

# University Senate Plenary

August 23, 2024



University Senate

Proposed: August 23, 2024

Adopted: August 23, 2024

PROPOSED AGENDA

University Senate

Friday, August 23, 2024 at 3:00 p.m. via Zoom

**Registration required**

**After registering you will receive a confirmation email with meeting details.**

1. Adoption of the agenda
2. Adoption of the minutes of July 19, 2024
3. President's report and questions
4. Chair's report and questions:
  - a. Update
5. Old business:
  - a. Update on Resolution Addressing Current Events (April 26, 2024)
6. New business:
  - a. Resolution to Endorse the Guidelines to the Rules of University Conduct (Rules of University Conduct)
7. Adjourn

### MEETING OF JULY 19, 2024

Sen. Jeanine D’Armiento (Ten., VP&S) called the Senate to order shortly after 1:15 pm on Zoom. She welcomed senators to the 12<sup>th</sup> plenary meeting of the 2023-24 Senate session. 62 of 99 senators were present during the meeting, along with about 165 other spectators.

Sen. D’Armiento said a July plenary is not a customary event, and she thanked all present for making the time to come. This was part of the Senate’s engagement in shared university governance, working through committees, through consultation and discussion, to address the concerns of the community.

She said that, as all present were aware, these were challenging and distressing times for the community. She said it was essential to find ways to move forward through dialogue and collaboration.

She asked all senators to rename themselves, making sure that the prefix “Senator” preceded their names in the captions below their video images.

She reviewed basic ground rules for plenaries. Only senators can speak or vote.

She said the chat function would not be accessible to spectators, except for messages to meeting hosts. A spectator could contact a designated host, who would try to relay questions to the spectator’s Senate representative to ask at the meeting. She said people could communicate directly with her.

**Adoption of the agenda.** The meeting [agenda](#) was adopted as distributed (see July 19 Plenary Binder, page 2).

**Adoption of the minutes.** The minutes of [April 26](#), [May 3](#), and [May 24](#) were presented for adoption (Binder, 3-17, 18-35, and 36-45).

Sen. Susan Bernofsky (Ten., Arts) wanted to have it on the record that three sets of minutes had been provided less than 24 hours before the present meeting. She said this was an ongoing problem—receiving Senate minutes without having time to process them before voting on them.

Sen. D’Armiento acknowledged the complaint. After consulting briefly with the parliamentarian, Prof. Brendan O’Flaherty, she proposed to go ahead and approve the three sets of minutes, with the understanding that if senators found problems with them later, they could request changes at the next plenary.

With this understanding, the three sets of minutes were adopted.

**President's report.** With the president away, there was no report.

**Chair's report and questions.**

*Update on the Rules of Conduct.* Sen. D'Armiento said the Rules Committee would be working hard throughout the summer. She said the Rules of University Conduct are vitally important to the University, and she commended the work of all committee members. She particularly thanked the co-chairs, Sen. Jaxon Williams-Bellamy (Stu., Law) and Angela Nelson (TTOT, VP&S). She said the committee's goal was to complete its four-year review of the Rules in the fall, and then bring its recommendations to the Senate. If the committee proposes significant revisions to the Rules or to the guidelines now in place for the Rules, there will be a two-plenary deliberation on its recommendations.

She invited questions.

Sen. Daniel Savin (Research Officers) said his question was about the Structure and Operations Committee, which he co-chairs. He reminded senators that both of the Senate's Administrative Staff seats had been vacant since 2021. He had understood that there would be elections for these seats earlier in the present year, right after graduation. He said those seats represent some 5700 administrative staff at Columbia. He understood that there was some issue with administrative staff titles at CUIMC. But there were no such complications for the Morningside/Lamont administrative staff constituency, and he strongly urged the Senate to hold an election for at least this group.

Sen. D'Armiento said this was a fair complaint. She would follow up.

Sen. Lydia Goehr (Ten., A&S/Humanities) asked how many of the last year's 10-12 plenaries the president had attended, presenting a report and answering questions.

Sen. D'Armiento estimated that President Shafik had attended three plenaries.

Sen. Goehr asked if the president's attendance could become mandatory. She said the president's report is on every plenary agenda, but at the present meeting it was cancelled without an explanation. She recalled that when she was on the Senate about a decade earlier, President Bollinger would at least appear even if he didn't have a formal report.

Sen. D'Armiento said she can inform the president of any questions that come up in the Senate, including this one. But she does not recommend actions of this kind to the president. The president is the head of the Senate.

She added that she usually says a little more at plenaries about the president than she had said a few minutes earlier. She usually offers to relay senators' questions to the president.

**Old business.**

*Update on the Resolution Addressing Current Events (April 26, 2024).* Sen. D'Armiento reminded senators of the Senate resolution calling for an independent investigation of recent events, to be undertaken during the summer. This initiative, which would have been organized jointly by the Senate and the administration, had unfortunately not materialized this summer.

She said the Senate would therefore proceed on its own to produce a document. The Executive Committee determined that this was a priority, partly because the Senate had already resolved to undertake the project, but also because it was essential to retain relevant documentation and the memory of what happened. And the committee retained some expectation that this investigation could be part of a broader independent review to be developed later in collaboration with the administration.

Sen. D'Armiento invited questions.

Sen. Abosede George (Ten., Barnard) asked if Sen. D'Armiento was saying that the independent review that the Senate had discussed in recent meetings was not going forward after all.

Sen. D'Armiento said that was correct.

Sen. George asked whether that outcome was due to lack of support from the administration.

Sen. D'Armiento said she was not going to say that. She thought the administration was considering the Senate's proposal, but was more inclined to wait until the fall to launch the project. She said the Senate itself would not wait until the fall. It had already begun work on a document that it hoped to finish before the end of the summer. She invited any interested senator to join this effort. She said the Senate had made a commitment to this project in a resolution, and now it was time to carry it out.

She said the Senate would organize a document and report on an assessment of the events that occurred over the last year. She urged senators to look up the Cox Commission report on the 1968 Columbia student rebellion, which offered a good model. She said it wasn't that Senate leaders need a how-to guide for such a report; many of them are scholars, prepared to take on a scholarly project to document the events of the past year.

Sen. William Duggan (TTOT, Business) said documentation and assessment are two different activities. Which one would the Senate be doing?

Sen. D'Armiento said she was hoping the Senate could document straightforwardly, which would be a lighter assignment. But there are two purposes in documenting: one is to preserve what happened; the other is to learn from that effort.

She recognized that the learning requires an assessment. She had hoped that assessment could come with independent review.

Sen. Duggan said the learning requires an assessment. But the Senate's first step would be documentation.

Sen. D'Armiento invited volunteers (aside from Rules Committee members, who were already working hard) to join this effort.

Sen. Susan Bernofsky, a Rules Committee member, said she was not volunteering. But she noted that new problems keep arising, such as the disciplinary action recently announced against several

Columbia College deans. She said this was a chilling development. She asked if there was a mechanism for recording troubling incidents like this one.

Sen. D'Armiento said the Senate is the public setting for raising concerns about troubling issues. But she could also receive concerns in written communications from senators, which could be referred to the relevant committee

Sen. Bernofsky asked if that meant that senators should communicate with Sen. D'Armiento directly.

Sen. D'Armiento said that was the point of her remarks at the start of the meeting about the importance of discussion in committees. She said several committees have kept working into the summer, and are addressing issues as they come up.

Sen. George said her understanding of the value of an independent commission was that it could be impartial. It might also be empowered to get information that a Senate group might not be privy to. But if a volunteer Senate group is undertaking a documentation exercise, wouldn't its investigation be restricted in various ways? It might end up documenting only what its members already know, or have access to.

Sen. D'Armiento said it's also important to document what is true. A Senate group would seek factual, chronological documentation. It would have access to many people with many resources, most of which are public. But those resources haven't been organized in one place. The Senate group put everything in one document, which could help to achieve an understanding, which could lead to an assessment.

She said there could not be an independent review before late fall. The Senate could choose between two options: either wait until then, or start documenting now, to maintain the record and the memory. She said she and the Executive Committee made a decision to start documenting the events chronologically now, to be sure to have them on record. The group would include her and some other people. Again, additional volunteers were welcome.

Sen. D'Armiento said she could sense the disappointment of some people at what she was saying. She understood that it seemed that the Senate would not get what it wanted in the way of an extensive, independent review. But the Executive Committee was still pushing for that.

b. *Update on Resolution to Address Concerns Related to Student Disciplinary Processes*  
(May 8, 2024)

Sen. D'Armiento said the May 8 resolution focused on the new disciplinary processes that were based in the Center for Student Success and Intervention (CSSI). She was pleased to report that when the Rules Committee followed up with the administration on this resolution, it learned that only a few CSSI cases related to protests remained, and some of those had been moved to the Rules process and the University Judicial Board (UJB).

She invited questions on this subject.

Sen. Jalaj Mehta (Stu., SEAS/Undergrad) said a couple of students had raised concerns that even though their disciplinary proceedings had been moved to the UJB, there are still holds on their student accounts. So they are still subject to interim sanctions.

Sen. D'Armiento said this was a concerning issue, which had just emerged a few days earlier. When someone goes through the Rules process, no interim sanctions are supposed to be placed on their account. She was also surprised to learn that some students had had "interim" suspensions since April. She said this would have to be addressed.

Sen. George asked to hear more about how cases got moved from one disciplinary process to the other.

Sen. D'Armiento said the Senate is on record as affirming that all disciplinary proceedings related to protests belong in the Rules process, which is managed by the UJB. The Senate produced a resolution on this subject on May 8, which she liked to think was responsible for the redirection of cases from the CSSI. But she did not have any further details.

She said the UJB provides due process for students facing charges of Rules violations, and the Senate stands by that disciplinary process for cases related to protests.

Sen. George understood that just as there was no transparency on how cases ended up in the CSSI process, there seemed also to be no transparency on how they were removed from that process.

Sen. D'Armiento said that was one way to summarize what she had just said.

Sen. D'Armiento advised a non-senator to direct their question to Senate director Geraldine McAllister, who would forward it to the person's senator.

Sen. Bernofsky said she had served as an advisor to a student who was facing a disciplinary hearing, and had learned that someone other than the Rules Administrator was interviewing students. She understood that it was someone who had been brought in from outside the University. She concluded that some kind of hearing is taking place before the UJB hearings. She had attended such an interview for a student respondent the day before.

Sen. D'Armiento asked for help from the Rules Committee in understanding this situation.

Sen. Williams-Bellamy, a Rules Committee co-chair, offered some guidance. He said the Rules provide a two-step process. First comes the process that may lead to an informal resolution, which can be attempted either before a charge is brought or after a charge is brought but still before a hearing. The second step is the more formal process of the charge followed by a hearing.

The Rules Administrator, while conducting an investigation, may decide to try for an informal resolution before bringing a charge, by sitting down with the potential respondent, as well as the respondent's advisor, to discuss the case. Such a conversation would be entirely voluntary for the respondent.

Sen. Williams-Bellamy said there may be a legitimate concern about who (other than the Rules Administrator) is sitting down with the potential respondent before a charge is brought. He said it would be useful to learn more about who is talking to potential respondents.

Sen. D'Armiento said it was important to remember that a new assistant Rules Administrator had recently been hired, who might be the person Sen. Bernofsky had mentioned.

Sen. D'Armiento also noted that when a case is transferred from a CSSI process to a Rules of Conduct process, there must be some notice of this change to the Rules Clerk and the prospective respondent.

Sen. Williams-Bellamy agreed that such notice was important and should be assured in such cases.

Sen. D'Armiento said this might be the kind of transparency that Sen. George had mentioned. Sen. Susan Bernofsky identified the person doing the interviews she had described as Assistant Rules Administrator Omar Torres.

Sen. Williams-Bellamy said the Statutes allow for assistant rules administrators who carry out the duties of the Rules Administrator.

Sen. D'Armiento understood that if an assistant rules administrator is working on an informal resolution to a case, the Rules personnel needn't be informed; but if there is a charge, the Rules Clerk and the respondent must be informed.

Sen. Williams-Bellamy said that understanding was correct.

Sen. D'Armiento also asked whether someone who had not been charged under any disciplinary process could expect to have no interim sanctions.

Sen. Williams-Bellamy agreed with that understanding. But he said the Rules Administrator has in the past imposed holds on student accounts. He said it was expected that if someone has been charged and is moving through the Rules process toward a hearing, they will have a hold on their account until the charges have been resolved.

Sen. Ovita Williams (TTOT, Social Work) relayed a question posed by her nonsenator Social Work colleague Victoria Frye: What is the process for making sure that cases are not inappropriately routed again?

Sen. D'Armiento said this was an important question, which the Rules Committee was taking very seriously, trying to develop clear guidelines. She said that was also the purpose of the May 8 Senate resolution—to enter the fall semester with greater clarity about disciplinary processes. Sen. Mehta asked how he should respond if students ask him for help with a problem they are having with the administration of the Rules.

Sen. D'Armiento said procedural questions come to her, the Rules Committee co-chairs, or the Rules Clerk. If those people can't answer the question, they seek the guidance of the full Rules Committee.



## **New business**

- a. *Morningside Campus access: comments* (Campus Planning and Physical Development).

With committee chair Sen. John Donaldson (Ten., Business) out of town, Sen. Ben. Orlove (Ten., SIPA) began the discussion. He said Campus Planning has customarily tended to focus on buildings, and has more recently experienced a growing awareness of the campus as a whole, and of the importance of open space and access. The recent email from Chief Operating Officer Cas Holloway about campus access has further energized committee discussion of these topics.

Sen. Orlove made three points in response to Mr. Holloway's announcement:

1. The committee appreciated the fuller statement on access, including a four-tier code delineated by four colors. The new rubric includes clear rules and criteria for levels of access.
2. Campus Planning was also glad to see a fuller recognition of the challenges that have been caused by restricted access to campus, particularly at the highest (red) level of security. He said some genuine difficulties arose with the initial access restrictions this spring. And so the list of "essential personnel" was an attempt to recognize which groups of people must have access to campus. Sen. Orlove said the committee looked forward to working with the administration to refine this list.
3. The committee hoped that the hours of community access would be expanded. In the current "orange" setting, access is confined to CUID holders outside the hours of 7 am to 7 pm. On weekdays This deprives the community of access to a campus that plays an important role for many neighborhood people, including Sen. Orlove's own son, who recently celebrated his 7<sup>th</sup> birthday throwing paper airplanes from Low Library steps. He said Campus Walk (actually 116<sup>th</sup> Street, a pedestrian thoroughfare) provides important connections between the subway on Broadway and St. Luke's Hospital on Amsterdam Avenue.

Sen. D'Armiento said she had heard from a number of people who didn't understand why the campus was closed so early in the evening when there's still light in the summer. And there were many summer students who have not had the full Columbia experience.

She invited discussion.

Sen. Abosede George asked which University offices the Campus Planning Committee was looking forward to working with.

Sen. D'Armiento said the committee was working with COO Cas Holloway, who was present but unable to speak at the present meeting. Executive Vice President for Facilities David Greenberg was available to answer questions.

Sen. Bernofsky asked why the gap between the yellow and orange safety tiers was so big.

She also noted that during the recent semi-lockdown period, she had had the experience of not being allowed to enter campus with a family member who was going to help her carry things from her office. She said it was a little shocking that a faculty member would not be able to bring a

family member onto campus with her just as a matter of course. She was told that she needed to pre-register the family member 24 hours in advance. She found it insulting for a faculty member to have to do that, as though she were not trustworthy.

Sen. D'Armiento invited EVP Greenberg to respond.

He promised that the intent of that policy was not to bar family members from campus. His office would have to figure out how to accommodate requests like Sen. Bernofsky's, which it had been handling on an ad hoc basis.

He said his office would also have to figure out what to do about the big gap between the yellow and orange tiers.

Sen. D'Armiento reported a comment from the chat requesting that the warning on a banner at the very top of the Columbia website could be toned down. Does the University have to seem to be in a state of constant high alert?

Sen. Orlove said the Campus Planning Committee thought the email from Mr. Holloway the previous week was a constructive step toward fuller communication, which he said has a double function. One is to convey information; the other is its close connection with feelings of community, of belonging, of trust. The committee was glad to see forward movement, and looked forward to having the Senate play its proper role.

Sen. Mehta asked what form future announcements about campus safety levels would take.

EVP Greenberg said he tries to give as much lead time about changes in campus conditions as he can. The goal is to open the campus up as much as possible. He welcomed suggestions for improvements in communication efforts.

Sen. Christopher Brown (Ten., A&S/Social Sciences) asked about a general shift in the University's mindset in recent years. When he came to Columbia in 2007, the campus was open, and the security status remained "green" every day for the next 12-plus years. When Covid came, new restrictions were put on buildings, necessitating swipe access for the first time.

But when the pandemic receded, the building restrictions remained, and a new mindset seemed to be in place, requiring a reason to have campus spaces open instead of a reason to close them.

Sen. Brown said Campus Walk is 116<sup>th</sup> Street, a through street. Many people who live east of campus use it to get to and from the subway on Broadway. It has been a community space, not just a guest space, since the early 1970s or longer.

Sen. Brown asked for an explanation of the change in mindset. He said he was not at Columbia in 2001 immediately after September 11. There must have been all kinds of security concerns at that time, but campus buildings were not closed. He noted that similar restrictions had not been imposed on the medical campus or at Manhattanville during the past year.

Sen. D'Armiento, who is based at the medical campus, noted that recent restrictions on access to the Morningside campus *have* on some occasions also been imposed at CUIMC. What is the rationale for that? She said 168<sup>th</sup> Street is also an open public street.

EVP Greenberg said again that his goal is to restore a “green” campus. There has been some movement in that direction recently, with the opening up of campus till 7 pm on weekdays and weekends. He hoped to proceed farther in that direction. But the administration must be mindful of issues that may require it to tighten up security conditions again. He was prepared to make adjustments to communicate these priorities better.

He recalled that toward the end of the pandemic there was an increase in crime, so the buildings were kept locked, with swipe access, but the campus remained open. The result was a sharp reduction in the number of incidents of theft—of laptops and other valuables, from offices and other spaces. Again, the goal remains the restoration of a “green” status.

Sen. D'Armiento said EVP Greenberg was nevertheless implying that right now there was some dangerous condition preventing the University from restoring an open campus. Why is Columbia still at least partially locked down? She said EVP Greenberg had not fully addressed this question.

EVP Greenberg said there was still concern about protests and other conditions around the city in the information that his office receives from the NYPD and social media sources. But he stressed that the campus had just been restored to a yellow state. He noted the recent request of the Campus Planning Committee to extend the open hours a bit later. But there were still reasons for caution.

