Pennbook

Introduction to the Pennbook

The Pennbook is a collection of policies that relate to student life at the University of Pennsylvania. These policies govern academic activities such as grading and exams, provide guidance on the use of campus resources, and explain expectations for membership in the university community.

The Pennbook is published online at https://provost.upenn.edu/policies/pennbook. This document is a compilation of policies that were in place on August 10, 2014 and is made available as a convenience. The online publication is the most up-to-date.

The two most important policies in the Pennbook are the Code of Student Conduct and the Code of Academic Integrity. These two policies outline the general responsibilities of being a student at Penn. All students are expected to have read and understood both policies before coming to campus.

If you have questions or comments, or if you have discovered a broken link, please email the Office of the Vice Provost for Education at provost-ed@upenn.edu.

Other Policy Handbooks

In addition to the Pennbook, students should be familiar with the policies and rules in their school and academic program. Consult the page of Policies and Handbooks or contact your school or academic program for more information.

If you live on campus, consult the Residential Occupancy Agreement and the Residential Handbook for the policies, rules, and regulations that govern living in Penn’s residential community.

For policies governing faculty, please consult the Penn Faculty Handbook. For those governing Penn employees, see the Human Resources Policy Manual.

Disclaimer

The University reserves the right to amend, modify, or rescind any policy and to create new policies at its sole discretion.
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Academic Policy for Participation in Intercollegiate Athletics at the University of Pennsylvania

To be certified academically eligible to participate (practice and/or compete) in intercollegiate athletics at the University of Pennsylvania, a student:

· Shall not have been awarded a baccalaureate degree, and
· Shall be in a specific baccalaureate degree program by beginning of the fifth term of full-time enrollment (at Penn or anywhere), and
· Shall be enrolled for a full-time course load of academic study for the current semester, and
· Shall have been awarded a minimum of 1.5 course units for each semester of full-time enrollment (beginning with the first semester of participation in intercollegiate athletics (anywhere)), and
· Shall satisfy requirements in the following areas:
  1) NCAA Initial Eligibility (Freshman Only)
  2) Completion of academic course work (course units awarded)
  3) Grade-point-average
  4) NCAA percentage of degree requirement

Note: The calculation of the percentage of degree, which is be based upon the information found in a student-athlete’s official academic worksheet has been automated effective with the 2005-06 academic year. A percentage cannot be calculated when a worksheet does not exist or is not official. It is the responsibility of the student-athlete to ensure that academic worksheet is official and current as to the student-athlete’s major and/or concentration and that all courses have been correctly slotted under the applicable requirement field. Student-athletes are to have academic worksheets made official by end of the fourth semester.

Transfer student-athletes and student-athletes participating in study abroad programs are not exempted from the percentage of degree requirement.

Provisional eligibility may be granted onetime only to a student-athlete who does not satisfy the prescribed norms for progress – being awarded an average of four (4) course units of academic credit per full-time semester or the good standing – a cumulative GPA of 2.00 provided all other applicable requirements are satisfied. Provisional eligibility, when granted, shall terminate at the conclusion of the academic year in which it is granted or at the start of the spring semester should the student-athlete’s academic performance for the fall semester not meet the NCAA term progress and/or GPA requirement.

In observance of NCAA legislation, certification of satisfaction of academic requirements is required prior to competition in each semester. Additionally, senior student-athletes or student-athletes who are exhausting their athletic eligibility must be recertified prior to participation in postseason competition occurring between semesters – fall to spring as well as spring to fall.

Incoming Freshmen (or students who are enrolling as full-time college students for first time):

All students who are in their first or second semester of full-time college enrollment (anywhere) must be registered in a full-time course load of study. Additionally, a student participating in a NCAA sponsored sport is required to be certified by the NCAA Initial Eligibility Clearinghouse as having satisfied the applicable academic requirements for participation in intercollegiate athletics during a student’s first-year of college matriculation.

