

Guidelines for the Rules of University Conduct

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INTRODUCTION

AFFIRMATIVE STATEMENT

Every member of our community retains the right to demonstrate, to rally, to picket, to circulate petitions and distribute ideas, to partake in debates, to invite outsiders to participate, and to retain the freedom to express opinions on any subject whatsoever, even when such expression invites controversy and sharp scrutiny. We expect that members of our community will engage in public discussions that may confront convention. Free expression would mean little if it did not include the right to express what others might reject or loathe.

To learn more, we encourage you to review the Affirmative Statement in its entirety in [§440 OF THE RULES OF UNIVERSITY CONDUCT](#).

HISTORY OF THE RULES

The Rules of University Conduct (the Rules) date back to the Columbia University protests of 1968. Following those protests, the Columbia University Senate passed a referendum adopting the Rules and creating the Committee on Rules of University Conduct (the Committee). Any amendments to the Rules need the approval of not only the University Senate, but also the Trustees.

The Rules have three sections. The first section defines the limits on acceptable forms of protest by listing types of activities that are considered violations. The second section defines how demonstrations should be managed, creating positions for that purpose. The last section explains the disciplinary process.

In 2013, the Committee started examining our history, holding town halls, and obtaining input from our diverse community. After an arduous review, the Rules were revised in 2015. The Committee would like to highlight two particular changes to the Rules.

First, the revised Rules include an Affirmative Statement that emphasizes Columbia's commitment to the right of freedom of expression for every member of the University and our ability to openly demonstrate, rally, picket, and circulate petitions, while still protecting the rights of others and allowing the University to continue to function normally.

Second, the revised Rules, which apply University-wide, provide for one system that governs the disciplinary process and are designed to provide procedural due process protections for those accused of violating these Rules. Further, the Rules now provide greater clarity, choice, and predictability. The most significant revisions to the disciplinary process are changes that (a) streamline the adjudicatory procedure, (b) separate charging from sanctioning, and (c) establish an independent University Judicial Board as the hearing panel and sanctioning body for all

respondents. Together, these revisions will result in a process that is more transparent, uniform, and consistent in application.

In accepting membership in Columbia University's community, we agree to be bound by, and to honor, the Rules.

COMMITTEE ON RULES OF UNIVERSITY CONDUCT

The Committee may from time to time facilitate a public discussion, engaging faculty, students, and staff, about whether revisions to the Rules are merited. The Committee shall also prepare any guidelines or materials that will facilitate implementation of the Rules.

PURPOSE OF THE GUIDELINES

These guidelines have been written by the Committee to assist the Rules Administrator, as well as the members of the University Judicial Board and Appeals Board, as they investigate and adjudicate alleged violations of the Rules. However, some of the principles outlined may also assist all members of our community to better understand the content of the Rules and how an alleged violation is handled. The guidelines provide insight into the Committee's rationale and *spell out* the investigation, hearing, and sanctioning process for matters in which individuals are accused of violating the Rules.

To learn more, we encourage you to review the [Rules of University Conduct](#).

AMENDMENT TO THE GUIDELINES

The Rules Administrator, or members of the hearing panels, may submit a request to the Committee for revisions to the guidelines or other implementation materials. The Committee may also on its own initiative review the guidelines and implementation materials for potential revisions. As part of the review process, the Committee may, as appropriate, engage with the Rules Administrator, the University Judicial Board, the Appeals Board, the broader campus community, and the President regarding whether revisions are merited. Any revisions must be approved by the Committee.

RULES ADMINISTRATOR

The Rules Administrator has primary responsibility for the administration of these Rules. He/she shall maintain and have custody of the records of proceedings under these Rules; shall prepare and serve notices and other documents required under these Rules; shall accept and investigate complaints, file charges, organize informal settlements, and present evidence in support of charges to the hearing panels.

PROHIBITED CONDUCT

The Committee affirms that the freedoms we enjoy are not boundless.

The University reasonably regulates the time, place, and manner of certain forms of public expression. The right to demonstrate cannot come at the expense of the right of others to counter-demonstrate, to teach, or to engage in academic pursuits requiring uninterrupted attention. As is true of the larger community in which the University sits, the University must protect the rights of all to engage in their callings and express their own views.

The University may restrict expression that constitutes a genuine threat of harassment, that unjustifiably invades an individual's privacy, or that defames a specific individual. These forms of expression stand apart because they do little if anything to advance the University's truth-seeking function and they impair the ability of individuals at the University to participate in that function. The University has an obligation to assure members of its community that they can continue in their academic or professional pursuits, or employment, without fear for their personal security or other serious intrusions.

VIOLATIONS

The Rules define the limits on acceptable forms of protest. They do so by listing 20 types of activity that are considered violations and may include a broad range of behaviors that are related to, or resulting from, a demonstration such as a rally or picketing. None of the violations make any reference to the expression of opinion. They all concern actions that, for example, injure others or infringe upon the access of others to the University's resources and programs. A violation of the Rules can occur separately from, or simultaneously with, another form of prohibited conduct.

To learn more, we encourage you to review the Violations in their entirety in [§443 OF THE RULES OF UNIVERSITY CONDUCT](#).

MANAGING EVENTS

The Rules define how demonstrations should be managed, creating positions for that purpose.

DELEGATE(S)

While the Rules Administrator has overall responsibility for administering the Rules, the Rules also designate Delegates as the front-line enforcers of the Rules. Delegates may be called upon to enforce these Rules by anyone subject to them, including faculty, students, and staff, or they may proceed to enforce them on their own initiative. The Rules Administrator shall be kept informed of all actions and charges undertaken by a Delegate.

SUMMONING A DELEGATE

If any member of the University community believes that participants in an assembly or other demonstration are violating the Rules, he or she should notify the appropriate Delegate(s) directly or by contacting the Rules Administrators and/or The Office of Public Safety. The Delegate(s) shall proceed to the site of the demonstration, identify themselves, and gather information (for possible transmission to the Rules Administrator), including the identities of any participants who the Delegate thinks are violating the Rules, and the facts surrounding the demonstration.