Sen. Keith Gessen (TTOT, Journalism) said there is a variety of security concerns among the different journals based in the Journalism building. These are generally handled on a floor-by-floor and building-access basis. As journalists, he and his colleagues are uncomfortable with campus closures, and considered the limited access for journalists during the spring protests a serious problem. He said a colleague wanted to ask what sources of information EVP Greenberg would be using to determine safety conditions on campus. How much of a role does the NYPD play in the briefings Columbia receives? Is the University treating this information with due skepticism, given its commitment to keeping the campus open to Columbia people and the community?

Sen. D'Armiento asked whether people could get approved for access to campus in advance, as journalists do. She recalled that an Emergency Medical Technician was not allowed on campus at one point during the spring.

Sen. Elisa Konofagou (Ten., SEAS) appreciated all efforts to keep the campus green. But she expressed concern that the fall semester was not far off. She wanted to know that with people coming back to campus, the wounds that were healing over the summer would not be reopened in September. She worried that the University was not in total control of the campus.

Sen. Konofogou said she was now in Paris, which was preparing for the Olympics and, in her view, doing a much better job of handling security. Their challenge was much harder, with an opening ceremony that would take place along several miles of the Seine. Their approach was smart, unobtrusive, without the threatening quality that the Columbia campus took on during the spring. Can Columbia have a smarter strategy going forward, with higher-level intel?

EVP Greenberg said the standard of security that Sen. Konofagou had outlined was what Columbia wanted as well. He said the administration had learned a lot of lessons over the past year. It was also trying to lower certain profiles, including those of its card readers, which would be replaced by hand-held devices, to make it easier to get into and out of campus, and to adjust levels of access quickly. The main goal, he said, was to thread that needle—to provide a safe environment while also being welcoming.

Sen. Williams-Bellamy asked who determines what level of security is needed at a particular time. What is the justification for handing such authority to that person or group? And finally, what are the criteria and standards used to make that decision?

EVP Greenberg said that decision is based on a discussion among a few people, including COO Cas Holloway and other members of the University leadership team. The criteria are based on available sources of information. Referring to the earlier statement recommending skepticism about NYPD information, he said Columbia people responsible for security treat the information as they get it, and also do certain kinds of social media scanning.

Sen. D'Armiento said Sen. Williams-Bellamy's questions were important. Was there faculty and student participation in these decisions?

Sen. D'Armiento read a question from the chat that identified racial bias against Muslim, and Palestinian students in the disciplinary process. The questioner said every single Palestinian Columbia student received disciplinary notices. One student wasn't even on campus at the time of the encampment, but was suspended for some time. Does Columbia plan to address these discrepancies in the disciplinary process? Sen. D'Armiento said she would ask the Diversity Commission to look more closely at this question.

Sen. Helen Han Wei Luo (Stu., GSAS/Humanities) followed up on Sen. Williams-Bellamy's question, asking for more information about the standards for moving from one security status to another. She said the reasons for these decisions were not being shared more widely, and this is vital information for the Columbia community

Sen. D'Armiento reported another related question from the chat: Are the NYPD and social media the only sources of information Columbia uses to determine campus security levels?

Still another concern from the chat was whether Columbia's response to a possible protest elsewhere in the city could really function as a way to prevent free expression for students and members of the community. Was the University basing its decisions about security levels on what was really a free speech issue?

EVP Greenberg said the University's decisions were not based not on issues of free speech, but on the current political climate, on the level of tension around the city. It's not about what is being protested, but a sense of a persistently tense climate that requires the University to be on guard.

Sen. D'Armiento said senators were asking what was determining that climate.

Sen. Jeffrey Gordon (Ten., Law) said he resonated with Sen. Brown's statement. He had been at

Columbia a long time and could remember a time when somebody in the community could just walk into a Columbia library. Access to the stacks was restricted then, but the library was still open. The changes that have since taken place can prompt a sense of loss and regret.

At the same time, he said, it is necessary to recognize that there are people in this city who do not wish Columbia well, and the question of the University's ability to protect its students and other members was at the root of Mr. Greenberg's comments on campus conditions.

He said senators might recall that during the spring there were people who were kept outside the University's gates whose conduct was plainly in violation of Columbia's rules and was correctly perceived as threatening to students. The University understood that it could not control what happened outside the gates, but it could impose standards of civility, and its recourse to University discipline meant it would not have to use the police. But if the campus was open, then Columbia could not control who was inside it. It could no longer discipline students engaging in offensive speech, and its only recourse was to the police.

Sen. Gordon said the challenge facing the University is how to balance these priorities. The Columbia community can mourn the consequences, but it must recognize existing threats. And it cannot count on the good faith of those outside the University to protect its most valued principles. He said there's a lot of sadness in these trade-offs.

Sen. D'Armiento noted a remark in the chat that some people do feel safer with the campus closed. But she also pointed out that closing the campus would not prevent all the bad consequences that Sen. Gordon had outlined. Bad things are possible anywhere.

Sen. Gabriella Ramirez took up the theme of the criteria used to determine the level of safety. Would a perfectly peaceful, rule-abiding student protest trigger a higher level of security simply because it is a protest? This question was motivated by a concern about the longer-term impact of misperceptions of student protest, and the overuse of law enforcement and institutional disciplinary procedures. Does a red security status mean law enforcement is automatically needed?

EVP Greenberg understood Sen. Ramirez to be calling for clearer definitions of the different levels of security, and he said his office could provide those. He said the red status did not mean that police would definitely be on campus.

Sen. D'Armiento said there would be notes from the present meeting. They will be distributed to committees, with one set headed to the Diversity Commission.

Sen. Mehta noted, first, that the election of a new student senator representing Columbia College needed to be certified.

He also said the security status assigned to the two 114<sup>th</sup> Street gates was important, because they would both be heavily used during orientation, which starts August 22.

His other point concerned transparency. He said there were a number of administrative committees that were not known to the Senate and the larger community. He understood the restriction that

students should not be on a decision-making body, but it should be possible to tell the Senate exactly who is making key decisions. This would reinforce accountability.

Sen. D'Armiento repeated that some people were reassured by the heightened security.

Sen. Ulrich Hengst (Ten., VP&S) thanked EVP Greenberg for providing answers that the Senate had not heard before from senior administrators. He asked about the purpose and procedure of guest preregistration. Could one outcome be that guests are not approved for access? If so, who makes that decision? And what would be the point of the procedure if everyone were approved for guest access? What is the purpose of preregistration other than information gathering? How would the information be used? What would possibly be the purpose of this process other than information gathering? How long is the information retained? Who has access to it? Would it be shared with security services outside the University?

Sen. D'Armiento said these questions may be compiled for another meeting with EVP Greenberg, perhaps with the Executive Committee. He said he was prepared to follow any format.

Sen. George remembered the color coding used during Covid and noted the recent comments about people feeling anxious about certain colors. A faculty member who sees the safety status turn yellow may see this as a commentary about the current climate, decide not to go to campus, and switch over to Zoom to conduct their class. Have plans been made to address impacts like these?

Sen. D'Armiento said this was an important question. Classes may automatically change to a Zoom format with changes in these security levels. During Covid it was at least possible to track the spread of the disease in the community. Something like that is what people are asking for now—some indication of the logic for changing security levels.

She said answering these questions may require interaction with other parts of the administration. EVP Greenberg agreed. He said he routinely interacts with the provost's office and many others.

Sen. Bernofsky expressed concern that the language of danger was being used to suppress speech that some regard as offensive. She said such speech is protected on the Columbia campus by the principle of academic freedom. She certainly had listened to speakers she found deeply offensive.

She was also troubled by the social media scanning that EVP Greenberg had mentioned. She wanted to know whose social media was being scanned, and why. Was this another way of excluding speech that might be offensive?

Finally, Sen. Bernofsky worried about the danger of funneling large numbers of people through narrow campus exits. What if there were a fire? She had also found that exits are often staffed by lower-level security staff who need to phone higher-ups to answer questions, further delaying and confining the crowd trying to exit.

Sen. Gordon, responding to Sen. Bernofsky, said Columbia has time, place, and manner rules which can be enforced against its own affiliates by disciplinary procedures like the Rules of

University Conduct. Those rules don't apply to people who are not part of the Columbia community, and this leaves the University with only one undesirable recourse—the police.

Secondly, he said there are certain kinds of speech which might be protected by the First Amendment, and therefore are allowed outside Columbia's gates, but which nevertheless could be regarded as a violation of the anti-harassment rules of Title 6, to which the University is subject, and for which the University could use the disciplinary procedures that are now in place. He said these two points are important in considering the difficult trade-offs that EVP Greenberg and other administrators have to make.

Sen. D'Armiento shared one final thought—that there are concerns from outsiders and from the Columbia community, and sometimes they overlap. She said no one in the Senate was suggesting that if there are outside people causing Columbia trouble, the police should not be called. What the Columbia community is concerned about, she said, is the people in the community.

Sen. Joseph Howley (Ten., A&S/Humanities) said he appreciated the discussion, and he shared Sen. Brown's concerns about the way security restrictions get ratcheted up and never seem to be fully undone. So people can say that green is the goal. But how could Columbia actually get there?

Sen. Howley raised one additional concern, about the final stretch of the presidential campaign season. Over the past year national politicians have seized opportunities to exploit the conflict at Columbia for their own ends. Claims about events on the Columbia campus and about the safety level raise the pressure on Columbia to take certain actions, not simply to achieve safety, but also to demonstrate its responsiveness to certain political actors.

He said he would for the moment set aside his reservations about the NYPD as a reliable source of information about the threat that protests pose, particularly given its record of hostility in recent years to popular protest in New York City. But how can Columbia people make sure that they are responding to real information and not some politicized narrative? How can they make sure their response is guided by shared values and not political exigencies? He hoped these questions could be addressed in the next round of discussion.

Sen. Mehta seconded Sen. Howley's message. He added that students were frustrated by the politicians who came on campus during the encampments. They would appreciate serious efforts to make sure that something like that does not happen again. It was also highly disruptive to students at the end of the semester.

**Adjourn.** Sen. D'Armiento said she did not expect to have another plenary during the summer. She said the Executive Committee would keep working on the investigative report. Any senator volunteering to join this effort was welcome. She thanked EVP David Greenberg for patiently addressing so many questions. She adjourned the meeting at about 2:35 pm.

Respectfully submitted,

Tom Mathewson, Senate staff

Proposed: August 23, 2024

University Senate

Adopted: August 23, 2024

60-3-1: In favor-opposed-abstained

**RESOLUTION TO ENDORSE THE GUIDELINES TO THE RULES OF  
UNIVERSITY CONDUCT**

WHEREAS the Guidelines to the Rules of University Conduct, prepared by the Committee on the Rules of University Conduct, provide essential guidance for the implementation of the current Rules of University Conduct

WHEREAS every four years the Committee on the Rules of University Conduct is responsible for conducting a review of the Rules of University Conduct that are enshrined in the Statutes of the University; and

WHEREAS because the events of the 2023-2024 academic year exposed the need for a communal understanding of the Rules of University Conduct, the Committee on the Rules of University Conduct was tasked to further clarify and ensure the alignment of the Guidelines with the existing Rules enshrined in the Statutes;

WHEREAS such a review is currently underway, and the Committee on the Rules of University Conduct will bring any proposed statutory amendments to the Rules of University Conduct to the University Senate in the 2024-2025 academic year; and

THEREFORE, BE IT RESOLVED that, in the service of providing a common understanding of the Rules of University Conduct, the University Senate endorses these revised Guidelines to the Rules of University Conduct.

BE IT FURTHER RESOLVED that this document be forwarded to the Board of Trustees, the President's Office, the Office of University Life, the Office of General Counsel, and the Provost's Office for their reference.

Proponent: Committee on the Rules of University Conduct



## Overview

The *Guidelines to the Rules of University Conduct* are written by the University Senate [Committee on the Rules of University Conduct](#) (Rules Committee) to promote a common understanding of the [Rules of University Conduct](#) for the entire Columbia community, and to assist the Rules Administrator, as well as the members of the University Judicial Board (UJB) and Appeals Board, as they investigate and adjudicate alleged violations of the Rules. The Rules Committee includes members drawn from the Faculty Affairs, Student Affairs, and Research Officers Committees, among others.

As part of its responsibility for overseeing the Rules of University Conduct, the Rules Committee is required to undertake a **comprehensive review of these Rules every four years**. The current review process began with a series of listening sessions during the 2023-2024 academic year. Any proposed revisions to the Rules—which are codified in the University Statutes—require approval by the full University Senate, followed by the Board of Trustees. The Rules Committee also updates the *Guidelines to the Rules of University Conduct* (Guidelines) as needed.

In light of the recent campus climate and the uncertainty regarding the Rules and their application over the past academic year, the Rules Committee has dedicated the summer to thoroughly reviewing the Rules and refining these Guidelines. **These 2024 revisions of the Guidelines are part of the review of the Rules and Guidelines that the Statutes of the University require the Committee to undertake every four years.**

While preparing these revised Guidelines, the Rules Committee drew on input from multiple sources, including community responses from our listening sessions and feedback requests, other Senators and Committees, the University Administration, the Report of the Task Force on Antisemitism, as well as letters and petitions submitted to the Rules Committee. We believe the revised Guidelines are both relevant and appropriate in the context of the current campus environment.

While the Rules are intended to be enduring, the Guidelines provide a contemporary understanding of their application. Among other things, the revised Guidelines reassert the primacy of the Rules process as the appropriate mechanism for resolving disciplinary matters connected to demonstrations, protests, etc. These Guidelines are designed to facilitate the implementation and application of the Rules, uphold due process, and protect freedom of expression. We continue to strive to ensure they allow for this while also allowing all members of the University to pursue their academic activities.

Our goal is to ensure that all members of the University community begin this academic year with a clearly defined set of Guidelines. **The document we present today reflects the Rules Committee's informed understanding of the Rules as they currently exist within the University Statutes.**

The Rules Committee deemed it crucial to have these revisions to the Guidelines in place before the start of the academic year. This decision offers clarity for the university community regarding acceptable conduct during demonstrations and protest activities under the Rules, as well as on the procedures for addressing violations. Our work will continue throughout the academic year, during which we will assess whether further revisions to the Rules or Guidelines are necessary. We remain open to input from the University community as part of this ongoing process.

Upon completing this review, we will present the results to the University Senate, and if necessary, update the Guidelines to reflect any revisions made to the Rules.

ON PAGE 20, YOU WILL FIND THE UPDATED GUIDELINES.

ON PAGE 78 , YOU WILL FIND THE COMPARISON DOCUMENT

# Guidelines for the Rules of University Conduct

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# INTRODUCTION

## Affirmative Statement

The Affirmative Statement of the Rules of University Conduct (§440) recognizes the right of every member of our community to demonstrate, to rally, to picket, to circulate petitions and distribute ideas, to partake in debates, to invite outsiders to participate, and publicly 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 challenge conventional thinking. Free expression would mean little if it did not include the right to express what others might reject or loathe.

## Purpose of the Guidelines

These guidelines are written by the University Senate [Committee on the Rules of University Conduct](#) (the Committee) to promote a common understanding of the [Rules of University Conduct](#) (the Rules) for the entire Columbia community, and to assist the Rules Administrator, as well as the members of the University Judicial Board (UJB) and Appeals Board, as they investigate and adjudicate alleged violations of the Rules. The Guidelines provide insight into the Committee's understanding of the time, place, and manner restrictions contained within the Rules and clarify the investigation, hearing, and sanctioning procedures for alleged violations that provide due process protections. If a discrepancy exists between the Guidelines and the Rules of University Conduct, the Rules of University Conduct shall take precedence.

## 2024 Revisions to the Guidelines

Revisions to the Guidelines for the Rules of University Conduct are informed by three main goals that have always been integral to the Rules themselves. First, the revisions aim to bolster the consistency, integrity, and fairness of the University's disciplinary procedures and the University community's confidence therein. Second, the revisions reassert the primacy of the Rules process as the appropriate mechanism for resolving disciplinary matters connected to demonstrations, protests, and the like. Third, the revisions seek to maximize the scope for free expression and debate at the University, consistent with the University's academic mission as well as federal, state, and city law. The 2024 revisions are part of the review of the Rules and Guidelines that the Statutes of the University require the Committee to undertake every four years.

## Jurisdiction

The Rules of University Conduct apply, by their plain terms, "to all members of the University community" and "to any demonstration, including a rally or picketing, that takes place on or at a University facility or at any University sponsored activity" (§442). Both the history of the Rules and the language of §442 support the conclusions that (1) any University regulations of demonstrations or other policies regulating or restricting freedom of expression must be consistent with the Rules; and (2) the Rules are the fundamental source of authority within the University for regulating or otherwise restricting conduct "incident to a demonstration" (§443.a). Accordingly, any complaint that a member of the University community has engaged in prohibited conduct that arises out of, or is related to, a demonstration shall be directed to and reviewed by the Rules Administrator, and resolved under the Rules process, consistent with applicable law and

the Statutes of the University. In all cases in which such a complaint is referred, in full or in part, to a University process other than the Rules process, the Rules Administrator, Rules Clerk, and the Committee on the Rules of University Conduct must be informed promptly of the referral, including the adjudicating body and relevant facts and circumstances (anonymized as appropriate), as well as any intermediate or final disposition.

### **Overview of the Rules**

The Rules of University Conduct emerged from the student protests of 1968. Following those protests, the Columbia University Senate was created and it then adopted the Rules and created the Committee on the Rules of University Conduct to oversee them. Any amendments to the Rules need the approval of both the University Senate and the Trustees of the University.

In 2013, the Committee undertook an arduous review of the Rules, in broad consultation with the University community, and revised Rules were adopted by the University Senate in 2015. The Affirmative Statement was added at that time, the UJB was empowered to act as an independent hearing panel and sanctioning body, and the adjudicatory procedures were streamlined to make the Rules process more transparent, uniform, and consistent in application.

The Rules have four main sections. The Affirmative Statement in the first section (§440) emphasizes Columbia's commitment to freedom of expression for every member of the University and the right to openly demonstrate, rally, picket, and circulate petitions, while still protecting the academic, pedagogical, and research work of the University as well as the safety of the University community. Section two (§441-§443) provides reasonable time, place, and manner restrictions on acceptable forms of protest by detailing types of activities that constitute violations of the Rules. The third section (§444-§445) defines how demonstrations should be managed by the University, outlining official duties and roles for that purpose. The final section (§446-§451) describes institutional disciplinary procedures and the due process protections for alleged violators of the Rules.

