related devices is prohibited in University residence halls and brownstones.

### **Surveillance/Photography, Unauthorized**

The installation and/or use of any device for listening to, observing, photographing, recording, amplifying, transmitting, or broadcasting sounds or events in any place where the individual(s) involved has a reasonable expectation of being free from unwanted surveillance, eavesdropping, recording, or observation, without the consent of all persons involved, is prohibited.

### **Theft**

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

### **University Policies, Violation of**

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\*](#), the [\*Undergraduate International Travel Policy\*](#), and the [\*Guide to Living\*](#).<sup>1</sup> Community members may find other University policies at: <http://studentconduct.columbia.edu/>.

### **Vandalism/Damage to Property**

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

### **Weapons**

The unauthorized possession, use, or distribution of weapons on University property or during the course of any University sanctioned travel, is prohibited. Weapons include, but are not limited to:

- explosives (e.g., fireworks and ammunition);
- guns (e.g., air, BB, paintball, facsimile weapons and pellet guns); and/or
- other weapons or dangerous objects (e.g., arrows, axes, machetes, nunchucks, throwing stars, brass knuckles, or knives with a blade longer than 3 inches).

Additionally, the storage of these items in a vehicle parked on University property is prohibited.

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<sup>1</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.

## **D. Academic Violations**

Academic misconduct violates the principle of intellectual integrity that is the foundation of our institution. To violate that principle is one of the most serious offenses a student can commit. Faculty and instructors may list specific expectations on a course syllabus and examples of academic misconduct are listed in the Bulletin and policies of the schools at Columbia University. Additionally, violations of academic integrity include, but are not limited to:

### **Academic Dishonesty, Facilitation of**

Knowingly or negligently engaging in behavior that assists another student in a violation of academic integrity is prohibited.

### **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 something 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, or submitting an altered examination or assignment to an instructor for re-grading.

### **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, or intentionally underperforming on a placement exam.

### **Ethics, Honor Codes, and Professional Standards, Violation of**

Violating established 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. This includes, but is not limited to: leaving work on public computers; sharing work with other students for a completed course without authorization from the course instructor; and sharing course notes without authorization.

### **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. Methods of distribution include but are not limited to: uploading to public websites such as CourseHero or Github; emailing; sharing through Courseworks or Canvas; or taking and/or distributing

unauthorized recordings of lectures/course instructions.

### **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 that do not belong to the student, 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. This includes, but is not limited to: altering another student's experiment data; disrupting the experiments or tests of others; taking actions which prevent others from completing work; or making modifications to parts of a group project without the knowledge of contributors.

### **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

Dean's Discipline is the process utilized to investigate and respond to allegations of behavioral or academic misconduct. Through this process, SCCS communicates the expectation that all students act in an honest way and respect the rights of others at all times. 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 to SCCS that a student has violated a policy of the University or the student's affiliated school or program. Any person participating in the Dean's Discipline process is obligated to be honest and act in good faith. Any person who knowingly makes a false statement in connection with the investigation may be subject to separate disciplinary action.

#### 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. Lack of awareness or understanding of University policies does not excuse a violation.

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 occur on University property, or allegations of misconduct that occur off campus, if such off-campus misconduct 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 Dean's Discipline process unless that investigation reveals behavior that is particularly egregious and damaging to the well-being of the University community. SCCS may temporarily delay the Dean's Discipline process while criminal or civil proceedings are pending; however, interim measures may be taken immediately. In the event that the Dean's Discipline process is delayed, it is the responsibility of the student to notify SCCS when the outside proceedings have concluded.

In certain cases, SCCS reserves the right to initiate the Dean's Discipline process to respond to, investigate, and adjudicate misconduct during any concurrent law enforcement proceeding and is not obligated to suspend the process until 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 in most situations the reporter(s) and/or Witness(es) will not participate in the hearing directly, SCCS may request that the reporter(s) and/or Witness(es) participate in an interview, or submit a written statement at any point during the Dean's Discipline process. Because the determination of responsibility is based on a student's behavior and not his/her character, character references are not considered by the Hearing Officers.

