



**Carnegie  
Mellon  
University**

**The Word: Student Handbook**  
2025-2026

# Welcome to The Word 2025-2026

The Word student handbook contains information and resources to help you create your Carnegie Mellon experience and embrace your role as a valued member of our university.

At Carnegie Mellon, our ambition is that all students will reach their highest potential in the areas of intellectual and artistic pursuits, personal well-being, professional development, leadership, and contribution to the larger community.

Community membership affords many privileges and likewise responsibilities as we all uphold the standards of our university. To ensure you are knowledgeable of the university's expectations and the process that will be followed if standards are not met, this handbook articulates the rights and responsibilities afforded to and expected of each member of our community.

We hope you will take advantage of this handbook as you prepare for your successful Carnegie Mellon experience.



Kate Barraclaugh  
*Vice Provost for Education*



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# Carnegie Mellon Vision and Mission

## Vision

Carnegie Mellon University will have a transformative impact on society through continual innovation in education, research, creativity, and entrepreneurship.

## Mission

To create a transformative educational experience for students focused on deep disciplinary knowledge; problem solving; leadership, communication, and interpersonal skills; and personal health and well-being.

To cultivate a transformative university community committed to (a) attracting and retaining diverse, world-class talent; (b) creating a collaborative environment open to the free exchange of ideas, where research, creativity, innovation, and entrepreneurship can flourish; and (c) ensuring individuals can achieve their full potential.

To impact society in a transformative way — regionally, nationally, and globally — by engaging with partners outside the traditional borders of the university campus.

## Carnegie Mellon Code

Students at Carnegie Mellon, because they are members of an academic community dedicated to the achievement of excellence, are expected to meet the highest standards of personal, ethical and moral conduct possible. These standards require personal integrity, a commitment to honesty without compromise, as well as truth without equivocation and a willingness to place the good of the community above the good of the self. Obligations once undertaken must be met, commitments kept.

As members of the Carnegie Mellon community, individuals are expected to uphold the standards of the community in addition to holding others accountable for said standards. It is rare that the life of a student in an academic community can be so private that it will not affect the community as a whole or that the above standards do not apply.

The discovery, advancement and communication of knowledge are not possible without a commitment to these standards. Creativity cannot exist without acknowledgment of the creativity of others. New knowledge cannot be developed without credit for prior knowledge. Without the ability to trust that these principles will be observed, an academic community cannot exist. The commitment of its faculty, staff and students to these standards contributes to the high respect in which the Carnegie Mellon degree is held. Students must not destroy that respect by their failure to meet these standards. Students who cannot meet them should voluntarily withdraw from the University.



The background of the page is a complex, abstract pattern of thin, red, wavy lines. These lines intersect to form a dense, grid-like structure that undulates across the page, creating a sense of depth and movement. The overall color palette is a range of reds, from deep, dark tones to lighter, more vibrant hues.

# Academic Policies

# Academic Policies

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## Educational Goals

Carnegie Mellon is a private university incorporated under the laws of the Commonwealth of Pennsylvania. Its first purpose, as stated in its Articles of Incorporation, is:

"...the establishment and maintenance in the City of Pittsburgh of a coeducational university of higher education, including an institute of technology, emphasizing liberal-professional education and specializing in teaching and research programs in selected areas of importance to the community and to the nation."

More specifically, Carnegie Mellon seeks to provide education of the highest quality so that all students will be prepared to achieve their potential as professional persons and as thoughtful, well-informed individuals. In addition, the university encourages and supports scholarship, research and artistic production, both as essential components of its educational program and in fulfillment of the special role of an academic institution as a source of new knowledge and understanding. Through scholarship, research and the men and women it educates, the university contributes to social progress.

As a private university, Carnegie Mellon is free to set its own measures of excellence and to determine its own educational objectives. By carefully exercising the freedom to select limited areas for university effort, it can preserve its ability to be innovative and creative in response to the changing needs of society. In order to maintain this independence and flexibility, Carnegie Mellon depends upon the voluntary support of the society which it serves. It depends especially for its funds upon students and their families, alumni, trustees, foundations, corporations, government and friends. Thus, it is of the utmost importance that the goals of the university be clear and that the standards and procedures for the conduct of its affairs be well understood by all of its constituents, both on and off campus. These appear in detail in the duly promulgated regulations of the university, particularly in the catalogs, the Student Handbook and the Faculty Handbook.

## Academic and Individual Freedom

Within the academic community, trustees, administrators, faculty, students and staff share the responsibility for achievement of the goals of the university. Responsibilities specific to various groups are discussed in the sections which follow. Especially important, however, are the

responsibilities pertaining to academic and individual freedom. An academic community is uniquely suited to its educational and scholarly purposes primarily because of its firm commitment to intellectual honesty, freedom of inquiry and expression, respect for the dignity of each individual and because of its receptiveness to constructive change.

The commitment to academic and individual freedom carries with it major responsibilities for all members of the university. In exercising their own freedoms, they must respect the rights of others. In seeking innovation, they must recognize that constructive change can be affected at a university only through orderly and rational processes. Intentional acts threatening personal safety, malicious destruction of property or willful and substantial disruption of university functions have no place in an academic community and will not be tolerated. It is the responsibility of all members of the academic community to maintain an atmosphere in which such violations of rights are unlikely to occur and to develop processes which assure the protection of these rights for all persons.

## Board of Trustees

The trustees bear ultimate responsibility for the university, its policies, organization, financing and governance. Two direct responsibilities are the supervision of the university's finances and the appointment of the president as chief executive officer. The operating responsibilities and the authority to act are delegated to the president; and it is primarily through the president that the trustees monitor the university's activities.

## Administration

The administrative officers are formally responsible for supervising the programs and enforcing the policies of the university, for assessing the effects of policy and for recommending improvements or changes where appropriate. The president is the chief executive officer of the university. In the operation of the university, the president delegates responsibility to provost, vice presidents, deans, directors and department heads and to various councils and committees, which may include faculty, students and staff.

It is the duty of the administrative officers of the university to maintain a campus climate which enhances the freedom of the faculty to teach, to engage in research and to take part in

other scholarly and artistic activities, and the freedom of the students to learn and grow both inside and outside of the classroom.

## Faculty

The faculty has the primary responsibility for carrying out the educational and scholarly programs of the university.

All members of the faculty have the duty to conduct their courses in a manner consistent with the highest standards of their profession. Through the presentation of material in the classroom, they should strive to advance the art of teaching. One of the primary goals should be to instill in their students a desire to learn and an enthusiasm for the subject matter at hand. The faculty as a whole also has the major responsibility for establishing and maintaining curricula which meet the standards and fulfill the educational goals of the university.

## Students

Carnegie Mellon, as a private university, selects from among its applicants those students who have demonstrated the qualifications for achieving professional competence in one of the fields in which the university offers instruction. Any student who meets its standards is welcome to apply for admission and, if admitted, to remain at the university so long as he or she abides by its rules.

## Advisory Boards

Each academic department and school at Carnegie Mellon, as well as some non-academic units, has an advisory board whose purpose is to assist the department and the university more effectively to carry out their mission. An advisory board may use any appropriate means to achieve this purpose, important among which are evaluating the department's goals and directions and providing information and advice to the president, provost, deans and department heads.

## Statement on Academic Integrity

The Statement on Academic Integrity, found in the faculty, student and staff handbooks, is the first step in Carnegie Mellon University's ongoing effort to identify and implement the kind of society its members wish to enjoy.

This statement will be followed by implementation strategies as the Task Force on Academic Integrity continues its work.

Please visit the [Academic Integrity website](#) for additional information and resources.

### Statement on Academic Integrity

Carnegie Mellon is a self-governing institution that requires ethical behavior of its administration, faculty, staff and students that goes beyond simple compliance with the law. Respect for these requirements creates a moral authority for the university to insist upon appropriate behavior. This authority is essential to the accomplishment of the university's mission. Integrity as described in this statement is a defining feature of the university community's high expectations for the conduct of its members.

### Introduction

Carnegie Mellon University educates its students to become professionals who will serve society with integrity. The university also creates and disseminates new knowledge and expressions of knowledge in ways that benefit society. Carnegie Mellon strives to serve the changing needs of society through the three primary goals outlined in its mission statement: to create and disseminate knowledge and art through research and artistic expression, teaching and learning and transfer to society, to serve students by teaching them leadership and problem-solving skills, and the values of quality, ethical behavior, responsibility to society and commitments to work, to pursue the advantages provided by a diverse community, open to the exchange of ideas, where discovery and artistic creativity can flourish.

These statements provide groundwork for academic integrity that includes everyone in the Carnegie Mellon community. Our common objective is to make sure that we teach and learn with commitment, consistency, honesty and fidelity. This process involves at its core interaction between young and old, novice and expert, apprentice and master. Integrity

requires that we examine the context in which we do our work. In the university community, young people grow and develop their identities, which mandate that all our dealings follow and foster principles of respect for autonomy, beneficence, justice and fidelity to the mission of the university. The university population is increasingly diverse, faces rapid changes in knowledge and technology that have historically produced uncertainty about the appropriate roles of individuals and professions in the larger society. Each of these facts can and do create issues that we need to be aware of and deal with if we are to successfully achieve our primary missions. When these circumstances are not fully communicated to and understood by all persons in the community, unnecessary suspicions concerning integrity may distract from our teaching and learning and taint the atmosphere on campus. When they are openly discussed and conflicts concerning them openly aired, we all proceed with greater confidence and trust.

All members of the university community have the obligation to serve as models of personal and professional integrity, as well as models for creating, expressing and transferring knowledge. This implies that the faculty not only provide the knowledge and training that prepare students to find their productive roles in society, but also help them discover and maintain integrity in the practice of that role. Staff and administrators are charged with representing the university accurately and forthrightly. Students are responsible for conducting their learning in a similarly honest and committed fashion-by avoiding plagiarism, cheating or taking credit for work not their own-and thus contributing to a campus atmosphere which expects and supports academic integrity.

## Practice of the Mission of Academic Integrity

Academic integrity refers to the implicit commitment that every member makes to all others in the community to practice those principles that underlie the mission of the university and define academic integrity. These are: honesty and good faith; clarity in the communication of core values; professional conduct of work; mutual trust and respect; and fairness and exemplary behavior.

## Honesty and Good Faith

Underlying all the interactions and transactions of the university is the assumption that all of its members act in good faith and are open with each other. For example, students must be able to assume that they can take faculty, staff and administration at their word and vice versa. If questions about honest communications and good faith arise within the community or among some of its members, the general issue must be aired in a frank and open way. Individual cases involving alleged infractions, on the other hand, are properly handled under conditions that respect confidentiality. Penalties for proven infractions of the university's standards must be dealt with promptly and fairly. The more fully we can come to understand and concur with one another on guiding principles, the fewer such cases will turn up, and the more rewarding the university experience will be for all of us.

## Clarity in the Communication of Core Values

Clarity in the communication of the core values and standards of Carnegie Mellon requires explicit understanding of the mission and core values among members of faculty, staff, administration and students; reflection upon and open discussion of standards of practice; identification and resolution of conflicts posed by our mission objectives; and a clear and open communication of our mission to the community. This means we recognize our commitment to the distinct objectives of our vision and mission with all the assessment, certification, evaluation and reorientation that these imply. In direct face-to-face situations students should be dealt with immediately, openly and honestly. Students also need opportunities to learn about and discuss standards, expectations and norms when no immediate "case" is at hand.

## Professional Conduct of Work

Professionalism for the faculty involves designing syllabi which accurately indicate the subject matter and practices of each course and meeting all scheduled classes fully prepared for the assigned work. It also involves the certification of students in their areas of expertise. The university is obligated to provide measures of student progress in the form of grades, degrees, and honors. These attest to society that both faculty and students have fulfilled their commitments. Degrees and honors certify that a level of performance has been met in a

student's demonstration of acquisition and use of knowledge, so it is imperative that grading be a fair, accurate and honest measure of a student's work. At the same time, faculty need to be cognizant of the pressure on students to view grades, which they see as determining their job prospects, as "the be all and end all" of their university experiences and to devise strategies in the classroom to make learning, rather than receiving grades, the central focus.

The ethics governing research must be understood, practiced and communicated to students. This involves being clear and truthful about the ownership of research results and data, avoiding conflicts of interest (or disclosing them when they cannot be avoided), and making only honest and accurate claims in reporting research. In the context of the university, the professional conduct of work has two distinct dimensions: professionalism in one's discipline or area of expertise and professionalism as a member of the university. The distinction between these aspects of professionalism in the academy must be clearly understood and communicated. In addition, each of the various academic disciplines and fields of endeavor represented at Carnegie Mellon has its own implicit and explicit standards for professional work. These are binding on faculty, administration and staff, and must be communicated to students as part of their preparation to become professionals. Research ethics also entails the open discussion of the propriety of the university's involvement in work that seems to be detrimental to society given the values of our mission.

Professional research in the academy is involved with several of its unique institutional goals, including the education of undergraduates, graduate education and certification for professional roles, and faculty tenure. These features pose issues specific to the academy, issues which must be acknowledged and treated explicitly if we are to be clear, open and consistent. The practices of other organizations may therefore not be entirely relevant to those in the university. Recognizing that students are learners demands that they be involved in ongoing research in ways which benefit their education, rather than merely as assistants in faculty projects. Students need also to be clearly informed about standards of behavior and performance that are accepted practices in the discipline and held responsible to them. This should be done proactively as a learning experience rather than retroactively as a punitive experience.

## Mutual Trust and Respect

An environment of mutual trust and respect is necessary if the institution is to promote integrity. Mutual trust and respect are prerequisites for open communication and honest dialogue about values, goals and expectations. They require freedom of expression without fear of retribution, institutional or otherwise, and value the diversity of persons, ideas and choices differing from one's own. They recognize that being in a diverse community is an advantage to encouraging discovery and creativity. Both respect for individuals and respect for institutional values involves balancing the claims of personal autonomy with the goals and mission of the institution. All of us need to be alert to prevent the power structure of the classroom and the university as a whole from suppressing legitimate beliefs and practices. If trust should break down, we need to explore the reasons for the breakdown and identify ways for the community to rebuild trust among its members.

A basis for promoting trust and respect is provided by ensuring that the faculty treat the student's education and the student as ends rather than as a means to some end. For example, the graduate student's development as a researcher and professional, his or her learning and well-being, have to be honored as ends in themselves, rather than treating graduate student work merely as a means to the end of the production of knowledge (from which the professor may benefit more than the student). Students at all levels must be encouraged to value their university experience as learning and personal growth, rather than solely as the means to a career goal. They are responsible for rendering an atmosphere of mistrust by their teachers and among themselves unnecessary by consistently living up to the university's standards.

## Fairness and Exemplary Behavior

The preservation of academic integrity means not only commitment to ideals but also justice in carrying out these ideals. Faculty, staff and administration must deal fairly in all of the various decisions they make which have consequences for students and all the other stakeholders of the university. When questions arise as to whether such decisions distribute benefits and burdens fairly, significant dialogue and open communications about such decisions should be conducted. The power that teachers wield in the classroom must be exercised with the greatest possible care for maintaining fairness, which means examining

classroom practice for any hidden assumptions which might produce confusion or partiality. It also means that we describe to students what the expected commitment for a learning environment is and how to deal with conflicts of commitment, for example time management problems, as they arise. Students must strive to be fair to each other, for example in not claiming unjustified credit in carrying out joint projects and in the appropriate sharing of facilities. Staff must demonstrate impartiality in offering students information, opportunities and perquisites.

Integrity in the campus community is more than just swift punishment of plagiarism or cheating. It is an on-going process which asks everyone to both consider carefully and practice consistently the honesty, clear thinking, professionalism, fairness and trust that make learning, teaching and living here rewarding. When misunderstandings or conflicts over what constitutes integrity arise, as they may in a changing society, the campus must use the opportunity to exercise impartiality and wisdom to adjudicate between ideas and parties. Rightly settled, such issues will become the basis for shared understandings in the future. The university expects its members to be leaders in matters concerning integrity, not only here, but in the larger society we serve.

## Standards for Academic & Creative Life (Academic Policies)

This section of The Word serves to highlight many policies and procedures related to academics at Carnegie Mellon University. You should also become familiar with the following sources, which are the primary documents governing academic policies: the [University Policies website](#), [the Undergraduate Catalog](#), and individual department handbooks provided to each graduate student.

### Academic Integrity Actions Overview

Academic integrity actions are outcomes imposed when any student violates the [University Policy on Academic Integrity](#) including cheating, plagiarism and unauthorized assistance.

## Academic Integrity Policy

Students at Carnegie Mellon are engaged in intellectual activity consistent with the highest standards of the academy. The relationship between students and instructors and their shared commitment to overarching standards of respect, honor and transparency determine the integrity of our community of scholars. The actions of our students, faculty and staff are a representation of our university community and of the professional and personal communities that we lead. Therefore, a deep and abiding commitment to academic integrity is fundamental to a Carnegie Mellon education. Honesty and good faith, clarity in the communication of core values, professional conduct of work, mutual trust and respect, and fairness and exemplary behavior represent the expectations for ethical behavior for all members of the Carnegie Mellon community.

### ***Policy Statement***

In any manner of presentation, it is the responsibility of each student to produce her/his own original academic work. Collaboration or assistance on academic work to be graded is not permitted unless explicitly authorized by the course instructor(s). Students may utilize the assistance provided by the Student Academic Success Center and the Academic Resource Center (CMU-Q) unless specifically prohibited by the course instructor(s). Any other sources of collaboration or assistance must be specifically authorized by the course instructor(s).

In all academic work to be graded, the citation of all sources is required. When collaboration or assistance is permitted by the course instructor(s) or when a student utilizes the services provided by the Student Academic Success Center and the Academic Resource Center (CMU-Q), the acknowledgement of any collaboration or assistance is likewise required. This citation and acknowledgement must be incorporated into the work submitted and not separately or at a later point in time. Failure to do so is dishonest and is subject to disciplinary action.

Instructors have a duty to communicate their expectations including those specific to collaboration, assistance, citation and acknowledgement within each course. Students likewise have a duty to ensure that they understand and abide by the standards that

apply in any course or academic activity. In the absence of such understanding, it is the student's responsibility to seek additional information and clarification.

### ***Policy Violations***

***Cheating*** occurs when a student avails her/himself of an unfair or disallowed advantage which includes but is not limited to:

1. Theft of or unauthorized access to an exam, answer key or other graded work from previous course offerings.
2. Use of an alternate, stand-in or proxy during an examination.
3. Copying from the examination or work of another person or source.
4. Submission or use of falsified data.
5. Using false statements to obtain additional time or other accommodation.
6. Falsification of academic credentials.

***Plagiarism*** is defined as the use of work or concepts contributed by other individuals without proper attribution or citation. Unique ideas or materials taken from another source for either written or oral use must be fully acknowledged in academic work to be graded. Examples of sources expected to be referenced include but are not limited to:

1. Text, either written or spoken, quoted directly or paraphrased.
2. Graphic elements.
3. Passages of music, existing either as sound or as notation.
4. Mathematical proofs.
5. Scientific data.
6. Concepts or material derived from the work, published or unpublished, of another person.

***Unauthorized assistance*** refers to the use of sources of support that have not been specifically authorized in this policy statement or by the course instructor(s) in the completion of academic work to be graded. Such sources of support may include but are not limited to advice or help provided by another individual, published or unpublished

written sources, and electronic sources. Examples of unauthorized assistance include but are not limited to:

1. Collaboration on any assignment beyond the standards authorized by this policy statement and the course instructor(s).
2. Submission of work completed or edited in whole or in part by another person.
3. Supplying or communicating unauthorized information or materials, including graded work and answer keys from previous course offerings, in any way to another student.
4. Use of unauthorized information or materials, including graded work and answer keys from previous course offerings.
5. Use of unauthorized devices.
6. Submission for credit of previously completed graded work in a second course without first obtaining permission from the instructor(s) of the second course. In the case of concurrent courses, permission to submit the same work for credit in two courses must be obtained from the instructors of both courses.

Procedures for dealing with allegations of these policy violations are detailed in the university's Academic Integrity Actions Procedures, which are published in The WORD student handbook. Periodic review of these procedures will be overseen by the Dean of Student Affairs or her/his designee in consultation with Faculty Senate and the relevant student governing bodies. Any amendments to these procedures are subject to the approval of Faculty Senate. Additional guidelines and procedures for graduate students may exist at the college/department/program level, in which case they are communicated in the college/department/program graduate student handbook.

## Assistance for Individuals with Disabilities

Qualified individuals are entitled to reasonable accommodations under the guidelines of the Rehabilitation Act of 1973 and Americans with Disabilities Act (ADA). [The Office of Disability Resources](#) serves as links between students with disabilities and the campus community.

Accommodations are determined on a case-by-case basis. In order to receive services/accommodations verification of a disability is required as recommended in writing by a doctor, licensed psychologist or psycho-educational specialist. All information will be considered confidential and only released to appropriate personnel on a need to know basis.

To access services, individuals must initiate a request in writing for specific services/accommodations (books on tape, enlargements, interpreters, etc.). The university makes available Summary of Accommodations memoranda for students to give to professors, which document disability and describe the accommodations. Accommodations prescribed only apply to Carnegie Mellon and may not be valid elsewhere. The individual takes full responsibility for ongoing assistance. For more information or to initiate a request for accommodations, please contact Catherine Getchell.

***Resources for Individuals with Disabilities***

<b>Name</b>	<b>Title</b>	<b>Phone</b>	<b>Email</b>
Catherine Samuel	Director, Office of Disability Resources	412-268-6121	<a href="mailto:csamuel@cmu.edu">csamuel@cmu.edu</a>
Patrick McCue	Assistant Director of the Office of Disability Resources	412-268-7537	<a href="mailto:pmccue@andrew.cmu.edu">pmccue@andrew.cmu.edu</a>
Ethan Obstarczyk	Accessibility Specialist	412-268-5940	<a href="mailto:ethano@andrew.cmu.edu">ethano@andrew.cmu.edu</a>
Victoria Huston	Accessibility Specialist	412-268-1977	<a href="mailto:vhuston@andrew.cmu.edu">vhuston@andrew.cmu.edu</a>
Nicole Perrotta	Accessibility Specialist	412-268-8948	<a href="mailto:nperrott@andrew.cmu.edu">nperrott@andrew.cmu.edu</a>
Jill Ramsey	Testing Center Proctor	412-268-5940	<a href="mailto:jillrams@andrew.cmu.edu">jillrams@andrew.cmu.edu</a>

## Change of Address

A student is required to report all changes in address to [The HUB](#) by changing his/her address through Student Information Online (SIO). It is the student's responsibility to provide Enrollment Services and the university with a current address.

## Computing Policy

### ***Statement***

The purpose of this policy is to set forth guidelines so that members of our community may use the campus network and computing facilities in ways that are responsible and respectful of privacy. This policy sets forth the university's expectations of acceptable behavior on the part of computer systems users at Carnegie Mellon by providing guidelines for appropriate use of computing and related communication systems and examples of inappropriate use. These standards of acceptable behavior also extend beyond the campus community into the Internet. Just as it is unacceptable to violate others' rights to privacy, property and resources within Carnegie Mellon, it is also unacceptable to violate those rights on systems that are not at Carnegie Mellon but are accessible through Carnegie Mellon's connection to the Internet.

This policy applies to all users of Carnegie Mellon computing systems, including students, faculty and staff, and any others granted the use of university computing resources. It applies to the use of all computing facilities owned, leased, operated or contracted by Carnegie Mellon University. As used in this policy, terms such as "computing," "computing/communications systems," "computing resources," etc., refer to all computers, communication systems, and peripherals, software, telephones and systems with similar functions, which are owned by Carnegie Mellon, or which utilize Carnegie Mellon infrastructure such as telephone lines or computer networks.

Although this policy does not attempt to deal specifically with legal issues, university members are responsible to act in compliance with the law, including any federal, state and local laws governing computer and telecommunications use, as well as all other applicable university policies.

## ***Privileges and Responsibilities***

Every member of the Carnegie Mellon community who uses computing and related communications systems at Carnegie Mellon, or systems that belong to Carnegie Mellon or which rely on Carnegie Mellon's infrastructure has the responsibilities described in this policy. This includes members of the Carnegie Mellon community who have restricted privileges, such as alumni who may have electronic mail access only. Individuals with personally-owned computers, but who rely upon the university network to connect those computers (either through an on-campus or remote network connection, such as ethernet or wireless) are expected to abide by the policies set forth in this document. Personally-owned computers operating in stand-alone mode or networked through a non-university connection are not covered under this policy, but those users are encouraged to consult the usage policies set forth by their Internet Service Provider.

A fundamental premise of this policy is that anyone sharing computing resources with other individuals should behave as a reasonable, mature and ethical person. The user must recognize that computer systems and networks do not exist in a special environment; on the contrary, use of computers is a form of communication, and every component of a computing environment and every piece of information it contains belong to the university, the university community as a whole, or some individual or group within that community.

Access to Carnegie Mellon's computing resources is contingent upon being a member of the university community and adhering to university and Computing Services policies, guidelines and procedures, including this policy. Misuse may result in the loss of access and/or university disciplinary action. For some users and certain systems, access may be authorized by specific departments, research centers or other organizations affiliated with Carnegie Mellon. In such cases, any department- or group-specific policies and guidelines must be adhered to when using resources provided by the department or group. This is in addition to university policies and Computing Services guidelines and procedures.

Any user who suspects a violation of the university's computer use policies, or who has knowledge of potential vulnerabilities or security loopholes in a system or network at Carnegie Mellon, should immediately notify the Information Security Office at [iso-ir@andrew.cmu.edu](mailto:iso-ir@andrew.cmu.edu).

### Maintain the Security and Confidentiality of your Account

Users assume personal responsibility for the use made of their computer accounts. This responsibility begins with selecting a secure password, and involves maintaining the confidentiality of that password and changing the password regularly in order to assure the continued security of your account. For guidance in selecting a secure password, see [Guidelines for Password Management](#). If you believe that someone has made unauthorized use of your account, you should change your password immediately and report the incident to the [Information Security Office](#).

### Respect for Others' Property and Privacy Rights

Users are responsible to respect copyright agreements and intellectual property ownership. Any material that is the work of another, whether explicitly copyrighted or not, should not be distributed by any user without appropriate acknowledgement and/or permission of the creator. Unless permission has been granted by the owner of copyright protected materials, distribution of copyright protected material via the university network or computer systems is prohibited. While the university has been granted permission by software vendors to distribute certain software packages via the network, it is not generally permissible for individual users to distribute that same software to others via the university network or computer systems. See the sections in this policy on [Misuse and Inappropriate Behavior](#). While there may be cases in which property rights to particular programs, data, etc., are ambiguous or in dispute, the user must assume that any information not created by himself or herself belongs to someone else and must respect that person's privacy and property rights to that information. (In certain situations, even information created by the user may not belong to that user but rather to the university or others.) This policy is not intended to limit "fair use" as permitted under the Copyright Act and users having questions about whether a particular use constitutes a "fair use" may consult the Office of the General Counsel for advice.

### Improper/Illegal Communications

Any communications that would be improper or illegal on any other medium are equally so on the computer: libelous material, obscene messages, harassment, forgery, threats, etc. However, this is not intended to restrict the free expression of ideas. Communication conducted in accordance with the university policy on [Freedom of](#)

[Expression](#) and with the statement on Academic Freedom and Responsibility enunciated in the [Appointment and Tenure Policy](#) of Carnegie Mellon University will not be considered a violation of this policy. For further guidelines, see also the university policy on [Separation of Individual's and Institution's Interests](#).

#### Responsible Sharing of Resources

Where a resource such as memory, CPU time or access to network resources belongs to the whole community collectively, it must be shared.

It is unacceptable to make such excessive use of system or network resources that other users cannot obtain access. Examples include excessive use of CPU time during a period of heavy use on a timesharing system, excessive use of disk space on a system that does not limit such utilization, the use of an excessive amount of network bandwidth in an environment of networked computers, and any activity that makes a system unusable or significantly degrades performance for others. A novice user might be unaware that a particular action constitutes "excessive use" but, without doubt, once a system administrator makes him or her aware of the fact that such an action is unreasonable, that user will be held responsible for any further such infractions. If you are unsure whether your needs constitute excessive use, contact the system administrator. Similarly, if you need an unusual amount of disk space, CPU time or other resources, check with the system administrator to find out whether this use can be accommodated, rather than risk interfering with the work of others on the system.

#### Risks of Data Loss and Data Persistence

Although the university will make efforts to secure the network and university controlled servers from abuse and damage, it cannot guarantee against data loss by a student, faculty, member or staff, either on a university-operated or an individually-owned computer.

Users should know that even those files that they have "deleted" using the appropriate procedures in the application or operating system, may indeed be recoverable if they exist in a system backup file or other persistent form. If the university is asked to recover such data by subpoena, it must cooperate, and data that the user believes to have been destroyed may be recovered in the process.

## Personal Use

While the university makes computer resources available primarily to achieve its goals of education and research, and for administrative activities, it realizes the need to encourage the personal use of computing for the convenience of the campus community. Thus, it is reasonable to allow the use of computing resources for computer mail, document preparation, personal or course Web page publication, or other activity that can facilitate convenience or enhance productivity, to the extent that the activity is within the limits described by [Responsible Sharing of Resources](#). Any personal use of computing resources related to operating a personal business or commercial enterprise is prohibited unless permission to do so has been specifically granted by the provost or the provost's designee.

We do recognize the difficulty of distinguishing whether certain cases of "personal use" are allowable, such as activities that result in personal financial gain (e.g. checking stock prices online), relate to a commercial business (e.g. university-sponsored technology transfer efforts), or support (but do not constitute operating) a personal business (e.g. a student developing a business plan or a faculty member writing a report for a consulting engagement outside the university). In such cases, we rely on individuals to be responsible and judicious in the use of university's shared computing resources. In particular ensuring:

- appropriate use of resources (e.g. any such work is completed outside of university time and does not utilize shared resources such as CPU cycles or network bandwidth to a degree that adversely impacts academic or research activities);
- appropriate use of licenses (e.g. do not use software procured with academic use licenses for commercial applications or development, unless the license explicitly permits such use);
- appropriate marketing (e.g. no creation of ".com" domains within Carnegie Mellon's "edu" domain, no advertising services and products using Carnegie Mellon email accounts, and no advertising using web pages on Carnegie Mellon servers (any server with a .CMU.EDU host name).

In cases of questionable personal use of resources, you may contact [it-help@andrew.cmu.edu](mailto:it-help@andrew.cmu.edu) to determine whether a particular activity is permissible.

We reserve the right to restrict personal use of university systems and networks by an individual or by the community at large, if the use of resources for such activities becomes excessive. If you need unlimited access to computer networks for private or business purposes, you can subscribe to a commercial service.

For information regarding the use of resources to produce intellectual property and profit from the development of such property see Carnegie Mellon University's [Intellectual Property Policy](#) and the [Policy on Conflict of Interest/Commitment](#).

## ***Privacy***

The user must presume that the contents of any other users' directory are private unless expressly designated otherwise, just as one would presume that the contents of someone's apartment or office are private. The only exceptions to this rule are: that in some environments, files such as "plan files" may be considered public even if the user has not expressly designated them as such; and that some services such as web pages and anonymous or "guest access" ftp services may be considered to be public, but only for those areas not protected by password and which are "obviously" public. An unprotected account or shared device (such as a shared disk on a networked computer) are not considered to be public unless the name or service expressly indicates that it is. In such cases, any files or other data which would appear to be private in nature, by virtue of the file name or data stored, even if "publicly accessible" should be considered to be private. The user accessing such files has a responsibility to ask the owner of the files or service if the files are intended to be publicly accessible before the user does more than a " cursory glance" sufficient to cause the question.

A user can explicitly grant access to his or her directories, files or to services run from his or her systems. However, users who issue general or vague invitations to browse through their files incur a special obligation to protect any material that they do not wish others to see. Indeed, all users are urged to maintain protection levels on their files consistent with the access they are actually willing to give to other users.

### Access to Faculty Data

Electronic data on a faculty member's account, whether stored on a computer in the faculty member's office or elsewhere under the proprietary control of that faculty member, may not be examined, i.e., the contents of the data read by a person, without

the faculty member's consent, except in cases of emergency or in response to a valid subpoena, search warrant, or order of a court. Posting of data by a faculty member on servers available to the public or to students shall be understood to imply consent, and electronic access given to specific parties by the faculty member will likewise imply consent for those parties to access permitted data. Emergencies may include, for example, but are not limited to, the death, incapacity or disappearance of the faculty member, or the search for and examination of files used for apparently malicious activity in an account which endangers the integrity of shared computers, the network, or other aspects of the university's computing infrastructure.

Only specifically designated individuals are permitted to determine what passes for an "emergency." Such individuals may be specifically designated, or may be designated by job position/description. All assignments for individuals or positions will be done by Provost or by a designate of the Provost.

Whenever possible and legally permissible, notification must be given to the faculty member whose data are subject to subpoena, search warrant, or order of court prior to compliance therewith, and, whenever possible and legally permissible, sufficient time must be allowed, before intrusion, to allow the faculty member to file a motion to quash. Information obtained from an examination warranted by an emergency cannot be used as evidence in university sanctions of any faculty member, and cannot be released to the public, or to the university community or to public officials, except as such releases are essential to resolution of the emergency, or constitute evidence of a crime concealment of which would obstruct justice, and in the latter case release may only be to appropriate law enforcement officials. Any intrusion by an employee of the university into a faculty member's electronic data must be reported to the faculty member as soon as possible, and within five days of the event in writing both to the faculty member, if possible, and unless prohibited by order of court, and to an Ombudsman, who shall be a member of the regular faculty selected annually by the Nominating Committee of the Faculty Senate and who has been endorsed by majority vote of the Faculty Senate. The Ombudsman shall be a current or retired regular faculty member who holds no administrative appointment and is not a member of the Faculty Review Committee. The Ombudsman shall have authority to investigate whether an intrusion was warranted by the policy and, (i) shall inform the President and the affected faculty member of the

Ombudsman's findings; (ii) where a violation of the policy is found, shall inform the Faculty Review Committee of the policy violation; and (iii) where appropriate, in the absence of the affected faculty member, to bring a grievance before the Faculty Review Committee. Violation of any aspect of this policy is a sanctionable offense.

For purposes of this section, the term "faculty" shall mean any person who is a member of the Faculty Organization as defined in Article III of the Constitution of the Faculty Organization.

#### Access to Staff Data

Electronic data on a staff member's account, whether stored on a computer in the staff member's office or elsewhere under the proprietary control of that staff member, may not be examined, i.e., the contents of the data read by a person, without the staff member's consent, except in cases of emergency, in response to a valid subpoena, search warrant, order of a court, or by specific request by the staff members' supervisor for the purpose of accessing work-related electronic data. Posting of data by a staff member on servers available to the public or to members of the university shall be understood to imply consent, and electronic access given to specific parties by the staff member will likewise imply consent for those parties to access permitted data.

Emergencies may include, for example, but are not limited to, the death, incapacity or disappearance of the staff member, or the search for and examination of files used for apparently malicious activity in an account which endangers the integrity of shared computers, the network, or other aspects of the university's computing infrastructure.

Only specifically designated individuals are permitted to determine what passes for an "emergency." Such individuals may be specifically designated, or may be designated by job position/description. All assignments for individuals or positions will be done by Provost or by a designate of the Provost.

Whenever possible and legally permissible, notification must be given to the staff member whose data are subject to subpoena, search warrant, or order of court prior to compliance therewith. Information obtained from an examination warranted by an emergency will not be released to the public, or to the university community or to public officials, except as such releases are essential to resolution of the emergency, or constitute evidence of a crime concealment of which would obstruct justice, and in the

latter case release may only be to appropriate law enforcement officials. Any such findings may be reported to the staff member's supervisor, department head, or to Human Resources for appropriate investigation and action. Any intrusion by an employee of the university into a staff member's electronic data must be reported to the staff member as soon as possible, and within five days of the event via electronic mail unless prohibited by order of court, or due to a continuance of an ongoing investigation by the University. Violation of any aspect of this policy is a sanctionable offense.

When possible, staff members will be informed about the issuance of court orders, or other intrusions into their electronic data. In cases where a staff member believes that electronic data in their account has been inappropriately accessed by another staff member, the incident should be reported to Human Resources.

#### Access to Student Data

Electronic data stored in a student account, whether stored on a computer in the student's residence or elsewhere under the proprietary control of that student, may not be examined, i.e., the contents of the data read by a person, without the student's consent, except in cases of emergency or in response to a valid subpoena, search warrant, order of a court, or by order of the Office of the Dean of Student Affairs. Posting of data by a student on servers available to the public shall be understood to imply consent, and electronic access given to specific parties by the student will likewise imply consent for those parties to access permitted data. Emergencies may include, for example, but are not limited to, the death, incapacity or disappearance of the student, or the search for and examination of files used for apparently malicious activity in an account which endangers the integrity of shared computers, the network, or other aspects of the university's computing infrastructure.

Only specifically designated individuals are permitted to determine what passes for an "emergency". Such individuals may be specifically designated, or may be designated by job position/description. All assignments for individuals or positions will be done by Provost or by a designate of the Provost.

Whenever possible and legally permissible, notification must be given to the student whose data are subject to subpoena, search warrant, or order of court prior to compliance therewith. Information obtained from an examination warranted by an

emergency will not be released to the public, or to the university community or to public officials, except as such releases are essential to resolution of the emergency, or constitute evidence of a crime of concealment which would obstruct justice, and in the latter case release may only be to appropriate law enforcement officials. Any findings of potential wrongdoing unrelated to the original intent of the search, must be reported to the Office of the Dean of Student Affairs for appropriate investigation and action. Any intrusion by an employee of the University into a student's electronic data must be reported to the student as soon as possible, and within five days of the event via electronic mail to the student, if possible, unless prohibited by an order of the court or because of an ongoing investigation conducted by the University. Violation of any aspect of this policy is a sanctionable offense.

When possible, students will be informed about the issuance of court orders, or other intrusions into their electronic data, including the purpose of the search. In cases where a student believes that electronic data in their account has been inappropriately accessed by a staff member, the incident should be reported to Office of the Dean of Student Affairs.

**Note:** Removable media such as floppy disks, zip drives, tapes, or CDs in a faculty or staff office, or in a residence hall are not subject to search by Computing Services, though Computing Services will assist authorized law enforcement agencies or authorities to read data after they are obtained, at the agencies' or authorities' request.

#### Protecting Confidential Information

Users who maintain confidential information, such as records relating to employees or students, are responsible for following privacy-related policies, laws, and data use agreements.

#### Protecting Personal Information

As is described throughout this policy, data transmitted across the university network or stored on university systems may be accessed by others as a result of misuse by an individual, as an incidental result of the routine operation of the network and systems, or in response to a court subpoena or university investigation into suspected or alleged misuse. While complete privacy of personal data may not be possible, users who wish to ensure a higher degree of privacy for their data are encouraged to use encryption, PGP security, or other techniques to reduce the risk that others may access their data.

## ***Misuse and Inappropriate Behavior***

The following activities are expressly prohibited at Carnegie Mellon:

- Using a computer system without proper authorization granted through the university, college, or department management structure. Some activities such as “port scanning” are not expressly prohibited. However, if the target of such scanning requests that an individual or system stop performing such actions, the person or system performing the scans must stop scanning the target machine unless the scans are being carried out by a system administrator who has the authority and responsibility over the machine(s) being scanned or for the network being used.
- Concealing your identity, or assuming the identity of another (e.g., by sending forged electronic mail). Note that some forms of electronic communication, such as browsing Web pages, passively “identify” users. Keeping your identity private either by not setting an identity in your browser or by using a Web-anonymizer in order to protect yourself from being put onto mailing lists is not a violation of this policy.
- Sharing your password or account with the specific exception of staff or faculty members allowing their administrative support personnel to access their accounts in order to provide services appropriate to their job functions. Note that some policies for the accessing of specific systems or data (see PCI-DSS Guidelines) explicitly forbid the sharing of passwords used to access them, and that such restrictions for those specific systems override this policy.
- Using another person’s computer account, user ID, files, or data without appropriate permission, as described in the previous bullet (e.g. using an account found “logged in” on a cluster machine).
- Deleting or tampering with another user’s files or with information stored by another user on any information-bearing medium (disk, tape, memory, etc.). Even if the user’s files are unprotected, with the exception of files obviously intended for public reading, such as Web pages, it is improper for another user to read them unless the owner has given permission (e.g. in an announcement in class or on a computer bulletin board).
- Attempting to “crack” or guess other users’ passwords. System administrators or those specifically designated by the administrator or owner of a system may attempt to crack passwords in order to test and enhance the security of the system. In cases where an

individual or department “owns” machines which use password files controlled by another organization (e.g. Andrew machines or their like), the owner may not attempt to crack passwords without explicit permission by the owners of the password database.

- Obtaining passwords by other means, such as password capturing and key logging programs.
- Attempting to circumvent system security (e.g. breaking into a system or using programs to obtain “root” access), without the explicit permission of the owner of that system.
- Denying appropriate access to resources to other users (e.g. “ping flooding” another system, sending “mail bombs,” or modifying a login file in order to cause a user to not be able to log in).
- Releasing programs such as viruses, Trojan horses, worms, etc., that disrupt other users, damage software or hardware, disrupt network performance, or replicate themselves for malicious purpose.
- Sending commercial solicitations via electronic mail (i.e. spamming) to individuals, or to newsgroups or mailing lists where such advertising is not part of the purpose of the group or list. (It is permissible to send a commercial solicitation to a “for sale” newsgroup, provided that the advertisement conforms to other policies and guidelines at Carnegie Mellon.)
- Any “mass mailing” which is solicitous in nature, unless the mailing is in the conduct of university business.
- Reselling of services based on the university network, such as web hosting, mailing services or the selling of shell accounts.
- Running a proxy server which results in inappropriate or unauthorized access to university materials to non-university members.
- Advertising commercial businesses or ventures on Web pages hosted by Carnegie Mellon, unless prior authorization has been granted.
- Using mail messages to harass or intimidate another person (such as by repeatedly sending unwanted mail or broadcasting unsolicited mail).

- Violations of any local, state or federal laws, such as the distribution of copyright-protected materials (e.g. the distribution of commercial software, music or films in electronic format without appropriate permissions by the owner, even if the user distributing the materials notifies others of their copyright status).
- Tampering with, willful destruction of or theft of any computer equipment, whether it belongs to the university or to an individual. Tampering includes any deliberate effort to degrade or halt a system, to tie up a system or to compromise the system/network performance. Willful destruction includes any deliberate disabling or damaging of computer systems, peripheral equipment such as scanners or printers, or other facilities or equipment including the network, and any deliberate destruction or impairment of software or other users' files or data.
- The unauthorized removal of university or another's computing equipment, which constitutes theft.

This list should not be considered to be complete or exhaustive. It should, however, serve as a set of examples of obviously inappropriate behaviors. If you are in doubt about the appropriateness of something that you want to do, contact the Computing Services Help Center at 412-268-HELP, or send mail to [it-help@andrew.cmu.edu](mailto:it-help@andrew.cmu.edu) and ask first.

### ***Enforcement***

Inappropriate behavior in the use of computers is punishable under the general university policies and regulations regarding faculty, students and staff. The offenses mentioned in this policy range from relatively minor to extremely serious, though even a minor offense may be treated severely if it is repeated or malicious. Certain offenses may also be subject to prosecution under federal, state or local laws.

Appropriate disciplinary action depends not only on the nature of the offense, but also on the intent and previous history of the offender. The range of possible penalties includes reprimands, loss of computing privileges, course failures for students, disciplinary probation, suspension or dismissal from the university and/or criminal prosecution.

Offenses that are minor or appear to be accidental in nature are often handled in a very informal manner such as through electronic mail. More serious offenses involve formal procedures pursued through the Division of Student Affairs for students, Human

Resources and/or the hiring university department or administrative unit for staff, or the Faculty Review Committee for faculty.

### Restrictions of Privileges During Investigations

During the course of an investigation of alleged inappropriate or unauthorized use, it may be necessary to temporarily suspend a user's network or computing privileges, but only after determining there is at least a prima facie case against the individual, as well as a risk to the university or its computing resources if privileges are not revoked. In these cases, it is important to recognize that the restriction of network or computing privileges is intended to protect the system rather than to punish the individual. For example, if a computer account has been used to launch an attack on another system, that account will be rendered inactive until the investigation is complete. This is a necessary action taken to prevent further misuse and does not presume that the account holder initiated the misuse. Unsubstantiated reports of abuse will not result in the suspension of accounts or network access unless sufficient evidence is provided to show that inappropriate activity occurred. For example, if someone reports that their computer was "attacked" by a Carnegie Mellon system, the burden will be upon the complainant to provide sufficient data logs or other evidence to show that the incident did, indeed at least appear to be an attack.

### Adverse Impact on Shared Systems

The university reserves the right to discontinue communication with external systems that are known to harbor spammers, account crackers, or phishing sites, despite the fact that this may restrict certain acceptable communications. When deemed necessary, this action will be taken to protect the security and safety of our systems. Similarly, there may be cases where a particular service or activity on a given university system will, by the very nature of its legitimate operation, tend to generate attacks from other Internet sites. If these attacks are frequent and severe enough to cause service interruptions for larger parts of the campus community, it may be necessary to temporarily or permanently remove these systems from the campus network. In cases where such an action is deemed necessary, network administrators will work with the maintainers of the system to identify alternative methods of network access. In cases where the university restricts access to external sites or removes network access for internal sites, the purpose of the action is to maintain the security and reliability of the computer

systems and networks rather than to punish an individual or a site, or to restrict the free expression of ideas.

## Conduct of Classes (Undergraduate Students)

Students are expected to attend all scheduled classes unless the instructor explicitly informs the class that other ways of doing the work are acceptable. The action to be taken in regard to tardiness, absence from class or making up late work is the responsibility of the individual instructor; the instructor should consult with the department head and the student's dean if major action, such as dropping the student from the course, is being considered.

All classes will be held at their scheduled hour on days immediately before and after all holidays and recesses. Both faculty and students are expected to be present.

Members of athletic teams and other student organizations are permitted to be absent from classes to participate in authorized contests and presentations, either at home or out of town, provided the following conditions are met:

- All work missed must be made up to the satisfaction of the instructor(s) concerned;
- No trip shall involve an absence of more than two days, excluding days when classes are not scheduled;
- The total number of days of absence shall not exceed six per sport or per organization annually;
- Instructor(s) may request confirmation from the relevant coach, department or student affairs staff member.

Technology affords many students access to portable devices including cell phones, PDAs, and laptops. It is expected that students will respect the wishes of faculty with regard to the use of electronic devices within the academic environment.

Students who, because of religious beliefs, cannot attend class may arrange as individuals to be absent, provided the work missed is made up in a manner satisfactory to the instructor(s) of the class(es) missed.

No student shall leave a scheduled exercise because of the absence of the instructor until a reasonable time has passed. By tradition and as a matter of courtesy a student should wait 10 minutes before leaving.

## Cross-College and University Registration PCHE (Pittsburgh Council on Higher Education) Guidelines Policy

### **Statement**

Cross-registration provides opportunities for enriched educational programs by permitting full-time paying undergraduate and graduate students to cross-register for one course at a Pittsburgh Council on Higher Education (PCHE) Institution. Full-time Carnegie Mellon degree students are eligible. The PCHE course may not count towards full-time status unless the student is enrolled in an inter-university program. There is no additional tuition charge, except for special course or laboratory fees. Carnegie Mellon students do not acquire status at the host institution, but are given library and bookstore privileges. Credit and grades are transferred directly to the home institution. Cross-registration is not applicable during the Summer Session(s) or during intersessions.

There are nine approved PCHE Institutions in the Pittsburgh area:

[Carlow University](#) (412-578-6084), [Chatham College](#) (412-365-1121), [CCAC](#) (412-237-2555), [Duquesne University](#) (412-396-6230), [LaRoche College](#) (412-367-9300), [Pittsburgh Theological Seminary](#) (412-362-5610), [Point Park University](#) (412-392-3861), [Robert Morris College](#) (412-262-8256), [University of Pittsburgh](#) (412-624-1544)

1. Each college or university accepts registration from the other institutions; however, first priority is given to students of the host institution, and not all departments or schools in all institutions are able to participate in this program.
2. In each case of a student cross-registration, the approval of the dean or a designated individual from the home college or university must be obtained prior to registration.
3. In addition, the student's advisor or dean is responsible for assuring the student's eligibility for the course in which he/she intends to enroll.

4. Full credit and grades for cross-registered courses will be transferred to the appropriate institution; the academic regulations of the host university will prevail.
5. The academic honesty code and other rules of conduct of the institution providing instruction apply with respect to its courses and behavior on its campus. That institution also determines whether its rules have or have not been violated. The student's own institution will impose such penalties as it considers proper when violations are reported to it.
6. Cross-registrants do not thereby acquire the status of students in the institutions in which they are receiving instruction (e.g., for purposes of participation in student activities, insurance programs, etc.). They do receive library privileges at the host institution and may purchase course texts at the host bookstore.
7. Each qualified student normally may enroll in no more than one course off campus in any one term or semester under this program. Students wishing to cross-register for more than one course in a term must have approval from the appropriate academic offices at both schools.
8. No additional tuition charge is made to students who are participating in this program; however, the student who cross-registers is responsible for paying any course or laboratory fees to the host.
9. Cross-registration does not apply to summer sessions at any of the institutions.
10. Adding or dropping a course after the home institution's deadline date requires permission from the home institution; adding or dropping a course after the host institution's deadline date requires permission from the host institution.
11. Students enrolled in approved joint co-op programs between two PCHE institutions are exempt from the requirement of being full-time at either school in order to cross register. Students are bound by the requirements of that program.
12. Carnegie Mellon students may not cross-register for required courses that are normally available at Carnegie Mellon. Exceptions may be made if courses are unavailable or legitimate schedule conflicts seriously hinder completion of degree requirements within the prescribed timeframe.
13. "PCHE Cross-Registration Request" forms are available from [The HUB](#).

# Doctoral Student Status Policy

## ***Policy Statement***

The university has a policy that covers: time limits on doctoral student status, a definition of All But Dissertation status, a definition of *In Residence* and *In Absentia* status for doctoral students and the tuition and fees charged for students *In Residence* and students *In Absentia*.

These rules apply to *all* doctoral students. Students who began their doctoral studies prior to the date of this policy's revision may follow time-to-degree requirements from the previous policy, but all other rules set forth in this policy will apply immediately to all doctoral students.

## ***Time to Degree***

Students will complete all requirements for the Ph.D. degree within a maximum of ten years from original matriculation as a doctoral student, or less if required by a more restrictive department or college policy. Once this time-to-degree limit has lapsed, the person may resume work towards a doctoral degree only if newly admitted to a currently offered doctoral degree program under criteria determined by that program.

Under extraordinary circumstances, such as leave of absence, military or public service, family or parental leave, or temporary disability, a school or college may, upon the relevant department's recommendation and with the written approval of the dean, defer the lapse of All But Dissertation status for a period commensurate with the duration of that interruption. Students, who are pursuing the Ph.D. degree as part-time students for all semesters of their program, as approved by their program, may also appeal to their program or department for extension of the time to degree limit.

## ***All But Dissertation Status***

All But Dissertation, ABD, status is intended for students whose only remaining requirements are the completion and defense of their dissertation. Once a student meets

the departmental criteria <sup>[1]</sup>, All But Dissertation status must be approved by the department by submitting the appropriate form to [CMURegistrar@andrew.cmu.edu](mailto:CMURegistrar@andrew.cmu.edu).

### In Residence Versus In Absentia

Once students achieve All But Dissertation status, they must choose whether to complete their dissertation *In Residence* or *In Absentia*. A doctoral student *In Residence* maintains student status and all consequent student privileges and continues to be actively engaged with the university. A doctoral student *In Absentia status* is one who has left the university with the intent of completing their dissertation but is not actively engaged with the university and does not require university resources. When a student decides whether to pursue All But Dissertation *In Residence* or *In Absentia*, they must complete a Doctoral Student Status Agreement form, which is available through their academic department or on the [HUB](#) website. Once the agreement has been approved by the student's department, the student may change their status between *In Residence* and *In Absentia* multiple times with approval. A student *In Residence* or *In Absentia* must meet the specific criteria noted later in this policy.

Students *In Absentia* will not be verified by the university as an enrolled "student" for immigration or loan purposes. All But Dissertation students in J1 or F1 immigration status must continue to follow the Department of Homeland Security (DHS) regulations <sup>[2]</sup>.

### ***All But Dissertation Students In Residence***

All But Dissertation students *In Residence* receiving any financial support (such as tuition, stipend, fees or health insurance, whether full or partial), tied to activities that are integral to their doctoral program that is paid by or administered by the university must be enrolled for at least thirty-six units to maintain full time student status and all subsequent

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<sup>1</sup> General examples of having met All But Dissertation requirements may include completing all courses and passing qualifying exams; completing all courses and acceptance of dissertation proposal; etc. as defined by program, department or school.

<sup>2</sup> The intent of the DHS regulations is that the student continues to pursue completion of the degree on a full-time basis under the jurisdiction of the university that will award the degree. International students who enter All But Dissertation status must remain *In Residence* and be registered full-time as defined in this policy to preserve F1 or J1 immigration status while they complete their degree. Questions about All But Dissertation status and immigration requirements should be addressed to the Office of International Education.

student privileges. Exceptions to the thirty-six unit enrollment requirement may be granted by the Provost <sup>[3]</sup>.

All But Dissertation students *In Residence* who are not receiving any financial support (such as tuition, stipend, fees or health insurance, whether full or partial), from the university tied to activities that are integral to their doctoral program should consult their college policy to determine the number of units for which they must be registered in order to maintain full-time student status and all subsequent privileges.

All But Dissertation students *In Residence* who are pursuing their doctoral degree on a part time basis and are not receiving any financial support (such as tuition, stipend, fees or health insurance, whether full or partial), from the university tied to activities that are integral to their doctoral program should consult their college policy to determine the number of units they must be registered for in order to maintain part time student status and all subsequent privileges. Note that doctoral students must be a full time graduate student for at least one academic year or more if required by the student's home college.

All But Dissertation students who are employed by the university in a capacity independent of their educational program and are pursuing a doctoral degree part time, may register for the number of units required by their department in order to remain in part time status so long as they are not receiving any financial support (such as tuition, stipend, fees or health insurance, whether full or partial), tied to activities that are integral to their doctoral program by their college, school or department. Questions about eligibility for tuition benefits should be referred to the Benefits Department.

#### Final Semester Tuition for All But Dissertation Students *In Residence*

Students who are supported by the university must be registered for thirty-six units for the entirety of their final semester and will be assessed their college's full-time tuition.

#### **FULL-TIME STUDENTS**

If a student completes all Ph.D. degree requirements and is certified by:

- September 30th (in the fall), or February 28th (in the spring), tuition will be adjusted to \$0; however, they will remain enrolled for thirty-six units for the semester.

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<sup>3</sup> If granted exception results in the student's enrollment being reduced to less than half time, tax consequences may apply.

- October 31st (in the fall), or March 31st (in the spring), tuition will be adjusted to 50% of the full-time tuition; however, they will remain enrolled for thirty-six units for the semester.
- After October 31st (in the fall), or after March 31st (in the spring), but BEFORE the first day of the next semester, tuition will not be adjusted and they will remain enrolled for thirty-six units for the semester.
- Fees will not be adjusted after the semester course add deadline.
- Tuition will not be assessed in the summer, except for students who return from All But Dissertation *In Absentia* status and who are registered for thirty-six units. For those students who are certified by June 15th tuition will be adjusted to \$0; for those who are certified by July 15th tuition will be adjusted to 50% of the full-time tuition. For those who are certified after July 15th but BEFORE the first day of the next semester, tuition will not be adjusted, and they will remain enrolled for thirty-six units for the semester.

### **PART-TIME STUDENTS**

Students registered for fewer than thirty-six units are not eligible for a tuition adjustment, regardless of their certification date. Fees will not be adjusted.

### ***All But Dissertation Students In Absentia***

An All But Dissertation doctoral student may, upon departmental approval, be regarded as *In Absentia* when, and so long as, the following three conditions apply:

- The student has been enrolled as a full-time graduate student at Carnegie Mellon University for at least one academic year or more if required by the student's home college. Part-time graduate enrollment may, at the department's discretion, be counted *pro-rata* toward this requirement.
- The student does not receive any financial support (such as tuition, stipend, fees or health insurance) tied to activities that are integral to their doctoral program that is paid by or administered by the university.
- The student does not require substantial use of university resources. Departmental approval of this condition shall be subject to guidelines established by the school or college.

According to university guidelines, students *In Absentia* may<sup>[4]</sup>:

- Use University Libraries.
- Use the university stores.
- Use computing facilities only for department communications and for dissertation text preparation.
- Enter university buildings for faculty/student consultations.
- Be eligible for student health insurance as determined on a case by case basis<sup>[5]</sup>.
- Use the Career and Professional Development Center.
- Become university employees.

May not:

- Be employed with a graduate student stipend<sup>[6]</sup>.
- Maintain legal F1 or J1 student status.
- Use University Health Services<sup>[5]</sup>.
- Buy parking permits<sup>[7]</sup>.
- Use athletic facilities<sup>[7]</sup>.
- Reside in university housing.

#### Employment of All But Dissertation Students *In Absentia*

As noted above, All But Dissertation students *In Absentia* are extended only minimum access to university resources. The student does not receive any financial support (such

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<sup>4</sup> An All But Dissertation student *In Absentia* may be hired as an university employee without switching to active student status so long as the hiring department certifies that the student is not hired at Carnegie Mellon for work directly related to his/her dissertation and that the student does not inappropriately make substantial use of resources for work towards the doctorate as noted above. As an employee, an individual would be eligible for benefits that apply to his/her status as an employee, not as a graduate student.

<sup>5</sup> University Health Services is not available to students in *In Absentia* status, except in an emergency, or on a case by case basis. All inquiries may be directed to the Manager of Business Operations, University Health Services.

<sup>6</sup> Graduate students are not considered employees of the university as their primary affiliation with the university is as a student.

<sup>7</sup> An individual whose primary relationship with the university is as an employee and who as Ph.D. student moves to the status of ABD *In Absentia* will be eligible for benefits that apply to his/her status as an employee.

as tuition, stipend, fees, or health insurance, whether full or partial), tied to activities that are integral to their doctoral program paid by or administered by the university. An All But Dissertation student *In Absentia* cannot be hired for work by Carnegie Mellon University directly related to completing their dissertation and/or make substantial use of resources for work toward the doctorate as noted above<sup>[4]</sup>. In order to be in compliance with these policies, the university's employment policies and the Internal Revenue Service, an All But Dissertation student *In Absentia* may only be hired for university employment through the appropriate employment process. Questions should be referred to Human Resources.

#### Tuition and Fee Effects of *In Absentia* Student Status Including the Final Semester

While an All But Dissertation student is *In Absentia*, no tuition will be assessed. The student will, however, be responsible for all applicable fees.

An All But Dissertation student who is *In Absentia*, who returns to defend their dissertation has several options:

1. A student who receives support (such as tuition, stipend, fees or health insurance, whether full or partial) paid for or administered by the university, must follow the policy for Final Semester Tuition for All But Dissertation Students *In Residence* (see above) and is eligible for the tuition to be pro-rated as identified in the schedule.
2. A student who is not receiving any financial support (such as tuition, stipend, fees or health insurance, whether full or partial), paid for or administered by the university and is returning to the university must change from *In Absentia* to *In Residence* and shall be assessed for a minimum of five units of graduate study based on their current school/college's tuition before the degree is certified. The tuition rate will not be adjusted based on certification date.
  - a. A student returns to the university solely for the purpose of the defense and is *In Residence* for 10 or fewer days would pay the technology fee in addition to the tuition.
  - b. A student returns to the university solely for the purpose of the defense and is *In Residence* for more than 10 days would pay the technology, transportation, and student activities fee in addition to the tuition.

3. A student who is *In Absentia* may petition their program to complete and defend their dissertation without a return to campus. Such a student will not be charged tuition but would be charged a Dissertation Completion Fee and technology fee.

## Evaluation and Certification of English Fluency for Instructors Policy

### ***Summary of How the Carnegie Mellon Policy Satisfies the Pennsylvania English Fluency in Higher Education Act***

- The Pennsylvania English Fluency in Higher Education Act requires the University to file annually with the Pennsylvania Department of Education a certification stating that its instructional personnel are fluent in the English language. All instructional personnel, both native and nonnative speakers of English who teach undergraduate students, must be included in CMU's annual certification process.
- Faculty members who are native speakers of English and who teach undergraduates will be certified by their departments on the basis of conversations with the dean, department head or specified designee. Departments cannot assume that someone is a native speaker without talking with him or her.
- The fluency of non-native English speaking faculty members will be evaluated through two interviews: one with the dean, department head or specified designee, and the second with a senior faculty member. All interviewers must be native speakers of English.
- TA English fluency — both graduate and undergraduate — is managed through the International Teaching Assistant testing process administered by CMU's [Intercultural Communication Center](#).

*(Note: CMU policy requires the International Teaching Assistant Test for TAs of both graduate as well as undergraduate classes.)*

- Consistent with Pennsylvania law, CMU allows for the following exemptions from certification: 1) visiting faculty, 2) faculty who will teach courses taught predominantly in a foreign language, 3) faculty who do not teach undergraduate students, and 4) faculty who work one-on-one with students.

*(Note: CMU requires TAs to take the ITA for any job that requires student interaction.)*

## Examinations for Undergraduate Courses Policy

### **Preamble**

The Faculty Senate adopted the following policies on the administration of examinations for the undergraduate courses (defined as courses that are numbered 6xx or below). These policies represent an understanding between faculty and student concerning an important but often stressful period, especially at the conclusion of each academic semester and at mid-semester. There should be no expectation that the following points will cover every conceivable situation. The student should anticipate the demands of the exam schedule, plan accordingly and early, and be prepared. The faculty should recognize that the student is encumbered with many tightly orchestrated and intensive obligations during this period over which he or she has no control: expectations should be reasonably consistent with the number of course units and, of course, should be made known to the student well in advance of the final examination period, preferably as part of the course syllabus.

In order to help students plan their time and study optimally for examinations, this document lays out in some detail the policies regarding final and in-term examinations. Instructors are requested to provide notification of the major in-term examinations in the course syllabus. The final examination date is posted early in the semester. It is the responsibility of the student to give his or her instructor sufficient notice and to work with the instructor to re-schedule examinations if this is needed.

### **Definitions**

- **Final examination period.** The university's official final examination period begins on the Monday immediately following the last day of classes and continues through the last day of scheduled final examinations, with the exception of reading day(s).
- **Scheduled final examinations.** Scheduled final examinations are those scheduled by the University Registrar's Office.

- **Self-scheduled examinations.** An instructor may choose not to fix a schedule for the final examination, but instead allow each student to choose the examination time; such exams are called self-scheduled examinations.
- **Final examinations.** Final examinations can either be comprehensive, covering all course materials, or non-comprehensive, covering only a part of the course.
- **In-term examinations.** Major examinations during the semester are referred to here as in-term examinations.

## ***Policies***

### I. In-term Examinations

1. All in-term examinations should be given during the regularly scheduled class time. However, if the exam requires additional time to complete, then examinations may be administered outside of regularly scheduled class time.
2. No examinations given outside of class time (excluding make ups and self-scheduled examinations) shall be administered on a Friday after 4:30 pm, or at any time Saturday or Sunday.
3. The instructor administering an exam (or another required class event) that falls outside class time must make any and all reasonable accommodations to provide an alternative time to students who have conflicts with the proposed time period, including those conflicts due to activities, meetings, other classes, etc. (provided that the instructor is notified of such conflict in a timely manner).
4. No student shall be required to take more than two full-period in-class or out-of-class examinations on the same day. It is the responsibility of the student to notify the instructor in a timely manner of his/her circumstance so that appropriate accommodations can be made.

### II. Final Examinations

1. All scheduled final examinations are held at the end of the semester during the university's official final examination period. Comprehensive final examinations are not required for each course, but are given at the option of the department or instructor. The reading day and weekend preceding the examination days shall never be used for examination purposes of any kind, unless a student opts to take a self-

scheduled examination during this time. Non-comprehensive final examinations or final projects (but not both) are allowed during this final examination period only in courses that do not give a final comprehensive examination.