### **University Senate Committee on the Rules of University Conduct**

In addition to being the statutory custodian of the Rules, undertaking regular reviews of the Rules, and preparing proposals for changes for consideration by the University Senate, the Committee acts as an interpretive body in case of disputes about the meaning and application of the Rules, and may prepare guidelines, sample documents, and training materials to facilitate implementation of the Rules.

### **Amendments to the Guidelines**

In accordance with its statutory duty to "prepare any material that will facilitate the functioning of the procedures" for the Rules (§452.a), the Committee may, from time to time, revise these Guidelines and may consult with members of the community and officials involved with the disciplinary procedures to clarify the guidance provided herein. Any revisions must be approved by majority vote of the Committee.

### **Questions of Interpretation**

During ongoing disciplinary cases, questions of interpretation, both of the Rules and these Guidelines, will be considered by the Chair(s) of the Committee in consultation with the Chair of the University Senate Executive Committee. If co-Chairs of the Committee

disagree, or if individuals involved in a case (e.g., Respondents, Rules Administrator, UJB Members, or Appeals Board members) disagree on the interpretation provided, the matter will be referred to the full Rules Committee for final comment.

Questions of interpretation should be submitted to the Rules Clerk.

## PROHIBITED CONDUCT

### Time, Place, and Manner Restrictions

The Committee affirms that the freedoms we enjoy are not boundless. The Rules of University Conduct strive to safeguard free expression and open debate while protecting academic activities, as well as the safety of the University community. Academic activities are herein defined as including, but not limited to, studying, teaching, research, clinical activities, conferences, and workshops. The Affirmative Statement of the Rules of University Conduct notes, “the University reasonably regulates the time, place, and manner of certain forms of public expression” (§440); such restrictions are defined and described in §443.a. General principles to inform the application of the time, place, and manner restrictions outlined in §443.a are:

1. Demonstrations, protests, and other similar events that take place in spaces in which the University is holding academic activities must allow for the continuation of those activities without disruption or interference.
2. University space is intended for the use and enjoyment of all members of the University community. Therefore, demonstrations and protests may not claim exclusive use or substantially inhibit the primary purposes of a given University space or facility for an extended period of time without prior authorization.
3. Demonstrations, protests, and similar events are subject to the imperative to avoid disruptions that substantially hinder ongoing academic activities in the University. For example, sound amplification during demonstrations may only be used in a manner that does not substantially hinder academic activities; participants must effectively address complaints about such disruptions of academic activities in the surrounding areas. Individuals may be subject to appropriate sanctions for noise disruption as outlined in §443.a.12.
4. Organizers or sponsors of demonstrations, protests, and other similar events should provide notice no later than at the time of their public announcement (including email or social media) to Public Safety and University Life, *by emailing [eventnotifications@columbia.edu](mailto:eventnotifications@columbia.edu) or filling a webform at <https://eventnotifications.columbia.edu>*, so that any preparations deemed necessary for ensuring the safety of the community may be made by the relevant campus office(s).

### Anti-Harassment Principle

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 (§440).

## Violations

The Rules define the limits on acceptable forms of protest. In §443.a, they detail twenty types of activity that are considered violations of the Rules and may include a broad range of behaviors related to, or resulting from, a demonstration such as a rally or picketing. The Rules are neutral with regard to the content of expressed opinion and protest; therefore, none of the violations makes any reference to the expression of opinion. The violations in §443.a concern actions that, for example, injure others, impede access for others to University resources, damage or deface University property, or inhibit the primary academic activities of the University. A violation of the Rules can occur separately from, or simultaneously with, other forms of prohibited conduct, including alleged infractions involving gender-based misconduct or discrimination; violations of the Rules shall be processed as outlined in the Rules, while other prohibited conduct may undergo a different process.

The Rules apply to individuals, acting alone or with a group, in the context of a demonstration or protest. A group may not be sanctioned for the behavior of an individual, and individuals alleged to have violated the Rules shall be charged for their individual actions based on available evidence, not the actions taken by others in a larger group.

## Sanctions

Consistent with the University's educational mission, a range of sanctions is offered in line with the severity of the violations of the Rules. Only the UJB may issue a sanction, and it may do so only after a respondent has either accepted responsibility or has been found responsible. The Rules provide for a limited range of sanctions for simple violations, and a fuller range for serious ones. Simple and serious violations are so defined in §443.a. Sanctioning through the UJB may be avoided if the Rules Administrator reaches an informal resolution with the individual accused of a violation; the Committee supports the use of informal resolutions where appropriate.

Section §449 of the Rules emphasizes consistency and fairness in the application of sanctions, noting that they are to be the same across departments and schools, in line with historical precedent, and adequate to protect the safety of the campus community. The Rules Clerk will assist the UJB in arriving at a suitable sanction by providing records of previous sanctions imposed for similar violations (with records redacted for privacy).

Sanctions can range from the very mild to more serious, as specified in §449, with more serious sanctions reserved for serious violations. Sanctions used in the past have included pedagogically-grounded restorative justice approaches, which the Committee considers to fall under "Community service" in the list of sanctions in §449. No minimum sanction is required for any particular infraction; the UJB has leeway to determine the severity of the offense and choose an appropriate sanction.

In a pedagogically-based restorative justice approach, the adjudication and disposition focus on pedagogical and research-based sanctions aligned with the University's research and teaching mission, rather than punitive measures. Restorative justice approaches may include research paper assignments on topics relevant to the violation, such as the history of the First Amendment, academic freedom, or the lived experience of those whose labor was impacted by the protest activity (e.g., Facilities and Public

Safety workers); and also may include writing formal letters of apology to those impacted by the violation. These documents will be reviewed by the UJB Chair before being shared with those impacted or with appropriate faculty with expertise in the research area. The Committee encourages this approach when applicable.

The UJB shall seek consistency and uniformity in its sanctioning decisions in similarly situated cases. Further, once each quarter, the UJB shall deliver a report aggregating year-to-date information regarding charges, sanctions, and material facts to the Committee, which may use this information to further develop and update the Guidelines and propose changes to the Rules.

Sanctions against recognized student groups are outside the jurisdiction of the UJB and are subject to other procedures and policies, such as the Student Adjudication Governing Board's disciplinary process or the policies of the relevant school's student group governing association.

## **MANAGING EVENTS**

The Rules define how demonstrations should be managed and create positions for that purpose in §444 and §445.

### **Delegates**

While the Rules Administrator has overall responsibility for administering the Rules, Delegates act as 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 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, they should alert an identified Delegate or contact the Rules Administrator(s) and/or the Department of Public Safety. At the site of demonstration, Delegates shall identify themselves and gather information (for possible transmission to the Rules Administrator), including the identities of any participants whom the Delegate thinks are violating the Rules, and the facts surrounding the demonstration.

### **Identification and Warning**

Properly identified Delegates may warn individuals whose actions they consider to be in violation of the Rules and may request such individuals to identify themselves (§444.e). However, a member of the University community may be charged with a violation of these Rules even if no prior warning has been given.

A Delegate should only ask for identification if they reasonably believe that an individual is committing or has committed a violation of the Rules as described in §443.a; the Delegate shall not ask for identification for a presumed violation of §443.a(16) (failure to self-identify) alone. Once the person is identified, the Delegate shall provide the Rules Administrator and Rules Clerk with the information for record keeping and due process. These records shall maintain the privacy of the individual, consistent with §446 and §451, to ensure that identities are only made available to those who need to know the information in order to carry out their duties and responsibilities under the Rules, with limited exceptions outlined in §451.

Facial Coverings: Where a Delegate reasonably believes that an individual is committing or has committed a violation of the Rules, the individual's face is covered, and the individual refuses to show photo identification, the Delegate may request that they briefly remove their face covering to show the Delegate their face and provide their name; refusal may constitute an additional violation under §443.a(16). The Delegate may choose to photograph the individual and/or their identification; photographs shall remain private, consistent with §446 and §451, to ensure that identities and photographs are only made available to those who need to know the information in order to carry out their duties and responsibilities under the Rules, with limited exceptions outlined in §451. If the individual refuses to provide photo identification and refuses to temporarily remove any object that obscures their face, the Delegate should give the person a pamphlet that indicates which violation(s) of the Rules according to §443.a is (are) being alleged and contains the following text:

*"You are suspected to be in violation of the Rules of University Conduct and are being asked to cease such actions. As a Delegate I may choose to report a failure to identify yourself to the Rules Administrator and inform Public Safety that you are refusing to identify yourself while suspected to be violating the Rules of University Conduct. You may be required to leave campus."*

The Delegate shall keep a record of the number of individuals refusing to identify themselves and report it to the Rules Administrator and Rules Clerk for record-keeping purposes.

If the Delegate observes that the individual refusing to identify themselves continues to violate the Rules, the individual may be escorted off campus by Public Safety. Afterwards, the Delegate shall inform the Rules Administrator and Rules Clerk of individuals who refuse to identify themselves and who are escorted off campus for record-keeping purposes.

The Delegate, Rules Administrator, and Rules Clerk shall maintain the privacy of the individuals consistent with the Family Educational Records and Privacy Act (FERPA) and with §446 and §451.

### **Student Media**

Student members of a media outlet – either (1) staff of a University-recognized student media outlet (e.g., Columbia Daily Spectator, WKCR-FM, or Bwog) or (2) established freelance journalists – may apply for a Student Media Credential, to be approved at the discretion of the Interschool Governing Board (IGB). The purpose of the media credential is to identify an individual as being a recognized student journalist. The credential does not itself authorize access to an event, a secure area, or a high-profile area.

A current list of issued Student Media Credentials should be posted on the University Senate website and provided to the Rules Administrator and the Department of Public Safety.

Persons issued Student Media Credentials are entitled to a presumption that the holder is acting in their role as a journalist and, therefore, is not in violation of the Rules. However, this presumption may be overcome with evidence that shows the person's

behavior to be inconsistent with that of a journalist.

## 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 complainant or witness and, in compelling circumstances, may withhold the name of such person. Circumstances in which this request may be granted include a reasonable fear of retribution, harassment, or other inappropriate responses to the disclosure of a complainant's name.

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

## DISCIPLINARY PROCESS

The Rules separate charging from sanctions. Per §447, 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 (§449). If an individual does not accept responsibility, only the UJB 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

Section §446 details the Rights of the Respondent, providing due process protections.

### Privacy

The University will reveal information about disciplinary proceedings 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 confidentiality of the process and the privacy of the respondent. A respondent who successfully requests that a hearing be open may waive their 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 alleged incident of misconduct by up to two advisors of their choice. 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 exchange messages in a non-disruptive manner. The advisor may not intervene in a meeting/hearing and may not address the Rules Administrator or hearing panel, including by questioning witnesses or making objections.

A respondent may identify and retain their own advisor or they may request information

on potential volunteer advisors. The Rules Clerk may provide a list of volunteer advisors to the respondent. The respondent is not obligated to select a volunteer advisor from the list. The choice to have an advisor, if any, is at the discretion of the respondent, as is the selection of any specific advisor.

Advisors may include but are not limited to family members, friends, counselors, therapists, clergy, attorneys, academic advisors, professors, and administrators. Members of the Rules Committee may not serve as advisors in a hearing.

### **Notice**

The Rules Administrator will give the respondent a written explanation of their 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.

## **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. Per §445.a, the Rules Administrator may appoint one or more Assistant Rules Administrators who may act in their stead. The Executive Committee and the Committee on the Rules of University Conduct shall be promptly notified of the appointment(s) of the Rules Administrator and of any Assistant Rules Administrator(s). Persons otherwise associated with the disciplinary procedures of a particular school or division may not be appointed as the Rules Administrator or as an Assistant Administrator.

### **External Investigations**

In some instances, a law enforcement investigation may overlap with a Rules violation investigation. In that event, the University may decide to temporarily suspend its investigation for a reasonable period of time, and shall notify the respondent and any complainants of this suspension, consistent with §447.

### **Ongoing Alleged Violation of the Rules**

In the event of an ongoing alleged violation of the Rules (e.g., protestors occupying University facilities or other sustained disruptions), the Rules Administrator may initiate the investigation process concurrently with the alleged ongoing violation, provided that other requirements set forth by the Rules and Guidelines are met.

If the alleged violation of the Rules has exceeded a period of five (5) business days from the initial date of the incident, the Rules Administrator, in their discretion, may submit charges to the UJB for adjudication in accordance with the Rules and Guidelines. The UJB may consider the ongoing nature of the alleged violation to the Rules in its determination of responsibility and sanctions. Interim sanctions may be imposed under the conditions described in the relevant section of this document.

The Rules Administrator may bring additional charges, stemming from the ongoing conduct, when the nature of the alleged violation has become more serious.

The Rules Committee has a strong preference for post-hoc adjudication of alleged violations. Thus, the initiation of charges by the Rules Administrator for an ongoing Rules violation should only be used in rare circumstances.

## Initial Assessment of Complaints

The Rules Administrator must determine whether there is substance to a complaint that an individual has violated the Rules. If a group of individuals is alleged to have committed multiple violations, the assessment of the complaint(s) shall only take into account individual actions and evidence, rather than assessing and/or charging all individuals collectively. This approach both upholds due process and avoids bringing cases to the UJB that may be dismissed during an initial investigation.

Generally, if an alleged violation of the Rules is found not to have been a violation, subsequent allegations against other individuals for the same actions under materially similar circumstances should be dismissed.

If the Rules Administrator decides that there is no need for an investigation because the complaint is without merit, they may dismiss the complaint without further action. If, after conducting an investigation, the Rules Administrator dismisses a complaint for being without merit, they will notify the complainant and the respondent in writing; no record will be maintained.

## Planning an Investigation

If an investigation proceeds, the Rules Administrator will notify the respondent and the Rules Clerk, in writing, of the allegation(s). The respondent should be informed that they may not attempt to discuss the matter with the complainant. If the respondent does, they may be charged with violations including under other codes such as the Student Code of Conduct.

The Rules Administrator will conduct interviews and will gather pertinent information and documentation. The Rules Administrator will direct the respondent, witnesses, and other interested individuals to preserve any relevant evidence.

## Interim Sanctions

Interim sanctions may not impact a respondent's access to their housing, dining, or healthcare services unless their alleged conduct involved serious actual or threatened harm to or in such facilities.

The Rules Administrator may impose interim sanctions, other than holds, at any time during the investigation process if there is an imminent need to protect the physical safety and security of the Columbia community and/or to prevent further substantial and persistent disruption of academic activities. For all interim sanctions, other than holds, the Rules Administrator must attest that the interim sanction(s) is (are) necessary based on the above criteria.

Any sanctions that are not imminently necessary to protect the physical safety and security of the Columbia community or to prevent further substantial and persistent disruption of academic activities, as described above, must be imposed by the UJB as outlined in the Rules.

A respondent has a right to appeal the imposition of interim sanctions by the Rules Administrator. The respondent shall notify the Rules Clerk that they are appealing the interim sanction. The Rules Clerk shall notify the chair of the UJB that has been empaneled to hear the respondent's case. The chair shall hear and decide the appeal within 15 days unless the chair shows good cause in writing. The chair shall endeavor to hear the appeal and issue a decision as quickly as practicable. An interim sanction does

not replace charges that may result from the UJB investigation process.

If no appeal is brought or the UJB chair determines that the Rules Administrator met their burden in bringing interim sanctions, the interim sanction will automatically expire after 15 business days unless the Rules Administrator shows good cause in writing to the UJB chair.

If the respondent is not subsequently charged, agrees to an informal resolution, or has their case moved to the broader UJB process, the interim sanctions will be removed at the conclusion of the relevant process unless the UJB extends them. If an extension is made, the Rules Clerk will notify the respondent.

Once each quarter, the Rules Administrator shall deliver to the Committee on the Rules of University Conduct a report on the frequency and use of interim sanctions on an anonymized basis. These reports will be used to assess the application of interim sanctions and to ensure that they are applied only in appropriate circumstances.

The Rules Administrator shall inform the Rules Clerk when an investigation commences (and/or a charge has been filed) against a respondent. The Rules Clerk will inform the Dean of the relevant school(s) that an investigation is commencing. At that point, the Dean(s) may choose to place a hold on a respondent's account, at the recommendation of the Rules Administrator. The Rules Clerk shall be informed of any holds placed on accounts. The hold will remain in place until the investigation (or subsequent charge) is resolved. Having a hold may prevent a respondent from receiving, for example, a diploma, transcripts, or academic certifications.

### **Conducting Interviews**

The Rules Administrator should interview any person identified who may be able to provide information relevant to the investigation, but should 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 their 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 on the purpose of the meeting notes and how the 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 may be typed, and if no written statement by the witness has been submitted, the notes shall be typed. Witnesses shall be given an opportunity to verify or correct the notes or statement. Witnesses shall be advised that the investigatory notes are not verbatim.

### **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 but before a hearing has begun. The Committee supports the use of informal resolutions where appropriate.

An informal resolution, like any negotiated settlement, must be made on consent of both parties. The Rules Administrator and respondent are co-equal in the negotiation of an informal resolution.

If the Rules Administrator offers the respondent an informal resolution, the respondent has five (5) business days to either accept or decline the offer; if a hearing has been scheduled for less than two (2) business days after the offer of an informal resolution, the hearing shall be delayed, upon request of the respondent, to allow for at least two (2) business days between the extension of the offer and the hearing. The deadline to respond to the offer is whichever date comes first: five (5) business days from the extension of the offer or the date and time of the hearing.

The terms of the informal resolution shall be in writing. The resolution might or might not contain a sanction. The informal resolution will not be entered into the respondent's formal record. These requirements must be met to create a clear, unambiguous process in which all parties are fully informed of, understand, and mutually agree to the terms and consequences of the resolution.

If an attempt to resolve the matter informally is successful, the Rules Administrator shall inform the Rules Clerk of the result. If these efforts are unsuccessful, the Rules Administrator must either dismiss the complaint, file charges with the UJB, or if charges have already been filed continue with the case.

### **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.

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.

When a charge has been filed, the Rules Administrator shall inform the Rules Clerk of the charge(s) and provide them with the complete Investigation Report. The Rules Clerk will coordinate information sharing with the respondent, Rules Administrator, and the



UJB.

### **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. If the UJB dismisses a charge(s), the Rules Clerk will notify the Rules Administrator and the respondent.

### **Preparing for the Hearing**

The Rules Administrator shall 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. The UJB may submit queries, via the Rules Clerk, to either the Rules Administrator or respondent.

**Consulting an Advisor:** The respondent may consult with their advisor(s) who may assist the respondent with their 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 with the respondent.