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 credible information to support each element of the violation, even if that information is merely a credible 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 alternative means, if applicable.

**Anonymity:** SCCS will maintain anonymity when reasonable. Circumstances where SCCS will make a concerted effort to maintain anonymity include, but are not limited to: fear of retaliation; harassment; or any other inappropriate response to a report of misconduct. Reporters should know that anonymity may impact the ability of SCCS to investigate alleged misconduct and

ensure appropriate outcomes.

**Interim Measures:** In certain circumstances during the investigative process, SCCS 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 may include: 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/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 AVP for Student Conduct and Community Standards and the Dean of the student's respective school.

**Retaliation:** As stated above in Section C: Prohibited Conduct, retaliation includes any adverse action or threatened action, taken or made, personally or through a Third-Party, against someone who has filed a complaint, or has been the subject of a complaint, or any other individual (a Hearing Officer, Witness, Third-Party Reporter, or Advisor) who engages with the process.

- All individuals and groups of individuals, not just the parties to a case, are prohibited from engaging in retaliation. Retaliation can refer to actions or threatened actions by any individual, including students and others who are not engaged with SCCS.
- Retaliation includes threatening, intimidating,

harassing, or any other conduct that would discourage a reasonable person from engaging in activity protected under this document, such as seeking services; reporting misconduct; or participating in the Dean's Discipline process, including as a Reporter, Witness, Third-Party, or Advisor.

- Retaliation includes maliciously or purposefully interfering with, threatening, or damaging the academic or professional career of another individual, before, during or after the Dean's Discipline Process and/or resolution of a report of misconduct under the Policy.
- Retaliation may also include violations of a no-contact directive or other interim measures put in place during the course of the Dean's Discipline process.
- This provision does not apply to reports made or information provided in good faith, even if the facts alleged in the report are determined not to be accurate.
- Allegations of retaliation may be reviewed in conjunction with or apart from matters currently under review based on SCCS's assessment of the circumstances of the allegation.

## **B. Alternate Resolution Options**

The AVP (or designee) has discretion to refer a complaint for mediation or other forms of appropriate alternate resolution. This determination is made at the onset of receiving a report. Any unsuccessful alternate resolution maybe forwarded for formal processing and/or a Dean's Discipline hearing.

### **Mediation**

If the AVP (or designee) determines that mediation may be an appropriate resolution for an allegation of misconduct, mediation will be proposed to the parties. The purpose of mediation is for parties to identify the harms that were caused by a student's actions and meet, with the assistance of a trained facilitator, to determine the best method for repairing those harms. The parties

will be asked not to contact each other to discuss mediation. Mediation will be used only with the consent of both parties, and either has the right to terminate the mediation process and resume the Dean's Discipline process at any time.

The mediation process will typically commence within 10 days after SCCS receives consent to mediate from both parties, and will continue until concluded or terminated by either of the parties or SCCS. If the mediation results in a resolution, the review process will be concluded and the matter will be closed. If a resolution cannot be reached, other forms of resolution will be considered, including Dean's Discipline.

During mediation, facilitators will guide a discussion between the parties -- either with both parties present, or with both parties separately through caucus mediation -- with the goal of identifying the harm caused by the offense and how the harm can be repaired. Together or separately, the parties and the facilitators will create an agreement that may include items such as apology letters, agreement to a no-contact directive, restriction of access, and/or education related to the offense. The content of the agreement is created on a case-by-case basis, and students are supported in creating their own agreements. SCCS will monitor the parties' adherence to the proposed solution and close the matter when compliance is deemed satisfactory.