WARNING AND ADVICE

Properly identified Delegates might warn those parties whose actions they consider to be in violation of these Rules. However, a member of the University community may be charged with a violation of these Rules even if no prior warning has been given or perceived.

MEDIA CREDENTIALING

Fixed Time Period Editorial Staff Identification Badge: It is recommended that at the beginning of each academic year, the Columbia Daily Spectator, BWOG, and the Columbia Lion issue a 12-month Editorial Staff Identification Badge to its correspondents; to qualify, a correspondent must be on the editorial staff of the publication. An Editorial Staff Identification Badge must include: publication name, correspondent name, UNI, photograph, date of issue (September 1, YEAR), and date of expiration (August 30, YEAR). The Editorial Staff Identification Badge is not transferrable and may be revoked at any time by the publication's editor-in-chief. The purpose of the badge is merely to identify an individual as being on the editorial staff of the publication. It does not authorize access to an event, a high profile area, or a secure area. It is also recommended that at the beginning of each academic year the publication send to the Rules Administrator and Public Safety a list of its editorial staff who have been issued identification badges as well as provide timely updates of revisions to the list.

Event Specific Credentialing: Some pre-planned events might allow access for, or might issue press passes to, members of the media whether they are freelance journalists or on the staff of an institutional news organization. In these situations, the Columbia University issuing authority will review credentials and determine whether to grant access to an event or issue press passes and how many will be allowed for the event. Access is allowed only to a specific event. The issuing authority maintains discretion to confer or deny press credentials to applying individuals.

Impact of Media Credentialing: Person's issued Editorial Staff Identification Badges or Event Specific Press Credentials are entitled to a presumption that the holder is acting in their role as press and not in violation of the Rules in (1) matters to be investigated by the Rules Administrator, and (2) determining responsibility under the Rules of University Conduct by the University Judicial Board. This presumption may be overcome if it established by Probable Cause, either by the Rules

Administrator or the Rules Administrator or the University Judicial Board in their respective proceedings, that the pass holder was acting outside their role as press.

REPORTING AN ALLEGED VIOLATION

Any member of the University who believes a violation of the Rules has been committed may file a written complaint, either on paper or electronically via U.S. mail, email, or online portal, with the Rules Administrator. The complaint shall state with particularity the person(s) involved, the nature of the offense, and the circumstances under which the offense may have been committed.

The Rules Administrator may consider requests for anonymity made by a 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 retribution, harassment, or any other inappropriate response to the disclosure of such individual's name.

An online submission form may be found on the website for the University Senate.

DISCIPLINARY PROCESS

The last section of the Rules explains the disciplinary process. The Revised Rules separate charging from sanctions. The Rules Administrator may investigate an alleged violation and may charge an individual with a violation of the Rules. If an individual accepts responsibility, the matter will proceed to the sanctioning stage with sanctions determined by the Chair of the UJB. If an individual does not accept responsibility, only the University Judicial Board may determine whether the actions of the accused were in violation of the Rules. If the panel finds the respondent responsible, the matter will proceed to the sanctioning stage by the UJB.

RIGHTS OF THE RESPONDENT

PRIVACY

The University will reveal information only to those who need to know the information in order to carry out their duties and responsibilities. It will inform all University personnel participating in an investigation, proceeding, or hearing that they are expected to maintain the privacy of the process and of the respondent. A respondent who successfully requests that a hearing be open may waive his/her rights to privacy.

ADVISORS

It is intended that the respondent will take the lead in responding to the charge(s). The respondent may be accompanied to any meeting or hearing related to an incident of misconduct by up to **two** advisors of his/her choice. Each meeting or

hearing may be attended by different advisors. It is not required that the same advisor(s) attend all meetings and hearings. During meetings and hearings, an advisor may talk quietly with the respondent or pass notes in a non-disruptive manner. The advisor may not intervene in a meeting or hearing, or address the Rules Administrator or hearing panel, including by questioning witnesses or making objections. If a respondent desires to have an attorney serve as his/her advisor and is unable to retain an attorney, the respondent may submit a request to the Office of the Executive Vice President for University Life. The University Office of General Counsel will arrange for a volunteer attorney-advisor.

To learn more about the role of the advisor(s), we encourage you to review [§446 OF THE RULES OF UNIVERSITY CONDUCT](#).

TIME FRAME

The University will seek to resolve every report of misconduct within approximately two (2) months of an incident, not counting any appeal.

NOTICE

The Rules Administrator will give the respondent a written explanation of his/her rights and options as soon as possible after an incident is reported. The University will also ensure that the respondent is updated throughout the investigative process, including with timely notice of meetings where the respondent may be present.

CONFLICTS OF INTEREST

The University requires any individual participating in the investigation, hearing, sanctioning, or appeal process to disclose to the University any potential or actual conflict of interest.

If a respondent believes that any individual involved in the process has a conflict of interest, the respondent has three (3) business days from receiving notice of his/her participation to make a written request that the individual not participate.

The written request must include a description of the conflict and be submitted to the Office of the Executive Vice President for University Life. The request will be reviewed by the Executive Committee of the University Senate and, if approved, the individual with a conflict will be replaced as follows:

1. The Chair of the UJB

The Chair of the UJB will be replaced by, if available, the Vice Chair of the UJB. If the Vice Chair is not available to serve, the Chair of the UJB will designate a new Chair from the pool of alternates for the respondent's case.

2. Other Members of the UJB

The Chair of the UJB will select a replacement from the pool of alternates for the respondent's case.

3. Members of the Appeals Board

The Chair of the Appeals Board will select a replacement from the pool of alternates for the respondent's case.