**Written Submissions:** The respondent may prepare a written statement for the hearing process; this statement must be completed by the respondent and should outline their perspective on the allegations and the incident as a whole. The respondent may also add pertinent documentation and information as evidence to their written submission or as appendices to the written submission. 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 and the respondent agree that the information in the Investigation Report and the written submissions (if any) is sufficient to make a determination (for example, when 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

**Respondent Not Able to Be Present for Hearing:** When a respondent is not able to be present for a hearing, either in person or virtually, arrangements may be made for participation via alternate means and/or on an alternate date. The respondent must submit a request in writing to the Rules Clerk. The request must include a reason for the respondent not being able to attend the hearing. The Chair of the UJB shall arrange for alternate participation means.

**Request for Open Hearing:** A respondent may request in writing to the UJB 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 waives their rights to privacy.

**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.

**Calling Witnesses:** Prior to the hearing, the Rules Administrator and Respondent will have an opportunity to submit a list of witnesses who they might call at the hearing. The list(s) will be shared with the other party and with the UJB. At the hearing, the Rules Administrator and Respondent may call any person on the list(s). Witnesses may decline to participate and cannot be compelled to appear before the UJB.

**Cell Phones and Recording Devices:** Cell phones may not be used in the hearing room unless approved by the chairperson. Unauthorized recordings are not allowed. Approval to use recording devices during the hearing must be obtained in advance in writing from the chairperson of the UJB.

## 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 UJB 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.

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.

## Determining Sanctions

Per §449, if a respondent accepts responsibility, the chairperson of the UJB or the chairperson's designee shall determine the sanction. The UJB Chair has the option to consult the UJB panel when determining what sanctions to impose.

If the UJB finds a respondent responsible for a violation, the UJB will also determine the sanction(s).

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

The UJB may:

Call witnesses (from the list(s) of witness provided by the Rules Administrator and respondent) whose sole purpose is to provide character information;

Interview the respondent regarding factors of intent; and

Consider the respondent’s prior conduct if the respondent was previously found to be responsible or accepted responsibility, and if 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 Clerk who will communicate with the Rules Administrator and the respondent. The transmission must include (1) the sanction(s); and (2) the reasoning behind the imposed sanction(s).

## Preparing a Report of the UJB’s Determination

If a respondent accepts responsibility, the chairperson will transmit their 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**

The process for appealing decisions by the UJB or by the Chair of the UJB is detailed in §450.

## **ADMINISTRATIVE AND JUDICIAL ROLES**

### **Rules Administrator**

The Rules Administrator has primary responsibility for the administration of the Rules. They shall maintain records of proceedings under the Rules; shall prepare and serve notices and other documents required under the Rules; and shall accept and investigate complaints, file charges, and present evidence in support of charges to the hearing panels.

### **Rules Clerk**

The Rules Clerk will coordinate information sharing between the respondent, Rules Administrator, and the UJB; in the event of an appeal, the Rules Clerk will also coordinate information sharing with the Appeals Board and Office of the President. The Rules Clerk will be appointed by the Chair of the Executive Committee. The Rules Clerk may be contacted via email at RulesClerk@columbia.edu. Any submissions to/from the Committee, Rules Administrator, UJB, Appeals Board, or Office of the President must go through the Rules Clerk. Documents submitted through alternate means may be denied and returned to the sender.

### **University Judicial Board Membership**

The UJB consists of five members, one of whom shall be a student, one of whom shall be a faculty member, and one of whom shall be a staff member, as defined in §441.i.

The Executive Committee shall designate the chair of the board, as well as an alternate chair, and shall also appoint a pool of alternate board members. Appointments to the board shall ordinarily be for a term of three years, and shall be staggered to ensure continuity. The members of the UJB shall be persons from within the University, and no person otherwise concerned with disciplinary procedures may be appointed to the Board. Members of the Committee on the Rules of University Conduct shall not be appointed to the Board.

### **Appeals Board Membership**

The Appeals Board consists of three members, each of whom is a Dean of School or Division. The Executive Committee shall designate the chair of the board and shall make

appointments to the board, which shall ordinarily be for a term of three years, so as to provide for staggered terms to ensure continuity. The members of the Appeals Board shall be persons from within the University.

## CONFLICTS OF INTEREST

The University requires any individual participating in the investigation, hearing, sanctioning, or appeal process to disclose to the University any potential, perceived, or actual conflict of interest, as defined by the [University policy on conflicts of interest](#).

When a charge has been filed, the Rules Administrator shall inform the Rules Clerk of the charge(s). The Rules Clerk will provide, in a timely manner, a Conflict of Interest Disclosure Survey to the Rules Administrator and to the members of the hearing panels. The Rules Clerk will also provide a survey to the respondent and the respondent should provide it to their advisor(s); the respondent should return any completed surveys to the Rules Clerk. The survey may include, for example, such questions as: Do you know the respondent? Have you ever made a public statement about the issue or the respondent's organization? Is there any reason you cannot be impartial in the matter?

If either the Rules Administrator or a respondent believes that any individual involved in the process has a conflict of interest, they have three (3) business days from receiving notice of their 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 Rules Clerk.

A request may not be submitted after the conclusion of a case, if it is known prior to the conclusion.

The Rules Clerk will forward any requests and any affirmative survey answers to 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 either the UJB or 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. Chair of the Appeals Board – The Chair of the Appeals Board will be replaced by, if available, the Vice Chair. If the Vice Chair is not available to serve, the Chair will designate a new Chair, from either the sitting Appeals Board or the pool of alternates, for the respondent's case.
4. 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.
5. 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.

## RECORD KEEPING

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 maintain confidentiality.

**Individuals Found Responsible:** A central investigation file, which is a complete record of an investigation, will be maintained for 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 retention period, the files will no longer be reportable except in cases resulting in suspension or expulsion, which may be 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 §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 UJB 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.

# APPENDIX – SAMPLE FORMS AND APPLICATIONS

## 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](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](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](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.

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. You may also consult the website for the Rules of University Conduct at [http://senate.columbia.edu/committeepages/rules\\_committee.html](http://senate.columbia.edu/committeepages/rules_committee.html).

Sincerely yours,

*Signature of the Rules Administrator*

--

Print Name

Rules Administrator

**COLUMBIA UNIVERSITY  
RULES OF UNIVERSITY CONDUCT**

**Charges**

***Via E-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>**

\_\_\_\_\_  
Name:

Date: \_\_\_\_\_

Rules Administrator

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***

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

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.

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**Harm**

Describe any hindrance to free speech or harm to person or property, including associated costs, if any.

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**Actions by the University**

Describe any actions taken by the University as a result, including a justification for those actions.

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**Analysis / 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.

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**Appendices**

Describe the content of the appendices.

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

Signature of the Rules Administrator:

Date:

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Print Name: \_\_\_\_\_



**CONFLICT OF INTEREST  
DISCLOSURE SURVEY**

***Via E-mail***

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

Do you know the respondent? Yes / No  
If yes, provide additional information:

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Have you ever made a public statement about the issue or the respondent's organization? Yes / No

If yes, provide additional information:

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Is there any reason you cannot be impartial in this case? Yes / No

If yes, provide additional information:

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Is there anything else that would affect, or could potentially affect, your ability to be impartial in this matter, e.g., a relationship with a witness, advisor, or other person

involved in the matter? Yes / No

If yes, provide additional information:

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Signature:

Date:

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Print Name: 

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**RATIONALE FOR SANCTION(S):**

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**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](#).

*This document is considered a student educational record under Columbia University policy and is subject to the Family Educational Rights and Privacy Act ("FERPA")*

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

Signature of the UJB Chairperson:

Date of Decision:

Print Name:

\*\*\*\*\* LEGAL NOTICE

This document (including any attachments) contains confidential information which may be legally privileged. You are hereby notified that any disclosure, copying, or distribution of it, or the taking of any action based on its content, is strictly prohibited.

If you received this document in error, please immediately notify the sender and destroy the document from your system. Thank you.

\*\*\*\*\*

**Via E-mail**

**UJB PANEL FINDING &  
SANCTION FORM**

<p><b>Date(s) of Hearing / Decision:</b> _____ / _____ / _____</p> <p><b>The following decision(s) were rendered after deliberation for:</b></p> <p><b>Respondent's Name:</b> _____</p> <p><b>Respondent's UNI:</b> _____</p> <p><b>Deadline to Appeal:</b> _____ / _____ / _____</p>
---

**Charge 1:** Rules §443 Violation # \_\_\_\_\_

Finding: ( ) Responsible ( ) Not Responsible ( ) Charge Dismissed

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Charge 2:** Rules §443 Violation # \_\_\_\_\_

Finding: ( ) Responsible ( ) Not Responsible ( ) Charge Dismissed

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**FACTS (evidence upon which decisions were rendered):**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_



**RATIONALE FOR SANCTION(S):**

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**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](#).

*This document is considered a student educational record under Columbia University policy and is subject to the Family Educational Rights and Privacy Act (“FERPA”)*

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

Signature of hearing panel members present for hearing:

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

(Chairperson)

\*\*\*\*\* LEGAL NOTICE

This document (including any attachments) contains confidential information which may be legally privileged. You are hereby notified that any disclosure, copying, or distribution of it, or the taking of any action based on its content, is strictly prohibited.

If you received this document in error, please immediately notify the sender and destroy the document from your system. Thank you.

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## 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.

**APPEAL BOARD DECISION  
FORM**

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

Respondent appealed decision from: ( ) 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](#).

*This document is considered a student educational record under Columbia University policy and is subject to the Family Educational Rights and Privacy Act ("FERPA")*

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

Signature of hearing panel members present for hearing:

(1) \_\_\_\_\_

(Chairperson)

(2) \_\_\_\_\_

(3) \_\_\_\_\_

Date of Decision: \_\_\_\_\_

COLUMBIA UNIVERSITY APPLICATION FOR STUDENT MEDIA  
CREDENTIAL: EDITORIAL STAFF OF A STUDENT MEDIA  
OUTLET

<p><b>Student Media Outlet Name:</b> _____</p> <p><b>Director / Editor-in-Chief Name:</b> _____</p> <p><b>Director / Editor-in-Chief UNI / E-Mail:</b> _____</p>
--

*A student media outlet may apply for a Student Media Credential, valid until May 31 following the end of that academic year. Credential requests for editorial staff of a University-recognized news media outlet must be submitted by the Director / Editor-in-Chief of the news outlet. Please include all requests for credentials on the ONE application. The Editor-in-Chief should submit the request as the "**Contact**" with all editorial staff they assign as Editorial Staff.*

#### Key Dates

Applications in the Fall Semester may be submitted until 11:59 p.m. on September 30 and until 11:59 p.m. on November 30. Applications in the Spring Semester may be submitted until 11:59 p.m. on January 30 and until 11:59 p.m. on April 30. Applications will not be accepted at any other time.

#### Photograph

Submit a passport size photo (no larger than 100 dpi--passport size) of each "Editorial Staff" member with the application.

#### Supporting Documentation

Applicants must submit two or more of the following: articles, commentaries, books, photographs, videos, films or audios published or broadcast; applicants may also submit an original letter of assignment. Personal web pages and personal blogs will not be accepted.

#### Submit Application to:

Submit the application via email to the Office of the University Senate at senate@columbia.edu. Include in the subject line: "Application for Student Media Credential:" and the name of the media outlet.

#### Request for Reconsideration

If an application is denied, you may submit a Request for Reconsideration with

additional information to the email address above for the application.

Credential Pick Up

The Director / Editor-in-Chief will be notified by email when the credentials are available for pick up from the University Senate Office (406 Low Library) Monday-Friday from 9 a.m. to 5 p.m. The credential(s) may not be picked up by anyone else.

**University Recognized Student Media Outlet Name & Editor-in-Chief Information:**

Organization:

Director / Editor-in-Chief:

Editor UNI:

Editor E-mail Address:

Editor Mailing Address:

Editor Telephone:

**Staffer Contact Information**

First Name:

Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

**Staffer Contact Information**

First Name:

Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

**Staffer Contact Information**

First Name:

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Mailing Address:

Telephone:

Department/School:

**Staffer Contact Information**

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Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

**COLUMBIA UNIVERSITY**  
**APPLICATION FOR STUDENT**  
**MEDIA CREDENTIAL:**  
**Freelance Journalist**

**Freelance Journalist Name:** \_\_\_\_\_

**Freelance Journalist UNI:** \_\_\_\_\_

Key Dates

Applications in the Fall Semester may be submitted until 11:59 p.m. on September 30 and until 11:59 p.m. on November 30. Applications in the Spring Semester may be submitted until 11:59 p.m. on January 30 and until 11:59 p.m. on April 30. Applications will not be accepted at any other time.

Photograph

Submit a passport size photo (no larger than 100 dpi--passport size) with the application.

Supporting Documentation

Applicants must submit two or more of the following: articles, commentaries, books, photographs, videos, films or audios published or broadcast; applicants may also submit an original letter of assignment. Personal web pages and personal blogs will not be accepted.

Submit Application to:

Submit the application via email to the Office of the University Senate at senate@columbia.edu. Include in the subject line: "Application for Student Media Credential."

Request for Reconsideration

If an application is denied, you may submit a Request for Reconsideration with additional information to the email address above for the application.

Credential Pick Up

If approved for a credential, the Freelance Journalist will be notified by email when the credential is available for pick up from the University Senate Office (406 Low Library) Monday-Friday from 9 a.m. to 5 p.m. The credential may not be picked up by anyone else.

**Student Freelance Journalist Information:**

First Name:

Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

***END OF DOCUMENT***

[Guidelines for the Rules of University Conduct](#)

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## INTRODUCTION

### Affirmative Statement

The Affirmative Statement of the Rules of University Conduct (§440) recognizes the right of every member of our community to demonstrate, to rally, to picket, to circulate petitions and distribute ideas, to partake in debates, to invite outsiders to participate, and publicly 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 challenge conventional thinking. Free expression would mean little if it did not include the right to express what others might reject or loathe.

### Purpose of the Guidelines

These guidelines are written by the University Senate [Committee on the Rules of University Conduct](#) (the Committee) **to promote a common understanding of the Rules of University Conduct (the Rules) for the entire Columbia community, and to assist the Rules Administrator, as well as the members of the University Judicial Board (UJB) and Appeals Board, as they investigate and adjudicate alleged violations of the Rules. The Guidelines provide insight into the Committee's understanding of the time, place, and manner restrictions contained within the Rules** and clarify the investigation, hearing, and sanctioning procedures for alleged violations that provide due process protections. If a discrepancy exists between the Guidelines and the Rules of University Conduct, the Rules of University Conduct shall take precedence.

### 2024 Revisions to the Guidelines

Revisions to the Guidelines for the Rules of University Conduct are informed by three main goals that have always been integral to the Rules themselves. First, the revisions aim to bolster the consistency, integrity, and fairness of the University's disciplinary procedures and the University community's confidence therein. Second, the revisions reassert the primacy of the Rules process as the appropriate mechanism for resolving disciplinary matters connected to demonstrations, protests, and the like. Third, the revisions seek to maximize the scope for free expression and debate at the University, consistent with the University's academic mission as well as federal, state, and city law. The 2024 revisions are part of the review of the Rules and Guidelines that the Statutes of the University require the Committee to undertake every four years.

### Jurisdiction

The Rules of University Conduct apply, by their plain terms, "to all members of the University community" and "to any demonstration, including a rally or picketing, that takes place on or at a University facility or at any University sponsored activity" (§442). **Both the history of the Rules and the language of §442 support the conclusions that (1) any University regulations of demonstrations or other policies regulating or restricting freedom of expression must be consistent with the Rules; and (2) the Rules are the fundamental source of authority within the University for regulating or otherwise restricting conduct "incident to a demonstration" (§443.a). Accordingly, any complaint that a member of the University community has engaged in prohibited conduct that arises out of, or is related to, a demonstration**



shall be directed to and reviewed by the Rules Administrator, and resolved under the Rules process, consistent with applicable law and the Statutes of the University. In all cases in which such a complaint is referred, in full or in part, to a University process other than the Rules process, the Rules Administrator, Rules Clerk, and the Committee on the Rules of University Conduct must be informed promptly of the referral, including the adjudicating body and relevant facts and circumstances (anonymized as appropriate), as well as any intermediate or final disposition.

Commented [GMc1]: New

### Overview of the Rules

The Rules of University Conduct emerged from the student protests of 1968. Following those protests, the Columbia University Senate was created and it then adopted the Rules and created the Committee on the Rules of University Conduct to oversee them. Any amendments to the Rules need the approval of both the University Senate and the Trustees of the University.

In 2013, the Committee undertook an arduous review of the Rules, in broad consultation with the University community, and revised Rules were adopted by the University Senate in 2015. The Affirmative Statement was added at that time, the UJB was empowered to act as an independent hearing panel and sanctioning body, and the adjudicatory procedures were streamlined to make the Rules process more transparent, uniform, and consistent in application.

The Rules have four main sections. The Affirmative Statement in the first section (§440) emphasizes Columbia’s commitment to freedom of expression for every member of the University and the right to openly demonstrate, rally, picket, and circulate petitions, while still protecting the academic, pedagogical, and research work of the University as well as the safety of the University community. Section two (§441-§443) provides reasonable time, place, and manner restrictions on acceptable forms of protest by detailing types of activities that constitute violations of the Rules. The third section (§444-§445) defines how demonstrations should be managed by the University, outlining official duties and roles for that purpose. The final section (§446-§451) describes institutional disciplinary procedures and the due process protections for alleged violators of the Rules.

Commented [GMc2]: Elaboration

Previously: 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.

### University Senate Committee on the Rules of University Conduct

In addition to being the statutory custodian of the Rules, undertaking regular reviews of the Rules, and preparing proposals for changes for consideration by the University Senate, the Committee acts as an interpretive body in case of disputes about the meaning and application of the Rules, and may prepare guidelines, sample documents, and training materials to facilitate implementation of the Rules.

### Amendments to the Guidelines

In accordance with its statutory duty to “prepare any material that will facilitate the functioning of the procedures” for the Rules (§452.a), the Committee may, from time to time, revise these Guidelines and may consult with members of the community and officials involved with the disciplinary procedures to clarify the guidance provided herein. Any revisions must be approved by majority vote of the Committee.

### Questions of Interpretation

During ongoing disciplinary cases, questions of interpretation, **both of the Rules and**

these Guidelines, will be considered by the Chair(s) of the Committee in consultation with the Chair of the University Senate Executive Committee. If co-Chairs of the Committee disagree, or if individuals involved in a case (e.g., Respondents, Rules Administrator, UJB Members, or Appeals Board members) disagree on the interpretation provided, the matter will be referred to the full Rules Committee for final comment.

Questions of interpretation should be submitted to the Rules Clerk.