### C. Notice and Scheduling

If a Dean's Discipline hearing is required, notice will be sent via University e-mail and will include a summary of the allegations made against him/her. Dates and times for disciplinary hearings are scheduled by SCCS 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 Dean's Discipline process, the Hearing Officers reserve the right to add or modify the allegation(s) based on information gathered throughout the investigation to more appropriately reflect the nature of the incident.

A student's participation in the Dean's Discipline process is mandatory. If a student fails to participate in the Dean's Discipline process after the second notification, a decision may be rendered in his/her absence.

If a student requests a leave of absence or withdrawal, the student will be required to participate in the Dean's Discipline process and may do so before leave, but must do so before return to the University. If a report is received while a student is on leave, they will be expected to participate in the Dean's Discipline process upon return to the University.

### D. Preparing for the Hearing

In preparation for the hearing, the student should schedule a file review, and prepare a written statement describing his/her perspective regarding the allegation(s). Students are also encouraged to meet with an Advisor or a Dean's Discipline Student Navigator ("Navigator") and to speak with staff members from Counseling and Psychological Services (CPS) or other healthcare professionals should s/he 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 time at least one business day in advance with an SCCS staff

member to view his/her file at SCCS. Exceptions to these expectations are made only in extenuating circumstances and must be approved by SCCS. To schedule an appointment contact SCCS via e-mail at [conduct-admin@columbia.edu](mailto:conduct-admin@columbia.edu).

During the file review, the student will receive an overview of the Dean's Discipline process, and will then be permitted to review his/her file. A student may only take notes (typed or written) on information contained in his/her file.

Prohibition on Unauthorized Copying and/or Distribution: 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.

The student may discuss procedural information about the Dean's Discipline process; however, questions regarding the specificity of allegations, outcomes, and/or sanctions will only be discussed during the Dean's Discipline hearing.

**Dean's Discipline Student Navigator:** Undergraduate students are recommended to meet with a Dean's Discipline Student Navigator ("Navigator"). Navigators are undergraduate students who assist in upholding community standards at Columbia University through engagement with their peers. Their primary role is to provide their peers, engaged in the Dean's Discipline process, with an opportunity to meet with another student who has a deep understanding of and respect for this Policy. Navigators can answer procedural questions and provide advice on how to best prepare for the hearing. Navigators are not privy to case information, unless the student chooses to disclose that information. A student can request a Navigator by contacting SCCS at [conduct-admin@columbia.edu](mailto:conduct-admin@columbia.edu).

Please note every effort is made to accommodate all requests for a Navigator. However, meeting with a

Navigator cannot be guaranteed, as they are also students/students first. Furthermore, the absence of a meeting with a Navigator is not considered grounds for: (1) delaying a file review, (2) delaying a hearing, or (3) an appeal.

**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 5 single-spaced typewritten pages, using size 12 Times New Roman font and 1-inch margins. If additional attachments or information are provided, the material under consideration 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. Alternatively, a student can submit his/her written statement at the hearing.

**Role of the Advisor<sup>2</sup>:** Only undergraduate advising deans and/or designated administrators from graduate and professional schools may advise and accompany students participating in the Dean's Discipline process. As determined by SCCS and only in select cases, SCCS Case Managers may also serve as Advisors to students. 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.

## E. The Hearing

The hearing is the opportunity for students to learn of and respond to the available information that supports

the allegations. The hearing will be facilitated by at least two (2) Hearing Officers: one from SCCS and the second from SCCS, or an administrator or faculty member from the student's respective school (see Appendix for school specific hearing procedures).

## F. 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.
- A summary of the hearing will be documented and included in the student's case file for future review.

## G. Determining Responsibility

Following the investigation and the conclusion of the hearing, a determination whether the student is responsible for the violation(s) is rendered.

**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 if a sanction is issued.

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<sup>2</sup> If additional support persons accompany the student to the proceedings, accommodations will be made for them outside of the hearing location.