4. The Rules Administrator

An Assistant Administrator will be appointed by the President after consultation with the Executive Committee of the University Senate and shall oversee the respondent's case.

To learn more, we encourage you to review the Rights of the Respondent listed in [§446 OF THE RULES OF UNIVERSITY CONDUCT](#).

INVESTIGATION PROCESS

The Rules Administrator is required to gather information in relation to a particular allegation and to carry out a thorough investigation of a complaint. If the Rules Administrator is away when a complaint is filed, the Rules Administrator may submit a request to appoint one or more Assistant Administrators who may act in his/her stead until he/she returns. The request should go to the President who will, in consultation with the Executive Committee of the University Senate, appoint an Assistant Administrator to serve until the Rules Administrator returns. If feasible, the Assistant Administrator must keep the Rules Administrator apprised of all aspects of the case until the Rules Administrator returns. Persons otherwise concerned with the disciplinary procedures of a particular school or division may not be appointed as the Rules Administrator or an Assistant Administrator.

PRIOR CONDUCT VIOLATIONS

The Rules Administrator may consider the respondent's prior conduct if the respondent was previously found to be responsible, or the previous incident was substantially similar to the present allegation(s) and/or the information indicates a pattern of behavior by the respondent.

EXTERNAL INVESTIGATION

The University may need to temporarily delay an investigation while law enforcement is gathering evidence, but it will resume the investigation after it learns that law enforcement has completed its evidence gathering and will generally not wait for the conclusion of any related civil or criminal proceeding.

INITIAL ASSESSMENT OF COMPLAINTS

The Rules Administrator must determine whether there is substance to a complaint

that an individual has violated the Rules. If the Rules Administrator dismisses a complaint, he/she will notify the complainant and the respondent in writing.

PLANNING AN INVESTIGATION

If an investigation proceeds, the Rules Administrator will notify the respondent in writing of the allegation(s). The respondent should be informed that he/she may not attempt to discuss the matter with either the Complainant. If the respondent does, he/she may be charged with additional violations, such as violations of the Student Code of Conduct.

The Rules Administrator will conduct interviews and will gather pertinent information and documentation. The Rules Administrator will inform the Dean of the relevant school(s) that an investigation is commencing and will seek to coordinate any disciplinary proceedings. The Rules Administrator will direct the respondent, witnesses, and other interested individuals to preserve any relevant evidence.

CONDUCTING INTERVIEWS

The Rules Administrator should interview any person identified who may be able to provide information relevant to the investigation, but he/she will not interview witnesses whose sole purpose is to provide character information.

All witnesses should be advised of a suitable meeting date and be given reasonable notice. The witness should be advised that the purpose of the meeting is to discuss in detail his/her account of a particular incident or allegation.

The Rules Administrator may have an assistant available to take detailed notes of the meeting for use with the investigation and, where appropriate, for use with drafting a witness statement.

During the meeting, the Rules Administrator should explain the context of the interview; advise for what purpose the meeting notes and subsequent statement may be used; explain how and when the interviewee may review the notes or statement; reiterate the importance of confidentiality; and explain the next steps.

WITNESS STATEMENTS

Any notes taken during the investigation interviews may be typed and verified and signed by the witness. This is essential if a written witness statement is not prepared. Witnesses should be made aware that the investigatory notes are not verbatim and are instead a record of the discussion. Witnesses should be advised that if they wish to make any amendments to the written notes that these should be included in a separate document. If a witness statement is prepared, the witness must be given the opportunity to review the statement and sign to confirm if they accept it to be a true and accurate version of events.

DECLINING TO PARTICIPATE

Respondent Declines to Participate: A respondent may decline to participate in the investigation or adjudication process. The University may continue the process without the respondent's participation. In most cases, a refusal to participate in the investigation process will preclude a respondent from participating before the hearing panel.

Witness Declines to Participate: If a witness refuses to participate, where possible, the Rules Administrator may meet with the witness to find out the reasons why they do not wish to participate, to discuss the process which will be followed, and to provide reassurances of the support which will be available to the witness. The University may continue the process without a formal statement by the witness.

INFORMAL RESOLUTION

The Rules Administrator may seek to resolve certain cases through an informal process with the respondent. This type of informal resolution can take place during the investigation or after its conclusion. If these efforts are unsuccessful, the disciplinary process will continue.

PREPARING AN INVESTIGATION REPORT

If a charge is filed against the respondent, the Rules Administrator will prepare an Investigation Report, which will include a review of all relevant evidence gathered during the investigation. This may include, but is not limited to, notes from interviews, witness statements, copies of correspondence, photographs, transcripts of audio/video recordings, relevant policies and procedures, and evidence of custom and practice, etc.

The Rules Administrator should be mindful of document management issues ensuring that original documents are maintained as master file copies, and that information on the source of a document is noted appropriately. A sample Investigation Report may be found in the appendix of this guidance document.

RESPONDENT'S RESPONSE TO THE INVESTIGATION REPORT

After the respondent has had an opportunity to review the Investigation Report and related material, the Rules Administrator will ask the respondent to respond to the alleged violation in one of the following ways: (1) Responsible; (2) Not Responsible; or (3) No Response. If the respondent accepts responsibility, the matter will proceed to the sanctioning stage, followed by any appeals.

ADJUDICATION PROCESS

If the respondent declines responsibility, or chooses not to respond, the matter will proceed to the hearing stage. If the respondent selects not to respond, this shall not be considered to be an admission of responsibility.

The Rules Administrator will submit the charge(s) to the University Judicial Board (UJB). The UJB shall hear all charges of violations of these Rules and will determine whether the respondent is responsible or not responsible for a violation of the Rules.

PREPARING FOR THE HEARING

The Rules Administrator should inform the respondent of who will be on the hearing panels, including any substitutions, for the respondent's case.

File Review: In preparation for the hearing, the Rules Administrator and the respondent will have the opportunity to review any written, recorded, photographic, or digital submissions by the other. To schedule an appointment, the respondent should contact the Rules Administrator's office.