## PROHIBITED CONDUCT

### Time, Place, and Manner Restrictions

The Committee affirms that the freedoms we enjoy are not boundless. The Rules of University Conduct strive to safeguard free expression and open debate while protecting academic activities, as well as the safety of the University community. Academic activities are herein defined as including, but not limited to, studying, teaching, research, clinical activities, conferences, and workshops. The Affirmative Statement of the Rules of University Conduct notes, “the University reasonably regulates the time, place, and manner of certain forms of public expression” (§440); such restrictions are defined and described in §443.a. **General principles to inform the application of the time, place, and manner restrictions outlined in §443.a are:**

1. Demonstrations, protests, and other similar events that take place in spaces in which the University is holding academic activities must allow for the continuation of those activities without disruption or interference.
2. **University space** is intended for the use and enjoyment of all members of the University community. Therefore, demonstrations and protests may not claim exclusive use or substantially inhibit the primary purposes of a given University space or facility for an extended period of time without prior authorization.
3. **Demonstrations, protests, and similar events** are subject to the imperative to avoid disruptions that substantially hinder ongoing academic activities in the University. **For example, sound amplification during demonstrations may only be used in a manner that does not substantially hinder academic activities; participants must effectively address complaints about such disruptions of academic activities in the surrounding areas. Individuals may be subject to appropriate sanctions for noise disruption as outlined in §443.a.12.**
4. **Organizers or sponsors of demonstrations, protests, and other similar events** should provide notice no later than at the time of their public announcement (including email or social media) to Public Safety and University Life, *by emailing [eventnotifications@columbia.edu](mailto:eventnotifications@columbia.edu) or filling a webform at <https://eventnotifications.columbia.edu>*, so that any preparations deemed necessary for ensuring the safety of the community may be made by the relevant campus office(s).

### Anti-Harassment Principle

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

Commented [GMc3]: New

Commented [GMc4]: Elaboration:

Previously: 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 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.

Commented [GMc5]: Elaboration: see above

Commented [GMc6]: New

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 (§440).

### Violations

The Rules define the limits on acceptable forms of protest. In §443.a, they detail twenty types of activity that are considered violations of the Rules and may include a broad range of behaviors related to, or resulting from, a demonstration such as a rally or picketing. The Rules are neutral with regard to the content of expressed opinion and protest; therefore, none of the violations makes any reference to the expression of opinion. The violations in §443.a concern actions that, for example, injure others, impede access for others to University resources, damage or deface University property, or inhibit the primary academic activities of the University. A violation of the Rules can occur separately from, or simultaneously with, other forms of prohibited conduct, **including alleged infractions involving gender-based misconduct or discrimination; violations of the Rules shall be processed as outlined in the Rules, while other prohibited conduct may undergo a different process.**

The Rules apply to individuals, acting alone or with a group, in the context of a demonstration or protest. A group may not be sanctioned for the behavior of an individual, and individuals alleged to have violated the Rules shall be charged for their individual actions based on available evidence, not the actions taken by others in a larger group.

### Sanctions

Consistent with the University's educational mission, a range of sanctions is offered in line with the severity of the violations of the Rules. Only the UJB may issue a sanction, and it may do so only after a respondent has either accepted responsibility or has been found responsible. The Rules provide for a limited range of sanctions for simple violations, and a fuller range for serious ones. Simple and serious violations are so defined in §443.a. Sanctioning through the UJB may be avoided if the Rules Administrator reaches an informal resolution with the individual accused of a violation; the Committee supports the use of informal resolutions where appropriate.

Section §449 of the Rules emphasizes consistency and fairness in the application of sanctions, noting that they are to be the same across departments and schools, in line with historical precedent, and adequate to protect the safety of the campus community. **The Rules Clerk** will assist the UJB in arriving at a suitable sanction by providing records of previous sanctions imposed for similar violations (with records redacted for privacy).

Sanctions can range from the very mild to more serious, as specified in §449, with more serious sanctions reserved for serious violations. **Sanctions used in the past have included pedagogically-grounded restorative justice approaches, which the Committee considers to fall under "Community service" in the list of sanctions in §449.** No minimum sanction is required for any particular infraction; the UJB has leeway to determine the severity of the offense and choose an appropriate sanction.

**In a pedagogically-based restorative justice approach, the adjudication and disposition focus on pedagogical and research-based sanctions aligned with the University's research and teaching mission, rather than punitive measures. Restorative justice approaches may include research paper assignments on**

**Commented [GMC7]:** Elaboration: Previously: 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.

**Commented [GMC8]:** Elaboration: Previously: 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.

**Commented [GMC9]:** Elaboration: Previously: 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.

**Commented [GMC10]:** Previously, the Rules Administrator

**Commented [GMC11]:** Elaboration: Similar language was not included previously, as there were not sanctions to which to refer.

topics relevant to the violation, such as the history of the First Amendment, academic freedom, or the lived experience of those whose labor was impacted by the protest activity (e.g., Facilities and Public Safety workers); and also may include writing formal letters of apology to those impacted by the violation. These documents will be reviewed by the UJB Chair before being shared with those impacted or with appropriate faculty with expertise in the research area. The Committee encourages this approach when applicable.

Commented [GMc12]: New: See above

The UJB shall seek consistency and uniformity in its sanctioning decisions in similarly situated cases. Further, once each quarter, the UJB shall deliver a report aggregating year-to-date information regarding charges, sanctions, and material facts to the Committee, which may use this information to further develop and update the Guidelines and propose changes to the Rules.

Commented [GMc13]: New

Sanctions against recognized student groups are outside the jurisdiction of the UJB and are subject to other procedures and policies, such as the Student Adjudication Governing Board's disciplinary process or the policies of the relevant school's student group governing association.

Commented [GMc14]: New

## MANAGING EVENTS

The Rules define how demonstrations should be managed and create positions for that purpose in §444 and §445.

### Delegates

Commented [GMc15]: Essentially unchanged

While the Rules Administrator has overall responsibility for administering the Rules, Delegates act as 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 undertaken by a Delegate.

### Summoning a Delegate

Commented [GMc16]: Essentially unchanged

If any member of the University community believes that participants in an assembly or other demonstration are violating the Rules, they should alert an identified Delegate or contact the Rules Administrator(s) and/or the Department of Public Safety. At the site of demonstration, Delegates shall identify themselves and gather information (for possible transmission to the Rules Administrator), including the identities of any participants whom the Delegate thinks are violating the Rules, and the facts surrounding the demonstration.

### Identification and Warning

Properly identified Delegates may warn individuals whose actions they consider to be in violation of the Rules and may request such individuals to identify themselves (§444.e). However, a member of the University community may be charged with a violation of these Rules even if no prior warning has been given.

Commented [GMc17]: New

A Delegate should only ask for identification if they reasonably believe that an individual is committing or has committed a violation of the Rules as described in §443.a; the Delegate shall not ask for identification for a presumed violation of §443.a(16) (failure to self-identify) alone. Once the person is identified, the Delegate shall provide the Rules Administrator and Rules Clerk with the information for record keeping and due process. These records shall maintain the

privacy of the individual, consistent with §446 and §451, to ensure that identities are only made available to those who need to know the information in order to carry out their duties and responsibilities under the Rules, with limited exceptions outlined in §451.

**Facial Coverings:** Where a Delegate reasonably believes that an individual is committing or has committed a violation of the Rules, the individual's face is covered, and the individual refuses to show photo identification, the Delegate may request that they briefly remove their face covering to show the Delegate their face and provide their name; refusal may constitute an additional violation under §443.a(16). The Delegate may choose to photograph the individual and/or their identification; photographs shall remain private, consistent with §446 and §451, to ensure that identities and photographs are only made available to those who need to know the information in order to carry out their duties and responsibilities under the Rules, with limited exceptions outlined in §451. If the individual refuses to provide photo identification and refuses to temporarily remove any object that obscures their face, the Delegate should give the person a pamphlet that indicates which violation(s) of the Rules according to §443.a is (are) being alleged and contains the following text:

*"You are suspected to be in violation of the Rules of University Conduct and are being asked to cease such actions. As a Delegate I may choose to report a failure to identify yourself to the Rules Administrator and inform Public Safety that you are refusing to identify yourself while suspected to be violating the Rules of University Conduct. You may be required to leave campus."*

The Delegate shall keep a record of the number of individuals refusing to identify themselves and report it to the Rules Administrator and Rules Clerk for record-keeping purposes.

If the Delegate observes that the individual refusing to identify themselves continues to violate the Rules, the individual may be escorted off campus by Public Safety. Afterwards, the Delegate shall inform the Rules Administrator and Rules Clerk of individuals who refuse to identify themselves and who are escorted off campus for record-keeping purposes.

The Delegate, Rules Administrator, and Rules Clerk shall maintain the privacy of the individuals consistent with the Family Educational Records and Privacy Act (FERPA) and with §446 and §451.

#### **Student Media**

Student members of a media outlet – either (1) staff of a University-recognized student media outlet (e.g., Columbia Daily Spectator, WKCR-FM, or Bwog) or (2) established freelance journalists – may apply for a Student Media Credential, to be approved at the discretion of the Interschool Governing Board (IGB). The purpose of the media credential is to identify an individual as being a recognized student journalist. The credential does not itself authorize access to an event, a secure area, or a high-profile area.

A current list of issued Student Media Credentials should be posted on the University

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Commented [GMc19]: Simplified

Senate website and provided to the Rules Administrator and the Department of Public Safety.

Persons issued Student Media Credentials are entitled to a presumption that the holder is acting in their role as a journalist and, therefore, is not in violation of the Rules. However, this presumption may be overcome with evidence that shows the person's behavior to be inconsistent with that of a journalist.

## 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 complainant or witness and, in compelling circumstances, may withhold the name of such person. Circumstances in which this request may be granted include a reasonable fear of retribution, harassment, or other inappropriate responses to the disclosure of a complainant's name.

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

## DISCIPLINARY PROCESS

The Rules separate charging from sanctions. Per §447, 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 (§449). If an individual does not accept responsibility, only the UJB 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

Section §446 details the Rights of the Respondent, providing due process protections.

### Privacy

The University will reveal information about disciplinary proceedings 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 confidentiality of the process and the privacy of the respondent. A respondent who successfully requests that a hearing be open may waive their 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 alleged incident of misconduct by up to two advisors of their choice. It is not required that the same

**Commented [GMc20]:** Previously included: [TIME FRAME](#)

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

advisor(s) attend all meetings and hearings. During meetings and hearings, an advisor may talk quietly with the respondent or exchange messages in a non-disruptive manner. The advisor may not intervene in a meeting/hearing and may not address the Rules Administrator or hearing panel, including by questioning witnesses or making objections.

A respondent may identify and retain their own advisor or they may request information on potential volunteer advisors. The Rules Clerk may provide a list of volunteer advisors to the respondent. The respondent is not obligated to select a volunteer advisor from the list. The choice to have an advisor, if any, is at the discretion of the respondent, as is the selection of any specific advisor.

Advisors may include but are not limited to family members, friends, counselors, therapists, clergy, attorneys, academic advisors, professors, and administrators. Members of the Rules Committee may not serve as advisors in a hearing.

#### Notice

The Rules Administrator will give the respondent a written explanation of their 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.

## 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. Per §445.a, the Rules Administrator may appoint one or more Assistant Rules Administrators who may act in their stead. **The Executive Committee and the Committee on the Rules of University Conduct shall be promptly notified of the appointment(s) of the Rules Administrator and of any Assistant Rules Administrator(s).** Persons otherwise associated with the disciplinary procedures of a particular school or division may not be appointed as the Rules Administrator or as an Assistant Administrator.

#### External Investigations

In some instances, a law enforcement investigation may overlap with a Rules violation investigation. In that event, the University may decide to temporarily suspend its investigation for a reasonable period of time, and shall notify the respondent and any complainants of this suspension, consistent with §447.

#### Ongoing Alleged Violation of the Rules

In the event of an ongoing alleged violation of the Rules (e.g., protestors occupying University facilities or other sustained disruptions), the Rules Administrator may initiate the investigation process concurrently with the alleged ongoing violation, provided that other requirements set forth by the Rules and Guidelines are met.

If the alleged violation of the Rules has exceeded a period of five (5) business days from the initial date of the incident, the Rules Administrator, in their discretion, may submit charges to the UJB for adjudication in accordance with the Rules and Guidelines. The UJB may consider the ongoing nature of the alleged violation to the Rules in its determination of responsibility and sanctions. **Interim sanctions may be imposed under the conditions described in the relevant section of this document.**

Commented [GMc21]: New

The Rules Administrator may bring additional charges, stemming from the ongoing conduct, when the nature of the alleged violation has become more serious.

The Rules Committee has a strong preference for post-hoc adjudication of alleged violations. Thus, the initiation of charges by the Rules Administrator for an ongoing Rules violation should only be used in rare circumstances.

### Initial Assessment of Complaints

The Rules Administrator must determine whether there is substance to a complaint that an individual has violated the Rules. **If a group of individuals is alleged to have committed multiple violations, the assessment of the complaint(s) shall only take into account individual actions and evidence, rather than assessing and/or charging all individuals collectively. This approach both upholds due process and avoids bringing cases to the UJB that may be dismissed during an initial investigation.**

**Generally, if an alleged violation of the Rules is found not to have been a violation, subsequent allegations against other individuals for the same actions under materially similar circumstances should be dismissed.**

If the Rules Administrator decides that there is no need for an investigation because the complaint is without merit, they may dismiss the complaint without further action. If, after conducting an investigation, the Rules Administrator dismisses a complaint for being without merit, they will notify the complainant and the respondent in writing; no record will be maintained.

### Planning an Investigation

If an investigation proceeds, the Rules Administrator will notify the respondent and the Rules Clerk, in writing, of the allegation(s). The respondent should be informed that they may not attempt to discuss the matter with the complainant. If the respondent does, they may be charged with violations including under other codes such as the Student Code of Conduct.

The Rules Administrator will conduct interviews and will gather pertinent information and documentation. The Rules Administrator will direct the respondent, witnesses, and other interested individuals to preserve any relevant evidence.

### Interim Sanctions

**Interim sanctions may not impact a respondent's access to their housing, dining, or healthcare services unless their alleged conduct involved serious actual or threatened harm to or in such facilities.**

**The Rules Administrator may impose interim sanctions, other than holds, at any time during the investigation process if there is an imminent need to protect the physical safety and security of the Columbia community and/or to prevent further substantial and persistent disruption of academic activities. For all interim sanctions, other than holds, the Rules Administrator must attest that the interim sanction(s) is (are) necessary based on the above criteria.**

**Any sanctions that are not imminently necessary to protect the physical safety and security of the Columbia community or to prevent further substantial and persistent disruption of academic activities, as described above, must be imposed**

Commented [GMc22]: New

Commented [GMc23]: Previously: **HOLD PLACED ON AN ACCOUNT**

The Rules Administrator shall inform the Rules Clerk when an investigation commences (and/or a charge has been filed) against a respondent. The Rules Clerk will inform the Dean of the relevant school(s) that an investigation is commencing. At that point, the **Dean(s) may place a hold on a respondent's account.** The hold will remain in place until the investigation (or subsequent charge) is resolved. Having a Hold may prevent a respondent from receiving, for example, a diploma, transcripts, Academic Certifications, etc.



by the UJB as outlined in the Rules.

A respondent has a right to appeal the imposition of interim sanctions by the Rules Administrator. The respondent shall notify the Rules Clerk that they are appealing the interim sanction. The Rules Clerk shall notify the chair of the UJB that has been empaneled to hear the respondent's case. The chair shall hear and decide the appeal within 15 days unless the chair shows good cause in writing. The chair shall endeavor to hear the appeal and issue a decision as quickly as practicable. An interim sanction does not replace charges that may result from the UJB investigation process.

If no appeal is brought or the UJB chair determines that the Rules Administrator met their burden in bringing interim sanctions, the interim sanction will automatically expire after 15 business days unless the Rules Administrator shows good cause in writing to the UJB chair.

If the respondent is not subsequently charged, agrees to an informal resolution, or has their case moved to the broader UJB process, the interim sanctions will be removed at the conclusion of the relevant process unless the UJB extends them. If an extension is made, the Rules Clerk will notify the respondent.

Once each quarter, the Rules Administrator shall deliver to the Committee on the Rules of University Conduct a report on the frequency and use of interim sanctions on an anonymized basis. These reports will be used to assess the application of interim sanctions and to ensure that they are applied only in appropriate circumstances.

The Rules Administrator shall inform the Rules Clerk when an investigation commences (and/or a charge has been filed) against a respondent. The Rules Clerk will inform the Dean of the relevant school(s) that an investigation is commencing. At that point, the Dean(s) may choose to place a hold on a respondent's account, at the recommendation of the Rules Administrator. **The Rules Clerk shall be informed of any holds placed on accounts.** The hold will remain in place until the investigation (or subsequent charge) is resolved. Having a hold may prevent a respondent from receiving, for example, a diploma, transcripts, or academic certifications.

### Conducting Interviews

The Rules Administrator should interview any person identified who may be able to provide information relevant to the investigation, but should 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 their 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 on the purpose of the meeting notes and how the 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 may be typed, and if no written statement by the witness has been submitted, the notes shall be typed. Witnesses shall be given an opportunity to verify or correct the notes or statement. Witnesses shall be advised that the investigatory notes are not verbatim.

### 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 but before a hearing has begun. The Committee supports the use of informal resolutions where appropriate.

An informal resolution, like any negotiated settlement, must be made on consent of both parties. The Rules Administrator and respondent are co-equal in the negotiation of an informal resolution.

If the Rules Administrator offers the respondent an informal resolution, the respondent has five (5) business days to either accept or decline the offer; **if a hearing has been scheduled for less than two (2) business days after the offer of an informal resolution, the hearing shall be delayed, upon request of the respondent, to allow for at least two (2) business days between the extension of the offer and the hearing.** The deadline to respond to the offer is whichever date comes first: five (5) business days from the extension of the offer or the date and time of the hearing.

The terms of the informal resolution shall be in writing. **The resolution might or might not contain a sanction.** The informal resolution will not be entered into the respondent's formal record. These requirements must be met to create a clear, unambiguous process in which all parties are fully informed of, understand, and mutually agree to the terms and consequences of the resolution.

If an attempt to resolve the matter informally is successful, the Rules Administrator shall inform the Rules Clerk of the result. If these efforts are unsuccessful, the Rules Administrator must either dismiss the complaint, file charges with the UJB, or if charges have already been filed continue with the case.

### 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

**Commented [GMc24]:** Essentially unchanged: Previously 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.

**Commented [GMc25]:** Previously: If the Rules Administrator offers the respondent an informal resolution, the respondent has five (5) business days to either accept or decline the offer; if a hearing has been scheduled, the deadline to respond to the offer is whichever date comes first (i.e., five business days from the offer or the date & time of the hearing).