## H. Sanctions

If a student is found responsible for a violation of prohibited conduct, sanctions will be issued in consideration of the specific circumstances of the case, institutional precedent, disciplinary history, aggravating and mitigating circumstances, including the student's state of mind (intentional, knowing, bias-motivated, reckless, negligent, etc.), and/or community impact.

Prohibited conduct offends the core values of the Columbia community. Though each case is considered uniquely, a student found responsible for policy violation(s) should expect to receive a minimum sanction of Conditional Disciplinary Probation. A violation of academic integrity compromises the intellectual foundation of the institution. To violate that principle is one of the most serious offenses at Columbia University. Although each case is considered uniquely, a student found responsible for academic-related policy violation(s) should 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.

### How Sanctions are Determined

In determining a sanction, the Hearing Officers will impose sanctions that are:

- Fair and appropriate, given the facts of the particular case;
- Consistent with the University's handling of similar cases;
- Adequate to protect the safety of the campus community and/or the integrity of the academic environment; and
- Reflective of the seriousness of prohibited conduct.

Students found responsible for any of the above violations should expect that a commensurate sanction will be issued. Subsequent violations of policy may result in further disciplinary action and more severe sanction(s).

## Sanction Options

The University may impose one or more of the following sanctions on a student determined to have violated the Policy:

- Disciplinary Warning: The student remains in good disciplinary standing and has been educated regarding community standards.
- Conditional Disciplinary Probation: 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:

- Disciplinary Probation: The student is no longer in good disciplinary standing for a specific period of time. The student is permitted to continue academic progress at the University.
- Disciplinary Suspension: 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: 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 and/or campus property.
- Removal from activities or services: A student who is restricted from participation in academic or extracurricular activities and/or University organizations, or restricted from University services.
- Educational projects or assignments: Tasks may include but are not limited to participation in the BASICS program, alcohol and other drug screenings, research/reflection assignments, action plans, and/or Lynda learning tutorials.
- Other sanctions: Hearing Officers may implement other sanction(s) that they determine to be appropriate for the particular case (e.g., loss of host/guest privileges, restitution, compensatory services, removal from the housing lottery, etc.).

## Important Sanctioning Details

Parent/Guardian Notification: 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.

Transcript Notation: Notations will be placed on a student's transcript if s/he received a sanction resulting in separation from the University or if s/he withdrew from the University with pending disciplinary action. These transcript notations, respectively, will read as follows: Disciplinary Suspension; Disciplinary Expulsion; or Withdrawn with Disciplinary Action Pending.

Access Restriction Status (ARS): ARS is a status which indicates that, either through interim action or the outcome of the Dean's Discipline process, a student has been removed from a campus residence and/or restricted in his/her movements on campus.

Persona Non Grata (PNG): PNG is a restriction placed upon a student whom, as a result of either interim action or outcome of the Dean's Discipline process, is banned from all University owned buildings/property.

No Contact Directive (NCD): NCDs may be issued to students to create restrictions on their communication with specific individuals or entities. NCDs may be issued as a result of either interim action or outcome of the Dean's Discipline process to ensure the safety and wellbeing of all members of the Columbia community. NCDs prohibit students from contact including, but not limited to: personal contacts, written communications, text messaging, social media and other electronic communications, or communications through a third party, whether on or off campus, with a designated party or entity.