Consulting an Advisor: The respondent may consult with his/her advisor(s) who may assist the respondent with his/her preparation for the hearing. Although advisors can answer questions about the adjudication process and are able to provide guidance in regard to general preparation of submissions and for the hearing, the primary responsibility to prepare for the hearing belongs to the respondent. To learn more, we encourage you to review the Rights of the Respondent listed in [§446 OF THE RULES OF UNIVERSITY CONDUCT](#).

Written Submissions: The respondent may prepare a written statement for the hearing process. This statement must be completed by the respondent and should outline his/her perspective on the allegations and the incident as a whole. The hearing panel may set reasonable parameters for these written submissions.

DETERMINING THAT A HEARING IS NOT NECESSARY

The UJB may determine that a hearing is not necessary when all panel members agree that the information in the Investigation Report and the written submissions (if any) is sufficient to make a determination (for example, where the respondent does not dispute relevant facts).

These scenarios help illustrate application of The Rules.

1. Respondent decides to accept responsibility and requests that the UJB proceed to the sanctioning stage. If the UJB grants the request and agrees to not hold a hearing, the panel will proceed directly to the sanctioning stage, including an explanation of why a hearing is not necessary.

2. Respondent does not dispute the relevant facts and requests that the UJB proceed directly to make a determination of responsibility. If the UJB grants the

request and agrees to not hold a hearing, the panel will proceed directly to make a determination, including an explanation of why a hearing is not necessary.

CONDUCTING A HEARING

Request for Open Hearing: A respondent may request in writing to the University Judicial Board that a hearing be open to the public. Only the panel may determine whether to grant the request. The panel may consider: (1) the risk to public safety, including to witnesses who may be called, and (2) the effect on the campus community, including on particular individuals and organizations.

A respondent who successfully requests that a hearing be open may waive his/her rights to privacy. To learn more, we encourage you to review the Records Disclosure in its entirety in [§451 OF THE RULES OF UNIVERSITY CONDUCT](#).

Hearing Attendees: Unless a respondent successfully requests that a hearing be open, the hearing is a closed proceeding, meaning that the only individuals who may be present in the hearing room during the proceeding are: the panel members, the Rules Administrator, the respondent, their respective advisors, witnesses (when called), and necessary University personnel. While there is no dress code for the hearing, appropriate attire is recommended.

Calling Witnesses: The Rules Administrator, Respondent, and UJB may call any person identified who may be able to provide information relevant to the investigation. Witnesses may decline to participate and cannot be compelled to appear before the UJB.

Cell phones and recording devices may not be used in the hearing room unless approved by the panel in writing in advance. Any individual with an unapproved device may be asked to leave by the chairperson of the UJB.

To learn more, we encourage you to review the Hearing Process in its entirety in [§448 OF THE RULES OF UNIVERSITY CONDUCT](#).

DETERMINING RESPONSIBILITY

Following the investigation and review of the evidence in the case, a determination is rendered regarding whether the respondent is responsible for the violation(s). Each case is determined on the merits based on the facts of the case. Only the University Judicial Board may determine whether the actions of the accused were in violation of the Rules.

Standard of Proof: The panel will use “preponderance of the evidence” as the standard of proof to determine whether a violation of the Rules occurred. Preponderance of the evidence means that a panel must be convinced based on the information it considers that the respondent was more likely than not to have engaged in the conduct at issue. 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.

The panel will find a respondent responsible, or not responsible, based on a majority vote. The panel will generally render a decision within five (5) business days after the conclusion of a hearing. The panel's decision will include an explanation of the basis for the decision.

If the panel finds the respondent responsible, the matter will proceed to the sanctioning stage. The timing of the sanctioning stage, in relation to the hearing held to determine responsibility, is at the discretion of the UJB Chair.

DETERMINING SANCTIONS

If a respondent accepts responsibility, the sanctioning will be designated to the chairperson of the University Judicial Board (or his/her designee).

If the UJB finds a respondent responsible for a violation, the UJB will also render a sanctioning decision.

The UJB will impose sanctions that are: fair and appropriate given the facts of the particular case; consistent with the University's handling of similar cases; and adequate to protect the safety of the campus community. Similar offenses may result in different sanctions where there are distinguishing facts and circumstances in the opinion of the University Judicial Board.

The UJB may:

- call witnesses whose sole purpose is to provide character information;
- interview the Respondent regarding factors of intent; and
- may consider the respondent's prior conduct if the respondent was previously found to be responsible, or the previous incident was substantially similar to the present allegation(s) and/or the information indicates a pattern of behavior by the respondent.

The sanctioning decision will be communicated in writing to the Rules Administrator and the respondent. The transmission must include (1) the sanction(s); and (2) the reasoning behind the imposed sanction(s).

To learn more, we encourage you to review the Sanctions in their entirety, and how they are determined, in [§449 OF THE RULES OF UNIVERSITY CONDUCT](#).

PREPARING A REPORT OF THE UJB'S DETERMINATION

If a respondent accepted responsibility, the chairperson will transmit his/her sanctioning decision in writing to the Rules Administrator and the respondent. The transmission must include (1) the sanction(s), if any; and (2) the reasoning behind

the imposed sanction(s). A sample UJB Chairperson Sanctions Form may be found in the appendix of this guidance document.

If the respondent's case was submitted to the UJB panel for consideration (with or without a hearing), the panel will transmit its determination to the Rules Administrator and the respondent. The transmission must include (1) the finding of the respondent as responsible or not responsible; and (2) the reasoning behind the finding. The transmission must also include (1) the sanction(s); and (2) the reasoning behind the imposed sanction(s). A sample UJB Findings & Sanctions Form may be found in the appendix of this guidance document.

The transmission may include the date of the decision, the decision-maker (e.g., UJB Chair, UJB), documents and information considered, and the right of appeal.