This means if you are a freshman, to be academically eligible you must be:

· A full-time student, and
· Certified eligible by the NCAA Clearinghouse (except freshmen participating in non-NCAA sponsored sports)
Rising Sophomores (or students who have completed two full-time semesters (or equivalent) of college enrollment (including transfer student-athletes):

By the beginning of the third semester of enrollment (start of sophomore year for most student-athletes) a student must have achieved a minimum cumulative grade-point-average of 2.00, earned a minimum of one and one half (1.5) course units for the prior academic semester (not summer term) and the student's transcript must display a minimum of eight (8) course units as having been awarded for the period commencing with the student’s first full-time semester and ending with the second full-time semester (including applicable summers). A minimum of four and one half (4.5) of the eight (8) course units awarded must be from academic course work completed in the first two full-time semesters (at Penn or elsewhere). Additional course units may be awarded from the first two full-time semesters and/or from any of the following: advanced placement credit, Penn’s Pre-Frosh Program credit, summer and/or transfer credit, all of which must be displayed on the student’s transcript at the time of eligibility evaluation.

This means if you are a sophomore, to be academically eligible you must:
· Be a full-time student, and
· Have a minimum cumulative GPA of 2.00, and
· Have 8 course units (on transcript at time of eligibility evaluation),
  o A minimum of 4.5 of the 8 course units must be for academic work completed in the first two full-time semesters (excluding summer), and
  o A minimum of 1.5 course units must be for academic work completed in the previous full-time semester (excluding summer),

New transfer students (matriculating at Penn for first time), to be academically eligible you must:
· Be a full-time student, and
· Have been awarded 24 credit hours of course work (equivalent of 6 Penn course units) at your former school.
  o A minimum of 18 of the 24 credit hours must be for academic work completed in the first two full-time semesters (excluding summer), and/or
  o Have 3 course units of transfer credit that is Penn degree applicable per term of full-time enrollment from the two-year college previously attended. Transfer credits must be displayed on transcript at time of eligibility evaluation.

Provisional Eligibility –After two full-time semesters.
If by the beginning of the third full-time semester a student-athlete satisfies all of the above requirements except for the cumulative GPA of at least 2.00 and/or eight (8) awarded course units on the transcript, the student-athlete may be considered for provisional eligibility.

· Minimum cumulative GPA for provisional eligibility consideration is 1.85.
· Minimum total number of awarded course unit credit is 6 CUs.
  o A minimum of 4.5 of the 6 course units must be for academic work completed in the first two full-time semesters (excluding summer).

To be considered for provisional eligibility a student-athlete shall meet with the school eligibility officer to discuss the academic deficiency and to develop an Academic Enhancement Plan (AEP) which shall record the plan for academic improvement and agreed upon conditions of provisional eligibility between the student-athlete and the school. The student-athlete shall then review the AEP with the Assistant Director of Athletics for Academic Services who may add additional stipulations. Following these two meetings, the student-athlete shall acquire signatures (in sequence) endorsing the AEP from the sport’s head coach and DRIA compliance coordinator.
Rising Juniors (including transfer student-athletes):

By the beginning of the junior year (fifth and sixth semesters), a student must be in a degree program, have satisfied forty (40) percent of degree requirements, achieved a minimum cumulative grade-point-average of 2.00, earned a minimum of one and one half (1.5) course units for the prior full-time semester (not summer term) and the student’s transcript must display an average of four (4) course units as having been awarded for each full-time semester of Penn enrollment. (A rising junior (unless a transfer student-athlete) must have a minimum of sixteen (16) awarded course units on his or her transcript) with a minimum of six (6) course units being for work completed in the two most recently completed full-time semesters (including summer sessions). A minimum of four and one half (4.5) of these six course units must be from academic course work completed in the prior two full-time semesters (not including summer) with the additional one and one half (1.5) course units coming from academic work completed in the prior two full-time semesters and/or summer (including course units awarded for transfer credit), all of which must be displayed on the student’s transcript at the time of the eligibility evaluation.

This means if you are a junior, to be academically eligible you must:
· Be a full-time student, and
· Be in a degree program (have an approved major, if applicable), and
· Have an official academic worksheet, and
· Have completed 40% of the requirements for your specific Penn degree, and
· Have a minimum cumulative GPA of 2.00, and
· Have a minimum of 16 course units (on transcript at time of eligibility evaluation),
  o A minimum of 6 course units awarded must be for academic work completed in the prior two full-time semesters and/or previous summer sessions).
  o A minimum of 4.5 course units awarded, must be for academic work completed in the prior two full-time semesters (excluding summer sessions),
  o A minimum of 1.5 course units must be for academic work completed in the previous full-time semester (excluding summer sessions),

New transfer students (matriculating at Penn for first time), to be academically eligible you must:
· Be a full-time student, and
· Be in a degree program (have an approved major, if applicable), and
· Have an official academic worksheet, and
· Have completed 40% of the requirements for your Penn degree
  o Thus, you will be required to have a sufficient number of awarded Penn and/or transfer credit on your transcript at the time of the eligibility review to satisfy the 40% percentage of degree requirement.