## I. 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 10 business

days from the date of the hearing. The student is permitted to schedule an appointment to review the summary of the hearing, type or take handwritten notes from his/her file, and/or attach his/her own written addendum to the hearing summary. Appointment requests to review case file contents should be made at least one business day in advance 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 and/or sanction(s) of the Hearing Officers. Appeal requests for academic misconduct will be forwarded to the Dean of the student's school. Appeal requests for behavioral misconduct will be forwarded to the Dean, or designee, listed in the student's outcome letter. The Dean, or designees, serving as 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 with specificity each alleged error(s) within the investigative and/or hearing process and the ways in which the specified error(s) substantially affected the decision and/or sanction to the detriment of the student;
- New information: An appeal based on new information must explain why this information was not available or not provided to the Hearing Officers at the time of the hearing or in a timely manner, and how this information would substantially alter the decision rendered by the Hearing Officers. Additionally, if a party declined to participate or withdrew from the process the Appellate Officer will not consider information that the party could have provided if they had fully participated in the process;
- Excessiveness of the sanction: An appeal based on the imposed sanction must explain why a 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) business days after receipt of the decision/outcome letter by filing the appeal electronically to SCCS, and directing its attention to the Appellate Officer outlined in the decision/outcome letter. The appeal should be no longer than five (5) pages single-spaced typed pages, using 12 Times New Roman font and 1-inch margins. Relevant attachments are permitted so long as the material is directly cross-referenced in the appeal request.

The purpose of an appeal is not to initiate a review of substantive issues of fact, or for a new determination of whether a violation of the Policy has occurred. The Appellate Officer is strictly limited to determining whether an appeal should be granted based on the above three grounds for appeal. 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 issue an appropriate response. The Appellate Officer may also request additional information from the Hearing Officers regarding issues of procedural irregularity or new evidence, and/or from SCCS regarding sanctioning precedent.

The Appellate Officer may take the following actions:

- Affirm the decision and/or sanction;
- Revise the sanction; or
- Return the matter back to the Hearing Officers for further consideration.

If the matter is returned to the Hearing Officers, the Appellate Officer will provide instructions regarding the nature and extent of the reconsideration. Following reconsideration by the Hearing Officers, further proceedings will be conducted, as appropriate.

Regardless of the outcome of the appeal, the Appellate Officer or designee will notify the student of the final decision in writing at his/her earliest convenience. The Appellate Officer's decision is final.

Students may submit an appeal electronically at: <http://bitly.com/scsddappeal>.

## **J. Privacy and Reporting**

**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 maintains all disciplinary files for a minimum of 7 years from the date of incident or for 4 years after a student's graduation or separation, whichever extends the longest. In certain circumstances, information in retained files may be reported to third-parties with the written permission of the student, in accordance with the Family Education Rights and Privacy Act ("FERPA," also called "The Buckley Amendment"). 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.

**Records Disclosure:** Disciplinary proceedings conducted by the University are subject to FERPA. 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/or to Columbia Athletics if the student is an athlete. This may include, but is not limited to: honors, prizes, and/or fellowships.

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 ever 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>.

## V. AMENDMENTS

The University may amend this Policy periodically, as needed. Nothing in the Policy 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.

## VI. APPENDIX

### School-Specific Hearing Procedures

School-specific hearing procedures may be instituted at the discretion of the Dean of each respective school, in consultation with the AVP, or designee. Deviations from the above outlined Dean's Discipline process are generally reserved for cases involving the most serious forms of misconduct. Below is specific information related to these deviations:

School	Hearing Officers	Advisor	Alternative Hearing Process
<b>Graduate School of Arts &amp; Sciences (GSAS)</b>	Up to three Up to Two – GSAS; Up to Two – SCCS	Upon Request	Not Applicable
<b>Columbia College (CC)</b>	Up to three Up to Two – SCCS; One – CC/SEAS	Advising Dean	Not Applicable
<b>College of Dental Medicine (CDM)</b>	Two One – SCCS; One – CDM;	Upon Request	Not Applicable
<b>The Fu Foundation School of Engineering and Applied Science (SEAS) Undergraduate</b>	Up to three Up to Two – SCCS; One – CC/SEAS	Advising Dean	Not Applicable
<b>School of General Studies (GS)</b>	Two One – SCCS; One – GS	Academic Advisor or Dean of Students' designee	Not Applicable
<b>School of Professional Studies (SPS)</b>	Two One – SCCS; One – SPS	Upon Request	Not Applicable
<b>Mailman School of Public Health (MSPH)</b>	Two One – SCCS; One – MSPH	Upon Request	Not Applicable

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