2. Instructors are expected to return all work assigned no later than the last regular day of classes in courses for which there is a final examination. In cases when this is not possible, an answer key, solution sets or equivalent feedback should be provided unless the final examination will not cover material in work that has not been returned.
3. No other coursework, including laboratory or studio work, will be due during the final examination period unless it is assigned in advance and in lieu of the course's final examination. Regardless of whether there is a final examination in the course, no classes other than review sessions shall be held during the final examination period. Review sessions should be scheduled for optimal attendance, and a serious effort should be made to accommodate students who cannot attend. In appreciation of the time required to prepare for final examinations, no other examinations, portfolio reviews, critiques or juries shall be scheduled for the last class day of a course with a final examination.
4. Instructors shall never exert or submit to pressures to move an examination so that people can leave earlier nor pressure students to take an examination on a reading day or weekend preceding examinations.
5. No student is required to take more than two scheduled examinations that start within a 25-hour period. A student who has more than two examinations scheduled within a 25-hour period or has two examinations scheduled at the same time should first contact the instructors of the courses for assistance in resolving conflicts. If the problem cannot be resolved by that means, the student should contact the associate dean of his or her home college.
6. Take-home final examinations shall be given for any 24-hour period of the student's choosing during the final examination period.
7. Students are expected to present themselves at the place assigned at the start of the examination; late arrival will reduce the total time a student has to complete the examination, unless instructor's course policy indicates otherwise. Instructors

reserve the right to require attendance within a specific time period. Students who miss an examination with a reasonable excuse and wish to petition for a make-up final examination should check with the instructor. Instructors are encouraged to include late arrival policy and make-up exam policy in the course syllabus.

8. Any student shall be permitted to review his or her corrected, graded final examination in the presence of an instructor or a teaching assistant. Any controversy arising from this review shall be dealt with in accordance with the university procedure for the appeal of grades and academic actions. A final examination that is not returned to a student will be kept available for a year for review. In the event that the instructor or teaching assistant is not available for the review, the responsibility shall rest with the department head of the instructor offering the course or his or her designee. Since instructors are expected to return all work assigned before the final examinations, they are not responsible for retaining unclaimed coursework.
9. Concerns related to final examination, complaints about violations of the final examination policy or alterations of the final examination schedule should be directed to the department head of the instructor offering the course or to the associate dean of the student's home college.

## Fair Use Policy

### ***Policy Statement***

Members of the university community often find it necessary to make scholarly use of materials copyrighted by third-parties. The Copyright Act contains many exceptions and limitations that permit the use of a work without the permission of the copyright owner, most notably fair use.

1. It is the policy of Carnegie Mellon University that all members of the University community must comply with U.S. Copyright Law, in particular the Copyright Act of 1976, 17 U.S.C § 1, et seq.
2. Copyrighted works may be used freely by the copyright owner. Works in the public domain (generally, material published before 1923) may be used freely by everyone.

3. Faculty, students, and staff members of Carnegie Mellon University may use copyrighted materials of other parties provided such activities are allowed by license or by a specific exception in copyright law including but not limited to:
  - 17 U.S.C. § 108 - library uses;
  - 17 U.S.C. § 109(a) - the first sale doctrine;
  - 17 U.S.C. § 109(a) - the right to display copies;
  - 17 U.S.C. § 110(1) - performance and display in classrooms;
  - 17 U.S.C. § 110(2) - distance education; and
  - 17 U.S.C. § 121 - reproduction and distribution of copies in specialized formats for the print disabled.
4. When a proposed use is not permitted by license and does not fall within one of the specific exceptions, it may still be permitted under the fair use doctrine, codified at 17 U.S.C. § 107. Appendix A to this policy contains guidance to assist university community members in determining whether a use qualifies as a fair use.
5. When a proposed use of copyright material does not fall within the fair use doctrine and is not otherwise permitted by license or exception, written permission from the copyright owner is required to engage in use.

### ***Appendix A: Guidance on Fair Use Standards***

#### Background

The ability to reuse pre-existing copyrighted materials is central to the mission of the University in the 21<sup>st</sup> Century. A faculty member might wish to include a quotation in a book or distribute an article to her students through a course website. A student might want to create a multimedia project incorporating images, film clips, and music samples for a class assignment. A librarian may seek to digitally preserve archival material. The Copyright Act contains many exceptions and limitations that permit the use of a work without the permission of the copyright owner, most notably fair use. Although these exceptions have always been important to the academic enterprise, the digital revolution enables a wide range of new uses that significantly enhance the educational

and scholarly process, thereby increasing the reliance on these exceptions generally, and fair use in particular.

According to the Supreme Court, the objectives of the fair use doctrine are to preserve free speech and to promote creativity. Codified in the Copyright Act of 1976 at 17 U.S.C. § 107, the preamble to the fair use doctrine lists six favored purposes: criticism, comment, teaching, scholarship, and research. For this reason, the Supreme Court has recognized that "the fair use defense affords considerable latitude for scholarship and comment."

After the preamble, Section 107 sets forth four non-exclusive factors courts must consider in determining whether a use is fair. Courts have broadened their interpretation of the four factors significantly over time. Recent interpretations have favored educational uses involving new technologies.

When conducting a fair use analysis, members of the University community should consider (1) the fair use factors and (2) applicable codes of best practices. The following guidance is designed to assist members of the University community in conducting a proper fair use analysis. <sup>[8]</sup>

### 1. The Fair Use Factors

Members of the University community are required by Section 107 to consider and balance the following factors to determine if a use qualifies as a fair use. The factors should not be balanced mechanically, but weighed together "in light of the purposes of copyright." The ultimate test of fair use "is whether copyright's goal of promoting the Progress of Science and useful Arts would be better served by allowing the use than by preventing it."

#### **A. The purpose and character of the use, including whether the use is of a commercial nature or is for nonprofit educational purposes.**

- Courts have favored nonprofit education uses, including making multiple copies for classroom use, and "transformative" uses where the new use does not supersede the originally intended use.

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<sup>8</sup> This guidance contains citations to some more recent court decisions. For the sake of brevity not all legal principles in this guidance contain citations. Please contact the Office of the General Counsel if you have any questions regarding this guidance.

- The repurposing or re-contextualization of a work can be transformative, even if the work itself is not modified.
- Digitization of works to provide access to the print disabled, to enable indexing, and to enable "non-consumptive research" (e.g. text mining) has been considered transformative.

#### **B. Nature of the copyrighted work.**

- Courts have favored uses of factual works, as opposed to fiction, and uses of published works as opposed to unpublished works.
- If a use is transformative, the nature of the work is less important.

#### **C. Amount and substantiality of the portion used in relation to the copyrighted work as a whole.**

- Minimal copying does not trigger infringement liability and thus does not require fair use analysis.
- The extent of permissible copying under fair use varies with the purpose and character of the use.
- Copying an entire work may be permissible if necessary to achieve a legitimate purpose. For example, the copying of entire works did not weigh against fair use when necessary for the purpose of providing access to the print disabled or providing a search index to complete works.
- Copying of a quantitatively small portion of a work can weigh against fair use if the portion used is "the heart" of the work.
- The inclusion of one chapter of a book in electronic course reserves did not weigh against fair use even when the publisher made available licenses for digital excerpts.

#### **D. The effect of the use upon the potential market for or value of the copyrighted work.**

- Although in the past this factor was considered to be the most important in the fair use analysis, this no longer is true.

- Courts examine whether the secondary use usurps the market for the original work.
- With respect to impact on potential licensing revenue, courts look at "traditional, reasonable, or likely to be developed markets."
- Markets for transformative uses are not traditional markets; hence, a transformative use does not impair the market for purposes of this factor.
- Even when a court concluded a use was non-transformative, it considered the adverse impact on a licensing market only if the license was easily accessible, reasonably priced, and available for the portion and format the user sought to use.
- Some courts have identified a fifth, non-statutory factor: whether the user acted in good faith.
- This factor should typically weigh in favor of nonprofit educational uses.
- Documentation of the user's fair use analysis, such as a fair use checklist or a statement of pedagogical need, demonstrates the user's good faith.

Although copyright law generally does not require a user to attribute the source of material, such attribution demonstrates the user's good faith. (Attribution often also is required as a matter of academic ethics as well as the terms of a Creative Commons license.)

In addition, courts have treated as fair use:

- Copying incidental to the streaming of films assigned for courses <sup>[9]</sup>;
- Inclusion of chapters of monographs (but not textbooks) in electronic course reserves <sup>[10]</sup>; and
- Mass digitization of books for the purpose of preservation, creating a search index, and providing access to the print disabled. <sup>[11]</sup>

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<sup>9</sup> *Association for Info. Media and Equip. v. Regents of the Univ. of Cal.*, 2011 WL 7447148 (C.D. Cal. Oct. 3, 2011).

<sup>10</sup> *Cambridge Univ. Press v. Becker*, 769 F.3d 1262 (11th Cir. 2014).

<sup>11</sup> *Authors Guild Inc., v. Hathi Trust*, 755 F.3d 87 (2nd Cir. 2014).

When considering similar uses, members of the University community should treat these decisions as important guideposts.

## 2. Best Practices

Several educational communities have developed codes of best practices in fair use.<sup>[12]</sup> These codes each represent a community's consensus about acceptable practices for the fair use of copyrighted materials. Legal scholarship has demonstrated that courts give weight to what a relevant community considers to be acceptable practice. When exercising the fair use doctrine, members of the University community should consult and follow the appropriate code of best practices.

In particular, the *Code of Best Practices in Fair Use for Academic and Research Libraries* (see *link below*) articulates a set of principles for how fair use applies to certain common practices in the university setting. The Code sets forth limitations that should be observed to assure that the case for fair use is strong, and enhancements that could further strengthen that case. These principles include that it is fair use to:

- Make appropriately tailored course-related content available to enrolled students via digital networks;
- Make digital copies for purposes of preservation, and to make these copies available as surrogates for fragile and inaccessible materials;
- Create digital versions of a library's special collections and to make these versions electronically accessible in appropriate contexts;
- Reproduce materials in accessible formats for disabled students when fully accessible copies are not readily available for commercial sources;
- Receive material for an institutional repository, and to make deposited works publicly available;

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<sup>12</sup> See Association of Research Libraries, *Code of Best Practices in Fair Use for Academic and Research Libraries* (available at <http://www.arl.org/focus-areas/copyright-ip/fair-use/code-of-best-practices#.W7JRcWhKhPY>); see also American University Center for Social Media, *Code of Best Practices in Fair Use for Open Course Ware*; *Code of Best Practices in Fair Use for Media Literacy Education*; *Code of Best Practices in Fair Use for Scholarly Research in Communication*; and Society for Cinema and Media Studies' *Statement of Best Practices in Fair Use in Teaching for Film and Media Educators* (available at <http://www.cmsimpact.org>).

- Develop digital databases to enable non-consumptive analysis for scholarly and reference purposes, including search; and
- Create collections of websites and other material from the Internet and to make them available for scholarly use.

The enhancements often involve the use of technological measures to restrict access to the appropriate set of users, and to prevent unnecessarily broad dissemination. Like the judicial determinations of fair use, this *Code of Best Practices* should inform the fair use calculus performed by members of the University community.<sup>[13]</sup>

Although the judicial decisions and the *Codes of Best Practices* are instructive, members of the University must consider the application of the fair use doctrine to the unique facts of the proposed used.

## Final Examinations for Graduate Courses

There is no university policy on the administration of final examinations for the graduate courses. Students should consult their department or college handbooks for applicable policies. Concerns related to final examinations for graduate courses may be directed to the course instructor, the department head of the instructor offering the course, or to the graduate associate dean (or equivalent) of the student's home college.

For information pertaining to final examinations for undergraduate students, please review the [Examinations for Undergraduate Students Policy](#).

## Financial Aid Policy

### **Statement**

#### University Academic Scholarship Renewals

Carnegie Mellon University awards academic scholarships as part of the freshman financial aid process. Each of these scholarships is renewable for four academic years of study (five for architecture) based upon the maintenance of a specific cumulative quality point average. The academic scholarship renewal criteria are included in the scholarship

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<sup>13</sup> As noted above, other fair use Codes of Best Practices may be relevant as well.

notification letter which is mailed to the student prior to the May 1 matriculation deadline.

Each scholarship recipient's cumulative quality point average is reviewed at the end of each academic year. If the student achieves the scholarship renewal criteria, then the scholarship is automatically renewed for the next academic year.

If the student does not meet the cumulative quality point average requirement for renewal, then s/he is given the opportunity to appeal. A merit scholarship appeal form and instructions are automatically sent to the student at the end of each academic year.

The student's completed appeal form is reviewed by members of the Enrollment Services staff. Input from the Associate Dean of the student's college is also considered. The student is notified, in writing, of the decision. The decision may be to renew the scholarship for the entire academic year, renew the scholarship for one academic term, or to reject the appeal. If the appeal is rejected, a written explanation is provided to the student.

#### Undergraduate Tuition Exchange Programs

Carnegie Mellon University assesses the standard tuition charge for the undergraduate tuition exchange programs.

Since Carnegie Mellon assesses the tuition charge, the student can be considered for all forms of institutional, state, and federal aid for which the student may have eligibility with the exception of any student employment program.

#### Undergraduate Study Abroad Programs

Carnegie Mellon University does not assess the tuition charge for any of the Study Abroad Programs.

Since Carnegie Mellon does not assess the tuition charge, the student is not considered for any institutional grants and scholarships. However, Carnegie Mellon will consider any student participating in an approved Study Abroad Program for all state and federal student aid programs for which the student may have eligibility with the exception of any student employment program.

The U.S. Department of Education and Carnegie Mellon University define an approved Study Abroad Program as one which is part of a contractual agreement between

Carnegie Mellon and the host institution. Additionally, courses taken in the Study Abroad Program must be accepted for transfer to Carnegie Mellon by the Dean of the student's college.

### Undergraduate International Students

For purposes of undergraduate student financial aid, an International Student is defined as someone who is neither a U.S. citizen nor an eligible noncitizen. The U.S. Department of Education defines an eligible noncitizen as:

1. An individual who is a permanent resident of the United States (as evidenced by an I-151 or I-551 card); or
2. An individual who can provide documentation from the U.S. Immigration and Naturalization Service (INS) that s/he is in the United States for other than a temporary purpose with the intention of becoming a citizen or permanent resident of the United States.

An undergraduate, International Student is ineligible to receive any federal or state student financial aid. Additionally, Carnegie Mellon does not award any institutional financial aid funds to undergraduate International Students.

## Financial Obligations

Students should pay the amounts due on their E-Bill by the due date on their invoice. Past due accounts are subject to a 1.5% penalty charge each month until the balance is paid in full.

All financial obligations to the university need to be met or future enrollment and other services may be affected. These obligations include, but are not limited to, tuition, fees, room and board, student health insurance, library or parking fines, or any other charges due to the university.

# Grading Policies

## ***Policy Statement***

This policy offers details concerning university grading principles for students taking courses, whether those students are undergraduates, non-degree students or graduate students. This policy covers the specifics of Assigning and Changing Grades (including Final and Mid-Semester grades, Incompletes and Conditional Failures), Grading Options (Audit and Pass/Fail), Drop/Withdrawals, Course Repeats, and defines the undergraduate and graduate Grading Standards.

Questions about grading for a specific course should be addressed to the instructor of the course in question. Graduate students with questions about Pass/Fail and Drop/Withdrawal should contact their individual programs.

Appeals for an exception to any grading policy may be made by the dean's office of the student's home college.

## ***1. Definitions***

Certain terms are used in this document with specific meanings, as defined in this section.

- **Student** means any full-time or part-time degree-seeking undergraduate or graduate student, or full-time or part-time non-degree student.
- **Non-degree student** means a student that is not in a university degree program.
- **Faculty** means members of the university's Faculty Organization as defined in the Faculty Handbook, plus instructors and special faculty appointments (even in the first year), and part-time faculty.
- **Instructor** means a faculty member, teaching assistant, and /or lecturer who is the instructor of record, as recorded in the Student Information System (SIS).

## ***2. Policy Provisions***

### Assigning Grades

Final grades are awarded to each student, in each course scheduled, at the end of the semester, mini-semester or summer session. All students taking a course at Carnegie Mellon must be assigned grades.

Enrollment Services will query instructors who do not assign a grade to a student. Copies of the query regarding the lack of grade will be sent to the student, to the dean and to the department head. If the instructor does not assign a letter grade or an incomplete grade within one month of Enrollment Service's query, the department head will be responsible for insuring that a grade is assigned.

### Changing a Grade

A student who believes that an assigned grade is incorrect, may request that a final grade be changed. Final grades will be changed only in exceptional circumstances and only with the approval of the instructor and, for undergraduates, with the approval of the dean's office of the college/school offering the course; for graduate students, department approval is required. The intention of this policy is to insure that, under normal circumstances, all students in a class are treated equally and no student is unduly advantaged.

### Mid-Semester Grades

Mid-semester grades provide valuable feedback to students as they assess their performance in courses. Furthermore, mid-semester grades and the QPA's they generate are used by Deans and advisors in identifying and dealing in a timely way with students in academic trouble. Therefore it is imperative that mid-semester grades accurately reflect student performance and are turned in on time.

Mid-semester grades are not permanent and are kept only until final grades are recorded. Because mid-semester grades are not permanent, changes of mid-semester grades as a rule will not be accepted.

### Incomplete Grades

Carnegie Mellon students are expected to complete a course during the academic semester in which the course was taken. However, if the instructor agrees, a grade of I (incomplete) may be given when a student, for reasons beyond his or her control, has been unable to complete the work of a course, but the work completed to date is of passing quality and the grade of incomplete provides no undue advantage to that student over other students.

In awarding an I grade, an instructor must specify the requirements for completing the work and designate a default letter grade where no further work is submitted. Students

must complete the required course work no later than the end of the following academic semester, or sooner if required by prior agreement. The instructor must record the permanent grade by the last day of the examination period of that following semester, or Enrollment Services will administratively assign the default grade.

### Pass/Fail Grades

Undergraduate students may elect to take a free-elective course pass/fail unless precluded by the course, the course's department or the student's home department/college. Policies for graduate students vary and students should be advised to check with their individual colleges/departments/programs for details. A student must submit a Grade Option Request Form to Enrollment Services indicating the course they are electing as pass/fail before the end of the university's withdraw period. This decision is irreversible thereafter. No information regarding the student's decision will be passed on to the instructor. Instructors will submit letter grades, which will automatically be converted to pass/fail.

A through D work will receive credit for units passed and be recorded as P on the student's academic record; below D work will receive no credit and will be recorded as N on the student's academic record. No quality points will be assigned to P or N units; P or N units will not be factored into the student's QPA.

In exceptional circumstances, departments may ask to designate a course pass/fail or request that the course be evaluated only with letter grades. The College Council must approve designating a course as pass/fail only or as graded only. If such a decision will have an adverse effect on the requirements of any other college, Academic Council must review the decision. The decision to designate a course as graded or pass/fail must be made before the add period for the course and is irreversible thereafter.

### Audit Grades

Auditing is presence in the classroom without receiving academic credit, a pass/fail or a letter grade. The extent of a student's participation must be arranged and approved by the course instructor. A student wishing to audit a course is required to register for the course, complete the Course Audit Approval Form, obtain permission of the course instructor and their advisor, and return the form to The HUB prior to the last day to add a course.

Any student enrolled full-time (36 units) may audit a course without additional charges. Part-time or non-degree students who choose to audit a course will be assessed tuition at the regular per-unit tuition rate.

### Drop/Withdrawal Grades

Students at Carnegie Mellon may drop a course by accessing on-line registration on or before the drop deadline as published in the official university calendar. This applies to all courses with the exception of mini-semester courses. Policies for graduate students vary and students should be advised to check with their individual colleges/departments/programs for details. The deadline to drop a mini-semester course is the last day of the second week of the mini-semester course. When a course is dropped by these deadlines, the course is removed and does not appear on the academic record.

After the deadline to drop, students may withdraw from a course by accessing on-line registration by the end of the 10th week of class as noted in the academic calendar. After the deadline to drop, a W (withdrawal) grade is assigned and appears on the student's academic record. W grades do not apply to graduate students except in Tepper and MCS. Students may use a late drop voucher for a limited number of course drops after the deadline during the pursuit of their degree. This action must be taken through consultation with their academic advisor or associate dean. Details on the late drop voucher process can be found in the Undergraduate Catalog and the Graduate Education website.

Undergraduates who are registered as full-time students as of the 10th day of classes are expected to remain full-time for the duration of the semester. Full-time is defined as registered for a minimum of 36 units. Permission to drop below the 36-unit minimum can only be granted in extraordinary circumstances by the student's home Associate Dean. Undergraduates who are registered as part-time are also subject to the above deadlines to drop or withdraw from a course.

### Course Repeats

When a course is repeated, all grades will be recorded on the official academic transcript and will be calculated in the student's QPA. This is the case regardless if the first grade for the course is a passing or failing grade.

Undergraduate students who wish to repeat a course already passed must obtain approval from the student's Dean or Department Head. When a student takes a course s/he has already passed, only one set of units will count towards graduation requirements.

### **3. University Grading Standards**

This grading standard is for all students classified as seeking an undergraduate degree and special students taking undergraduate courses. Special students taking graduate courses will be graded on the graduate grading scale (see below).

<b>Grade</b>	<b>Quality Points</b>	
A	4.0	Excellent
B	3.0	Good
C	2.0	Satisfactory
D	1.0	Passing
R	0.0	Failure
P	Non-factorable	Passing
N	Non-factorable	Not Passing
O	Non-factorable	Audit
W	Non-factorable	Withdrawal
I	Non-factorable	Incomplete
AD	Non-factorable	Credit granted for work completed at another institution or by examination credit.

Any +/- grades received by undergraduate students when taking graduate-level courses will automatically convert to the corresponding letter grade as listed in the scale above.

<b>Grade</b>	<b>Quality Points</b>	
A+	4.33	
A	4.0	
A-	3.67	
B+	3.33	
B	3.0	
B-	2.67	
C+	2.33	
C	2.0	
C-	1.67	
D+	1.33	
D	1.0	
R	0.0	Failure
S	Non-factorable	Satisfactory
P	Non-factorable	Passing
N	Non-factorable	Not Passing
O	Non-factorable	Audit
W	Non-factorable	Withdrawal
I	Non-factorable	Incomplete
AD	Non-factorable	Credit granted for work completed at another institution or by examination credit.

This grading standard is for all students classified as seeking a graduate degree and special students taking graduate courses.

Students who entered Carnegie Mellon (as graduate students) prior to Fall 1995 follow their previous graduate grading standard. Graduate students who take a leave of absence and return to Carnegie Mellon will do so under the 4.33-point grading scale. These students will have their past semester QPAs recalculated at the time of their return.

No A+ may be given in an H&SS or CIT course. No D or D+ may be given in a Tepper course. Pass/Fail policies for graduate students vary and students should be advised to check with their individual colleges/departments/programs for details. Only Tepper and MCS record W grades.

Department and college policy determine minimum passing grades in graduate courses. Any course that a graduate student completes will be graded using this scale. This includes undergraduate courses taken by graduate students, and special students taking graduate courses.

## Handling Alleged Misconduct In Research Policy

### **Statement**

Carnegie Mellon University is responsible for the integrity of research conducted at the university. As a community of scholars, in which truth and integrity are fundamental, the university must establish procedures for the investigation of allegations of misconduct of research with due care to protect the rights of those accused, those making the allegations, and the university. Furthermore, federal regulations require the university to have explicit procedures for addressing incidents in which there are allegations of misconduct in research.

### **Introduction**

This document outlines the procedures to be followed when misconduct in research is alleged at Carnegie Mellon. As defined by the National Science Foundation: <sup>[14]</sup>

"Misconduct means (1) fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research; (2)

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<sup>14</sup> National Science Foundation. 45 CFR Part 689. "Misconduct in Science and Engineering Research," Federal Register. Vol. 52. No. 126. Wednesday, July 1, 1987, p. 24468.

material failure to comply with Federal requirements for the protection of researchers, human subjects, or the public or for ensuring the welfare of laboratory animals; or (3) failure to meet other material legal requirements governing research."

To be deemed misconduct for the purposes of this policy, a "material failure to comply with Federal requirements" or a "failure to meet other material legal requirements" must be intentional or grossly negligent.

In conjunction with the procedures outlined in this policy, the provost is responsible for complying with applicable federal regulations, including notifying sponsoring agencies at the appropriate time<sup>[15]</sup> and keeping those involved, Committees of Inquiry and Committees of Investigation, well informed with respect to the requirements of these agencies. If at any time it appears that the possibility exists that the alleged misconduct might involve a violation of any federal, state or local criminal statute, the university attorney must be consulted immediately to determine further action.

### ***Allegations***

Questions about, or suspicions of, misconduct in research should be brought to the attention of the provost for confidential counseling and possible informal resolution.

Allegations of misconduct shall be presented to the provost in writing. Anonymous reports will not be accepted. The provost will acknowledge allegations in writing to the claimant.<sup>[16]</sup>

After a review of the allegation, the provost must decide within 15 days whether a Committee of Inquiry is needed and, if so, establish such a committee promptly. The claimant must be informed, in writing, of the provost's decision.

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<sup>15</sup> Currently, NSF requires notification when it is decided that a formal investigation will be undertaken; however, it should be borne in mind that guidelines in many agencies are currently under development, so it would be impossible to incorporate such guidelines in this policy.

<sup>16</sup> "Claimant" and "respondent" are the terms used by the Association of American Universities in their draft document, *Framework for Institutional Policies and Procedures for Fraud in Research*, August, 1988. We have chosen to use these terms in this document. The terms "claimant" and "respondent" in this policy stand for singular or plural, as the case may require, unless qualified as "individual claimant" or "individual respondent," respectively.

If a decision is made to establish a Committee of Inquiry, the respondent<sup>[17]</sup> must be informed in writing of the allegation, advised of the initiation of the inquiry process, and asked to provide information.

### ***Committee of Inquiry***

The provost shall appoint a three-member Committee of Inquiry. Committee members should be faculty or staff who, in the judgment of the provost, have the appropriate seniority and knowledge to assess the alleged misconduct and do not have a conflict of interest that would interfere with an objective review.

The provost shall charge, in writing, the Committee of Inquiry to conduct a discreet inquiry based on communication with the respondent and the claimant. The purpose of the inquiry is to determine if there is reason to believe that misconduct has occurred. The inquiry should be limited to activities necessary to determine whether to recommend a formal investigation.

The identities of the respondent and claimant will be kept confidential by members of the committee, if possible.

If a majority of the members of the committee of Inquiry recommend that a formal investigation be conducted, the provost must establish a Committee of Investigation. If only a minority of the members of the Committee of Inquiry recommend a formal investigation, the provost may either dismiss the allegation or establish a Committee of Investigation.

If the Committee of Inquiry determines that the allegations have been made in a capricious or malicious manner, they will report this to the provost for appropriate action.

The Committee of Inquiry has 30 days to conduct the inquiry. If the inquiry cannot be reasonably completed within 30 days, the Committee may request a 30-day extension from the provost.

If a decision is made to establish a Committee of Investigation, the respondent must be informed of the identity of the claimant, shown all of the documents and evidence that relate to the charges, and given 15 days to respond prior to initiating the investigation. Sponsoring agencies shall be informed if appropriate or mandated.

## ***Committee of Investigation***

The Committee of Investigation shall have five members, none of whom was a member of the Committee of Inquiry. The provost will appoint two members. The chairmen of the University Research Council, the Faculty Review Committee, and the faculty will each appoint one member.

The provost shall charge, in writing, the Committee of Investigation to conduct a thorough investigation of the allegation. The committee should have access to all persons and information needed to determine the extent to which misconduct has occurred.

Otherwise, the investigation should be as confidential as possible.

The Committee of Investigation shall prepare a written report documenting the extent to which misconduct has occurred. This report will be given to the provost, the respondent, the claimant, the chairman of the University Research Council, the chairman of the Faculty Review Committee, the chairman of the faculty, the university ombudsman, and the president and, if any involved individual is a student, to the dean of Student Affairs.

Optionally, the Committee of Investigation may recommend to the provost a course of action based on their findings.

The Committee of Investigation has 120 days to complete the investigation. If the investigation cannot be reasonably completed within 120 days, the committee may request a 30-day extension from the provost.

## ***Determination of Action and Appeal***

The provost will transmit to the president of the university the reports of the Committee of Inquiry and the Committee of Investigation together with his recommendation for appropriate action.

When the provost's recommendation to the president calls for no action to be taken against an individual respondent and the president concurs, as well as when the president declines to accept a recommendation for action, the president shall, at that respondent's request, in writing, address to that respondent a letter identifying the allegations investigated and stating the reasons for the provost's recommendation and/or the president's decision, as appropriate. This letter shall be available for responsible use at the addressee's discretion. It shall not be included in the personnel file unless such

inclusion is requested, in writing, by the addressee. The president's letter must be formulated, and used by the recipient, so as to preserve the confidentiality of the process, and shall in particular include only information already disclosed to the addressee.

For each individual respondent found responsible for misconduct, the president may impose (or request, in the case of a regular, research, or special faculty member) specific sanctions, including termination of employment for a faculty or staff member and expulsion of a student.

The imposition of sanctions is subject to the procedures for approval and/or appeal prescribed by the Appointment and Tenure Policy for a regular, research, or special faculty member; the Staff Grievance Procedure for a staff member (or the provisions of a written labor agreement for an employee in a bargaining unit); and the provisions of the section on Discipline in the Student Handbook for a student.

Following completion of the Committee of Investigation's work and the provost's recommendation, when an individual respondent is a faculty member, if the president decides to initiate against that faculty member the procedure for dismissal for cause or for the imposition of another sanction, the procedure is then subject to the Exceptions provision of the subsection Procedures of the section entitled Dismissal for Cause and Other Sanctions of the Appointment and Tenure Policy, thus precluding the Ad-Hoc Committee stage.

The provisions of the preceding paragraphs of this section are also applicable to appropriate action regarding each individual claimant found responsible for allegations made in a capricious or malicious manner.

## Human Subjects in Research Policy

### ***Policy Statement***

The university is committed to the protection of the rights and welfare of human subjects in research investigations conducted under the jurisdiction of the university. The university believes that review independent of the investigator is necessary to safeguard the rights and welfare of human subjects of research investigations. All research involving human subjects is conducted in accordance with federal regulations, including Title 45 of

the [Code of Federal Regulations](#), Part 46 (45 CFR 46). Under federal regulations, human subjects are defined as: living individual(s) about whom an investigator conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.

An Institutional Review Board (IRB) is established under the provost to ensure adequate safeguards. The provost is responsible for the composition of the IRB with respect to: (1) the qualifications of IRB members in terms of educational background and research or other relevant experience, and (2) broad representation of relevant university interests.

This IRB is responsible for reviewing investigational procedures involving human subjects prior to the initiation of the research procedure in reference to (1) the rights and welfare of the individuals involved, (2) the appropriateness of the methods used to obtain informed consent, and (3) the risks and potential benefits of the investigations. The IRB is responsible for determining when additional expertise is required for adequate review and for obtaining that additional expertise. The IRB is further responsible for maintaining records of its review activities and decisions and for ensuring that records of informed consent are developed and kept by investigators where appropriate.

It is the responsibility of investigators who plan to use human subjects in research to obtain written consent from the IRB prior to conducting an investigation involving human subjects. It is the investigator's further responsibility to take whatever steps are determined necessary for the protection of the subjects, and to meet the reporting requirements established by the IRB.

## Intellectual Property Policy

### **1. Purpose**

The policy reflects the following goals:

- To create a university environment that encourages the generation of new knowledge by faculty, staff, and students.
- To facilitate wide transfer of useful inventions and writings to society.

- To motivate the development and dissemination of intellectual property by providing appropriate financial rewards to creators and the university, and administrative assistance to creators.
- To ensure that the financial return from the development of intellectual property does not distort decisions and operations of the university in a manner contrary to the mission of the university.

The policy is based upon the following principles relating the university to society:

- The mission of the university remains the generation and dissemination of knowledge.
- Intellectual property will be generated within the university, and there exists an obligation to disseminate it. An interface is needed if better technology transfer is to be achieved, and the university will provide mechanisms for that function.<sup>[17]</sup>

The policy is based upon the following principles relating faculty, staff and students to the university.

- Intellectual property is created by individuals, or by groups of individuals, who are entitled to choose the course of disclosure; academic freedom of individuals is a higher priority than possible financial rewards.
- There exists an historical tradition allowing authors to retain ownership of intellectual property rights from textbooks and works of art.
- The university is the support of the whole campus community, and is thereby entitled to share in financial rewards.
- There should be incentives for all parties to pursue financial rewards together, consistent with the expressed goals of the policy. The distribution of these rewards should reflect, insofar as possible, the creative contributions of the creator, and the resources contributed by and risks assumed by both the creator and the university in developing intellectual property.
- Since it is frequently difficult to meaningfully assess risks, resources and potential rewards, negotiated agreements are to be encouraged whenever possible.

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<sup>17</sup> This document presumes the existence of [a university office to facilitate technology transfer](#). Such an office would serve as a clearinghouse for contacts with outside partners, would perform patent and copyright tasks, and would develop an effective marketing capability.

## 2. Definitions

Certain terms are used in this document with specific meanings, as defined in this section. These definitions do not necessarily conform to customary usage.

- **Intellectual Property** includes any patentable invention, any copyrightable subject matter, or trade secret. It also includes works of art, and inventions or creations that might normally be developed on a proprietary basis.
- **University** means Carnegie Mellon.
- **Student** means any full-time or part-time graduate or undergraduate student, regardless of whether the student receives financial aid from the university or from outside sources. It is the responsibility of students who are also employees of other outside entities to resolve any conflicts between this policy and provisions of agreements with their employers prior to beginning any undertaking at the university that will involve the development of intellectual property.
- **Faculty** means members of the university's Faculty Organization as defined in the Faculty Handbook, plus instructors and special faculty appointments (even in the first year), and part-time faculty.
- **Staff** means any employee of the university other than students and faculty as defined above. If a student is also a part-time university employee, he is considered as staff with regard to intellectual property developed as a result of his employment, and as a student with regard to other intellectual property. A full-time non-faculty employee who is also taking one or more courses is considered to be staff. Visitors to the university who make substantial use of university resources are considered as staff with respect to any intellectual property arising from such use. (The distinction between faculty and staff does not affect intellectual property rights except for representation on the Intellectual Property Adjudication Committee [see Section 5]).
- **Creator** means any person or persons who create an item of intellectual property.
- **Net proceeds to the university** means all proceeds received by the university on intellectual property that it assigns, sells or licenses, minus any application, litigation, interference, or marketing costs directly attributable to the intellectual property being

licensed. Deducted costs shall be reasonable and fair, and shall be properly disclosed; the sources and amounts of compensation shall also be properly disclosed.

- **Net proceeds to the creator** means all proceeds received by the creator from intellectual property owned by him that he sells, assigns or licenses, less the costs of application, legal protection, or litigation, interference, travel and other marketing costs directly attributable to the intellectual property being exploited. Such net proceeds do not include compensation legitimately received by the creator for consulting services or interest or other return on invested labor or capital. Deducted costs shall be reasonable and fair, and shall be properly disclosed; the sources and amounts of compensation shall also be properly disclosed.
- **Substantial use of university facilities** means extensive unreimbursed use of major university laboratory, studio or computational facilities, or human resources. The use of these facilities must be important to the creation of the intellectual property; merely incidental use of a facility does not constitute substantial use, nor does extensive use of a facility commonly available to all faculty or professional staff (such as libraries and offices), nor does extensive use of a specialized facility for routine tasks. Use will be considered "extensive" and facilities will be considered "major" if similar use of similar facilities would cost the creator more than \$5000 (five thousand dollars) in constant 1984 dollars if purchased or leased in the public market. Creators wishing to directly reimburse the University for the use of its facilities must make arrangements to do so before the level of facilities usage for a particular intellectual property becomes substantial. (This provision is not intended to override any other department or university policy concerning reimbursement for facilities usage.)

### **In General:**

In any given year the equivalent figure for a particular amount of money in constant 1984 dollars will be obtained by multiplying that amount of money by the ratio of the most recent quarterly Disposable Personal Income Deflator divided by the average monthly Disposable Personal Income Deflator for the year 1984.

As used in this policy, the masculine gender includes the feminine gender, singular or plural, wherever appropriate.

### **3. Policy Provisions**

This section states the policies concerning ownership of intellectual property created at the university. In order of precedence, ownership of intellectual property shall be as follows:

#### 3-1. Externally Sponsored Work

**Ownership Provisions:** Intellectual property created as a result of work conducted under an agreement between an external sponsor and the university that specifies the ownership of such intellectual property shall be owned as specified in said agreement. If the university declares itself to be a sponsor, but does not declare itself to be the owner of the intellectual property, ownership shall be determined in accordance with **3-6-4** below.

**Procedural Provisions:** It is the responsibility of the Office of Sponsored Research of the university to inform each person whose intellectual property rights are limited by an externally sponsored contract of the intellectual property provisions of that contract in advance of the beginning of work thereon. Such notice is to be in writing and the university may require written acknowledgment of such provisions by any person working on externally sponsored projects. A summary of external sponsorship agreements limiting the intellectual property rights of potential creators will be maintained by the Office of Sponsored Research and will be available to the general university community.

If the university fails to notify a creator, effectively and in advance, of limitations imposed on his intellectual property rights by external sponsorship agreements, the creator is entitled to receive from the university 50% (fifty percent) of the net proceeds to the university resulting from his intellectual property.

#### 3-2. Internally Sponsored Work

**Ownership Provisions:** When the university provides funds or facilities for a particular project to the extent of substantial use, it may also choose to designate itself as sponsor of that work. The university may declare itself the owner of intellectual property resulting from said work. In such cases the university must specify in advance the disposition of any intellectual property rights arising from the project. If the university

declares itself to be a sponsor, but does not declare itself the owner of the intellectual property, ownership shall be determined in accordance with **3-6-4** below.

**Procedural Provisions:** It is the responsibility of the Office of Sponsored Research of the university to inform each person whose intellectual property rights are limited by internally sponsored work of the intellectual property ownership rights specified by the university as to that work in advance of the beginning of work thereon. Such notice is to be in writing and the university may require written acknowledgment of such provisions by any person working on internally sponsored projects. A summary of work for which university sponsorship limits the intellectual property rights of potential creators will be maintained by the Office of Sponsored Research and will be available to the general university community.

If the university fails to notify a creator, effectively and in advance, of limitations imposed on his intellectual property rights by internal university sponsorship, the creator is entitled to receive from the university 50% (fifty percent) of the net proceeds to the university resulting from his intellectual property.

### 3-3. Individual Agreements

**Ownership Provisions:** Intellectual property which is the subject of a specific agreement between the university and the creator(s) thereof shall be owned as provided in said agreement. Such agreements by the university and the faculty are encouraged.

**Procedural Provisions:** Except where limited by external sponsorship agreements, creators and the university may negotiate individual agreements to govern ownership of intellectual property regardless of the applicability of any other provision hereof.

### 3-4. Intellectual Property Created Within Scope of Employment

**Ownership Provisions:** Intellectual property created by university employees who were employed specifically to produce a particular intellectual property shall be owned by the university if said intellectual property was created within the normal scope of their employment. Faculty are presumed not to be hired to produce a particular intellectual property. On the other hand, computer programs written on the job by staff computer programmers would fall under this provision.

### 3-5. Public Dedication

**Ownership Provisions:** Except when limited by subparts **3-1**, **3-2**, **3-3** or **3-4** above, the creator of any intellectual property may choose to place his or her creation in the public domain. In such cases both the creator and the university waive all ownership rights to said property.

**Procedural Provisions:** Creators wishing to place their intellectual property in the public domain are responsible for ascertaining that the right to public dedication of that intellectual property is not limited by any external agreement, university sponsorship arrangement or terms of employment as described in Provisions **3-1**, **3-2** or **3-3** above. The university provost will provide such a determination in writing upon request by the creator. It is also the creator's responsibility to ensure that disclosure does not include valuable intellectual property owned by others. (This provision does not release the university from its general obligation to notify creators of limitations to intellectual property rights specified in Provisions **3-1** and **3-2** above.)

To facilitate the actual transfer of knowledge of the intellectual property to the public at large, the creator shall provide the university with a complete description and documentation of the property placed in the public domain, specifically including a copy of the property in the case of printed material, and complete machine-readable source code in the case of software. All such material provided to the university will be placed in the University Library and made available to the public at large. The university will take appropriate action on a regular basis to publicize summary descriptions of intellectual property recently placed in the public domain. The university will also provide any member of the general public copies of such material on a cost-recovery basis.

The provisions of this section do not apply to the normal scholarly or creative publication processes unless the creator intends to waive all proprietary rights to the publication.

### 3-6. In General

Unless governed by subparts **3-1**, **3-2**, **3-3**, **3-4** or **3-5** above, ownership of intellectual property created at the university shall be determined as follows:

### **3-6-1. Traditional Rights Retained**

**Ownership Provisions:** In keeping with academic traditions at the university, the creator retains all rights to the following types of intellectual property, without limitation: books (including textbooks), educational courseware, articles, non-fiction, novels, poems, musical works, dramatic works including any accompanying music, pantomimes and choreographic works, pictorial, graphic and sculptural works, motion pictures and other similar audio-visual works, and sound recordings, regardless of the level of use of university facilities. This provision does not include computer software (other than educational courseware) or data bases.

**Procedural Provisions:** The types of intellectual property listed in the preceding paragraph share the attribute that they display information or visual or auditory appearances which are fully revealed to the purchaser or consumer. Thus, for example, source code listings would also be considered within this category. On the other hand, most computer software and data bases do not share this attribute; they are characterized by their capacity to perform tasks. Because of their utilitarian nature, ownership rights with respect thereto are governed by **3-6-3** or **3-6-4**. Educational courseware is included in this provision in all cases because of its role in furthering the primary educational mission of the university.

This provision applies regardless of any university sponsorship of the work, and it may be modified only by a specific prior agreement between the creator and the university. The use of university-owned computers and other facilities in the preparation of books and similar works does not alter this provision, though other university policies may limit such use or require reimbursement to the university. Similarly, the use of externally sponsored resources does not alter this provision, unless the creator is effectively notified in advance of such limitations to his rights in accordance with **3-1**.

### **3-6-2. No Substantial Use of University Facilities**

**Ownership Provisions:** The creator owns all intellectual property created without substantial use of university facilities, including intellectual property rights in computer software and data bases.

### **3-6-3. Substantial Use of University Facilities - No External or Internal Sponsorship**

Ownership of intellectual property created with substantial use of university facilities, but not directly arising from externally sponsored work, or from work for which the university has declared itself as sponsor, shall be determined as set forth hereinafter depending on whether the creator or the university develops said property.

#### **3-6-3-1. Development by Creator**

**Ownership Provisions:** The creator originally owns intellectual property created with substantial use of university facilities but no external or internal sponsorship, and retains said ownership by commercial development of said property subject to the following: (i) the university shall receive 15% (fifteen percent) of the net proceeds to the creator above \$25,000 (twenty-five thousand dollars) in constant 1984 dollars from all sources (in the case of patents and copyrights, this provision shall be limited to the life of the patent or copyright), and (ii) the university shall receive a perpetual, non-exclusive, non-transferrable, royalty free license to use said intellectual property. In the case of software, this license includes access by specified university personnel to the source listings, and the university shall require each person to whom a disclosure is made to execute in advance a binding confidentiality agreement in favor of and enforceable by the creator. If the intellectual property is created solely by a student or students, the creator is exempt from the obligation to pay to the university a fraction of his net proceeds, but not from the provision of this paragraph for a non-exclusive license to the university.

**Procedural Provisions:** If the creator develops an intellectual property that is covered by this provision, he must make full and fair disclosure to the University of all such sources of compensation relating to that intellectual property.

#### **3-6-3-2. Development by the University**

**Ownership Provisions:** When intellectual property is created with substantial use of university facilities, but not directly arising from sponsored research, the creator will originally retain the rights to the property, provided that he desires to commercially develop the property himself or to make it available to the public. If, however, the creator elects not to commercially develop same or fails to show

diligence in pursuing such development, then the ownership rights to that property may be acquired by the university. Intellectual property acquired by the university in this fashion will be treated as in **3-6-4-1** below.

**Procedural Provisions:** At the time the intellectual property is disclosed to the university's provost as required under Section **4-1**, or at any time thereafter, the university may request that the creator decide whether he will develop the intellectual property or will grant the rights to the university, and execute documents to pass on the title. Such a decision must be made within one year of the request or the creator will automatically lose his rights in favor of the university.

### **3-6-4. Substantial Use of University Facilities - External or Internal Sponsorship**

Ownership of intellectual property created with substantial use of university facilities and directly arising from work sponsored under an agreement between an external sponsor and the university, or from work for which the university has declared itself a sponsor, but for which neither the external sponsor nor the university have specified the ownership of resulting intellectual property shall be determined as set forth hereinafter depending on whether the creator or the university develops said property.

#### **3-6-4-1. Development by University**

**Ownership Provisions:** The University originally owns intellectual property created with substantial use of university facilities provided by an external agreement or internal university sponsorship and retains said ownership by commercial development of said property, subject to the following: in all cases, the creator shall receive 50% (fifty percent) of the net proceeds to the university.

**Procedural Provisions:** When an intellectual property is created with substantial use of university resources provided by an external research contract or a specific university sponsorship agreement, and when that contract or agreement either does not specify the disposition of the intellectual property rights arising from that sponsorship, or it permits the university and/or creator to retain or acquire such intellectual property rights, the university will originally retain the rights to such intellectual property.

### 3-6-4-2. Development by Creator

**Ownership Provisions:** When intellectual property is created with substantial use of university facilities provided by external or internal sponsorship, the university will originally retain the rights to the property, provided that it desires to commercially develop the property or to make it available to the public. If, however, the university elects not to commercially develop same or fails to show diligence in such development, the ownership rights to that property may be acquired by the creator. Intellectual property acquired by the creator in this fashion will be treated as in **3-6-3-1** above. This assignment of rights to the creator may be prohibited by the terms of an external sponsorship agreement with the university or by an internal university sponsorship declaration, but in such cases the creator must be notified in advance, as in Provisions **3-1** and **3-2**.

**Procedural Provisions:** At the time the intellectual property is disclosed to the university's provost as required by Section **4-1**, or at any time thereafter, the creator may request that the university decide whether it will commercially develop the intellectual property or execute an assignment of the intellectual property rights to the creator. Such a decision must be made within 120 (one hundred twenty) days of the request or the university automatically waives its rights in favor of the creator, and it must execute an assignment of these rights to the creator.

### 3-6-5. Consulting Agreements

**Ownership Provisions:** Work done by individuals as consultants to outside firms is presumed not to involve unreimbursed substantial use of university facilities, and the rights to intellectual property created under consulting agreements are retained by the outside firms or the individual as specified by the terms of the consulting agreement and the terms of Provision **3-6-2** above.

**Procedural Provisions:** Under university policy consulting work must not make substantial unreimbursed use of university facilities except by explicit prior agreement. Any member of the university community who is engaged in consulting work or in business is responsible for ensuring that provisions in his agreements are not in conflict with this policy of the university or with the university's commitments. The university's Innovation Transfer Office will, upon request, provide assistance in this respect. The university's rights and the individual's obligations to the university are in

no way abrogated or limited by the terms of such agreements. Each creator of intellectual property should make his obligations to the university clear to those with whom he makes such agreements and should ensure that they are provided with a current statement of the university's intellectual property policy. Appropriate sample contract wording to cover various possible external consulting arrangements shall be available from the university provost.

#### **4. General Procedures**

##### 4-1.

The creator of any intellectual property that is or might be owned by the university under this policy is required to make reasonably prompt written disclosure of the work to the university's provost, and to execute any document deemed necessary to perfect legal rights in the university and enable the university to file patent applications and applications for copyright registration when appropriate. This disclosure to the provost should be made at the time when legal protection for the creation is contemplated, and it must be made before the intellectual property is sold, used for profit, or disclosed to the public. Whenever legal protection for intellectual property is anticipated all persons engaged in such creative activity are encouraged to keep regular notebooks and records.

##### 4-2.

Whenever the university undertakes commercial development it shall do so, if possible, in a fashion that provides for the widest possible dissemination, avoiding suppression of inventions from which the public might otherwise benefit, providing for non-exclusive licensing at reasonable royalties, and giving consideration to more favorable or royalty-free licensing to non-profit charitable institutions, minority businesses or enterprises in developing countries.

##### 4-3.

The university's share of any proceeds under this policy will be used to reimburse the University for its expenses for commercial development of intellectual property. Any additional return to the university will be used to further the academic purposes of all the disciplines of the entire university.

## **5. Resolution of Disputes**

This policy constitutes an understanding which is binding on the university and on the faculty, staff, and students upon whom it is effective according to the terms of Section 6 below, as a condition for participating in research programs at the university or for the use of university funds or facilities.

Any question of interpretation or claim arising out of or relating to this policy, or dispute as to ownership rights of intellectual property under this policy, will be settled by the following procedure:

- 1.** The issue must first be submitted to the university's Intellectual Property Adjudication Committee in the form of a letter setting forth the grievance or issue to be resolved. The committee will review the matter and then advise the parties of its decision within 60 days of submission of the letter.
- 2.** If any of the parties to the dispute is not satisfied with the committee's decision, the party may seek binding arbitration in Pittsburgh, Pennsylvania and in accordance with the Rules of the American Arbitration Association then in effect. Judgment upon the award rendered by the arbitrator(s) may be entered in any court having jurisdiction thereof. The arbitrator(s) will give some weight to the decision of the Intellectual Property Adjudication Committee in reaching a decision. The losing party of the arbitration hearing will pay for all costs of the arbitration unless the arbitrator(s) specifies otherwise.

The Intellectual Property Adjudication Committee will consist of a chair who is a member of the tenured faculty, four other members of the faculty, and four other members representing, respectively, the university administration, the technical staff, and the graduate and undergraduate student bodies. Initially, half of the members of the committee (including the chair) will be appointed for two-year terms of office, and the remaining half will be appointed for a one-year term. After one year new members of the committee will be appointed for two-year terms of office. The chair will be appointed by the chair of the Faculty Senate, with the advice and consent of the Faculty Senate Executive Committee, and the remaining eight members of the committee will be appointed by the president of the university or his designee. At all times at least one of the faculty members will have had significant practical experience with intellectual

property development and exploitation. The faculty members appointed by the president of the university will be selected from a list of nominees prepared by the Faculty Senate or its designated committee and nominees with experience in intellectual property development will be identified as such by the Faculty Senate. The staff representative will be selected from a list of nominees prepared by Staff Council, and the administration representative will be named directly by the president of the university or his designee. The graduate student representative will be selected from a list of nominees prepared by the Graduate Student Organization. The undergraduate representative will be chosen from a list of nominees prepared by the Student Senate. The committee will use the guidelines set forth in this policy to decide upon a fair resolution of any dispute.

If possible, the committee will also provide on request informal advisory opinions to creators and the university indicating how it is likely to interpret the provisions of this policy as it applies to special cases.

### ***6. Effective Date of Policy***

This policy will become effective August 27, 1985. Once effective this policy will be binding on new faculty, administration, and staff when hired, and on graduate and undergraduate students when admitted. Current faculty and staff will also become bound by this policy when they sign new employment contracts as the result of the renewal of limited-term appointments or promotion. Other university personnel, including tenured faculty, and current staff and students may choose to become bound by this policy for future and pending intellectual property by voluntary written consent. Unless the creator and the university agree to a different arrangement, intellectual property that is already partially developed at the time this policy becomes effective will be treated according to the provisions of the patent policy by which the creator is currently bound. Similarly, members of the university working under contracts signed before the effective date of this policy who do not choose to accept this policy will remain bound by the patent policies that already apply to them. With respect to intellectual property developed during the course of employment at the university, this policy shall continue to be binding on any person whose relationship with the university becomes terminated. The university should take all administrative steps necessary to ensure that employees and students sign, upon initial employment, registration or at other appropriate times, forms that indicate their acceptance of this policy.

## **7. Amendments of the Policy**

Amendments of this policy may be proposed by the Faculty Senate, Staff Council or university administration. Proposed amendments must be approved by a two-thirds majority of votes in the Faculty Senate and subsequently approved by a simple majority of votes cast in a referendum administered by the Faculty Senate that is open to all members of the faculty as defined by this policy and to the exempt staff, provided that this majority constitutes at least 25% (twenty-five percent) of those eligible to vote. This referendum must be preceded by an opportunity for public discussion open to all interested faculty, administration, staff and students. Amendments that are supported by the faculty and staff must then be approved by the president of the university and adopted by the university trustees. Once adopted, amendments will become binding on new faculty, administration, and staff when hired, on existing faculty and staff when they sign new employment contracts, and on graduate and undergraduate students when admitted. Other university personnel, including tenured faculty, and current staff and students may choose to become bound by this policy for future and pending intellectual property by voluntary written consent. Intellectual property that is already developed or under development at the time that an amendment to the policy is ratified will not be bound by the terms of the amendment without the voluntary written consent of both the creator and the university.

## Library Policies

### **Conduct**

- Silence cell phones. Use cell phones in appropriate areas only.
- Food is allowed in the Maggie Murph Café and adjacent areas only.
- Students may sign up to use group study rooms in the Sorrells Engineering & Science Library and Hunt Library. [Reserve rooms online.](#)
- Informal group study is permitted in all public areas except those designated Quiet Study.

## ***Dissertations and Theses***

- All doctoral candidates and some master's candidates must submit copies of their dissertations and theses with the University Libraries. Graduate students should follow-up with their home department for details.

## ***Security***

- Only users with Carnegie Mellon ID may be in Hunt Library after 3 a.m., Monday through Friday.
- Users must be responsible for their belongings. Never leave backpacks, laptops, cell phones, or other items unattended.
- Users must login to access information and/or to print documents at workstations in the library.
- Users must be prepared to show photo ID if requested by library staff or university police.
- Backpacks, briefcases or other bags may be inspected as you exit.
- [Carnegie Mellon Computing Policy](#), [Carnegie Mellon Fair Use Policy](#), related university policies, and state and federal laws govern legal use of information and access to information, including security and privacy.

## Make-Up of Absence from Class Due to Illness

When students are ill, they are expected to negotiate with professors the time and place for make-up of assignments, tests and/or examinations missed. For students who are seriously ill, the Office of the Dean of Student Affairs (412-268-2075) should be contacted so that the student's academic area and/or professor may be contacted.

# Prenatal Radiation Exposure Policy

## ***Statement***

Carnegie Mellon University (Carnegie Mellon) complies with federal regulations to minimize potentially damaging ionizing radiation exposure to the embryos/fetuses of declared pregnant women working in radiologically restricted areas of the university.

To ensure compliance, this policy mandates training for all employees and students who work in radiologically restricted areas regarding the effects of radiation on a developing embryo/fetus. It also mandates a procedure, to be implemented by the radiation safety officer, for ensuring that the radiation exposure of a woman who officially declares her pregnancy does not exceed the level set by federal regulations.

## ***Information and Training***

The radiation safety officer shall provide training sessions in which all students and employees, including supervisors, who are to work in restricted radiation areas are informed, orally and in writing, about this Prenatal Radiation Exposure Policy and about potential radiation and non-radiation effects on a developing embryo/fetus. At these sessions, attendees are given the opportunity to have questions answered. The radiation safety officer may, at his or her discretion, administer an oral and/or written exam in order to confirm attendees' understanding of the subject matter.

The radiation safety officer obtains from each attendee a signed acknowledgment of understanding of the Prenatal Radiation Exposure Policy. No employee or student may enter a radiologically restricted area before attending such a training session and signing such an acknowledgment of understanding.

Any declared pregnant employee or student who performs work that results in radiation exposure at other, non-Carnegie Mellon University locations is responsible for informing the Radiation Safety Office of those activities.

## ***Declaration of Pregnancy***

Any employee or student who works in a radiologically restricted area of the university and determines she is pregnant may officially declare her pregnancy to the radiation safety officer. To be considered an official declaration of pregnancy, this must be in

writing and contain the estimated date of conception. An official declaration of pregnancy form can be obtained from the radiation safety officer.

A pregnant woman has no obligation to officially declare her pregnancy.

### ***Limiting Exposure***

Upon receiving an official declaration of pregnancy, the radiation safety officer shall work with the declared pregnant woman's supervisor to review the work being performed by the declared pregnant woman and determine whether exposure is likely to exceed 500 milligrams during the pregnancy and/or likely to substantially vary from month to month during the pregnancy. If exposure greater than 500 millirems or significant variation is determined to be likely, the radiation safety officer and supervisor shall identify and implement appropriate precautions and engineering controls to limit radiation dose and/or decrease month-to-month variations.

The radiation safety officer shall also, upon receiving an official declaration of pregnancy, complete a dose assessment on the declared pregnant woman, including sending her whole body radiation dosimeter to an approved laboratory for processing, and possibly including bioassay by urinalysis. The radiation safety officer shall communicate to the declared pregnant woman the results of the dose assessment.

Once a month, the radiation safety officer shall monitor the external occupational dose to a declared pregnant woman using a whole body radiation dosimeter, unless the radiation safety officer considers it unlikely that the embryo/fetus will receive, from sources outside the body of the declared pregnant woman, a dose in excess of 100 milligrams during the course of the pregnancy.

The radiation safety officer shall monitor the occupational intake, by bioassay if necessary, of radioactive material by a declared pregnant woman, unless the radiation safety officer considers it unlikely that the declared pregnant woman will receive a "Committed Effective Dose Equivalent" in excess of 100 milligrams during the course of the pregnancy, in accordance with Title 10, Code of Federal Regulations, Part 20, "Standards for Protection Against Radiation."

If the declared pregnant woman's exposure approaches 350 milligrams prior to the end of the gestation period, the radiation safety officer shall recommend to the declared

pregnant woman and her work supervisor that she reduce her use of radioactive materials. If the declared pregnant woman's exposure reaches or exceeds 450 milligrams prior to the end of the gestation period, the radiation safety officer shall notify her supervisor, remove her radiation dosimeters and rescind her authorization to use radioactive material for the remainder of her pregnancy.

Declared pregnant women desiring to further limit their exposure may do so. Any resulting changes in work routine are to be coordinated with their work supervisor.

### ***Records***

The radiation safety officer shall maintain all official declarations of pregnancy and exposure records in accordance with Title 10, Code of Federal Regulations, Part 20, "Standards for Protection Against Radiation."

### ***References***

[Title 10, Code of Federal Regulations, Part 19, "Notices, Instructions, and Reports to Workers: Inspection and Investigations."](#)

[Title 10, Code of Federal Regulations, Part 20, "Standards for Protection Against Radiation."](#)

## Procedure for the Appeal of Grades and Academic Actions for Undergraduate Students

In the event a student believes an assigned grade or an imposed academic action is incorrect or not appropriate, the student may follow the processes outlined below to seek prompt and equitable resolution of the matter.

### **If a student believes a grade has been incorrectly assigned, the student should:**

1. Present the case to the faculty member responsible for the course, providing all supporting data concerning the nature of the discrepancy. This action should be taken as soon as possible but no later than one year after the final course grade was issued.
2. If, after a decision is rendered, the student believes that his or her concerns have not been adequately resolved, the student may pursue a formal appeal with the department

responsible for the course. To appeal to the department, a student must present a written statement detailing the grounds for the appeal with appropriate documentation to the department head of the department responsible for the course. This appeal must be within seven (7) days of the faculty member's decision. The department head will provide a written decision, including the basis for it, within thirty (30) days, or as soon thereafter as practical.

3. If the student is not satisfied with the department head's resolution, the student may pursue the appeal at the college level. To appeal at the college level, the student must present copies of all documents originally sent to the faculty member and department head, along with a formal letter of appeal, to the dean of the college responsible for the course. This appeal must be submitted within seven (7) days of the department head's decision. The dean, or the dean's designate, will review the appeal and will render a written decision, including the basis for it, within thirty (30) days, or as soon thereafter as practical. The decision of the Dean shall be final and not appealable.

**If a student believes an academic action is inconsistent with the policies of the college, a student should:**

1. Submit a formal written appeal to the associate dean of the college responsible for the decision, with a copy to the dean, requesting review of the action including all relevant materials to substantiate the inconsistency in policy and to support their concerns.
2. The dean of the college, or the dean's designate, will review the appeal and issue a decision and the basis for it within 30 days.
3. If, after carrying out the steps of the process described above, the student believes that the matter has not been adequately resolved, or if no decision has been rendered by the appropriate date, the student may appeal at the university level. To appeal at the university level, the student must present copies of all documents and a formal letter of appeal to the provost. The provost or another designated university officer will respond in writing with a final resolution, including the basis for it, within thirty (30) days, or as soon thereafter as practical.

# Research Proposals: Government, Corporations and Foundations Policy

## ***Policy Statement***

Sponsored research is an important part of the mission of the university and accounts for a significant portion of the university's expenditures in a given year. The large amount of research that is supported by government, industry and foundations brings with it a myriad of constantly changing legal, financial and administrative requirements which must be taken into account. Because of the complexity of all these factors, it is important that all proposals, contracts and agreements related to research activities be reviewed centrally to ensure compliance with government regulations and university policies.

## ***Signatures and Approvals***

In general, research proposals require two sets of signatures: those required by the funding organization and those required by Carnegie Mellon. No proposal should be sent out of the university without the appropriate signatures.

All research proposals to the government and to corporations should be circulated internally and should be accompanied by a Carnegie Mellon Proposal Routing and Sign-off Sheet. The sign-off sheet ensures that everyone involved in the process has had the opportunity to review the proposal.

The following signatures are required on the sign-off sheet:

- Principal investigators: their signatures state that they understand their commitments to the project and agree to meet their obligations as set forth in the proposal.
- Deans and the department heads: their signatures attest that they support the proposal and that all matters relating to space, facilities and personnel can be resolved within the department and the college. In instances of joint proposals, signatures from all department heads and deans are required.
- Signatures from the Office of Sponsored Research and Provost's Office indicate that the proposal and the budget have been reviewed and that they meet the requirements of both the university and the potential sponsor.

Research proposals to foundations - whether initiated within the college or the Development Office - must also be reviewed and signed by the Provost's Office.

### ***Negotiation of the Award***

After an award is made to the university, the Office of Sponsored Research will enter into sponsored research or contract negotiations. The principal investigator will be responsible for negotiating technical aspects of the agreement. The remainder of the negotiations will be the responsibility of the Office of Sponsored Research or the Office of the Associate Provost for Research and Academic Administration. All research agreements must be signed by either the provost or the associate provost for research and academic administration. No other personnel are authorized to commit the university to a research agreement.

## Restricted Research Policy

### ***Statement***

Universities have two primary purposes: to create knowledge and to disseminate knowledge. Carnegie Mellon University recognizes the importance of open intellectual communication within a research group, within the university, and within the larger community outside. Ideally, all units of the university would disseminate the results of research as quickly and as widely as possible. Some members or units of the university, however, desire to do research that may be difficult or impossible without restrictions or without access to classified or proprietary materials.

There exists, therefore, a tension between the university's goal of disseminating knowledge freely and the desire on the part of some of its members to conduct restricted research on important problems. The university intends to guarantee the academic freedom of all faculty members to do research in their own manner on topics of their own choosing, provided that such research is consistent with the overall purposes of the university.

This policy seeks to resolve the tension between the desire to participate in restricted research and the desire to maintain the open atmosphere of the university by confining restricted research to semi-autonomous units, which are not associated with any

academic departments. It thereby establishes the principle that restricted research is inappropriate at Carnegie Mellon University except in the semi-autonomous units.

This policy does not attempt to anticipate all possible concerns about restricted research. In some cases, decisions will need to be made about particular research projects to which the application of particular policy guidelines are not clear. In choosing to accept or decline such projects, the university will weigh the potential of a project for generating and disseminating new knowledge, for the benefit of society, against the project's potential for adversely affecting the climate for research conducted in a free and open environment. While this policy sets no explicit limits on the extent of classified research permitted in the semi-autonomous units, it is not the intent of the policy to encourage any unit of the university to engage in classified research as a primary ongoing activity. Indeed, it is expected that classified projects will never represent more than a small fraction of the total research effort in any unit.

### ***Definitions***

- **Research:** all projects and investigations involving the creation of new knowledge of a theoretical or practical nature. The term "research" as used here encompasses both "research" and "development" as they are commonly defined.
- **Classified research:** research, the free dissemination of the results of which is deemed to jeopardize national security. The federal government controls access to the environment in which such research is performed, restricts discussions about the work in progress to individuals with clearance and a "need to know," and limits publication of research, results or access to data needed to verify results, for a specified period of time.
- **Proprietary research:** research that results in intellectual property that is owned by entities other than Carnegie Mellon University. Such entities may wish to market products derived from inventions or ideas that are developed at the university. They might, therefore, desire to fund projects which restrict access to data and to discussions about work in progress to individuals with a "need to know," and to seek, for a specified period of time, a delay in publication of research results or data needed to verify results. Such entities may also provide access to proprietary material, which researchers must agree not to include in publications.

- **Publication:** oral or written dissemination.
- **Restricted research:** includes all classified research, and any proprietary or other research that requires more than a six month delay in publication of the research results.
- **Semi-autonomous units:** units of the university specifically so designated by the president, after consultation with the URC and the Faculty Senate, currently the Mellon Institute and the Software Engineering Institute.
- **Non-autonomous units:** all university entities other than semi-autonomous units.