Provisional Eligibility –After four full-time semesters.

If by the beginning of the fifth full-time semester a student-athlete satisfies all of the above requirements except for the cumulative GPA of at least 2.00 and/or sixteen (16) awarded course units on transcript, the student-athlete may be considered for provisional eligibility.

· Minimum cumulative GPA for provisional eligibility consideration is **1.90**.
· Minimum total number of awarded course unit credit is **14 CUs**.
To be considered for provisional eligibility a student-athlete shall meet with the school eligibility officer to discuss the academic deficiency and to develop an Academic Enhancement Plan (AEP) which shall record the plan for academic improvement and agreed upon conditions of provisional eligibility between the student-athlete and the school. The student-athlete shall then review the AEP with the Assistant Director of Athletics for Academic Services who may add additional stipulations. Following these two meetings, the student-athlete shall acquire signatures (in sequence) endorsing the AEP from the sport’s head coach and DRIA compliance coordinator.

Rising Seniors (including transfer student-athletes):

By the beginning of the senior year (seventh and eighth semesters), a student must be in a degree program, have satisfied sixty (60) percent of degree requirements, achieved a minimum cumulative grade-point-average of 2.00, earned a minimum of one and one half (1.5) course units for the prior Penn academic semester (not summer term) and the student’s transcript must display an average of four (4) course units as having been awarded for each full-time semester of Penn enrollment. A rising senior (unless a transfer student-athlete) must have a minimum of twenty-four (24) awarded course units on the transcript with a minimum of six (6) awarded course units being for work completed in the most recently completed two full-time semesters (including summer sessions). A minimum of four and one half (4.5) of these six course units must be from academic course work completed in the prior two full-time semesters (not including summer) with the additional one and one half (1.5) course units coming from academic work completed either in the prior two full-time semesters and/or summer (including course units awarded for transfer credit), all of which must be displayed on the student’s transcript at the time of the eligibility evaluation.

This means if you are a senior, to be academically eligible you must:
- Be a full-time student (unless you satisfy the criterion for a NCAA exception), and
- Be in a degree program (have an approved major, if applicable), and
- Have an official academic worksheet, and
- Have completed 60% of the requirements for your specific Penn degree, and
- Have a minimum GPA of 2.00, and
- Have a minimum of 24 course units (on transcript at time of eligibility evaluation),
  - A minimum of 6 course units awarded must be for academic work completed in the prior two full-time semesters and/or previous summer), and
  - A minimum of 4.5 course units awarded, must be for academic work completed in the prior two full-time semesters (excluding summer), and
  - A minimum of 1.5 course units must be for academic work completed in the previous full-time semester (excluding summer)

New transfer students (matriculating at Penn for first time), to be academically eligible you must:
- Be a full-time student, and
- Be in a degree program (have an approved major, if applicable), and
- Have an official academic worksheet, and
- Have completed 60% of the requirements for your Penn degree
  - Thus, you will be required to have a sufficient number of awarded Penn and/or transfer course units on your transcript at the time of the eligibility review to satisfy the 60% percentage of degree requirement.

Provisional Eligibility –After six full-time semesters.

If by the beginning of the seventh full-time semester a student-athlete satisfies all of the above requirements except for having the twenty-four (24) course units awarded, the
student-athlete may be considered for provisional eligibility provided a graduation audit has been completed.

- Minimum cumulative GPA for provisional eligibility consideration is 2.00.
- Minimum total number of awarded course unit credit is 22 CUs.

To be considered for provisional eligibility a student-athlete shall meet with the school eligibility officer to discuss the academic deficiency and to develop an Academic Enhancement Plan (AEP) which shall record the plan for academic improvement and agreed upon conditions of provisional eligibility between the student-athlete and the school. The student-athlete shall then review the AEP with the Assistant Director of Athletics for Academic Services who may add additional stipulations. Following these two meetings, the student-athlete shall acquire signatures (in sequence) endorsing the AEP from the sport’s head coach and DRIA compliance coordinator.