**Commented [GMc26]:** Previously: The resolution may not contain a sanction

statements, copies of correspondence, photographs, transcripts of audio/video recordings, relevant policies and procedures, and evidence of custom and practice.

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.

When a charge has been filed, the Rules Administrator shall inform the Rules Clerk of the charge(s) and provide them with the complete Investigation Report. The Rules Clerk will coordinate information sharing with the respondent, Rules Administrator, and the UJB.

### **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. If the UJB dismisses a charge(s), the Rules Clerk will notify the Rules Administrator and the respondent.

### **Preparing for the Hearing**

The Rules Administrator shall 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. The UJB may submit queries, via the Rules Clerk, to either the Rules Administrator or respondent.

**Consulting an Advisor:** The respondent may consult with their advisor(s) who may assist the respondent with their 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 with the respondent.

**Written Submissions:** The respondent may prepare a written statement for the hearing process; this statement must be completed by the respondent and should outline their perspective on the allegations and the incident as a whole. The respondent may also add pertinent documentation and information as evidence to their written submission or as

appendices to the written submission. 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 and the respondent agree that the information in the Investigation Report and the written submissions (if any) is sufficient to make a determination (for example, when 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

**Respondent Not Able to Be Present for Hearing:** When a respondent is not able to be present for a hearing, either in person or virtually, arrangements may be made for participation via alternate means and/or on an alternate date. The respondent must submit a request in writing to the Rules Clerk. The request must include a reason for the respondent not being able to attend the hearing. **The Chair of the UJB shall arrange for alternate participation means.**

**Request for Open Hearing:** A respondent may request in writing to the UJB 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 waives their rights to privacy.

**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.

**Calling Witnesses:** Prior to the hearing, the Rules Administrator and Respondent will have an opportunity to submit a list of witnesses who they might call at the hearing. The list(s) will be shared with the other party and with the UJB. At the hearing, the Rules Administrator and Respondent may call any person on the list(s). Witnesses may decline to participate and cannot be compelled to appear before the UJB.

**Cell Phones and Recording Devices:** Cell phones may not be used in the hearing room unless approved by the chairperson. Unauthorized recordings are not allowed. Approval to use recording devices during the hearing must be obtained in advance in writing from the chairperson of the UJB.

**Commented [GMc27]:** Previously: It is at the discretion of the Chair of the University Judicial Board to approve the request and to provide an alternate means for participation.

### **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 UJB 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.

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.

### **Determining Sanctions**

Per §449, if a respondent accepts responsibility, the chairperson of the UJB or the chairperson’s designee shall determine the sanction. The UJB Chair has the option to consult the UJB panel when determining what sanctions to impose.

If the UJB finds a respondent responsible for a violation, the UJB will also determine the sanction(s).

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

The UJB may:

Call witnesses (from the list(s) of witness provided by the Rules Administrator and respondent) whose sole purpose is to provide character information;

Interview the respondent regarding factors of intent; and

Consider the respondent’s prior conduct if the respondent was previously found to be responsible or accepted responsibility, and if 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 Clerk who will communicate with the Rules Administrator and the respondent. The transmission must include (1) the sanction(s); and (2) the reasoning behind the imposed sanction(s).

### **Preparing a Report of the UJB’s Determination**

If a respondent accepts responsibility, the chairperson will transmit their 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

Commented [GMc28]: Abbreviated language

The process for appealing decisions by the UJB or by the Chair of the UJB is detailed in §450.

## ADMINISTRATIVE AND JUDICIAL ROLES

### Rules Administrator

The Rules Administrator has primary responsibility for the administration of the Rules. They shall maintain records of proceedings under the Rules; shall prepare and serve notices and other documents required under the Rules; and shall accept and investigate complaints, file charges, and present evidence in support of charges to the hearing panels.

### Rules Clerk

The Rules Clerk will coordinate information sharing between the respondent, Rules Administrator, and the UJB; in the event of an appeal, the Rules Clerk will also coordinate information sharing with the Appeals Board and Office of the President. The Rules Clerk will be appointed by the Chair of the Executive Committee. The Rules Clerk may be contacted via email at RulesClerk@columbia.edu. Any submissions to/from the Committee, Rules Administrator, UJB, Appeals Board, or Office of the President must go through the Rules Clerk. Documents submitted through alternate means may be denied and returned to the sender.

### University Judicial Board Membership

The UJB consists of five members, one of whom shall be a student, one of whom shall be a faculty member, and one of whom shall be a staff member, as defined in §441.i.

The Executive Committee shall designate the chair of the board, as well as an alternate chair, and shall also appoint a pool of alternate board members. Appointments to the board shall ordinarily be for a term of three years, and shall be staggered to ensure continuity. The members of the UJB shall be persons from within the University, and no person otherwise concerned with disciplinary procedures may be appointed to the Board. Members of the Committee on the Rules of University Conduct shall not be appointed to the Board.

### Appeals Board Membership

The Appeals Board consists of three members, each of whom is a Dean of School or Division. The Executive Committee shall designate the chair of the board and shall make

appointments to the board, which shall ordinarily be for a term of three years, so as to provide for staggered terms to ensure continuity. The members of the Appeals Board shall be persons from within the University.

## CONFLICTS OF INTEREST

The University requires any individual participating in the investigation, hearing, sanctioning, or appeal process to disclose to the University any potential, perceived, or actual conflict of interest, **as defined by the [University policy on conflicts of interest](#)**.

Commented [GMc29]: New

When a charge has been filed, the Rules Administrator shall inform the Rules Clerk of the charge(s). The Rules Clerk will provide, in a timely manner, a Conflict of Interest Disclosure Survey to the Rules Administrator and to the members of the hearing panels. The Rules Clerk will also provide a survey to the respondent and the respondent should provide it to their advisor(s); the respondent should return any completed surveys to the Rules Clerk. The survey may include, for example, such questions as: Do you know the respondent? Have you ever made a public statement about the issue or the respondent's organization? Is there any reason you cannot be impartial in the matter?

If either the Rules Administrator or a respondent believes that any individual involved in the process has a conflict of interest, they have three (3) business days from receiving notice of their 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 Rules Clerk.

A request may not be submitted after the conclusion of a case, if it is known prior to the conclusion.

The Rules Clerk will forward any requests and any affirmative survey answers to 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 either the UJB or 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. Chair of the Appeals Board – The Chair of the Appeals Board will be replaced by, if available, the Vice Chair. If the Vice Chair is not available to serve, the Chair will designate a new Chair, from either the sitting Appeals Board or the pool of alternates, for the respondent's case.
4. 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.
5. 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.

## RECORD KEEPING

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 maintain confidentiality.

**Individuals Found Responsible:** A central investigation file, which is a complete record of an investigation, will be maintained for 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 retention period, the files will no longer be reportable except in cases resulting in suspension or expulsion, which may be 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 §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 UJB 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.



## APPENDIX – SAMPLE FORMS AND APPLICATIONS



## 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](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](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](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



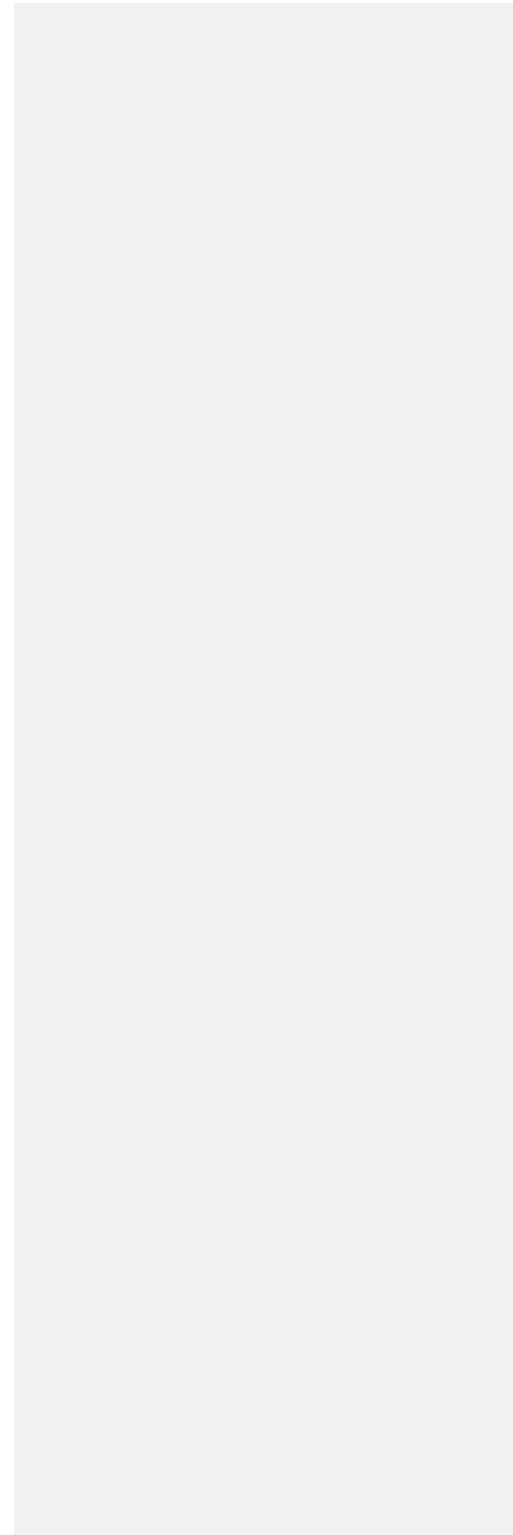
- 536 West 114th Street
- 542 West 114th Street
- 546 West 114th Street
- 548 West 113th Street
- 600 W 116TH
- 601 W 110TH
- 604 West 114th Street
- 606 West 114th Street
- 616 W 116TH
- 619-623 West 113th Street (SIC House)
- 620 W 116TH
- Alpha Chi Omega
- Alpha Delta Phi
- Beta Theta Pi
- Broadway 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
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- 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.

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. You may also consult the website for the Rules of University Conduct at [http://senate.columbia.edu/committeepages/rules\\_committee.html](http://senate.columbia.edu/committeepages/rules_committee.html).

Sincerely yours,

*Signature of the Rules Administrator*

--

Print Name

Rules Administrator

COLUMBIA UNIVERSITY  
RULES OF UNIVERSITY CONDUCT

Charges

*Via E-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: \_\_\_\_\_

Name:

Rules Administrator

Enclosure: Rules Administrator Investigation Report

**RESPONSE:**

Charge 1: ( ) Responsible ( ) Not Responsible

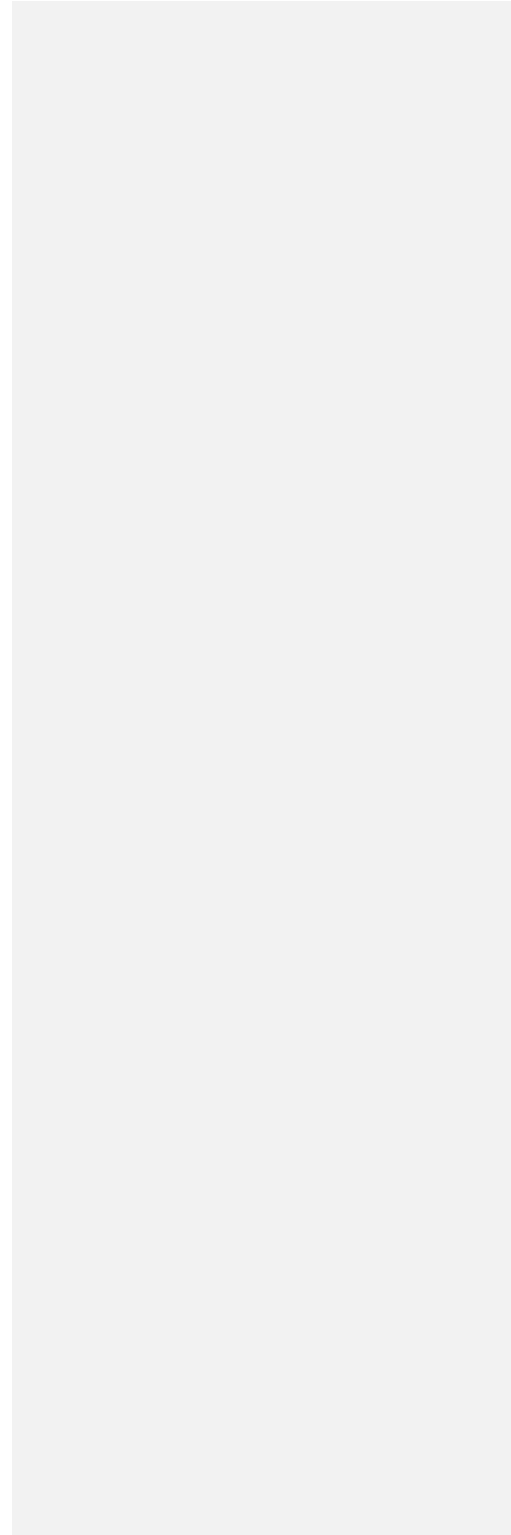
Charge 2: ( ) Responsible ( ) Not Responsible

Charge 3: ( ) Responsible ( ) Not Responsible

Signature of Respondent:

\_\_\_\_\_

Date: \_\_\_\_\_



**RULES ADMINISTRATOR  
INVESTIGATION REPORT**

***Via E-mail***

<p><b>Date(s) of Incident:</b> _____ / _____ / _____</p> <p><b>Respondent's Name:</b> _____</p> <p><b>Respondent's UNI:</b> _____</p>
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**Charge(s):** Rules §443 Violation #: \_\_\_\_\_

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Introduction**

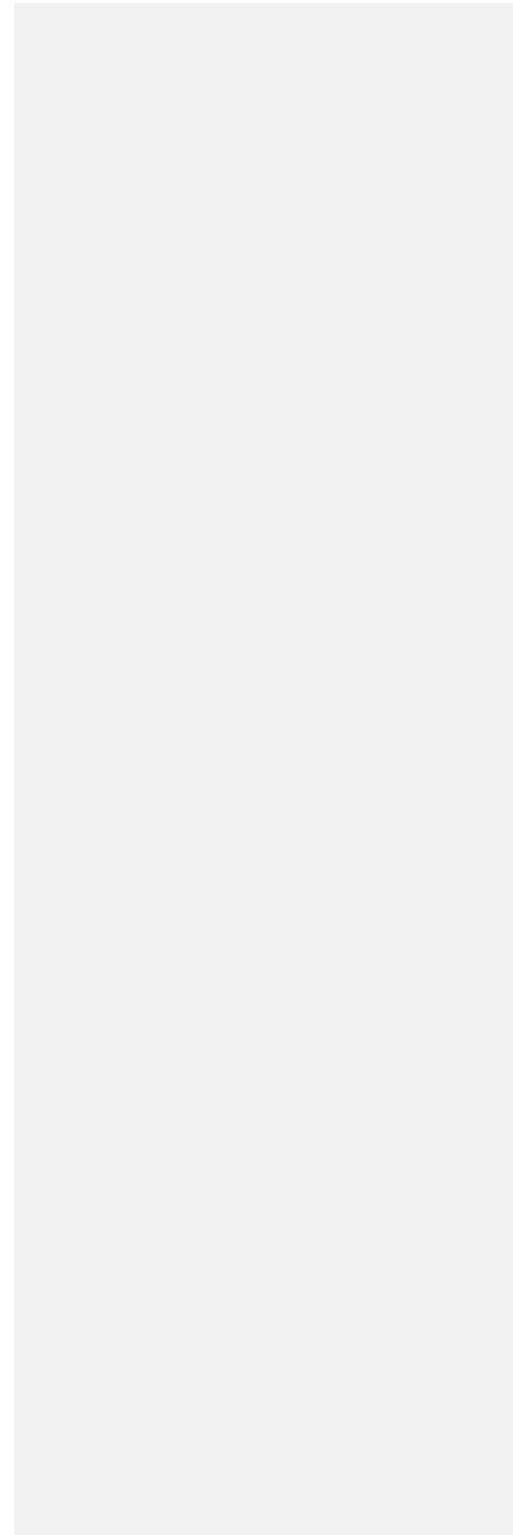
Describe the allegation/incident that has been investigated and the details of the respondent about whom the allegation was made.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**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.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_





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.

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**Harm**

Describe any hindrance to free speech or harm to person or property, including associated costs, if any.

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**Actions by the University**

Describe any actions taken by the University as a result, including a justification for those actions.

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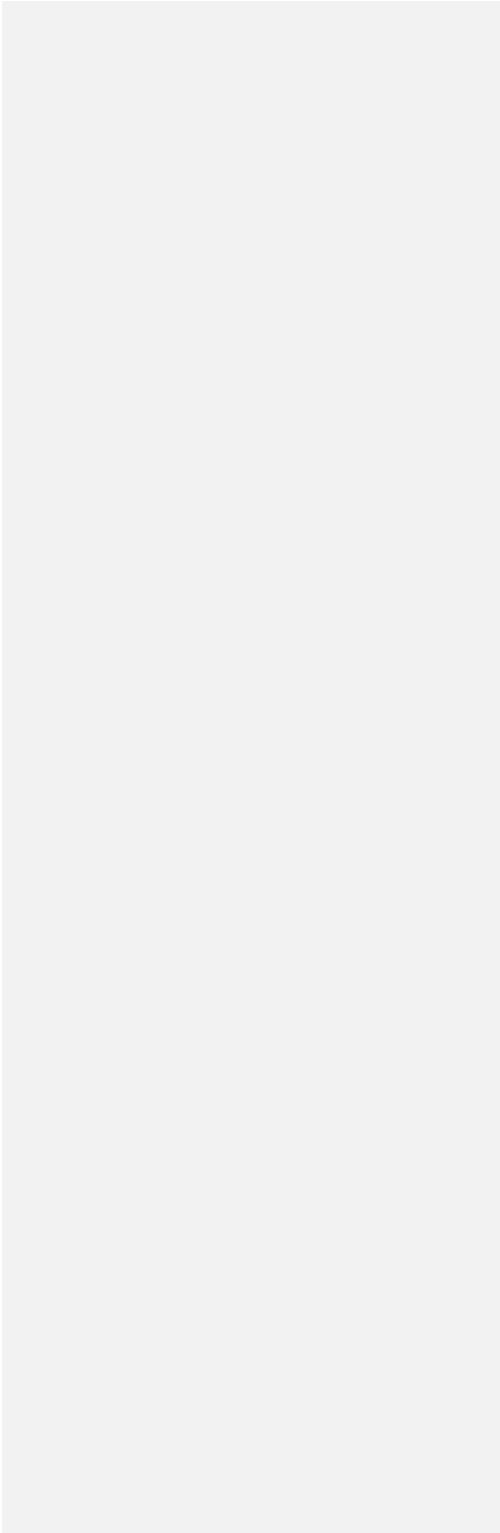
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**Analysis / Recommendations**

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.