### ***Restricted Research in Non-Autonomous Units***

It is the policy of Carnegie Mellon that restricted research is inappropriate and, therefore, not permitted within its non-autonomous units.

It is also the policy of Carnegie Mellon not to permit involvement of students in projects which carry restrictions that may impede their progress toward a degree. Therefore, students should not be involved in contracts that require the delay of a student's publication of research results when such results are intended for use in obtaining academic credit, except that a sponsor may require a delay of thirty days for review of publications for removal of proprietary information that was provided by the sponsor for the conduct of the research.

Proprietary research is allowed within non-autonomous units provided it is subject to limitations (excluding students' publications as noted above) no more stringent than the following:

- A sponsor may request a delay of up to six months in publication so that steps may be taken to secure intellectual property rights to inventions or ideas developed under the contract.
- A sponsor may require a delay of thirty days for review of publications for removal of proprietary information which was provided for the conduct of the research.

#### Considerations for Faculty/Researchers

The university recognizes that problems arise in both restricted research and research that is not itself restricted but that involves access to classified or propriety information

or materials (hereinafter, restricted materials). Researchers may also have access to restricted materials when serving as consultants. Access to restricted materials gives rise to concerns about limitations on researchers' freedom to communicate. In such instances, researchers must exercise considerable judgment to conduct their research in an open environment while protecting the restricted materials to which they have access. Researchers must also be aware that the university will judge their performance as researchers through their publications or through other scholarly products that arise from their research. Research that is restricted in dissemination, or not available for public review, cannot be considered in promotion or reappointment decisions or in evaluations of academic performance of any kind.

#### Considerations for Students

There are important concerns about the involvement of students in restricted research. It is necessary for students to publish their work in order to obtain degrees, course credit and professional recognition. Students rely to a large degree on their faculty advisor's judgment for guidance and advice. Research that is restricted in dissemination, or not available for public review, cannot be used for academic credit. Thus, before working on such research, a student must be notified in writing that work on this research may not be used for academic credit.

#### ***Restricted Research in Semi-Autonomous Units***

The semi-autonomous units associated with Carnegie Mellon may conduct restricted research.

Faculty members may conduct restricted research in or in cooperation with semi-autonomous units only on a consulting basis or by means of a formal, internal leave of absence from their non-autonomous units.

Work that is restricted in any way may not be used for academic evaluations until it is released for publication, and then only with respect to future academic actions.

Students may occasionally be employed by the semi-autonomous units, provided that such employment does not interfere substantially with progress toward a degree. However, they must be made aware that work that is restricted cannot be used for academic credit. Work that was restricted and is later released for dissemination and

review can be applied toward future academic credit. Students should be discouraged from working on restricted research in which dissemination may be delayed indefinitely.

### ***Guidelines for all Units***

Work by students on restricted research projects shall not be made a condition for admission or financial aid.

The principal investigator is responsible for informing all members of a project (faculty, staff and students) of any restrictions imposed on the dissemination of information related to the research. This must be done prior to the start of the project or prior to an individual joining an existing project.

Restrictions on access to university facilities due to the conduct of restricted research must be kept to a minimum. Access to and movement through the facilities in which restricted research is conducted must be consistent with standard university procedures.

The Provost's Office is responsible for obtaining signed documents from principal investigators on restricted research projects attesting that they are aware of all restrictions imposed on the research and that they have informed all participants of these restrictions.

The Office of Sponsored Research shall review all proposals and contracts prior to approval for conformity with these guidelines. Any that do not meet these guidelines will be referred to the University Research Council (URC) for review and recommendation of appropriate action to the provost.

To maintain a balance with the university's goals of broad dissemination of knowledge, the URC will conduct an annual review of all restricted research being conducted at the university. This review will be made based on a listing of all contracts that involve restricted research. This listing shall include the title and sponsor(s) of the research, name(s) of principal investigator(s), and the amount of funding of each contract.

The university community will be informed annually, through the URC's written report to the Faculty Senate and Student Senate, of the nature and overall impact of restricted research at Carnegie Mellon.

Existing sponsored research projects shall be allowed to continue under the terms of their present contract. However, renewal contracts must conform with this policy.

## Retention of Student Work Policy

The university reserves the right in all colleges to retain indefinitely any student work the faculty may select. All work not retained by the university must be claimed at the time specified on the bulletin boards (or other forms of communication) of the department concerned; otherwise, the work will be destroyed.

## Statute of Limitations – Master’s Studies

Students will complete all requirements for the master’s degree within a maximum of seven years from original matriculation as a master’s student, or less if required by a more restrictive department, school or college policy. Once this time-to-degree limit has lapsed, the person may resume work towards a master’s degree only if newly admitted to a currently offered master’s degree program under criteria determined by that program.

Under extenuating circumstances, such as leave of absence, military or public service, family or parental leave, or temporary disability, a college/school may, upon the relevant department's recommendation and with the written approval of the dean (or designate), defer the lapse for a period commensurate with the duration of that interruption. Students who are pursuing the master’s degree as part-time students for all semesters of their program, as approved by their program, may also appeal to their program or department for extension of the time to degree limit.

## Statute of Limitations – Undergraduate Students

All units required for an undergraduate degree, whether earned in residence, transferred from another institution or granted via advanced placement, must have been earned within eight years of the date on which the degree is granted. This statutory period can be extended by the dean of the student's college under the following conditions:

- the courses taken prior to the statutory period still represent a reasonable part of the student's total academic program;
- the prior courses provide adequate preparation for courses which must still be taken to fulfill the degree requirements;

- there is a legitimate reason(s) for the student not completing the academic program within the statutory period.

A request for a waiver of the statute of limitations must be submitted to the dean of the student's college. The request for a waiver should address all of the above conditions for an extension. For cases in which a waiver is granted, the waiver covers specific courses and is intended for a specific period during which the program must be completed.

## Student Leaves Policy

### ***Policy Statement***

Students must sometimes interrupt their studies for a variety of reasons (financial, academic or personal). Students choosing to take a leave of absence must first contact their department advisor to discuss their plans while on leave to work out any conditions that may be necessary for a smooth return to Carnegie Mellon.

A student may leave Carnegie Mellon by either withdrawing from the university (this means leaving the university with no intention of returning) or by taking a leave of absence (this means leaving the university temporarily, with the firm and stated intention of returning).

A Leave of Absence Form must be completed by all students requesting a leave of absence. A Withdrawal Form must be completed by all students who are withdrawing. Notifying instructors or no longer attending classes does not complete the process. Forms are available on [The HUB website](#). Not completing the leave form results in tuition being charged to midpoint of the semester or the last date the student attended an academically-related activity such as an exam, tutorial or study group, or the last day a student turned in a class assignment.

Students are required to fill out all information on the form, including all comment sections relating to reasons for their leave of absence. After completion of the form, students must take it to their home department and dean's office for appropriate signatures. The process of taking a leave will not be complete until all necessary signatures are on the leave form. Under certain circumstances, students may also need the Dean of Student Affairs to sign off on the leave form. International students who are

here on a F1 or J1 visa must consult the Office of International Education for information on possible visa implications prior to going on leave.

Students on leave are not permitted to live in university housing, attend classes or maintain employment as students at Carnegie Mellon while their leave is in effect.

Doctoral candidates in ABD (All But Dissertation) status who wish to take a leave of absence should refer to the Doctoral Student Status policy.

Leaves during the academic semester will take effect as of the date signed by the student's dean. After the Leave of Absence or Withdrawal Form is received by the University's Registrar's Office, it will be reviewed for the appropriate tuition refunds (see Enrollment Services: Tuition and Fees Adjustment Policy) and grade implications. The recording of student courses and grades for taking a leave in a semester follows the deadlines for semester or mini courses, as follows:

- On or before the university semester course drop deadline: all courses and grades are removed.
- After the university semester course drop deadline through the last day of classes: W (withdrawal) grades will be assigned to all classes. (W grades apply to all undergraduate students, and graduate students in the Carnegie Institute of Technology, the Heinz College, the Mellon College of Science and the Tepper School of Business.)
- After the last day of classes: Permanent grades assigned by the instructor will be recorded.

## Student Parental Accommodation Protocols

Providing holistic student support is a top priority at Carnegie Mellon. The protocols on this policy are designed to support the parental needs of students and their families.

**Students seeking any of the Parental Accommodations described below must register with the Office of the Dean of Student Affairs by contacting the office for an appointment by calling 412-268-2075.**

Students are encouraged to register with the Office of the Dean of Students ninety (90) days in advance of the anticipated arrival of the child as applicable in the individual circumstance.

At the time of registering, students will have the opportunity to consult about resources, procedures, funding options and preparation for discussing academic accommodations with the student's academic department. Students should also consult with their academic advisors either before or in conjunction with registering with the Office of the Dean of Students.

### ***Accommodations for Gestational Parents***

The birth of a child is a significant life event that may require time away from academic pursuits for delivery and recovery from delivery of a newly born child. Students whose anticipated delivery date is during the course of a semester may need to take time away from their academic responsibilities. Carnegie Mellon students seeking time away are afforded two options as possible accommodation:

- **Short-Term Accommodation for Gestational Parents** – A short term absence from academic responsibilities up to a maximum of six (6) weeks. Short-Term Accommodation may be extended by two (2) weeks, for a total of eight (8) weeks, where a longer absence is medically necessary. Prior to the absence students must work with relevant university faculty and staff to adjust their course work, research, teaching and other academic responsibilities during the period of absence. This may include extensions of time to complete assignments, incomplete grades, and/or dropping courses, shifting research responsibilities and adjusting TA assignments. Students who take a Short-Term Accommodation will remain enrolled.
- **Formal Leave of Absence**– A formal leave of absence under the [Student Leaves Policy](#). Generally, the Student Leave Policy permits students to take a leave of absence for a full-semester, mini-semester, or for the time remaining in the semester during which the leave is taken. Students who take a [Formal Leave of Absence](#) drop all remaining courses for the semester and are unenrolled for the semester. International students must consult with the [Office of International Education](#) before considering this option due to visa implications.

### ***Parental Accommodation for Doctoral Students***

The university offers a Parental Accommodation for qualifying doctoral student parents to include up to six (6) weeks of time away from academic responsibilities with continued

stipend support. This accommodation can be utilized within six months of the birth or placement of a child through adoption, foster care or legal guardianship. Gestational parents may utilize both the Short-Term Parental Accommodation and the Short-Term Accommodation for Gestational Parents.

Careful planning and consultation is necessary given the unique contexts and requirements of each student's situation. Students will remain fully enrolled and will receive assistance in navigating the necessary planning and consultation processes.

### ***Financial Assistance for Student Parents***

Carnegie Mellon also offers the following options for financial assistance to students who become parents while enrolled:

- **Interest Free Loan** – Any student who becomes a parent is eligible to apply for an interest-free [Parental Loan](#) from the Office of the Dean of Student Affairs.
- **Doctoral Stipend Continuation (Parents)** – Doctoral students who receive an academic stipend funded by Carnegie Mellon and are becoming a parent by adoption, birth, or through guardianship are eligible to continue to receive stipend funding for up to six (6) weeks during a Short-Term Parental Accommodation.
- **Doctoral Stipend Continuation (Gestational Parents)** – Doctoral students who are the gestational parent and who receive an academic stipend funded by Carnegie Mellon are eligible to continue to receive stipend funding for up to six (6) weeks during a Short-Term Accommodation for Gestational Parents or during a Formal Leave of Absence. Continued academic stipend funding may be extended by two (2) weeks, for a total of eight (8) weeks, if an absence longer than six weeks is medically necessary.

### ***Lactation Rooms***

As a service to our community members, Carnegie Mellon offers several lactation rooms for the purpose of expressing milk while on campus. These spaces are open to all CMU community members and their guests. [More information available here.](#)

### ***Sponsored ID cards***

Available as a courtesy to student spouses/registered domestic partners and visiting/non-degree students. [Learn more.](#)

## ***Domestic Partner Registration***

Eligible students may elect benefits for their domestic partners by following the [registration procedure available via this link](#).

For more information, please contact [Holly Hippensteel](#), Associate Vice President of Student Affairs.

## Student Privacy Rights Policy

### ***Policy Statement***

Under the Family Educational Rights and Privacy Act (FERPA), you have the right to:

- inspect and review your education records;
- request an amendment to your education records if you believe they are inaccurate or misleading;
- request a hearing if your request for an amendment is not resolved to your satisfaction;
- consent to disclosure of personally identifiable information from your education records, except to the extent that FERPA authorizes disclosure without your consent;
- file a complaint with the U.S. Department of Education [Family Policy Compliance Office](#) if you believe your rights under FERPA have been violated.

### ***1. Inspection***

#### What are education records?

Education records are records maintained by the university that are directly related to students. These include biographic and demographic data, application materials, course schedules, grades and work-study records. The term does not include:

- information contained in the private files of instructors and administrators, used only as a personal memory aid and not accessible or revealed to any other person except a temporary substitute for the maker of the record;
- Campus Police records;
- employment records other than work-study records;

- medical and psychological records used solely for treatment purposes;
- records that only contain information about individuals after they have left the university;
- any other records that do not meet the above definition of education records.

#### How do I inspect my education records?

- [Complete an Education Inspection and Review Request Form \[pdf\]](#) and return it to The HUB in order to notify the University Registrar's Office.
- The custodian of the education record you wish to inspect will contact you to arrange a mutually convenient time for inspection, not more than 45 days after your request. The custodian or designee will be present during your inspection.
- You will not be permitted to review financial information, including your parents' financial information; or confidential letters of recommendation, if you have waived your right to inspect such letters.
- You can get copies of your education records from the office where they are kept for 25 cents per page, prepaid.

## **2. Amendment**

#### How do I amend my educational records?

- Send a written, signed request for amendment to the University Registrar, Carnegie Mellon University, A19 Warner Hall, Pittsburgh, PA 15213. Your request should specify the record you want to have amended and the reason for amendment.
- The university will reply to you no later than 45 days after your request. If the university does not agree to amend the record, you have a right to a hearing on the issue.

## **3. Hearing**

#### How do I request a hearing?

- Send a written, signed request for a hearing to the University Registrar, Carnegie Mellon University, A19 Warner Hall, Pittsburgh, PA 15213. The university will schedule a hearing no later than 45 days after your request.

### How will the hearing be conducted?

- A university officer appointed by the Vice President for Enrollment Management and Dean of Admission, who is not affiliated with your enrolled college will conduct the hearing.
- You can bring others, including an attorney, to the hearing to assist or represent you. If your attorney will be present, you must notify the university ten days in advance of the hearing so that the university can arrange to have an attorney present too, if desired.
- The university will inform you of its decision, in writing, including a summary of the evidence presented and the reasons for its decision, no later than 45 days after the hearing.
- If the university decides not to amend the record, you have a right to add a statement to the record that explains your side of the story.

## **4. Disclosure**

Carnegie Mellon generally will not disclose personally identifiable information from your education records without your consent except for directory information and other exceptions specified by law.

### What is directory information?

Directory information is personally identifiable information of a general nature that may be disclosed without your consent, unless you specifically request the university not to do so. It is used for purposes like compiling campus directories.

*If you do not want your directory information to be disclosed, you must notify the University Registrar's Office, in writing, within the first 15 days of the semester.*

Notifying the University Registrar's Office covers only the disclosure of centralized records. Members of individual organizations such as fraternities, sororities, athletics, etc. must also notify those organizations to restrict the disclosure of directory information.

Carnegie Mellon has defined directory information as the following:

- official full name

- local/campus address and telephone number
- CMU email user id and address

(User ids cannot be completely suppressed from our electronic systems. While it may be possible to suppress the association of an individual's name with their user id, doing so may adversely impact the delivery of electronic mail or other electronic services.)

- major, additional major(s), minor(s), department, college
- primary academic advisor name
- class level (freshman, sophomore, junior, senior, undergraduate, or graduate)
- dates of attendance (semester begin and end dates)
- enrollment status (e.g., full time, or half time)
- expected or date(s) of graduation and degree(s) awarded
- sorority or fraternity affiliation

For students participating in intercollegiate athletics, directory information also includes:

- height, weight
- sport(s) of participation

What are the other exceptions?

Under FERPA, Carnegie Mellon may release personally identifiable information from your education records without your prior consent to:

- school officials with legitimate educational interests ("School officials" are Carnegie Mellon employees in administrative, supervisory, academic or support staff positions; Carnegie Mellon trustees; individuals and companies with whom the university has contracted as its agent to provide a service instead of using university employees such as attorneys, auditors, or collection agencies; and individuals assisting school officials in performing their tasks. School officials have a "legitimate educational interest" if they need to review an education record in order to fulfill their professional responsibilities.);
- certain federal officials in connection with federal program requirements;
- organizations involved in awarding financial aid;

- state and local officials who are legally entitled to the information;
- testing agencies such as the Educational Testing Service, for the purpose of developing, validating, researching and administering tests;
- accrediting agencies, in connection with their accrediting functions;
- parents of dependent students (as defined in section 152 of the Internal Revenue Service Code);
- comply with a judicial order or subpoena (after making a reasonable effort to notify the student in advance of compliance so that the student can take protective action, except in cases where the university is legally required not to disclose the existence of the subpoena);
- appropriate parties in a health or safety emergency, if necessary to protect the health or safety of the student or other individuals;
- officials of another school in which the student seeks or intends to enroll;
- victims of violent crimes or non-forcible sexual offenses (the results of final student disciplinary proceedings);
- parents or legal guardians of students under 21 years of age (information regarding violations of university drug and alcohol policies);
- courts (records relevant to legal actions initiated by students, parents or the university);
- comply with federal laws concerning sex offenders and other individuals required to register under section 170101 of the Violent Crime Control and Law Enforcement Act of 1994.

## **5. Complaints**

If you believe the university has not complied with FERPA, you can file a complaint with the:

[Family Policy Compliance Office](#)

Department of Education

400 Maryland Avenue, S.W.

**Footnote:** Your Carnegie Mellon GUID (global user identification) number is also designated as directory information under FERPA, but does not contain personally identifiable information and therefore cannot be used by itself to determine your identity or to access your records.

## Student Return Policy

Students on leave wishing to return to Carnegie Mellon to resume their degree studies may do so under several conditions. In order to be considered for return from leave, a student must first obtain an Application for Return form from The HUB or their academic department. This application requires information from the student regarding the intended semester of return, current address information and information about their leave. This application must be submitted to their home department at least one month prior to the beginning of the semester.

Undergraduates may return within their same academic department within two years. After two years, students returning in the same academic department are subject to space constraints and academic performance review. Graduate students must negotiate their return with their home department and must follow their department policy.

The Application for Return requires approval of the student's academic department and dean. If a student's department chooses to deny the student's Application for Return, the student may appeal to their dean. Any constraints governing the student's eligibility to return will be specified directly on the application by the academic department and/or dean's office or the Office of Student Affairs.

Students who have taken courses elsewhere must submit an official transcript and course descriptions with their Application for Return. Transfer credit approval is determined by the academic department based on course level, performance and appropriateness to the student's curriculum requirements. Credit transfer is subject to college-specific policy. Failure to submit the necessary documents at the time of return will result in denial of transfer credit.

The process of returning is not completed until all necessary signatures on the Return form are obtained by the student and until all outstanding bills are paid. Enrollment Services will then notify the appropriate university offices of the student's return.

# Student Suspension/Required Withdrawal Policy

## ***Policy Statement***

University Suspension is a forced, temporary leave from the university. There are three types of suspension for students that apply to both graduate and undergraduate students:

***Academic Suspension*** is the result of poor academic performance or violation of academic regulations and is imposed by the student's college or academic department (see university and college academic policies).

***Disciplinary Suspension*** is the result of serious personal misconduct and is imposed by the Office of Student Affairs (see [The Word: Student Handbook](#)).

***Administrative Suspension*** is the result of failure to meet university financial obligations or failure to comply with federal, state or local health regulations and is imposed by Enrollment Services. (See [Student Accounts Receivable Collection Policy and Procedures](#) for financial obligations. Contact [University Health Services](#) for information about health regulations.)

Suspended students may not:

- register for courses
- attend classes
- live in student or fraternity/sorority housing
- use campus facilities, including athletic facilities, library and computer clusters
- participate in student activities
- be members of student organizations
- have student jobs

**(Note:** students on academic suspension may have a summer campus job if they accepted the job before they were suspended.)

## ***Employment***

Although suspended students may not hold student jobs, students on academic suspension may, under certain circumstances, have a non-student job with the university; students on disciplinary or administrative suspension may not.

To have a non-student job, students on academic suspension must receive approval from their associate dean (undergraduate students) or department head (graduate students) to ensure that the job will not violate their suspension terms. Students in violation of this will lose their degree student status, meaning they would have to reapply for admission to Carnegie Mellon through either Undergraduate Admission or the appropriate graduate department.

### ***Transfer Credit***

Suspended students may take courses elsewhere; however, they may receive transfer credit only if their college's and department's policies allow this.

### ***Appeals***

To appeal any action of this policy, the student may write to the following people:

***Academic Suspension*** - associate dean (undergraduate students) or department head (graduate students);

***Disciplinary Suspension*** - dean of student affairs;

***Administrative Suspension*** - vice president for enrollment, vice president for business and planning, and the dean of student affairs, in consultation with the student's associate dean.

### ***Returning from Suspension***

In order to return from a suspension, a student must have the following approval:

***Academic Suspension*** - associate dean (undergraduate students) or department head (graduate students);

***Disciplinary Suspension*** - dean of student affairs;

***Administrative Suspension*** - vice president for campus affairs or designate.

# Summary of Graduate Student Appeal and Grievance Procedures

## ***Introduction***

Set forth below is a summary of the processes available to graduate students who seek review of academic and non-academic issues. Generally, graduate students are expected to seek informal resolution of all concerns within the applicable department, unit or program before invoking formal processes. When an informal resolution cannot be reached, however, a graduate student who seeks further review of the matter is to follow these formal procedures. To the extent that these processes are set forth in official University policies, links to those statements of policy and more detailed description of processes and procedures are included. Where a graduate student's concerns implicate multiple policies or processes, the University reserves the right to decide which process shall apply in order to avoid duplicative and potentially conflicting processes and decisions, or in appropriate circumstances, the order in which multiple reviews may occur.

These appeal and grievance procedures shall apply to students in all graduate programs of the University. Students should refer to the online handbooks (or hard copy handbooks if applicable) for their particular programs for more detailed information about the administration and academic policies of the program. To the extent that these policies conflict in any way with policies, processes and procedures adopted at the College, Department or Program level, the policies set forth herein shall govern.

## ***Appealing Final Grades***

Final grades will be changed only in exceptional circumstances and only with the approval of the instructor and the department, unit or program. Grading is a matter of sound discretion of the instructor and final grades are rarely changed without the consent of the instructor who assigned the grade. The following circumstances are the unusual exceptions that may warrant a grade appeal: (a) the final grade assigned for a course is based on manifest error (e.g. a clear error such as arithmetic error in computing a grade or failure to grade one of the answers on an exam), or (b) the faculty or staff member who assigned the grade did so in violation of a University policy.

A graduate student who believes a final grade was assigned pursuant to (a) or (b) above should first present the case informally to the faculty or staff member responsible for the

course in which the student believes an inappropriate grade has been awarded. Grade appeals should be initiated as soon as possible but no later than one year after the final course grade was issued. If the student is not satisfied with the resolution at this first step, the student shall submit a formal, written appeal, with appropriate documentation to the head of the department in which the course was offered. The department head (or the program head if the department head chooses to delegate the decision to him/her) will issue a written decision on the appeal within 30 days, or as soon thereafter as practical. If the student is not satisfied with the decision of the department head (or program head), the student may submit a formal, written appeal, with appropriate documentation, within seven (7) days to the Dean of the college in which the course is offered. The Dean shall render a decision within 30 days, or as soon thereafter as practical. The decision of the Dean shall be final and not appealable.

### ***Summary of Levels of Appeal for Final Grades:***

- Informal discussion with the faculty member
- Formal written appeal to the department head (or the program head if the department head chooses to delegate the decision to him/her)
- Formal written appeal to the Dean
- Dean issues final non-appealable decision

See, also, [Carnegie Mellon University Grading Policies](#).

### ***Appeal of Academic Actions***

An "Academic Action" is an action by a program, unit or department based on a graduate student's academic performance or failure to satisfy academic program requirements. Examples of Academic Actions include, but are not limited to, academic probation, academic suspension, and dismissal/drop. Each college, department, or program may set its own academic requirements and standards for acceptable academic performance. These standards and benchmarks for performance are set forth in the online and/or hard copy handbooks for individual graduate programs.

Graduate students will be notified of an academic action in writing by the applicable department, unit, or program head or director, or designated committee. Graduate

students are encouraged to seek informal resolution of any concerns related to academic actions informally within the department, unit or program before filing a formal appeal.

Graduate students who wish to appeal an Academic Action must submit a formal, written appeal, with appropriate documentation, to the Dean of the College within seven (7) calendar days after receipt of written notice of the academic action by the department, unit, or program head or director, or designated committee. The Dean may delegate review of the matter to another individual or committee, including but not limited to one of the Associate Deans, the College Council or a specially constituted grievance committee who shall make a recommendation to the Dean. The Dean shall render a decision on the appeal within thirty (30) days or as soon thereafter as practical.

Graduate students who wish to appeal the written decision of the Dean must submit a formal written appeal, with appropriate documentation, to the Provost within fourteen (14) calendar days after receipt of the Dean's decision. A copy of the appeal must also be submitted to the Assistant Vice Provost for Graduate Education and to the Dean. The Provost may delegate review of the matter to another individual or committee, including but not limited to the Vice Provost for Education who shall make a recommendation to the Provost. The Provost shall render a decision on the appeal within thirty (30) days or as soon thereafter as practical. Decisions by the Provost are final and not appealable.

Generally, sanctions resulting from an Academic Action (e.g. probation, suspension, or dismissal /drop) take effect immediately, regardless of whether an appeal is filed. In exceptional circumstances, however, the appropriate Dean or the Provost may elect to hold sanctions in abeyance pending the resolution of an appeal.

### ***Summary of Levels of Appeal for Academic Actions:***

- Seek informal resolution within department, unit, or program
- Formal written appeal to the Dean
- Decision rendered by the Dean
- Formal written appeal to the Provost
- Provost issues final non-appealable decision

## ***Appeal from Academic Disciplinary Actions***

Academic Disciplinary Actions are sanctions and outcomes imposed when any student violates the University [Policy on Academic integrity](#) including cheating, plagiarism and unauthorized assistance.

The [Office of Community Responsibility](#) manages the Academic Disciplinary Process and provides resources to all students, faculty and staff. The process for appealing an academic integrity violation can be found under the [Academic Integrity Actions Index](#).

## ***Community Standards Violations***

As members of the University community, Carnegie Mellon students are expected to respect the rights of all students, faculty and staff and adhere to the policies outlined in the Student Handbook contained in [The Word](#), the [University Policies website](#), and any applicable college, department or graduate program handbooks.

If a student has observed a violation of university policy or law, or feels harmed by another student's misconduct (e.g. affecting his/her welfare, property, safety or security) he/she should file a report with the Dean of Student Affairs and/or University Police as appropriate.

The procedures for adjudicating community standards violations and for appealing the results are available in [The Word](#) under [Community Standards](#).

For more information about community standards and disciplinary procedures, please visit the [Community Standards website](#).

## ***Discriminatory and Sexual Misconduct***

The mission of Carnegie Mellon University is to cultivate a transformative educational experience for its Students that is committed to promoting and safeguarding their personal health and well-being. In addition, the mission is to create a collaborative environment open to the free exchange of ideas, where research, creativity, innovation, and entrepreneurship can flourish and where individuals can achieve their full potential. Consistent with the university's [Statement of Assurance](#), it is the policy of Carnegie Mellon University to maintain an academic and work environment that promotes the confidence to work, study, innovate, and perform without fear of discriminatory and sexual

misconduct. Such misconduct diminishes individual dignity, is contrary to the values of the university, and is a barrier to fulfilling the university's mission. It will not be tolerated at Carnegie Mellon University. This Policy contains grievance procedures that provide for the prompt and equitable resolution of Complaints alleging any action which would be prohibited by this Policy.

It is the responsibility of every member of the University community to foster an environment free of discriminatory and sexual misconduct. All members of the University community are encouraged to take reasonable and prudent actions to prevent or stop such behavior. In the event an Employee becomes aware of potential Prohibited Conduct, they should report the information to the [Office for Institutional Equity and Title IX](#) (the "IEX Office"). Section III of this Policy for more information about making a Report of Prohibited Conduct.

Graduate Students with concerns about Discriminatory or Sexual Misconduct should contact the Office for Institutional Equity and Title IX. Please see the university's [Discriminatory and Sexual Misconduct Policy](#) for more information.

#### Intellectual Property Disputes

Disputes concerning rights to intellectual property must be resolved according to the procedures set forth in the University's [Intellectual Property Policy](#).

#### Research Misconduct

Carnegie Mellon University is responsible for the integrity of research conducted at the University. As a community of scholars, in which truth and integrity are fundamental, the University has established procedures for the investigation of allegations of misconduct of research with due care to protect the rights of those accused, those making the allegations, and the University. The procedures for handling allegations of research misconduct are set forth in the [Policy for Handling Alleged Misconduct in Research](#) at Carnegie Mellon University.

For graduate students found responsible for research misconduct, the President of the University may impose specific sanctions up to and including expulsion. The imposition of sanctions is subject to the procedures for approval and/or appeal prescribed for [community standards violations](#).

### Suspension/Required Withdrawal

A University Suspension is a forced, temporary leave from the university. There are three types of suspension for students that apply to both graduate and undergraduate students:

- Academic Suspension is the result of poor academic performance or violation of academic regulations and is imposed by the student's college or academic department (see university and college academic policies).
- Disciplinary Suspension is the result of serious personal misconduct and is imposed by the Dean of Student Affairs (see [The Word/Student Handbook](#)).
- Administrative Suspension is the result of failure to meet university financial obligations or failure to comply with federal, state or local health regulations and is imposed by Enrollment Services. (See [Student Accounts Receivable Collection Policy and Procedures](#) for financial obligations. Contact [Student Health Services](#) for information about health regulations.)

The appeal procedures for each type of suspension are available as detailed below:

- Academic Suspension – See Section 4.3 above regarding Academic Action Appeals;
- Disciplinary Suspension – See [The Word: Student Handbook, Community Standards and Procedures: Appeals](#);
- Administrative Suspension – vice president for enrollment, vice president for business and planning, and the dean of student affairs, in consultation with the student's associate dean.

For more details see the [Student Suspension/Required Withdrawal Policy](#).

### General Grievances

The following grievance procedures are to be used for graduate student problems or concerns that are not covered by any of the policies or procedures set forth above. As such, these grievance procedures may not be used as a substitute for procedures contemplated under any other policy, including but not limited to, policies regarding academic actions; academic disciplinary actions; community standards; harassment; sexual harassment; intellectual property; research misconduct or any other policy.

Graduate students are expected to discuss any concerns or grievances initially with the faculty or staff member(s) involved. Students are strongly encouraged to seek informal resolution of grievances through consultations within the academic unit, department or program. Students may also seek assistance with the informal resolution of a grievance through the Vice Provost for Education.

If a grievance cannot be resolved informally with the faculty or staff member involved within the academic department, a student may submit a formal, written grievance to the head of the department, unit or program. If there is more than one student with a grievance on a particular matter, each student must submit a separate grievance. The department, unit, or program head, or director or designated committee will issue a written decision on the grievance within thirty (30) days or as soon thereafter as practical.

Graduate students who wish to appeal from the decision rendered at the department, unit or program level must submit a formal, written appeal to the Dean of the College within seven (7) calendar days after receipt of written notice of the decision by the department, unit, or program head, or director or designated committee. The Dean may delegate review of the matter to another individual or committee, including but not limited to one of the Associate Deans, the College Council or a specially constituted grievance committee who shall make a recommendation to the Dean. The Dean shall render a decision on the appeal within thirty (30) days or as soon thereafter as practical.

Graduate students who wish to appeal the written decision of the Dean must submit a formal written appeal to the Provost within seven (7) calendar days after receipt of the Dean's decision. A copy of the appeal must also be submitted to the Vice Provost for Education and to the Dean. The Provost may delegate review of the matter to another individual or committee, including but not limited to the Vice Provost for Education who shall make a recommendation to the Provost. The Provost shall render a decision on the appeal within thirty (30) days or as soon thereafter as practical. Decisions by the Provost are final and not appealable.

Summary of Levels of Appeal for General Grievances:

- Seek informal resolution within department, unit, or program

- Formal review by the appropriate department, unit, or program head, or director or designated committee
- Formal written appeal to the Dean
- Formal written appeal to the Provost
- Provost issues final non-appealable decision

## Taxation of Graduate Student Awards Policy

### ***I. Policy Statement***

Graduate student awards given by the university may be subject to U.S. federal, state and local income (wage) taxes and required withholdings. This Policy explains the U.S. federal, state and local income (wage) taxation and withholding for graduate student awards given by the university.

### ***II. U.S. Federal Personal Income Tax (and Tax Status)***

#### a. U.S. Citizens and Permanent Residents

To fulfill its legal obligations, the university treats graduate student awards by the university in the form of scholarships, fellowships, teaching assistantships, research assistantships and stipends as being subject to U.S. federal personal income tax as follows:

- If a graduate student is **not** a degree candidate, all award funds are subject to tax.
- If a graduate student **is** a degree candidate, the amount of any award used for tuition, fees and required books, supplies and equipment is **not** subject to tax. The amount used for other expenses such as room, board and personal travel **is** subject to tax.
- If a graduate student incurs business and/or travel expenses on the university's behalf and submits the expense reimbursement in compliance with the university's [Business and Travel Expense \(BTE\) Policy](#), these expenses are **not** subject to tax.

- The part of any award that represents payment for the graduate student's services such as teaching, research or other service (e.g., writing, administrative assistance, etc.) **is** subject to tax.

In computing graduate student taxable income for purposes of required tax withholdings and any required informational returns, the university can determine centrally the part of a graduate student's award that covers tuition and required university fees, since the university publishes these costs. If departments submit to the HR Service Center a monthly award amount in addition to tuition and required fees, the entire additional amount is subject to tax. It is the graduate students' responsibility to determine the portion of their award used for any additional required fees and expenses (e.g., books, supplies and equipment).

The university excludes the amount of the graduate student's award used for tuition and required university fees from the amount of taxable income shown on the graduate student's IRS Form W-2.

Graduate students who have questions about the U.S. federal personal income tax consequences of their graduate student awards should consult their own personal tax advisor or refer to Internal Revenue Service (IRS) Publication 970, "Tax Benefits for Education." Non-resident alien graduate students may also wish to review the "Students and Apprentices" section of IRS Publication 901, "U.S. Tax Treaties." These IRS publications, and more information about U.S. federal income taxes, may be found at [www.irs.gov](http://www.irs.gov).

#### b. Foreign Students and Permanent Residents

For U.S. federal income tax purposes, U.S. citizens and permanent residents are considered residents, but foreign graduate students may be considered residents or non-residents for tax purposes. Information on tax residency status may be found in IRS Publication 519, "U.S. Tax Guide for Aliens." Some foreign graduate students may benefit from specific tax treaties between the U.S. and their home countries. Information on tax treaties is contained in IRS Publication 901, "U.S. Tax Treaties." These IRS publications, and more information on U.S. federal income taxes, may be found at [www.irs.gov](http://www.irs.gov).

### ***III. Pennsylvania Personal Income Tax***

**The following applies only for those graduate students providing services within Pennsylvania.** Therefore, if the graduate student is providing services at a university location in another state as part of the degree requirements that state's income tax may be withheld from fellowship or stipend payments.

For purposes of Pennsylvania personal income tax and required withholdings, to fulfill its legal obligations, the university treats fellowship awards and stipends as taxable compensation for services if the recipient is required to apply his skill and training to advance research, creative work, or some other project or activity, **unless the recipient is a candidate for a degree and the same activities are required of all candidates for that degree as a condition to receiving the degree.** Thus, as long as the services rendered by a graduate student are a standard part of the degree requirements for all students in the student's program, the university will not withhold Pennsylvania personal income tax from the student's award/stipend. At the university, when graduate students are required to render services, those services are generally required to be rendered as a standard part of the degree requirements for the relevant degree program; as long as departments confirm that the services are required to be rendered as a standard part of the degree program, the university will not withhold Pennsylvania personal income tax from fellowship awards or stipends for students performing those services.

Further information about Pennsylvania personal income taxes may be obtained by visiting the [Pennsylvania Department of Revenue website](#).

### ***IV. City of Pittsburgh/Pittsburgh Public School District Earned Income Tax (Wage Tax)***

**The following applies only for those graduate students providing services within Pennsylvania.** Therefore, if the graduate student is providing services at a university location in another state as part of the degree requirements that state's income tax may be withheld from fellowship or stipend payments.

To fulfill its legal obligations, the university treats compensation that is subject to the Pennsylvania personal income tax (and required Pennsylvania personal income tax withholdings) as compensation that is subject to the City of Pittsburgh and Pittsburgh Public School District's local earned income (wage) tax (EIT). Therefore, if an award is not

considered by the university to be compensation for purposes of the Pennsylvania personal income tax, it is not considered compensation for the EIT. As a result, the university does not withhold EIT from graduate students for fellowship awards and stipends that are not subject to Pennsylvania personal income tax withholding.

Further information about the City of Pittsburgh and Pittsburgh Public School District EIT may be obtained by visiting the [City of Pittsburgh's Department of Finance website](#).

### ***V. Assistance in Responding to Correspondence from Taxing Bodies***

Should a graduate student receive correspondence from the Pennsylvania Department of Revenue and/or the City of Pittsburgh (on behalf of itself and the Pittsburgh Public School District) erroneously seeking to tax some or all of a fellowship award or stipend that was paid to the student for services rendered in Pennsylvania, and required to be rendered as a standard part of the degree requirements for the student's degree program, the graduate student's department should contact the HR Service Center to obtain a letter to complete on behalf of the graduate student citing the relevant Pennsylvania or EIT, as applicable, exclusion from tax.

If requested, the HR Service Center will provide the tax year and income paid to the department, and the remaining information will be completed by the department before providing it to the graduate student. The letter should be sent by the graduate student to the Pennsylvania Department of Revenue and/or the City of Pittsburgh, as the case may be.

## Temporary Emergency Closing of the University Policy

### ***Policy Statement***

Carnegie Mellon University has an important commitment to students, employees, parents, sponsors, benefactors and the community. Accordingly, the university will make every attempt to operate normally during severe weather or other emergencies. This includes holding classes, conducting research programs, and operating facilities and services. The university will attempt to operate normally unless such operation represents a clear threat to the health and safety of students, staff, faculty and visitors.

In the event of severe weather or other emergencies, the Emergency Preparedness and Response Team will assess the situation and provide recommendations to university leadership as to whether the university can continue normal operations, if normal operations including in-person classes, meetings, events and student activities should be conducted remotely, or if normal operations should be suspended. In the event it is decided that all normal operations on campus need to be conducted remotely or suspended, only the president (or the president's designated representative) has the authority to modify operations and/or close the university and to specify those persons or group of persons who are to refrain from coming to the Pittsburgh campus and/or who are free to leave work or class early. Staff members who provide essential services, such as certain members of Campus Operations (including Emergency Management, Facilities Management and Campus Services, Computing Services and University Police) and Student Affairs (including Dining Services, Housing Services, etc.) may be required to work.

### ***Standard Operations***

Unless the president announces the university is closed or government authorities require a closure, CMU faculty and staff are expected to carry out their work responsibilities. When the university is in session, faculty members are expected to meet their scheduled classes and other obligations. If a faculty member is unable to meet a scheduled class, they should notify their department head or supervisor and arrange for either a qualified substitute or some other manner to make up the course session and/or coverage of the necessary course material.

If the university is open but an essential staff member is unable to come to campus because of severe weather or other emergency, they should notify their supervisor as soon as possible to make alternative work arrangements.

### ***Announcement of Closing***

As soon as the president or the designee determines that university operations must be modified or closed due to an emergency, announcements will be issued via Carnegie Mellon email and the university's [emergency alert system](#), as well as posted to the [CMU homepage](#) and the [CMU Alert website](#). Media Relations staff may also inform local media organizations.

# Transfer Credit Evaluation and Assignment Policy

## ***Policy Statement***

The Policy on Grades for Transfer Courses, originally dated January 13, 1993, and approved by the Committee on Educational Programs and Student and Faculty Affairs states:

"Carnegie Mellon University offers students the opportunity to take courses for credit through a cross-registration program and through the receipt of transfer credit from other accredited institutions. The Carnegie Mellon University transcript will include information on such courses as follows:

Carnegie Mellon courses and courses taken through the university's cross-registration program will have grades recorded on the transcript and be factored into the QPA. All other courses will be recorded on this transcript indicating where the course was taken, but without grade. Such courses will not be taken into account for academic actions, honors or QPA calculations." *(Note: Suspended students may take courses elsewhere; however, they may receive transfer credit only if their college's and department's policies allow this.)*

## ***Definitions***

A Carnegie Mellon course is one conducted under Carnegie Mellon University regulations regarding course content and grading and taught by faculty under the supervision of a Carnegie Mellon academic unit. Courses taught by Carnegie Mellon faculty at a Carnegie Mellon campus and/or teaching location qualify.

Courses that are part of the regular offerings of other universities do not qualify, unless faculty at the other universities receive appointments at Carnegie Mellon and handle Carnegie Mellon students under Carnegie Mellon academic regulations.

Courses offered for cross-registration are those taken under the PCHE (Pittsburgh Council on Higher Education) agreement or under the Qatar Education City agreement.

Only official and final college or university transcripts will be accepted for the awarding of transfer credit. Grade reports, letters and the like are not acceptable. It is the responsibility of the Office of Undergraduate Admission, graduate admissions committees

or the University Registrar's Office to verify official transcripts. Official transcripts for the awarding of transfer credit will reside in the student's permanent university academic record in the University Registrar's Office.

It is the responsibility of each academic department to review and establish transfer course credit for their degree-seeking students.

## ***Transfer Credit Evaluation Procedure***

### Incoming Undergraduate First-Year and Transfer Students

External applicants applying for transfer to Carnegie Mellon will arrange for submission of:

- official transcripts to the Office of Undergraduate Admission as part of the admission process,
- official, final transcripts to the Office of Undergraduate Admission once they are admitted and prior to their beginning coursework at Carnegie Mellon.

As part of the admission process, Admission will verify the official final transcripts, and then send them to the appropriate academic unit responsible for college/department acceptance decisions. Each unit will be responsible for student's review of transfer credit and the establishment of transfer course credit for each individual student.

### Current Students

Current Carnegie Mellon students taking courses at other accredited institutions (colleges and universities), during either summer semesters or as part of exchange programs or other departmentally approved programs, or while on leave from Carnegie Mellon, must arrange for the submission of *official final* transcripts to the University Registrar's Office.

Upon receipt, the University Registrar's Office will verify these official transcripts and send a copy of the transcript to the appropriate academic unit responsible for that student's college/department transfer credit decisions. The official transcript will reside in the student's university academic folder in the University Registrar's Office. Each unit will be responsible for its students' transfer credit review and the establishment of transfer course credit for each individual student. Should a unit receive the official transcript, it must be sent immediately to the University Registrar's Office.

## Incoming Graduate Students

External applicants applying for admission to Carnegie Mellon will arrange for submission of:

- official transcripts to their graduate admission committee as part of the admission process,
- official, final transcripts to their graduate admission committee once they are admitted and prior to their beginning coursework at Carnegie Mellon.

As part of the admission process, the graduate admission committee will verify the official final transcripts and retain these official documents as part of students' academic record. Each unit will be responsible for students' review of transfer credit and the establishment of transfer course credit for each individual student.

## Tuition and Fees Adjustment Policy

### ***Application***

This policy applies to withdrawals and leaves of absence by all students (graduate, undergraduate, non-degree) for all semesters (Fall, Spring, Summer 1, Summer 2, Summer All).

### ***Official Date of Withdrawal/Leave of Absence***

For students who notify the University of their intent to withdraw or take a leave of absence, the official date of withdrawal or leave of absence is the earliest of:

- the date the student began the withdrawal or leave of absence process;
- the date the student notified his or her home department;
- the date the student notified the associate dean of his or her college; or
- the date the student notified the dean of students.

For students who do not notify the University of their intent to withdraw or take a leave of absence, the official date of withdrawal or leave of absence is:

- the midpoint of the semester; or

- the last date the student attended an academically-related activity such as an exam, tutorial or study group, or the last day a student turned in a class assignment.

### ***Tuition Adjustment***

Students who withdraw or take a leave of absence before completing 60% of the semester will be charged tuition based on the number of days completed within the semester. This includes calendar days, class and non-class days, from the first day of classes to the last day of final exams. Breaks which last five days or longer, including the preceding and subsequent weekends, are not counted. Thanksgiving and Spring Break are not counted. There is no tuition adjustment after 60% of the semester is completed.

The tuition adjustment schedule is available on [The HUB website](#). No tuition is charged to a student who is administratively withdrawn.

No tuition is charged to a student who is administratively withdrawn.

### ***Housing, Meal Plan & Fee Adjustments***

Housing charges are adjusted daily, beginning on check-in day and ending on the last day of final exams for the semester. Holiday breaks are included. The Winter Break period is not included.

Meal plan charges are adjusted weekly. Dine Express and Campus Express are assessed based upon actual use.

There is no adjustment of the PAT bus fee or Student Activity fee.

### ***Financial Aid Adjustment***

Federal and institutional financial aid is adjusted on the same basis as tuition. A student earns 100% of his or her federal or institutional financial aid when 60% of the semester is completed.

Student grants and non-federal outside scholarships are adjusted based upon the withdrawal policy of the agency awarding the funds.

# Undergraduate Course Meeting Policy

## ***Policy Statement***

No undergraduate classes, exams, academic, or artistic activities (including: extra help session, rehearsals, ROTC drill, make-up exams, etc.) are scheduled on weekdays between 4:50 p.m. and 6:50 p.m. Extra class time beyond those regularly scheduled must take place either before 4:50 p.m. or after 6:50 p.m.

## ***Undergraduate Course Meeting Procedure***

This policy is not intended to reduce the rigor or vigor of the academic or artistic programs, but to ensure that students have a period in which they are free to carry on co-curricular activities and athletics. Scheduling classes, exams, or other academic and artistic activities makes it very difficult for the students to meet these commitments. Since we are all concerned about the quality of life at the university, this time must be held for the students.

In planning the academic course schedule, the University Registrar's Office will review all courses to ensure that no academic or artistic courses be scheduled in this period. In addition, any requests to schedule additional or makeup course meetings, review and/or study sessions, teaching assistant office hours, or other course-related meetings, must take place either before 4:50 p.m. or after 6:50 p.m. This includes meetings in all university spaces, not just within University Registrar's Office-controlled classrooms.

As with any policy, there must be a means of making exceptions. Any academic or artistic activities which you feel must be scheduled between 4:50 p.m. and 6:50 p.m. must be cleared with the University Registrar. These requests must be in writing either as a memo or through email to [CMURegistrar@andrew.cmu.edu](mailto:CMURegistrar@andrew.cmu.edu). All requests must include the course relationship, intent for the requested meeting, and the reason why the meeting cannot be held either before 4:50 p.m. or after 6:50 p.m.

Any further clarification of this policy can be addressed to the Associate Vice President and Director of Enrollment Services.

## Withdrawal of a Degree Policy

The university reserves the right to withdraw a degree even though it has been granted should there be discovery that the work upon which it was based or the academic records in support of it had been falsified. In such a case the degree will be withdrawn promptly upon discovery of the falsification.

The background of the page is a complex, abstract pattern of thin, red, wavy lines. These lines intersect to form a dense, grid-like structure that undulates across the page, creating a sense of depth and movement. The overall color palette is a range of reds, from deep, dark tones to lighter, more vibrant hues where the lines are more densely packed.

# Academic Integrity Actions

# Academic Integrity Actions Procedures

Academic integrity actions are outcomes imposed when any student violates the [University Policy on Academic Integrity](#) including cheating, plagiarism, and unauthorized assistance.

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## Statute of Limitations

There is no statute of limitations that precludes course instructors from acting on the discovery of alleged violations either during the semester of enrollment in the course in question or after the course has concluded including after the student(s) has graduated.

## Important Definitions

- **Academic Advisor:** The individual designated in SIO/S3 as the primary major academic advisor. The academic advisor may be designated by the department to disseminate relevant correspondence related to academic integrity actions within the department according to departmental procedure.
- **Academic Integrity Actions:** Academic integrity actions are outcomes imposed for violations of the [University Policy on Academic Integrity](#) including cheating, plagiarism, and unauthorized assistance.
- **Academic Integrity Liaison:** Each department designates an individual who is trained by the Office of Community Responsibility to provide guidance to course instructors in cases of alleged violations of the [University Policy on Academic Integrity](#). Absent a departmental designation, the associate dean of the college in which the course is housed is the default liaison for consultation purposes.
- **Associate Dean:** The individual designated in SIO/S3 as the associate dean of the student's home college or a designee appointed by the named associate dean to act on their behalf.
- **Course Failure:** An assigned grade of "R" as outlined in the [University Policy on Grading](#).
- **Course Instructor:** Any person responsible for the instruction or grading of a course at the university as documented in the schedule of classes.
- **Department Head:** The university faculty or staff member who leads an academic department. In academic integrity cases in which the home department is an academic program, the program director is considered to be the department head.
- **Email:** The official Carnegie Mellon University email address designated in the university directory.

- **Moderator:** The student affairs staff member who facilitates an Academic Review Meeting and/or Academic Responsibility Panel. Moderators are appointed and trained by the Office of Community Responsibility. The meetings run at their discretion according to process guidelines.
- **Process Advisor:** As a staff member in the Office of Community Responsibility, the process advisor is responsible for the logistics of convening an Academic Review Meeting and/or Academic Responsibility Panel. The process advisor schedules the meeting/panel, assembles the meeting/panel, informs the involved parties of the procedures for the meeting/panel, and manages other administrative tasks.
- **Student:** Any person registered for, enrolled in, or auditing any course(s) at Carnegie Mellon University at the time of the alleged violation. An individual is also considered to be a student if they have been accepted for admission to the university but are not currently matriculating. Examples include, but are not limited to, students who are enrolled but not taking classes due to an academic break, medical leave, suspension, or other personal leave; students who were enrolled at the time of the incident; persons who demonstrate an intent to enroll by registering for courses; and students participating in study abroad programs. Because there is no statute of limitations for academic integrity violations and proceedings can be commenced after a student has left the university or graduated, "student" also includes former students.
- **Student's Home College:** The college designated in SIO/S3 as the student's college of enrollment.
- **Student's Home Department:** The department designated in SIO/S3 as the student's department of enrollment.
- **Support Person:** A person of the student's choosing who accompanies the student during the Academic Responsibility Panel. The support person does not participate in the proceedings but may advise the student and/or be present at an Academic Responsibility Panel. Registered support persons are not permitted to participate as witnesses in the same proceedings.

# Course-Level Review, Decision, and Action

Incidents of alleged violations of the [University's Policy on Academic Integrity](#) will be initially reviewed and adjudicated at the course level or the equivalent academic level for projects that involve research or creative inquiry. Investigations may be managed by the course instructor(s) or departmental designee. In all cases involving alleged violations of the [University Policy on Academic Integrity](#), the following procedures apply:

## Gathering Information

1. Suspected violations should be investigated within a reasonable timeframe, ideally within one to two weeks of discovering the alleged violation.
2. Instructors should notify the involved student(s) of the alleged violation(s) and provide the student(s) the opportunity to respond in an in person meeting or by phone or videoconference as circumstances warrant.
3. Course instructors may receive information from other individuals (e.g., students, staff, faculty) who possess direct information related to the alleged violation(s) under review. For example, someone may have observed the suspected incident or interacted directly with the involved student(s) before, during, or after the incident in question.
4. When discussing alleged violations with the involved student(s) or witnesses, instructors should avoid revealing the identity of other involved parties unless it is necessary in order to determine responsibility.
5. If a student does not respond to notification of an alleged violation(s) of the [University Policy on Academic Integrity](#), the matter may be reviewed in their absence by the course instructor after a reasonable period of time. In these circumstances, the course instructor may proceed with the determination of responsibility and outcome.

## Determining Responsibility and Course-Level Action

1. The course instructor will decide whether the suspected violation(s) occurred based on available evidence. At this stage, instructors are encouraged to consult with the department's designated academic integrity liaison, department/program head, the college dean's office or the Office of Community Responsibility regarding the nature of the

suspected violation(s), the nature of the evidence related to the alleged violation(s), and the range of outcomes under consideration.

2. When assessing responsibility for an academic integrity violation, the course instructor should apply a preponderance of the evidence standard. A preponderance of the evidence means that the course instructor has determined that it is more likely than not that the student has violated the [University Policy on Academic Integrity](#).
3. If the course instructor concludes that the student is responsible for the alleged violation(s), the course instructor should determine an outcome. The most severe outcome that can be assessed at this level of review and action is course failure although the instructors and/or department heads may recommend additional outcomes for consideration during an Academic Review Meeting.
4. Students who have pending or documented academic integrity actions may not drop the course in question (including the use of a voucher). Students who drop the course will be manually re-enrolled in the course and further outcomes may result.
5. In extremely rare circumstances a student may withdraw from the course in question provided they receive explicit approval from the course instructor, primary advisor and associate dean of their home college in consultation with the Office of Community Responsibility. Students who withdraw from a course without the proper permissions will be manually re-enrolled in the course and further outcomes may result.
6. Students who have pending or documented academic integrity actions may not change a course to P/NP (including the use of a voucher).

## Documenting and Reporting the Course-Level Decision

1. After determining responsibility and outcomes for a violation(s), the instructor should immediately and in writing via email notify the involved student(s) of the decision. If found responsible, the rationale for the determination of responsibility should be included in that notification. The outcome(s) that the course instructor has assessed should be noted as well. Students should also be informed of the opportunity to request an appeal and the procedures for doing so.
2. All documented violations of the [University Policy on Academic Integrity](#) should be reported to the Office of Community Responsibility upon completion of the investigation

and student notification. Reports may be submitted using the [Academic Integrity Reporting Form](#).

3. A copy of the email communication to the student should be included with the report. Course instructors are also encouraged to submit all evidence and supporting documentation.
4. Upon receipt of the violation report, the Office of Community Responsibility will notify the following individuals of the course-level decision and action:
  - Head of the student's home department
  - Associate dean of the student's home college
  - Academic advisor for the student
  - Head of department in which the course is registered (if different from the student's department)
  - Associate dean of the college in which the course is registered (if different from the student's college)
5. Students will receive official notification that the report has been received from the Office of Community Responsibility. The notification will include an invitation to meet with a process advisor in the Office of Community Responsibility to discuss the case, review the appeal process, and prepare for an Academic Review Meeting (if needed).
6. In addition to the above notifications, the Office of Community Responsibility will be responsible for coordinating all Academic Review Meetings, Academic Responsibility Panels, course-level decisions, and actions and documenting the violation in the student's university educational record consistent with the university policy on [Academic Integrity Actions Records Retention and Reporting](#).

## Appeals of Course-Level Action

When a student has received official notification of course-level action from the Office of Community Responsibility, a student has seven calendar days to request an appeal of course-level action. All requests for appeal must be submitted in writing to the Office of Community Responsibility.

The written appeal request must indicate whether the student is appealing the finding of responsibility, the outcome, or both, as well as the basis for the appeal itself. The basis of an appeal will be limited to one or more of the following:

- A gross error in procedural process that materially affected the outcome;
- Inconsistency between the available evidence and the finding(s) of responsibility in the course-level review;
- Stated course-level outcome(s) of failure in the course(s) that was not commensurate with the violation(s) of the [University Policy on Academic Integrity](#) for which the student was found responsible; and
- New information, which was not reasonably available at the time of the course-level review, merits re-consideration of the final disposition.

The vice president for student affairs or designee will review the written appeal request and determine whether, in their judgment, the appeal presents an appealable issue that warrants review by an Academic Responsibility Panel.

Should the vice president for student affairs or designee determine that sufficient grounds exist for further review, the Academic Responsibility Panel will adjudicate the appeal in a proceeding with the participation of the course instructor(s) or designee and the involved student, both of whom are required to participate in the proceedings. The purpose of the proceedings will be to make a recommendation to the vice provost for education or designee as to whether the course instructor's initial decision should be upheld, vacated, or modified based on a preponderance of the evidence standard. A preponderance of the evidence means that it is more likely than not that the student violated the [University Policy on Academic Integrity](#).

The course instructor(s) will be asked to provide all documentation related to the case if not already submitted, including the email to the student documenting the course-level action and supporting evidence related to the violation, to be considered by the Academic Responsibility Panel. Appropriate redaction will be made by the Office of Community Responsibility prior to the review.

In the event of an appeal at the end of a semester, an incomplete grade will be assigned pending the outcome of the appeal process.

## Multiple Violation Reports

An Academic Review Meeting is required in all cases in which a student has committed more than one violation of the University Policy on Academic Integrity that has been reported to the Office of Community Responsibility. When more than one violation has been reported about a student, the Office of Community Responsibility should notify the head of the student's home department. The student's department head or designee may recommend appropriate outcomes given multiple violations of the University Policy on Academic Integrity and document that recommendation in writing via email to the student and the Office of Community Responsibility. The departmental recommendation will then be reviewed during the Academic Review Meeting. If a recommendation is advanced by the department head or designee, they will be invited to participate in the Academic Review Meeting.

## Requests for Additional Action

An Academic Review Meeting is required in all cases in which a course instructor or a student's home department requests additional action beyond course failure. In these circumstances, the course instructor/student's department head or designee should notify the student in writing via email that additional outcomes are being requested given the severity of the policy violation. This notification may occur in the initial course-level action notification or in a subsequent communication. The request for additional action will then be reviewed during the Academic Review Meeting. If a request for additional action is advanced by the department head or designee, they will be invited to participate in the Academic Review Meeting.

## Academic Review Meeting

When a second (or higher) violation is reported to the Office of Community Responsibility (OCR) or there is a request for additional action and the violation is not being appealed, a meeting will be scheduled with the following individuals:

- Office of Community Responsibility academic integrity liaison of the student's home college or designee;
- Associate dean or designee of the student's home college;
- Associate dean of the college in which the course is registered (second violation) or designee;

- The student;
- The course instructor(s) or designee(s) for the violations will be invited but are not required to attend the meeting.
- The departmental representative or designee when appropriate.

This group will discuss the reported violations and the factors (including mitigating or aggravating circumstances) that led to these violations. The group will be provided access to all relevant documentation related to the violation(s) under review. After discussing the violations, the student and course instructor(s), if present, will leave the meeting and the college representatives will determine the appropriate outcome(s) for the number of violations that are being reviewed. The typical outcome(s) for a student with two violations of the [University Policy on Academic Integrity](#) includes a one or two-semester suspension and restorative outcomes. Additional and/or more severe violations may increase the length of separation, including the possibility of permanent separation (expulsion).

These outcome(s) will be communicated in writing to the student by the Office of Community Responsibility representative. The student or the course instructor and/or student's department head or designee may submit a request for appeal in writing to the Provost within seven (7) days of being notified of the outcome(s) under the following circumstances:

- The outcomes determined during the academic review meeting were not commensurate with the violation(s) of the [University Policy on Academic Integrity](#) for which the student is responsible;
- New information, which was not reasonably available at the time of the review, merits re-consideration of the final disposition.

The Office of Community Responsibility will send a copy of the final outcome letter to the following individuals:

- Course instructor(s)
- Head of the student's home department
- Associate dean of the student's home college
- Academic advisor for the student

- Head of department in which the course(s) is housed (if different from the student's department)
- Associate dean of the college in which the course(s) is housed (if different from the student's college)

## Academic Responsibility Panel

The Academic Responsibility Panel has jurisdiction in the following cases:

- Appeals of a course instructor's course level as outlined above; or
- Upon recommendation from an Academic Review Meeting.

### Composition of the Academic Responsibility Panel

Each case presented to the Academic Responsibility Panel is heard by two student panel members and three faculty panel members. The panel for any case must include at least one member from the college(s) represented by the parties. When possible, the panel for any case must include at least one student member at the same degree level as the student who is appearing before the panel. In addition, a trained moderator presides over the proceedings.

The pool of faculty members will be appointed by the Office of Community Responsibility in consultation with the Faculty Senate. The pool of student members will be appointed by the Office of Community Responsibility in consultation with the Undergraduate Student Senate and the Graduate Student Assembly following a selection process coordinated by the Office of Community Responsibility. All appointees must complete initial and ongoing training in order to be eligible to serve as panel members. Once trained, panel members may complete up to three years of service, and panel members may be reappointed.

Members participating in a given hearing will be selected from a list of eligible individuals based upon availability and disinterestedness in the case or parties following review by the student who is appearing before the Academic Responsibility Panel. The involved course instructor(s), department head or designee, and panel members will also have the opportunity to note any potential conflicts of interest. The following circumstances would preclude participation as a panel member in a given proceeding:

- Individuals with prior substantial knowledge of or interest in the student(s) involved or the case(s) under review
- Individuals who may appropriately be a witness in the case(s)

## Conduct of the Academic Responsibility Panel

The university attempts to ensure fair, timely and orderly procedures in all academic integrity actions. To provide for this, the university has adopted the following procedural protections. The following is a list of procedures that govern the Academic Responsibility Panel process:

### ***Panel Preparation and Scheduling***

1. In advance of the panel, the members of the Academic Responsibility Panel will be provided a pre-read packet, which may include, among other relevant items: the initial academic integrity violation report(s); any supporting documentation related to the violation(s); any departmental recommendations for outcomes (if applicable); and a written introduction from the student to the panel.
2. The student may submit a written introduction and up to three written letters of support by a date specified by the process advisor. Additional information that is relevant to the review including email correspondence and assignment documentation may be submitted by the student. This documentation will be included in the pre-read packet at the discretion of the process advisor.
3. It is the responsibility of the Office of Community Responsibility to ensure that times set for panels are reasonable and that necessary accommodations have been offered to both the student and course instructor(s) whenever appropriate. In turn, both the student and course instructor(s) will be expected to demonstrate good-faith efforts in their participation with this process, particularly in relation to the scheduling of the panel. If a case involves exigent circumstances that prevent the student or course instructor(s) from participating in a scheduled panel, the panel will be rescheduled.
4. Every effort will be made to avoid conflicts with a student's class schedule when identifying a meeting date and time. When circumstances warrant, classroom attendance, except for scheduled examinations, will not be a reasonable excuse for delaying a review.

## ***Panel Process and Procedures***

- 1.** Information provided during an Academic Responsibility Panel must be kept confidential by all parties. The student is provided a full copy of all materials provided to the panel for the purpose of preparing for or use during the proceedings, consistent with the privacy rights of those involved. These materials are to be kept confidential and may be shared only with permission from the process advisor. These documents may not be duplicated nor utilized for any other purpose. All materials provided to the student must be returned to the process advisor at the conclusion of the proceedings and no copies may be retained.
- 2.** In order to maintain a fair and equitable process, no new materials will be accepted on the day of the panel, with the exception of (i) oral testimony and (ii) such other evidence as may be necessary to rebut new oral testimony. Evidence offered as rebuttal will be accepted only at the discretion of the moderator.
- 3.** Prior to the panel, the student, course instructor(s), department head or designee who are participating in the review will be asked if they believe that the potential panel members are biased for or against them. If a perceived bias is reasonable, replacements will be chosen for the panel and the proceedings will be rescheduled.
- 4.** The student has the right to have one person of their choosing present at the panel. The student is required to notify the process advisor of their support person of choice at a date specified by the process advisor which will be at least three days in advance. If legal counsel will serve in this capacity, a representative of the University's Office of General Counsel will typically be present for the proceedings to provide assistance to the Academic Responsibility Panel, moderator, and/or process advisor as needed. Legal counsel or any other support person, if present, will not be permitted to participate in the proceedings but may advise the student and/or be present at a panel. In the event that one party to a case is accompanied by legal counsel without advance notice, a panel may be postponed until all parties to the case have had an opportunity to have counsel present. Registered support persons are not permitted to participate as witnesses in the same proceedings.
- 5.** Witnesses may be registered for each Academic Responsibility Panel by the student, course instructor(s), and department head. Witnesses should be able to provide direct

information related to the case(s) under review by the panel, such as direct observation of the incident(s) in question and/or direct interaction with any of the parties before, during, or after the incident in question. All parties are required to notify the process advisor of their registered witnesses at a date specified by the process advisor which will be at least three days in advance of the Academic Responsibility Panel.