**Fifth Year Students** (including transfer student-athletes):

By the beginning of fifth year (ninth and tenth semesters), a student must be in a degree program, have satisfied eighty (80) percent of degree requirements, achieved a minimum cumulative grade-point-average of 2.00, earned a minimum of one and one half (1.5) course units for the prior Penn academic semester (not summer term) and the student’s transcript must display an average of four (4) course units as having been awarded for each full-time semester of Penn enrollment. A rising senior (unless a transfer student-athlete) must have a minimum of thirty-two (32) awarded course units on transcript with a minimum of six (6) awarded course units being for work completed in the most recently completed two full-time semesters (including summer sessions). A minimum of four and one half (4.5) of these six course units must be from academic course work completed in the prior two full-time semesters (not including summer) with the additional one and one half (1.5) course units coming from academic work completed in the prior two full-time semesters and/or summer sessions (including course units awarded for transfer credit), all of which must be displayed on the student’s transcript at the time of the eligibility evaluation.

This means if you are a 5th year student, to be academically eligible you must:

- Be a full-time student (unless you satisfy the criterion for a NCAA exception), and
- Be in a degree program (have an approved major, if applicable), and
- Have an official academic worksheet, and
- Have completed 80% of the requirements for your specific Penn degree, and
- Have a GPA of a minimum of 2.00, and
- Have a minimum of 32 course units (on transcript at time of eligibility review),
  - A minimum of 6 course units awarded must be for academic work completed in the prior two full-time semesters and/or previous summer), and
  - A minimum of 4.5 course units awarded, must be for academic work completed in the prior two full-time semesters (excluding summer), and
  - A minimum of 1.5 course units must be for academic work completed in the previous full-time semester (excluding summer).

**New transfer students** (matriculating at Penn for first time), to be academically eligible you must:

- Be a full-time student, and
- Be in a degree program (have an approved major, if applicable), and
- Have an official academic worksheet, and
- Have completed 80% of the requirements for your Penn degree
  - Thus, you will be required to have a sufficient number of awarded Penn and/or transfer course units on your transcript at the time of the eligibility review to satisfy the 80% percentage of degree requirement.
Provisional Eligibility –After eight full-time semesters. If by the beginning of the ninth full-time semester a student-athlete satisfies all of the above requirements except for having thirty-two (32) course units awarded, the student-athlete may be considered for provisional eligibility provided a graduation audit has been completed.

- Minimum cumulative GPA for provisional eligibility consideration is 2.00.
- Minimum total number of awarded course unit credit is 30 CUs.

Provisional eligibility, if approved shall be for one semester only but may be extended for a second semester upon recommendation from the school eligibility officer.

To be considered for provisional eligibility a student-athlete shall meet with the school eligibility officer to discuss the academic deficiency and to develop an Academic Enhancement Plan (AEP) which shall record the plan for academic improvement and agreed upon conditions of provisional eligibility between the student-athlete and the school. The student-athlete shall then review the AEP with the Assistant Director of Athletics for Academic Services who may add additional stipulations. Following these two meetings, the student-athlete shall acquire signatures (in sequence) endorsing the AEP from the sport’s head coach and DRIA compliance coordinator.

Academic Rules for PhDs and Research Master’s Degrees

University-Wide Academic Rules for Graduate Degrees

Master’s Degrees

The master’s degree represents the successful completion of at least a full academic year (two terms) of graduate work including some training in research.

COURSE REQUIREMENTS

A minimum of eight course units is required for the master’s degree. Additional work may be prescribed in individual cases. Any student registered for the full amount of four course units may register as an auditor for one additional course with the permission of the graduate dean. No more than four course units in any one term may be counted toward the minimum requirement of eight course units. No course may be counted toward degree requirements if it has been used toward the requirements for more than one other degree.

MAJOR SUBJECT

A prospective candidate for a master’s degree must complete at least four course units in the field of the major, and the work as a whole shall be directed by the chairperson of the graduate group concerned.

In the case of a research requirement (thesis, seminar, or laboratory course), the candidate shall also:
(1) prepare a thesis in the field of the major subject; or

(2) complete a course of research character or engage in supervised research, as the graduate group shall direct, which, in either case, shall be of at least one term in duration and shall include the preparation of at least one comprehensive scholarly or scientific paper.

A thesis or research paper based on joint work with other researchers is allowed, provided that, in such cases, a unique and separate document is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a master’s thesis or research paper by more than one degree candidate is not allowed.