APPEALS PROCESS

An online appeal form may be found on the website for the University Senate. In addition to submitting the online Appeal Request Form, the appellant may submit a Word document or PDF up to five (5) single-spaced pages in length, using twelve (12) point Times New Roman font and one (1) inch margins. The appellant may also submit supporting documentation such as photos, video, email, and other relevant documents.

APPEAL FROM UJB TO THE APPEALS BOARD

The Appeals Board shall hear all appeals from decisions or sanctions imposed by the University Judicial Board or by the Chairperson of the UJB. The Appeals Board may overturn, affirm, or revise the decision, and it may overturn, affirm, or lessen the sanction.

APPEAL FROM THE APPEALS BOARD TO THE PRESIDENT

A final appeal may be made to the President for clemency or review, which the President may hear in his/her discretion.

To learn more, we encourage you to review the Appeals information in [§450 OF THE RULES OF UNIVERSITY CONDUCT](#).

RECORDS

RECORD KEEPING & RETENTION

The Rules Administrator shall maintain and have custody of the records of proceedings under these Rules. The file must be stored securely to prevent unauthorized access, damage or alteration, and to main confidentiality.

Individuals Found Responsible: A central investigation file, which is a complete record of an investigation, will be maintained on respondents found to be responsible. A Rules violation file generally documents every step and contains: a description of the alleged violation, supporting documentation, written statements, notes of interviews, hearing transcripts, and official case-related correspondence. The University will maintain the files and release information contained in those files with appropriate permission for **seven years from the date of the incident**. 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.

Individuals Investigated for Potential Violations: The Rules Administrator may retain information about investigations, warnings (if any), and related interactions regarding individuals who have been investigated in connection with potential rules violations. The retention of this information (including the name and identifying information of the respondent) would be for the purpose of identifying and evaluating allegations of repeat offenses by the same individual under the Rules, as guided by Section 447. This identified information may be maintained for seven years from the date of the incident.

Further, to ensure that charges filed by the Rules Administrator and sanctions imposed by the University Judicial Board are consistent with the University's handling of similar cases, the Rules Administrator will maintain a record of violations and sanctions (and provide to members of the UJB a record of any similar past cases), with the names and any other identifying information of past respondents removed.

[RECORDS DISCLOSURE](#)

To learn more, we encourage you to review the Records Disclosure in its entirety in [§451 OF THE RULES OF UNIVERSITY CONDUCT](#).

Alleged Violation of the Rules

This form may be used by members of the Columbia Community to report an alleged violation of the Rules of University Conduct.

Please note that submissions using this form may not be reviewed outside of normal business hours. If there is immediate risk to health or safety, please contact Columbia Public Safety at (212) 854-5555.

If your concern involves an **allegation of Academic Misconduct**, please submit an online report to the Office of Student and Community Standards via this link:

https://publicdocs.maxient.com/reportingform.php?ColumbiaUniv&layout_id=4

If your concern involves an **allegation of Sexual or Gender-Based Misconduct**, please submit an online report via this link:

https://publicdocs.maxient.com/reportingform.php?ColumbiaUniv&layout_id=5

If your concern involves an **allegation of Hazing**, please submit an online report to the Hazing Prevention Team via this link:

https://publicdocs.maxient.com/reportingform.php?ColumbiaUniv&layout_id=49

* indicates a required field

Background Information

Nature of this report: Violation of Rules of University Conduct

* Your Full Name:

Your UNI:

Your Position/Title:

Your Department/School:

* Your Telephone Number:

* Your E-mail Address:

* Your Mailing Address:

* Date of incident:

Time of incident:

* Location of incident:

Please select a location ...

- 47 Claremont
- 503 West 121st Street
- 536 West 114th Street
- 542 West 114th Street
- 546 West 114th Street
- 548 West 113th Street
- 600 W 116TH

- 601 W 110TH
- 604 West 114th Street
- 606 West 114th Street
- 616 W 116TH
- 619-623 West 113th Street (SIC House)
- 620 W 116TH
- Alpha Chi Omega
- Alpha Delta Phi
- Beta Theta Pi
- Broadway Residence Hall
- Brooks Hall
- Carlton Arms
- Carman Hall
- Cathedral Gardens
- Delta Gamma
- Delta Sigma Phi
- Delta Sigma Theta
- East Campus
- Elliot Hall
- Fairholm (503 West 121st Street)
- Furnald Hall
- Harmony Hall
- Hartley Hall
- Hewitt Hall
- Hogan Hall
- Intercultural House
- Intercultural Resource Center
- John Jay Hall
- Kappa Alpha Theta
- Kappa Delta Rho
- Kings Crown
- Lambda Phi Epsilon
- Lenfest Hall
- McBain Hall
- Nussbaum (600 West 113th Street)
- Plimpton Hall
- Reid Hall
- River Hall
- Ruggles Hall
- Schapiro Hall
- Sigma Chi
- Sigma Delta Tau
- Sigma Nu
- Sigma Phi Epsilon
- Sulzberger Tower
- Wallach Hall

- Watt
- Wien Hall
- Woodbridge Hall
- Zeta Beta Tau
- 100 Morningside Drive
- 110 Morningside Drive
- 124 La Salle Street
- 130 Morningside Drive
- 150 Claremont Ave
- 18 West 108th Street
- 181 Claremont Ave
- 189 Claremont Ave
- 191 Claremont Ave
- 195 Claremont Ave
- 2852 Broadway
- 362 Riverside Drive
- 400 West 119th Street
- 405 West 118th Street
- 414 West 120th Street
- 419 West 119th Street
- 420 West 119th Street
- 421 West 118th Street
- 423 West 118th Street
- 434 West 120th Street
- 435 West 119th Street
- 456 Riverside Drive
- 500 Riverside Drive
- 500 West 122nd Street
- 501 West 121st Street
- 502 West 113th Street
- 502 West 122nd Street
- 506 West 113th Street
- 506 West 122nd Street
- 507 West 113th Street
- 509 West 112th Street
- 511 West 112th Street
- 511 West 113th Street
- 512 West 112th Street
- 514 West 114th Street
- 519 West 121st Street
- 520 West 122nd Street
- 521 West 112th Street
- 522 West 112th Street
- 523 West 112th Street
- 524 West 114th Street
- 525 West 113th Street