- 6.** In scheduling a panel, consideration should be given to allow that witnesses significant to the case being heard are available to the panel. If a witness is not available to be called by the panel in person or via telecommunication, they may submit a written statement to the process advisor to be reviewed if the panel requests information from the witness. Except in documented extenuating circumstances, students are expected to make a good-faith effort to provide information to the Academic Responsibility Panel when called as a witness.
- 7.** It is within the discretion of the panel to determine whether they wish to hear from registered witnesses. Witnesses will be questioned one at a time by the panel and subsequently dismissed. They should be present in the proceedings only when providing information to the panel.
- 8.** All proceedings before a panel, except the deliberation of the panel, will be recorded. The audio or audiovisual (if available) recording will be kept in accordance with [Academic Integrity Actions Records Retention Practices](#).
- 9.** During the actual proceedings, the student has the right to be present during the presentation of evidence.
- 10.** Students and course instructors who are participating in a panel will be limited to ten minutes for their introduction and five minutes to provide a summary following the presentation of evidence.
- 11.** The majority of the proceeding will consist of questioning from the panel members for all parties as well as registered witnesses. Students and course instructors will also have the opportunity to present questions for the panel's consideration.
- 12.** Following each summary, the panel will enter closed deliberations.

**13.** In cases that involve appeals of course-level action, no information about the student's prior violations of the [University Policy on Academic Integrity](#) will be shared with the Academic Responsibility Panel.

### ***Panel Outcome Determination and Notifications***

- 1.** A representative of the Office of Community Responsibility will be responsible for notifying the vice provost for education or designee in writing of the recommendation of the panel.
- 2.** The vice provost for education or designee makes the decision in the case, informed by the recommendation of the Academic Responsibility Panel. The vice provost for education or designee may accept, reject or modify the recommendation, or may remand the matter to a new Academic Responsibility Panel for review.
- 3.** After reviewing the recommendations and rendering a decision, the vice provost for education or designee will notify the student in writing of their decision.
- 4.** The Office of Community Responsibility will send a copy of the final decision letter to the following individuals:
  - Course instructor(s)
  - Head of the student's home department
  - Associate dean of the student's home college
  - Academic advisor for the student
  - Head of department in which the course(s) is housed (if different from the student's department)
  - Associate dean of the college in which the course(s) is housed (if different from the student's college)
- 5.** Parents of a student will not be notified of any academic integrity actions.
- 6.** Academic integrity actions will be recorded in the student's educational record in the Office of Community Responsibility in accordance with [Academic Integrity Actions Records Retention Practices](#). When academic integrity actions affect eligibility for enrollment, designation on other university records will be made. Academic integrity

actions records will not be released as a part of the official transcript of the academic record of a student.

## Appeals of Academic Responsibility Panel Decisions

A student may appeal a decision delivered by the vice provost for education or designee following the Academic Responsibility Panel process by submitting a request for appeal in writing via email to the provost of the university within seven calendar days of the official notification of the decision.

In cases in which the Academic Responsibility Panel decision pertains to an appeal of course-level action, the course instructor may submit a request for appeal in writing to the provost of the university within seven calendar days of the official notification of the decision. In cases in which the Academic Responsibility Panel decision pertains to matters that involve multiple violation reports or requests for additional outcomes, the course instructor and/or student's department head or designee may submit a request for appeal in writing to the provost of the university within seven calendar days of the official notification of the decision.

The written appeal request should indicate whether the appeal concerns the finding(s) of responsibility, the outcome(s), or both, as well as the basis for the appeal itself. The basis of an appeal will be limited to one or more of the following cases:

- A gross error in procedural process that materially affected the outcome;
- The outcomes imposed during the second-level review were not commensurate with the violation(s) of the [University Policy on Academic Integrity](#) for which the student was found responsible;
- Inconsistency between the available evidence and the finding(s) of responsibility in the course-level action appeal review or review meeting;
- New information, which was not reasonably available at the time of the proceeding, merits re-consideration of the final disposition.

The appeal officer designated by the provost will review the written appeal request and determine whether, in the judgment of the appeal officer, the appeal presents an appealable issue that warrants review by the appeal officer. In reviewing an appeal, the appeal officer, at

their discretion, may meet with individuals and review information relevant to the basis of the appeal.

In the event of an appeal, outcomes will normally be held in abeyance pending the outcome of the appeal. In the event of an appeal at the end of a semester that affects recording of a course grade, an incomplete grade will be assigned pending the outcome of the appeal process.

Appeals will be decided by the appeal officer in a timely manner as circumstances warrant. While an appeal is under review, the appeal officer will update the student, course instructor, and department head as necessary about the anticipated timeline.

The appeal officer may consult with others as needed during review of the case.

The appeal officer has the authority to accept, vacate or modify the decision as they deem appropriate for resolution of the matter being appealed. The appeal officer may reconvene the initial Academic Responsibility Panel or remand the matter to a new Academic Responsibility Panel for review.

## Outcomes

The academic integrity actions outcomes defined below comprise a range of official actions that may be imposed during the Academic Review Meeting or Academic Responsibility Panel. One or more of these actions may be imposed in response to a given situation. This list is not comprehensive, as other outcomes may be imposed as appropriate.

Non-compliance with outcomes may result in further action through the academic integrity actions process.

The determination of outcomes will be guided by the following considerations: the interests of the community, the learning and development of the student(s), the impact of the violation(s), and any mitigating or aggravating circumstances.

### Outcomes Related to Student Standing

These outcomes clarify the student's standing with the university. Additional violations of the [University Policy on Academic Integrity](#) may result in more severe outcomes including separation from the university.

- **Status Warning:** A student may be issued a status warning for a designated period of time. This status may entail specific requirements to be met. When a student is on a status warning, they may be subject to suspension or expulsion in the event of further academic integrity actions.
- **Suspension:** A student may be barred from enrollment for a designated period of time. Students who have been suspended are required to absent themselves from the campus (including university housing, offices, labs, and libraries) within a maximum of two days after the action and to remain off the campus for the duration of the time specified as outlined in the [University Policy on Student Suspension/Required Withdrawal](#). A student on suspension is not eligible for student employment by the university during the period of suspension.
- **Drop from Academic Program:** The student is required to sever entirely their connection with the academic program in which they are currently enrolled. Students who have been dropped from an academic program may apply for admission to other academic programs at the university.
- **Expulsion:** The student is required to sever entirely their connection with the university. Students who have been expelled are required to absent themselves from university property (including but not limited to university housing, offices, labs, and libraries) within a maximum of two days after the action and to remain off the campus permanently. Students who have been expelled from the university may not apply for admission to other academic programs at the university or participate in any events or activities (including virtual) sponsored by Carnegie Mellon University, including those for alumni.
- **Loss of Privilege:** Students may lose specified privileges, which may include access to facilities, services, and/or the opportunity to participate in university activities.

## Restorative Outcomes

These outcomes require the student to take action to repair the harm their behavior caused or to utilize university resources to support their continued engagement in the community. Failure to complete these outcomes by the specified deadline may result in additional academic integrity actions.

- **Behavioral Assessments and Recommendations:** The university may require a student to meet with a health care provider and/or a mental health care provider within a specified time frame. If so, the student will be expected to fully participate in any relevant assessment requested by the provider and complete any consequent recommendation(s), such as a treatment plan or a referral to another provider. The student is also expected to provide the appropriate releases to allow the university to confirm compliance with this outcome.
- **Community Service:** The university may require uncompensated service (a specified number of hours) to the university or an off-campus, non-profit organization as an outcome. The particular assignment of duties must be pre-approved by the process advisor. Students must provide appropriate documentation verifying their completed community service.
- **Educational/Developmental Assignment:** The university may require a student to complete a project, assignment, or activity to promote the student's education and development. These assignments are determined by the Academic Responsibility Panel or during an Academic Review Meeting and completion is monitored by the process advisor. Assignments may include but are not limited to: reflection or research paper, development of a presentation, discussion with an individual, apology letter, reading assignment, etc.

## Withholding a Degree

A degree from the university signifies not only successful completion of academic requirements but also compliance with the university's standards and good standing as a member of the university community. The dean of students or designee may direct that a degree not be certified by the university registrar and therefore not awarded pending the resolution of academic integrity actions proceedings, including completion of all outcomes.

## Academic Integrity Actions Records Retention and Reporting

Records of academic integrity actions proceedings are confidential and are not released without the consent of the current/former student or as otherwise required or authorized by law or

court order. With the exceptions as noted below, records of academic integrity actions proceedings are retained for three years after final separation of the student from the university. For purposes of determining final separation from the university, a student must be separated for three continuous years. If a student reenrolls in any student program within three years, the calculation of the final separation date will reset.

Consistent with the [Student Privacy Rights Policy](#), for purposes of academic integrity actions record checks, information from these records is only provided, with appropriate authorization as necessary, for three years after final separation from the university (as defined above) provided the student has fulfilled all obligations to the university.

The file may be maintained indefinitely and reported longer than three years after the student separates from the university if a student has not fulfilled all obligations or has not resolved a pending academic integrity violation.

Records of academic integrity actions proceedings resulting in the permanent separation of a student from the university (e.g., expulsion) will be maintained and reported indefinitely.

Case-specific questions regarding timeframes for academic integrity actions records retention and reporting can be directed to the [Office of Community Responsibility](#).



# Community Policies

# Community Policies

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## 3D Printer and Other Technologies Acceptable Use

To advance its educational mission, Carnegie Mellon University makes new and emerging technology available to its students, faculty and staff as they pursue scientific, academic and artistic excellence. At the same time, fundamental to the support of the university's larger mission and vision is ensuring an environment and culture of safety for the campus community, as well as compliance with applicable laws and University Policies.

3D printers are state-of-the-art tools that nurture creativity and discovery and, as such, the university supports the use of the 3D printers. However, 3D printing technology may be used to produce articles that violate applicable federal, state and local laws and regulations, as well as University Policies. To advance its educational mission, Carnegie Mellon University makes new and emerging technology available to its students, faculty and staff as they pursue scientific, academic and artistic excellence. At the same time, fundamental to the support of the university's larger mission and vision is ensuring an environment and culture of safety for the campus community, as well as compliance with applicable laws and University Policies.

3D printers or other technology on campus may not be used, in one or more printing or production instances, to create materials that:

- Are in violation of Carnegie Mellon's [Deadly Weapons Policy](#).
- Are any combination of parts either designed or intended for use in converting any device into a deadly weapon.
- Are in violation of any other Carnegie Mellon Policy (e.g., [Code of Business Ethics and Conduct](#)).
- Are prohibited by federal, state or local law (e.g., [Undetectable Firearms Act of 1988](#)).
- Violate another's intellectual property rights, and do not fall within the [Fair Use Doctrine](#).
- Violate [EHS guidelines on 3D printing safety \[pdf\]](#) and [CMU EHS Authorization Policy](#).

## Activities

Extracurricular activities involving the students at Carnegie Mellon are under the direction of Student Government, the Division of Student Affairs, or particular university departments, committees and councils advisory to the officers of the university. In general, students are

charged with exercising a high level of self-governance related to extracurricular activities and, toward that end, are encouraged to form organizations that serve their extracurricular needs and qualify for recognition and/or funding by Student Government.

Financial statements of all organizations or committees that collect money, in any manner, from the student body must be available to Student Government if requested. Publication in The Tartan of a statement of the accounts may be required at the option of Student Government.

## Eligibility

Extracurricular activities are any campus social, cultural, service or honorary organization; varsity, club or intramural athletic team; or any other campus organization recognized by Student Government or by the university whether participation is on the intercollegiate level or within the university. Students who meet the criteria outlined in the Student Activities Fee policy will be assessed the [Student Activities Fee](#) by Enrollment Services, and will be eligible to participate in extracurricular activities upon paying the fee. Enrolled students who seek to participate in extracurricular activities but who are not automatically assessed the Student Activities Fee must pay the relevant semester(s) fee prior to participation.

## Active Medical Assistance Protocol (AMAP)

The university community values the health and safety of its members and supports an environment that encourages students to come to the assistance of one another. To that end, the active medical assistance protocol (AMAP) sets forth an expectation that community members take responsible action when the health or safety of a student is compromised due to overuse or abuse of alcohol or illicit substances and/or as a result of hazing activity.

Amnesty from community standards (disciplinary) action and University Police action related to alcohol, drugs, and/or hazing will be granted to the student(s) for whom medical assistance is

summoned and for those seeking assistance from emergency services personnel<sup>[18]</sup> when all of the following conditions apply:

1. An individual contacted emergency services personnel based on a reasonable belief that another individual was in need of immediate medical attention, which had not otherwise been sought, to prevent death or serious bodily injury;
2. The individual seeking assistance provided their own name to the emergency services personnel; and
3. The individual requesting assistance remained with the individual believed to be in need of medical assistance until emergency services personnel arrived and the help seeker's presence was no longer required.

Those seeking assistance will be assured that the university will likewise not pursue community standards action against any individual or organization involved in such an incident when appropriate medical attention is sought. Students who are directly involved in attending to the compromised student until help arrives will also be granted amnesty from community standards action. Students involved in an incident for which amnesty is granted will be provided appropriate developmental interventions designed to engender individual health and safety. These interventions may require an individual to follow through on specific recommendations, though it does not create a reportable University record. Failing to meet with a university representative or follow-through with a developmental intervention(s) in a timely manner may result in referral to the community standards process.

In cases where help is indicated but not sought, the most severe community standards action will be taken against all students involved.

This protocol extends the university's previously established Alcohol Medical Assistance Protocol (1999) and is consistent with the spirit of several Pennsylvania laws that include safe harbor provisions granting immunity from criminal prosecution for seeking medical assistance.

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<sup>18</sup> *Emergency services personnel include Carnegie Mellon University Police, CMU Student Emergency Medical Services, and other university staff (i.e. Resident Assistants, Community Advisors and Housefellows) who serve in an emergency response capacity. Amnesty may similarly be granted, per the laws cited in this protocol, when non-university law enforcement agencies and/or emergency medical services are contacted though the university will generally have no authority in those determinations.*

## Related Pennsylvania Laws:

### ***Pennsylvania Alcohol Medical Safe Harbor – 18 Pa.C.S. § 6308.1***

**(a) Immunity for the individual seeking medical attention for another.** — An individual shall not be prosecuted for an offense under section 6308(a) (relating to purchase, consumption, possession or transportation of liquor or malt or brewed beverages) if the individual can establish all of the following:

- (1)** A law enforcement officer first became aware of the individual's violation of section 6308(a) because the individual placed a 911 call or contacted campus security, police or emergency services, based on a reasonable belief that another individual was in need of immediate medical attention to prevent death or serious bodily injury.
- (2)** The individual reasonably believed the individual was the first individual to make a 911 call or contact campus security, police or emergency services and report that the other individual needed immediate medical attention to prevent death or serious bodily injury.
- (3)** The individual provided the individual's own name to the 911 operator or equivalent campus security officer, police or emergency services personnel.
- (4)** The individual remained with the other individual needing medical assistance until a campus security officer, police or emergency services personnel arrived and the need for the individual's presence ended.

**(b) Immunity for the individual needing medical attention.** — An individual needing medical attention shall be immune under this section from prosecution for an offense under section 6308(a) if another individual reported the incident and remained with the individual needing medical attention and is entitled to immunity under this section.

**(c) Limitations.** — The immunity described under this section shall be limited as follows:

- (1)** This section may not bar prosecuting a person for an offense under section 6308(a) if a law enforcement officer learns of the offense prior to and independent of the action of seeking or obtaining emergency assistance as described in subsection (a).
- (2)** This section shall not interfere with or prevent the investigation, arrest, charging or prosecution of an individual for a crime other than an offense under section 6308(a).

(3) This section shall not bar the admissibility of evidence in connection with the investigation and prosecution for a crime other than an offense under section 6308(a).

(4) This section shall not bar the admissibility of evidence in connection with the investigation and prosecution of a crime with regard to another defendant who does not independently qualify for immunity under this section.

**(d) Good faith immunity.**— In addition to any other applicable immunity or limitation on civil liability, a law enforcement officer, campus security officer or prosecuting attorney who, acting in good faith, charges a person who is thereafter determined to be entitled to immunity under this section shall not be subject to civil liability for the filing of the charges.

**(e) Definitions.** — As used in this section, the following words and phrases shall have the meanings given to them in this subsection unless the context clearly indicates otherwise:

- **“911 system.”** A system, including enhanced 911 service and a wireless e-911 system, that permits a person dialing 911 by telephone to be connected to a public safety answering point, via normal telephone facilities, for the reporting of police, fire, medical or other emergency situations.
- **“Campus security officer.”** An employee of an institution of higher education charged with maintaining the safety and security of the property of the institution and persons on the property.
- **“Emergency services personnel.”** Individuals, including a trained volunteer or a member of the armed forces of the United States or the National Guard, whose official or assigned responsibilities include performing or directly supporting the performance of emergency medical and rescue services or firefighting.
- **“Law enforcement officer.”** A person who by virtue of the person’s office or public employment is vested by law with a duty to maintain public order or to make arrests for offenses, whether that duty extends to all offenses or is limited to specific offenses, or a person on active State duty under 51 Pa.C.S. § 508 (relating to active duty for emergency).

## ***Pennsylvania Drug Overdose Response Immunity – 35 P.S. § 780-113.7***

**(a)** A person may not be charged and shall be immune from prosecution for any offense listed in subsection (b) and for a violation of probation or parole if the person can establish the following:

**(1)** law enforcement officers only became aware of the person's commission of an offense listed in subsection (b) because the person transported a person experiencing a drug overdose event to a law enforcement agency, a campus security office or a health care facility; or

**(2)** all of the following apply:

**(i)** the person reported, in good faith, a drug overdose event to a law enforcement officer, the 911 system, a campus security officer or emergency services personnel and the report was made on the reasonable belief that another person was in need of immediate medical attention and was necessary to prevent death or serious bodily injury due to a drug overdose;

**(ii)** the person provided his own name and location and cooperated with the law enforcement officer, 911 system, campus security officer or emergency services personnel; and

**(iii)** the person remained with the person needing immediate medical attention until a law enforcement officer, a campus security officer or emergency services personnel arrived.

**(b)** The prohibition on charging or prosecuting a person as described in subsection (a) bars charging or prosecuting a person for probation and parole violations and for violations of section 13(a)(5), (16), (19), (31), (32), (33) and (37).

**(c)** Persons experiencing drug overdose events may not be charged and shall be immune from prosecution as provided in subsection (b) if a person who transported or reported and remained with them may not be charged and is entitled to immunity under this section.

**(d)** The prohibition on charging or prosecuting a person as described in this section is limited in the following respects:

- (1) This section may not bar charging or prosecuting a person for offenses enumerated in subsection (b) if a law enforcement officer obtains information prior to or independent of the action of seeking or obtaining emergency assistance as described in subsection (a).
- (2) This section may not interfere with or prevent the investigation, arrest, charging or prosecution of a person for the delivery or distribution of a controlled substance, drug-induced homicide or any other crime not set forth in subsection (b).
- (3) This section may not bar the admissibility of any evidence in connection with the investigation and prosecution for any other prosecution not barred by this section.
- (4) This section may not bar the admissibility of any evidence in connection with the investigation and prosecution of a crime with regard to another defendant who does not independently qualify for the prohibition on charging or prosecuting a person as provided for by this section.
- (e) In addition to any other applicable immunity or limitation on civil liability, a law enforcement officer or prosecuting attorney who, acting in good faith, charges a person who is thereafter determined to be entitled to immunity under this section shall not be subject to civil liability for the filing of the charges.
- (f) As used in this section, the following words and phrases shall have the meanings given to them in this subsection unless the context clearly indicates otherwise:
- **“911 system.”** A system, including enhanced 911 service and a wireless E-911 system, that permits a person dialing 911 by telephone to be connected to a public safety answering point, via normal telephone facilities, for the reporting of police, fire, medical or other emergency situations.
  - **“Campus security officer.”** An employee of an institution of higher education charged with maintaining the safety and security of the property of the institution and the persons on the property.
  - **“Drug overdose event.”** An acute medical condition, including, but not limited to, severe physical illness, coma, mania, hysteria or death, which is the result of consumption or use of one or more controlled substances causing an adverse reaction. A patient’s condition shall be deemed to be a drug overdose if a prudent

layperson, possessing an average knowledge of medicine and health, would reasonably believe that the condition is in fact a drug overdose and requires immediate medical attention.

- **“Emergency services personnel.”** Individuals, including a trained volunteer or a member of the armed forces of the United States or the National Guard, whose official or assigned responsibilities include performing or directly supporting the performance of emergency medical and rescue services or firefighting.
- **“Law enforcement officer.”** A person who by virtue of the person’s office or public employment is vested by law with a duty to maintain public order or to make arrests for offenses, whether that duty extends to all offenses or is limited to specific offenses, or a person on active State duty under 51 Pa.C.S. Section 508 (relating to active duty for emergency).

### ***Pennsylvania Hazing Medical Safe Harbor – 18 Pa.C.S. § 2810***

**(a) Immunity for the individual seeking medical attention for another.** — An individual shall not be prosecuted for an offense under this chapter if the individual can establish all of the following:

- (1)** A law enforcement officer first became aware of the individual’s violation of this chapter because the individual placed a 911 call or contacted campus security, police or emergency services, based on a reasonable belief that another individual was in need of immediate medical attention to prevent death or serious bodily injury.
- (2)** The individual reasonably believed the individual was the first individual to make a 911 call or contact campus security, police or emergency services and report that an individual needed immediate medical attention to prevent death or serious bodily injury.
- (3)** The individual provided the individual’s own name to the 911 operator or equivalent campus security officer, police or emergency services personnel.
- (4)** The individual remained with the individual needing medical assistance until a campus security officer, police or emergency services personnel arrived and the need for the individual’s presence had ended.

**(b) Derivative immunity for the individual needing medical attention.** — An individual needing medical attention shall be immune under this section from prosecution

for an offense under this chapter or section 6308(a) (relating to purchase, consumption, possession or transportation of liquor or malt or brewed beverages) only if another individual against whom probable cause exists to charge an offense under this chapter reported the incident and remained with the individual needing medical attention and the other individual qualifies for a safe harbor under this section.

**(c) Limitations.** — The safe harbors described under this section shall be limited as follows:

**(1)** This section may not bar prosecuting a person for an offense under this chapter if a law enforcement officer learns of the offense prior to and independent of the action of seeking or obtaining emergency assistance as described in subsection (a).

**(2)** This section shall not interfere with or prevent the investigation, arrest, charging or prosecution of an individual for a crime other than an offense under this chapter or section 6308(a).

**(3)** This section shall not bar the admissibility of evidence in connection with the investigation and prosecution for a crime other than an offense under this chapter or section 6308(a).

**(4)** This section shall not bar the admissibility of evidence in connection with the investigation and prosecution of a crime with regard to another defendant who does not independently qualify for a safe harbor under this section.

**(d) Civil immunity.**— In addition to any other applicable immunity or limitation on civil liability, a law enforcement officer, campus security officer or prosecuting attorney who acting in good faith, charges a person who is thereafter determined to be entitled to immunity under this section shall not be subject to civil liability for the filing of the charges.

## Advertising on Campus – Graffiti and Poster Policy of Student Government

In order to more effectively communicate when events and programs are happening on campus, the following Student Government Graffiti and Poster Policy was established (revised

April 20, 2010). The following is a summary of the policy which can be found in its entirety on the [Student Government Policies page](#).

## Purpose and Scope of Policy

Carnegie Mellon University is a community where many different opportunities are available outside the classroom. As a result, groups compete for the use of effective advertising space on campus. The Student Government Graffiti and Poster Policy helps to regulate the use of advertising space on Carnegie Mellon University's Pittsburgh campus.

## Noting the Use of Student Activities Fees

If one hundred (100) percent of the budget for a student organization, activity or event is financed by the Activities Fee, then all advertising and printed material associated with that organization, activity or event must include the phrase "Funded by your Student Activities Fee".

If the Activities Fee finances a portion of the budget for a student organization, activity or event, but less than one hundred (100) percent of that budget, then all advertising and printed material associated with that organization, activity or event must include either the phrase "Funded in part by your Student Activities Fee", or "Funded by your Student Activities Fee".

## Graffiti

Graffiti is not a permissible form of advertising on Carnegie Mellon University's campus. Graffiti is defined as any defacement of Carnegie Mellon University property, the defacement of posters hung on campus bulletin boards, and/or the use of drawings or messages in a public space that are libelous in nature or violate the Carnegie Mellon Code. Graffiti is distinguished from painting the fence and chalking on Carnegie Mellon University sidewalks. Permissible forms of advertising on Carnegie Mellon University's campus include chalking, painting the fence and distributing posters and banners.

## Chalking

Chalking is only permitted on sidewalks. Chalking is not permitted in areas that are not directly exposed to rainfall, including covered sidewalks and vertical portions of outdoor stairs. Chalking of this sort is a form of graffiti. The sidewalk chalk used for chalking must be water-soluble and must be removable by the natural elements. Products such as spray chalk, washable crayons, and other semi-permanent products deemed not removable by the natural elements are considered a form of graffiti.

## Painting the Fence

Painting the Fence, a long standing tradition at Carnegie Mellon University, is not considered graffiti so long as only paintbrushes are used. The use of spray paint, airbrushes, paint rollers, and similar tools to paint the Fence is a form of graffiti. While painting the Fence, all painting materials must be kept within the gravel area surrounding the Fence. Painting anything other than the Fence is a form of graffiti.

## Posters

Carnegie Mellon University recognized groups, organizations, academic and administrative departments, and students are only permitted to post active posters on the Student Government bulletin board. Posters are not permitted on doors, walls, and/or windows at Carnegie Mellon University. Locations of permitted bulletin boards can be found on the Student Government website. Posters must meet the following criteria:

- The posted items do not exceed a size of 11" x 17";
- The name and contact information of the sponsoring Carnegie Mellon University recognized group, organization, department, or member of the campus community is clearly indicated on the poster, unless that poster has been registered with the Graffiti and Poster Policy Administrator via the Student Senate Campus Life Committee and/or the Graduate Student Assembly Vice President of Campus Affairs;
- There is a maximum of one (1) active poster per event, per bulletin board location;
- New posters are not posted over other active posters;

- The posted items are removed from bulletin board locations no more than seven (7) days after they are no longer active posters.

## Banners

Student organizations are permitted to hang banners on Doherty Hall through the following procedure:

- All banners must be approved by the Office of Student Activities.
- Space for large banners that are hung over the entrance to Doherty Hall can be reserved on a first come, first serve basis, through the Office of Student Activities.
- Banners posted on the outside wall of Doherty Hall must be removed within forty-eight (48) hours after the event advertised on the banner. If no event is advertised, the banner must be removed no later than thirty (30) days after its initial posting on Doherty Hall.

## Enforcement Summary

This policy should be reviewed in its entirety [online](#).

The Student Government Graffiti and Poster Policy Administrator will monitor Student Government bulletin boards and report any violations and/or graffiti to the appropriate parties. Groups or individuals violating this policy will be notified in writing, noting if a fine is being assessed and the process for appealing that fine.

## Advertising in the Cohon University Center

Those who want their poster to appear on the bulletin board location near the Cohon University Center Information Desk shall submit two posters per event to the Information Desk. This board is maintained by Cohon University Center administration and only posters submitted to the Desk will be displayed; all others will be removed. All other bulletin boards in the Cohon University Center are subject to the regulations set forth by the Director of the Cohon University Center.

# Alcohol and Drug Policy

## I. Policy Statement

Carnegie Mellon University is committed to maintaining a safe and healthy community that supports the academic mission of the institution. In keeping with this commitment, the university permits the use of alcohol or drugs within its community only in a manner that is legal, responsible, and consistent with the expectations outlined in this policy. Further, the university makes available [information and resources](#) so that its community members are positioned to assist anyone whose personal well-being may be negatively impacted due to misuse of alcohol or drugs.

This policy applies to all members of the university community, including all faculty, staff and students. This policy also applies to contractors, volunteers and visitors while on university property (whether owned or leased) or while being paid or reimbursed with university funds. This policy focuses on compliance with laws in the United States and the Commonwealth of Pennsylvania. However, as a global university with operations throughout the world, Carnegie Mellon is equally committed to compliance with all applicable alcohol and drug laws in all jurisdictions in which the university operates.

## II. Policy on Illegal Drugs

The unlawful manufacture, possession, distribution, sale, or use of drugs is prohibited at the university. This prohibition applies to the unlawful possession, distribution, sale, or use of illegal narcotics, prescription drugs, and other illegal drugs. It is a violation of this policy for prescription drugs to be provided to or used by someone other than the person for whom they were prescribed. It is also a violation of this policy for prescription drugs to be used in a manner for which they were not prescribed.

The university complies with all applicable federal, state and local laws. The U.S. federal Drug Free Schools and Communities Act of 1989 requires institutions of higher education that receive federal funds to comply with U.S. federal drug laws. Although some state and local governments have legalized the use of various forms of marijuana, federal law continues to prohibit the manufacture, possession, distribution, sale, or use of marijuana.

As such, in accordance with U.S. federal law, all forms of marijuana, including prescription medical marijuana, are prohibited on all university property (whether owned or leased) and in connection with all university programs.

Faculty, staff, and student-workers are prohibited from being under the influence of any drugs (including prescription drugs) that cause impairment and impact the ability of employees to perform their jobs. University employees with a license to operate specialized vehicles or equipment (e.g., commercial driver's license or pilot's license) must follow all applicable rules prohibiting the use of drugs before and/or while operating the vehicle/equipment.

### III. Policy on Alcohol

The unlawful manufacture, possession, distribution, sale, or use of alcohol is prohibited at the university.

All members of the university community are expected to comply with applicable laws regarding the possession, consumption, transportation, and distribution of alcohol. Except as set forth below or as otherwise prohibited by applicable departmental-level rules, the lawful consumption of alcoholic beverages on university property (whether owned or leased) and/or in connection with university programs by individuals of legal drinking age (21 years or older in United States) is permitted by the university. In these circumstances, however, the university expects faculty, staff, students, contractors and all other visitors to conduct themselves, both individually and collectively, in a responsible manner and in compliance with this policy.

The consumption of alcohol and/or the possession of open containers of alcohol are prohibited (i) while outdoors on university property, (ii) while inside university facilities in common areas, theaters, galleries, dining facilities, or other spaces that are accessible by the public, (iii) while in classrooms, labs, studios, or other instructional spaces when a course is in session, and (iv) at all on-campus athletic facilities. However, alcohol may be served and consumed in these locations where permitted under [Section IV](#) of this policy concerning Social Host and Alcohol Event Registration.

All university employees, including faculty, staff, and student-workers, are expected to observe the highest standards of ethical and professional conduct. Faculty, staff and

student-workers who are of legal drinking age who choose to engage in the consumption of alcohol are expected to do so responsibly. Faculty, staff, and student-workers are prohibited from working while intoxicated or impaired. Furthermore, faculty, staff, and student-workers are prohibited from consuming alcohol in a manner that in any way impairs the performance of job duties, endangers the physical well-being of oneself or others, or could result in the damage of property (in most circumstances, employees are to refrain from consuming alcohol when performing their normal academic, administrative, technical, or professional duties). University employees with a license to operate specialized vehicles or equipment (e.g., commercial driver’s license or pilot’s license, etc.) must follow all applicable rules prohibiting the use of alcohol before and/or while operating the vehicle/equipment.

### ***Sale of Alcohol***

In all cases, Carnegie Mellon complies with the law of the applicable jurisdiction regarding the sale of alcohol. Under Pennsylvania law, a liquor license is required to sell alcohol. The university does not possess a liquor license. As such, alcohol may not be directly or indirectly sold in connection with any university program or activity in Pennsylvania unless the alcohol is sold and/or served by a third-party that possesses a valid liquor license and, if necessary, an off-premises catering permit. The indirect sale of alcohol includes, but is not limited to, the following:

- The sale of tickets, entrances fees, or required donations to attend an event where alcohol is served; and
- The use of drink tickets in connection with paid admission to an event where alcohol is served.

## **IV. Social Host and Alcohol Event Registration**

A “University Event with Alcohol” is a university event where alcohol will be served either (1) on campus, or (2) off-campus where the alcohol is paid for directly, in whole or in part, with University funds, or where reimbursement, in whole or in part, is made for the purchase of alcohol using University funds. Notwithstanding the foregoing, the following activities are not University Events with Alcohol for purposes of Social Host and registration requirements (however, the other provisions of this Alcohol and Drug Policy still apply):

- i. consumption of alcohol by students of legal drinking age in an on-campus private residence;
- ii. consumption of alcohol in an on-campus private residence that is leased, rented or otherwise occupied by an employee of the university, where no students are expected and/or permitted to attend (excluding students who are relatives of the employee);
- iii. consumption of alcohol in a Private Office with a door and lock that is occupied by no more than four (4) faculty and/or staff members and where no students are present, and
- iv. any events registered through the process that fraternities and/or sororities are required to use in order to host an event with alcohol.

As detailed in the [Social Host & Alcohol Event Registration Procedures \[pdf\]](#), a University Event with Alcohol must be registered with and approved in advance by the Office of the Dean of Students, and at least one Social Host must be designated for the University Event with Alcohol. These procedures set forth the requirements for University Events with Alcohol, the requirements for Social Hosts, and the types of events exempt from these requirements.

The Social Host for each University Event with Alcohol is responsible for (1) ensuring that alcohol is served only to individuals who are of legal drinking age (2) ensuring that individuals who are visibly intoxicated are not served alcohol, and (3) oversight of the event consistent with the Social Host Responsibility Guidelines set forth in the [Social Host & Alcohol Event Registration Procedures \[pdf\]](#).

The university will provide a legal defense and/or indemnity to any individual who serves as a Social Host of a University Event with Alcohol, pursuant to the [Social Host & Alcohol Event Registration Procedures \[pdf\]](#), and subject to the attached [Terms and Conditions for Social Host Defense and Indemnity \[pdf\]](#).

The rights of faculty and Trustees and Officers of the University who serve as Social Hosts are not governed by the [Terms and Conditions for Social Host Defense and Indemnity \[pdf\]](#). Rather, faculty defense and indemnity rights continue to be governed by [Article VIII of the University By-Laws](#) concerning Professional Protection Regarding Faculty Members. Defense and indemnity rights of Trustees and Officers of the University continue to be

governed by Article IX of the University By-Laws concerning Liability and Indemnification of Trustees and Officers.

## V. Sanctions & Medical Amnesty

Faculty, staff, and students who violate this policy may be subject to disciplinary action up to and including suspension, expulsion, and/or termination of employment. Visitors to the university who violate this policy may be removed from university property and university events. Individuals who violate this policy may also be referred for criminal prosecution, though criminal charges are not a prerequisite for sanctions under this policy. Information regarding the state and federal criminal penalties for violations of drug and alcohol laws, as well as information regarding the health risks associated with the use of drugs and alcohol, is available in the University's annual [Alcohol and Drug Brochure \[pdf\]](#).

The university community values the health and safety of its members and supports an environment that encourages students to come to the assistance of one another. As specified in the [Active Medical Assistance Protocol](#) students will be granted amnesty from university disciplinary action and University Police action when assistance from emergency services personnel is appropriately sought for individuals in need of immediate medical attention due to alcohol or drug use. In the Commonwealth of Pennsylvania, similar amnesty from criminal prosecution is also available to individuals pursuant to 18 Pa.C.S. § 6308.1 and 35 P.S. § 780-113.7.

## VI. Resources

The university provides the following resources to individuals seeking assistance relating to the abuse of alcohol or drugs.

- [Counseling & Psychological Services](#) — Counseling and Psychological Services (CaPS) is available as a resource to students for initial assessment of drug and alcohol use, and referrals to off campus outpatient and inpatient treatment programs.
- [University Health Services](#) — University Health Services (UHS) also provides students with initial assessment of drug and alcohol use and referrals to CaPS or off-campus treatment programs, in addition to substance abuse prevention education, through its Office of Health Promotion. Individual sessions are offered alongside online programs to

assist students in assessing their own usage patterns and reducing the risks associated with substance abuse. UHS also facilitates the [Collegiate Recovery Community](#) at the university to support and connect students and their allies who are choosing sobriety. Information about appropriate community support groups is available through CaPS and UHS. Some of the support programs available in the Pittsburgh area include: Alcoholics Anonymous, Narcotics Anonymous, Al-Anon and the Adult Children of Alcoholics Network of Greater Pittsburgh.

- [Employee Assistance Program](#) — Carnegie Mellon has established an Employee Assistance Program (EAP), sponsored and paid for by the university, to facilitate employees' efforts to resolve problems that can affect job performance and general well-being. EAP services include counseling and support relating to substance abuse.

## Broadcasting

All students who participate in commercial, off-campus television or radio broadcasts, webcasts or podcasts and use the Carnegie Mellon name should consult with the Media Relations Department. These students should contact Media Relations at 412-268-2900 prior to their participation.

## Code of Business Ethics and Conduct Policy

### Authority

Carnegie Mellon University has various well-established policies and principles (some of which are referenced throughout this Code of Business Ethics and Conduct) which apply to different aspects of the University's business and operations. As a result of the enactment and/or issuance of various laws, regulations and/or other legal, contractual, or proposal requirements, it is necessary to re-state some of these various policies, principles, procedures, and guidelines into one Code of Business Ethics and Conduct. This Code is updated periodically to account for new or updated University policies, principles, procedures, and guidelines and/or new or updated laws, regulations and/or other legal, contractual, or proposal requirements.

## Applicability

**This Code applies to faculty and staff. This Code also applies to students when working for the University or when otherwise participating (or when proposed or expected to participate) in a sponsored project. These individuals are referred to in this Code as “members of the University community.”**

## Introduction and Purpose

The University’s mission to create and disseminate knowledge and art through research and creative inquiry, teaching, and learning requires all members of the University community to maintain the highest ethical and professional standards in all domains. Accordingly, all members of the University community subject to the Code are expected to honor this Code.

This Code reflects the University’s well-established policies, principles, procedures, and guidelines governing the behavior of all members of the University community subject to the Code, and is intended to function as a useful summary of ethical principles and to emphasize the importance of observing these principles. As such, this Code draws on the ethical and behavioral standards set forth in many separate University policies, principles, procedures, and guidelines as well as applicable laws and regulations. This Code supplements but does not supplant other applicable University policies, principles, procedures, and guidelines including, but not limited to, official University Policies, the Faculty Handbook, the Staff Handbook, the Word, and guidelines issued by the University’s Office of the Vice President for Research (OVPR) and/or its Office of Research Integrity and Compliance (ORIC)

## Code of Business Ethics and Conduct

**1. Ethical and Professional Conduct.** All members of the University community are expected to observe the highest standards of ethical and professional conduct, and to conduct all business and related professional activities in good faith and with fairness, accuracy, integrity and respect for others. The foregoing includes the requirement for all members of the University community engaged in research activities to engage in the responsible conduct of research, and prohibits those members from engaging in

research misconduct, including fabrication, falsification or plagiarism in proposing, performing or reviewing research, or in reporting research results.

All members of the University community are also expected to act with due recognition of their position of trust and loyalty with respect to the University, and its students, research sponsors and donors. When in doubt about the propriety of a proposed course of action, a member of the University community should seek counsel from colleagues, supervisors or University administrators who can assist in determining the right and appropriate course. Existing University policies, principles, and guidelines on ethical and professional conduct include without limitation:

- [Handling Alleged Misconduct in Research Policy](#)
- [Faculty Handbook: Statement on Academic Integrity](#)
- [Staff Handbook, Section II. 1: Employment Policies and Procedures - Our Expectations \[pdf\]](#)
- [Human Subjects in Research Policy](#)
- [Foreign Corrupt Practices Act Guidance](#)
- [Academic Integrity](#) (as applicable)
- [Policy Against Retaliation](#)

**2. Respect for Others.** The University embraces diversity as a core value and is committed to establishing a campus culture that reflects a fundamental respect for different ways of living, working and learning. The University also is committed to the principle of non-discrimination, and does not tolerate discrimination or harassment on the basis of race, color, national origin, sex, handicap, religion, creed, ancestry, belief, age, veteran status, sexual orientation or gender identity. Existing University policies, principles, and guidelines involving respect for others include without limitation:

- [Statement of Assurance](#)
- [Disorderly Conduct](#)
- [Freedom of Expression](#)
- [Discriminatory and Sexual Misconduct Policy \(Interim\)](#)
- [Equal Employment Opportunity/ADA](#)
- [Workplace Threats and Violence](#)
- [Riotous and Disorderly Behavior](#)
- [Consensual Intimate Relationship Policy Regarding Undergraduate Students](#)

- [Deadly Weapons](#)
- [Policy on the Protection of Children in Carnegie Mellon University Programs, Activities and Facilities](#)
- [Privacy of Faculty Offices](#)
- [Smoke-less Campus Policy](#)

**3. Conflicts of Interest and Commitment and Research Disclosures.** A conflict of interest occurs when a member of the University community is in a position to influence a decision where such member might directly or indirectly receive a financial and/or other benefit or give improper advantage to associates. A conflict of commitment arises when a member of the University community's involvement in outside activities substantially interferes with such member's commitment to the University. All members of the University community should use good judgment, professional commitment and ethics to protect themselves and the University from potential conflicts of interest or commitment. In order to support the University's research compliance program, members of the University community must make disclosures of conflicts of interest, conflicts of commitment, financial interests, and/or other outside activities (which could include, but not necessarily limited to, disclosures related to information in biographical sketches and/or current and pending (other) support) as and when required by University's OVPR and/or its ORIC. Consistent with University policies, members of the University community should also discuss and document any potential conflict of interest or commitment with the member's supervisor or University administrators who can assist in determining the right and appropriate course. The disclosure by a member of the University community to the member's supervisor or University administrators should occur even if the matter was required to be disclosed to the University's OVPR and/or its ORIC. Existing University policies, principles, and guidelines involving conflicts of interest and commitment and/or research disclosures include without limitation:

- [Consulting by Faculty](#)
- [Special Service Payments for Internal Consulting Activities](#)
- [Policy on Conflict of Interest/Commitment](#)
- [ORIC – Conflict of Interest](#)
- [Compliance with Financial Conflict of Interest Requirements in Research](#)

- [Conflict of Interest Policy — Board of Trustees/Officers/Key Employees](#)
- [Conflict of Interest Policy — Investment Committee of the Board of Trustees](#)

**4. Compliance with Laws and Regulations.** The University is subject to numerous laws and regulations that govern the various activities of the University as an employer, government contractor and institution of higher education. All members of the University community are expected to familiarize themselves with the federal, state and local laws and regulations that apply to their activities and conduct themselves in compliance with such laws and regulations. Noncompliance, even when inadvertent, can have severe consequences to the members involved and the University, including civil liability, loss of funding, reputational harm and, in extreme cases, criminal prosecution or sanctions. Questions about the interpretation or applicability of law or regulations should be directed to the University's Office of the General Counsel.

**5. Compliance with Policies, Procedures, and Guidelines.** All members of the University community are expected to familiarize themselves with and follow applicable University policies, procedures, and guidelines. As part of this, each member of the University community also is expected to follow the policies, procedures, and guidelines enacted by the academic or administrative unit within which the member is working at the University. Questions about a specific policy, procedure, or guideline should be directed to the individual or office responsible for oversight of that policy, procedure, or guideline. Existing University policies, procedures, and guidelines include without limitation:

- [University Policies](#)
- [Faculty Handbook](#)
- [Staff Handbooks and HR Policies](#)
- [Information Security](#)
- [Environmental Health & Safety](#)
- [Office of Research Integrity and Compliance](#)

**6. Authority to Commit the University and Compliance with Agreements.** In the ordinary course of its business of education and research, the University enters into

various agreements, such as contracts, grants, licenses, gifts, purchase orders and other binding obligations, from federal and non-federal sources. Entering into an agreement by the University, including sponsored research funding, creates a legal obligation on the part of the University to comply with the terms and conditions of that agreement, including applicable laws and regulations. Therefore, only individuals who have authority delegated by an appropriate University official are authorized to enter into agreements on behalf of the University.

All members of the University community are expected to act in good faith and adhere to all agreements and other binding obligations undertaken by the University. In particular, members of the University community involved in sponsored research activities must strictly adhere to all contractual obligations (including adhering to applicable laws and regulations) related to those activities. Existing University policies, principles, and guidelines involving authority to commit the University and compliance with agreements include without limitation:

- [Signature Authority for Legally Binding Commitments and Documents](#)
- [Research Proposals: Government, Corporations and Foundations](#)
- [Sponsored Research Policies and Procedures](#)
- [Business and Travel Expense Policy](#)
- [Charging Sponsored Programs Policy](#)
- [Cost Transfer for Sponsored Programs Policy](#)
- [Intellectual Property Policy](#)
- [Naming Gifts](#)
- [Purchasing Policy](#)
- [Policy for Use of Carnegie Mellon University Trademarks](#)

**7. Appropriate Treatment of Confidential and Private Information.** Members of the University community may have access to confidential, proprietary or private information of various types, including student records, employee records, University business information, personally identifiable information, intellectual property and other information subject to contractual or legal obligations of confidentiality. All

members of the University community must follow all applicable legal, contractual and policy restrictions on the use, disclosure and safeguarding of such information. Existing University policies, principles, and guidelines involving appropriate treatment of confidential information include without limitation:

- [Carnegie Mellon University Information Security Program Outline related to the Gramm-Leach-Bliley Act](#)
- [Health Insurance Portability and Accountability Act \(HIPAA\)](#)
- [Information Security](#)
- [Privacy of Faculty Offices](#)
- [Student Privacy Rights](#)
- [Financial Records Retention Policy](#)
- [Payment Card Acceptance Policy](#)
- [University Advancement Data Confidentiality and Usage](#)

#### **8. Appropriate Use of University Resources and Accurate Financial Reporting.**

University resources are reserved for University business purposes. Therefore, all members of the University community are expected to ensure that University resources, such as funds and other property are used appropriately for the benefit of the University and in compliance with applicable laws and regulations and University policies, principles, procedures, and guidelines. When required by their job responsibilities, members of the University community must record, allocate, document and/or report revenue, expenditures, time, effort and other information in an accurate, complete and timely manner. All entries in University's books and records, including departmental accounts and individual expense reporting, must accurately reflect each transaction. Existing University policies, principles, procedures, and guidelines involving appropriate use of University resources and accurate financial reporting include without limitation:

- [Computing](#)
- [Cost Transfer Policy for Sponsored Programs](#)
- [Intellectual Property Policy](#)

- [Property Accounting Policy](#)
- [Business and Travel Expense Policy](#)
- [Petty Cash](#)
- [Recharge Service Center Policy](#)
- [Charging Sponsored Programs Policy](#)
- [Purchasing Policy](#)
- [Responsibilities for Managing Carnegie Mellon University Financial Assets](#)
- [Separation of Individual's and Institution's Interests](#)
- [Artistic Properties Collection](#)
- [Gift Acceptance, Counting and Reporting Policy](#)
- [Historic Records](#)
- [Membership Dues for Professional Organizations](#)
- [Property Accounting](#)
- [Responsibilities for Managing University Financial Assets](#)

**9. Reporting Suspected Violations.** Each member of the University community has the responsibility to ask questions, seek guidance and report suspected violations of this Code or any other applicable law or regulation, contractual or other obligation of the University or of University policy or procedure. Individuals are encouraged to report suspected violations through standard management channels, such as to their immediate supervisor or other appropriate University officials. However, an individual who for any reason feels uncomfortable reporting a suspected violation through established channels may file an anonymous report through the University's Ethics Reporting Hotline:

**CARNEGIE MELLON UNIVERSITY ETHICS REPORTING HOTLINE**

**TOLL FREE: 844-587-0793**

Via the Internet: [cmu.ethicspoint.com](http://cmu.ethicspoint.com)

Reports of suspected violations may be made confidentially, and even anonymously, although the more information that is given, the easier it is to investigate the reports. A report of a suspected violation is a service to the University and will not in itself jeopardize employment with the University. That is, no person who makes a good faith report of a suspected violation will be reprimanded or retaliated against in any way.

**10. Consequences of Violations.** Violations of this Code or any other applicable law or regulation, contractual or other obligation of the University or University policy or procedure may carry disciplinary or other consequences, including dismissal.

## Deadly Weapons Policy

### Objectives

This Policy is part of a broad initiative aimed at maintaining the university as a safe place for students, faculty, staff and visitors. The prohibition of deadly weapons on campus is a proactive step toward reducing the risk of injury or death due to the intentional, accidental, inexpert or improper use of firearms.

### Statement

Deadly weapons are not permitted on any property owned or controlled by the university.

For the purposes of this policy, a deadly weapon is any device designed to produce death or serious bodily injury. Deadly weapons include, but are not limited to:

- Firearms, whether loaded or unloaded
- Pellet, flare, tranquilizer, stun, spear and dart guns
- Knives with blades larger than that of a folding pocket knife.
- Switchblades
- Daggers
- Striking instruments, including clubs, truncheons, blackjacks, metal knuckles and sap gloves

- Martial arts weapons, including nunchakus, tonfas, staffs and throwing stars
- Bow and arrow combinations
- Explosive devices, including hand grenades, bombs, black powder, smokeless powder, percussion caps, friction primers and pyrotechnic fuses.

The definition of deadly weapons under this policy does not include devices such as commercially available aerosol dispensers of non-lethal chemical irritants, pocket knives or general tools not designed as weapons.

This prohibition against deadly weapons applies equally to those carried by persons with a government-issued permit or license. The only exceptions to this policy are those listed below.

## Exceptions

This policy does not apply to:

- Commissioned Carnegie Mellon police officers
- Other duly-appointed law enforcement officers
- Members of the United States armed forces when on duty
- Any trained security personnel when approved in advance by the Chief of Police or his designee.

It is recognized that there may be activities related to the educational mission of the university (e.g., physical fitness activities or theatrical productions) that may appear to violate the letter but not the intent of this policy. In such cases, the department or organization coordinating the activity is responsible for obtaining written approval from the Chief of Police or his designee, in advance, to conduct the activity. Such approval may extend for up to one year at a time.

## Violations

Persons who possess deadly weapons in violation of this policy will be required by University Police to remove the weapons and/or themselves from university property.

Any university student, faculty or staff member who violates this policy shall be subject to action in accordance with university disciplinary policies and procedures for students, faculty and staff. Further, possession of a deadly weapon in violation of federal, state or local laws will be referred to University Police or other appropriate law enforcement authorities and may result in legal sanctions.

Call University Police at ext. 8-2327 to report violations or suspected violations of this policy.

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## I. Policy Statement

The mission of Carnegie Mellon University is to cultivate a transformative educational experience for its students that is committed to promoting and safeguarding their personal health and well-being. In addition, the mission is to create a collaborative environment open to the free exchange of ideas, where research, creativity, innovation, and entrepreneurship can flourish and where individuals can achieve their full potential. Consistent with the university's [Statement of Assurance](#), it is the policy of Carnegie Mellon University to maintain an academic and work environment that promotes the confidence to work, study, innovate, and perform without fear of discriminatory and sexual misconduct. Such misconduct diminishes individual dignity, is contrary to the values of the university, and is a barrier to fulfilling the university's mission. It will not be tolerated at Carnegie Mellon University. This Policy contains grievance procedures that provide for the prompt and equitable resolution of Complaints alleging any action which would be prohibited by this Policy.

It is the responsibility of every member of the University community to foster an environment free of discriminatory and sexual misconduct. All members of the University community are encouraged to take reasonable and prudent actions to prevent or stop such behavior. In the event an Employee becomes aware of potential Prohibited Conduct, they should report the information to the Office for Institutional Equity and Title IX (the "IEX Office"). See [Section III](#) of this Policy for more information about making a Report of Prohibited Conduct.

The Policy prohibits the types of misconduct listed below and defined in [Section VII.A](#) (referred to collectively as "Prohibited Conduct"):

- Discrimination (including Disparate Treatment);
- Discriminatory Harassment;
- Sexual Harassment, including
  - Quid Pro Quo Sexual Harassment;
  - Hostile Environment Sexual Harassment;
- Sexual Assault;

- Dating Violence;
- Domestic Violence;
- Stalking;
- Retaliation; and
- Violation of Protective Measures.

This Policy is intended to: (1) prevent, eliminate and remedy the effects of [Prohibited Conduct](#); (2) foster an environment where all individuals are well-informed and supported in reporting [Prohibited Conduct](#); and (3) provide an adequate, reliable, prompt, fair and impartial process for all parties once the university receives a Report of possible [Prohibited Conduct](#). While these principles are clear and straightforward, the detailed procedures set forth in this Policy and related documents are necessary to assure that these matters are handled in an impartial, thoughtful and thorough manner, consistent with the university's dedication to the integrity of its process.

Employees (including Faculty and Staff), Students, or third parties who violate this Policy may face, as appropriate, responsive action up to and including termination, expulsion, or other actions.

Nothing in this Policy shall be construed to abridge the free expression of ideas that is essential to the university's mission. The discourse conducted in accordance with the university's [Freedom of Expression Policy](#) and with the statement on Academic Freedom and Responsibility enunciated in the [Appointment and Tenure Policy](#), whether in written, spoken, or electronic forms, shall be consistent with this Policy.

This Policy is intended to meet the university's obligations under Title VI of the Civil Rights Act of 1964 ("Title VI"); Title VII of the Civil Rights Act of 1964 ("Title VII"); Title IX of the Education Amendments of 1972 ("Title IX"); the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act ("Clery Act"), as amended by the Violence Against Women Reauthorization Act of 2013 ("VAWA"), with respect to its application to sexual misconduct; and other applicable law and regulations. [Prohibited Conduct](#) that is subject to the Title IX regulations at 34 CFR Part 106.30 is defined as [Federal Rule Sexual Misconduct](#) for purposes of this policy.

## II. Jurisdiction

This Policy applies to Employees (including Faculty and Staff), Students, and third parties and to all conduct within the university's Programs or Activities, as defined below. However, the university will address conduct contributing to a Hostile Environment even if the underlying conduct itself occurred outside the university's Programs or Activities, including if it occurred outside the United States, and including conduct occurring online via computer and internet networks or on digital platforms, including social media sites.

The university retains discretion to determine whether conduct outside of its Programs and Activities is within its jurisdiction. In making this determination, the university will consider the severity of the alleged conduct, the risk of ongoing harm, whether both parties are members of the University community, impact on [University Programs or Activities](#), and whether the off-campus conduct is part of a series of actions that occurred both on and off campus.

Some forms of conduct which may be considered inappropriate or unacceptable within the University community, such as incivility or bullying, may not meet the definition of [Prohibited Conduct](#) under this Policy. However, the university retains discretion to report the conduct to an internal university department or authority such as Human Resources, Office of Community Responsibility, or relevant academic department or dean to determine and implement appropriate responsive action, including review for possible misconduct under other university policies.

This Policy does not apply to the implementation or appeal of requests for modifications or academic adjustments for individuals with disabilities. Concerns related to the implementation or appeal of requests for modifications or academic adjustments should be submitted to the [Office of Disability Resources](#) (students) or [HR Disability Services](#) (Faculty and Staff).<sup>19</sup> This Policy supersedes any conflicting information in any other university policies with respect to the definitions or procedures relating to Prohibited Conduct.

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<sup>19</sup> Individuals with a Disability are entitled to reasonable accommodations that would enable them to participate in all processes provided for under this Policy, including, but not limited to, making a Report or Complaint, participating in an Alternative Resolution Process, and/or participating in an investigation and adjudication under the grievance procedures. If an individual requires such reasonable accommodations, they should promptly notify the IEX Office, which may consult, as appropriate, with the Office of Disability Resources or Human Resources; individuals should not assume that the IEX Office is on notice that they

### III. Reporting

The university strives to create an environment where all members of the University community are aware of options for informing the university about instances of suspected [Prohibited Conduct](#), how to seek assistance and support, and how to pursue university action for their own protection and that of the entire campus community. This Policy distinguishes the action of making a Report of possible [Prohibited Conduct](#) from filing a Complaint. Thus, information shared about suspected [Prohibited Conduct](#) does not automatically trigger the initiation of grievance procedures (investigation or adjudication), as discussed below in [Section VI.A](#). This section outlines the mechanisms for making a Report and how the university will respond to information it receives.

#### ***A. How to Make a Report***

Any individual, including Students, Employees (including Faculty and Staff), or third parties are encouraged to submit Reports of suspected [Prohibited Conduct](#) directly to the [IEX Office](#) in-person, via e-mail, phone call, or online.

*To report in person:*

IEX Office

4615 Forbes Avenue, Suite 401

Pittsburgh, PA 15213

412-268-7125

[institutionalequity@andrew.cmu.edu](mailto:institutionalequity@andrew.cmu.edu)

Elizabeth Rosemeyer

Assistant Vice Provost & Title IX Coordinator

4615 Forbes Avenue, Suite 401

Pittsburgh, PA 15213

[erosemey@andrew.cmu.edu](mailto:erosemey@andrew.cmu.edu)

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have a Disability, even if registered to receive accommodations via the Office of Disability Resources, Human Resources, or another academic or administrative unit.

*To report by phone or email:*

Please call (412) 268-7125 or email [institutionalequity@andrew.cmu.edu](mailto:institutionalequity@andrew.cmu.edu)

*To report online:*

Please complete this [Report Form](#) (not anonymous).

*To report anonymously, online or by phone:*

Please go to [cmu.ethicspoint.com](http://cmu.ethicspoint.com) or call **844-587-0793**.

The university maintains a [Resource Guide](#) for individuals who file reports of [Prohibited Conduct](#) that provides information for community members about obtaining support from campus and/or community resources, filing reports of [Prohibited Conduct](#) through the university's policies, and how to support a friend or family member who has been impacted by such conduct. Individuals who report [Prohibited Conduct](#) in Pennsylvania will also be informed of their [rights as a victim of a crime under Pennsylvania law](#).

Inquiries about the application of civil rights laws to the university or questions regarding this Policy maybe directed to the IEX Office, and may also be directed externally to the United States Department of Education's Office for Civil Rights ("OCR"), contact for which follows.

Office for Civil Rights

U.S. Department of Education

400 Maryland Avenue, SW Washington, D.C. 20202-1100

Phone: (800) 421-3481

Fax: (202) 453-6012

TDD#: (877) 521-2172

Email: [OCR@ed.gov](mailto:OCR@ed.gov)

Web: <http://www.ed.gov/ocr>

U.S. Equal Opportunity Commission ("EEOC")

131 M Street, NE

Washington, D.C. 20507

Phone: (800) 669-4000

Email: [info@eoc.gov](mailto:info@eoc.gov)

Web: <https://www.eoc.gov/>

## ***B. Mandatory Employee Reporting***

Except as noted below, all Carnegie Mellon Employees are required to report information about potential violations of this Policy to the IEX Office/Title IX Coordinator. Reports may be submitted by phone (412-268-7125), email ([institutionalequity@andrew.cmu.edu](mailto:institutionalequity@andrew.cmu.edu)), or in-person by visiting the IEX Office at 4615 Forbes Ave., Pittsburgh, PA 15213. In addition:

- All teaching assistants are required to report information about potential violations of this Policy that is received within the Student's role as a teaching assistant.
- All Resident Assistants and Community Advisors are required to report all potential violations of this Policy, regardless of whether such information is received in the course of the Student worker's role as an RA or CA.

Sharing information with the IEX Office does not automatically trigger the university to initiate a Complaint or impose any obligations on the Complainant. However, disclosing information to the IEX Office enables the university to assess appropriate responsive action, including offering Supportive Measures so that individuals may maintain equal access to their education, residential, and/or work environments. As detailed in [Section V](#), in some circumstances, the IEX Office may initiate a Complaint based on the information received.

With respect to Students who are also Employees, whether the individual is a mandatory reporter depends on the context in which the person learns of the alleged [Prohibited Conduct](#). Mandatory reporter responsibilities are triggered if the person learned of the alleged [Prohibited Conduct](#) in the context of an Employee role, when they would, in that role, be considered a mandatory reporter. Mandatory reporter responsibilities are not triggered if the person learned of the alleged [Prohibited Conduct](#) in the context of their receipt of an education as a Student at Carnegie Mellon. However, student workers employed as a Resident Assistant or as a Community Advisor are required to report all

potential violations of this Policy, regardless of whether such information is received in the course of the student worker's employment or as a student.

Exceptions to Mandatory Reporting:

- Confidential Employees:

Confidential Employees (see [Section IV](#)) are not required to make a Report when a person informs them of conduct that may constitute [Prohibited Conduct](#) if that information is provided while the Confidential Employee is functioning within the scope of their duties to which confidentiality applies.

If you are unsure of whether you are required to report information, please contact the IEX Office in order to help clarify your responsibilities.

- Public Awareness Events:
- Disclosures of alleged [Prohibited Conduct](#) that occur at public awareness events (e.g., Take Back the Night, candlelight vigils, protests, or survivor speak-outs in which participants may disclose incidents of [Prohibited Conduct](#)) are exempt from mandatory reporting (i.e., need not be reported to IEX Office/the Title IX Coordinator).

### ***C. Anonymous Reporting***

Any individual may make a report of Prohibited Conduct to the IEX Office, and if preferred, may do so without disclosing one's name using the online reporting portal, available online and by phone, listed above and here:

[www.cmu.ethicspoint.com](http://www.cmu.ethicspoint.com)

844-587-0793

Depending on the level of information available about the incident or the individuals involved, the university's ability to respond to an anonymous report may be limited. The university will, however, take whatever steps it deems appropriate and in the best interests of the overall university community, consistent with the information available. The university will never refuse to respond to a report solely on the grounds that it was made anonymously. When a known Complainant wishes to remain anonymous, the university will seek to respect the request of the Complainant, and where it cannot do so, will explain why.

Filing an anonymous report does not satisfy the mandatory reporting obligations of Employees under [Section III.B.](#)

### ***D. Reports to Law Enforcement***

An individual who experiences, witnesses, or learns of possible criminal conduct may contact law enforcement directly by calling:

- 911 (for emergencies off-campus)
- University Police Department  
300 South Craig Street  
Pittsburgh, PA 15213  
(412) 268-2323 (for emergencies on-campus)  
[campuspd@andrew.cmu.edu](mailto:campuspd@andrew.cmu.edu)

Making a report to law enforcement does not generally obligate an individual to pursue a criminal complaint, or to participate in the university's disciplinary process. An individual may choose to participate in the university's disciplinary process, an external criminal process, both, or neither. In the event that both criminal and disciplinary processes are at issue, the university may comply with law enforcement requests for temporary delays in the disciplinary process in order to permit law enforcement to gather evidence for a criminal investigation.

Information about local medical care, local hospitals, including where a person may obtain an examination by a Sexual Assault Nurse Examiner (SANE) is available [on the website for IEX Office.](#)

Medical care may address physical and mental health concerns, including, where applicable, those related to pregnancy and/or sexually transmitted infections. Medical providers may also be able to assist in the collection and preservation of evidence. The ability to collect and preserve evidence of Sexual Assault is limited in time, so it is essential that care be sought as soon as possible. Individuals should avoid showering/bathing, douching, and, if possible, urinating. In the event of oral sexual contact, individuals should avoid eating, drinking, or brushing teeth. Any soiled clothes, towels, or bedding should be retained in paper bags. Preserving physical evidence in this manner may facilitate a criminal investigation, but seeking medical treatment does not obligate an individual to pursue a criminal complaint.

## ***E. How the Office for Institutional Equity and University Police Share Information about Prohibited Conduct***

The university's process for addressing [Prohibited Conduct](#) is separate from the law enforcement process for addressing crimes.

The university believes that the decision as to whether to report a crime should be left to the individual(s) impacted by the crime, except in limited circumstances such as where there may be an immediate threat to the university community or other legal obligation to report. The IEX Office will share de-identified information about Reports with University Police where required for the purpose of complying with the university's federal reporting obligations, to facilitate accurate compilation of crime statistics, and to ensure that other public safety responsibilities are addressed. In extremely limited circumstances, the IEX Office may share identifying information with University Police. This may include circumstances where the university is obligated to report a "Timely Warning" pursuant to Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (e.g., when a crime has been committed on or near University Property which represents a serious, ongoing threat and/or is part of an ongoing pattern). Sharing such information does not constitute a criminal complaint to law enforcement, although the University Police Department may contact individuals to offer assistance, inquire about their willingness to preserve evidence, or file a criminal complaint.

Making a report to the University Police means that information will be shared with others as is necessary and/or appropriate. For example, if an individual makes a report of [Prohibited Conduct](#) to the University Police Department that has not already been reported to the IEX Office, the University Police Department will report the matter to the IEX Office. The purpose of this report is to ensure that the university can take appropriate actions to seek to eliminate [Prohibited Conduct](#), prevent its recurrence, and remedy its effects. The Complainant or others may be contacted by the IEX Office to follow up on the information received from the University Police Department to offer supportive measures, including filing a Complaint with the [IEX Office](#).

## ***F. Training***

University employees may be required to complete periodic training related to compliance with this Policy and/or applicable federal, state, and local civil rights laws. The IEX Office, in coordination with the Office of the Provost, Office of the Dean of Students, and Human Resources will determine the periodic training requirements for faculty, staff and students.