If a thesis is required, two printed copies shall be deposited in the Graduate Division Office by the date specified in the degree calendar for that term. Specific information regarding the form in which the master’s thesis manuscripts are to be prepared must be obtained from the Graduate Division Office.

GENERAL EXAMINATION

A general examination by the graduate group in the major subject is required in addition to all other examinations. The purpose of this examination is to test the candidate’s knowledge of his or her major subject in its broader aspects and proficiency in the particular courses he or she has taken. This examination may be oral, written, or both, at the discretion of the graduate group. The mere satisfaction of minimum requirements does not entitle the student to be admitted to this examination.

With the approval of the Graduate Council of the Faculties, the graduate group may substitute other assessment procedures for the general examination as a means of assuring that master’s students have broad knowledge of the field.

TRANSFER OF CREDIT

At least eight course units of the total program required for the master’s degree must be completed in a graduate program at the University of Pennsylvania or through an approved program at another school. Where more than eight course units are required, graduate work done at other universities may be accepted for the balance of the course requirements, if approved by the graduate dean. A student may transfer courses completed at other graduate schools of the University with the approval of the appropriate graduate dean. No work done as an undergraduate, whether done at this institution or at any other, will be counted toward a higher degree. (Graduate courses completed by an undergraduate as part of submatriculation in a graduate group count as graduate courses and, therefore, may be counted toward graduate degree requirements.)

Credit towards satisfaction of the minimum course requirements for a post-baccalaureate degree can be given for a maximum of four course units of work completed while registered in the College of Liberal and Professional Studies.
TIME LIMITS

The minimum requirement of eight course units must be completed within six consecutive years with the understanding that one additional year will be allowed for the completion of a thesis if required.

REGISTRATION

Registration takes place in the fall and spring semesters. Research masters students who are candidates for an August degree remain full-time students through August 31st without summer registration.

LEAVE OF ABSENCE

A student who wishes a leave of absence must submit a written request to his or her graduate group chairperson for initial approval and then to the appropriate dean for final approval. The granting of a leave of absence does not automatically change the time limit. Time spent in military service does not count under the time limit.

Ph.D. Degrees

The doctor of philosophy degree is conferred in recognition of marked ability and high attainment in a specific branch of learning. The Ph.D. degree is granted by the Trustees of the University of Pennsylvania upon the approval of the Graduate Council of the Faculties and upon satisfaction of all degree requirements, including acceptance of the dissertation by the student’s Dissertation Committee. Students may enroll in more than one degree program with prior permission of both schools/programs; only one Ph.D. is earned.

The University’s standards, set forth below, are to be viewed as minimum requirements. The school or the graduate group has the right to establish additional requirements and to refuse to examine any student who is not qualified according to its standards. If there are additional program or school requirements, that information must be communicated and available to all students.

CURRICULUM

Graduate groups determine the curricular requirements for their programs. The course of study can include a combination of specific required courses, electives, teaching, independent study or laboratory rotations, colloquia, and demonstration through examination of comprehensive knowledge in the major field.

A student who enters the Ph.D. program with a bachelors degree will be expected to spend two to three years taking 3-4 course units a semester before satisfying the graduate group’s academic requirements, passing the required examinations and being advanced to candidacy. Graduate
groups may require more extensive preparation through additional work, especially those programs with substantial language requirements. Students in some programs, such as those in science fields, may begin dissertation-related research before advancing to candidacy. Students who enter with a masters degree or other transfer credit may satisfy the formal course requirements more quickly. Graduate groups have flexibility to establish the optimal timetable and requirements for their own students and to respond to the specific academic needs of individual students.

The customary maximum load for a Ph.D. student is four course units each semester; exceptions for a fifth course unit may be made in extraordinary cases upon approval of the graduate dean.

Graduate groups may establish examination requirements in addition to the University’s standards described below.

EVALUATIONS AND EXAMINATIONS

A Qualifications Evaluation of each student is conducted in the first two years. The evaluation is designed by the graduate group and may be based on an examination or on a review of a student’s overall academic progress. Satisfaction of this requirement is necessary in order to continue in the graduate program and is recorded in the student’s academic record. The student and the school’s graduate office must be notified of the outcome of the evaluation.