- 526 West 112th Street
- 526 West 113th Street
- 528 Riverside Drive
- 529 West 111th Street
- 530 Riverside Drive
- 530 West 112th Street
- 530 West 113th Street
- 530 West 114th Street
- 530 West 122nd Street
- 535 West 111th Street
- 535 West 112th Street
- 535 West 113th Street
- 536 West 113th Street
- 539 West 112th Street
- 540 West 112th Street
- 540 West 122nd Street
- 547 Riverside Drive
- 548 Riverside Drive
- 549 Riverside Drive
- 558 West 113th Street
- 560 Riverside Drive
- 600 West 114th Street
- 600 West 122nd Street
- 601 West 112th Street
- 601 West 113th Street
- 604 West 115th Street
- 61-63 West 108th Street
- 610 West 114th Street
- 74 West 108th Street
- 950 Columbus Ave
- Arbor (3260 Henry Hudson Parkway)
- Armstrong Hall
- Avery Hall
- Baker Field
- Barnard College
- Barnard
- Brinckerhoff
- Buell Hall
- Butler Hall
- Butler Library
- Cafe 212
- Casa Italiana
- Chandler Hall
- College Walk
- Columbia Alumni Center
- Computer Science

- Dodge Fitness Center
- Dodge Hall
- Earl Hall
- East Campus Area
- Faculty House
- Fairchild Hall
- Fayerweather Hall
- Ferris Booth Commons
- Fiske
- Grace Dodge
- Greek Life
- Greene Annex
- Greene
- Hamilton Hall
- Hartley Hospitality Desk
- Havemeyer Extension
- Havemeyer Hall
- Horace Mann
- International Affairs
- Jewish Theological Seminary
- John Jay Dining Hall
- Journalism School
- Journalism
- JTS (Jewish Theological Seminary)
- Kent Hall
- Law School
- Lehman
- Lerner Hall
- Lerner Mail Room/Package Center
- Lerner Party Space
- Lewisohn Hall
- LLC Area
- Low Library
- Low Plaza
- Low Steps
- Macy
- Main
- Mathematics
- Millbank
- Miller Theatre
- On Campus - Classroom
- On Campus - Faculty/Staff Office
- On Campus - Other/Not Listed
- Mudd
- Nexus
- Northwest Corner Building

- Philosophy Hall
- President's House
- Russell
- Schapiro Building
- Schermerhorn Extension
- Schermerhorn Hall
- School of Social Work
- SIPA (School of International and Public Affairs)
- Social Work
- South Field
- Southfield Area
- St. Paul's Chapel
- Teachers College
- Teachers College - 517 West 121st Street
- Teachers College - Whittier Hall
- Teachers College - Grant Hall
- Teachers College - Bancroft Hall
- Teachers College - Sarasota Hall
- The Block Area
- Thompson
- Thorndike
- UAH (University Apartment Housing)
- Union Theological Seminary
- University Hall
- Uris Hall
- UTS (Union Theological Seminary)
- Warren Hall
- Watson Hall (612 West 115th Street)
- West Campus Area
- William and June Warren Hall
- Misc CUMC Campus Location
- Misc CUMC Campus Classroom
- Alumni Auditorium
- Armand Hammer Health Sciences Center (classrooms)
- Augustus C. Long Library
- Audubon BYC Building
- Bard Hall Medical Street Student Residence
- Bard Haven Towers
- Children's Hospital (North)
- Children's Hospital (South)/Sloane Hospital for Women
- College of Physicians and Surgeons
- CUMC University Bookstore
- Eye Institute Research Laboratories
- Future Audubon IV
- Future Audubon V
- Irving Cancer Research Center

- Mailman School of Public Health
- Mary Woodard Lasker Biomedical Research Building
- Morgan Stanley Children's Hospital Building
- New York City Department of Health/Mailman School of Public Health
- Radiotherapy Center
- Residence Administrative Building (154 Haven Avenue)
- Residence Building (106 Haven Avenue)
- Russ Berrie Medical Science Pavilion
- School of Nursing
- Georgian Residence
- Service Building
- The Edward S. Harkness Eye Institute
- The Harkness Pavilion
- The Herbert Irving Pavilion
- The Lawrence C. Kolb Research Building
- The Milstein Hospital Building
- The Neurological Institute of New York
- The New York State Psychiatric Institute
- The Pauline A. Hartford Memorial Chapel
- The Presbyterian Hospital Building
- Vanderbilt Clinic
- School of Dental and Oral Surgery
- William Black Medical Research Building
- Lamont-Doherty Earth Observatory
- Geoscience
- New Core Lab
- Buildings & Grounds
- Ocean Bottom Seismology
- Guesthouse 6
- Tree Ring Lab
- Rose Garden
- Lamont Hall
- Administration
- Cafeteria
- Monell Building: International Research Institute (IRI)
- Monell Building: Director's Office
- Oceanography
- Comer Geochemistry
- Paleo-Magnetics Lab
- Borehole Research Group
- Main Seismics Vault
- Instrumental Lab/Shipping & Receiving
- Marine & Polar Technology
- Geoinformatics
- Old Geochemistry
- Nevis Lab

- Grant's Tomb
- Electronically
- Morningside Park
- Riverside Park
- St. John's the Divine
- St. Luke's ER
- St. Luke's Hospital
- St. Luke's Pediatrics
- Off Campus - University Affiliated
- Off Campus - University Non-affiliated
- Off Campus - Other/Not Listed
- Unknown - Not Listed

Specific location:

Involved Parties

Please list the individual(s) involved *excluding yourself*, including as many of the listed fields as you can provide. **Please ensure that a correct UNI is provided.**

For student organization(s) and/or group(s), please enter the **organization name with no spaces** in the UNI field. (Example: Lambda Lambda Lambda would be entered as LambdaLambdaLambda)

For non-students/non-affiliates, please list an ID type and number or Drivers License number in the UNI field if available. (Example: NYS DL # 86-753-09)

If you want to confirm an individual's information, [Pre-authorized users may click here to lookup individuals](#)

Description / Narrative

Please provide a detailed description of the incident using specific concise, objective language (Who, what, where, when, why, and how).