Additional training on specific topics is required of investigators, decisionmakers, facilitators of any Alternative Resolution Process, and the university's Title IX Coordinator and designees.

Information regarding such training requirements will be published on the [IEX website](#).

## ***G. Amnesty for Students When Reporting Prohibited Conduct to the University***

Individuals who were drinking alcohol or using drugs at the time an incident of alleged [Prohibited Conduct](#) occurs may be hesitant to make a Report or Complaint, or participate as a Party or witness in an investigation due to concerns about being charged with disciplinary violations. In order to address these concerns, and encourage the prompt reporting of information related to known or suspected [Prohibited Conduct](#), the university will not pursue violations of the university's [Alcohol and Drug Policy](#) and/or [Hazing Policy](#) against any Student when information involving alcohol or drug use is revealed as part of in an investigation under this Policy, as long as any such violations did not and do not place the health or safety of any other person at risk. The university may, however, initiate an assessment, educational discussion, or pursue other developmental interventions (non-disciplinary options) to address hazing or the use of alcohol or other drug use.

## **IV. Confidential Resources and Privacy**

Carnegie Mellon understands that some individuals impacted by [Prohibited Conduct](#) may not be ready or may not be willing to report through a channel that may lead to an investigation or other university action. For such individuals, several confidential resources are available both on and off campus.

## ***A. Confidential University Employees***

The following university Employees are designated as Confidential Employees who are able to confidentially receive and discuss information related to alleged Prohibited Conduct, meaning they do not need to report such conduct to the IEX Office<sup>20</sup>.

- Employees in Counseling and Psychological Services (CaPS);
- Employees in University Health Services (UHS);
- Religious and Spiritual Life Coordinator;
- The Student and Faculty Ombudsperson;
- The Staff Ombudsperson; and
- Employees who conduct human subjects-research studies that have been approved by the Institutional Review Board (IRB) and which are designed to gather information about Discrimination or Discriminatory Harassment, with respect to information disclosed in the course of conducting the approved study;

In order for confidentiality to apply, Confidential Employees must be functioning within the scope of the Employee's job duties to which confidentiality applies. Confidentiality does not apply if the Employee receives information outside the scope of such job duties. Confidential Employees may be required to report non-identifying information to University Police Department for crime reporting purposes.

### Contact information for Campus Confidential Employees:

Counseling and Psychological Services (CaPS) (Student only)

412-268-2922

University Health Services (Student only)

412-268-2157

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<sup>20</sup> Again, in this section, "confidential" refers to confidentiality with respect to reports to the IEX Office under this Policy. Inclusion in this section does not signify that disclosures are otherwise confidential in the manner of those exchanged with individuals belonging to certain professions (such as healthcare providers, professional counselors, or pastoral counselors). Such individuals cannot disclose the content of those communications, or records of same, to **any** third party without the disclosing individual's prior written consent, or if permitted or required by law or relevant professional ethical obligations (such as "duty to warn"). These communications are privileged under federal or state law. Only certain licensed treatment providers in UHS and CaPS have physician-patient or counselor-client privilege. Please contact UHS or CaPS for more information about these privileges.

University Health Services - Health Promotions Team (Student only)

Staff Ombudsperson

412-268-1018

Student and Faculty Ombudsperson

412-268-2875

Religious and Spiritual Life Coordinator;

412-268-3559

In addition, Carnegie Mellon employees may seek confidential assistance through the Employee Assistance Program (CMU Employees only).

***B. External Community Resources***

Individuals may also seek assistance and support from a variety of external resources, including those listed below. These resources are available free of charge to students, undergraduate and graduate, faculty and staff, regardless of whether a person lives in campus housing and regardless of an individual's sex, gender, or sexual orientation. Individuals may contact the resources directly or the university can assist individuals with connections by request.

- Women's Shelter and Center of Greater Pittsburgh
- Pittsburgh Action Against Rape
- Center for Victims
- Persad

***C. Privacy***

Although often conflated, privacy and confidentiality are distinct terms with distinct meanings. Privacy refers to the university's commitment to sharing information related to

any Report, Complaint, Supportive Measures, Alternative Resolution Process, or grievance procedures under this Policy only:

- To a person with a legal right to receive disclosures of information, or with prior written consent;
- When necessary to effectuate this Policy, or to otherwise address conduct which may reasonably constitute [Prohibited Conduct](#);
- As required by Federal law or regulation, including by the terms and conditions of a Federal award (e.g., a grant award or other funding agreement); and/or
- When required or permitted by State or local law or the Family Educational Rights and Privacy Act ("FERPA"). See the university's [Policy on Student Privacy Rights](#) for more information about FERPA.

The university provides training to personnel regarding the safeguarding of private information, instructs parties and witnesses about the university's privacy-related expectations, and will take other reasonable steps to prevent and address the parties' and, if applicable, their Advisors', unauthorized disclosure of information and evidence obtained solely through the grievance procedures.

In any grievance process, other than as provided for in this Policy, the university will not restrict the ability of either party to discuss the allegations prompting a Report or Complaint, including for the purposes of obtaining and presenting evidence (such as by speaking to witnesses), consulting with family members, confidential resources, or advisors, or otherwise preparing for or participating in the grievance procedures.

## V. How the University Responds to Reports

Regardless of whether a Complainant chooses to pursue an Alternative Resolution Process, grievance procedures, or no further process, the Title IX Coordinator or a designated university official conducts an initial assessment to determine next steps and will initiate contact with the Complainant to discuss the availability of Supportive Measures. Respondents will also be offered supportive measures after receiving a notice.

Supportive Measures are non-disciplinary, non-punitive individualized services, assistance, and other measures that the university offers and may put in place, without fee or charge, as appropriate and reasonably available, after receiving a Report of possible [Prohibited](#)

Conduct. Supportive Measures are designed to restore or preserve access to the University's Programs and Activities, including measures designed to protect the safety of all parties or the educational environment, or deter further Prohibited Conduct. Supportive Measures cannot be unreasonably burdensome to the other party.

Supportive Measures are available before and after a Complaint is filed, and in cases in which no Complaint is filed.

Upon receipt of a Report, the Title IX Coordinator, or their designee, will contact the Complainant (1) to discuss the availability of Supportive Measures and (2) to explain that Supportive Measures are available with or without the filing of a Complaint. The Title IX Case Manager helps determine the appropriate Supportive Measure(s) to be implemented. The Title IX Case Manager will assess with the relevant party the unique facts and circumstances of their situation and identify steps to help the individual continue access to their education or employment.

Supportive Measures may be continued, modified or terminated at the conclusion of a grievance process or Alternative Resolution Process.

Examples of Supportive Measures include, but are not limited to:

- Academic support services and accommodations, including the ability to reschedule classes, exams and assignments, transfer course sections, or withdraw from courses;
- Academic schedule modifications (typically to separate Complainant and Respondent);
- Work schedule or job assignment modifications (for university employment);
- Changes in on-campus work or university housing location;
- On-campus counseling services and/or assistance in connecting to community-based counseling services;
- Assistance in connecting to community-based medical services;
- No contact agreements or orders, which may be mutual or non-mutual;
- Temporarily limiting an individual's access to certain university facilities or activities;
- Information about and/or assistance with obtaining personal protection orders;
- Leaves of absences;

- Increased monitoring and security of certain areas of the campus;
- Options for emergency Housing;
- Individualized limitations on the parties' communications and interactions with each other; or
- A combination of any of these measures.

Changes in class, work, housing, extracurricular, and/or other activities may be made regardless of whether there is or is not a comparable alternative.

The university will maintain Supportive Measures provided to the Complainant or Respondent as confidential to the extent that maintaining such confidentiality would not impair the university's ability to provide the Supportive Measures.

## VI. How a Complaint is Resolved

### ***A. Initiating a Complaint***

A Complaint may be filed with the IEX Office orally in person, by mail, or by email. Complainants are strongly encouraged, but not required, to submit a [Complaint Form \[pdf\]](#). A Complainant may file a Complaint at any time, but significant delays between the time an incident occurs and conducting an investigation may impede or limit the availability of Relevant evidence and/or availability of witnesses.

Upon the filing of a Complaint, the IEX Office will contact the Complainant to confirm receipt of the Complaint and to confirm the allegations as understood by the IEX Office. Before initiating the grievance procedures, the IEX Office will review the Complaint to determine whether there is any basis to dismiss the Complaint, as detailed in [Section VI.B](#) below. Otherwise, the IEX Office will initiate the grievance procedures and commence an investigation as detailed in [Section VI.C](#) below. The Complainant may also wish to pursue the Alternative Resolution Process, an alternative track discussed further below, instead of or after filing a Complaint.

Consistent with [Section VI.D.ii.e](#), when a complaint names a Respondent who is an on-going affiliate of the university who is not a Faculty member, Staff member, Student, or Participant in a Summer Program, such as a volunteer or contractor, the IEX Office will

determine the appropriate manner of resolution in accordance with the university's commitment to a prompt and equitable process and consistent with any applicable state and federal law and regulation.

In certain circumstances, the IEX Office may file a Complaint and initiate an investigation in the absence of an identifiable Complainant or when a Complainant is unwilling to proceed with a Complaint. In making the determination to initiate a Complaint, the IEX Office must consider, at a minimum, the following factors:

1. The Complainant's request not to proceed with the initiation of a Complaint;
2. The Complainant's reasonable safety concerns regarding the initiation of a Complaint;
3. The risk that additional acts of [Prohibited Conduct](#) would occur if a Complaint is not initiated;
4. The severity of the alleged [Prohibited Conduct](#), including whether the alleged misconduct, if established, would require the removal of a Respondent from the university's campus or imposition of another Disciplinary Sanction to end the [Prohibited Conduct](#) and prevent its recurrence;
5. The age and relationship of the parties, including whether the Respondent is an Employee of the university;
6. The scope of the alleged [Prohibited Conduct](#), including information suggesting a pattern, ongoing [Prohibited Conduct](#), and/or [Prohibited Conduct](#) alleged to have impacted multiple individuals;
7. The availability of evidence to assist the Hearing Officer or other decisionmakers in determining whether [Prohibited Conduct](#) occurred; and
8. Whether the university could end the alleged [Prohibited Conduct](#) and prevent its recurrence without initiating a Complaint.
9. Whether the alleged [Prohibited Conduct](#), if true, would constitute [Federal Rule Sexual Misconduct](#).

After consideration, the IEX Office may initiate a Complaint and commence an investigation. If the Title IX Coordinator determines that the allegations in the Formal Complaint, if true, would constitute [Federal Rule Sexual Misconduct](#), the Title IX Coordinator must commence an investigation as set forth below.

If the IEX Office decides to initiate a Complaint, the IEX Office will notify the Complainant (if identifiable) prior to the initiation of the Complaint in order to address any reasonable safety concerns, including via options for Supportive Measures under [Section V](#).

The IEX Office may consolidate complaints of [Prohibited Conduct](#) against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against another party ("cross complaints"), when the allegations of [Prohibited Conduct](#) arise out of the same alleged facts or circumstances. When the university receives a report of alleged conduct that could constitute [Prohibited Conduct](#) under this Policy and could also violate other university policies, the university, in its discretion, will determine which policy/ies and procedures apply and whether action will be taken under multiple policies.

Both the Complainant and the Respondent may select an Advisor of their choice to be present at any hearing or pre-hearing meetings or interviews. Details concerning the role of the Advisor are set forth in the applicable adjudication procedures under [Section VI.D](#).

The Respondent is presumed to be Not Responsible for any alleged [Prohibited Conduct](#) until a determination is made at the conclusion of the adjudication procedures set forth in this Policy.

The university will not discipline a party, witness, or others who participate in the investigation or adjudication of a Complaint for making a false statement based solely on the determination of responsibility for [Prohibited Conduct](#) under this Policy (put another way, a determination that a Respondent was not responsible for a Policy violation does not, without more, establish that the Complainant or any other party or witness has made a false allegation or statement in bad faith). Allegations that an individual has provided a false statement must be separately reviewed under applicable university policy (e.g., The Word, the Staff Handbook, or the Code of Business Ethics) and such allegations, in general, will be stayed until the completion of the underlying proceedings in this Policy. Allegations of a violation of the [Consensual and Intimate Relationship Policy Regarding Undergraduate Students](#) must be separately reviewed under that policy.

The IEX Office will establish and maintain on its website [reasonably prompt time frames](#) for the major stages of the Complaint process.

For Complainants of alleged Prohibited Conduct that, if true, would constitute [Federal Rule Sexual Misconduct](#), the following additional requirements apply:

- Prior to the initiation of an investigation or an Alternative Resolution Process, the IEX Office must receive a Complaint that contains Complainant's physical or digital signature or otherwise indicates that the Complainant is the person filing the Complaint;
- If the Complainant is under the age of 18 and not enrolled in an undergraduate or graduate program, the university will ordinarily also contact the Complainant's parent or guardian, as permitted by law, to explain the process for filing a Formal Complaint; and
- At the time of filing the Complaint, the Complainant must be participating in or attempting to participate in the University's Programs or Activities. If the Complainant is not participating in or attempting to participate in the University's Programs or Activities at the time the Formal Complaint is filed, the Complaint may still be investigated and adjudicated under this Policy as Other Prohibited Conduct. These requirements do not apply to Complaints filed by the IEX Office.

For allegations of Prohibited that occurred before the effective date of this Policy, the matter will be investigated and adjudicated using the procedures set forth in this Section VI of this Policy. For the purpose defining conduct that constitutes a violation of policy (i) for allegations of [Federal Rule Sexual Misconduct](#), that occurred before the effective date of this policy, the University will use the current definitions in [Section VII](#) of this Policy (ii) for allegations of [Other Prohibited Conduct](#), the university will use the definitions in the applicable policy that was in effect at the time of the alleged conduct.

### ***B. Dismissal and Withdrawal of a Complaint***

For allegations of [Federal Rule Sexual Misconduct](#), if at any time during the pendency of a Complaint the IEX Office determines that the allegation if true, would not constitute [Federal Rule Sexual Misconduct](#); did not occur in the University's Programs and Activities; or did not occur against a person in the United States, the IEX Office must dismiss the allegation as it relates to [Federal Rule Sexual Misconduct](#). For any dismissed allegation of [Federal Rule Sexual Misconduct](#), the IEX Office must also determine whether the allegation would constitute [Other Prohibited Conduct](#). If the IEX Office determines that the allegation would not constitute [Federal Rule Sexual Misconduct](#) but would constitute [Other Prohibited Conduct](#), the allegation may then proceed as [Other Prohibited Conduct](#).

At any time during the pendency of a Complaint, the IEX Office may dismiss the Complaint or specific allegations within a Complaint as detailed below:

1. The Respondent is not or is no longer a Student or Employee of the university;
2. The Complainant voluntarily requests to withdraw any/all allegations in writing and the IEX Office declines to initiate/continue the Complaint/grievance procedures, as described further below, and/or without the Complainant's withdrawn allegations, the conduct that remains alleged in the Complaint, if any, would not constitute Prohibited Conduct even if established;
3. Specific circumstances prevent the University from gathering evidence sufficient to reach a determination; or
4. The IEX Office determines that even if proven, the alleged conduct would not constitute Prohibited Conduct.

The following ground for dismissal applies only to Other Prohibited Conduct:

5. When the IEX Office determines that the Complainant has not made good faith effort to cooperate in advancing an investigation or hearing (e.g. Complainant is non-responsive), the IEX Office has discretion to dismiss the case. The Complainant must be provided a warning before a Complaint is dismissed on this ground.
6. After the conclusion of the investigation under Section VI.C., the IEX Office determines that the evidence collected during the investigation is insufficient to support the allegations, such that reasonable person could not conclude that Prohibited Conduct occurred.

Upon dismissal of a Complaint and/or upon determination that an allegation of sexual misconduct does not constitute Federal Rule Sexual Misconduct, the IEX Office will provide prompt written notice to the Complainant of the basis for the dismissal and the right to appeal the dismissal decision under Section VI.F. If the dismissal occurs after the Respondent has been issued a Notice of Allegations, the IEX Office will also provide such written notice to the Respondent.

If a Complaint is dismissed before the IEX Office has issued a Notice of Allegations to the Respondent, only the Complainant will have the opportunity to appeal the decision to dismiss the Complainant. If the Complaint is dismissed after the IEX Office issued a Notice of Allegations to the Respondent, the Complainant and Respondent will have an equal opportunity to appeal the dismissal decision.

A Complainant who filed a Complaint may request withdrawal of such complaint at any time by submitting a written request to the Investigator assigned to the case or the IEX Office. After a Complainant requests withdrawal of a Complaint, the IEX Office will review the matter, considering the same factors as specified in [Section VI.A](#), to determine whether to grant the request for withdrawal or to continue the Complaint. If the IEX Office refuses a request by a Complainant to dismiss a Complaint, the Complainant will be notified in writing of the decision and rationale.

### ***C. Investigation Procedures***

When commencing an investigation, the Title IX Coordinator will appoint an investigator to review, assess, and investigate the Complaint (the "Investigator"). The Investigator may be a staff member in the IEX Office, a staff member in Human Resources, a staff member in another department at the university, or an external professional. The Title IX Coordinator is responsible for ensuring that the Investigator has been appropriately trained and is free of conflicts of interest or bias — for or against Complainants or Respondents generally, or a specific Complainant or Respondent — that would impair the investigation. If a party has concerns about bias in favor of or against a specific Complainant or Respondent, bias in favor of or against Complainants or Respondents generally, or a potential conflict of interest which involves the Title IX Coordinator, facilitator of an Alternative Resolution Process, investigator, decisionmaker, or appeals decisionmaker, the party should direct those concerns to the Title IX Coordinator. Concerns regarding bias or conflict of interest on the part of the Title IX Coordinator will be referred to the Vice Provost for Culture, Community and Engagement (or designee) for review.

The IEX Office will send the Complainant and Respondent a written Notice of Allegations. If in the course of an investigation, the IEX Office decides to investigate additional allegations of Prohibited Conduct not included within the original notice or if it is necessary to make revisions to the allegations, the IEX Office will issue an amended Notice of Allegations to the Complainant and Respondent. The issuance of a Notice of Allegations may be reasonably delayed as necessary to address any reasonable concerns for the safety of any person as a result of providing such notice.

#### The Notice of Allegations will include:

- information about the Alternative Resolution Process and grievance procedures;

- the identities of the parties involved in the incident(s), the conduct alleged to constitute Prohibited Conduct, and the date(s) and location(s) of the alleged incident(s), if known;
- information about the university's prohibition on Retaliation;
- a statement that the parties are entitled to an investigative report summarizing all Relevant evidence and retain the equal right to access such evidence upon request and, in cases involving [Federal Rule Sexual Misconduct](#), to inspect all directly related evidence;
- a statement that the Respondent is presumed not responsible for the alleged Prohibited Conduct until a determination is made at the conclusion of the grievance procedures, after the parties have had an opportunity to present Relevant (not otherwise impermissible) evidence to a trained, impartial decisionmaker;
- notice that the Parties have the right to be accompanied by an Advisor of choice, who may be but need not be an attorney;
- notice that knowingly making false statements or submitting false information is prohibited;
- information about Supportive Measures;
- a statement regarding the standard of proof to be used in considering the facts and evidence;
- the range of possible Disciplinary Sanctions and Remedies; and
- information about the appeals process.

The Investigator will conduct an investigation and prepare a preliminary investigative report that fairly summarizes the Relevant evidence gathered during the investigation. The Investigator will, prior to any interviews or meetings with the parties, provide written notice of the date, time, location, and purpose of the interview or meeting, with sufficient time for the party to prepare for the interview or meeting. A Party's decision not to participate in the investigation, in whole or in part, will be documented in the investigative report.

Prior to preparing any report, the Investigator will request Relevant information from the parties as well as work to gather other Relevant available evidence. The ultimate responsibility for gathering available Relevant evidence rests with the university. Throughout the investigation, the university will provide both parties equal opportunity for the parties to present witnesses, including fact and expert witnesses, and other inculpatory and

exculpatory evidence. The parties may offer testimony from an expert witness, as specified in [Appendix B](#) to this Policy.

The preliminary investigative report will be made available to the Complainant, Respondent, and their respective Advisors in electronic or hard-copy format. In cases involving [Federal Rule Sexual Misconduct](#), all directly related evidence will also be made available to the Complainant, Respondent, and their respective Advisors for inspection and review in electronic or hard-copy format. Any Relevant evidence collected during the investigation will also be made available to the Complainant, Respondent, and their respective Advisors for inspection and review in electronic or hard-copy format. The Complainant and Respondent will have at least ten (10) calendar days to review and respond to the preliminary investigative report. The Investigator will consider any responses submitted by the Complainant, Respondent and their respective Advisors and prepare a final investigative report ("Investigative Report").

#### ***D. Adjudication Procedures***

The specific procedures for adjudicating allegations of Prohibited Conduct are based upon the nature of the parties' relationship to the university.

##### Federal Rule Misconduct:

For Allegations of [Federal Rule Sexual Misconduct](#) — the matter will be handled in accordance with the Procedures set forth in [Section VI.E](#) using the [Hearing Procedures for the Adjudication of Discriminatory and Sexual Misconduct - Federal Rule Sexual Misconduct \[pdf\]](#) and the Appeal Procedures set forth in [Section VI.F](#). This subsection supersedes and controls over all other provisions of [Section VI.D](#).

In cases involving multiple allegations which include allegations of both [Federal Rule Sexual Misconduct](#) and [Other Prohibited Conduct](#), the university reserves the right to decide whether to adjudicate all allegations in a single process under [Section VI.D.i](#) or to separately adjudicate the allegations of [Other Prohibited Conduct](#) under the applicable procedures in [Section VI.D.ii](#).

##### Other Prohibited Conduct:

For Allegations of [Other Prohibited Conduct](#) — The specific procedures for adjudicating allegations of [Prohibited Conduct](#) other than [Federal Rule Sexual Misconduct](#) (i.e., [Other](#)

[Prohibited Conduct](#)) are based upon the nature of the Respondent's relationship to the university.

- a. **Where the Respondent is a Student** — the matter will be handled in accordance with the procedures set forth in [Section VI.E](#) using the [Hearing Procedures for the Adjudication of Discriminatory and Sexual Misconduct – Other Prohibited Conduct \[pdf\]](#) and the Appeal Procedures set forth in [Section VI.E](#).

When a Respondent is both a Student and an Employee (a "Student Employee"), the university will undertake a fact- and circumstance-specific inquiry to determine how the matter will be adjudicated, including consideration of whether the party's primary relationship with the university is to receive an education, and whether the alleged [Prohibited Conduct](#) occurred while the party was performing employment-related work. Typically, if a Respondent who is a Student Employee may experience a change in their employment status as a result of the outcome of a grievance process, but not a change in their student status, the matter will proceed as though the Respondent was a Staff member.

- b. **Where the Respondent is a Faculty member** — the matter will be handled in accordance with the procedures set forth in [Section VI.E](#) using the [Hearing Procedures for the Adjudication of Discriminatory and Sexual Misconduct – Other Prohibited Conduct \[pdf\]](#) and the Appeal Procedures set forth in [Section VI.F](#).
- c. **Where the Respondent is a Staff member** — the IEX Office will send the Investigative Report to the Assistant Vice President of Human Resources, People & Organizational Effectiveness in Human Resources and the matter will be handled in accordance with the procedures set forth in the [Staff Handbook](#), Volume II, Section 10c. The Assistant Vice President of Human Resources, People & Organizational Effectiveness also has discretion to refer the matter for live hearing in accordance with the procedures set forth in [Section VI.E](#) using the [Hearing Procedures for the Adjudication of Discriminatory and Sexual Misconduct – Other Prohibited Conduct \[pdf\]](#) and the Appeal Procedures set forth in [Section VI.F](#).
- d. **Where the Respondent is a Participant in a Summer Program** — the matter will be handled in accordance with the Summer Programs Code of Conduct.

- e. **Where the Respondent is an on-going affiliate of the university who is not a Faculty member, Staff member, Student, or Participant in a Summer Program** — the IEX Office will determine the appropriate manner of resolution in accordance with the university's commitment to a prompt and equitable process and consistent with any applicable state and federal law and regulations.

Voluntary Acceptance of Responsibility:

For any proceedings under [Section VI.D](#), at any time prior to the rendering of a finding as to responsibility by a decisionmaker, the Respondent may indicate that they do not wish to contest the disciplinary case against them and accept responsibility for all or part of the [Prohibited Conduct](#) alleged. Respondent will thereafter be notified of the Disciplinary Sanctions imposed and whether Remedies will be provided.

The Complainant and Respondent will be notified of the outcome as applicable based on the notice that would have been provided if the allegations had proceeded through the grievance process under [Section VI.D.i or Section VI.D.ii](#).

This decision may be appealed under [Section VI.F](#) only as to the severity of the sanction imposed. In the event that the Respondent accepts responsibility for only part of the [Prohibited Conduct](#) alleged, the remaining allegations will proceed through grievance process under [Section VI.D.i or Section VI.D.ii](#) and Remedies and Disciplinary Sanctions for all the [Prohibited Conduct](#) at issue will be assigned at the conclusion of the matter in its entirety.

### ***E. Live Hearing Procedures***

The following procedures apply to live hearings held under this Policy, as indicated in [Section VI.D](#).

Appointment of Hearing Officer

After reviewing the Investigative Report prepared under [Section VI.C](#), the IEX Office will appoint a hearing officer (“Hearing Officer”) who will be responsible for conducting a review of the case, presiding over a live hearing if necessary, and making findings of fact and a determination of responsibility with respect to each allegation in the Complaint. The Hearing Officer may be a University employee or an external professional.

### Conduct of the Hearing & Written Determination

The Hearing Officer will conduct a live hearing in accordance with the [Hearing Procedures for the Adjudication of Discriminatory and Sexual Misconduct \[pdf\]](#) (for cases under [Section VI.D.i](#)) or the Hearing Procedures for the Adjudication of Discriminatory and Sexual Misconduct – Other Prohibited Conduct [pdf] (for cases under [Section VI.D.ii](#)). The hearing will take place no sooner than ten (10) calendar days after the parties are provided with the Investigative Report

At the conclusion of the hearing, the Hearing Officer will objectively evaluate all Relevant evidence, both inculpatory and exculpatory, and make findings of fact and a determination of responsibility with respect to each allegation. The determination of responsibility will be made using the preponderance of evidence standard.

If the Hearing Officer determines that the Respondent is responsible for any allegation, the Hearing Officer will contact the appropriate sanctioning officer, as specified below, to Officer"). The Sanctioning Officer will have sole responsibility for determining the appropriate Disciplinary Sanctions and any Remedies related to any finding of responsibility made by the Hearing Officer. The Sanctioning Officer will provide a written determination regarding Disciplinary Sanctions and/or Remedies to the Hearing Officer. If the Hearing Officer determines that the Respondent is not responsible for any of the allegations, the Sanctioning Officer will not be contacted. Where the appointed Hearing Officer is an Employee of the university, the same individual may be appointed to serve as both the Hearing Officer and Sanctioning Officer.

The applicable Sanctioning Officer is based on the nature of the Respondent's relationship to the university:

- Sanctioning Officer for Students: Associate Vice President of Student Affairs for Community Life or designee (in consultation with the [Community Standards Review Committee](#))
- Sanctioning Officer for Staff: Assistant Vice President for Human Resources, People & Organizational Effectiveness or designee
- Sanctioning Officer for Faculty: Vice Provost for Faculty or designee

The Hearing Officer will prepare a written determination regarding the findings of fact and the determination regarding responsibility for each allegation, with rationale and appeals information. Where applicable, the written decision of the Sanctioning Officer regarding Disciplinary Sanctions and/or Remedies will be attached to or incorporated into the written determination prepared by the Hearing Officer.

#### Notice of Written Determination

The written determination will be provided to the IEX Office. Except as detailed below regarding cases involving Student-Respondents, the IEX Office is responsible for providing the Complainant and Respondent with a copy of the written determination, as applicable/according to [Section VI.E](#) of the Policy. Both parties must be provided the written determination simultaneously.

*For Cases Involving Student-Respondents* - Depending on the nature of the category of alleged [Prohibited Conduct](#), the right of the Complainant to receive notice of the outcome(s), as well as the right to appeal the outcome(s), is restricted by the Family Educational Rights and Privacy Act (FERPA).

Consistent with FERPA, VAWA, and applicable Title IX regulations, in Student-Respondent cases the outcome(s) applicable to a Student-Respondent will be disclosed to the Complainant only for the following offenses under this Policy:

- [Sexual Harassment](#), including
  - Quid Pro Quo Sexual Harassment,
  - Hostile Environment Sexual Harassment,
- Sexual Assault,
- Dating Violence
- Domestic Violence,
- [Stalking](#), and/or
- [Retaliation](#) where the underlying protected activity is related to the exercise of rights related to and/or Complaints of the foregoing.

Consequently, as required by FERPA, in Student-Respondent cases, **the outcome(s) applicable to a Student-Respondent will not be disclosed and the Complainant cannot appeal such outcome(s)** for the following offenses under this Policy:

- Violation of Protective Measures;

- Discrimination and/or Discriminatory Harassment
- Retaliation where the underlying protected activity is not related to alleged [Federal Rule Sexual Misconduct](#), Sexual Assault, Dating Violence, Domestic Violence, Stalking, and/or the exercise of rights under the Title IX Regulations at 34 C.F.R. § 106.31.

For Student-Respondent cases, the IEX Office will provide the Student-Respondent with a complete copy of the written determination for all allegations. Where applicable, the IEX Office will coordinate with the Hearing Officer to edit or redact the written determination issued to the Complainant in order to remove information related to the outcome(s) of alleged offenses which the university is not permitted to disclose, per the list above. Regardless of the type of allegation, any outcomes that apply to the Complainant (e.g. Remedies) will be shared with the Complainant.

#### Additional Procedures for Disciplinary Sanctions Against Faculty Respondents

In the case of sanctions against a Faculty Respondent, the Disciplinary Sanctions determined by the Sanctioning Officer for Faculty will be provided to the President as recommended Disciplinary Sanctions. The President will take no action on the recommended Disciplinary Sanctions until either (i) the completion of any appeal filed by any party under [Section VI.F](#) or (ii) the deadline to file an appeal under [Section VI.F](#) passes without any appeal being filed. If an appeal is filed, the President or the President's designee will render a decision on the appeal consistent with the procedures in [Section VI.F](#). If any Disciplinary Sanctions remain after the completion of the appeal or where no appeal is filed by the appeal deadline, the President will thereafter render a decision based on both the recommendation of the Sanctioning Officer for Faculty as well as the underlying findings of fact and determination(s) of responsibility by the Hearing Officer (or Appeal Officer, if applicable). If the President decides to initiate the procedure for dismissal for cause or for the imposition of another Disciplinary Sanction against a Faculty Respondent, the matter will then follow the process set forth in the subsection "Procedure" of the section of [the Appointment and Tenure Policy of Carnegie Mellon](#) University titled, "Dismissal for Cause and Other Sanctions," but will be subject to the "Exceptions" provision of that subsection such that no Ad-Hoc Committee will be required.

## ***F. Appeal Procedures***

Except as specified in [Section VI.E](#) for Student-Respondent cases, both the Complainant and Respondent have the right to file an appeal regarding (i) the determination under [Section VI.E](#) or (ii) the dismissal of a Complaint under [Section VI.B](#). An appeal must be submitted in writing to the Office of the President (with a copy to the IEX Office) within seven (7) calendar days of the official notification of the determination under [Section VI.B](#) or [Section VI.E](#).

The written appeal request must state the basis for the appeal. The basis for an appeal will be limited to one or more of the following:

- Procedural irregularity that would change the outcome of the matter;
- New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;
- The Title IX Coordinator, Investigator(s), Hearing Officer, or Sanctioning Officer had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; and
- The sanctions imposed are disproportionate to the finding of responsibility.

The President or the President's designee will serve as the Appeal Officer. The Appeal Officer will inform the other party or parties that an appeal has been filed and provide such party or parties with a copy of the written appeal. The non-appealing party will have a reasonable, equal opportunity to submit a responsive written statement for consideration by the Appeal Officer. In Student-Respondent cases under [Section VI.E](#) where the Complainant does not have the right to appeal, the Complainant will not be provided a copy of the Respondent's Appeal and will not have the opportunity to submit a responsive written statement.

The Appeal Officer will review the written appeal and any response and determine whether, in the judgment of the Appeal Officer, sufficient grounds exist for at least one basis of appeal. An appeal that does not meet at least one of the acceptable bases for appeal may be dismissed without further review.

Appeals will be decided by the Appeal Officer in a timely manner as circumstances warrant. While an appeal is under review, the Appeal Officer will update the Respondent(s) and Complainant(s) as necessary about the anticipated timeline.

The Appeal Officer has the authority to modify the decision as deemed appropriate for resolution of the matter being appealed, which could entail (i) sending the matter back to an Investigator, the Hearing Officer, or a new Hearing Officer, as necessary to remedy the error or (ii) a decrease or change to the nature of the sanction(s). The Appeal Officer may also remand the matter for a new process under [Section VI.D](#).

The Appeal Officer will issue a written decision describing the result of the appeal and the rationale for the result. The Appeal Officer will provide the written decision simultaneously to both the Complainant and Respondent. The IEX Office will also receive a copy of the decision. The decision is final.

### ***G. Possible Disciplinary Sanctions and Remedies from Adjudication***

Possible outcomes from a violation of this Policy range from educational outcomes to separation from the university. A detailed list of the possible remedies and sanctions is available in [Appendix A to this Policy](#).

### ***H. Alternative Resolutions Process***

Sections VI.A through VI.G of this Policy describe procedures for the grievance procedures for Complaints of [Prohibited Conduct](#). Separate from these grievance procedures, the university offers an Alternative Resolution Process which may be available on a voluntary basis to resolve a matter under this Policy.

Individuals interested in an Alternative Resolution Process should contact the IEX Office to discuss options. For information regarding the types of Alternative Resolution Process that may be available please see the [IEX Office website on Alternative Resolutions](#).

Either party may request to pursue an Alternative Resolution Process at any time before a finding of responsibility resulting from any process under [Section VI.D](#) or [Section VI.E](#).

Other than in [Federal Rule Sexual Misconduct](#) cases, Alternative Resolution Process may also be requested before the initiation of a Complaint. The Title IX Coordinator has discretion to determine whether the parties will be permitted to pursue an Alternative Resolution Process. In general, mediation and other procedures that are similar to mediation will not be used to resolve matters involving an allegation of sexual violence (i.e. Sexual Assault, Dating Violence, Domestic Violence, or any other form of [Prohibited Conduct](#) that involves the use of violence) or when an Employee is accused of sexually

harassing a Student. An Alternative Resolution Process is not permitted if such a process would conflict with federal, state, or local law; the university may also decline to permit an Alternative Resolution Process when it determines that the alleged conduct presents a future risk of harm to others.

After receiving a request to pursue an Alternative Resolution Process, the IEX Office will contact both parties to assess mutual interest in the Alternative Resolution Process. If both parties wish to pursue Alternative Resolution, and the Title IX Coordinator agrees that Alternative Resolution is appropriate under the specific facts and circumstances of the case, the IEX Office will initiate the [Alternative Resolution Process](#). While every Alternative Resolution Process will be tailored to the facts and circumstances of the individual case, in no case will the facilitator of the Alternative Resolution Process be the same as the investigator or decisionmaker for grievance procedures involving the same matter.

As participation is voluntary, the university does not require parties to waive the right to an investigation and adjudication as a condition of (continuing) enrollment or (continuing) employment, or the exercise of any other right. During any Alternative Resolution Process, either party has the right to withdraw from the process at any time prior to the conclusion of the process. If a Complaint is pending at the time of the withdrawal from the Alternative Resolution Process, the matter will proceed to investigation under [Section VI.C](#) or to adjudication under [Section VI.D](#), as appropriate.

Before initiating an Alternative Resolution Process, the university will notify the parties of:

- the allegations;
- the requirements of the Alternative Resolution Process;
- that each party has the right to withdraw their agreement to participate in the Alternative Resolution Process prior to agreeing to a resolution, and can at that time initiate or resume the grievance procedures, as applicable;
- that agreement to a resolution at the conclusion of the Alternative Resolution Process precludes the parties from initiating or resuming grievance procedures arising from the same allegations;
- the potential consequences and outcomes that may be requested or offered in an Alternative Resolution Process agreement, including notice that an alternative resolution agreement is binding only on the parties; and

- information regarding the confidentiality and/or accessibility of the records of the Alternative Resolution, including which records will be maintained as part of the Alternative Resolution Process and circumstances under which such records could be shared in the event that the Alternative Resolution Process is not completed and grievance procedures are initiated or resumed.
  - Specifically, if the grievance procedures are resumed after an attempted Alternative Resolution Process:
    - neither the university nor a party will access, consider, disclose, or otherwise use information, including records, obtained solely through an Alternative Resolution Process as part of the investigation or outcome determination, and
    - in such cases, the Alternative Resolution Process facilitator could serve as a witness for purposes other than providing information obtained solely through the Alternative Resolution Process.

For cases involving alleged [Federal Rule Sexual Misconduct](#), after receiving the above notice, both the Complainant and Respondent must provide written consent to the IEX Office in order to proceed with the Alternative Resolution Process. For cases involving alleged [Federal Rule Sexual Misconduct](#), a complaint must be filed prior the initiation of any Alternative Resolution Process.

### ***Student Emergency Removal; Employee Administrative Leave***

Where there is an immediate threat to the physical health or safety of any Students or other individuals arising from alleged [Prohibited Conduct](#), the university may remove an individual from the University's Program or Activity and issue any necessary related no-trespass and no-contact orders during the pendency of the investigation. The university will make the decision to remove an individual from the University's Program or Activity based on an individualized safety and risk analysis.

For Students, an emergency removal decision will be made in accordance with the [Safety Intervention Protocol](#) set forth in *The Word*, subject to the limitation of this section. In the event the university removes any person on this basis, the university will provide the affected individual with notice of the decision and an opportunity to appeal, as specified in the Safety Intervention Protocol.

With respect to Employee Respondents, subject to the procedures in the Staff Handbook (for staff employees) or the Faculty Handbook and Appointment and Tenure Policy (for faculty employees), an Employee Respondent may be placed on administrative leave from employment during the pendency of grievance procedures under this Policy. Administrative leave may include complete removal from the workplace or limitations on access to the workplace, and may be imposed with or without pay. In the event administrative leave is imposed, the Respondent is given the opportunity to seek modification or reversal of the leave.

## VII. Definitions

### ***A. Prohibited Conduct Definitions***

#### Prohibited Conduct

Means one or more categories of prohibited behavior, including

- Discrimination (including Disparate Treatment);
- Discriminatory Harassment;
- Sexual Harassment, including
  - Quid Pro Quo Sex-Based Harassment,
  - Hostile Environment Sex-Based Harassment,
  - Sexual Assault,
  - Dating Violence,
  - Domestic Violence,
- Stalking
- Retaliation; and
- Violation of Protective Measures.

Definitions for each of the types of Prohibited Conduct are provided below.

#### **Discrimination**

means subjecting an individual or class of individuals to adverse action, including treating an individual or class of individuals differently (“Disparate Treatment”) on the basis of a Protected Class.

### **Discriminatory Harassment**

means unwelcome conduct of a verbal, nonverbal, or physical nature, including electronic communication, on the basis of actual or perceived Protected Class, when such conduct

- Based on the totality of the circumstances, evaluated subjectively and objectively, is sufficiently severe or pervasive that it limits or denies a person's ability to participate in or benefit from any University Program or Activity through the creation of a Hostile Environment.

### **Sexual Harassment**

means any unwelcome conduct or cues of a sexual nature, whether verbal/aural (sounds), visual/graphic (e.g. pictures and videos), physical, or otherwise, when:

- Submission to such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, education, living environment, or participation in any University Program or Activity (commonly known as Quid Pro Quo);
- Submission to or rejection of such conduct by an individual is used as the basis for or a factor in decisions affecting that individual's employment, education, living environment, or participation in a University Program or Activity (commonly known as Quid Pro Quo); and/or
- Such conduct creates a hostile environment. A hostile environment exists when the unwelcome conduct of a sexual nature is sufficiently severe, persistent, or pervasive that it unreasonably interferes with an individual's participation in a university program or activity or creates an intimidating, hostile, offensive, or abusive environment for that individual's participation in a University Program or Activity (commonly known as Hostile Environment).

Examples of conduct that may constitute Sexual Harassment include but are not limited to:

- Unwanted intentional touching that otherwise does not typically constitute Sexual Assault, defined in this Policy;
- Unwanted sexual advances, including repeated unwanted requests for dates, or repeated unwanted requests for sexual contact;

- Unwanted written, verbal, or electronic statements of a sexual nature, including sexually suggestive comments, jokes, videos or innuendos;
- Exposing one's genitalia, breasts, or buttocks, to another; and/or
- Touching oneself sexually for others to view.

This definition addresses intentional conduct. It also includes conduct that results in negative effects even though such negative effects were unintended. Unwelcome conduct of a sexual nature constitutes Sexual Harassment if a Reasonable Person would consider it sufficiently severe, persistent, or pervasive as to interfere unreasonably with academic, other educational, or employment performance or participation in a university activity or living environment.

Sexual Assault, Dating Violence, Domestic Violence and Stalking (based on sex) are forms of Sexual Harassment. However, for purposes of this Policy, Sexual Assault, Dating Violence, Domestic Violence and Stalking are treated as separate offenses.

### **Sexual Exploitation**

means intentionally or knowingly taking sexual advantage of another person or violating the sexual privacy of another when Consent is not present. Sexual Exploitation is a form of [Sexual Harassment](#) and includes, but is not limited to, the following actions (including when they are done via electronic means, methods, or devices):

- Engaging in sexual voyeurism, including observing or permitting others to witness or observe the sexual or intimate activity (e.g., disrobing, bathing, toileting) of another person without that person's Consent;
- engaging in indecent exposure, or exposing intimate parts (including genitalia, groin, breasts, and/or buttocks), or causing another to expose intimate parts, when Consent is not present;
- recording or distributing information, images, or recordings of any person engaged in sexual or intimate activity in a private space without that person's Consent;
- prostituting another individual;
- causing Incapacitation of another person (through alcohol, drugs, or other means) for the purpose of compromising that person's ability to give Consent to non-consensual sexual activity; or

- actively aiding or assisting another person in committing an act of Sexual Harassment, including Sexual Assault, Dating Violence, Domestic Violence, and/or Stalking.

### **Sexual Assault**

means a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation, which includes the following acts:

#### **Rape**

means the carnal knowledge of a person, without the Consent of the victim, including instances where the person is incapable of giving consent because of their age or temporary or permanent mental or physical incapacity ;

#### **Sodomy**

means oral or anal sexual intercourse with another person, without the Consent of the victim, including instances where the person is incapable of giving consent because of their age or temporary or permanent mental or physical incapacity;

#### **Sexual Assault with an Object**

means to use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the Consent of the victim, including where the person is incapable of giving consent because of their age or temporary or permanent mental or physical incapacity;

#### **Fondling**

means the touching of the private body parts of another person for the purpose of sexual gratification, without the Consent of the victim, including where the person is incapable of giving consent because of their age or temporary or permanent mental or physical incapacity;

#### **Incest**

means sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law; or

#### **Statutory Rape**

means nonforcible sexual intercourse with a person who is under the statutory age of Consent in the applicable jurisdiction.

In the Commonwealth of Pennsylvania, the age of Consent for sexual activity is 16. Minors aged 16 years of age or older can legally consent to sexual activity with anyone they choose, as long as the other person does not have authority over them as defined in Pennsylvania's institutional sexual assault statute. Minors under the age of 13 cannot consent to sexual activity. Minors aged 13-15 years old cannot consent to sexual activity with anyone who is 4 or more years older than they are at the time of the activity.

### **Dating Violence**

means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim and where the existence of such a relationship is determined based on a consideration of the length, type, and frequency of interactions between the persons involved in the relationship.

### **Domestic Violence**

means a felony or misdemeanor crime committed by a current or former spouse or intimate partner of the victim under the family or domestic violence laws of the state, or by a person similarly situated to a spouse of the victim; by a person with whom the victim shares a child in common; by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; or by any other person against an adult or youth victim who is protected from that person's acts under the family or domestic violence laws of the jurisdiction.

### **Stalking**

means engaging in a course of conduct directed at a specific person that would cause a Reasonable Person to fear for their safety or the safety of others or suffer substantial emotional distress. Stalking based on sex is a form of [Sexual Harassment](#).

### **Retaliation**

means intimidation, threats, coercion, discrimination or other adverse action against any person by the university, a Student, or an Employee, or another person authorized by the university to provide aid, benefit, or service under the University's Programs or Activities, for the purpose of interfering with any right or privilege secured by applicable federal, state, or local discrimination laws (e.g., Title IX of the Civil Rights Act of 1972, Title VI of the Civil Rights Act of 1964, Title VII of the Civil Rights Act of 1964, the Americans with Disabilities Act, the Pennsylvania Human Relations Act, etc.), or because the person has reported

information to the university, to an external agency, or to law enforcement; made a Complaint; testified, assisted, participated, or refused to participate, in any manner in an investigation, proceeding, hearing, or alternative resolution under this Policy.

Retaliation includes retaliation by peers (“Peer Retaliation”), such as retaliation by a student against another student but also Retaliation by a student against an employee, or by an employee against a student, as well as by an employee against another employee of more or less senior role. An individual need not be a Complainant or Respondent to have committed or been affected by Retaliation. It is not Retaliation for the university to require an employee, or other person authorized by the university to provide aid, benefits, or services as part of University’s Programs or Activities to participate as a witness in, or otherwise assist with, any investigation or adjudication under this Policy.

A finding of Retaliation under this Policy is not dependent on a finding that any alleged underlying Prohibited Conduct occurred. Retaliation is also prohibited by the university’s [Policy Against Retaliation](#).

Similarly, charging an individual with a code of conduct violation for making an allegedly materially false statement in bad faith in a Report, Complaint, or in the course of a grievance proceeding under this Policy does not constitute prohibited Retaliation, provided, however, that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith. Retaliation also does not include pursuit of civil, criminal, or other legal action, internal or external to the university.

### **Violation of Protective Measures**

Any violation of an agreement or order that limits an individual’s contact or interactions with another individual. Such agreement or order may have been issued under the authority of the university; another institution; or a local, state, or federal government or court.

## ***B. Definitions Relating to Consent***

### **Consent**

means a knowing and voluntary agreement to engage in sexual activity at the time of the activity. In order to be valid, consent must be knowing, voluntary, active, present, and

ongoing. Consent should be demonstrated through mutually understandable words or actions.

- Silence, remaining still or inactive (passive), or not actively resisting sexual activity does not constitute consent.
- Consent to engage in one sexual activity does not mean consent to engage in another sexual activity. Consent must be obtained each time, at each step of sexual activity.
- Prior consent does not mean future consent. Consent must be obtained each time, at each step of sexual activity, even for those in an ongoing sexual relationship.
- Consent can be withdrawn at any time. If one individual withdraws consent through clear words or actions, the other person must cease sexual activity immediately.
- Consent cannot be obtained through Force, Incapacitation, or Coercion (as defined herein).

Consent may be invalid where one party has lied to or knowingly deceived the other party as to the use of internal or external condoms or other single-use devices used to prevent the spread of sexually transmitted infections during a sexual encounter.

#### Force

means using physical control (such as restraining a person), physical violence (such as hitting, choking, or displaying a weapon), or threats of either, to cause a person to submit to unwanted sexual activity.

#### Coercion

means using an unreasonable amount of pressure or threats that would overcome the will of a Reasonable Person and cause them to submit to unwanted sexual activity.

Coercion requires more than an attempt to persuade someone to engage in sexual activity. Coercion can include threats, such as threats to cause academic, employment, reputational, or economic harm. When one person expresses that they do not consent to sexual activity or are withdrawing consent for sexual activity, applying continued pressure in order to get the person to submit to unwanted sexual activity can be considered Coercion.

#### Incapacitation

means that a person lacks the ability to make informed, deliberate choices about whether or not to engage in sexual activity. A person is Incapacitated – unable to give consent – because they are:

- under the age of consent (see definition of [Statutory Rape](#) for additional information);
- physically or mentally helpless;
- asleep or unconscious; or
- unaware that sexual activity was requested, suggested, initiated and/or is taking place.

A person may be Incapacitated by the use of alcohol or other drugs. Incapacitation is a state beyond intoxication or drunkenness. A person is not necessarily Incapacitated solely as a result of drinking or using drugs; the level of impairment must be significant enough to render the person unable to give [Consent](#).

For example, a person who is Incapacitated may not be able to answer some or all of the following questions:

- Do you know where you are?
- Do you know how you got here?
- Do you know what is happening?
- Do you know whom you are with?

A person who is Incapacitated may also demonstrate physical signs including but not limited to:

- slurred or incomprehensible speech;
- unsteady manner of walking or inability to walk; and/or
- vomiting or incontinence (a lack of voluntary control over urination and/or defecation).

If a person under the influence of alcohol or drugs decides to participate in sexual activity that they would not participate in while sober, it does not necessarily mean that the person was Incapacitated or that the Consent was not valid.

**Importantly, being impaired by alcohol or other drugs is not a defense to a failure to obtain Consent.**

### ***C. Protected Class Definitions***

#### Protected Class

Consistent with the university's Statement of Assurance, "Protected Class" means any legally-protected characteristic, including race, color, national origin, sex (including sex stereotypes, sex characteristics, sexual orientation, gender identity, and pregnancy or related conditions), disability, age, parental status, family status, marital status, religion,

creed, ancestry, belief, veteran status, genetic information or any other class protected from discrimination under federal, state, or local laws or executive orders.

Discrimination or Discriminatory Harassment based on race, color, or national origin includes conduct based on actual or perceived (i) shared ancestry or ethnic characteristics or (ii) citizenship or residency in a country with a dominant religion or distinct religious identity. This could include conduct such as use of ethnic or ancestral slurs; harassment for how a person looks, dresses, or speaks in ways linked to ethnicity or ancestry (e.g. skin color, religious attire, language spoken, tribe, caste, ethnoreligious identity, or any other physical, cultural, linguistic or social characteristics of a group from which a person descends); or stereotypes based on perceived shared ancestral or ethnic characteristics.

The following definitions of specific categories of Protected Classes are provided as a helpful resource. To the extent these definitions are inconsistent with any applicable federal, state, or local law the university will apply the applicable legal definition.

Expressing a political view or a view on world events will not be cause alone for determination that behavior is [Prohibited Conduct](#) under this Policy.

#### Race

means the ancestry or physical or cultural characteristics associated with a certain race, such as skin color, hair texture or styles, or certain facial features.

#### Color

means a person's pigmentation, complexion, or skin shade or tone.

#### National Origin

means a group of people sharing a common language, culture, ancestry, race, and/or other social characteristics.

#### Sex

means sex assigned at birth — The assignment and classification of individuals at birth including but not limited to male, female, or intersex and the related physical differences between the sexes, such as pregnancy.

#### Sexual Orientation

means a person's actual or perceived predisposition or inclination toward a particular type of sexual activity or behavior.

### Gender Identity

means an individual's sense of their gender, which may or may not be different from their sex assigned at birth.

### Pregnancy or Related Condition

means (1) Pregnancy, childbirth, termination of pregnancy, or lactation; (2) Medical conditions related to pregnancy, childbirth, termination of pregnancy, or lactation; (3) Recovery from pregnancy, childbirth, termination of pregnancy, lactation, or related medical conditions.

Note, in some jurisdictions, including the City of Pittsburgh, the "partner" of a person who is pregnant or has a pregnancy related condition is protected from discrimination and may be entitled to certain reasonable accommodations. For more information, please see Human Resource's [Pregnancy Support and Accommodations Policy \[pdf\]](#).

### Parental Status

means the status of a person who, with respect to another person who is under the age of 18 or who is 18 or older but is incapable of self-care because of a physical or mental disability, is (1) a biological parent, (2) an adoptive parent, (3) a foster parent, (4) a stepparent, (5) a legal custodian or guardian, (6) in loco parentis with respect to such person, or (7) actively seeking legal custody, guardianship, visitation, or adoption of such person.

### Marital Status

means the state of being married or not married.

### Family Status

refers to the configuration of a person's family or their role in a family.

### Disability

means a physical or mental impairment that substantially limits one or more major life activities, a person who has a history or record of such an impairment, or a person who is perceived by others as having such an impairment.

### Age

How old a person is.

### Religion

means all aspects of religious observance, religious practice, religious creed, and religious belief or nonbelief, as defined under Title VII of the Civil Rights Act of 1964 and similar federal, state and local religious discrimination laws.

### Ancestry

means the common physical, cultural or linguistic characteristics of a person's ancestors.

### Veteran Status

means status as a person who served in any branch of the U.S. military.

### Genetic Information

means with respect to any person, information about (i) such person's genetic tests, (ii) the genetic tests of family members of such person, and (iii) the manifestation of a disease or disorder in family members of such person.

## ***D. Policy Definitions***

### Advisor

means, an individual who provides support and advice for the Complainant or Respondent. The Complainant and Respondent may have an Advisor of their choice, who may be, but is not required to be, an attorney. It is a non-speaking role.

However, in a live hearing involving an allegation of [Federal Rule Sexual Misconduct](#) under [Section VI.D.i](#), the Advisor will have a speaking role, limited to conducting cross-examination on behalf of the party they are advising. If either party does not have an Advisor present at the live hearing, the university will provide, without fee or charge to that party, a substitute Advisor of the university's choice who may be, but is not required to be, an attorney. In this event, the role of the Advisor provided by the university will be limited to the conducting of cross examination on behalf of the party that did not have an Advisor.

### Complainant

means a Student, Employee, or other person who is alleged to have been subject to conduct that could constitute Prohibited Conduct under this Policy. In some cases, a Complainant may be different from the person who initially reports information to the university. In the event a Complaint is brought by the IEX Office, the individual affected by

the alleged Prohibited Conduct that is the subject of the Complaint remains the Complainant, and the Title IX Coordinator does not become the Complainant.

### Disciplinary Sanctions

Consequences imposed on a Respondent following a determination that the Respondent is responsible for having committed Prohibited Conduct.

### Employee

means person who is employed by the university to perform one or more of the following roles: regular instructional faculty, supplemental instructional faculty, research track faculty, visiting faculty, librarians, archivists, curators, graduate student instructors, graduate student staff assistants, graduate student research assistants, postdoctoral research fellows, and all regular and temporary Staff.

### Faculty / Faculty Member

means all individuals who hold appointments on the tenure-track, research-track, teaching-track, librarian/archivist-track, and special faculty track of the university, as well as individuals holding emeritus faculty status.

### Federal Rule Sexual Misconduct

is a subset of [Prohibited Conduct](#) which meets the definition of Sexual Harassment in the Title IX Regulations at 34 CFR Part 106.30.

Something which meets the definition of category of [Prohibited Conduct](#) (defined above) rises to the level of Federal Rule Sexual Misconduct when it meets ALL of the following three conditions:

- The alleged conduct was perpetrated against a person in the United States;
- The conduct took place within the [University's Programs and Activities](#);
- PLUS one or more of the following conditions:
  - A Faculty member or Staff member conditions the provision of an aid, a benefit, or a service on another Faculty member, Staff member, Student, or third party's participation in unwelcome sexual conduct (commonly known as Quid Pro Quo);
  - A Faculty member, Staff member, Student or third party engages in unwelcome conduct on the basis of sex that is so severe, pervasive, and objectively offensive

that it effectively denies another person equal access to the University's Programs or Activities (commonly known as Sexual Harassment); or

- A Faculty member, Staff member, Student or third party engages in Sexual Assault, Dating Violence, Domestic Violence or Stalking.

#### Hostile Environment:

Determining whether conduct has created a Hostile Environment is a fact-specific inquiry which may include many factors such as, but not limited to: the degree to which the conduct affected the Complainant's ability to access a CMU Program or Activity; the type, frequency, and duration of the conduct; the parties' ages, roles, previous interactions, and other factors about each party that may be Relevant to evaluating the effects of the alleged unwelcome conduct; the location and context in which the conduct occurred; and other similar conduct in a CMU Program or Activity.

#### Other Prohibited Conduct

means any [Prohibited Conduct](#) that does not meet the definition of [Federal Rule Sexual Misconduct](#).

#### Complaint

means a document — including an electronic submission — filed by a Complainant with a signature or other indication that the Complainant is the person filing the Complaint, or a document signed by the Title IX Coordinator, alleging [Prohibited Conduct](#) against a Respondent and requesting initiation of the procedures in this Policy to investigate the allegation(s). It is the policy of the university to confirm a Complainant's request in writing prior to initiating the grievance procedures.

A Complaint can be made by a Complainant<sup>21</sup> or the IEX Office as set forth in [Section VI.A](#). A Complainant must have been enrolled, employed, or otherwise participating or attempting to participate in the university's Programs or Activities at the time the alleged [Prohibited Conduct](#) occurred in order to file a Complaint under this Policy, although the Complainant need not be enrolled, employed, or otherwise participating or attempting to participate in the university's Programs or Activities at the time the Complaint is made, although, as discussed above, this may cause a Complaint to be addressed as [Other Prohibited](#)

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<sup>21</sup> A Complaint may also be brought by a parent, guardian, or other authorized legal representative with the legal right to act on behalf of a Complainant, where applicable.

Conduct and not Federal Rule Sexual Misconduct (which requires a Complainant to be participating or attempting to participate at the time the Complaint is made).

Preponderance of the Evidence

means to prove that something is more likely than not.

Reasonable Person

means a person using average care, intelligence, and judgment in the known circumstances.

Relevant

Related to the allegations of Prohibited Conduct at issue and whether or not the alleged Prohibited Conduct occurred. Questions are Relevant if they may aid in showing whether the alleged Prohibited Conduct occurred, and evidence is Relevant if it may aid a decisionmaker in determining whether the alleged Prohibited Conduct occurred. The following evidence is impermissible (and will not be considered Relevant) even if it would otherwise be considered Relevant:

- evidence protected under a privilege recognized by federal or state law, unless the person holding the privilege has waived it voluntarily;
- records that are made or maintained by a physician, psychologist, or other recognized professional or paraprofessional in connection with the provision of treatment to a Party or witness, unless the person has voluntarily consented, in writing, to the use of such records in the Grievance Procedures; and/or
- evidence and questions about the Complainant's sexual interests or prior sexual conduct, unless:
  - offered to prove that someone other than the Respondent committed the conduct alleged, or
  - if concerning specific incidents of prior sexual activity with the Respondent which are offered to prove consent.

Such impermissible evidence will not be accessed, considered, disclosed, or used, except to determine whether one of the preceding exceptions applies.

### Remedies

Measures provided, as appropriate, to a Complainant or other person whose equal access to the university's Programs and Activities was determined to have been limited or denied by Prohibited Conduct, in order to restore or preserve that person's access.

### Report

Any notice of conduct that may constitute Prohibited Conduct. A Report may come from any individual, not just a Complainant. Not every Report is or will result in a Complaint.

### Respondent

means an individual who is reported to have engaged in Prohibited Conduct. In the event that a Complaint alleges that a university policy or practice discriminates on the basis of Protected Class, the university is not considered a Respondent. In such cases, the university will follow this Policy, including the Grievance Procedures, although the university will, necessarily, not be entitled to certain procedural rights and steps afforded to individual Respondents. In the event a Complaint against an individual Respondent is based on actions the Respondent took in accordance with a university policy or practice, the Complaint may, in the university's sole discretion, be amended to substitute the university as Respondent. This determination will be made after a consideration of factors including, but not limited to, whether the individual was, in fact, following the university policy or practice; what actions the individual took; and whether the individual could be subject to Disciplinary Sanctions.

### Staff / Staff Member

means all Employees of the university who do not hold faculty appointments. Staff does not include individuals whose primary relationship with the university is as a Student.

### Student

means a person who gained admission to the university.

### University's Programs or Activities

Conduct that takes place in the "University's Programs or Activities" includes locations, events, or circumstances over which the university exercises substantial control over both the Respondent and the context in which the alleged **Prohibited Conduct** occurred, including any on-campus premises or any buildings or property owned or controlled by a recognized student organization on any of the university's campuses, including Carnegie

Mellon University Qatar and Carnegie Mellon University Africa. However, the university will address conduct contributing to a Hostile Environment even if the underlying conduct itself occurred outside the University's Programs or Activities, including if it occurred outside the United States, and including conduct occurring online via computer and internet networks or on digital platforms, including social media sites).

## VIII. Title IX Coordinator

Carnegie Mellon has appointed a Title IX Coordinator to oversee the university's compliance with Title IX of the Education Amendments of 1972, Title VI of the Civil Rights Act of 1964, and other applicable federal, state, and local civil rights laws. The Title IX Coordinator is responsible for this Policy, as well as the Statement of Assurance.

The university's Title IX Coordinator is:

Elizabeth Rosemeyer  
Assistant Vice Provost & Title IX Coordinator  
4615 Forbes Avenue, Suite 400  
Pittsburgh, PA 15213  
(412) 268-7125  
[institutionalequity@andrew.cmu.edu](mailto:institutionalequity@andrew.cmu.edu)

The Title IX Coordinator manages the Office for Institutional Equity and Title IX ("IEX Office"). Employees in the IEX Office are designees of the Title IX Coordinator and may carry out the duties and responsibilities of the Title IX Coordinator. The Title IX Coordinator may also delegate certain responsibilities to other university employees. In this Policy, when the terms Title IX Coordinator or IEX Office are used, they should be understood to include any and all of the Title IX Coordinator's designees.

## Appendix A: Possible Disciplinary Sanctions and Remedies

This appendix lists the possible outcomes from a violation of this Policy. Outcomes may include non-punitive Remedies and punitive Disciplinary Sanctions. The IEX Office may update this list periodically.

Remedies and Disciplinary Sanctions may include the following:

### ***Possible Remedies***

- A no contact order;
- Academic adjustments or accommodations; and
- Workplace adjustments or accommodations.

### ***Possible Disciplinary Sanctions***

- Educational outcomes including conversation with staff and/or reflective paper or project;
- Mandatory training;
- Written apology;
- Written or verbal warning / notice;
- Mental health and/or substance use assessment and recommended follow up;
- Community service;
- Restrictions/limitations on access to campus programs or activities;
- Restrictions/limitations on access to campus property;
- Removal/ban from university housing;
- Mandated removal from class or change to academic schedule;
- Relocation of office;
- Restriction or ban on attending Carnegie Mellon programs and events;
- Removal/ban from campus;
- Disciplinary Probation / Status warning;
- Disciplinary Suspension / suspension;
- Expulsion;
- Modification or suspension of specific job duties;
- Modification or suspension of specific workplace privileges;

- Suspension from employment;
- Termination of employment;
- Suspension of a conferred degree;
- Revocation of a degree; and
- Referral for action under other policies.

## Appendix B: Expert Witness Testimony

This appendix sets forth the standards for the consideration of Expert Witness testimony in the investigation and adjudication of allegations of Prohibited Conduct under the Discriminatory and Sexual Misconduct Policy (Interim).

### ***Definitions***

1. Expert Witness – An Expert Witness is a person who is a specialist in a subject, often technical, who may present expert opinion without having been a witness to or having first hand personal knowledge relating to an allegation of Prohibited Conduct under this Policy.
2. Hearing Officer – For purposes of this Appendix only, the term Hearing Officer means (i) the Hearing Officer appointed under [Section VI.E](#) or (ii) the Assistant Vice President of Human Resources, People and Organizational Effectiveness or designee for cases involving Staff Respondents under [Section VI.D](#).

### ***Notice of Intent to Introduce Expert Witness Testimony***

3. A party who wishes to introduce Expert Witness testimony must provide written notice of the intent to introduce Expert Witness testimony no later than thirty (30) calendar days after receiving the Notice of Allegations issued under [Section VI.C](#) or no later than ten (10) calendar days after receiving notification that the other party intends to introduce Expert Witness Testimony, whichever date is later.
4. After receiving notice of intent to introduce expert witness testimony, the Investigator shall provide written notice of such to all other Complainant(s) or Respondent(s) in the investigation.

5. A party seeking to introduce Expert Witness Testimony must submit the name of the proposed Expert Witness and a copy of the Expert Witness's Curriculum Vitae to the Investigator no later than ten (10) calendar days after submitting the notice of intent to introduce Expert Witness testimony under Section 3 above. The Investigator will promptly share the name and Curriculum Vitae of the proposed Expert Witness with all other Complainant(s) or Respondent(s) in the investigation.

### ***Expert Report & Acceptance of Expert Witness Testimony in the Investigation***

6. Expert Witness testimony is presumed to be inadmissible for cases of alleged Other Prohibited Conduct. This presumption may be overcome and Expert Witness testimony may be permitted in the Title IX Coordinator's discretion when:
  - The Expert Witness's testimony is Relevant to the investigation;
  - The Expert Witness is qualified to provide such testimony; and
  - The Expert Witness's testimony is necessary to enable a lay person to understand the issue.