A Candidacy Examination on the major subject area is required. This examination is normally held after the candidate has completed all required courses and may be satisfied by the successful defense of a dissertation proposal. It may be oral, written, or both, at the discretion of the graduate group. Feedback will be provided to the student within one month. Satisfactory completion of the Candidacy Examination requirement is recorded in the student’s academic record. Upon successful completion of the Candidacy Examination, the student is advanced to candidacy. Normally, a student should advance to candidacy by the end of the third year. The maximum time limit for a student to be advanced to candidacy is five years, after which time the student will be dropped from the rolls.

DISSERTATION

The student and dissertation supervisor meet regularly (at least twice a year and, in many cases, much more frequently) to establish expectations and review the progress of the student’s research.

Upon advancement to candidacy, each student has a Dissertation Committee consisting of at least three faculty members (including at least two members of the graduate group), which may include the Supervisor/Advisor. The Dissertation Committee meets at least once annually with the student to review the student’s progress. The student prepares an Annual Dissertation Progress Report and the committee gives timely feedback (within one month) and confirms whether progress is satisfactory. A copy of the signed progress report is submitted to the Supervisor/Advisor and Graduate Group Chair and is documented by the school in the student’s academic record.
Dissertations based on joint work with other researchers are allowed, provided that, in such cases, a unique and separate dissertation is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a dissertation by more than one degree candidate is not allowed.

PUBLIC PRESENTATION AND DEFENSE EXAMINATION

A public, oral presentation of the dissertation is required. The presentation may take the form of a workshop based on a complete draft of the dissertation, or it may be based on the final version of the dissertation, depending on the rules of the graduate group. In either case, the presentation must either include or be followed by an oral examination. This examination may be private if specified by the rules of the graduate group.

Effective August 2011, at least three members of the dissertation committee must participate in the defense. Participation of one of the three may be via video or audio.

ACCEPTANCE

By the prescribed deadline, the graduate group shall report to the Graduate Division Office of the School of Arts and Sciences regarding acceptance of the dissertation and its suitability for immediate publication. The report shall include the date and location of the oral presentation or the date of the meeting of the dissertation committee, the names of the dissertation committee members, and whether they individually approve the dissertation. The student and the Advisor/Supervisor will also be given a copy of the report.

PUBLICATION AND SUBMISSION

Dissertations must follow the format prescribed in the Dissertation Manual. Candidates also should familiarize themselves with any special requirements imposed by the graduate groups under which they are working.

All Penn PhD dissertations are published by ProQuest. Additionally, students may publish the dissertation in open access via Scholarly Commons. Students who want to publish in open access format should discuss their plans in advance with their adviser, to ensure there are no concerns relating to copyright.

RESEARCH ABROAD

A student who will conduct dissertation research abroad for the semester registers for Dissertation Research Abroad status. Full tuition is charged to students in years 1-5, reduced tuition to students in years 6-10; a reduced general fee is charged for students on Dissertation Research Abroad regardless of their year.

TIME LIMITS
Beginning in academic year 2010-11, the University’s maximum time limit for completion is ten years after matriculation. Note: Some graduate groups and schools have established more stringent criteria. Graduate students who have been dropped after ten years may petition the graduate group to return as a student for a maximum of one year in order to achieve recertification and defend the dissertation. (See sections below on Petition for Readmission and Recertification.)

Combined degree students (e.g., M.D.-Ph.D.s) typically enroll full-time in medical school during the first two years of study and do not begin full-time Ph.D. course work until the third year; for these students, the ten-year time limit begins at the start of full-time Ph.D. study.

PETITION FOR READMISSION AFTER REACHING THE MAXIMUM TIME TO DEGREE

A student who has been dropped after reaching the maximum time limit may petition the graduate group to return as a student for a maximum of one further year in order to achieve recertification and complete and defend the dissertation. Faculty members have no obligation to continue working with a student who has been dropped, nor is there any presumption that a graduate group will respond favorably to a petition for re-admission. If a graduate group wishes to recommend re-admission, it must present to the graduate dean a list of faculty members willing to serve as a dissertation committee and a detailed, realistic plan of how the student will, within one year of reenrollment, achieve recertification, pass the dissertation examination, and submit the final copy of the dissertation. If re-admission is approved by the graduate dean, the student must pay Reduced Tuition for two semesters, unless all requirements are completed within one semester. A student may petition for readmission at the time s/he is dropped from the program, or at a later date. The student should be fully ready and committed to completing within a one-year timeframe; enrollment will not be extended beyond that final year, and no further petition for readmission will be considered by the University.