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**Appendices**

Describe the content of the appendices.

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

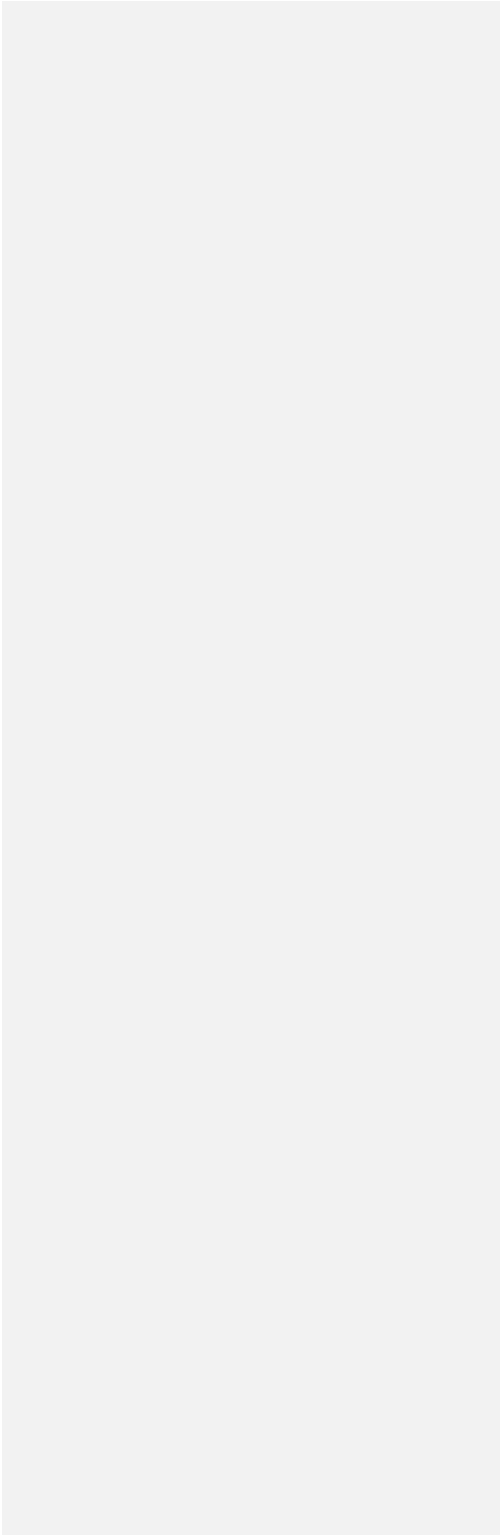
Signature of the Rules Administrator:

Date:

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Print Name: \_\_\_\_\_



**CONFLICT OF INTEREST  
DISCLOSURE SURVEY**

***Via E-mail***

<p><b>Date(s) of Incident:</b> _____ / _____ / _____</p> <p><b>Respondent's Name:</b> _____</p> <p><b>Respondent's UNI:</b> _____</p>
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Do you know the respondent? Yes / No  
If yes, provide additional information:

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Have you ever made a public statement about the issue or the respondent's organization? Yes / No

If yes, provide additional information:

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Is there any reason you cannot be impartial in this case? Yes / No

If yes, provide additional information:

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Is there anything else that would affect, or could potentially affect, your ability to be impartial in this matter, e.g., a relationship with a witness, advisor, or other person



involved in the matter? Yes / No

If yes, provide additional information:

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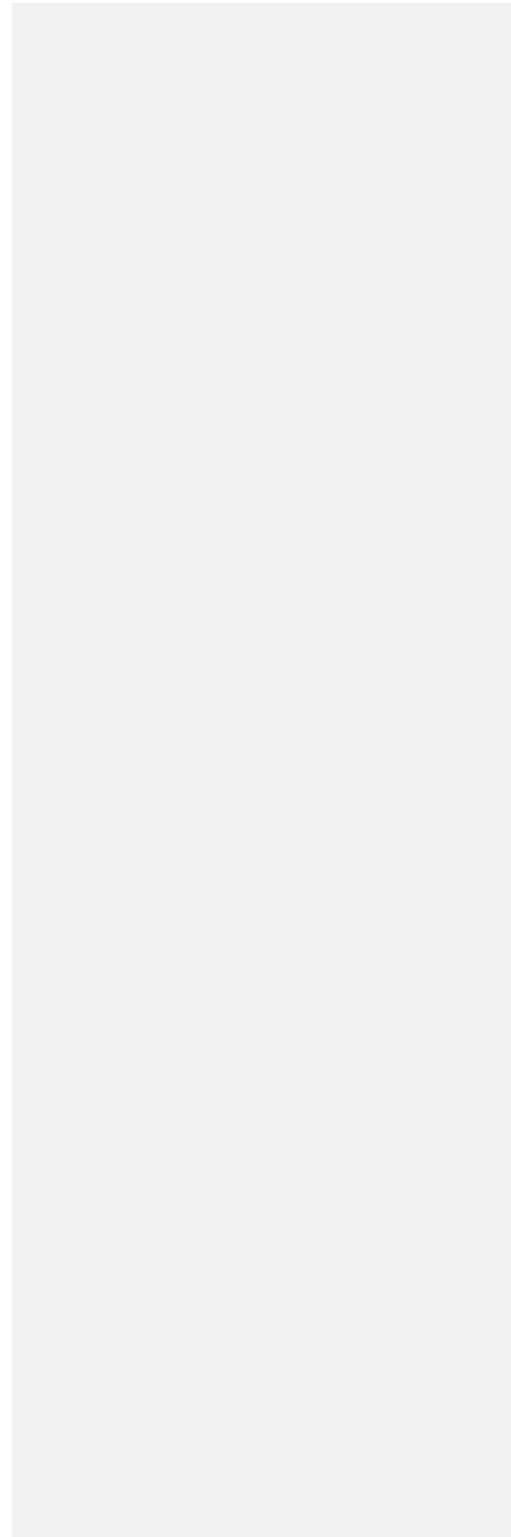
Signature:

Date:

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Print Name: \_\_\_\_\_



*Via E-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: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

SANCTION(S) TO BE IMPOSED:

\_\_\_\_\_

\_\_\_\_\_

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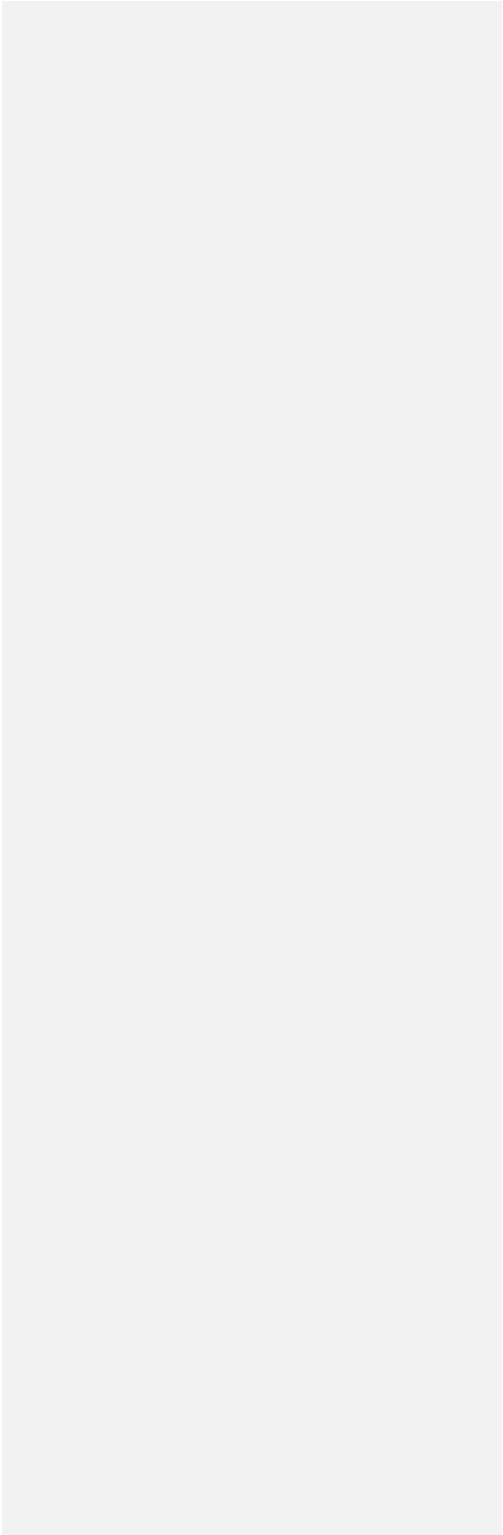
\_\_\_\_\_

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RATIONALE FOR SANCTION(S):

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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](#).

*This document is considered a student educational record under Columbia University policy and is subject to the Family Educational Rights and Privacy Act ("FERPA")*

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

Signature of the UJB Chairperson:

Date of Decision:

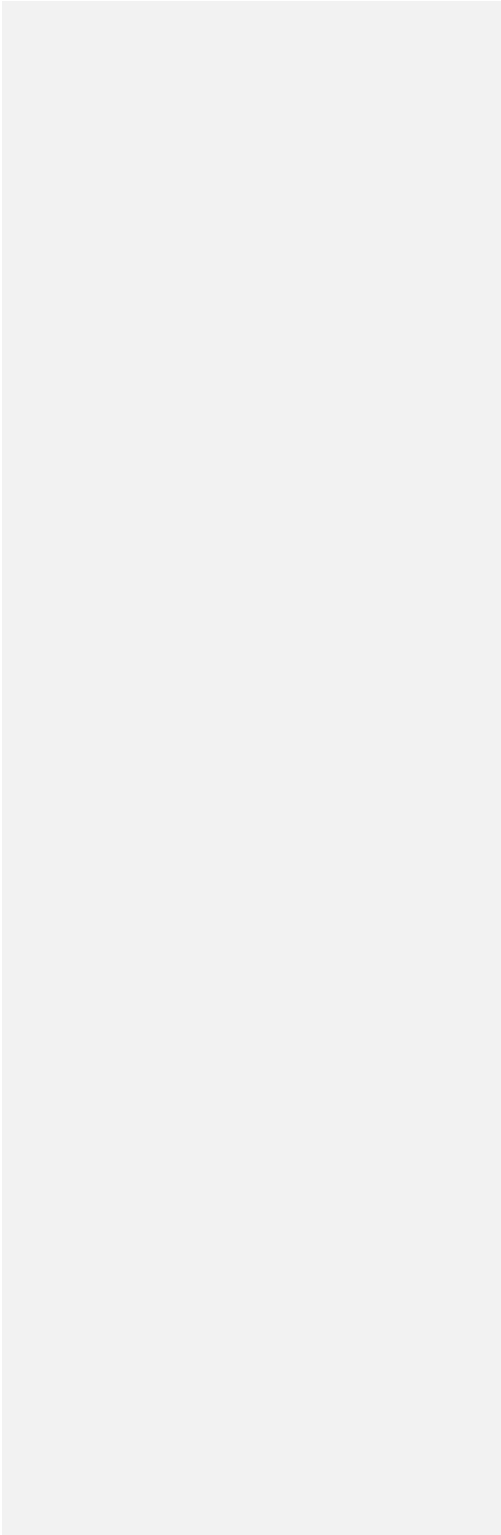
Print Name:

\*\*\*\*\* LEGAL NOTICE

This document (including any attachments) contains confidential information which may be legally privileged. You are hereby notified that any disclosure, copying, or distribution of it, or the taking of any action based on its content, is strictly prohibited.

If you received this document in error, please immediately notify the sender and destroy the document from your system. Thank you.

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*Via E-mail*

**UJB PANEL FINDING &  
SANCTION FORM**

<p>Date(s) of Hearing / Decision: _____ / _____ / _____</p> <p>The following decision(s) were rendered after deliberation 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 ( ) Charge Dismissed

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Charge 2:** Rules §443 Violation # \_\_\_\_\_

Finding: ( ) Responsible ( ) Not Responsible ( ) Charge Dismissed

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

FACTS (evidence upon which decisions were rendered):

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_





**RATIONALE FOR SANCTION(S):**

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**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](#).

*This document is considered a student educational record under Columbia University policy and is subject to the Family Educational Rights and Privacy Act ("FERPA")*

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

Signature of hearing panel members present for hearing:

(1) \_\_\_\_\_ (2) \_\_\_\_\_  
(Chairperson)

(3) \_\_\_\_\_ (4) \_\_\_\_\_

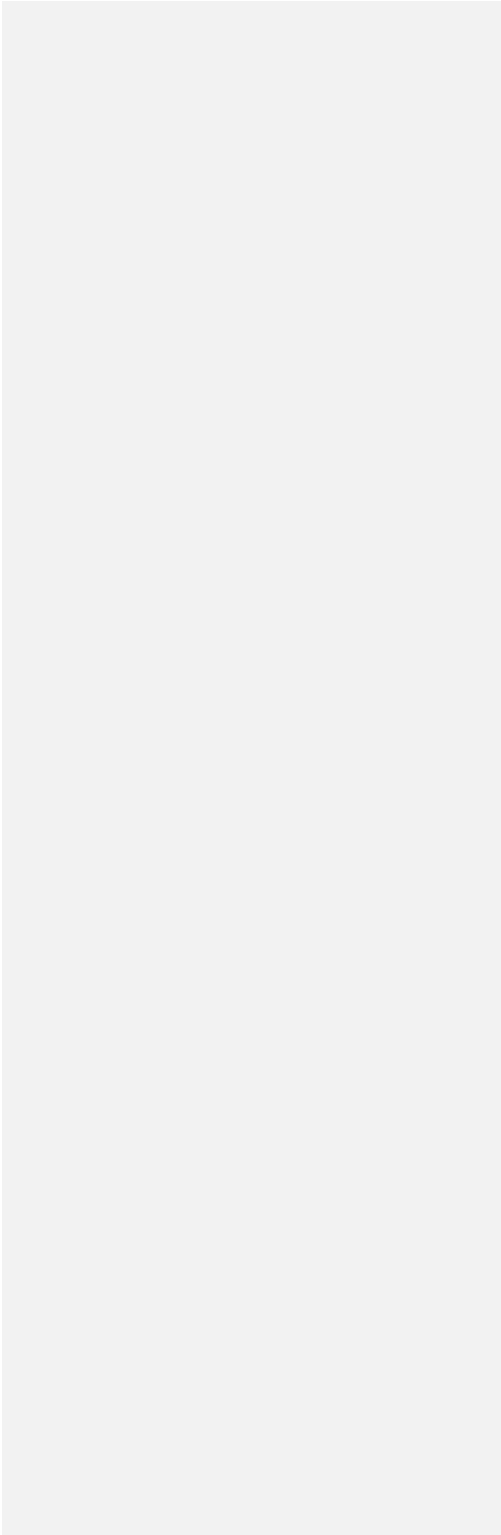
(5) \_\_\_\_\_ Date of Decision: \_\_\_\_\_

\*\*\*\*\* LEGAL NOTICE

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If you received this document in error, please immediately notify the sender and destroy the document from your system. Thank you.

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### 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**

**APPEAL BOARD DECISION  
FORM**

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

Respondent appealed decision from: ( ) 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](#).

*This document is considered a student educational record under Columbia University policy and is subject to the Family Educational Rights and Privacy Act ("FERPA")*

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

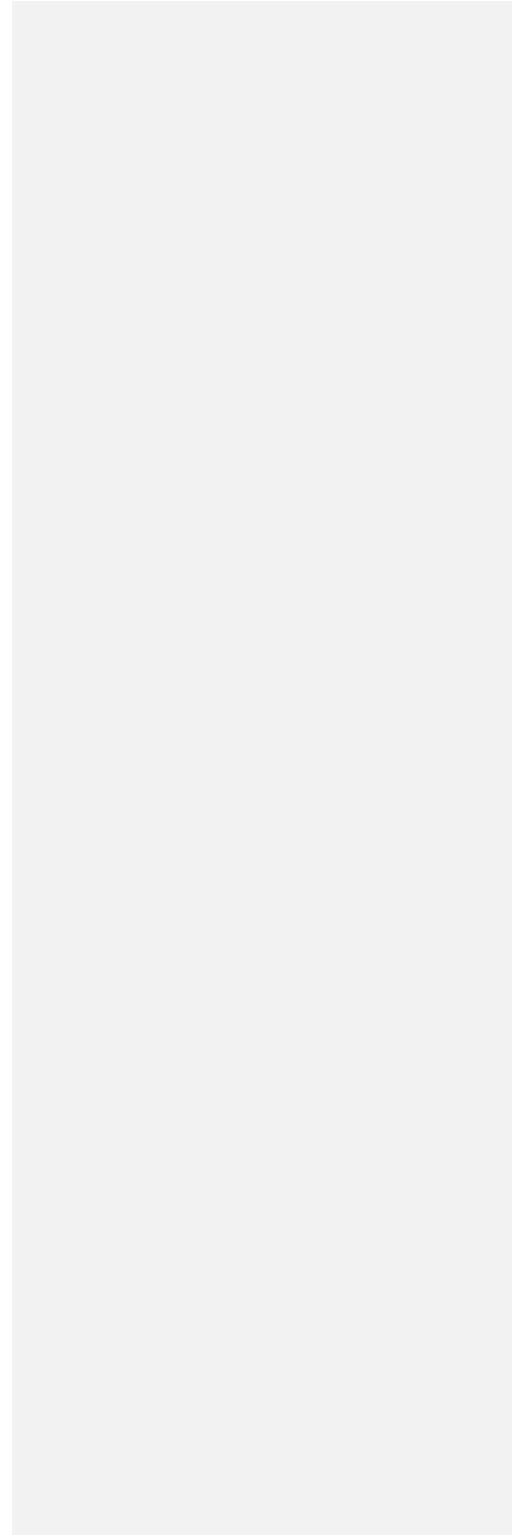
Signature of hearing panel members present for hearing:

(1) \_\_\_\_\_  
(Chairperson)

(2) \_\_\_\_\_

(3) \_\_\_\_\_

Date of Decision: \_\_\_\_\_





**COLUMBIA UNIVERSITY APPLICATION FOR STUDENT MEDIA  
CREDENTIAL: EDITORIAL STAFF OF A STUDENT MEDIA  
OUTLET**

<p><b>Student Media Outlet Name:</b> _____</p> <p><b>Director / Editor-in-Chief Name:</b> _____</p> <p><b>Director / Editor-in-Chief UNI / E-Mail:</b> _____</p>
--

*A student media outlet may apply for a Student Media Credential, valid until May 31 following the end of that academic year. Credential requests for editorial staff of a University-recognized news media outlet must be submitted by the Director / Editor-in-Chief of the news outlet. Please include all requests for credentials on the ONE application. The Editor-in-Chief should submit the request as the **"Contact"** with all editorial staff they assign as Editorial Staff.*

Key Dates

Applications in the Fall Semester may be submitted until 11:59 p.m. on September 30 and until 11:59 p.m. on November 30. Applications in the Spring Semester may be submitted until 11:59 p.m. on January 30 and until 11:59 p.m. on April 30. Applications will not be accepted at any other time.