For all investigations where a party submits expert witness testimony, the Investigator may disallow and/or disregard any testimony or written report submitted by an Expert Witness if the Investigator determines that (i) the Expert Witness testimony is not potentially Relevant to the investigation and/or (ii) the Expert Witness is not qualified to provide such testimony.

7. An Expert Witness must submit a written report to the Investigator no later than fourteen (14) calendar days after the submission of the notice of intent to introduce Expert Witness testimony under Section 3 above.
8. All evidence specific to the allegations that is used by the Expert Witness must be either included in the Expert Witness Report or separately produced to the Investigator for inclusion with the collected evidence.
9. The Expert Witness must participate in a live interview with the Investigator.
10. The Investigator has sole discretion to determine whether the written report of the Expert Witness, or any portion thereof, will be included in the Investigative Report prepared under Section VI.C. For example, the complete written report may be incorporated by reference into the Investigative Report and/or specific excerpts of the report may be included in the Investigative Report.

### ***Admissibility of Expert Witness Testimony for Adjudication***

11. In order for Expert Witness testimony to be considered for purposes of adjudication under [Section VI.E](#) of this policy, the Expert Witness must be available to testify at any live hearing and actually must testify at the live hearing if called to testify by the Hearing Officer. The Expert Witness must submit to cross-examination if cross-examination is available under the applicable adjudication procedure.
12. If an Expert Witness is not available to testify at the live hearing and/or does not testify when called to testify at the live hearing, the Hearing Officer may not consider any prior statement, testimony, or written report submitted by the Expert Witness in reaching a determination regarding responsibility.
13. Except as specified below, the testimony of an Expert Witness may not exceed the scope of the written report previously submitted by the Expert Witness. The Hearing Officer has sole discretion to determine whether testimony is within the scope of the written report and may strike and/or disregard any testimony, where necessary. The Hearing Officer may choose to permit Expert Witness testimony that exceeds the scope of the written report if it is determined that such testimony is necessary to rebut the testimony of another witness.

### ***Extension or Waiver of Expert Witness Deadlines***

14. Any party may request an extension or waiver of any deadline in this Appendix by submitting a written request to the IEX Office and the Investigator. The written request must include an explanation of why the party is/was unable to meet the deadline. The Title IX Coordinator has sole discretion to extend or waive deadlines.

### ***Miscellaneous***

15. The party seeking to introduce Expert Witness testimony is solely responsible for any all expenses and fees charged by Expert Witness.

## Disorderly Conduct Policy

Disorderly conduct is ordinarily defined as the use of abusive or obscene language or gestures to/by a member of the campus community, publicly intoxicated behavior or persistence, after

a request to desist, in behavior which inconveniences or impedes other members of the campus community in their proper use of or passage through the campus area. It constitutes a basis for university disciplinary action and may result in the issuance of commonwealth citations or criminal action.

## Emergency Contact

Every student is expected to designate an emergency contact person for the university to contact in the case of a personal emergency e.g. (you are injured, or become ill). This contact is considered confidential and will only be used for a personal emergency.

To register an Emergency Contact do so by logging into Student Information Online (SIO) on [The HUB website](#) and updating their “Manage Family & Friends” information under the “My Info” tab.

## Emergency Preparedness and Response

The safety and well-being of every individual in the Carnegie Mellon University family is a top priority for the university. The university’s [Emergency Preparedness and Response plans](#) and resources have been implemented to:

- Preserve life and safety of students, faculty and staff;
- Provide concept of operations and direction, control, and coordination of resources needed for incident or event stabilization;
- Protect University property, the community, and the environment;
- Manage communications and information regarding incident and event response operations and safety; and
- Provide and analyze information to support decision-making and action plans.

### Governance, Guidelines, and Structure

[Emergency Preparedness and Response Plan](#)

[Emergency Preparedness and Response Team \(EPRT\)](#)

[CMU-Alert: Emergency Notification System](#)

[CMUSafe Ambassador Program](#)

[Emergency Action Plan](#)

[Personal Emergency Guidance](#)

## Employment Verification

To ensure compliance with federal law, Carnegie Mellon University maintains the [Employment Eligibility Verification \(I-9\) Policy](#) covering the university's I-9 and E-Verify requirements:

- Every individual receiving a stipend from CMU or employed by CMU must comply with the I-9 Policy by completing the Form I-9 within three business days following the first day of stipend start date/employment.
- Individuals who expect to work on a federally funded project are further responsible for submitting an E-Verify Processing Request Form to the Office of Human Resources.

For more information, please see CMU's [Guidance for Completing the Form I-9 and E-Verify Requirements at CMU \[pdf\]](#), or visit the [Human Resources Service website](#) to learn more about Form I-9 and E-Verify and to schedule an appointment to complete the Form I-9.

## Environmental Health and Safety Authorization Policy

### Policy Statement

The safety of the CMU community is a top priority of the university. As such, the university is committed to ensuring an environment and culture of safety. Through the development, implementation, and training of health and safety programs that align to our mission and values, the university will accomplish this by:

1. Establishing and following university standards relating to environmental protection and personal safety. The objective will be to reduce the risk of injury or illness to people, prevent property damage at all locations where operations and/or activities occur, and ensure continuity of operations.

2. Achieving and maintaining compliance with federal, state, and local environmental health and safety laws and regulations.
3. Identifying and correcting health and safety hazards and encouraging faculty, staff, and students to develop programs to identify, to report and to correct potential hazards.
4. Participating in the development of proactive, sound environmental health and effective safety guidelines and policies.
5. Conducting activities in a manner that is protective of the environment, inform the CMU community on topics regarding environmental impact and employ hazardous waste minimization best management practices for institutional operations.
6. Measuring and continuously improving our environmental health and safety performance.
7. Providing information to faculty, staff and students about health and safety hazards.

## Definition of Responsibility and Authority

The creation of a safe workplace and a culture of safety requires attention and responsibility at every level of the university, including all faculty, staff, and students. Core responsibilities include, but are not limited to:

### ***University President:***

1. Has ultimate authority for CMU's compliance with environmental health and safety standards and policies at all facilities under university control.
2. Has authorized EH&S and its Director to coordinate the university's environmental health and safety programs, and to monitor the university's compliance with standards and policies.
3. Communicates the importance of safety and expectations to the CMU community to establish and maintain a strong safety program that continually improves and protects all faculty, staff, students, and guests.

### ***Vice President for Operations, Chief Risk Officer:***

1. Allocates necessary resources for implementation of the university's safety policy, programs, and committees.
2. Supports safety trainings, inspection programs, and emergency drills within the university.
3. Ensures that effective systems are established to identify and address institutional safety concerns.
4. Communicate the risks and safety expectations to the CMU community and support a strong culture of safety.
5. Ensures that university administration, deans, and department heads are notified when there are serious safety issues/incidents on campus.

### ***Deans and College Administrators:***

1. Ensure that all environmental health and safety laws and regulations are carried out in the academic departments/administrative units under their control.
2. Ensure that their academic departments/administrative units are implementing all required EH&S programs, inspections, and trainings.
3. Communicate to faculty, staff, students, and visitors that everyone shares the obligation to work in a safe, healthful, environmentally protective manner.

### ***Department Head and Unit Director:***

1. Ensure that the faculty and staff understand and implement responsibilities for their operations and workspace.
2. Ensure the development and implementation of safety practices, protocols, and rules for teaching laboratories and work space within their purview.
3. Ensure that their department members and affiliates receive compliance training regarding potential hazards associated with each person's employment with CMU.
4. Work with EH&S to comply with regular inspections for teaching/research laboratories, shops, storerooms, studios, or any other work area.

5. Assist EH&S periodically to update compliance training records for the employees and students.

***Principal Investigator/Supervisor:***

1. Ensure that personnel and operations in their areas comply with environmental health and safety laws and regulations.
2. Analyze work procedures to identify hazards and ensure measures are implemented to eliminate or control those hazards.
3. Ensure workplace hazards and EH&S related policies and procedures are communicated to employees, students, and visitors.
4. Ensure safe operating procedures are in place with proper safety equipment and personal protective equipment to perform work safely.
5. Conduct periodic hazard analysis of all program activities to identify potential risks or areas in need of additional safety measures, standard operating procedures, or training.
6. Ensure that participants in their programs are adequately trained and have completed all EH&S and job specific trainings to identify and mitigate potential hazards.
7. Encourage prompt reporting of health and safety concerns and any accidents/incidents in the work area.
8. Assist EH&S staff with safety inspection in their operations and take prompt actions to fix any noted deficiencies.
9. Ensure that a proper material (i.e., chemical, biological, radiation, etc.) inventory is maintained and updated annually or whenever significant changes occur.

***Employees/Laboratory Workers/Trainees/Students:***

1. Read, understand, and follow all safety rules and regulations that apply to their work area.
2. Complete all appropriate safety trainings, provided by the EH&S department and the supervisor.

3. Conduct each operation in accordance with the work area's specific safety procedures and measures.
4. Utilize available and proper engineering and administrative controls, and appropriate personal protective equipment.
5. Develop good personal work area safety habits and promote good housekeeping practices in work areas.
6. Immediately report all safety incidents or accidents to the supervisor and/or a faculty member.
7. Report unsafe practices and hazardous conditions to the work area supervisor.
8. Participate in periodic safety inspections of the work area.

### ***Environmental Health and Safety Authority:***

The Office of Environmental Health & Safety provides technical expertise, assistance with consultations, and serves to assure compliance with legal requirements. Through technical assistance and oversight, EH&S will direct the campus toward compliance with environmental health and safety practices that are required by laws or regulations. EH&S shall have the authority to audit and recommend appropriate corrective or planning strategies, including the development of safety programs. EH&S will consult with external agencies or regulatory bodies as necessary and appropriate, on behalf of the university.

#### **1. Corrective Actions Reports and Citations:**

EH&S is authorized to survey and monitor all areas of the campus to assess environmental risks, life safety exposures, and training requirements, and to recommend improvements. EH&S will submit written reports identifying hazards and recommending corrective action. In the presence of severe hazards or in the case of non-compliance with local, state, and federal regulations or university policies, improvements will be required.

EH&S's director or designee has the authority to issue, following appropriate investigation, noncompliance citations to the appropriate individuals and principal investigator for lack of improvements in response to a formal report or recommendation.

Copies of any formal reports and noncompliance citations associated with unsafe work practices will be provided to the individual, their immediate supervisor, and to other administrators with responsibility for the activity involved. Copies of reports and/or citations given to individual students or student organizations may be forwarded to the dean of students, if required. The dean or designee will determine an appropriate resolution utilizing the normal student disciplinary processes as outlined in The Word student handbook. Performance evaluations of all employees will include the review of noncompliance citations, as they relate to their job duties.

To appeal noncompliance citations:

- Staff members are to use the grievance procedure that is outlined in the [Staff Handbook](#).
- Students are to use the disciplinary process outlined in the University Policy section of [The Word](#). Students may contact the Office of Community Standards and Integrity at 8-2140 for more information.
- Union members may file a grievance through their union stewards.
- Faculty members may meet to seek redress from their department head, and/or the dean of their school, or if appropriate, file a grievance with the Faculty Review Committee.

## **2. Cessation of Hazardous Activities:**

EH&S's director or designee has the authority to immediately suspend or restrict any operation that

- Presents a serious hazard (real or potential) associated with the health, life, safety, or welfare of campus personnel or the public.
- Is found to be a violation of standards.
- Is detrimental to the environment.

If he or she is available, assistance from the relevant administrator, principal investigator, or supervisor will be requested.

In the event that EH&S orders cessation of an activity, EH&S will immediately communicate the problem(s) and violation(s) to the individual, to his or her direct

supervisor, to other administrators with responsibility for the department or center involved, and the appropriate regulatory agency, when required by law.

The activity may be resumed only with the approval of the EH&S director or designee, in consultation with the provost or vice president as appropriate, and the relevant administrators or supervisors.

## Equal Employment Opportunity/ADA

### Policy Statement

Carnegie Mellon University is committed to Equal Employment Opportunity (EEO).

The university bases its employment decisions on the principle of equal employment opportunity. All personnel actions including, but not limited to, recruitment, hiring, training, promotion, compensation, benefits, transfer, layoff, return from layoff, education tuition assistance and social and recreational programs are administered in accordance with the university's commitment to non-discrimination.

### Reason for the Policy

This EEO policy is a reminder of our commitment to equal opportunity and as an update on current responsibilities.

The university recognizes that its success depends on the development and use of the full range of human resources. At the basis of this precept is equal employment opportunity. Through administration of this and related policies, the university intends to assure that it maintains an inclusive work and learning environment where all employees have the opportunity to succeed.

### Regulatory Compliance

The university does not discriminate and is required not to discriminate in employment by Executive Order 11246, the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, the Vietnam Era Veterans Readjustment Assistance Act of 1974, Title VI of the Civil

Rights Act of 1964, Title IX of the Education Amendments of 1972, and other federal, state and local laws. Consistent with the university's Policy Against Retaliation, employees and applicants are protected from harassment, threats, coercion, intimidation, interference, discrimination, or retaliation for filing a complaint or assisting in an investigation under the above statutes and executive order.

## Accountability

This policy was developed by Equal Opportunity Services and incorporates suggestions by the president, general counsel, vice president for business and planning, assistant vice president for human resources and director for equal opportunity services.

Equal employment opportunity and affirmative action must be supported by top management leadership to succeed. The president of the university is the chief officer responsible for oversight of Carnegie Mellon's affirmative action program. This responsibility is delegated through the provost, vice presidents, deans and department heads, who support the president in maintaining the importance of EEO/AA as a critical component of university operations.

## Responsibility

The broad-based efforts of all faculty and staff are key to meeting the university's equal employment opportunity commitments. At Carnegie Mellon, non-discrimination and affirmative action are everyone's responsibility.

In support of Carnegie Mellon's affirmative action and equal employment opportunity commitments, the Office of Human Resources has been charged with responsibility for coordination of the university's EEO/AA programs, which includes: developing and implementing procedures, policies and programs and bringing new initiatives to the attention of senior administrators; formulating Carnegie Mellon's affirmative action plans and monitoring and reporting results; and handling or referring complaints to appropriate university access points. EOS maintains communication with appropriate external organizations in order to remain informed about employment and affirmative action issues. The department also coordinates accommodations for individuals with disabilities, as well as compliance with Section 504 of the Rehabilitation Act of 1973 and the Americans with

Disabilities Act of 1990 and the Vietnam Era Veterans' Readjustment Assistance Act (VEVRAA).

Other individuals and offices carrying specific responsibilities for EEO/AA include:

<p><b>Farnam Jahanian,</b> president, 412-268-2200</p>	<p>Involved in all queries concerning the application of our non-discrimination policy as it applies to educational programming, and works with the university's Faculty Review Committee to resolve complaints regarding the application of Carnegie Mellon's policies as they apply to faculty.</p>
<p><b>Office for Institutional Equity and Title IX,</b> 412-726-7125</p>	<p>Responsible for the university's <a href="#">Discriminatory Sexual Misconduct Policy</a> and for coordinating compliance with Title VI, Title IX, and other federal, state and local civil rights laws.</p>
<p><b><a href="#">HR Disability Services</a>,</b> 412-268-5072 / <a href="mailto:employeeaccess@andrew.cmu.edu">employeeaccess@andrew.cmu.edu</a></p>	<p>Coordinates the provision of reasonable accommodations to staff and faculty members with disabilities to enable them to perform the essential functions or duties of their positions.</p>
<p><b>Staff Ombudsperson,</b> 412-268-1018</p>	<p>Hears staff employee complaints, clarifies issues and suggests possible solutions to work-related problems.</p>
<p><b>Student and Faculty Ombudsperson,</b> 412-268-2845</p>	<p>Provides confidential, impartial assistance to students and faculty in resolving work or interpersonal issues in administrative or academic settings.</p>

## Fire Extinguisher & Sprinkler Systems

Fire extinguishers and full-coverage sprinkler systems are provided in residence halls and other university areas to increase the safety of the occupants. Activating or discharging them

for any reason other than extinguishing a fire is a violation of university regulations and will be subject to review through the community standards process.

## Freedom of Expression Policy

### Policy Statement

Carnegie Mellon University values the freedoms of speech, thought, expression and assembly — in themselves and as part of our core educational and intellectual mission. If individuals are to cherish freedom, they must experience it. The very concept of freedom assumes that people usually choose wisely from a range of available ideas and that the range and implications of ideas cannot be fully understood unless we hold vital our rights to know, to express, and to choose. The university must be a place where all ideas may be expressed freely and where no alternative is withheld from consideration. The only limits on these freedoms are those dictated by law and those necessary to protect the rights of other members of the university community and to ensure the normal functioning of the university.

At the university, restrictions on expression are narrowly construed and content-neutral in their application. Expression of even unpopular or challenging opinions is typically protected, although protection of speech is not absolute, and some forms of speech, particularly those which would not be protected by the First Amendment if the university were a public institution, may be restricted. As provided by applicable law, the university has the right to impose reasonable time, place, and manner restrictions on the exercise of speech and assembly, which the university has done, and reserves the right to continue to do. Further, faculty, staff, students and other members of the university community whose conduct is found to have violated university policy, even when such conduct may have taken the form of speech or expression, are subject to conduct review.<sup>22</sup>

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<sup>22</sup> For example, disciplinary action may be taken for speech that violates the university's Statement Assurance (regarding harassment and discrimination), the Sexual Misconduct Policy, the Code of Business Ethics and Conduct (with respect to respectful and professional conduct in the workplace), the Staff Handbook, community standards published in The Word Student Handbook, and the provisions of the Appointment and Tenure policy regarding misuse of authority to harass.

Standards for faculty at Carnegie Mellon pertaining to academic freedom and responsibility are set forth in the [Appointment and Tenure Policy](#).

For additional details on interpretation of this Policy, including the application of time, place and manner standards as well as clarifications related to Academic Freedom as recommended by the university's Commission on Academic Freedom and Freedom of Expression, please reference the [Guidance on Freedom of Expression](#) and the [Procedures for Scheduling and Safely Hosting On-Campus Events Involving Expressive Activity](#).

## **Rights**

On Carnegie Mellon's campus, faculty, staff, and students of the university may distribute printed material,<sup>23</sup> offer petitions for signature, make speeches and hold protests or demonstrations outside university buildings.<sup>24</sup> Members of the campus community have a right to hear, see, and experience diverse intellectual and creative inquiry, whether from speakers from within our own community or from guest speakers invited by a recognized campus organization. Defending that right to hear, see and experience such expression is a fundamental obligation of the university. Controversy cannot be permitted to abridge the freedoms of speech, thought, expression or assembly. They are not matters of convenience, but of necessity.

All activities under this Policy must be peaceful, avoiding acts or credible threats of physical violence and preserving the normal operation of the university. No event will be permitted to harm others, damage or deface property, block access to university buildings or disrupt classes or operations of any university program or activity. These conditions are content neutral in their application to any message or sponsorship of the act or event.

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<sup>23</sup> The distribution of printed materials does not include the hanging of posters and other matters covered by the [Advertising on Campus - Graffiti and Poster Policy](#) or relevant individual department policies. Posters and other expression placed on university property that are not compliant with the Poster Policy and/or do not have the express permission of the department that controls the space may be removed by the university and may be subject to university policies and/or applicable law regarding graffiti and vandalism.

<sup>24</sup> Individuals and organizations who are not Carnegie Mellon students, faculty, or staff who wish to distribute printed material, offer petitions for signature, make speeches or hold protests or demonstrations outside university buildings, are required to have a university sponsor from a current member of the university community. For more information about events or activities that require advance notice, see [Procedures for Scheduling and Safely Hosting On-Campus Events Involving Expressive Activity](#).

Additional details regarding the event notice process are available in the [Procedures for Scheduling and Safely Hosting On-Campus Events Involving Expressive Activity](#).

### ***Responsibilities***

Freedom of expression must be at once fiercely guarded and genuinely embraced. Those who exercise it serve the Carnegie Mellon community by accepting the responsibilities attendant to free expression. University organizations that sponsor invited guests to campus are expected to uphold Carnegie Mellon's educational mission by planning carefully to create safe and thoughtful experiences for those involved. Hosts are responsible for the behavior of their guests and should exercise due care to ensure that all participants abide by relevant university policies.

## Hazing

### Opening Statement:

Carnegie Mellon is committed to nurturing a healthy and safe environment conducive to learning and fostering a sense of belonging for all members of the university community. Hazing, in all its forms, is antithetical to the university's values and is strictly prohibited.

### Definition:

Consistent with state and federal laws, Carnegie Mellon University defines hazing as any passive or active action or situation, on or off campus, in which a student or organization:

1. endangers another student's mental and/or physical health and safety, or willfully risks property damage or loss; and,
2. pertains to the purpose of admission eligibility, continued social status within, or as a condition for continued membership in any student organization or group.

## Organizations and Groups:

'Student organization' or 'group' is defined as any assembly of two or more currently enrolled students of the Carnegie Mellon University community, whether or not the organization or group is established or recognized by the university.

## Consent:

Any such activity, as outlined in this policy, shall be presumed to be hazing regardless of the individual's willingness to participate. There is no informed consent for hazing activity.

## Participation:

The university shall consider a participant anyone who is present during a hazing action or situation and who chooses not to physically or verbally intervene in such a way that would or could mitigate or change the hazing action. Individuals being hazed will not be considered participants in the act of hazing.

Additionally, students in leadership positions within an organization who have actual knowledge of, or reasonable belief that hazing may occur or may be occurring, and who do not take actions to intervene, will be considered participants. Students in leadership positions do not need to be physically present for the activity in order to be considered participants.

## Categories of Hazing:

**Subtle Hazing** includes behaviors that emphasize a power imbalance between members, individuals seeking membership, and other members of the group or community. These may result in individuals being on the receiving end of ridicule, embarrassment, and/or humiliation tactics. Individuals often feel the need to endure hazing to feel like part of the group or community, including when the activity is presented as optional but has real or perceived negative consequences for nonparticipation.

*Examples of subtle hazing include but are not limited to:*

- Being forced to do something others are not required to do (e.g., hold The Fence)

- Persistent name-calling or assignment of belittling nicknames
- Imposed social isolation or restriction from participation
- Acts of servitude (e.g., forced labor, obedience tests, unnecessary duties)

**Harassment Hazing** includes behaviors that cause emotional anguish or physical discomfort for someone to feel like part of the group. Harassment hazing often confuses, frustrates, and causes undue stress for individuals.

*Examples of harassment hazing include, but are not limited to:*

- Verbal abuse
- Threats or implied threats
- Requiring situationally inappropriate attire (e.g., dress codes, costumes)
- Sleep deprivation
- Inappropriate scavenger hunts or road trips
- Other physical expectations, such as carrying heavy objects

**Violent Hazing** includes behaviors that do or could cause physical, emotional, or psychological harm.

*Examples of violent hazing include, but are not limited to:*

- Forced or coerced alcohol or other drug consumption
- Beating, paddling, or other forms of assault
- Water intoxication or other food/beverage consumption
- Forced or coerced sexual acts
- Blindfolds and/or restraints (e.g., bondage)
- Kidnapping or drop-offs
- Expected participation in illegal activity or activity prohibited by university policy

Students and/or recognized student organizations accused of violating this hazing policy or violating Pennsylvania criminal hazing laws (shared below) will be subject to investigation and review through the university community standards process. This could result in outcomes up to and including suspension or expulsion from the university for students and temporary or permanent loss of university recognition for student organizations.

Click here for more information about [hazing prevention and response](#).

### **Safe Harbor for Individuals Seeking Medical Attention Resulting from Hazing Activities:**

## State Laws

On October 19, 2018, the Commonwealth of Pennsylvania enacted the Timothy J. Piazza Anti Hazing Law. Any person who causes or participates in hazing commits a criminal act. More information can be found ([here](#)). Carnegie Mellon University Hazing Reports are available on the CMU Police Department webpage ([here](#)).

## Federal Law

The Stop Campus Hazing Act, passed in 2024, requires colleges to report hazing incidents, publicly list organizations that violate hazing policies, and implement prevention programs. Schools must track hazing cases, educate students, and enforce policies to make campuses safer and more transparent.

[Text - H.R.5646 - 118th Congress \(2023-2024\): Stop Campus Hazing Act](#)

## Pennsylvania Definitions of Hazing Offenses:

### ***Hazing (18 Pa C.S.A. 2802)***

A person commits the offense of hazing if the person intentionally, knowingly or recklessly, for the purpose of initiating, admitting or affiliating a minor or student into or with an organization, or for the purpose of continuing or enhancing a minor or student's membership or status in an organization, causes, coerces or forces a minor or student to do any of the following:

1. Violate Federal or State criminal law.

2. Consume any food, liquid, alcoholic liquid, drug or other substance which subjects the minor or student to a risk of emotional or physical harm.
3. Endure brutality of a physical nature, including whipping, beating, branding, calisthenics or exposure to the elements.
4. Endure brutality of a mental nature, including activity adversely affecting the mental health or dignity of the individual, sleep deprivation, exclusion from social contact or conduct that could result in extreme embarrassment.
5. Endure brutality of a sexual nature.
6. Endure any other activity that creates a reasonable likelihood of bodily injury to the minor or student.

### ***Aggravated Hazing (18 Pa C.S.A. 2803)***

A person commits the offense of aggravated hazing if the person commits a violation of Hazing (as defined above) that results in serious bodily injury or death to the minor or student and:

1. The person acts with reckless indifference to the health and safety of the minor or student; or
2. The person causes, coerces or forces the consumption of an alcoholic liquid or drug by the minor or student.

### ***Organization Hazing (18 Pa C.S.A. 2804)***

An organization that intentionally, knowingly or recklessly promotes or facilitates a violation of Hazing or Aggravated Hazing (as defined above). For purposes of this offense, the term "organization" includes:

1. A fraternity, sorority, association, corporation, order, society, corps, club or service, social or similar group, whose members are primarily minors, students or alumni of the organization, an institution or secondary school; or
2. A national or international organization with which a fraternity or sorority or other organization as enumerated under paragraph (1) is affiliated.

## ***Institutional Hazing (18 Pa C.S.A. 2805)***

An institution that intentionally, knowingly or recklessly promotes or facilitates a violation of Hazing or Aggravated Hazing (as defined above). For purposes of this offense, the term "institution" is defined as an institution located within this Commonwealth authorized to grant an associate or higher academic degree.

**Note:** *This offense does not apply to individuals and is not actionable via the Community Standards process. Rather, it may be applied to institutions, such as Carnegie Mellon, as circumstances warrant and is included to raise awareness of the particular legal provision.*

## Health Insurance Portability and Accountability Act (HIPAA) Policy

### Purpose

In compliance with the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191 as amended) ("HIPAA"), Carnegie Mellon University ("University") has adopted the following Health Insurance Portability and Accountability Act Policy ("Policy") to protect Protected Health Information ("PHI"), as defined by the Code of Federal Regulations 45 C.F.R. 160.103. It is the intent of this Policy to act as a supplement to, not a replacement for, other University Policies.

### Declaration of Hybrid Entity Status

The University is a Covered Entity under the HIPAA statute and regulations, however, the business activities of the University include both covered and non-covered functions. The University hereby designates itself a hybrid entity for purposes of HIPAA compliance.

The University's Health Care Component ("HCC"), which may be revised and updated by the Privacy Officer from time to time, is hereby designated as including the following: **HCC Provider Functions.**

- University Health Services (“UHS”), limited to standard health care services provided to students; and
- Counseling and Psychological Services (“CaPS”), limited to psychiatry services provided to students.
  - **Internal Business Associates** Currently, the university does not have any internal business associate functions as the Primary Components listed above provide covered services only to students and, thus, does not create or maintain any PHI. Accordingly, there are no internal functions or departments that engage in the creation, receipt, maintenance or transmission of PHI for or on behalf of the HCC.

## Policy

Carnegie Mellon University's designated HCC shall maintain the privacy of PHI in accordance with the requirements of the HIPAA statute and regulations.

The President of the University shall appoint a University HIPAA Privacy Officer responsible for coordinating compliance with the HIPAA Privacy Rule. The specific roles and responsibilities of this officer shall be set forth in supplemental documentation developed by the University.

The University HIPAA Privacy Officer and Primary Components shall coordinate to develop supplemental procedures to implement this Policy.

## Maintenance

This Policy shall be reviewed by the Office of the General Counsel and University HIPAA Privacy Officer as deemed necessary based on changes in the law and changes in functions or activities that affect HIPAA compliance and this Policy. All iterations of this Policy shall be maintained for a period specified by applicable federal regulations.

## Enforcement

Violations of this Policy may result in suspension or loss of the violator's use privileges with respect to University Information Systems, and/or discipline up to and including

termination of employment with the University. Additional civil, criminal and equitable remedies may apply.

## Exceptions

Exceptions to this Policy must be approved by the University HIPAA Privacy Officer in consultation with the Office of the General Counsel and relevant individuals in the HCC. All exceptions must be formally documented. Exceptions will be reviewed on a periodic basis for appropriateness.

## Definitions

- **Health Information** is defined as any information, whether oral or recorded in any form or medium, that is created or received by a health care provider, health plan, public health authority, employer, life insurer, school or university, or healthcare clearinghouse; and that is related to the past, present or future physical or mental health condition of an individual, the provision of health care of an individual, or the past, present or future payment for the provision of healthcare to an individual.
- **Individually Identifiable Health Information** is defined as any health information, as defined above, that identifies an individual or where there is reasonable basis to believe that the information can be used to identify an individual.
- **Protected Health Information ("PHI")** is defined as Individually Identifiable Health Information transmitted by electronic media, maintained in electronic media or transmitted or maintained in any other form or medium. Protected Health Information does not include education records covered by, or treatment records excluded from, the Family Educational Rights and Privacy Act (20 U.S.C. 1232g) or employment records held by the University in its role as an employer.
- **Workforce** member means employees, volunteers, trainees, and other persons whose conduct, in the performance of work for the Health Care Component, is under the direct control of the Health Care Component, whether or not they are paid by the Health Care Component.

# Housing Policies

Adherence to the Housing Services policies is vital to a safe, fair, and enjoyable residential experience. Violation of these policies or those in the Housing License Agreement may result in administrative or disciplinary actions, which could include removal from university housing. Additionally, all students are expected to adhere to [The Word](#) and [University Policies](#).

## Air Conditioning

Students are not permitted to bring air-conditioners without permission from Housing Services. To request housing in an air-conditioned space for medical reasons please refer to the [Housing Accommodations](#) page. While most Housing buildings offer air-conditioning, the following buildings are not air-conditioned: Mudge House, E-Tower, and Donner.

## Bicycles

Bicycles are to be "walked" inside any residential building. Bicycle racks are provided in residential areas where appropriate. No bicycles shall be parked or stored in such a manner as to block entrance/exit from any building, to impede the normal movement of wheelchair users or others with special mobility needs, and/or to any interior or exterior stairway or railing. Storage of bicycles should not violate fire safety regulations. Such violations in residential buildings will result in removal and storage of the bicycle. Students may be charged a fine and storage costs. While every attempt will be made to not damage a bicycle while in the process of removal or storage, the university is not liable for damage to a bicycle removed because of a violation. To claim a bicycle removed from a residential building, contact Campus Police.

This information is in addition to the university policy on bikes.

## Break Periods

The Housing License Agreement covers fall and spring semesters only, typically mid-August through mid-December for fall, and early/mid-January through mid/late-May for spring. (See the Housing License Agreement for any given academic year for exact dates of

occupancy.) The Housing License Agreement covers all break periods except for Winter Break and summer.

During Thanksgiving and fall and spring breaks, residents can stay in their rooms without extra charges, as all residence halls remain open.

During [Winter Break](#), most residence halls close, but housing residents are allowed to stay in designated residential buildings (an additional fee applies.) Students in open buildings need to apply for Winter Break housing online and get pre-approval to stay. Residents will receive Winter Break information in late October or early November.

[Summer housing](#) is available for students who are attending summer school or students affiliated with the university and require housing for a period equivalent to a summer school session. An on-campus residence hall is selected each spring for summer housing. The minimum amount of time a student can apply for housing is one summer school session. There is a charge for summer housing.

## Bulletin Boards and Posting Notices

The posting of notices, announcements or posters on bulletin boards in residence halls is restricted to recognized student organizations, individual Carnegie Mellon students and university departments/ programs. Bulletin boards in the living areas of residence halls are regulated by the Residential Education staff, while bulletin boards in other public areas are regulated by Student Government. Bulletin boards in individual living units are under the direct control of the Resident Assistant (RA) and the members of that living unit. Those wishing to disseminate information through these bulletin boards must follow the process managed by the Office of Residential Education. Information about the poster distribution process is available on [this website under Resident Communication](#). All postings on bulletin boards within the residence halls must comply with the [Housing Services Solicitation Policy](#).

## Cable Television Service

Cable television service is provided to all residents. Students must bring their own televisions and cable cords to connect to the outlets in their rooms. Students are not permitted to have individual or private cable service in University owned or operated housing.

## Cancellation of Housing & Refund Policy

In general, housing cancellations and refunds are not issued unless a student is leaving the university, due to leave a leave of absence, suspension, withdrawal from the university or studying abroad. Any student who is released from their housing contract will be assessed a housing cancellation fee, which is a non-refundable fee, unless the cancellation request is made during the Open Cancellation period in the spring semester immediately following Room Selection. It is the student's responsibility to contact Housing Services if they will not be returning to the university, or if they are a current resident taking a leave or withdrawing mid-semester.

## Christmas Trees and Decorations

Natural Christmas trees and greens are not permitted in university housing because of the significant fire hazard they create. Holiday decorations are permitted, but they may not use electrical lights or other devices that have not been approved by Underwriters Laboratories.

## Common Area Painting

Students who want to paint a common area (lounge/study/recreation room/hallway) of a residential building must receive permission from Housing Services, coordinated through their Housefellow. All proposed projects will be reviewed and approved/denied by their housefellow and Housing Services. Once approved, the painting may begin. Appropriate creativity is encouraged and some communities have sponsored contests to identify designs. Contact your [Housefellow](#) for details and support.

## Common Area Responsibility

As stated in the Housing License Agreement, each resident is responsible for any damages or losses that occur in the assigned living areas or to any of the furnishings therein and the residents may be charged the cost of any repairs, replacement or reasonable custodial service. Each student is, with the other residents, jointly responsible for whatever damage may occur, for any cause, to public and semi-public areas in the residence halls. All residents may be charged a prorated share of the cost of repairing public areas.

## Cooking

Cooking in residence hall rooms is strictly prohibited for health and safety reasons, with the exception of "compact" microwave ovens under 700 watts. Cooking is permitted only in areas specifically provided as kitchen areas, such as apartment kitchens and common area kitchens properly equipped by the university. Prohibited appliances (see policy listed below) may not be used in any residential space including kitchens. Housefellows may grant exceptions for programmatic use.

## Electrical Appliances / Prohibited Items

No electrical appliances that incorporate unshielded heating elements and/or draw more than 700 watts may be used in campus residence buildings, including student rooms, kitchens and all building common areas.

Microwaves, refrigerators, and Keurigs, as well as standalone rice cookers and electric kettles under the guidelines outlines below, are only permitted if they are 700 watts or less. Electric irons may be used only in areas where special utility outlets are provided, such as in designated utility or laundry rooms. Please note that any of these appliances should be plugged directly into a wall outlet and not a surge protector.

Prohibited items include (but are not limited to):

- Slow cookers
- Pressure cookers (electric or traditional)
- Hot plates
- Toasters/toaster ovens
- Coffee pots (Keurigs and coffee makers with no exposed heating element are permitted)
- Induction cooktops
- Halogen lamps
- Space heaters
- Any electrical item not Underwriters Laboratory approved
- Any electrical item with an exposed heating element

Please note that Housing Services may provide induction cooktops in kitchen spaces or space heaters if needed. If you are uncertain about whether or not an item is prohibited, please contact Housing Services prior to purchasing.

Electric kettles and standalone rice cookers are approved for use in residential kitchen spaces only (either in-room kitchens or community kitchens) and are not able to be used in student bedrooms or living areas that are not designated kitchen spaces. The guidelines for use of these approved appliances include:

- used in approved kitchen spaces only
- be properly plugged directly into an approved wall outlet (120V), never in a surge protector
- unplugged when not in use
- not left unattended when in use
- have an automatic shut off or boil dry protection
- must be UL listed and labeled.

## Fire Safety

**Residents incur a penalty fee of \$200 for violating [fire-safety guidelines](#) as established by Environmental Health and Safety.** Furniture left in corridors that cannot be identified will be returned to storage by Housing Services facilities crew to avoid fire hazards. Per the Common Area Responsibility policy students may be charged for the removal and storage of these items.

Sprinkler heads and smoke detectors should not be tampered with, altered, or covered in any way. Residents should not hang any items from sprinkler heads.

The use of fire escapes for any reason other than emergency evacuation is strictly prohibited.

## Guests and Visitors

Visitors and guests are allowed in residence halls. At all times, residents are personally responsible for the actions of their guests. As a result, residents are responsible for any damage, physical or otherwise, to the community caused by their visitors. If the guests are Carnegie Mellon students, then they also accept responsibility for their actions.

All visitors or guests to a room are subject to the approval of all room residents. Overnight guests are not permitted for more than two consecutive nights.

## Housing Disability Accommodation Policy

Carnegie Mellon University does not discriminate in the provision of housing to students with disabilities. Carnegie Mellon will provide reasonable accommodations to students with disabilities who need special housing accommodations to ensure that students with disabilities receive comparable, convenient and accessible housing at the same cost as to other students. Carnegie Mellon will make reasonable modifications to its housing policies, procedures and practices when such modifications are necessary to avoid discrimination, unless such modifications would fundamentally alter the nature of the housing services provided by the University. Please visit the [special accommodations page](#) for full details about the housing accommodations policy, including applicable deadlines and forms required when requesting special accommodations.

## Hoverboards

Hoverboards are not permitted in all university operated housing (including residence halls, apartments, and Greek Houses). If you currently possess a hoverboard, we recognize that you may need assistance making shipping arrangements (due to postal regulations) or storing it until a later date. Should you find yourself in this situation, please contact your Housing Services Facility Coordinator (FC) as soon as possible.

## Illegal Possession of Keys

Students are responsible for access gained through the use of their assigned access device. Access devices include keys, student ID card, or Mobile ID app. Swapping or sharing or copying these items is not permitted as your name data is associated with your assigned access device. Students found using or having in their possession any access device for any university doors or facilities that they are unauthorized to use or possess will be subject to disciplinary action.

## Improper Use of University Facilities

Improper use of facilities will be construed as the occupation, alteration or use of university facilities that would create a potential fire hazard, safety hazard to any person or property, or potential danger to any person or property.

## Inspection and Privacy

Authorized representatives of the university may enter resident accommodations at any time to inspect facilities or to carry out repairs and maintenance. The inspection of facilities will be conducted with at least 24 hours prior notice in writing whenever that notice can be reasonably given. If any Housing Services or residential life staff member enters a student room without a prior request or written notice, the student will receive a report documenting the time and purpose of entry. The university may authorize entrance to an accommodation if convinced that a clear and present danger or a violation of the university's regulations requires such entrance. (This regulation applies to campus housing as well as other university space.)

## Mail, Packages, and Deliveries

All mail and packages for all campus housing residents must be addressed and sent to the individual's Student Mail Code (SMC) box. Mail and packages includes anything sent through the United States Postal Service, UPS, FedEx, DHL, Amazon Prime, etc. No mail or packages of any kind should be sent directly to the street address of the residence hall or apartment building. Housing Services bears no responsibility for the damage, theft, or removal of any packages that are sent directly to the building addresses. In order to ensure that your package and mail is safe and secure, you must send it to your SMC code address.

All mail and packages should be addresses as follows:

First/Preferred Name and Last Name

SMC #####

5032 Forbes Avenue

Pittsburgh, PA 15289

Deliveries of food or groceries through a delivery service such as Instacart or PostMates should only be placed when you will be present and available to accept delivery of your order. Food or groceries that are delivered and not received directly by the resident may be removed and discarded as they create health issues and can attract unwanted pests.

## Microwave Ovens

Residents may bring their own compact microwaves to campus as long as they are under 700 watts.

## Open Flames and Combustible Materials

Open flames or combustible/flammable materials of any kind, including (but not limited to) candles, incense, flammable liquids and gases, pretreated charcoal, fireworks and other such combustibles, are absolutely prohibited in university housing.

## Outdoor Poster Policy for Residential Areas

No signs, posters or banners of any size shall be hung outside or around any residential building, except upon special request. This applies to all residence halls, apartment buildings and houses as well as fraternities and sororities. Special consideration may be given, on request, for groups to use outdoor postings during university-wide special events. Requests for exceptions to this policy should be made to the Director of Housing Services.

## Pets and Animals

Except as set forth below, pets and other animals are not permitted in any university housing facilities, including fraternities and sororities.

- Fish in an aquarium no larger than five (5) gallons are permitted in university housing facilities.
- Emotional support animals may be permitted within a student's personal living space in a university housing facility, with prior written approval from the Office of Disability Resources. An emotional support animal is an animal that is necessary to afford a person with a disability an equal opportunity to use and enjoy a dwelling when there is an identifiable relationship or nexus between the person's disability and the assistance the animal provides. Requests for accommodations regarding emotional support animals should be submitted to the Office of Disability Resources.

- Service animals are permitted inside university housing facilities but may be prohibited from accessing certain environments where the presence of an animal presents a health or safety risk (e.g. kitchens, laboratories, sterile facilities, etc.). Service animals are defined as dogs that are individually trained to do work or perform tasks for people with disabilities. Student residents who wish to maintain a service animal in their dormitory must first contact the Office of Disability Resources for more information.

For more information regarding service animals and emotional support animals please visit the [special accommodations](#) page.

In addition, the following standards apply to service animals and/or emotional support animals maintained in university residence facilities:

1. Any emotional support animal or service animal must be healthy and free of communicable disease. If appropriate for the animal, documentation of all veterinarian recommended vaccination must be provided to the Office of Disability Resources. New proof of vaccination must be provided before the previous proof of vaccination expires.
2. Dogs must be properly registered with the City of Pittsburgh. Registration documentation must be submitted annually to the Office of Disability Resources.
3. Emotional support animals are only permitted in the approved student's private living space. Animals are not permitted in any public or common spaces within the residence facility, except as necessary to bring the animal into and out of the building as needed. Housing Services or the Office of Student Life may establish reasonable restrictions on how an emotional support animal is transported into and out of the building.
4. Emotional support animals approved by the Office of Disability Resources for university residence facilities are not permitted inside other campus buildings. See The Word.
5. Emotional support animals are not permitted in the private living spaces of other residents of the facility.
6. The student is responsible for any damages caused by the service animal or emotional support animal in the student's private living space or elsewhere.
7. The student is responsible for the behavior of the service animal or emotional support animals, even when the student is not present in the living space.

- 8.** The student is responsible for providing appropriate care for the service animal or emotional support animal at all times, including the clean-up and disposal of any waste. Animal waste or bags containing animal waste cannot be placed in garbage chutes or common area trash cans.
- 9.** The service animal or emotional support animal may not be disruptive to the community. Disruptive animals may be removed.
- 10.** Emotional support animals must wear collars and identification tags at all times.
- 11.** Carnegie Mellon reserves the right to remove any animal that is not appropriately cared for. To ensure that appropriate care is available at all times, students are encouraged to establish a plan to care for the animal in the event the student is unable to do so (e.g. due to illness or emergency).
- 12.** Carnegie Mellon reserves the right to establish other reasonable expectations or restrictions at any time to ensure the health or safety of the community.

Individuals with concerns or complaints regarding animals in residence facilities should contact a Resident Assistant or University Police.

## Personal Property and Insurance

Students are responsible for insuring their own personal property, including for losses due to fire, smoke, water and theft. The University is not responsible or liable for any loss or damage to the students' personal property and does not provide any property or liability insurance coverage for students' benefit. The University reserves the right to store at no liability for a limited period of time (for a period not to exceed 30 days), discard or donate personal property or any other belongings remaining in an accommodation after the accommodation has been assigned to another student or has not been vacated by a prescribed time. The University reserves the right to charge the student a fee for any storage of personal property or other belongings provided by it.

## Privacy and Behavior Standards

All residents have the right to determine the private activity that takes place in their assigned rooms. Members of the floor also have the right to determine community

standards for the floor. Roommates have equal voice in determining the private activities of the room, and one roommate's rights must not infringe upon another roommate's rights.

## Public Lounge Facilities

At the beginning of each academic year, a layout of each lounge area and its contents will be inventoried and may be posted in the lounge. The furniture and contents of the lounge facilities should not be removed from the lounges under any circumstances without the expressed authorization of the building's Facility Coordinator. In addition to disciplinary action, student(s) found with common area furniture will be charged the standard hourly labor rate to return each piece to its proper location.

## Quiet Hours

Quiet hours for all residential areas are 8 pm - 8 am on Sunday through Thursday nights, and Midnight - 9 am on Friday and Saturday nights. During finals week or reading days, 24-hour quiet hours will be in effect. For long vacation weekends, weekend hours will be in effect until the night before classes resume. Courtesy hours exist at all other times, during which the right of residents to live in an environment free from bothersome noise should be respected.

"Quiet" is defined as being unable to hear any noise at a distance of 10 feet from a room with a closed door. During "courtesy" hours, noise can be considered bothersome if it can be heard at a distance of 50 feet.

The notion of "courtesy" more broadly involves structuring your activities so that other people in your living unit are not adversely affected by noise. In particular, all residents are encouraged to carefully plan their use of sound equipment (such as stereos and TVs) or their social gatherings so that the noise produced by them does not infringe upon the rights of others.

The established quiet hours stated above are the minimums for every residential area. If you or anyone in your living unit believes that quiet hours should be extended, contact your Resident Assistant (RA) or Student Dormitory Council representative. That person has the authority to conduct a vote of the people living in your area and, pending unanimous approval, extended quiet hours will be implemented.

If you have concerns in relation to quiet hours or courtesy hours in your living area, please feel free to consult your RA. The RA is your primary advocate in situations involving noise violations and can assist you by addressing any questions or concerns you may have.

## Refrigerators

Residents may bring their own mini-refrigerators to campus as long as they are smaller than 4.3 cubic feet and operate on 110/120 VAC. Residents who do not remove personal mini-refrigerators upon checking out will have their student accounts charged \$40 per hour for removal and \$160 for refrigerator disposal/recycling. Refrigerators are limited to one per student.

## Right to Housing Privileges

In signing a Housing License Agreement, each resident agrees to abide by whatever regulations may be established by the university, Housing Services, the Residential Life staff, the Student Dormitory Council or the individual living units. Any resident student whose conduct does not meet the standards established for the university community may be denied the privilege of campus residency.

## Room Condition Responsibility

All residents of a room or apartment are equally responsible for the accommodation and its furnishings. At the end of each academic year, any damages to a student's room will be charged to the occupants of that room.

## Room Alterations

Students are not permitted to make permanent alterations to the furniture or structure of rooms or other residential areas. Prohibited actions include (but are not limited to) painting, drilling or nailing into the walls, and construction or renovations. Housing Services maintains a rotation schedule that allows for all residential areas to be painted and maintained on a regular basis. Students who make alterations to their room without authorization will be charged the cost of having the room professionally repaired. All

decorations should be hung using removable temporary adhesives such as Command strips or painters tape and any additions to the room must be free standing and not blocking exits.

## Security Camera Policy

Housing Services is committed to safety, security and our residential community's quality of life. All building entry doors are locked 24 hours a day and right of entry is granted through access on an individual's CMU ID card. Additionally, security cameras are located at the main entrances and high pedestrian traffic locations on building perimeters. The security cameras are not monitored live unless deemed necessary by CMU Police and recordings obtained with the use of the cameras will be exclusively accessed by CMU Police for safety and law enforcement purposes.

Recorded images will be stored for 30 days and will be erased unless retained as part of a criminal investigation, court procedure, or other necessary safety practice.

A list of camera locations may be available by written request to the Director of Housing Services or his/her designee.

## Smoking Policy

All university residence halls, including Fairfax Apartments, are smoke-free living environments. This policy prohibits the smoking of tobacco or any other substance in residential areas. In accordance with Housing Services policies, residents must also abide by policies prohibiting the use of any open flame for any reason, including but not limited to the burning of candles, incense, etc. This designation not only includes the actual residents of the area, but also extends to their guests. As such residents will be responsible for ensuring that any violation of this policy will be reported to the proper authorities and any violations of this policy will be appropriately enforced.

The Smoke-free Living Policy was developed through the efforts of students, faculty and staff to assist residents and their guests to maintain a residential environment, which minimizes their exposure to second hand smoke and its impact on the health of others.

## Solicitation and Sales

Unauthorized sales and/or solicitation are expressly prohibited in any residence area. "Solicitation" is defined to mean any effort to ask for donations or contributions of money, goods or services. "Sales" are defined to mean any activity of offering a product or service in exchange for money, goods or other services. In exceptional cases, an individual or group seeking permission to be in the residential areas for the purpose of soliciting or selling must receive written authorization from the Director of Housing Services or his/her designee. In most cases, those recognized groups or individuals that receive permission to be in the residence halls will be restricted to tables reserved for such purposes in public areas or lobbies.

## Swimming Pools and Hot Tubs

Swimming pools, hot tubs, and any other item containing large amounts of water are prohibited because of the hazards associated with drowning, electrocution, water damage and the weight of large volumes of water. Because we cannot guarantee that all necessary safety precautions will be taken, students are not permitted to have or use items such as swimming pools, hot tubs, dunk tanks, or slip n slides in or around residential buildings. Reducing the size of the pool or tank does not remove the hazard.

## University Furniture

Unwanted room furniture cannot be stored during the academic year. Closet doors in rooms and apartments also may not be removed. Do not, under any circumstances, leave furniture in the hallway corridors. Rooms with missing furniture at the end of the academic year will be charged the full replacement cost for each missing item. This also applies to summer housing residents.

## Waterbeds

Waterbeds are prohibited in university housing because of the potential for significant damage to the residence halls and to students' personal property if a waterbed breaks or is vandalized.

## Weapons Policy

In accordance with the University Deadly Weapons policy, deadly weapons are not permitted on any property owned or controlled by the university. Additionally paintball guns, pellet guns, airsoft guns and realistic replica weapons are prohibited in and around residential buildings. Residents and guests who qualify for an exemption as outlined in the University Deadly Weapons policy must also receive written approval from the Director of Housing services or his/her designee.

## Window Screens

Students are not permitted to remove screens from their windows. Missing screens or screens that have been removed from windows will be reinstalled at the student's expense.

## Wires and Utility Lines

No wire may be strung outside any living unit or any alterations made to any university residential building without the express permission of Housing Services. This includes satellite dishes, radio and television aerials.

In addition, no student or student organization may alter or tap into university utility lines, television antenna wires or cable lines without the express permission of Housing Services (in the case of resident facilities) or Facilities Management Services (in the case of other campus buildings).

## ID Card Terms of Use

### ID Card Terms of Use

As a Carnegie Mellon University ID Cardholder, you agree to the following:

- The Carnegie Mellon ID Card is the official Carnegie Mellon University identification card. All faculty, staff, students, and sponsored individuals are required to have their ID Card for identification, security, and access to university buildings and services. The card must be

carried at all times while on the CMU campus. The card is valuable and should be treated like cash, a credit card or a key.

- You must present your ID Card for identification if requested by a university official. Additional identification or signature may be required for certain purposes.
- Faculty and staff must relinquish the card upon separation from the university. Access privileges of the ID Card will be deactivated when student, faculty or staff status is terminated. Access privileges will also be deactivated for students who are not registered for courses and not charged tuition and relevant ID Card-related fees (i.e., transportation, activity). ID Cards are not renewable in these cases (including for students *In Absentia*) and will only be re-issued if the appropriate status change occurs.
- Since students *In Absentia* are not registered for courses and are not charged tuition and relevant ID Card-related fees (i.e., housing, dining, transportation, activity), their Carnegie Mellon ID Card access privileges are deactivated. ID Cards for *In Absentia* students are not renewable unless a student's status changes to *In Residence*.
- The ID Card is to be used **only** by the person to whom it is issued. Only the cardholder can present the card for [Plaid Cash](#), banking and other privileges. The ID Card will be confiscated if presented by someone other than the cardholder. Departments may be issued a card for use by designated persons for Carnegie Mellon purchasing privileges in accordance with university policies and procedures.
- Students must abide by Carnegie Mellon's rules and regulations as identified in the "University Policies". Faculty and staff misuse will be reported to the cardholder's supervisor. Guest cardholder misuse will be reported to the guest sponsor and/or University Police.
- You must immediately report a lost or stolen ID Card by visiting [Student Information Online](#) or by contacting The HUB. You are responsible for any loss due to a lost or stolen card. In order to receive a replacement ID Card, you must go to The HUB during [business hours](#) to have a new card printed. A \$30 replacement fee applies for all lost ID Cards. Once a new ID Card has been created, your old ID Card will be invalid, and if found cannot be reactivated.
- You must not damage or alter the ID Card in any manner. This includes, but is not limited to, punching holes in or affixing unapproved stickers to the card. Keep your card away

from computers, cell phones, TVs, stereo equipment, microwaves, and other magnetic devices. Do not store your card where it may bend or come in direct contact with other magnetized cards. Damage or misuse of the card may render it unusable.

- The HUB does not issue temporary ID Cards, whether it be for a visitor on campus or a lost card.
- Carnegie Mellon, Enrollment Services and The HUB reserve the right to change these Terms and Conditions regulating the use of the ID Card.

## Plaid Cash Terms of Use

As a Plaid Cash user, you agree to the following:

- Utilizing the Plaid Cash feature of your ID Card is **optional**. Plaid Cash accounts will be activated upon initial deposit by the cardholder.
- You must present your own ID Card in order to purchase products or services. The ID Card can be used at all participating locations on and off campus. The ID Card is the property of Carnegie Mellon University and is non-transferable. The ID Card may be deactivated and retained by a Carnegie Mellon University official when presented by any cardholder making inappropriate or illegal use of it. Misuse, alteration or destruction of the ID Card may result in disciplinary action.
- Plaid Cash cannot be used to pay for items listed on the student's Carnegie Mellon University student account invoice (i.e., tuition).
- Plaid Cash enables you to use your ID Card at all participating locations on and off campus. Funds on this account are deposited at your discretion. Carnegie Mellon has established a maximum deposit amount of \$2,000. Plaid Cash acts as a debit card and is not a credit card. There are no limitations on the number of times a card may be used for purchases, as long as the cardholder maintains an adequate balance in the cardholder's account. Restitution is required for overdrafts on your account resulting from off-line transactions.
- Once funds are deposited into the Plaid Cash account, any remaining balance will carry over from semester to semester and year to year, as long as you are actively affiliated with Carnegie Mellon University. The university accepts and holds funds prepaid by you

for your sole benefit. The university shall apply these funds to any purchase of goods made through the use of Plaid Cash. No funds may be transferred from Plaid Cash to the Dining Service Meal Plans or vice versa. Plaid Cash funds may not be used to obtain cash or cash advances under any circumstances. No interest or other earnings will be paid to you or credited by the university.

- Carnegie Mellon University reserves the right to close any account that is inactive for more than twelve (12) months. Plaid Cash accounts will be closed automatically twelve (12) months after you cease to be a university student or employee. Accounts that are closed by the university will have all remaining funds forfeited to the university, unless a Plaid Cash refund request is made by the cardholder. View the [Plaid Cash Refund Policy](#).
- Point-of-sale terminals are equipped to provide a receipt for each transaction. It is your responsibility to ensure that the receipt is correct and to secure the receipt. You may view detailed account transaction activity by visiting [Student Information Online](#).
- You must immediately report a lost or stolen ID Card by visiting [Student Information Online](#) or by contacting The HUB. You are responsible for any loss due to lost or stolen cards. In order to receive a replacement ID Card, you must go to The HUB during [business hours](#) to have a new card printed. A \$30 replacement fee applies for all lost ID Cards. A new photo will be required if the old photo is more than six months old. Once a new ID Card has been created, your old ID Card will be invalid, and if found cannot be reactivated.
- Merchandise may be accepted for return, in accordance with the refund policy in effect, at the place of purchase of the product(s) or service(s). Any refund(s) shall be credited to your Plaid Cash account. No cash refund(s) will be made for any purchases with the ID Card. Refunds of Plaid Cash account funds are only permitted upon: expulsion, graduation, and withdrawal. All accounts will be closed before a refund is granted. A refund request form must be completed before a refund is processed. An administrative fee of \$25 will be assessed for processing refunds. View the Plaid Cash [Refund Policy](#).
- If you believe your account has been charged in error, either due to an error on a receipt or activity statement, or if you would like specific transaction information, you must contact The HUB within 30 days of the error, either in person or via email at [idplus@andrew.cmu.edu](mailto:idplus@andrew.cmu.edu). The HUB will conduct an investigation of the request and

provide a written response within 20 business days. If the error is validated, The HUB will make the necessary adjustments to your Plaid Cash account.

- All cardholders are prohibited from purchasing alcohol, tobacco, firearms, and adult material using Plaid Cash. Plaid Cash merchants that offer these products will not sell them to customers paying with Plaid Cash.

***ID Card and Plaid Cash Terms and Conditions are subject to change.***

## Information Security Policy

### Purpose

Carnegie Mellon University ("University") has adopted the following Information Security Policy ("Policy") as a measure to protect the confidentiality, integrity and availability of Institutional Data as well as any Information Systems that store, process or transmit Institutional Data.

### Scope

This Policy applies to all faculty, staff and third-party Agents of the University as well as any other University affiliate who is authorized to access Institutional Data.

### Maintenance

This Policy will be reviewed by the University's Information Security Office every year or as deemed appropriate based on changes in technology to regulatory requirements.

### Enforcement

Violations of this Policy may result in suspension or loss of the violator's use privileges, with respect to Institutional Data and University owned Information Systems. Additional administrative sanctions may apply up to and including termination of employment or contractor status with the University. Civil, criminal and equitable remedies may apply.

## Exceptions

Exceptions to this Policy must be approved by the Information Security Office and formally documented. Policy exceptions will be reviewed on a periodic basis for appropriateness.

## Definitions

- **Agent**, for the purpose of this Policy, is defined as any third-party that has been contracted by the University to provide a set of services and who stores, processes or transmits Institutional Data as part of those services.
- **Information System** is defined as any electronic system that stores, processes, or transmits information.
- **Institutional Data** is defined as any data that is owned or licensed by the University.

## Policies

01	Throughout its lifecycle, all Institutional Data shall be protected in a manner that is considered reasonable and appropriate, as defined in documentation approved and maintained by the Information Security Office, given the level of sensitivity, value and criticality that the Institutional Data has to the University.
02	Any Information System that stores, processes or transmits Institutional Data shall be secured in a manner that is considered reasonable and appropriate, as defined in documentation approved and maintained by the Information Security Office, given the level of sensitivity, value and criticality that the Institutional Data has to the University.
03	Individuals who are authorized to access Institutional Data shall adhere to the appropriate Roles and Responsibilities, as defined in documentation approved and maintained by the Information Security Office.

# Missing Student Protocol and Confidential Contact

In accordance with the Higher Education Opportunity Act of 2008 (20 U.S.C. § 1092(j)), Carnegie Mellon has adopted this Missing Student Notification Protocol. Each student has the option to register a Confidential Contact person who will be notified by Carnegie Mellon if the student is determined to be missing.

Confidential Contact information will be kept confidential and will only be accessible by authorized personnel in furtherance of a missing person investigation. Students who wish to register a Confidential Contact for notification through the missing student protocol may do so by logging into Student Information Online (SIO) on [The HUB website](#) and updating their "Manage Family & Friends" information under the "My Info" tab.

## Missing Student Procedures

Any community member may contact the University Police or Office of the Dean of Student Affairs to report concern that a student may be missing. If the report did not originate through University Police, the information will be immediately conveyed to University Police to begin an investigation.

If the University Police investigation determines that the student is missing, the university will notify the student's Confidential Contact no later than 24 hours after the determination that the student is missing. If the missing student is under the age of 18 and not emancipated, the university will contact a custodial parent or guardian, in addition to the Confidential Contact. The university will also notify the appropriate local law enforcement agency within 24 hours of the determination that the student is missing.

In addition to notifying the Confidential Contact, the University is required to notify a custodial parent or guardian of the missing status of any student under the age of 18, and not emancipated.

## No Contact Agreements/No Contact Orders

Carnegie Mellon is committed to providing support and resources to any student who may be the recipient of persistent unwanted or harassing contact by another student. In certain circumstances, it may become necessary for the university to formalize an arrangement

between two students to no longer have contact with each other (direct or indirect) other than that which is necessary for either party to continue their academic pursuits. Such an arrangement is designed as a protective measure to help mitigate the potential for future problematic interactions between the two students. The arrangement may take the form of either a No Contact Agreement or No Contact Order, as follows:

**A No Contact Agreement (NCA)** is a mutual agreement between two students who voluntarily affirm that they will not have direct contact with each other, or make indirect contact through third parties, except for that which is necessary for their academic pursuits. An NCA does not constitute a finding of responsibility for violating university policy, nor does it preclude the possibility of future review of any past interactions through the community standards process. Following discussion and agreement to enter into the NCA, the two students will receive a letter confirming the terms of the agreement. In the event that a student declines to enter into a requested NCA, an associate vice president of student affairs or the Title IX coordinator may elect to review the matter to determine whether a No Contact Order is warranted. Please see [a sample No Contact Agreement \(pdf\)](#).

**A No Contact Order (NCO)** is a directive from an associate vice president of student affairs or the Title IX coordinator indicating that two students may not have direct contact with each other, or make indirect contact through third parties, except for that which is necessary for their academic pursuits. An NCO may be issued:

- when, upon careful review, the associate vice president or the Title IX coordinator deems there is sufficient information presented that doing so will safeguard students' abilities to pursue their education in an environment free from unwanted contact. In such an instance, the NCO does not constitute a finding of responsibility for violating university policy, nor does it preclude the possibility of future review of any past interactions through the community standards process; or
- in connection with the community standards process, either as an interim measure during the pendency of the process and/or an outcome associated with a finding of responsibility from the process.

No Contact Orders issued after a finding of responsibility are most often binding only on the responding party. However, in limited circumstances, they may be mutual. Carnegie Mellon

will carefully consider the individual circumstances of the situation, including the burden placed on the reporting party by issuing a mutual No Contact Order.

Please see [a sample No Contact Order \(pdf\)](#). A student who receives an NCO may appeal the decision in writing to the dean of students (a NCO received as a sanction through the community standards process may be appealed via the appeal procedures set forth in the Community Standards section of The Word).

Once implemented, any violation of an NCA or an NCO will be vigorously pursued as an alleged violation of community standards through the community standards process. An NCA or NCO remains in effect until it has been terminated, in writing, by the Office of the Dean of Student Affairs following a determination that the arrangement is no longer warranted or necessary.

A student considering request of an NCA or NCO may discuss the situation with a Housefellow, a College Liaison, the Office of the Dean of Student Affairs, the Office for Institutional Equity and Title IX, the Office of Community Responsibility, the Office of Residential Education, or University Police.

## On-Campus Emergencies

Students are expected to immediately contact University Police at 412-268-2323 when police, fire, or medical personnel are needed for an on-campus emergency situation. Off-campus emergencies should be directed to 911.

The Environmental Health and Safety department provides additional information about emergency procedures via the University Safety Guidelines:

<https://www.cmu.edu/ehs/Guidelines/index.html>

## On-Campus Noise

Members of the university community have a right to work, study, practice and live in an environment free from disruptive noise. Acknowledging our desire to foster a vibrant campus culture, which will necessarily involve some noise associated with campus activities, the following expectations are intended to guide thoughtful planning and decision-making by students and student groups:

Activity occurring on Carnegie Mellon-owned or managed property that disrupts the normal course of business or is otherwise disruptive to the university or surrounding communities is restricted during the following hours:

- Monday - Thursday: before 4:40 p.m. and after 6:50 p.m.
- Friday: before 4:40 p.m. and after 10:00 p.m.
- Saturday and Sunday: before 7:00 a.m. and after 10:00 p.m.

To fully support our vision for campus life, it is necessarily the case that some organized activities will merit consideration for exception to these articulated hours. Such requests are encouraged and should be submitted via [this form](#) to the Director of Student Involvement and Traditions for review and approval.

Any time that excessive noise on-campus results in a reasonable complaint from individuals within or beyond the campus, the responsible party is expected to reduce the volume immediately. Failure to meet such a request from a university official will be referred for review through the community standards process, separate and apart from any citations or other actions that may be taken by law enforcement authorities.

Any individual who would like to make a complaint about excessive noise is encouraged to immediately direct it to University Police, (412) 268-2323, who will maintain a record of the complaint in connection with their response.