Supporting Documentation

Photos, video, email, and other supporting documents may be attached below.

Maximum size of ? per file

Attachments require time to upload, so please be patient after you click to submit this report.

One last step ...

Help us prevent spam. Enter the letters and numbers as you see them in the block to the right. ***Capitalization does not matter but cookies must be enabled in your browser for this to work.***

<date>

Via E-Mail

<Respondent Name>

<Respondent UNI>

Re: Notice of Alleged Violation of the Rules of University Conduct

Dear <name>,

I have received a complaint from a member of the University that you engaged in conduct that may have violated the Rules of University Conduct (“the Rules”) by participating in a demonstration in <location> on <date>.

As the Rules Administrator, it is my responsibility to investigate this complaint. I would like to meet with you promptly to discuss this further.

At the meeting, you will be advised of the substance of the possible charges and given the opportunity to explain why you believe these charges should not be filed. If you wish, you may also discuss during our meeting an informal resolution of the complaint. Such a resolution would typically involve you accepting responsibility for violating the Rules.

I have scheduled a meeting for you to meet with me on <date> at <time> in my office in Philosophy Hall 208. I may ask a member of my staff to attend and you are allowed to bring up to two advisors with you. If you are unable to attend at that time, you must call my assistant, Don Harrison, no later than <time> on <date> to reschedule. (Mr. Harrison’s telephone number is: (212) 854-0411.) Failure either to attend the meeting or to reschedule it will leave me no choice but to move forward with my investigation without your input.

Based on my investigation of the complaint, I will determine whether any charges should be filed. If you decline responsibility for violating the Rules, or choose not to respond, the matter may proceed to a hearing stage. The University Judicial Board (the “UJB”) shall hear all charges of violations of the Rules and will determine whether you are responsible or not responsible and will determine sanctions. Alternatively, if you accept responsibility for violating the Rules, the matter will proceed to a sanctioning stage to be conducted by the Chair of the UJB.

You should be aware that if you engage in any activity that is impermissible under the Rules while this complaint is under review, it may be taken into account in the sanctions in this matter if you are found to be responsible. While you have the right to not participate, failure to cooperate in the investigation may have similar consequences.

To learn more, I encourage you to review the Rules of University Conduct found here: <http://www.essential-policies.columbia.edu/university-regulations#/violations%20and%20sanctions> . A PDF copy of the Rules is also attached.

Sincerely yours,

Professor Goldberg

--

Suzanne Goldberg

Rules Administrator | Executive Vice President for University Life

Philosophy Hall 208 MC 9211 | 1150 Amsterdam Avenue | New York, NY 10027

T: (212) 854-0411 | E: sgoldberg@columbia.edu

**COLUMBIA UNIVERSITY
RULES OF UNIVERSITY CONDUCT**

CHARGES

Via E-mail & Mail

TO: <Respondent's Name>
<Respondent's UNI>

YOU ARE HEREBY CHARGED with violating Sections 443.a (1), 443.a (13), and 443.a (19) of the Rules of University Conduct (the "Rules") by participating in the events of the afternoon of <date> in the Roone Arledge Auditorium (the "Auditorium") that resulted in the disruption of the presentation by <name> and other representatives of <entity>.

Charge 1: You are charged with a violation of Section 443.a (1) by engaging in a protest on the stage of the Auditorium that placed others in danger of bodily harm.

Charge 2: You are charged with a violation of Section 443.a (13) by contributing to the interruption of a lecture that was a University function as defined in Section 441.c of the Rules.

Charge 3: You are charged with a violation of Section 443.a (19) by failing to disperse from an assembly upon order to do so.

You have the following options:

- (a) plead responsible and the matter will be submitted to the Chair of the University Judicial Board (the "UJB") for sanctioning; or
- (b) plead not responsible and the matter will be submitted to the UJB for a determination; or
- (c) if you fail to respond, or do not respond by the deadline, the matter will be submitted to the UJB for a determination.

DEADLINE FOR RESPONSE: <date>

Date: _____

Suzanne Goldberg

Rules Administrator | Executive Vice President for University Life
Philosophy Hall 208 MC 9211 | 1150 Amsterdam Avenue | New York, NY 10027
T: (212) 854-0411 | E: sgoldberg@columbia.edu

Enclosure: Rules Administrator Investigation Report

RESPONSE:

Charge 1: () Responsible () Not Responsible
Charge 2: () Responsible () Not Responsible
Charge 3: () Responsible () Not Responsible

Signature of Respondent:

Date: _____

**RULES ADMINISTRATOR
INVESTIGATION REPORT**

Via E-mail & Mail

<p>Date(s) of Incident: _____/_____/_____</p> <p>Respondent's Name: _____</p> <p>Respondent's UNI: _____</p>

Charge(s): Rules §443 Violation #: _____

Comments: _____

Introduction

Describe the allegation/incident that has been investigated and the details of the respondent about whom the allegation was made.

Methodology

Describe the process of the investigation including, but not limited to: a list of the individuals interviewed, whether witness statements/notes from meetings were taken; evidence collected; and any other activities undertaken as part of the investigation.