Photograph

Submit a passport size photo (no larger than 100 dpi--passport size) of each "Editorial Staff" member with the application.

Supporting Documentation

Applicants must submit two or more of the following: articles, commentaries, books, photographs, videos, films or audios published or broadcast; applicants may also submit an original letter of assignment. Personal web pages and personal blogs will not be accepted.

Submit Application to:

Submit the application via email to the Office of the University Senate at senate@columbia.edu. Include in the subject line: "Application for Student Media Credential:" and the name of the media outlet.

Request for Reconsideration

If an application is denied, you may submit a Request for Reconsideration with



additional information to the email address above for the application.

**Credential Pick Up**

The Director / Editor-in-Chief will be notified by email when the credentials are available for pick up from the University Senate Office (406 Low Library) Monday-Friday from 9 a.m. to 5 p.m. The credential(s) may not be picked up by anyone else.

**University Recognized Student Media Outlet Name & Editor-in-Chief Information:**

Organization:

Director / Editor-in-Chief:

Editor UNI:

Editor E-mail Address:

Editor Mailing Address:

Editor Telephone:

**Staffer Contact Information**

First Name:

Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

**Staffer Contact Information**

First Name:

Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

**Staffer Contact Information**

First Name:

Last Name:

UNI:

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Mailing Address:

Telephone:

Department/School:

**Staffer Contact Information**

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Department/School:

**Staffer Contact Information**

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**Staffer Contact Information**

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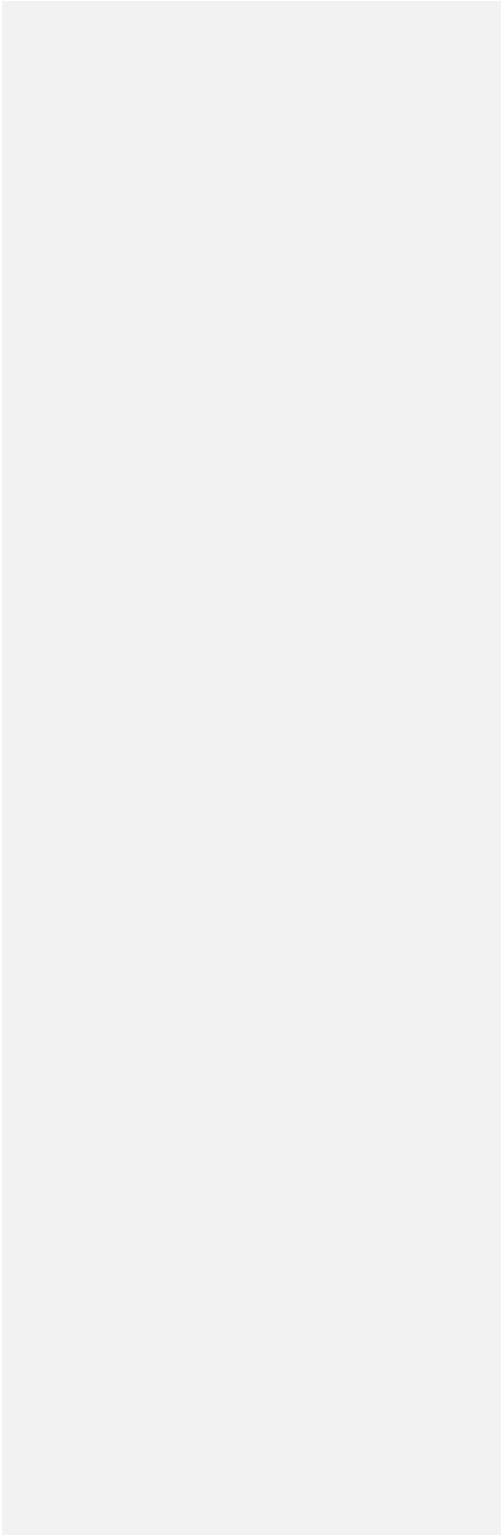
**Staffer Contact Information**

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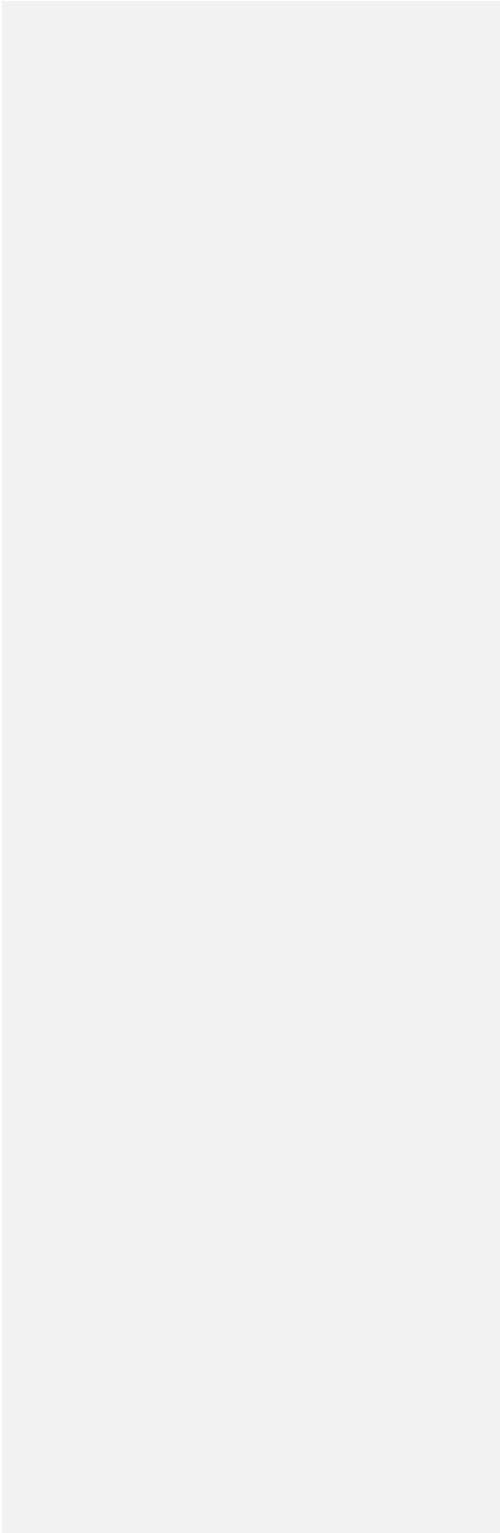
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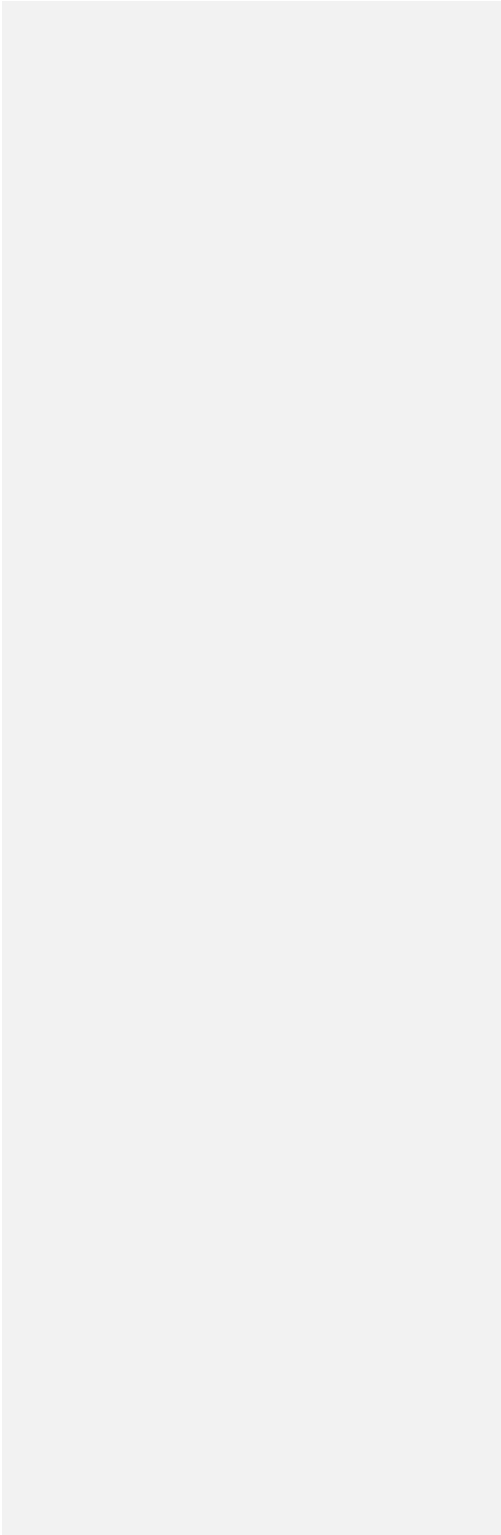
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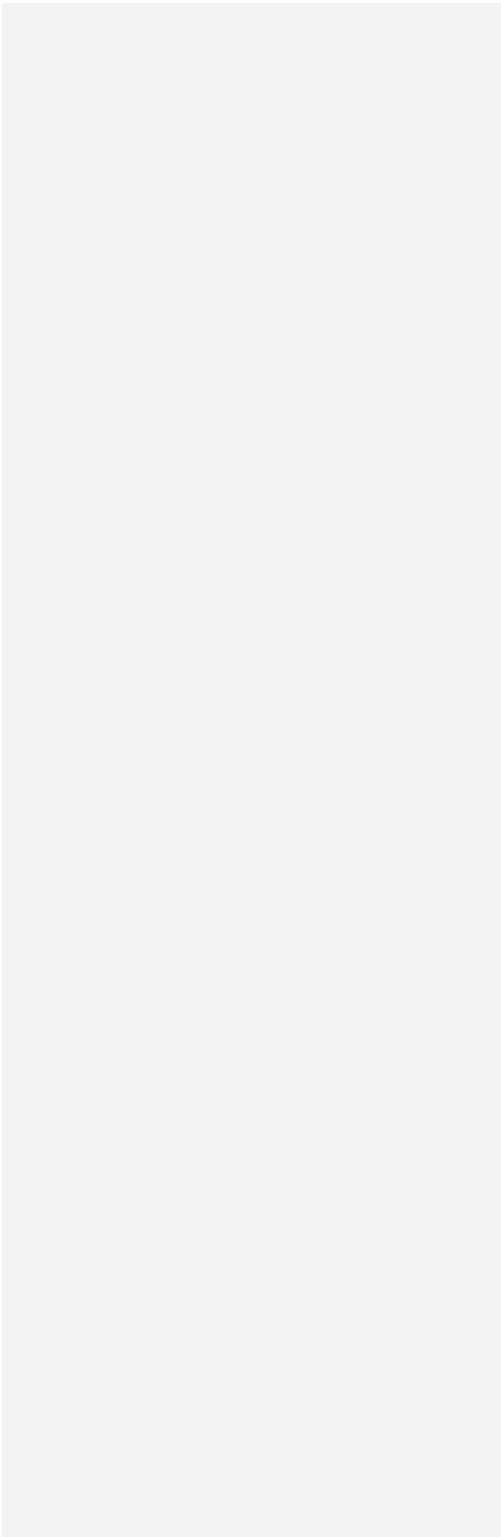
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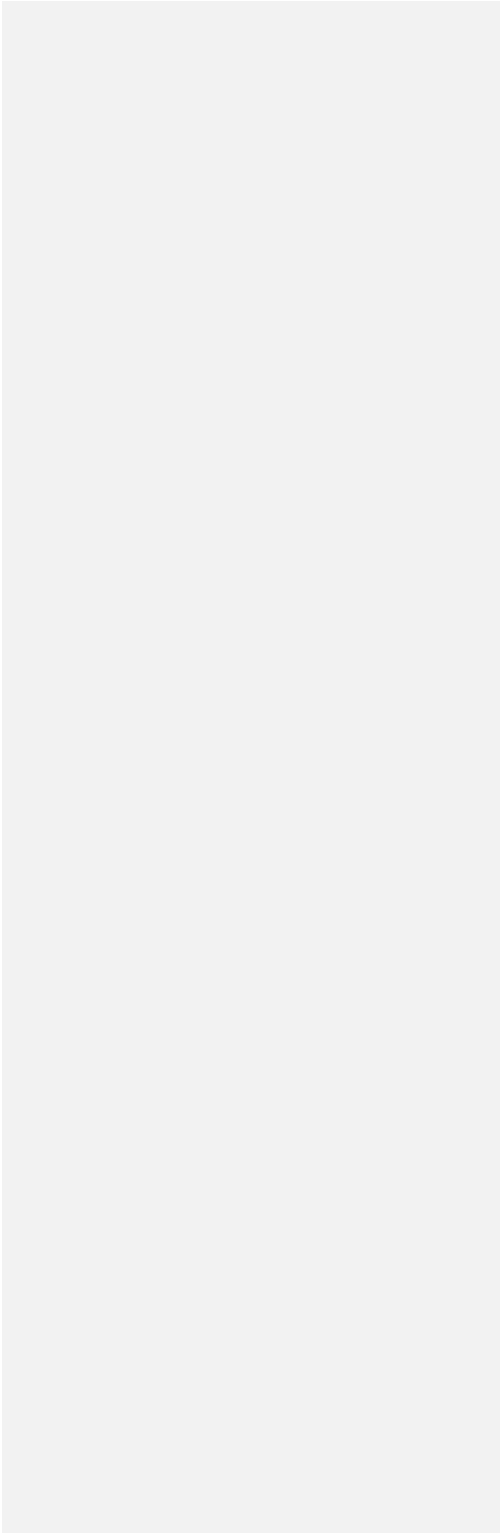
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Mailing Address:

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**Staffer Contact Information**

First Name:

Last Name:

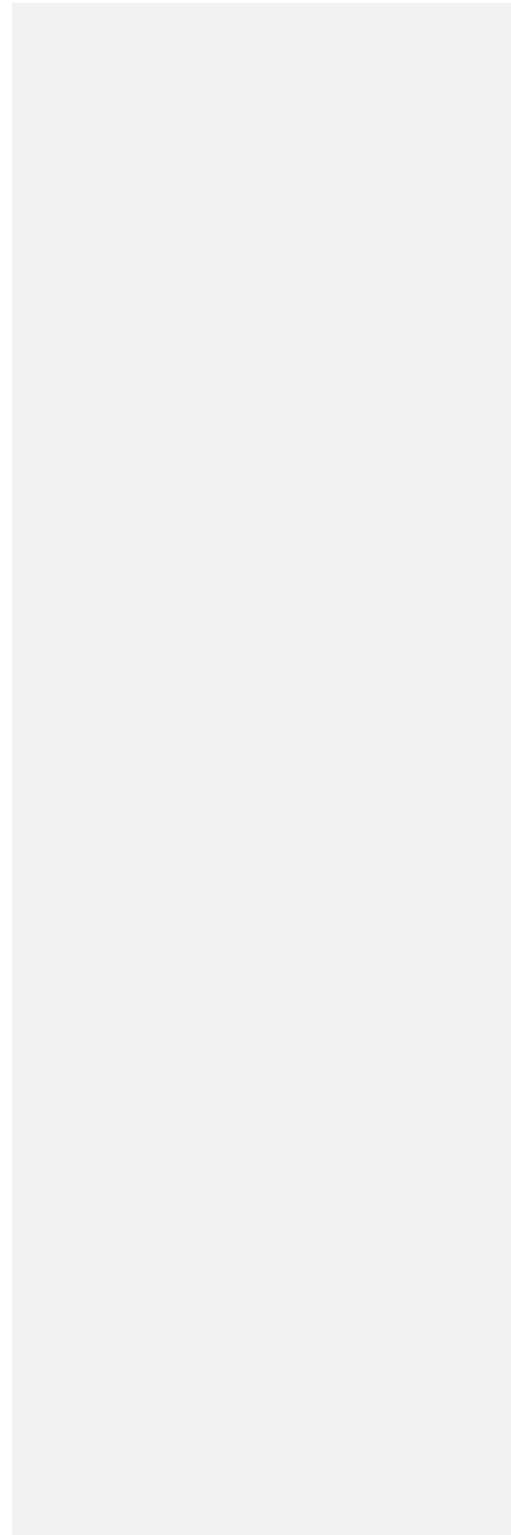
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E-mail Address:

Mailing Address:

Telephone:

Department/School:



**COLUMBIA UNIVERSITY  
APPLICATION FOR STUDENT  
MEDIA CREDENTIAL:**

**Freelance Journalist**

<p><b>Freelance Journalist Name:</b> _____</p> <p><b>Freelance Journalist UNI:</b> _____</p>
--

Key Dates

Applications in the Fall Semester may be submitted until 11:59 p.m. on September 30 and until 11:59 p.m. on November 30. Applications in the Spring Semester may be submitted until 11:59 p.m. on January 30 and until 11:59 p.m. on April 30. Applications will not be accepted at any other time.

Photograph

Submit a passport size photo (no larger than 100 dpi--passport size) with the application.

Supporting Documentation

Applicants must submit two or more of the following: articles, commentaries, books, photographs, videos, films or audios published or broadcast; applicants may also submit an original letter of assignment. Personal web pages and personal blogs will not be accepted.

Submit Application to:

Submit the application via email to the Office of the University Senate at senate@columbia.edu. Include in the subject line: "Application for Student Media Credential."

Request for Reconsideration

If an application is denied, you may submit a Request for Reconsideration with additional information to the email address above for the application.

Credential Pick Up

If approved for a credential, the Freelance Journalist will be notified by email when the credential is available for pick up from the University Senate Office (406 Low Library) Monday-Friday from 9 a.m. to 5 p.m. The credential may not be picked up by anyone else.

**Student Freelance Journalist Information:**

First Name:

Last Name:

UNI:

E-mail Address:

Mailing Address:

Telephone:

Department/School:

***END OF DOCUMENT***