For concerns related to noise or quiet hours in residential communities please visit the [Housing Policies](#) website.

## Personal Wheeled Vehicle Transportation Policy

### Definitions

**Personal Wheeled Vehicles:** Refers to vehicles used for personal transportation, human-powered or powered by an electric or other non-internal combustion motor. Bicycles are the prime example. Personal wheeled vehicles also include skateboards, in-line skates, scooters, electric bicycles, Segways, and other vehicles. For the purposes of this Policy, this definition does not include any vehicles which require a Pennsylvania driver's license to

operate, such as gasoline-powered scooters and two-wheeled, seated vehicles which fall outside the PennDOT definition of a “pedalcycle”. (See [Pennsylvania Consolidated Statutes, Title 75, § 102. at Definitions.](#))

## Operation

- In any circumstances, anyone using a wheeled vehicle of any type must yield the right of way to pedestrians.
  - Walk or carry your vehicle when campus traffic is congested.
  - Pass with caution on the left and alert the people around you before doing so.
- Operators are required to operate at speeds that are prudent and reasonable under existing conditions. Speed limit of five (5) miles per hour shall be observed while on shared paths with pedestrian traffic.
- No person is allowed to operate any wheeled vehicle:
  - Inside any building;
  - On any pedestrian building access ramp;
  - On, across or through landscaped or grass areas.
- The university strongly encourages bicycle and other wheeled vehicle operators to wear a U.S. Consumer Product Safety Commission approved helmet or equivalent protective device.
- Operators traveling in a manner that is deemed unsafe by a University Police Officer may be issued the appropriate citation.
- Any type of wheeled vehicle that requires a driver’s license is prohibited from operation on shared-use paths on campus. These vehicles are only authorized for use on public streets and are subject to the regulations of the City of Pittsburgh and of the Pennsylvania Motor Vehicle Code.

## Registration

The university Transportation department offers bicycle and other wheeled vehicle registration through the [CMU Bicycle Registration form](#). There is no fee for registering. Registering can greatly help in retrieving a bicycle or other vehicle in case of theft. It also allows the university to contact the owner for retrieval if the vehicle is parked improperly or abandoned.

## Parking

A personal wheeled vehicle is parked/stored on campus at the risk of its owner. For operators' convenience, bicycle racks are provided at various campus locations. These racks are appropriate for bicycles and other two-wheeled vehicles. A list of campus bicycle rack locations can be found at the [Transportation Services website](#) and at the [Environment at CMU website](#).

In order to maintain campus accessibility for all users, no wheeled vehicle shall be parked, stored, or left standing in such a manner as to:

- Block entrance to or exit from any building or structure on campus;
- Block outdoor walkways or stairs;
- Impede the movement of persons with disabilities;
- Inhibit the full use of campus infrastructure, such as benches, handrails, ramps, railings, and other such furniture;
- Damage or potentially damage trees, artworks or landscaping;
- Impact any other location in a way that violates federal, state or local fire and safety regulations.

Personal wheeled vehicles left in such areas will be removed immediately and impounded.

Finally, the use of any indoor area for wheeled vehicle parking is restricted when, in the best judgment of the person(s) responsible for that area, storage therein interferes with the routine activities normally conducted in that area. When accessing an indoor parking area (i.e. designated indoor parking rooms, personal offices, etc.), vehicle owners should use the most direct path to avoid impedance of indoor pedestrian traffic.

## Removal and Impoundment of Wheeled Vehicles

Any University Police Officer, Transportation officer, or official authorized by the university may remove and impound any wheeled vehicle which:

- Is parked in violation of any of the sections of this policy;
- Appears to have been abandoned as evidenced by signs of disuse or neglect.

Bicycles or other wheeled vehicles impounded may be recovered only upon proof of ownership and after required fees are paid. Owners are responsible for all costs involved in removal and storage of impounded items.

Unclaimed wheeled vehicles shall be held for a minimum of six months by Transportation Services, at which time the owner shall be presumed to have relinquished legal title. Such bicycles shall be disposed of through proper legal procedure.

The CMU Police Department, Facilities Management Services, Transportation Services, or other university departments are not responsible for any alleged damage or loss of accessories or equipment of an impounded vehicle.

## Pets

Pets are permitted outside on campus grounds when leashed and properly attended. No animal may be left tied to trees or other objects on campus. In all cases the owner of the animal is responsible for the animal's behavior and any damage caused by the animal.

Except as noted below, students and their guests are not permitted to bring dogs, cats or other pets inside any university buildings, including residence facilities, fraternities and sororities, classrooms, and other academic or administrative facilities.

More information regarding service and emotional support animals can be found through the [Office of Disability Resources](#).

More information regarding pets and housing policies can be found on the [Housing Policies](#) website.

Students or student organizations that would like to host an on-campus activity or event that involves animals (such as a petting zoo) must receive prior permission. Such requests are encouraged and should be submitted via [this form](#).

Students are expected to properly respect, attend to, care for and treat any pets or animals that they maintain or interact with in any capacity.

Community members should contact University Police if a problem arises with any animal. Any unattended animal(s) will be picked up and impounded by University Police or Animal Control

officers. [Guidelines](#) for how impounded animals are handled in the City of Pittsburgh, which can include adoption or euthanasia.

## Policy Against Retaliation

It is the policy of Carnegie Mellon University to protect from retaliation any individual who makes a good faith report of a suspected violation of any applicable law or regulation, university Policy or procedure, any contractual obligation of the university, and any report made pursuant to Section 9 of the Carnegie Mellon University Code of Business Ethics and Conduct.

Carnegie Mellon faculty, staff, and students shall not in any way intimidate, reprimand or take retaliatory action against any individual who makes a good faith report of a suspected violation. Individuals who violate this policy shall be subject to appropriate disciplinary action, up to and including dismissal from the university.

An individual who knowingly or intentionally makes a false report of a violation may also be subject to disciplinary action.

### Reporting Violations

Individuals are encouraged to report suspected violations of this policy or any other legal, policy or contractual obligation through standard management channels, such as to their immediate supervisor or other appropriate University officials. However, an individual who for any reason feels uncomfortable reporting a suspected violation through established channels may file a report through the University's Ethics Reporting Hotline:

#### **CARNEGIE MELLON UNIVERSITY ETHICS REPORTING HOTLINE**

**TOLL FREE: 844-587-0793**

Via the Internet: [cmu.ethicspoint.com](http://cmu.ethicspoint.com)

Reports of suspected violations submitted to this hotline may be made confidentially, and even anonymously, although the more information that is given, the easier it is to investigate the reports.

# Policy for Use of Carnegie Mellon University Trademarks

## Policy for the Use of Carnegie Mellon University Trademarks

Carnegie Mellon University owns and controls its name(s), logos, insignias, seals, crests, designs, symbols and any other marks associated with the university (hereafter “Carnegie Mellon trademarks” or “trademarks”). The purpose of this policy is to provide information and guidelines to the university community regarding the use of Carnegie Mellon's trademarks. Carnegie Mellon operates a licensing program through the Trademark Licensing Office, which controls the use of Carnegie Mellon trademarks. The overall purpose of the licensing program is to protect Carnegie Mellon University's trademarks and to ensure such trademarks are used in an appropriate manner for the benefit and promotion of the university.

In order to comply with and assure protection under federal, state, and international trademark law, Carnegie Mellon University is required to monitor all uses of its trademarks. Unauthorized use of Carnegie Mellon trademarks is subject to civil and criminal penalties.

A license is required for any individual, organization, or company to reproduce or otherwise use Carnegie Mellon's name or trademarks for a commercial or non-commercial venture. All uses of Carnegie Mellon trademarks on commercial or non-commercial products require prior approval from the Trademark Licensing Office or another university official authorized to sign license agreements under the Policy for Authority to Commit the University. All licensees of Carnegie Mellon trademarks must comply with the Carnegie Mellon Code of Workplace Conduct for Trademark Licensees. Approval of trademark licenses is also subject to the Guidelines for Carnegie Mellon Code of Workplace Conduct for Trademark Licensees using Trademarks as set forth in this Policy.

Members of the Carnegie Mellon community, including faculty, staff, students, student organizations, and colleges, schools, departments, centers, etc., should seek written approval from the Trademark Licensing Office prior to the production of any product bearing Carnegie Mellon's name or trademarks.

## ***Overview of Carnegie Mellon Trademarks***

Carnegie Mellon University owns and controls its name(s), logos, insignias, seals, crests, designs, symbols and any other marks associated with the university (hereafter “Carnegie Mellon trademarks” or “trademarks”). These trademarks include both registered and unregistered marks. Carnegie Mellon trademarks include, but are not limited to the words: Carnegie Mellon University; Carnegie Mellon; CMU; Carnegie Institute of Technology; Carnegie Tech; Tartans; and the phrase “My Heart is in the Work.” Carnegie Mellon trademarks also include, but are not limited to, designs and logos, such as the official seals of Carnegie Mellon University and the Carnegie Institute of Technology; the stylized acronym CMU; the Scottie Dog logo and the Scottie Dog mascot.

The Trademark Licensing Office and Marketing and Communications protect the use of the official tartan(s) associated with Andrew Carnegie and Carnegie Mellon.

Carnegie Mellon University has registered many of its trademarks in the United States and in foreign countries. For questions concerning whether a particular mark is a Carnegie Mellon trademark, please contact the Trademark Licensing Office.

## ***Using Carnegie Mellon Trademarks***

Carnegie Mellon's trademarks are intended to present a positive image of the university. All trademarks should be used in an appropriate manner for the benefit and promotion of the university. Carnegie Mellon trademarks may not be altered in any way.

The university's trademarks may not be used in any manner that suggests or implies an endorsement of other organizations, companies, products, services, political parties, or religious organizations.

The university's trademarks may not be used in any way that will discriminate against any persons or groups based on age, ancestry, belief, color, creed, disability, national origin, race, religion, sex, sexual orientation or veteran status, or in any other way that would be a violation of the university's anti-discrimination policies.

## ***Internal Use of Carnegie Mellon Trademarks***

Subject to the paragraph immediately following, members of the university community, including faculty, staff, students, student organizations, and academic colleges, schools,

departments, centers, etc., should seek written approval from the Trademark Licensing Office prior to producing or having produced any products bearing Carnegie Mellon trademarks. Items include, but are not limited to, apparel, headwear, binders, coffee mugs, glassware, and cell phone covers. Approval may be subject to the Product and Art Approval Guidelines below.

When Carnegie Mellon University trademarks are used on print items e.g., business cards, external publications, display items, or on university-owned websites by faculty, staff or students for university business or educational purposes, such uses of Carnegie Mellon trademarks should comply with the Brand Standards established by the Marketing and Communications Division. No approval from the Trademark Licensing Office is required for such uses.

### ***Class Projects***

Any item/artwork/project produced as part of a course and which uses Carnegie Mellon's trademarks for non-commercial purposes does not require a license and is royalty exempt. For the purpose of monitoring use to assure protection of the trademark. However, the student or team leader should notify the Trademark Licensing Office of the use of a trademark prior to the start of the project. Faculty and staff members should direct students to notify the Trademark Licensing Office when necessary under this policy.

### ***Third-Party Use of Carnegie Mellon Trademarks***

A license is required for any individual, organization, or company to reproduce or otherwise use Carnegie Mellon's name or trademarks for a commercial or non-commercial venture. Each specific use of a Carnegie Mellon trademark requires written approval from the Trademark Licensing Office. All licensees must comply with the Carnegie Mellon Code of Workplace Conduct for Trademark Licensees. Approval of licenses is also subject to the Product and Art Approval Guidelines below.

Approval for a specific use or design for one application does not grant permission to alter the design in any way or to use the same design for another purpose, without seeking additional written approval from the Trademark Licensing Office. For example, approval to use a particular design on a T-Shirt does not automatically grant approval to use the same design on a coffee mug.

Third-party organizations that need to use Carnegie Mellon University's trademarks in relation to verifiable partnerships or non-commercial or promotional activities should request permission to do so from the Marketing and Communications Division. Any permission granted would be documented in an agreement signed by both parties. Third-party promotional products co-branded with Carnegie Mellon University trademarks requires dual art review from the Trademark Licensing Office and the Marketing and Communications Division.

### ***Product and Art Approval Guidelines***

All products bearing Carnegie Mellon trademarks should follow the Merchandise Guidelines established under the Brand Standards established by the Marketing and Communications Division.

Carnegie Mellon will not license products that do not meet minimum standards of quality and/or good taste in university's sole opinion, or products that are judged to be dangerous or carry high product liability risks. The following products normally will not be approved by the Trademark Licensing Office:

- products that could be used to injure or kill;
- products that could present a high-liability exposure;
- alcoholic beverage products;
- tobacco-related products;
- sexually suggestive products;
- obscene, disparaging, or discriminatory products;
- products that are inimical to the mission or image of the university.

Additionally, certain art/designs will not be approved for use in conjunction with Carnegie Mellon's trademarks. These include the following:

- art depicting the use or endorsement of alcohol;
- art depicting the use or endorsement of illegal drugs;
- art depicting the use or endorsement of tobacco products;
- art depicting the use or endorsement of firearms or other weapons;

- art depicting racist, sexist, hateful, demeaning or degrading language or statements;
- art depicting profanity;
- art depicting sexual acts;
- art depicting statements impugning other universities;
- art or a design incorporating trademarks or copyrights not owned by the university, unless written permission for such use is obtained from the mark holder or copyright owner.

Carnegie Mellon reserves the right to approve or disapprove any use of trademarks, even if not explicitly prohibited by these guidelines.

### ***Product and Art Approval Panel***

The Trademark Licensing Office reserves the right to interpret the Product and Art Approval Guidelines and decline to grant licenses for uses that violate the guidelines. The Trademark Licensing Office may also refer any questionable or potentially controversial licensing requests to the Vice President and General Counsel and the Vice President for Marketing and Communications, or their designees. Appeals of decisions made by the Trademark Licensing Office may also be referred to the Vice President and General Counsel and the Vice President for Marketing and Communications, or their designees.

### ***Selecting Suppliers***

The Trademark Licensing Office has established licensing agreements with a number of suppliers who provide a variety of products. A complete list of all current licensees is available at <http://www.cmu.edu/trademark/suppliers/index.html>. Individuals or groups seeking a supplier should first review this list to determine if the required items may be obtained from one of the current licensees. If it is necessary to use a supplier that is not licensed, consult the Trademark Licensing Office.

### ***Royalties***

Royalties are collected from a licensee for the use of Carnegie Mellon's trademarks. The net income from the licensing program benefits the overall mission of Carnegie Mellon; after expenses are covered, net income is used for the university's Education & General

Operating (E&GO) budget. Contact the Trademark Licensing Office for information on royalty-exempt products.

### **Contact**

Established in 1994, the Trademark Licensing Office welcomes any questions you have regarding this policy or the proper use of Carnegie Mellon trademarks. Please contact the Director of Trademark Licensing at (412) 268-3904.

## Policy on the Protection of Children in Carnegie Mellon University Programs, Activities and Facilities

### Policy Statement

The mission of Carnegie Mellon University includes creating and disseminating knowledge and art through research, creative inquiry, teaching and learning and transferring our intellectual and artistic product to enhance society in meaningful and sustainable ways. Pursuing this mission includes engagement, outreach, and service to the community. In particular, Carnegie Mellon endeavors to support improvements in early childhood education, primary and secondary education, including pre-college, through research, education, recreation, and community service. These endeavors also enhance the professional and personal growth of Carnegie Mellon students. This engagement with the broader community necessarily involves interaction with minor children (under the age of 18). Carnegie Mellon is committed to providing a safe and secure environment for all minors involved in any programs or activities conducted on university premises, as well as any off-campus programs or activities sponsored by the university. This Policy sets forth the university's legal obligations, requirements for and expectations of faculty, staff, students, contractors, and volunteers who operate and/or participate in such programs. The purpose of this Policy is to ensure the safety and well-being of minors while setting high standards to encourage the pursuit of excellence in our engagement, outreach, and service to the community. All members of the Carnegie Mellon community, including faculty, staff, students, contractors, and volunteers, are expected to act in accordance with this policy. This policy describes three separate and independent requirements:

- First, in Section II, it describes a “Program Registration” requirement which will allow the university to ensure that programs involving minors satisfy the requirements of the Pennsylvania Child Protective Services Law, as amended by Pennsylvania Act 153, as well as other best practices related to health, safety, program operation, parental permission, risk management, etc.
- Second, in Section III, the Policy sets forth the requirements for background certifications that are required by the Pennsylvania Child Protective Services Law when working with minors. These requirements are independent of the program registration requirements in Section II. Before working with minors, please make sure of your obligations under both Sections II and III.
- Third, in Section IV, the Policy sets forth the requirements for the mandatory reporting of suspected child abuse under the Pennsylvania Child Protective Services Law.

### ***I. Definitions***

- The terms “child,” “minor” and “minor child” are defined as any individual less than eighteen (18) years of age.\*
- “Matriculated Student” is defined as a student who is enrolled at Carnegie Mellon and pursuing a program of study that results in a postsecondary credential, such as a certificate, diploma or degree.\*
- “School Employee” is defined as an individual who is employed by Carnegie Mellon or who provides a program, activity or service sponsored by Carnegie Mellon. This includes any faculty member, staff member or student-employee.\*
- "Responsible Individual" is defined as the individual designated by a program or activity involving minors who is responsible for the administration of the program and compliance with this Policy. Depending on the nature of the program or activity involving minors, the responsible individual may be a faculty member, staff member, student, contractor, volunteer or a third-party.
- For purpose of Section II of this Policy, "Programs and Activities Involving Minors" is defined as any program, event, or activity involving one or more individuals under the age of 18 that is either:

- Sponsored, funded and/or operated by any Carnegie Mellon administrative unit, academic unit, or student organization, regardless of location. This includes programs and activities conducted on-campus, off-campus, or remotely via the internet or other means of communication; or
- Sponsored, funded and/or operated by a third-party entity and conducted on university property.

The definition of Programs and Activities Involving Minors does not include: <sup>[25]</sup>

- Academic courses and related programs or activities, where the only minors involved are Matriculated Students, visiting prospective students and visiting / non-degree students. (**Note:** The University Registrar's Office monitors non-degree students who are minor children and such students are only permitted to register for a class if the instructor, in his/her sole discretion, is willing and able to obtain appropriate background certifications under Pennsylvania law.)
- Any program or activity conducted on University property where the only minors involved are Matriculated Students and/or visiting prospective students.
- Intercollegiate events where the only minors involved are Matriculated Students or students enrolled at another institution of higher education.
- Events open to the general public where parents/guardians are required or expected to provide supervision for their children (e.g. a sporting event or a theater production).
- Minors who are employees of Carnegie Mellon and are paid at least a minimum wage (note: co-workers of employees who are under the age of 18 may be required to obtain background certifications under Pennsylvania Law).<sup>[26]</sup>
- Human subjects research studies involving minor children that have been approved by the Institutional Review Board (note: the Office of Research Integrity Compliance will

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<sup>25</sup> Exclusion from the definition of Programs and Activities Involving Minors does not necessarily exempt individual faculty, staff, students, contractors, volunteers, or other third parties from compliance with the requirements of Section III regarding background certifications. Rather, exclusion from this definition exempts the activity from the registration requirements in Section II.

\* These definitions are based on the Pennsylvania Child Protective Services Law.

<sup>26</sup> Unpaid internships (where permitted by applicable government regulations and [HR guidelines](#)) are not exempt from the definition of Programs & Activities Involving Minors.

notify Child Protection Operations of any human subjects research studies involving minors so that there will be no need to separately register).

- Routine interactions between family and friends.

## ***II. Requirements for Programs and Activities Involving Minors***

All programs and activities involving minors must satisfy the following requirements:

1. All programs must register with Child Protection Operations, within the Office of Human Resources, and receive approval prior to engaging in any interactions with minors. Child Protection Operations will coordinate with each program or activity to develop appropriate procedures and training to ensure the welfare and security of minors who participate in the program.
2. The review process conducted by Child Protection Operations will be based on the unique circumstances of each program and include consideration of the following key factors, among others: the nature of the program; the duration of the program; the entity sponsoring the program; the responsible individual(s); the number of participants and age ranges; the number of supervising adults; the facilities to be used; use of overnight accommodations; potential health and safety concerns (e.g., laboratory use, machinery, swimming pools, motor vehicles); transportation; protocols for accidents, injuries and emergencies; health and wellness plans; protocols for drop-off and pick-up; and one-on-one private interactions with minors.
3. Written permission must be obtained from each minor's parent/guardian prior to the minor's participation in any program administered by Carnegie Mellon and/or any program administered by a third party on Carnegie Mellon property.
4. Each program must identify a responsible individual who will be responsible for the administration of the program and compliance with this policy. Notwithstanding the requirements of and/or exceptions to the Pennsylvania Child Protective Services Law or similar laws of other jurisdictions, the responsible individual must have valid background certifications under the Pennsylvania Child Protective Services Law or similar laws of the applicable jurisdiction.
5. In addition to background certifications required by law as described in Section III below, each program must ensure that at least one individual who has received

certifications under the Pennsylvania Child Protective Services Law and appropriate training is on site during the program or activity. That is, even if applicable law does not require any individual in a program to obtain background certifications, at least one individual on site during the program or activity must have a background certification and appropriate training.

6. The college, department, unit, or student organization sponsoring the program may adopt background certification standards more stringent than the minimum required by law, such that any individuals participating in a program may be required to obtain background certifications even where such certification is not required by the Pennsylvania Child Protective Services Law or other applicable laws.

### ***III. Background Certification***

All faculty, staff, students, contractors, and volunteers must satisfy the background certification requirements for interacting with minors in the applicable jurisdiction. Specifically, it is the policy of Carnegie Mellon University to comply with the background certification provisions of the Pennsylvania Child Protective Services Law (23 Pa C.S.A. § 6303 et. seq.), as amended by Pennsylvania Act 153 of 2014. Detailed information regarding the requirements of and exceptions to the Pennsylvania Child Protective Services Law is available on the [Human Resources website](#).<sup>[27]</sup>

These background certification requirements are separate from the program registration requirements set forth in Section II. Even though a position, activity, or program does not meet the definition of program or activity involving minors requiring registration under Section II, the Pennsylvania Child Protective Services Law (or similar laws in other jurisdictions) may still require background certifications.

As noted above, the University Registrar's Office monitors non-degree students who are minor children and such students are only permitted to register for an undergraduate or

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<sup>27</sup> The Pennsylvania Child Protective Services Law (CPSL), as amended by Pennsylvania Act 153, requires any University employee who has Direct Contact (as that term is defined under the CPSL) with children under the age of 18 to obtain certain background certifications. However, the CPSL does not apply to University employees whose only interactions with children under the age of 18 are limited to matriculated students and/or visiting prospective students. As such, most employees of Carnegie Mellon are not required to obtain background certifications in order to perform their job duties. But if an employee's duties include direct contact with children under the age of 18 who are not matriculated students or visiting prospective students, the employee may be required to obtain background certifications under the CPSL. For more information see <https://www.cmu.edu/hr/career/new-employees/first-day/act-153.html>.

graduate class if the instructor, in his/her sole discretion, is willing and able to obtain appropriate background certifications under Pennsylvania law.

Every employee and volunteer who is subject to the background certification requirements of this section has an obligation to notify the university if he/she is arrested for, or convicted of, any offense prohibited by the Pennsylvania Child Protective Services Law. Notice of arrests or convictions must be provided within 72 hours. Notice should be submitted to [Child Protection Clearances](#) within the Office of Human Resources.

If the university receives notice of an arrest or conviction for a prohibited offense or has reasonable cause to believe that an employee or volunteer has been arrested or convicted of a prohibited offense, the university will require the employee or volunteer to immediately obtain new background certifications. In such cases, the university may prohibit the individual from working with minor children pending receipt of new background certification.

#### ***IV. Mandatory Reporting***

Under the Pennsylvania Child Protective Services Law all school employees are mandatory reporters of child abuse. Volunteers who are responsible for the welfare of a minor or who have direct contact with minors are also Mandatory Reporters.

Reports of child abuse must be immediately submitted to **both**:

**b)** The Pennsylvania Department of Human Resources. Reports may be submitted:

- a.** Orally via the Child Hotline at 1-800-932-0313; or
- b.** Electronically via the website <https://www.compass.state.pa.us/cwis/public/home>.

**c)** Carnegie Mellon University Officials. Reports may be submitted to:

- a.** Your supervisor, or
- b.** University Police, or
- c.** Office of General Counsel

By law a mandatory report must be immediately filed if there is reasonable cause to suspect that a minor is the victim of child abuse in the following circumstances:

- The Mandatory Reporter comes into contact with the minor in the course of employment, occupation and practice of a profession or through a regularly scheduled program, activity, or service;
- The Mandatory Reporter is directly responsible for the care, supervision, guidance, or training of the minor, or is affiliated with an agency, institution, organization, school, regularly established church or religious organization or other entity that is directly responsible for the care, supervision, guidance or training of a minor;
- A person makes a specific disclosure to the Mandatory Reporter that an identifiable minor is the victim of child abuse;
- An individual 14 years of age or older makes a specific disclosure to the Mandatory Reporter that the individual has committed child abuse.

Members of the university community located outside of the Commonwealth of Pennsylvania are expected to comply with any mandatory reporting laws of the applicable jurisdiction. Questions regarding mandatory reporting requirements in other jurisdictions should be submitted to the Office of the General Counsel.

Additional information about mandatory reporting laws in Pennsylvania as well as other jurisdictions is available at [https://www.cmu.edu/ogc/Guidance/act\\_153/](https://www.cmu.edu/ogc/Guidance/act_153/).

## Policy on Tents and Encampments

Tents, encampments and structures erected or used for the purposes of establishing and maintaining occupation of campus space (whether outdoors or indoors) are prohibited.

Carnegie Mellon values and supports the right to assemble and exercise free expression; however, tents, encampments and structures used for the purposes of occupation risk compromising the regular functioning of the university relative to campus safety, security and access, as well as its primary mission of teaching, learning and research.

The university does permit the longstanding and narrowly defined practice of allowing for Carnegie Mellon students guarding The Fence to occupy one or two tents in support of overnight guarding and painting activities.

Tents and other temporary structures used for purposes other than occupation of campus space may be permitted with advance university approval, such as tents used in support of university activities (e.g. Carnival, Orientation, Commencement, athletic events, etc.).

Should tents, encampments, or structures be assembled or attempt to be assembled on campus in violation of this policy, university staff will request their timely removal. Structures that are not removed in the stated timeframe will be subject to removal by the university.

University community members who do not promptly comply with the request of a university official to remove tents, encampments, or structures in violation of this policy may be referred for university conduct review, while any non-affiliates will be escorted off campus and could be subject to criminal charges.

Questions about this policy can be referred to the Vice President for Operations or Vice President for Student Affairs.

## Prematriculation Immunization Policy

### Policy Rationale

The university values personal and community health and recognizes the critical role that each individual plays in contributing to community health by participating in personal health care practices that prevent the spread of contagious diseases. Participation in a vaccination program represents one such highly effective personal health practice.

Vaccine-preventable diseases pose a significant threat to the public health of the campus community, impose a significant cost to infected individuals in terms of mortality and morbidity and impose a cost to other community members by disrupting university life and academic activities. Therefore, the university expects that all individuals will value the importance of protecting themselves and others by obtaining vaccinations against vaccine-preventable diseases and acknowledges the institution's role in supporting public health by monitoring the vaccination status of incoming students through its policy on immunization requirements.

## Policy Statement

The goal of the university is to provide adequate protection of the campus community against vaccine-preventable diseases. This goal can best be achieved through a prematriculation immunization requirement that is administered by University Health Services (UHS). All students are required to comply with the immunization requirements and the screening protocol for tuberculosis.

### ***Implementation Guidelines***

#### Immunization Requirements for Students

- Required vaccinations shall be determined by UHS and shall be consistent with Pennsylvania State Law and informed by the recommendations of the American College Health Association and the Advisory Committee on Immunization Practices.
- Vaccination requirements will be reviewed annually by UHS. Any changes in the requirements effective in the upcoming school year will be communicated to incoming students and the university community in the spring term prior to implementation that fall.
- Application or modification of this policy for non-Pittsburgh locations will be determined by the Director of University Health Services, in consultation with relevant colleagues in those locations.

#### **Additional Requirements for Students Residing in University Housing**

- Because vaccine preventable diseases spread more readily in a residential environment, UHS may set additional requirements for students who elect to live in university housing.

#### **Request for Waiver**

- A student may request a waiver from any vaccination for medical reasons or if vaccination conflicts with personal or religious beliefs by contacting UHS. If an outbreak of contagious disease occurs, the university reserves the right to ask students who have not been vaccinated against that disease to leave campus until the outbreak is over.

## Screening Protocol for Tuberculosis

- Students with an increased risk of exposure to tuberculosis are expected to comply with screening requirements as set forth by UHS and informed by recommendations of the World Health Organization and Centers for Disease Control.

### ***Penalty for Noncompliance***

- If a student fails to comply with the immunization policy, UHS will notify the University Registrar who will change the student's enrollment status to reflect that the student is not enrolled until the requirements are met.
- Additionally, if the student is a resident in university housing and fails to comply with the immunization requirements, he/she will be removed from housing. A fee may be assessed by Housing for reactivation of the room key if the student later complies with the policy.

### ***Related Policies and Procedures***

The university complies with OSHA regulations regarding occupational exposure to blood-borne pathogens. Questions regarding these regulations should be directed to Environmental Health & Safety, 412-268-8182.

## Public Art Policy

### Policy Statement

Public Art is permanent or long-term art in public spaces on campus. This policy addresses the review, acquisition, acceptance, siting, and deaccessioning of public art. Accepted public art becomes the management responsibility of the Department of Campus Design and Facility Development in the Office of the Vice President for Finance and the Chief Financial Officer.

Art enhances the quality of life for all people and should be a part of the daily life of the students, faculty, and staff at Carnegie Mellon. Carnegie Mellon is a leader in education for the arts and creative research and practice, and art on the campus and in public building spaces should reflect this leadership status. Acquired public art should expand the educational mission of the university and the College of Fine Arts by providing interesting

and challenging work of high quality, accompanied by an interpretive program to make the works accessible to the non-specialist.

***The Public Art Committee (PAC) is established to:***

1. Review specific proposals for public art with the purpose of recommending to the president approval, suggestions for modification, or rejection of the public art, and its siting.
2. Clarify the need for public art on the Carnegie Mellon campus and target specific siting opportunities, including both indoor and outdoor public spaces. This work builds on the campus master planning process.

Public art is acquired through donations, solicitations, purchases, and loans. It should be recognized that the advocacy and selection of public art can be controversial and, at times, technically difficult. Public art selection must address such issues as: artistic quality, appropriateness, site context, public sensibility, durability, maintainability, safety and cost.

Given the world class stature of our College of Fine Arts and many of its graduates, the university would be particularly pleased to have the opportunity to consider works by prominent alumni and faculty to celebrate their leadership contribution to their discipline and the world of art.

As the university's financial strength becomes more robust and such funds become available, it is the university's aspiration that major new campus facilities projects will allocate a percentage of project funds for the acquisition, commission and/or integration of public art that will enhance the contribution of the new facility to the quality of campus life. If acquisition funding can be raised, consideration must also be given to maintenance and the future maintenance of the art endowed.

***Definition***

Public Art at Carnegie Mellon is considered to be permanent or long-term art in public spaces on campus, including all outdoor campus space and interior public spaces such as lobbies, social spaces, etc. The PAC does not presume any authority over works of art, photographs, etc. that faculty and staff place on view in their offices or that departments install in their offices and teaching spaces. Art is considered permanent if it is installed

with no anticipated time limit or duration. This policy does not address student or faculty art installations with a defined time limit, and which are covered by separate guidelines and coordinated by the College of Fine Arts.

### **Process**

The Public Art Committee is advisory to the president and all proposed public art and its proposed site must be reviewed by the Public Art Committee and approved by the president and the Property and Facilities Committee of the Board of Trustees before it is accepted by the university. The PAC meets on an ad hoc basis as public art proposals require review, or to address other public art planning issues. Recommendations of the PAC shall be upon a vote of the majority of members convened. The Design Review Committee must be consulted on proposals for outdoor sites that require integration into the campus master plan.

In order to ensure that the PAC has the opportunity to receive input from all campus constituencies, prior to recommending acceptance of a piece of public art the PAC shall hold at least one public meeting which all interested members may attend for purposes of hearing about and offering comment on the proposed piece. Representatives of the primary user(s) of the space where the public art is to be sited must also be consulted.

Carnegie Mellon welcomes temporary installations in public spaces organized by departments or individuals. There is no need for the PAC to monitor short exhibits (six weeks or less). Exhibits of the Miller Gallery are also exempted from review by the PAC.

### **Public Art Committee Membership**

The PAC is chaired by the dean of the College of Fine Arts. An appropriate staff member designated by the provost shall provide administrative support. The PAC is made up of campus representatives who provide necessary judgmental and technical expertise. Members shall include:

#### Ex officio

- Dean, College of Fine Arts (Chair)
- Head, School of Art
- Director, Miller Art Gallery
- Associate Vice President for Campus Design and Facility Development (*non-voting*)

- Secretary of the Corporation; Chief of Staff, Office of the President (*non-voting*)
- Vice President, Advancement (*non-voting*)

Faculty

The University recognizes that it is important for the PAC to have wide-ranging input, including from faculty of the university who are non-specialists in the field of art. In order to ensure that the views of non-specialist faculty are represented, three faculty members shall be appointed on a staggered basis by the deans of the Mellon College of Science, Tepper School of Business, Carnegie Institute of Technology, School of Computer Science, College of Humanities and Social Sciences and Heinz School of Public Policy, according to the process set forth below.

For the first year of appointments to the Committee:

<b>Dean</b>	<b>No. of members appointed</b>	<b>Term</b>
Mellon College of Science	1	3 years
Tepper School of Business	1	2 years
Carnegie Institute of Technology	1	1 year

For the second year of appointments to the Committee:

<b>Dean</b>	<b>No. of members appointed</b>	<b>Term</b>
School of Computer Science	1	3 years

For the third year of appointments to the Committee:

<b>Dean</b>	<b>No. of members appointed</b>	<b>Term</b>
Dietrich College	1	3 years

For the fourth year of appointments to the Committee, and for every year thereafter, one dean shall appoint one member of his or her school's or college's faculty for a three year term in the following order: The Heinz School of Public Policy (Year 4), Mellon College of Science (Year 5), Tepper School of Business (Year 6), Carnegie Institute of Technology (Year 7), School of Computer Science (Year 8) and College of Humanities and Social Sciences (Year 9) and so on and so forth such that at all times the Committee shall have three members who are faculty of the aforementioned schools and colleges. The unexpired term of any vacancy created by the resignation or death of any member shall be filled by the dean that appointed the original member.

#### Trustees

Two trustees, designated by the chair of the Property & Facilities Committee of the Board of Trustees, appointed for terms of two years each.

#### Students

Two undergraduate students selected by the Student Senate and two graduate students selected by the Graduate Student Assembly, appointed for terms of one year each.

#### Staff

One staff member selected by the Staff Council, appointed for a term of two years.

#### External Community

One member, designated by the provost in consultation with the chair of the PAC and the Property & Facilities Committee of the Board of Trustees (e.g. a prominent alumnus/a, a Pittsburgh-based museum director, or the head of a regional arts organization), appointed for a term of two years.

The PAC membership also shall include at least one member of the Design Review Committee (who can be one of the individuals named above) and the Artistic Properties Committee (who shall be the university librarian serving as the university archivist or other librarian designated by him/her). The PAC may call on others in the campus community or outside consultants for their technical expertise as approved by the Provost.

## ***Criteria for Acceptance/Rejection of Public Art***

The PAC will use the following criteria in considering gifts or purchases of public art:

- Proposed art shall display a high level of artistic quality and craftsmanship that supports and enhances the academic and creative missions of Carnegie Mellon. Distinctive works of art chosen or created for campus public space shall be of sufficiently high quality to merit inclusion into Carnegie Mellon's permanent collection.
- The "message" of proposed art, if any, shall be acceptable to current standards and policies of the Carnegie Mellon community.
- An appropriate site in campus public space shall be available.
- Proposed art shall be structurally sound and present no environmental or safety hazard.
- An external funding source to cover all costs of acquisition, purchase, shipping, installation, wall-to-wall insurance, appraisal, and maintenance shall be determined prior to acceptance. If sufficient funding is not immediately available, this criterion may be waived in exceptional circumstances by the president.
- The donor's clear title to donated art and authenticity of the work shall be confirmed prior to acceptance.

## ***Ownership and Deaccessioning***

Ownership and acquisition terms will be determined by the standard gift agreement between the university and the donor of public art. The university, with the approval of the PAC, reserves the right to sell or donate works of public art.

## ***Criteria for Deaccessioning***

The PAC may consider the deaccessioning of artwork for one or more of the following reasons in the event that it cannot be resited:

1. A work is not, or is only rarely, on display because of lack of a suitable site.
2. The condition or security of the artwork cannot be reasonably guaranteed.
3. The artwork has been damaged or has deteriorated and repair is impractical or unfeasible.

4. The artwork endangers public safety.
5. In the case of site specific artwork, the artwork's relationship to the site is altered because of changes to the site.
6. The artwork has been determined to be incompatible within the context of the collection.
7. The university, with the concurrence of the PAC, wishes to replace the artwork with work of more significance by the same artist.
8. The artwork requires excessive maintenance or has faults of design or workmanship.

## Publications

Publications produced independently by students must clearly state that they do not carry the endorsement of Carnegie Mellon University. All university-sanctioned student publications must be approved by the Office of the Dean of Students, and they should include the official [CMU wordmark](#) and [Statement of Assurance](#). Visit the [brand guidelines](#) for more information.

## Recycling Policy

This is to announce the adoption of the following Recycling Policy for the university.

Carnegie Mellon University is committed to recycling the materials it uses and to minimizing non-hazardous waste. It is the responsibility of every member of the campus community to support these efforts that will protect our environment by conserving resources and preserving rapidly diminishing landfill space. The implementation of a campus-wide recycling program is the first step toward developing a comprehensive environmental policy for Carnegie Mellon. Recycling is just one part of a much larger program of activities through which Carnegie Mellon will take an increasingly active role to further understanding and preservation of our environment in the years to come.

Facilities Management Services is responsible for the implementation of Carnegie Mellon's recycling program. The Environmental Coordinator in this department will be responsible for the management of the recycling program and coordination of waste reduction efforts on campus. Each department will designate, in writing, an official Recycling Liaison who will

coordinate departmental recycling efforts with the Carnegie Mellon Environmental Coordinator.

The entire campus community is expected to actively participate in Carnegie Mellon's Recycling Program and waste reduction efforts. This involves three distinct activities.

1. Recycling of paper, cardboard and beverage cans (aluminum and bimetal).
2. Source Reduction: This includes but is not limited to making double-sided copies, increased use of electronic mail instead of memos, reuse/resale of surplus furniture, etc.
3. Purchasing products made from recycled materials. The long-term success of recycling programs in this country depends on the creation of markets for recycled materials. All departments should purchase recycled products wherever economically feasible.

Recycling programs already functioning on campus are encouraged to continue and expand provided that they do not hinder the campus-wide recycling program. Individuals responsible for such programs must provide recycling volume data to the Carnegie Mellon University Environmental Coordinator to permit the university to comply with Pennsylvania Act 101 (Pennsylvania Municipal Waste Planning, Recycling and Waste Reduction Act 101 of 1988).

## Safety Intervention Protocol

Carnegie Mellon is committed to maintaining a safe and secure environment for students, faculty, staff and visitors and may intervene in circumstances that seriously affect the health or well-being of any student, where physical safety is seriously threatened, or where the operations of the university are seriously disrupted. In keeping with this commitment, this protocol describes the procedures for assessing potential risk presented by students and interventions the university may enact.

If safety is an immediate concern, an associate vice president of student affairs (or their designee), may determine the need to issue a mandate that:

1. specifies the conditions for a student to maintain (or resume) her/his status as an enrolled student; and/or:
2. requires a student to absent herself/himself from campus until specified conditions have been satisfactorily engaged or completed.

Any and all conditions of a mandate will be specified in a written letter from the associate vice president of student affairs to the student. Such conditions may include:

- A behavioral contract;
- A no contact agreement/order;
- Transferring rooms within university housing;
- Removal from university housing;
- Completion of a pending community standards proceeding and/or investigation by the Office for Institutional Equity and Title IX;
- Engagement in an appropriate care or treatment plan;
- Temporary leave of absence;
- Signed releases of information or communication with support sources such as parents or treatment providers; and/or
- Other conditions deemed reasonable and appropriate under the circumstances.

A mandate will only be issued when, in the professional judgment of an associate vice president of student affairs (or their designee), after considering all reasonably available information, it is determined that the student:

- Poses a credible substantial risk of harm to individuals within the University or to the University community as a whole; or
- Substantially impedes the lawful activities, the educational process, or the proper activities or functions of members of the University community.

The decision to issue a mandate will be predicated on an individualized assessment of the student's behaviors. The primary considerations in making this assessment will be the severity of the safety risk presented by the student, the impact of the student's behaviors on the university community and the broader community, the student's willingness or unwillingness to voluntarily engage in a level of care that is clinically indicated; and whether reasonable modifications of the university's policies, practices or procedures significantly mitigate the risk. Should a mandate be deemed appropriate, the university will identify the student affairs staff member(s) who will support and assist the student in meeting specific requirements and associated timelines for completion, which will be outlined in writing by the associate vice

president of student affairs. If necessary, the student may be placed on an administrative leave of absence while completing these requirements.

A student who receives a mandate under this protocol may appeal the decision, in part or in full, in writing to the dean of students. In connection with an appeal, a student may submit whatever additional evidence the student believes may be relevant to the decision.

## Safety Hazards

The occupation, alteration, or use of university facilities that creates a fire or safety hazard (potential or actual), creates danger to individuals or others, or creates a threat to university property is a violation of university regulations and the individual responsible is subject to review through the community standards process.

No use of explosive or incendiary materials on university property in connection with programs or activities may take place without the explicit permission of the dean of students and the director of environmental health and safety or their designated representatives.

## Scheduling of University Facilities

### Scheduling of Space

Any Student Government recognized organization is entitled to reserve available meeting space on the campus without rental fee. Charges for special services may be made if deemed necessary.

## Smoke-less Campus Policy

### Policy Rationale

The university is committed to promoting a safe, healthy working and learning environment. This commitment extends to encouraging and supporting the reduction of significant health risks to members of the community. Smoking of tobacco products is one such risk. This Policy is intended not only to relieve community members from negative

effects of tobacco smoking by others, but also to promote and assist smoking cessation by existing users and discourage new addictions.

Policies that strictly regulate smoking have been demonstrated to reduce exposure to second-hand smoke, tobacco-related death and disease, and attendant healthcare costs. In addition, several systematic reviews of studies have demonstrated effectiveness of such policies in reducing the prevalence of tobacco use, increasing the number of tobacco users who quit, and reducing the initiation of tobacco use among young people. These positive effects have led leading national health organizations to advocate a smoke-free policy intervention. Benchmarking suggests that a “smoke-less” approach, an alternative to prohibition that honors our campus geography and is grounded in sustained and visible efforts to reduce smoking and promote cessation, can also have positive effects.

The effects of exposure to smoke from tobacco were documented in the 2006, 2010, and 2014 U.S. Surgeon General’s Reports. Further research is needed to determine the public health risks and benefits of e-cigarettes and other novel nicotine products. Although harmful consequences of e-cigarette vapor have not been demonstrated to the standards used for conventional cigarettes, the practice of using these products may have social impact. In addition, some state and local governments, including Allegheny County, have passed laws regulating the use of e-cigarettes. Therefore, this Policy addresses both the smoking of tobacco products and the use of e-cigarettes. As evidence becomes more conclusive, this Policy may be amended to further address novel nicotine products.

## Policy Statement

Smoking of tobacco products is prohibited in all university buildings and facilities owned, leased, or operated by Carnegie Mellon University, including campus vehicles. Smoking of tobacco products is also prohibited on all grounds and outside areas except for limited designated outdoor areas where the negative effects of second-hand exposure is deemed sufficiently low. As such, major campus thoroughfares, gathering spaces and entrances to buildings are not designated areas. The number, nature and location of designated areas was determined by an oversight committee convened by the university’s Environmental Health & Safety department and comprised of representatives from Faculty Senate, Graduate Student Assembly, Staff Council and Student Senate.

- [Designated Smoking Areas \[pdf\]](#)
- [Tobacco Cessation Resources \[pdf\]](#)

Use of e-cigarettes and vaporizers is prohibited inside all university buildings and inside all property owned, leased or operated by Carnegie Mellon University, but is not prohibited outside on campus grounds as of the adoption of this Policy.

For the purpose of this Policy, a tobacco product is defined as any product made or derived from tobacco that is intended for human consumption by smoking. Examples of tobacco products include, but are not limited to, cigarettes, cigars, little cigars, and pipe tobacco.

For the purpose of this Policy, an e-cigarette is defined as any electronic oral device, such as one composed of a heating element, battery or electronic circuit, which provides a vapor of nicotine or any other substances and the use or inhalation of which simulates smoking. The term shall include any such device, whether manufactured, distributed, marketed or sold as an e-cigarette, e-cigar or e-pipe or under any other product name or descriptor.

This Policy does not apply to the use of tobacco products, e-cigarettes or vaporizers for official academic research so long as such use of these products complies with all applicable local, state, and federal laws.

## Social Regulations

Events that are in any way identified with Carnegie Mellon and are conducted by students or student organizations for purely social purposes are covered by the following regulations:

- Any such event, whether on or off campus, must comply with city, state and federal laws. Carnegie Mellon accepts no responsibility for the direct supervision of the social activities engaged in by its students and student organizations.
- Student organizations must submit [this form](#) to the Director of Student Involvement and Traditions for review and approval prior to any events being held during final examinations, during final examinations, on the night before any recess, or during any recess of more than three days duration.
- It is expected that students will organize and conduct social activities in a responsible manner.

- The university reserves the right to review the planning for social events requiring the use of university facilities and to establish special requirements as needed to ensure the well-being of all students.

## Statement of Assurance Policy

The Statement of Assurance **must** be placed in **all** graduate and undergraduate admissions publications and **all** other publications where such a statement is necessary or appropriate. Also, the [Carnegie Mellon Writer's Style Guide](#) gives detailed guidance on how to use the statement of assurance in campus-related publications.

### ***Policy Statement***

Carnegie Mellon University does not discriminate in admission, employment, or administration of its programs or activities on the basis of race, color, national origin, sex, disability, age, sexual orientation, gender identity, pregnancy or related condition, family status, marital status, parental status, religion, ancestry, veteran status, or genetic information. Furthermore, Carnegie Mellon University does not discriminate and is required not to discriminate in violation of federal, state, or local laws or executive orders.

The university's [Discriminatory and Sexual Misconduct Policy](#) contains grievance procedures that provide for the prompt and equitable resolution of Complaints alleging any action which would be prohibited by this Policy.

Inquiries concerning the application of and compliance with this statement should be directed to the Office for Institutional Equity and Title IX, Carnegie Mellon University, 4615 Forbes Avenue, Suite 400, Pittsburgh, PA 15213, telephone 412-268-7125.

Obtain general information about Carnegie Mellon University by calling 412-268-2000.

## Steam Tunnels

Because of the danger to all who enter them, the steam tunnels are locked and anyone found in the tunnels will be subject to review through the community standards process and/or criminal action. The University Police are responsible for keeping the tunnels locked and apprehending anyone who trespasses in them.

General steam tunnel tours are only available to CMU community members for verified academic purposes (e.g. students studying infrastructure, faculty researching infrastructure). Those interested in academic-related steam tunnel tours should contact CMU's University Engineer or University Architect, for scheduling and details.

## Student Accounts Receivable Collection Policy and Procedures

Please refer to the current [Student Financial Obligation Statement](#). That statement is provided to all students through the Student Information Online (SIO). Questions about this statement may be directed to [The HUB](#).

## Student Damage to Carnegie Mellon Property Policy

Students will be charged with the cost of restoring to its proper condition any Carnegie Mellon property that, through their negligence or misuse, has been damaged.

Responsible parties will be subject to disciplinary action if said damages are found to have been intentional or caused as a result of improper behavior. All such damages should be reported promptly to the Campus Police.

When individual responsibility cannot be assigned, the members of the group to whom a space has been assigned or property supplied may be charged (as individuals) for the cost of repairs, and may be subject to disciplinary action.

## Student Enterprises

Students who wish to operate businesses on the university's campus or while using university facilities or property must submit a written proposal to the vice president for student affairs and receive the vice president's (or their designee's) permission prior to doing so. Any such permission, if given, is within the discretion of the vice president for student affairs (working in consultation with the chief financial officer) and may be conditioned on meeting the university's then conditions such as, for example, conditions specifying that:

- (i) only specific agreed property and facilities may be used at the agreed dates/times,

- (ii) the business may not use the university's name or do anything that suggests/implies that the business's products/services are endorsed by the university,
- (iii) the business must carry adequate insurance (if deemed necessary),
- (iv) the business must reimburse the university for its costs of the facilities/properties used, if any, and/or
- (v) the business may not use university intellectual property without permission.

## Student Fundraising and On-campus Sales

### On-campus Sales

Information and guidance regarding the sale of merchandise/food/services by any student or group of students is available on the Student Involvement and Traditions website. Student government recognized groups selling merchandise/food/services of any description on the campus or in the buildings of the institution must work with the Office of Student Involvement and Traditions to ensure all relevant policies are followed including but not limited to: proper revenue handling, tax procedures, policies related to the use of the Carnegie Mellon name and brand. Non-student government-recognized groups or individuals should consult with their recognizing body or course instructor for additional guidance.

### Solicitation of Funds

Student organizations may solicit funds for use by the organization from students, alumni, family or friends. Funds solicited using the University's name or for which the donor expects to receive a charitable income tax deduction as a gift to the University must be solicited and used in compliance with the University's solicitation and accounting rules. To ensure compliance with tax laws, these rules require gifts designated to a specific organization be made through the University's annual giving website or by deposit to the Office of Student Involvement and Traditiond.

## Lotteries and Raffles

Lotteries, raffles or other devices of a like nature are governed by the laws of the Commonwealth of Pennsylvania and are therefore authorized on campus only when required permits are obtained by the appropriate governing authority. Approval to host an event deploying games of chance must receive approval from the Director of Student Involvement and Traditions to ensure compliance with the law.

# Student Health Insurance Policy

## Policy Rationale

The cost of health care in the United States presents a potentially serious health risk and financial risk to students and their accompanying dependents. The absence of adequate health insurance coverage is a barrier to care that can result in temporary or permanent interruption of a student's education. The university is committed to offering student health insurance that provides access to quality health care and achieves a balance between premium cost and adequate coverage without overburdening students' financial resources. This balance is best achieved through a student health insurance requirement that mitigates the effect of adverse selection while providing another option for coverage.

## Policy Statement

All full-time students are required to carry health insurance that meets certain standards of coverage. In the absence of adequate health insurance coverage, the student is required to enroll in the student health insurance plan.

### ***Implementation Guidelines***

The process for selection of vendors for the student health insurance plan shall adhere to institutional requirements relative to competitive vendor selection processes. The student health insurance program shall be reviewed annually by University Health Services (UHS) and student consumers including representatives from Student Senate and the Graduate Student Assembly to ensure that the program meets the needs of covered individuals,

provides the desired level of benefit at the least possible cost and returns as much of the premium to covered individuals in the form of benefits as possible.

The health insurance program shall be available to all eligible students without regard to race, color, national origin, sex, handicap or disability, age, sexual orientation, gender identity, religion, creed, ancestry, belief, veteran status, pre-existing medical or mental health condition or genetic information.

All full-time students will be assessed a charge for the individual basic health insurance plan offered through the university student health insurance program. The charge will appear on the invoice of the first semester of attendance in the academic cycle. The student is expected to actively enroll in the plan or apply for a waiver from the student insurance plan during the open enrollment. Failure to take action will result in automatic enrollment in the student health insurance plan.

Application or modification of this policy for non-Pittsburgh locations will be determined by the Director of University Health Services, in consultation with relevant colleagues in those locations.

### ***Requirements for Waiver***

Application for waiver from the university student health insurance plan must be submitted to UHS by the last day of the open enrollment period. Students applying for waiver must provide documentation of:

- Coverage by a carrier that has offices based in the U.S.
- Continuing coverage that verifies enrollment as the dependent, partner/spouse or principal in an employer, state or federally operated insurance Exchange or government sponsored insurance plan.
- Enrollment in a plan that meets certain minimum standards for coverage as set forth by the university including but not limited to an adequate level of coverage for medical, mental health and substance abuse services at the primary, emergency, inpatient and outpatient level in the geographic location of study.

Failure to maintain continuous coverage will result in automatic enrollment in the student health insurance standard plan.

# Student Parental Accommodation Protocols

Providing holistic student support is a top priority at Carnegie Mellon. The protocols on this page are designed to support the parental needs of students and their families.

**Students seeking any of the Parental Accommodations described below must register with the Office of the Dean of Students by contacting the office for an appointment by calling 412-268-2075.**

Students are encouraged to register with the Office of the Dean of Students ninety (90) days in advance of the anticipated arrival of the child as applicable in the individual circumstance. At the time of registering, students will have the opportunity to consult about resources, procedures, funding options and preparation for discussing academic accommodations with the student's academic department. Students should also consult with their academic advisors either before or in conjunction with registering with the Office of the Dean of Students.

## Accommodations for Gestational Parents

The birth of a child is a significant life event that may require time away from academic pursuits for delivery and recovery from delivery of a newly born child. Students whose anticipated delivery date is during the course of a semester may need to take time away from their academic responsibilities. Carnegie Mellon students seeking time away are afforded two options as possible accommodation:

### ***Short-Term Accommodation for Gestational Parents***

A short term absence from academic responsibilities up to a maximum of six (6) weeks. Short-Term Accommodation may be extended by two (2) weeks, for a total of eight (8) weeks, where a longer absence is medically necessary. Prior to the absence students must work with relevant university faculty and staff to adjust their course work, research, teaching and other academic responsibilities during the period of absence. This may include extensions of time to complete assignments, incomplete grades, and/or dropping courses, shifting research responsibilities and adjusting TA assignments. Students who take a Short-Term Accommodation will remain enrolled.

## ***Formal Leave of Absence***

A formal leave of absence under the [Student Leave Policy](#). Generally, the Student Leave Policy permits students to take a leave of absence for a full-semester, mini-semester, or for the time remaining in the semester during which the leave is taken. Students who take a [Formal Leave of Absence](#) drop all remaining courses for the semester and are unenrolled for the semester. International students must consult with the [Office of International Education](#) before considering this option due to visa implications.

### Parental Accommodation for Doctoral Students

The university offers a Parental Accommodation for qualifying doctoral student parents to include up to six (6) weeks of time away from academic responsibilities with continued stipend support. This accommodation can be utilized within six months of the birth or placement of a child through adoption, foster care or legal guardianship. Gestational parents may utilize both the Short-Term Parental Accommodation and the Short-Term Accommodation for Gestational Parents.

Careful planning and consultation is necessary given the unique contexts and requirements of each student's situation. Students will remain fully enrolled and will receive assistance in navigating the necessary planning and consultation processes.

## Financial Assistance for Student Parents

Carnegie Mellon also offers the following options for financial assistance to students who become parents while enrolled:

### ***Interest Free Loan***

Any student who becomes a parent is eligible to apply for an interest-free [Parental Loan](#) from the Office of the Dean of Students.

### ***Doctoral Stipend Continuation (Parents)***

Doctoral students who receive an academic stipend funded by Carnegie Mellon and are becoming a parent by adoption, birth, or through guardianship are eligible to continue to receive stipend funding for up to six (6) weeks during a Short-Term Parental Accommodation.

## ***Doctoral Stipend Continuation (Gestational Parents)***

Doctoral students who are the gestational parent and who receive an academic stipend funded by Carnegie Mellon are eligible to continue to receive stipend funding for up to six (6) weeks during a Short-Term Accommodation for Gestational Parents or during a Formal Leave of Absence. Continued academic stipend funding may be extended by two (2) weeks, for a total of eight (8) weeks, if an absence longer than six weeks is medically necessary.

*\* Gestational parents may utilize both the Short-Term Parental Accommodation and the Short-Term Accommodation for Gestational Parents.*

## Unauthorized Keys

Students found using, manufacturing, or having in their possession key(s) or key card(s) to any university doors or facilities that they are not authorized to use or possess and/or students who create unauthorized duplicates of key(s) or key card(s) will be subject to review through the community standards process.

## University Access and Entry

The University reserves the right for authorized representatives of the University to enter an accommodation at any time to plan or perform maintenance; in an emergency; or whenever the University's policies, rules or regulations requires or authorizes such entry; or for the purpose of inspection of facilities. While inspections will normally be conducted according to announced schedules, such entry may occur unannounced and/or without notice.

## University Policies

A University Policy is a rule that has been officially sanctioned by the president of Carnegie Mellon University and that generally has university-wide applicability. A Policy may include governing principles, it may either mandate or constrain action, it may ensure compliance with laws, or it may mitigate the university's risk. Broadly, a Policy is either academic or administrative

in scope and application and must be approved by the president (and Board of Trustees as required), in order to become official University Policy.

## University Policy Office

The University Policy Office stewards the policy development, review and approval process; advises on the availability of policy training and education; manages policy publication and communication; manages the policy website and ensures ease of use; receives inquiries and facilitates timely responses; arranges and monitors the policy review schedule; designs templates; and performs other responsibilities as may be necessary.

Questions, suggestions or comments about University Policies are welcome. Please contact the [University Policy Office](#).

***For questions related to a specific policy, please contact the accountable office/unit identified in the table at the top of the policy.***

## Ethics Hotline

*To confidentially and anonymously report suspected unethical activity relating to financial matters, academic and student life, human relations, health and campus safety or research, please call 844-587-0793 or visit the [Ethics Hotline website](#). All submissions will be reported to appropriate university personnel.*

## Uncrewed Aircraft Systems / Drone Safety Program

**Contact Us: [drones@andrew.cmu.edu](mailto:drones@andrew.cmu.edu)**

Unmanned Aircraft Systems (UAS), including aircraft commonly known as drones, are used at Carnegie Mellon University in a variety of ways related to academics, research, business and recreation. All members of the Carnegie Mellon community and guests on university property are expected to comply with all applicable federal, state, and local laws regarding the operation of UAS. In particular, all outdoor UAS operations must comply with Federal Aviation Administration (FAA) regulations. Indoor UAS operation is not regulated by the FAA.

Log into the [UAS portal](#) to:

## Register a CMU owned Drone

Registration (link to the UAS Registration form): The UAS / Drone CMU registration form is intended for registering the UAS / Drone purchased with CMU funding which is then owned by the university. This registration process ensures the CMU owned UAS / Drone is registered through the Federal Aviation Administration (FAA) under the CMU UAS / Drone account. The UAS / Drone owner should complete the registration process.

For step-by-step guidance on completing the form reference the [Registration Form User Guide](#).

## Register Your Indoor Flight Space

Indoor Flight Space (link to the Indoor Flight Space form): Current space owners of indoor flight spaces or those seeking to establish an indoor flight space shall complete a New Indoor Flight Space request to identify the location, space contacts and the timeline for use. This information will be reviewed for approval by the Unmanned Aircraft System (UAS) Committee. Upon approval Environmental Health and Safety (EHS) will track the space and affiliated details, will perform the initial inspection to ensure minimum requirements are met, and an annual inspection thereafter to ensure requirements are maintained.

For step-by-step guidance on completing the form reference the [Indoor Flight Space Request Form User Guide](#).

## Request to Fly a Drone Over CMU Property

Flight Operations (link to the Flight Operations form): Environmental Health and Safety (EHS) will verify the UAS / Drone registration, Pilot training, insurance coverage, and applicable contracts. The flight operations request will be routed to the space owners and the committee for comments and feedback.

For step-by-step guidance on completing the form reference the [Request Approval for Flight Operations User Guide](#).

## Post-Flight Operations Survey

After completing your approved flight operations, you will be prompted to complete the Post-Flight Operations Survey. This survey is intended to help Environmental Health and Safety track details regarding the completed UAS/Drone flights.

For step-by-step guidance on completing the survey reference the [Post-Flight Operations Survey User Guide](#).

Frequently Asked Questions (FAQs) can be found on the [Environmental Health & Safety website](#). Please [email](#) with any questions.

## Utility Lines and Building Alterations

No student or student organization may make alterations to university buildings or grounds or alter or tap into university utility lines without the written permission of Housing Services (in the case residential house communities) or Facilities Management Services (in the case of all other campus buildings). Such permission will be given only when complete plans are available to the person granting permission and arrangements are made for inspection of the work following its completion to ensure that there are no violations of code and no violations of safety or interference with other university utility systems in connection with the work. Utility lines include the traditional utility infrastructure and the university voice/data communications system. Tapping or in any way altering university utility lines, buildings or grounds without authorization is subject to review through the community standards process.

## Workplace Threats and Violence Policy

### Statement

Carnegie Mellon University is committed to maintaining a safe and secure environment for students, faculty, staff and visitors. Threats or acts of violence against anyone on property owned or controlled by the university will not be tolerated. Such behavior may result in criminal arrest and prosecution and/or disciplinary action, up to and including dismissal, against the perpetrators whether they are students, faculty or staff.

## Dealing With Threats and Violence

Individuals should notify University Police, 412-268-2323, of any threats or violent behavior that have occurred, particularly threats or behavior they have witnessed or been subject to. Such behavior should be reported regardless of the personal or professional relationship between the apparent perpetrator and victim.

Any person who makes threats or engages in violent behavior while on property owned or controlled by the university may be removed from the premises as quickly as safety permits. They may be required to remain off university premises pending the outcome of an investigation. Any university student, faculty or staff member who violates this policy will be subject to disciplinary action in accordance with university policies and procedures applicable to students, faculty and staff.

It is recognized that there may be activities related to the educational mission of the university (e.g., physical fitness activities or theatrical productions) that may appear to violate the letter but not the intent of this Policy. In such cases, the department or organization coordinating the activity is responsible for obtaining written approval from the Chief of Police or his designee, in advance, to conduct the activity. Such approval may extend for up to one year at a time.

## Internal Sanctions

Appropriate internal sanctions may be imposed for violation of this policy. The sanctions will depend on the circumstances and gravity of the violation, and may range from reprimand to dismissal, expulsion or termination. The decision to impose sanctions and procedures for imposing them shall conform as follows:

- In the case of regular, research or special faculty or lecturer-track appointees, to the provisions of the section on Dismissal for Cause and Other Sanctions of the Carnegie Mellon Appointment and Tenure Policy (except that action regarding such a person's administrative appointments is at the discretion of the president).
- In the case of undergraduate, graduate or special students, to the provisions of the section on Community Standards in the Student Handbook.

- In the case of staff, to the provisions of the [section on Staff Relations in the Staff Handbook \[pdf\]](#), unless superseded by the provisions of an applicable collective bargaining agreement.

## Protection From Abuse/Restraining Orders

All individuals who apply for or obtain a temporary or permanent Protection From Abuse Order or Restraining Order listing any Carnegie Mellon University location as a protected area must provide University Police with a copy of the order. The University Police Department understands the sensitivity of this information and respects the privacy of the reporting person. Procedures are in place to maintain the confidentiality of the information.

## Other Campus Resources

The following additional contacts are available to members of the campus community who have questions or concerns about threats or violent behavior on university premises. These contacts can provide information about established guidelines and procedures for dealing with and preventing threats and violent behavior. In the exercise of their function, these contacts will maintain the greatest degree of confidentiality consistent with their responsibilities as university representatives.

- Director, Human Resource Services: 412-268-5081
- Vice President and Dean, Office of Student Affairs: 412-268-2075
- Associate Vice President and Chief Human Resources Officer: 412-268-3785
- Director, Counseling and Psychological Services: 412-268-2922



# Community Standards and Procedures

Carnegie Mellon University is committed to cultivating an environment that supports the personal and intellectual growth of each student by promoting our traditions of innovation, leadership, responsibility to society, learning, dedication, commitment to quality and commitment to each other. We are a community with high expectations for those who choose to become members, including established community standards intended to foster behavior that is consistent with an educational setting where each member can achieve their full potential.

# Community Standards and Procedures

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# Community Standards Overview

Carnegie Mellon University is committed to cultivating an environment that supports the personal and intellectual growth of each student by promoting our traditions of innovation, leadership, responsibility to society, learning, dedication, commitment to quality and commitment to each other. We are a community with high expectations for those who choose to become members, including established community standards intended to foster behavior that is consistent with an educational setting where each member can achieve their full potential.