Findings / Analysis:

Describe the facts and evidence presented, any inconsistencies found with explanations where applicable, any mitigating circumstances, and any issues identified. Indicate where relevant information (e.g., witness statements) may be found in the appendices.

Conclusion / Recommendations

Describe the alleged violations (and specify if different from the alleged violations in the original complaint); the determination of whether to dismiss the complaint or charge the respondent; if a resolution and proceed to a hearing, and recommended sanctions based on prior similar conduct.

Appendices

Describe the content of the appendices.

A copy of this form must be provided to the Respondent.

Signature of the Rules Administrator:

Date:

Print Name: _____

Via E-mail & Mail

**UJB CHAIRPERSON
SANCTION FORM**

<p>Date(s) of Incident: _____ / _____ / _____</p> <p>Respondent's Name: _____</p> <p>Respondent's UNI: _____</p> <p>Deadline to Appeal: _____ / _____ / _____</p>

Respondent accepted responsibility for:

Rules §443 Violation # _____

Comments: _____

RECOMMENDED SANCTION(S) TO BE IMPOSED:

RATIONALE FOR SANCTION(S):

RIGHT TO APPEAL:

An online submission form may be found on the website for the University Senate. To learn more, we encourage you to review the Appeals information in [§450 OF THE RULES OF UNIVERSITY CONDUCT](#).

A copy of this form must be provided to the Respondent and Rules Administrator.

Signature of the UJB Chairperson:

Date of Decision:

Print Name: _____

Via E-mail & Mail

**UJB PANEL
FINDING & SANCTION FORM**

<p>Date(s) of Hearing: _____/_____/_____</p> <p>The following decisions were rendered after deliberation in the hearing for:</p> <p>Respondent's Name: _____</p> <p>Respondent's UNI: _____</p> <p>Deadline to Appeal: _____/_____/_____</p>
--

Charge 1: Rules §443 Violation # _____

Finding: () Responsible () Not Responsible

Comments: _____

Charge 2: Rules §443 Violation # _____

Finding: () Responsible () Not Responsible

Comments: _____

Charge 3: Rules §443 Violation # _____

Finding: () Responsible () Not Responsible

Comments: _____

FACTS (evidence upon which decisions were rendered):

1. _____
2. _____

- 3. _____
- 4. _____
- 5. _____
- 6. _____
- 7. _____
- 8. _____
- 9. _____
- 10. _____

RECOMMENDED SANCTION(S) TO BE IMPOSED:

RATIONALE FOR SANCTION(S):

RIGHT TO APPEAL:

An online submission form may be found on the website for the University Senate. To learn more, we encourage you to review the Appeals information in [§450 OF THE RULES OF UNIVERSITY CONDUCT](#).

A copy of this form must be provided to the Respondent and Rules Administrator.

Signature of hearing panel members present for hearing:

(1) _____ (Chairperson)	(2) _____
(3) _____	(4) _____
(5) _____	Date of Decision: _____

Appeal Request Form

An individual found responsible for violating the Rules of University Conduct has the right to request an appeal of the decision and the resulting sanction(s) **within the time frame indicated in the disciplinary outcome letter.**

An individual found responsible by, or sanctioned by, the University Judicial Board for a violation of the Rules of University Conduct has the right to request an appeal of the decision and/or the resulting sanction(s) within the timeframe indicated in the disciplinary decision form.

The Appeals Board shall hear all appeals from decisions or sanctions imposed by the University Judicial Board or by the Chairperson of the UJB. The Appeals Board may overturn, affirm, or revise the decision, and it may overturn, affirm, or lessen the sanction.

A final appeal may be made to the President for clemency or review, which the President may hear in his/her discretion.

Please note that requests that are received after the specified deadline and/or requests that do not meet the criteria/ground(s) for appeal may not be considered.

Regardless of the outcome of an appeal, the individual will be notified of the decision in writing.

Case Information

- * Type of Appeal:
 - From the UJB to the Appeals Board
 - From the Appeals Board to the President

- * Appellant Information:
 - Respondent
 - Rules Administrator

- * Full Name:
- * UNI:
- * Position/Title:
- * Department/School:
- * Telephone Number:
- * E-mail Address:
- * Mailing Address:

Appeal Information

* Ground(s) for Appeal:

I have new information, unavailable at the time of the hearing

I have concerns with the process that may affect the outcome of the decision

I believe the sanction is too severe

* Appeal Text:

If choosing to upload a Word document or PDF of your request, please note this in the text box below. *In addition to submitting the online Appeal Request Form, the appellant may submit a Word document or PDF up to five (5) single-spaced pages in length, using twelve (12) point Times New Roman font and one (1) inch margins. The appellant may also submit supporting documentation such as photos, video, email, and other relevant documents.*

[TEXT BOX]

Supporting Documentation

Photos, video, email, and other supporting documents may be attached below.

Maximum size of ? per file

Attachments require time to upload, so please be patient after you click to submit this report.

One last step ...

Help us prevent spam. Enter the letters and numbers as you see them in the block to the right. Capitalization does not matter but cookies must be enabled in your browser for this to work.

Via E-mail & Mail

**APPEAL BOARD
DECISION FORM**

<p>Respondent's Name: _____</p> <p>Respondent's UNI: _____</p> <p>Deadline to Appeal: ____/____/____</p>

Respondent appealed decision by: () UJB Chairperson () UJB Panel

Comments: _____

Finding: () Affirmed () Overturned () Revised () Not appealed

Comments: _____

Sanction: () Affirmed () Overturned () Lessened () Not appealed

Comments: _____

RATIONALE:

RIGHT TO APPEAL:

An online submission form may be found on the website for the University Senate. To learn more, we encourage you to review the Appeals information in [§450 OF THE RULES OF UNIVERSITY CONDUCT](#).

A copy of this form must be provided to the Respondent and Rules Administrator.

Signature of hearing panel members present for hearing:

(1) _____ (2) _____
(Chairperson)

(3) _____ Date of Decision: _____