**It is the responsibility of each community member to become familiar with the standards and expectations of the Carnegie Mellon community. In general, each member should:**

- Respect the rights of others;
- Respect the property of individuals, groups, and Carnegie Mellon;
- Know, understand and abide by all Carnegie Mellon community standards, policies and regulations, as well as all local, state and federal laws;
- Engage in behavior that does not interfere with individual, group or Carnegie Mellon regular activities and/or operation(s);
- Ensure that guests behave in a manner consistent with and in accordance with the expectations of our community.

At the core, our standards, policies and procedures are designed to:

- Promote and protect the rights of all members and guests of our community;
- Promote and protect the health and safety of all members and guests of our community;
- Promote the respect of and protect community members' and university property;
- Promote and protect the academic integrity of our community.

The Word provides a list of [policies](#) students are expected to uphold and the process by which violations will be addressed. Policies and procedures may be established or amended as necessary during the course of the academic year, which will become effective immediately upon notification by the dean of students.

In all cases involving infractions of community standards (excluding the adjudication of Prohibited Conduct defined under Section VII.A. of the Discriminatory and Sexual Misconduct Policy (Interim)) the following procedures will be used:

1. The Community Standards Review Committee will review the case and determine the appropriate venue for resolution.
2. When appropriate, a community standards meeting will take place with a university adjudicator. If the student respondent and the university adjudicator can resolve the matter, the student will be notified in writing of the determined action once said action is approved by the Community Standards Review Committee.
3. When the Community Responsibility Panel is assigned original jurisdiction or when a community standards meeting has failed, the procedures outlined in the [Conduct of Community Responsibility Panels](#) will apply.

A student who requires accommodations due to a disability in order to fully participate in the community standards process should contact the Carnegie Mellon University [Office of Disability Resources](#) which provides responsive and reasonable accommodations to students who self-identify as having a disability, including physical, sensory, cognitive and emotional disabilities.

The university's policy on student accommodations is available on the [Office of Disability Resources website](#). Additional information regarding the Office of Disability Resources, including how to request accommodations, is available in the [Office of Disability Resources](#) website.

## Community Standards Violations

The following are groups of violations that constitute misconduct for which members of the student body may be held accountable. This list references policies that may be outlined in greater detail in this on-line handbook or other campus resources. The university is not limited by this list nor by other published policies when it initiates community standards actions since it is not possible to anticipate all of the behavior of a college population. Additionally, university departments and units may maintain specific policies or guidelines enforceable by their respective procedures separate from community standards action (e.g. University Libraries, Parking Services, Environmental Health and Safety, [Office for Institutional Equity and Title IX](#), etc.). The university reserves the right to review off-campus incidents to determine if a violation

of community standards has occurred and whether resolution through the appropriate process is warranted.

**Students at Carnegie Mellon are members of an academic community dedicated to the achievement of excellence. Therefore, students are expected to meet the highest standards of integrity in their conduct. Failure to meet the expectations of high standards of integrity may be reviewed through the university community standards process.**

Examples of violations of community standards in relation to integrity include, but are not limited to:

- Altering, falsifying, or misuse of university documents
- Destruction of another person's work, specifically through the use of computer facilities
- Falsification of data
- Intentional misrepresentation of self or another individual through electronic communication or any other means
- Invasion of or accessing personal files or a computer account other than one's own
- Misrepresentation of research data
- Misuse of computer facilities
- Other acts that compromise the integrity of the academic process
- Providing false information to a university official
- Reverse engineering software or hardware without permission of the intellectual property owner
- Violation of copyright laws including computing or Web-related documentation
- Violation of the [Carnegie Mellon University Computing Policy](#)
- Violation of the [Carnegie Mellon University Policy on Academic Integrity](#) including cheating, plagiarism, or unauthorized assistance

- Violation of the [Carnegie Mellon University Policy on the Protection of Children in Carnegie Mellon University Programs, Activities, and Facilities](#)

**Carnegie Mellon University holds as its highest priority the welfare of its community members. Any behavior that places individuals or the community at risk for harm may be reviewed through the university community standards process. The outcomes that may result from this type of behavior may be severe.**

Examples of violations of community standards in relation to the welfare of others include, but are not limited to:

- Assault
- Possession, production and/or distribution of child pornography
- Endangering the welfare of others
- Failure to enact the [Active Medical Assistance Protocol \(AMAP\)](#)
- Harassment
- Hazing
- Hosting and/or participating in a disruptive event
- Tampering with or altering facility emergency, life safety, or security systems
- Threats of physical violence
- Unreasonable noise
- Violation of prohibited conduct as defined in the [Discriminatory and Sexual Misconduct Policy \(Interim\)](#)
- Violation of a [No Contact Agreement](#) or [No Contact Order](#)

**The care and upkeep of our campus buildings, grounds and facilities are critical to providing students, faculty and staff with an environment that is conducive to learning. Any behavior that jeopardizes the maintenance of the campus or an individual's property may be reviewed through the university community standards process.**

Examples of violations of community standards in relation to property include, but are not limited to:

- Damage to or destruction of property
- Improper placement of posters/banners
- Improper possession of property
- Irresponsible use of university property or services
- Operation of vehicles in restricted areas
- Propping open doors that are kept locked for security purposes
- Repairing and storing vehicles, motorized or otherwise, in unauthorized university spaces
- [Tents, encampments and structures](#)
- Theft, including but not limited to by way of robbery, larceny, embezzlement or fraud
- Trespassing on a roof, parapet, and/or other non-public areas
- Unauthorized possession or use of keys or access cards
- Unauthorized tapping into or altering university utility lines
- Vandalism
- Violation of the Carnegie Mellon University [Housing Services Policies](#)
- Willful destruction of, disabling, or damaging computer facilities, equipment, or software

**Carnegie Mellon has established basic guidelines that have been approved by students, staff, and faculty. These policies ensure the safe and functional operation of the university. Students are expected to abide by these policies at all times. Failure to abide by these guidelines may be reviewed through the university community standards process.**

Examples of violations of community standards in relation to health, safety, and security include, but are not limited to:

- Disorderly or disruptive behavior

- Failure to comply with a reasonable request of a university official
- Failure to comply with a request to produce identification
- Failure to comply with university public health requirements or instructions
- Failure to evacuate for fire drills and alarms
- Harboring of an unauthorized animal(s)
- Improper storage of chemicals, gases, or hazardous materials
- Installation of a private locking system
- Possession or use of false identification
- Tampering with or misuse of fire safety equipment
- Unauthorized and/or unlawful recording
- Unauthorized entry into secured spaces
- Unauthorized use of appliances
- Use of pyrotechnics, fireworks, or hazardous devices
- Violation of the [Carnegie Mellon University Alcohol and Drug Policy](#)
- Violation of the [Carnegie Mellon University Personal Wheeled Transportation Policy](#)
- Violation of the [Carnegie Mellon University Housing Services Policies](#)
- Violation of the [Carnegie Mellon University Policy on Deadly Weapons](#)
- Violation of the [Carnegie Mellon University Policy on Freedom of Expression](#)
- Violation of the [Carnegie Mellon University Smoke-Less Campus Policy](#)

## Important Definitions

- **Adjudicator** - University official authorized to resolve allegations or impose outcomes for students alleged to have violated community standards. This person is usually a housefellow or college liaison, but the dean of students or designee may also act as an adjudicator.

- **Complainant** – The person(s) or group bringing allegations forward in the community standards process. In cases where there is no individual bringing forward an allegation, the university may act as a complainant.
- **Hearing Officer** – The hearing officer is appointed by the dean of students or designee. A hearing officer may be an employee of Carnegie Mellon or a third party engaged by the university, who has been trained to serve in this role. The hearing officer is responsible for conducting the hearing, making a determination regarding relevance of information as well as responsibility for each allegation. If applicable, the hearing officer will recommend outcomes to the associate vice president of student affairs for community life or designee.
- **Moderator** – The student affairs staff member who facilitates a Community Responsibility Panel. Moderators are appointed and trained by the Office of Community Responsibility. The panel runs at their discretion according to process guidelines published in The Word student handbook.
- **Process Advisor** – As a member of the team in the Office of Community Responsibility, the process advisor is responsible for the logistics of convening a Community Responsibility Panel or Hearing Officer Proceeding. The process advisor schedules the meeting, assembles the panel, informs the complainant(s) and respondent(s) of the procedures to be used, and manages other administrative tasks.
- **Resolution** – Typically, the result of a complaint being adjudicated through the community standards process which may entail a Community Standards Meeting or the Community Responsibility Panel. However, a complaint may be resolved informally outside of the community standards process at the discretion of the dean of students or designee and the individuals involved in the matter.
- **Community Standards Review Committee** – The team of designated and trained staff that review and approve initial allegations and determine appropriate venues for resolution through the community standards process. The Community Standards Review Committee also reviews and approves proposed outcomes stemming from Community Standards Meetings.
- **Respondent** – The person(s), group, or student organization alleged to have violated community standards.

- **Student** – Any person registered for, enrolled in, or auditing any course(s) at Carnegie Mellon University at the time of the alleged violation. For community standards purposes, an individual is also considered to be a student if they have accepted their offer of admission and are not yet enrolled. Examples include but are not limited to, students who are enrolled but not taking classes due to an academic break, medical leave, suspension, or other personal leave; students who were enrolled at the time of the incident; persons who demonstrate an intent to enroll by registering for courses; and students participating in study abroad programs.
- **Support Person** – A person of the student's choosing who accompanies the student to any meeting related to the community standards process, including a Community Responsibility Panel. The role of the support person is limited to supporting the student in meetings or a hearing. Support persons may not actively participate in meetings, the hearing process, or communicate on the student's behalf.
- **Witness** – Individuals positioned to provide direct information related to the alleged violations being reviewed through the community standards process, such as direct observation of the incident in question and/or direct interaction with any of the parties before, during or after the incident in question.

## The Community Standards Process

Staff members in the Division of Student Affairs adjudicate alleged violations of community standards by students through the community standards process. The following forums exist for formal resolution of alleged violations:

- [Community Standards Meeting with a university adjudicator](#)
- [Community Responsibility Panel](#)
- [Hearing Officer](#)
- [Academic Responsibility Panel](#)

For incidents that pose immediate concerns for the safety and welfare of the campus community, during the pendency of university community standards proceedings, the university may conduct a review per the [Safety Intervention Protocol](#) to determine whether it is necessary to take summary action or implement interim measures that limit a student's ability to be

present on campus, engage in coursework, and/or interact with specific members of the university community until resolution is reached.

Additionally, when circumstances warrant, the dean of students or designee may modify these procedures to ensure the safety and welfare of the campus community.

## Initiating the Community Standards Process

In order to initiate the community standards process, the Office of Community Responsibility must receive a complaint or report that substantiates the facts and circumstances associated with any alleged violation(s) of community standards by a Carnegie Mellon student. The initial information for the complaint or report may be provided by a student, faculty, staff member, or non-affiliate directly to the Office of Community Responsibility or via the following:

- Campus Security Authority (as defined in the university's [Annual Security and Fire Safety Report](#));
- Carnegie Mellon University's [Ethics Reporting Hotline](#);
- Carnegie Mellon University's [Bias Reporting Resources](#);
- [Carnegie Mellon University Police Department](#);
- City of Pittsburgh Police and/or other law enforcement agency;
- [Information Security Office](#); or
- [Office for Institutional Equity and Title IX](#).

The Office of Community Responsibility has the authority to review and adjudicate all violations of university standards, policies and regulations that involve students. A complaint may be resolved informally outside of the community standards process at the discretion of the dean of students or designee and with the agreement of the individuals involved in the matter. The university community standards process may not be used for the adjudication of matters involving relationships or interactions that do not involve alleged violations of community standards. In such circumstances, the students involved will receive information about alternate options for resolution including facilitated dialogue, conflict coaching, and/or mediation.

As needed the Community Standards Review Committee is empowered to review initial complaints and determine whether there is a reasonable basis for resolution via the community standards process. When reviewing a complaint, the Community Standards Review Committee will consider if the described behavior could violate a University policy or community standard if shown to be true. The Community Standards Review Committee may determine the described behavior does not constitute a violation of community standards or that complaint does not contain enough information to make such a determination and may request additional information or further investigation. The Community Standards Review Committee may dismiss a complaint when it is determined there is no reasonable basis for resolution via the community standards process. Complaints that are dismissed may be resolved via an informal process including but not limited to, conflict coaching, facilitating a dialogue, mediation, restorative practices, or shuttle diplomacy.

Student organizations, as members of the academic community, are expected to uphold university policies and community standards. Alleged violations of community standards associated with student organization activities may be reviewed through the community standards process. Individual students may be held accountable through the community standards process separate from any outcomes imposed on an organization found responsible for violating community standards.

### ***Withdrawal of a Complaint***

Generally, when pending allegations are withdrawn by the complainant, the allegations may not be refiled unless new information becomes available that was not previously available. The refiled complaint will be reviewed by the Community Standards Review Committee to determine if the allegations should move forward based on the current circumstances.

### ***Engagement Expectations***

It is an expectation that students involved in the community standards process make a good-faith effort to participate and bring the matter to resolution.

If a complainant ceases to engage in the resolution process, the Community Standards Review Committee may elect to dismiss the allegations or the Community Standards Review Committee may allow the allegations to proceed with a university official serving

as the complainant. Allegations dismissed by the Community Standards Review Committee may not be refiled by the complainant unless new information is available that was not previously available.

If a respondent ceases to participate in the process, the university may proceed to make a determination via a Community Standards Meeting or schedule and conduct a Community Responsibility Panel/Hearing Officer proceedings without that student's participation.

### ***Overriding Community Interest in Community Standards Matters***

There are some circumstances in which an overriding community interest will necessitate engagement of the community standards process even if the impacted party does not wish to pursue it as a means of resolution.

The Office of Community Responsibility in consultation with the Community Standards Review Committee will determine if an overriding community interest exists. The Title IX Coordinator will play a key role in determining the existence of an overriding community interest in cases involving alleged violations of the Carnegie Mellon [Discriminatory and Sexual Misconduct Policy \(Interim\)](#).

In circumstances where an impacted party does not wish to pursue action through the community standards process and it is determined that an overriding community interest exists, the university will bring the matter for review via the community standards process. The impacted party will be informed of this decision as well as their options for participation in the resolution process.

### ***Statute of Limitations***

The university reserves the right to suspend or revoke a degree for violations of Community Standards that occurred while the individual was enrolled at the university, even if the individual has graduated. The university also reserves the right to initiate the Community Standards process after an individual has graduated from the university to review alleged violations that occurred prior to graduation while the individual was an enrolled student.

## Community Standards Meeting

A student is expected to meet with a university adjudicator to attempt to resolve alleged violation(s) of university community standards. A successful Community Standards Meeting will include the following:

1. The facts must be determined. The student must agree that essential facts related to the incident are undisputed.
2. A violation of community standards must be determined. The student must agree that what occurred during the incident was a violation of the university's community standards.
3. A proposed outcome or set of outcomes must be determined. The student and adjudicator must jointly agree about what outcome or set of outcomes will be proposed for resolution of the matter, taking into account where appropriate the concerns of the impacted party.

The aforementioned proposed outcome or set of outcomes will be reviewed by the Community Standards Review Committee. If approved, the student will receive notification in writing confirming the determined action, which then becomes final. If agreement on the appropriate action cannot be reached, the matter may be referred to the Community Responsibility Panel or Hearing Officer Proceeding for review.

Should a student be non-responsive to notification of an alleged violation of the university's community standards, after a reasonable period of time and having made reasonable attempts to contact the respondent, the university adjudicator may make a determination regarding responsibility and assign restorative outcomes and/or a period of status warning based on the information available. Consistent with Community Standards Meeting procedures, this determination will be forwarded to the Community Standards Review Committee for approval. Violations that may result in suspension and where the student is non-responsive will be referred to the Community Responsibility Panel for resolution.

## Community Responsibility Panel

The Community Responsibility Panel has jurisdiction in the following cases:

1. Any cases of alleged violations of university standards and policies that the Community Standards Review Committee deems sufficiently serious in nature or inappropriate for a Community Standards Meeting.
2. Any cases of alleged violations of university standards and policies in which one student(s) is filing allegation(s) against another student(s) that cannot be appropriately resolved through a Community Standards Meeting.
3. Appeals referred by the dean of students or designee to review summary actions imposed by a university adjudicator or university staff member.
4. Cases in which a Community Standards Meeting has not been successful.

When circumstances warrant, at the discretion of the dean of students or designee, a case may be reviewed by a Hearing Officer in lieu of the Community Responsibility Panel. In such cases, the procedures outlined in [Conduct of Hearing Officer Proceedings](#) will be utilized.

### ***Composition of the Community Responsibility Panel***

Each case presented to the Community Responsibility Panel is heard by two student panel members, one staff panel member, one faculty panel member and one additional faculty or staff panel member. In addition, a trained moderator will preside over the proceedings.

The pool of faculty members will be appointed by the Office of Community Responsibility in consultation with Faculty Senate. The pool of staff members will be appointed by the Office of Community Responsibility in consultation with the Staff Council. The pool of student members will be appointed by the Office of Community Responsibility in consultation with Undergraduate Student Senate and the Graduate Student Assembly following a selection process coordinated by the Office of Community Responsibility. All appointees must complete initial and ongoing training in order to be eligible to serve as panel members. Once trained, panel members may complete up to three years of service. Panel members may be reappointed to successive three-year terms.

Members participating in a given hearing will be selected from a list of eligible individuals based upon availability and disinterestedness in the case or parties following review by the parties who are appearing before the Community Responsibility Panel. The following circumstances would preclude participation as a panel member in a given hearing:

- Individuals with prior substantial knowledge of or interest in the student(s) involved or the event(s) leading to the allegations.
- Individuals with a conflict of interest with the student(s), witnesses or other parties to the case.
- Individuals who may appropriately be a witness in the case.

### ***Conduct of Community Responsibility Panels***

The university attempts to ensure fair, timely and orderly procedures in all community standards reviews. To provide for this, the university has adopted the following procedural protections that govern the Community Responsibility Panels process:

#### Panel Preparation and Scheduling

1. The logistics of hearing preparation and scheduling will be coordinated by a process advisor in the Office of Community Responsibility.
2. The student must be notified in writing of the specific policy, standard or regulation the student has allegedly violated. Such notification is normally made at least seven calendar days before the hearing.
3. Throughout the community standards process, the student respondent will receive full notification of complaint, notification of any hearing and notification of disposition of the charge and will have the opportunity to be present throughout the hearing process.
4. The complainant will receive full notification of the complaint, notification of any hearing, and will have the opportunity to be present throughout the hearing process.
5. Prior to the hearing, the individuals involved will be asked if they believe that the potential Community Responsibility Panel members are aware of any significant relationship or interaction that might impair their ability to render an objective recommendation for resolution of the matter under review. The process advisor will consider this in seating the panel for the hearing.
6. Written introductions are an opportunity for either party to offer their initial thoughts and general sentiments about the allegations under review by the Community Responsibility Panel.

- 7.** During process advisement, the complainant and respondent will be provided a packet, which may include, among other relevant items: the initial complainant report; any investigation reports and/or witness statements; a written introduction from the complainant(s) to the panel; and a written introduction from the respondent(s) to the panel. This packet may be used for the purpose of preparing for or use during the hearing, consistent with the privacy rights of those involved. These materials are to be kept private and may be shared only with permission from the process advisor. These documents may not be duplicated nor utilized for any other purpose.
- 8.** In advance of the hearing, the members of the Community Responsibility Panel will be provided a packet, which may include, among other relevant items: the initial complainant report; any investigation reports and/or witness statements; a written introduction from the complainant(s) to the panel; and a written introduction from the respondent(s) to the panel. Panel members are expected to keep the information reviewed during a Community Responsibility Panel confidential.
- 9.** Complainant(s) and respondent(s) may submit up to three written letters of support at a date specified by the process advisor for consideration only during the outcomes phase of the proceeding in the event that the respondent is found responsible.
- 10.** It is the responsibility of the Office of Community Responsibility to ensure that times set for hearings are reasonable and that necessary accommodations have been offered to both the complainant and respondent whenever appropriate. In turn, both the complainant and respondent will be expected to demonstrate good faith efforts in their participation with this process, particularly in relation to the scheduling of the review. In a case involving exigent circumstances that prevent the complainant or respondent from participating in a scheduled hearing, the hearing will be rescheduled.
- 11.** Every effort will be made to avoid conflicts with a student's class schedule when identifying a hearing date and time. When circumstances warrant, classroom attendance, except for scheduled examinations, will not be a reasonable excuse for delaying a hearing.
- 12.** In the rare circumstance where a respondent fails to make a good faith effort to participate in the process, the university (having made reasonable attempts to

accommodate the respondent) may elect to schedule and conduct a hearing without that student's participation.

- 13.** Review of incidents involving both community standards allegations and academic integrity allegations may be conducted by a Community Responsibility Panel at the discretion of the dean of students or designee.
- 14.** Allegations stemming from multiple incidents indicating an alleged pattern of behavior may be collectively reviewed by a single Community Responsibility Panel at the discretion of the Community Standards Review Committee.
- 15.** The respondent may file in writing counter-allegations against the complainant in connection with the incident(s) currently under review by the Community Responsibility Panel. In order to be considered for inclusion in the packet in the same hearing process, counter-allegations must be raised within a reasonable time (normally two business days) of the first Community Responsibility Panel process advisement meeting. The counter-allegations must detail the university regulation or policy that the respondent believes has been violated in connection with the incident(s) currently under review by the Community Responsibility Panel and provide information that substantiates the facts and circumstances. Counter-allegations cannot be based solely on the fact that a complaint was brought forward, nor can they be retaliatory in nature. The Community Standards Review Committee will determine if the counter-allegations will be reviewed by the Community Responsibility Panel or resolved in a subsequent hearing, based on the connection of the counter-allegations to the incident(s) already under review.
- 16.** Both the complainant and respondent have the right to have one support person of their choosing present at the hearing. Both parties are required to notify the process advisor of their support person of choice at a date specified by the process advisor that will be at least three days in advance. If legal counsel will serve in this capacity, a representative of the University's Office of General Counsel will typically be present for the hearing to provide assistance to the Community Responsibility Panel, moderator, and/or process advisor as needed. Legal counsel or any other support person, if present, will not be permitted to participate in the proceedings but may advise the respondent or the complainant and/or be present at a hearing. In the event that one party to a case is accompanied by legal counsel without advance notice, a hearing may be postponed until all parties to the case have had an opportunity to have counsel

present. Registered support persons are not permitted to participate as witnesses in the same hearing.

- 17.** Both the complainant and respondent have the opportunity to register witnesses. Witnesses should be able to provide direct information related to the alleged violations being reviewed by the Community Responsibility Panel, such as direct observation of the incident in question and/or direct interaction with any of the parties before, during or after the incident in question. Both parties are required to notify the process advisor of their registered witnesses at a date specified by the process advisor that will be at least three days in advance of the Community Responsibility Panel hearing.
- 18.** The university reserves the right to supplement the registered witness list at any time to ensure that the panel has access to all potential witnesses with substantive information. Both the complainant and respondent will be promptly notified of any changes to the registered witness list.
- 19.** In scheduling a hearing, consideration should be given to allow that witnesses significant to the case being heard are available to the panel. If a witness is not available to be called by the panel in person or via telecommunication, they may submit a written statement to the process advisor to be reviewed if the panel requests information from the witness.

#### Panel Process and Procedures

- 1.** Information provided during a Community Responsibility Panel hearing should remain private.
- 2.** In order to maintain a fair and equitable process, no new materials will be accepted on the day of the panel, with the exception of (i) oral testimony and (ii) such other information as may be necessary to rebut new oral testimony. Information offered as rebuttal will only be accepted at the discretion of the moderator.
- 3.** All proceedings before a panel, except the deliberation of the panel, will be recorded. The audio or audiovisual (if available) recording will be kept in accordance with community standards records retention practices.

4. During the actual proceedings, a student has the right to be present when information relative to the case is being presented. In the community standards process, a student who is charged with a violation has the right to remain silent.
5. The moderator will remind all persons present at the opening of each community standards hearing that the purpose of a Community Responsibility Panel is to determine an appropriate response, through a deliberative process, when a violation of policy, standard or regulation is alleged.
6. The complainant(s) and respondent(s) will each be limited to ten minutes for their introduction.
7. The majority of the proceeding will consist of questioning from the panel members for all parties as well as the registered witnesses that are called by the panel. The complainant(s) and respondent(s) will also have the opportunity to present questions for the panel's consideration.
8. It is within the discretion of the panel to determine whether they wish to hear from the registered witnesses. Witnesses will be questioned one at a time by the panel and subsequently dismissed. They should only be present in the room when providing information to the panel. Except in documented extenuating circumstances, students are expected to make a good-faith effort to provide information to the Community Responsibility Panel when called as a witness.
9. The complainant(s) and respondent(s) will each be limited to five minutes for their summary.
10. All materials provided to the complainant(s) and respondent(s) (including those provided electronically) must be returned to the process advisor at the conclusion of the hearing. Copies of these materials may not be retained or used for any other purpose.
11. Following the complainant and respondent summary, the panel will enter closed deliberations. A more likely than not standard (preponderance of the evidence) will be used to determine if a university policy, standard or regulation was violated. If responsibility is determined, the panel will make a recommendation for appropriate outcomes.

**12.** No information about a respondent's prior community standards record will be shared with the Community Responsibility Panel until a determination of responsibility has been made unless the case being reviewed stems from the prior incident for which a community standards record exists. If a respondent(s) has a prior community standards record and is found responsible by the Community Responsibility Panel, the following information will be shared with the panel: community standards violation(s) for which they were found responsible, date of incident(s), brief summary, outcome(s), and status of the case(s). The student may be recalled before the panel to discuss the prior violations and outcomes prior to the Community Responsibility Panel making a recommendation for appropriate outcomes for the present case.

#### Panel Outcome Determination and Notifications

1. A representative of the Office of Community Responsibility will be responsible for notifying the associate vice president of student affairs for community life or designee in writing of the recommendation of the panel regarding responsibility and any outcomes deemed appropriate.
2. The associate vice president of student affairs for community life or designee makes the decision in the case, informed by the recommendation of the Community Responsibility Panel. The associate vice president of student affairs for community life or designee may accept, reject, or modify the recommendation, or may remand the matter to a new Community Responsibility Panel for review.
3. After reviewing the recommendations, the associate vice president of student affairs for community life or designee will render a decision in writing. The decision letter will typically be delivered to the respondent(s) by the process advisor.
4. In cases that involve crimes of violence as defined by the [Family Educational Rights and Privacy Act \(FERPA\)](#) the complainant/impacted party will receive notification of disposition of the allegation(s). In cases of alleged prohibited conduct under the [Discriminatory and Sexual Misconduct Policy \(Interim\)](#), the complainant/impacted party will be notified of the outcome as specified in section VI.E of the policy.
5. Parents of a student normally will not be notified of any community standards action.
6. Community standards actions will be recorded in the student's educational record in the Office of Community Responsibility in accordance with community standards records retention practices. When community standards actions affect eligibility for enrollment,

designation on other university records will be made. Community standards records will not be released as a part of the official transcript of the academic record of a student.

### ***Conduct of Hearing Officer Proceedings***

Adjudication of prohibited conduct defined under [Section VII.A of the Discriminatory and Sexual Misconduct Policy \(Interim\)](#) follows the hearing procedures for the adjudication of discriminatory and sexual misconduct as described in section [VI.D of the Discriminatory and Sexual Misconduct Policy \(Interim\)](#).

The university attempts to ensure fair, timely and orderly procedures in all community standards reviews. To provide for this, the university has adopted the following procedural protections that govern the Hearing Officer Proceeding:

#### Hearing Officer Preparation and Scheduling

1. The logistics of hearing preparation and scheduling will be coordinated by a process advisor in the Office of Community Responsibility.
2. The student must be notified in writing of the specific policy, standard or regulation the student has allegedly violated. Such notification is normally made at least seven calendar days before the hearing.
3. Throughout the community standards process, the student respondent will receive full notification of complaint, notification of any hearing and notification of disposition of the charge and will have the opportunity to be present throughout the hearing process.
4. The complainant will receive full notification of the complaint, and notification of any hearing, and will have the opportunity to be present throughout the hearing process.
5. Written introductions are an opportunity for either party to offer their initial thoughts and general sentiments about the allegations under review by the hearing officer.
6. During process advisement, the complainant and respondent will be provided a hearing packet, which may include, among other relevant items: the initial complainant report; any investigation reports and/or witness statements; a written introduction from the complainant(s) to the hearing officer; and a written introduction from the respondent(s) to the hearing officer. This packet may be used for the purpose of preparing for or use during the hearing, consistent with

the privacy rights of those involved. These materials are to be kept private and may be shared only with permission from the process advisor. These documents may not be duplicated nor utilized for any other purpose.

7. In advance of the hearing, the hearing officer will be provided a hearing packet, which may include, among other relevant items: the initial complainant report; any investigation reports and/or witness statements; a written introduction from the complainant(s) to the hearing officer; and a written introduction from the respondent(s) to the hearing officer. Hearing officers are expected to keep the information reviewed confidential.
8. Complainant(s) and respondent(s) may submit up to three written letters of support at a date specified by the process advisor for consideration only during the outcomes phase of the proceeding in the event that the respondent is found responsible.
9. It is the responsibility of the Office of Community Responsibility to ensure that times set for hearings are reasonable and that necessary accommodations have been offered to both the complainant and respondent whenever appropriate. In turn, both the complainant and respondent will be expected to demonstrate good faith efforts in their participation with this process, particularly in relation to the scheduling of the hearing. In a case involving exigent circumstances that prevent the complainant or respondent from participating in a scheduled hearing, the hearing will be rescheduled.
10. Every effort will be made to avoid conflicts with a student's class schedule when identifying a hearing date and time. When circumstances warrant, classroom attendance, except for scheduled examinations, will not be a reasonable excuse for delaying a hearing.
11. In the rare circumstance where a respondent fails to make a good faith effort to participate in the process, the university (having made reasonable attempts to accommodate the respondent) may elect to schedule and conduct a hearing without that student's participation.
12. Allegations stemming from multiple incidents indicating an alleged pattern of behavior may be collectively reviewed by a hearing officer at the discretion of the Community Standards Review Committee.

13. The respondent may file in writing counter-allegations against the complainant in connection with the incident(s) currently under review by the hearing officer. In order to be considered for inclusion in the packet in the same hearing process, counter-allegations must be raised within a reasonable time (normally two business days) of the first hearing officer process advisement meeting. The counter-allegations must detail the university regulation or policy that the respondent believes has been violated in connection with the incident(s) currently under review by the hearing officer and provide information that substantiates the facts and circumstances. Counter-allegations cannot be based solely on the fact that a complaint was brought forward, nor can they be retaliatory in nature. The Community Standards Review Committee will determine if the counter-allegations will be reviewed by the hearing officer or resolved in a subsequent hearing, based on the connection of the counter-allegations to the incident(s) already under review.
14. Both the complainant and respondent have the right to have one support person of their choosing present at the hearing. Both parties are required to notify the process advisor of their support person of choice at a date specified by the process advisor that will be at least three days in advance. If legal counsel will serve in this capacity, a representative of the University's Office of General Counsel will typically be present for the hearing to provide assistance to the hearing officer, and/or process advisor as needed. Legal counsel or any other support person, if present, will not be permitted to participate in the proceedings but may advise the respondent or the complainant and/or be present at a hearing. In the event that one party to a case is accompanied by legal counsel without advance notice, a hearing may be postponed until all parties to the case have had an opportunity to have counsel present. Registered support persons are not permitted to participate as witnesses in the same hearing.
15. Both the complainant and respondent have the opportunity to register witnesses. Witnesses should be able to provide direct information related to the alleged violations being reviewed by the hearing officer, such as direct observation of the incident in question and/or direct interaction with any of the parties before, during or after the incident in question. Both parties are required to notify the process advisor of their registered witnesses at a date specified by the process advisor that will be at least three days in advance of the Hearing Officer Proceedings.

16. The university reserves the right to supplement the registered witness list at any time to ensure that the hearing officer has access to all potential witnesses with substantive information. Both the complainant and respondent will be promptly notified of any changes to the registered witness list.
17. In scheduling a hearing, consideration should be given to allow that witnesses significant to the case being heard are available to the hearing officer. If a witness is not available to be called in person or via telecommunication, they may submit a written statement to the process advisor to be reviewed if the hearing officer requests information from the witness.

#### Hearing Process and Procedures

1. Information provided during a hearing officer proceeding should remain private.
2. In order to maintain a fair and equitable process, no new materials will be accepted on the day of the hearing, with the exception of (i) oral testimony and (ii) other information as may be necessary to rebut new oral testimony. Information offered as rebuttal will only be accepted at the discretion of the hearing officer.
3. All proceedings before a hearing officer will be recorded. The audio or audiovisual (if available) recording will be kept in accordance with community standards records retention practices.
4. During the actual proceedings, a student has the right to be present when information relative to the case is being presented. In the community standards process, a student who is charged with a violation has the right to remain silent.
5. The hearing officer will remind all persons present at the opening of each community standards hearing that the purpose of the hearing is to determine an appropriate response, through a deliberative process, when a violation of policy, standard or regulation is alleged.
6. The complainant(s) and respondent(s) will each be limited to ten minutes for their introduction.
7. The majority of the proceeding will consist of questioning from the hearing officer for all parties as well as the registered witnesses that are called by the hearing officer. The

complainant(s) and respondent(s) will also have the opportunity to present questions for the hearing officer's consideration.

8. It is within the discretion of the hearing officer to determine whether they wish to hear from the registered witnesses. Witnesses will be questioned one at a time and subsequently dismissed. They should only be present in the room when providing information to the hearing officer. Except in documented extenuating circumstances, students are expected to make a good-faith effort to provide information to the hearing officer when called as a witness.
9. The complainant(s) and respondent(s) will each be limited to five minutes for their summary.
10. All materials provided to the complainant(s) and respondent(s) (including those provided electronically) must be returned to the process advisor at the conclusion of the hearing. Copies of these materials may not be retained or used for any other purpose.
11. A more likely than not standard (preponderance of the evidence) will be used to determine if a university policy, standard or regulation was violated. If responsibility is determined, the hearing officer will make a recommendation for appropriate outcomes.
12. No information about a respondent's prior community standards record will be shared with the hearing officer until a determination of responsibility has been made unless the case being reviewed stems from the prior incident for which a community standards record exists. If a respondent(s) has a prior community standards record and is found responsible by the hearing officer, the following information will be provided: community standards violation(s) for which they were found responsible, date of incident(s), brief summary, outcome(s), and status of the case(s).

#### Hearing Officer Outcome Determination and Notifications

1. A representative of the Office of Community Responsibility will be responsible for notifying the associate vice president of student affairs for community life or designee in writing of the recommendation of the hearing officer regarding responsibility and any outcomes deemed appropriate.
2. The associate vice president of student affairs for community life or designee makes the decision in the case, informed by the recommendation of the hearing officer. The

associate vice president of student affairs for community life or designee may accept, reject, or modify the recommendation, or may remand the matter to a new hearing officer for review.

3. After reviewing the recommendations, the associate vice president of student affairs for community life or designee will render a decision in writing. The decision letter will typically be delivered to the respondent(s) by the process advisor.
4. In cases that involve crimes of violence as defined by the [Family Educational Rights and Privacy Act \(FERPA\)](#) the complainant/impacted party will receive notification of disposition of the allegation(s). In cases of alleged prohibited conduct under the [Discriminatory and Sexual Misconduct Policy \(Interim\)](#), the complainant/impacted party will be notified of the outcome as specified in section VI.E of the policy.
5. Parents of a student normally will not be notified of any community standards action.
6. Community standards actions will be recorded in the student's education record in the Office of Community Responsibility in accordance with community standards records retention practices. When community standards actions affect eligibility for enrollment, designation on other university records will be made. Community standards records will not be released as a part of the official transcript of the academic record of a student.

### ***Outcomes for Students***

The community standards outcomes defined below comprise a range of official action that may be imposed by the university for violations of community standards. One or more of these actions may be imposed in response to a given situation. This list is not comprehensive, as other outcomes may be utilized as appropriate.

When outcomes are decided as part of the community standards process, the educational and developmental needs of the involved student and the welfare of the community will be considered with utmost importance. The outcomes categories (i.e. student status, restorative and restrictive) are intended to clarify the role and purpose of the various actions. The determination of outcomes will be guided by the following considerations: the interests of the community, the impact of the violation, documented community standards history, and any mitigating or aggravating circumstances.

Non-compliance with imposed or agreed-upon outcomes may result in further action through the community standards process. Students with two (2) community standards violations within an academic year may immediately be placed on status warning. Students involved in three (3) violations within an academic year may be referred to the Community Responsibility Panel.

### Outcomes Related to Student Standing

These outcomes clarify the student's standing with the university. Additional violations of community standards may result in more severe outcomes including separation from the university.

- **Notice:** For minor infractions, a student may be issued a written notice. The notice will be noted in the event of any further infractions of community standards and may justify consideration of more severe outcomes. While a notice may influence future actions related to student standing, a notice alone does not affect student standing.
- **Residential Warning:** An official notice to a residential student that conduct with regard to university housing regulations or policies has been unacceptable and that future violation of university regulations may result in more serious community standards action, including the possible loss of campus residency. This status lasts for a stated period of time.
- **Status Warning:** For a second infraction or for a single offense of a more serious nature, a student may be issued a status warning for a designated period of time, during which subsequent community standards violations may result in suspension or expulsion. A student issued a status warning is still considered to be in good standing with the university. This status lasts for a stated period of time, typically one year from the date the warning is issued.
- **Suspension:** A student may be barred from enrollment for a designated period of time. Students who have been suspended are required to absent themselves from the campus (including but not limited to university housing, offices, labs, and libraries) within a maximum of two days after the action and to remain off the campus for the duration of the time specified as outlined in the [University Policy on Student Suspension/Required Withdrawal](#). A student on suspension is not eligible to register for courses, attend classes, live in university housing, use campus facilities, be on university

property, participate in student or university-sponsored activities, be an active member of a student organization, or be employed by the university during the period of suspension.

- **Expulsion:** The student is required to sever entirely their connection with the university. Students who have been expelled are required to absent themselves from university property (including but not limited to university housing, offices, labs, and libraries) within a maximum of two days after the action and to remain off the campus permanently. Students who have been expelled from the university may not apply for admission to other academic programs at the university or participate in any events or activities (including virtual) sponsored by Carnegie Mellon University, including those for alumni.
- **Suspension of a conferred degree:** A previously conferred degree is suspended, and the transcript will no longer reflect a completed degree. The degree will remain suspended until the time specified, and any pending outcomes are completed. During the duration of the degree suspension, the individual is prohibited from: representing that they have obtained a degree from Carnegie Mellon University; being present on University property; or participating in any events or activities sponsored by Carnegie Mellon University, including those for alumni.
- **Revocation of a conferred degree:** A previously conferred degree is revoked, and the transcript will no longer reflect a completed degree. The individual is prohibited from: representing that they have obtained a degree from Carnegie Mellon University; enrolling at Carnegie Mellon University in the future; being present on University property; or participating in any events or activities sponsored by Carnegie Mellon University, including those for alumni.

#### Restorative Outcomes

These outcomes require the student to take action to repair the harm their behavior caused or to utilize university resources to support their continued engagement in the community. Failure to complete these outcomes by the specified deadline may result in additional community standards action.

- **Behavioral Assessments and Recommendations:** The university may require a student to meet with a health care provider and/or a mental health care provider within

a specified time frame. If so, the student will be expected to fully participate in any relevant assessment requested by the provider and complete any consequent recommendation(s), such as a treatment plan or a referral to another provider. The student is expected to provide the appropriate releases to allow the university to confirm compliance with this outcome.

- **Community Service:** The university may require uncompensated service (a specified number of hours) to the university or an off-campus, non-profit organization as an outcome. The particular assignment of duties must be pre-approved through the appropriate university adjudicator. Students must provide appropriate documentation verifying their completed community service. Failure to complete the service satisfactorily within the specified period of time may result in further action through the community standards process.
- **Educational/Developmental Assignment:** The university may require a student to complete a project, assignment, or activity to promote the student's education and development. These assignments are at the discretion of the university adjudicator, Community Responsibility Panel, or hearing officer. Assignments may include but are not limited to: reflection or research paper, development of a presentation, discussion with an individual, apology letter, reading assignment, etc.
- **Restitution:** In cases where a student is found responsible for damaging or misappropriating physical property, the student may be responsible for reimbursing the property owner for all or some of the cost.

#### Restrictive Outcomes

These outcomes prevent a student from engaging in certain activities, being present in certain spaces or engaging with individuals during a specific time period. Violation of a restriction may lead to additional community standards action.

- **Loss of Privilege:** Students may lose specified privileges, which may include access to facilities, services, and/or the opportunity to participate in university activities.
- **Loss of Residency in University Housing:** An action that excludes a student from residence in university housing for a stated period of time. A student who loses residency in university housing shall be considered for future housing accommodations once the period of debarment is concluded and as space permits.

- **No Contact Order:** A [No Contact Order](#) is a directive from an associate vice president of student affairs or designee indicating that two students may not have direct contact with each other, or make indirect contact through third parties, except for that which is necessary for their academic pursuits. A no contact order may be issued in connection with the community standards process, either as an interim measure during the pendency of the process and/or an outcome associated with a finding of responsibility from the process.
- **Room Reassignment:** An action where a student is assigned to either another room in the same house community or a room in another house community. When a student is assigned to another house community, specific restrictions concerning the previous community may be invoked

### ***Cases Involving Student Organizations***

Carnegie Mellon University is committed to managing all cases that involve alleged violations of university policy by student organizations with appropriate care and sensitivity. In these cases, the university may need to invoke additional procedural provisions to determine responsibility for alleged policy violation(s) by a recognized student organization. Recognized student organizations include groups that are given recognition by a college, department or governing body on campus. Recognized student organizations have certain privileges and use of campus resources (e.g. funding (university or student fees), use of designated spaces, participation in campus activities, ability to utilize university systems, etc).

### **Community Standards Meetings for Student Organizations**

A student organization representative(s) is expected to meet with a university adjudicator to attempt to resolve alleged violation(s) of university community standards by a student organization. A successful Community Standards Meeting will include the following:

1. The facts must be determined. The organization representative(s) must agree that essential facts related to the incident are undisputed.

2. A violation of community standards must be determined. The organization representative(s) must agree that what occurred during the incident was a violation of the university's community standards.
3. A proposed outcome or set of outcomes must be determined. The organization representative(s) and adjudicator must jointly agree about what outcome or set of outcomes will be proposed for resolution of the matter, taking into account, where appropriate, the concerns of the reporting party.

The aforementioned proposed outcome or set of outcomes will be reviewed by the Community Standards Review Committee. If approved, the organization representative(s) will receive notification in writing confirming the determined action, which then becomes final. If agreement on the appropriate action cannot be reached, the matter may be referred to the Community Responsibility Panel for review.

Should a student organization be non-responsive to notification of an alleged violation of the university's community standards, after a reasonable period of time and having made reasonable attempts to contact the appropriate organization representative, the university adjudicator may make a determination regarding responsibility and assign restorative outcomes and/or a period of status warning based on the information available. Consistent with Community Standards Meeting procedures, this determination will be forwarded to the Community Standards Review Committee for approval. Violations that may result in loss of university recognition and where the student organization is non-responsive will be referred to the Community Responsibility Panel for resolution.

### ***Conduct of Community Responsibility Panels for Student Organizations***

The university attempts to ensure fair, timely and orderly procedures in all community standards reviews. To provide for this, the university has adopted the following procedures that govern the Community Responsibility Panel process for student organizations:

In cases where the university receives information describing behaviors that may violate university policy and the impacted party chooses not to serve as a complainant in a community standards proceeding, the university may act as a complainant when there exists a broader or overriding community interest. Notwithstanding the fact that the

impacted party wishes not to serve as complainant, they may nevertheless act as a witness in a Community Responsibility Panel.

1. In cases where the university receives information describing behaviors that may violate university policy, the university reserves the right to temporarily restrict any and all activities and operations of the organization while the case is being investigated and/or resolved through the appropriate process.
2. No more than two student members may represent an organization in a community standards proceeding.
3. The Community Responsibility Panel may review both individual member and organizational allegations concurrently. It is recommended that members responding to individual allegations do not also represent the organization in the same Community Responsibility Panel.
4. The university reserves the right to share periodic updates related to process, timeline, findings, and resolution of the case with appropriate parties including organization advisors, the sponsoring academic unit, (inter)national organization headquarters, and/or recognizing body (e.g. Student Government or appropriate Governing Councils), etc.
5. Unless a different timeline is set forth in this section, stated timelines for a Community Responsibility Panel and notification of a decision will be followed in cases involving student organizations.
6. The Community Responsibility Panel may recommend as an outcome of the organizational review, that an individual or individuals be charged with specific policy violations to be reviewed via a subsequent community standards process.
7. In cases that involve student organizations, complaints will be considered for a period of four years following the date of the most recent allegation. Complaints received more than two years following the date of the most recent allegation may be reviewed upon the approval of the associate vice president for community standards and diversity initiatives.
8. In cases that involve student organizations, the complainant will receive notification of disposition of the allegation(s) to the degree that individual privacy is not impacted.

9. Consistent with Pennsylvania state law, the university will issue and electronically publish a biannual report of all reported hazing violations. Biannual hazing reports are retained for at least five years.

#### Hearing Preparation and Scheduling

1. The logistics of hearing preparation and scheduling will be coordinated by a process advisor in the Office of Community Responsibility.
2. The student organization representative(s) must be notified in writing of the specific policy, standard or regulation the student organization has allegedly violated. Such notification is normally made at least seven calendar days before the hearing.
3. Throughout the community standards process, the student organization representative(s) will receive full notification of complaint, notification of any hearing and notification of disposition of the charge and will have the opportunity to be present throughout the hearing process.
4. The complainant will receive full notification of the complaint, notification of any hearing, and will have the opportunity to be present throughout the hearing process.
5. Prior to the hearing, the individuals involved will be asked if they believe that the potential Community Responsibility Panel members are aware of any significant relationship or interaction that might impair their ability to render an objective recommendation for resolution of the matter under review. The process advisor will consider this in seating the panel for the hearing.
6. Written introductions are an opportunity for either party to offer their initial thoughts and general sentiments about the allegations under review by the Community Responsibility Panel.
7. During process advisement, the complainant and respondent will be provided a hearing packet, which may include, among other relevant items: the initial complainant report; any investigation reports and/or witness statements; a written introduction from the complainant(s) to the panel; and a written introduction from the respondent(s) to the panel. This packet may be used for the purpose of preparing for or use during the hearing, consistent with the privacy rights of those involved. These materials are to be

kept private and may be shared only with permission from the process advisor. These documents may not be duplicated nor utilized for any other purpose.

8. In advance of the hearing, the members of the Community Responsibility Panel will be provided a hearing packet, which may include, among other relevant items: the initial complainant report; any investigation reports and/or witness statements; a written introduction from the complainant(s) to the panel; and a written introduction from the respondent(s) to the panel. Panel members are expected to keep the information reviewed during a Community Responsibility Panel confidential.
9. Complainant(s) and respondent(s) may submit up to three written letters of support at a date specified by the process advisor for consideration only during the outcomes phase of the proceeding in the event that the respondent is found responsible.
10. It is the responsibility of the Office of Community Responsibility to ensure that times set for hearings are reasonable and that necessary accommodations have been offered to both the complainant and respondent whenever appropriate. In turn, both the complainant and respondent will be expected to demonstrate good faith efforts in their participation with this process, particularly in relation to the scheduling of the hearing. In a case involving exigent circumstances that prevent the complainant or respondent from participating in a scheduled hearing, the hearing will be rescheduled.
11. Every effort will be made to avoid conflicts with a student's class schedule when identifying a hearing date and time. When circumstances warrant, classroom attendance, except for scheduled examinations, will not be a reasonable excuse for delaying a hearing.
12. In the rare circumstance where a respondent fails to make a good faith effort to participate in the process, the university (having made reasonable attempts to accommodate the respondent) may elect to schedule and conduct a hearing without the student organizations participation.
13. Allegations stemming from multiple incidents indicating an alleged pattern of behavior may be collectively reviewed by a single Community Responsibility Panel at the discretion of the Community Standards Review Committee.
14. Both the complainant and respondent have the right to have one support person of their choosing present at the hearing. Both parties are required to notify the

process advisor of their support person of choice at a date specified by the process advisor that will be at least three days in advance. If legal counsel will serve in this capacity, a representative of the University's Office of General Counsel will typically be present for the hearing to provide assistance to the Community Responsibility Panel, moderator, and/or process advisor as needed. Legal counsel or any other support person, if present, will not be permitted to participate in the proceedings but may advise the respondent or the complainant and/or be present at a hearing. In the event that one party to a case is accompanied by legal counsel without advance notice, a hearing may be postponed until all parties to the case have had an opportunity to have counsel present. Registered support persons are not permitted to participate as witnesses in the same hearing.

15. Both the complainant and respondent have the opportunity to register witnesses. Witnesses should be able to provide direct information related to the alleged violations being reviewed by the Community Responsibility Panel, such as direct observation of the incident in question and/or direct interaction with any of the parties before, during or after the incident in question. Both parties are required to notify the process advisor of their registered witnesses at a date specified by the process advisor that will be at least three days in advance of the Community Responsibility Panel.
16. The university reserves the right to supplement the registered witness list at any time to ensure that the panel has access to all potential witnesses with substantive information. Both the complainant and respondent will be promptly notified of any changes to the registered witness list.
17. In scheduling a Community Responsibility Panel, consideration should be given to allow witnesses significant to the case being heard are available to the panel. If a witness is not available to be called by the panel in person or via telecommunication, they may submit a written statement to the process advisor to be reviewed if the panel requests information from the witness.

#### Panel Process and Procedures

1. Information provided during a Community Responsibility Panel should remain private.
2. In order to maintain a fair and equitable process, no new materials will be accepted on the day of the hearing, with the exception of (i) oral testimony and (ii) such other information as may be necessary to rebut new oral testimony. Information offered as rebuttal will only be accepted at the discretion of the moderator.

3. All proceedings before a panel, except the deliberation of the panel, will be recorded. The audio or audiovisual (if available) recording will be kept in accordance with community standards records retention practices.
4. During the actual hearing, student organization representatives have the right to be present when information relative to the case is being presented. In the community standards process, a student organization representative(s) who is charged with a violation has the right to remain silent.
5. The moderator will remind all persons present at the opening of each community standards hearing that the purpose of a Community Responsibility Panel is to determine an appropriate response, through a deliberative process, when a violation of policy, standard, or regulation is alleged. The complainant(s) and respondent(s) will each be limited to ten minutes for their introduction.
6. The majority of the proceeding will consist of questioning from the panel members for all parties as well as the registered witnesses that are called by the panel. The complainant(s) and respondent(s) will also have the opportunity to present questions for the panel's consideration.
7. It is within the discretion of the panel to determine whether they wish to hear from the registered witnesses. Witnesses will be questioned one at a time by the panel and subsequently dismissed. They should only be present in the room when providing information to the panel. Except in documented extenuating circumstances, students are expected to make a good-faith effort to provide information to the Community Responsibility Panel when called as a witness.
8. The complainant(s) and respondent(s) will each be limited to five minutes for their summary.
9. All materials provided to the complainant(s) and respondent(s) (including those provided electronically) must be returned to the process advisor at the conclusion of the hearing. Copies of these materials may not be retained or used for any other purpose.
10. Following the complainant and respondent summary, the panel will enter closed deliberations. A more likely than not standard (preponderance of the evidence) will be used to determine if a university policy, standard or regulation was violated. If responsibility is determined, the panel will also make a recommendation for appropriate outcomes.
11. If the Community Responsibility Panel proceeding is to determine responsibility, no information about a student organization's prior community standards record will be

shared with the Community Responsibility Panel until a determination of responsibility has been made. If a Community Responsibility Panel proceeding is to determine outcome(s) only (ie. the student organization has accepted responsibility), priors will be shared with the panel as part of the hearing packet. For student organizations, the prior four academic years will be considered the term for priors for community standards records. The following information will be shared with the panel: community standards violation(s) for which the student organization was found responsible, date of incident(s), brief summary, outcome(s), and status of the case(s). The student organization representative(s) and complainant may be recalled before the panel to discuss the prior violations and outcomes prior to the Community Responsibility Panel making a recommendation for appropriate outcomes for the present case.

#### Panel Outcome Determination and Notifications

1. A representative of the Office of Community Responsibility will be responsible for notifying the associate vice president of student affairs for community life or designee in writing of the recommendation of the panel regarding responsibility and any outcomes deemed appropriate.
2. The associate vice president of student affairs for community life or designee makes the decision in the case, informed by the recommendation of the Community Responsibility Panel. The associate vice president of student affairs for community life or designee may accept, reject, or modify the recommendation, or may remand the matter to a new Community Responsibility Panel for review.
3. After reviewing the recommendations, the associate vice president of student affairs for community life or designee will render a decision in writing. The decision letter will typically be delivered to the respondent(s) by the process advisor.
4. Community standards records of student organizations are retained for a period of seven years following the conclusion of the resolution process. The record may be maintained indefinitely if a student organization has not fulfilled all outcomes or has not resolved pending community standards allegations. Records of community standards processes that result in the temporary loss of recognition from the university will be maintained for a period of seven years after the organization receives recognition once the loss of university recognition period has concluded. Records of community

standards processes that result in the permanent loss of recognition from the university will be maintained indefinitely.

### ***Outcomes for Student Organizations***

The community standards outcomes defined below comprise a range of official actions that may be imposed by the university for violations of community standards. One or more of these actions may be imposed in response to a given situation. This list is not comprehensive, as other outcomes may be utilized as appropriate.

When outcomes are decided as part of the community standards process, the educational and developmental needs of the involved student organization, its members and the welfare of the community will be considered with utmost importance. The outcomes categories (i.e. organization status, restorative and restrictive) are intended to clarify the role and purpose of the various actions. The determination of outcomes will be guided by the following considerations: the interests of the community, the impact of the violation, documented community standards history, and any mitigating or aggravating circumstances.

Non-compliance with imposed or agreed-upon outcomes may result in further action through the community standards process.

#### Outcomes Related to Student Organization Standing

These outcomes clarify the student organization's standing with the university. Additional violations of community standards may result in more severe outcomes including loss of recognition from the university.

- **Notice:** For minor infractions, a student organization may be issued a written notice. The notice will be noted in the event of any further infractions of community standards and may justify consideration of more severe outcomes. While a notice may influence future actions related to student organization standing, a notice alone does not affect standing.
- **Housing Warning:** An official notice to a student organization that their conduct with regard to university housing regulations or policies has been unacceptable and that future violation of university regulations may result in more serious community

standards action, including the possible loss of residency in university housing. This warning status lasts for a stated period of time.

- **Organization Status Warning:** For a second infraction or for a single offense of a more serious nature, a student organization may be placed on organization status warning for a designated period of time, during which subsequent community standards violations may result in loss of recognition. A student organization on organization status warning is still considered to be in good standing with the university. This status lasts for a stated period of time, typically one year from the date the warning is issued.
- **Loss of University Recognition** A student organization may be prohibited from operating for a designated period of time. During this time the student organization loses all rights and responsibilities typically granted to a recognized student organization. This status lasts for a stated period of time and may include other requirements in order to be eligible to return.
- **Permanent Loss of Recognition:** The student organization is no longer recognized by the university and is ineligible to seek future recognition.

#### Restorative Outcomes

These outcomes require the student organization or its members to take action to repair the harm their behavior caused or to utilize university resources to support their continued engagement in the community.

Failure to complete these outcomes by the specified deadline may result in additional community standards action.

- **Community Service:** The university may require uncompensated service (a specified number of hours) to the university or an off-campus, non-profit organization as an outcome. The particular assignment of duties must be pre-approved by the appropriate university adjudicator. The student organization must provide appropriate documentation verifying their completed community service. Failure to complete the service satisfactorily within the specified period of time may result in further action through the community standards process.
- **Educational/Developmental Assignment:** The university may require a student organization to complete a project, assignment, or activity to promote the organization's

and its members education and development. These assignments are at the discretion of the university adjudicator or Community Responsibility Panel. Assignments may include but are not limited to: reflection or research paper, development of a presentation, discussion with an individual, apology letter, reading assignment, policy or procedure reviews, etc.

- **Restitution:** In cases where a student organization is found responsible for damaging or misappropriating physical property, the student organization may be responsible for reimbursing the property owner for all or some of the cost.

#### Restrictive Outcomes

These outcomes prevent a student organization from engaging in certain activities, being present in certain spaces or engaging with individuals during a specific time period. Violation of a restriction may lead to additional community standards action.

- **Loss of Privilege:** A student organization may lose specified privileges, which may include access to facilities, services and/or the opportunity to participate in or host certain activities, including social events.
- **Loss of Residency in University Housing:** An action that excludes a student organization from residence in university housing for a stated period of time. A student organization who loses residency in university housing shall be considered for future housing accommodations once the period of debarment is concluded and as space permits.
- **No Contact Order:** A No Contact Order is a directive from an associate vice president of student affairs or designee indicating that two students may not have direct contact with each other, or make indirect contact through third parties, except for that which is necessary for their academic pursuits. A no contact order may be issued in connection with the community standards process, either as an interim measure during the pendency of the process and/or an outcome associated with a finding of responsibility from the process.

### ***Appeals***

A request for appeal of a decision delivered through the Community Responsibility Panel or Hearing Officer Proceedings must be submitted in writing to the president of the

university by the respondent within seven calendar days of the official notification of the decision.

In cases where it is appropriate to communicate the disposition of the charge to the complainant and/or the impacted party, the complainant and/or impacted party may also submit a request for appeal in writing to the president of the university within seven calendar days of the official notification of the decision.

The written appeal request should indicate whether the complainant or respondent student is appealing the finding(s) of responsibility, the outcome(s), or both, as well as the basis for the appeal itself. The basis of an appeal will be limited to one or more of the following cases:

- A gross procedural error that materially affected the outcome;
- The outcome(s) imposed are not commensurate with the violation(s) of community standards for which the respondent(s) are found responsible;
- The finding was not consistent with a preponderance of the evidence;
- New information, which was unavailable at the time of the hearing that merits re-consideration of the final disposition. Information that was reasonably available at the time of the investigation and/or resolution process that was not submitted will not constitute grounds for appeal under this criterion.

The appeal officer designated by the president will review the written appeal request and determine whether, in the judgment of the appeal officer, sufficient grounds exist for at least one basis of appeal to be further explored through review by the appeal officer. In hearing an appeal, the appeal officer, at their discretion, may meet with individuals and review information relevant to the bases of the appeal. In the event of an appeal, outcomes will normally be held in abeyance pending the resolution of the appeal process, except in cases where the university determines there may exist a threat to the safety and welfare of the campus community, in which case outcomes will take immediate effect. Interim measures put in place via the [Safety Intervention Protocol](#) are not outcomes and therefore remain in effect per their original terms during the pendency of the appeal.

Appeals will be decided by the appeal officer in a timely manner as circumstances warrant. While an appeal is under review, the appeal officer will update the respondent(s) and complainant(s) as necessary about the anticipated timeline.

The appeal officer has the authority to modify the decision as they deem appropriate for resolution of the matter being appealed, which could entail an increase, decrease or change to the nature of the outcome(s). The appeal officer may also reconvene the initial Community Responsibility Pane/Hearing Officer or remand the matter to a new Community Responsibility Panel/Hearing Officer for review.

### ***Cases Involving Prohibited Conduct Under Section VII.A of the Discriminatory and Sexual Misconduct Policy (Interim)***

Alleged violations of the [Discriminatory and Sexual Misconduct Policy \(Interim\)](#) that meet the definition of prohibited conduct will be resolved in accordance with the hearing procedures for the adjudication of discriminatory and sexual misconduct set forth in [Section VI.D of the Discriminatory and Sexual Misconduct Policy \(Interim\)](#).

### ***Withholding a Degree***

Because a degree from the university signifies not only successful completion of academic requirements but also compliance with the university's standards and good standing as a member of the university community, the dean of students or designee may direct that a degree not be certified by the university registrar and therefore not awarded pending the resolution of community standards proceedings, including completion of all outcomes.

### ***Citations***

State citations are issued by university police for violations of state law. While these citations are handled through the criminal justice system, students may also be expected to meet with a university adjudicator to determine whether a violation of community standards has also occurred.

### ***Withdrawal with Pending Allegations***

Students who withdraw from the university with unresolved community standards allegations should expect the university to adjudicate the matter to bring the case to resolution and uphold the university's obligation to expressly articulate eligibility to return to the university. If a good faith effort to participate in the appropriate process is not exhibited by the respondent, the university may elect to resolve the matter through the community standards process without that student's participation.

## ***Review After a Charge or Conviction of a Crime***

In circumstances that constitute a potential threat to the safety and security of the university community and/or to the university's ability to function in whole or in part, the university may review a case when a student has been charged with or convicted of any felony or misdemeanor crime(s) in federal, state, or local court or an equivalent foreign court. The review will be conducted utilizing the university's community standards process and/or [Safety Intervention Protocol](#).

Examples of crimes that may trigger such review include but are not limited to:

- Aggravated assault
- Arson
- Burglary
- Child abuse
- Criminal mischief
- Hazing
- Murder or manslaughter
- Rape
- Robbery
- Sexual assault
- Theft
- The manufacturing, selling or possessing with intent to sell any drug on the prescribed list subject to the criminal code of the Commonwealth of Pennsylvania

## **Community Standards Records Retention and Reporting**

Records of community standards proceedings are confidential and are not released without the consent of the current/former student or as otherwise required or authorized by law or court order. With the exceptions as noted below, records of community standards proceedings are retained for either the period of time required under the federal Clery Act (which in most cases is six to seven years after the date the incident was reported to the university), or three years

after final separation of the student from the university, whichever is longer. For purposes of determining final separation from the university, a student must be separated for three continuous years. If a student re-enrolls in any student program within three years, the calculation of the final separation date will reset.

Consistent with the [Policy on Student Privacy Rights](#), for purposes of community standards record checks, information from these records is only provided, with appropriate authorization as necessary, for three years after final separation from the university (as defined above) provided the student has fulfilled all obligations to the university.

The file may be maintained indefinitely and reported longer than three years after the student separates from the university if a student has not fulfilled all obligations or has not resolved a pending community standards violation.

Records of community standards proceedings resulting in the permanent separation of a student from the university (e.g., expulsion) will be maintained and reported indefinitely.

Records of community standards cases related to Prohibited Conduct under the [Discriminatory and Sexual Misconduct Policy \(Interim\)](#) will be maintained in accordance with the guidelines described in Section X. Recordkeeping of the [Discriminatory and Sexual Misconduct Policy \(Interim\)](#).

Case-specific questions regarding timeframes for community standards records retention and reporting can be directed to the [Office of Community Responsibility](#).

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# Student Resources

# Appendix: Student Resources

- Center for Student Diversity and Inclusion: <https://www.cmu.edu/student-diversity/index.html>
- Counseling and Psychological Services (CAPS): <https://www.cmu.edu/counseling/>
- Disaster Recovery & Business Continuity: <https://www.cmu.edu/drbc/>
- Facilities Management and Campus Services (FMCS): <https://www.cmu.edu/fmcs/>
- General Counsel: <https://www.cmu.edu/ogc/>
- Graduate Education: <https://www.cmu.edu/graduate/>
- Legal Consultation: <https://www.cmu.edu/student-affairs/resources/legal-consultation.html>
- Office for Institutional Equity and Title IX: <https://www.cmu.edu/title-ix/>
- Office of Community Responsibility (OCR): <http://www.cmu.edu/student-affairs/ocr/>
- Office of Disability Resources: <https://www.cmu.edu/disability-resources/>
- Office of International Education (OIE): <http://www.cmu.edu/oie/>
- Office of the Dean of Students: <https://www.cmu.edu/student-affairs/dean/loans/index.html>
- Religious and Spiritual Life Initiatives: <https://www.cmu.edu/wellbeing/resources/wellness-initiatives/religious-spiritual/index.html>
- Research Integrity & Compliance: <https://www.cmu.edu/research-compliance/>
- Resources for Current Students: <https://www.cmu.edu/current-students/index.html>
- Student Affairs: <https://www.cmu.edu/student-affairs/>
- Student Government: <https://www.cmu.edu/stugov/>
- The CMU Pantry: <https://www.cmu.edu/student-affairs/resources/cmu-pantry/index.html>
- The HUB: <https://www.cmu.edu/hub/>
- Undergraduate Catalog: <http://coursecatalog.web.cmu.edu/>
- University Brand Standards: <https://www.cmu.edu/marcom/brand-standards/>

- University Health Services (UHS): <http://www.cmu.edu/health-services/index.html>
- University Police: <https://www.cmu.edu/police/>
- University Policies: <https://www.cmu.edu/policies/>
- Vice Provost for Education: <https://www.cmu.edu/education-office/>