RECERTIFICATION

If the graduate group and graduate dean approve the petition for readmission, the student must immediately be recertified. In order to ensure that a student’s dissertation research remains at the frontier of current research in the field, the student must retake and pass the Candidacy Examination, or satisfy alternative recertification criteria designed by their graduate group and approved by the Graduate Council of the Faculties. The new deadline for completion of all requirements for the Ph.D., including recertification, shall be within one year.

APPROVED INDIVIDUAL GRADUATE GROUP RECERTIFICATION POLICIES:

The following policies have been approved by the Graduate Council of the Faculties and supplement the University’s Recertification Policy.

ANTHROPOLOGY (Revised July 2010)

Students who have not completed the dissertation within the University’s maximum time limit may apply for readmission, but must then complete all requirements for the PhD, including deposit of the dissertation, within one year. In order to reapply, the student should have a complete draft of their dissertation that has been approved by their advisor. At that point, the
student should meet with the graduate chair, who will then bring the student’s case before the graduate group for a vote. Should the vote support the student’s readmission, the graduate chair will present the case to the graduate dean, outlining the student’s outstanding requirements and a timetable for completing them. In some cases, the student may be asked to repeat the Candidacy Examination in order to demonstrate a satisfactory grasp of current scholarship in the field. The graduate dean then reviews the case, and if it is approved, writes a letter formally spelling out the arrangements, and the tuition and fees that the student will be expected to pay.

COMMUNICATION (Revised June 2010)

Students who have not completed all requirements for the Ph.D., including the deposit of the dissertation, within ten years of matriculating must submit all written work they have completed on their dissertation to a committee comprised of a minimum of three members of the Communications standing faculty. This committee may be the student’s dissertation committee or, if that committee is not intact, an Ad Hoc committee appointed by the Committee on Graduate Studies. The committee members will evaluate this material (they may, at their discretion, meet with the student), and take one of the following actions: (1) require the student to retake all or part of the Comprehensive Examination (if the committee believes there is a question about the continued currency of the student’s research); (2) impose other conditions such as the committee believes will ensure the currency and timely completion of the student’s work toward the Ph.D.; (3) recommend to the Committee on Graduate Studies that the student be disqualified from continued doctoral candidacy (if the committee believes the written work provides insufficient evidence of progress toward the completion of an adequate doctoral dissertation). In the case of (1) or (2), above, the committee will report its decisions and actions to the Committee on Graduate Studies. Upon satisfactory re-certification, the student must complete all requirements for the PhD, including deposit of the dissertation, within one year.

COMPARATIVE LITERATURE (Revised July 2010)

Students who have not completed all requirements for the Ph.D., including the deposit of the dissertation, within the University’s maximum time limit must retake the dissertation prospectus exam (also known as the “final exam”). This exam will involve submitting an updated version of the prospectus to the student’s committee; the committee must approve the new prospectus in order for the student to satisfy the recertification requirement. Upon satisfactory re-certification, the student must complete all requirements for the PhD, including deposit of the dissertation, within one year.

ECONOMICS (Revised July 2010)

Students who have not completed all requirements for the Ph.D., including the deposit of the dissertation, within the University’s maximum time limit must retake the Dissertation Proposal Defense Exam; and write and submit a review of the most recent literature on the dissertation topic, to be formally approved by the dissertation committee (which also conducts the proposal defense). Upon satisfactory re-certification, the student must complete all requirements for the PhD, including deposit of the dissertation, within one year.

EDUCATION (Revised July 2010)

Ph.D. students in the Graduate Group in Education who have not completed all their degree requirements within the University’s maximum time limit must submit a progress report and plan
to his or her dissertation committee. The purpose of this report/plan is: to document which degree requirements the student has completed; to provide a rationale for why he or she has been unable to complete all the requirements within the time limit and to provide a timeline/schedule of steps for completion of the remaining requirements within a one year extension. The student’s chair and a majority of his or her dissertation committee must review and approve the progress report and plan. The student must then submit the progress report and plan to the Committee on Degrees for their review and approval.

The student must re-take a preliminary exam that documents familiarity with the current status of their field.

LINGUISTICS (Revised July 2010)

A student can be re-certified by submitting a revised dissertation proposal reflecting current scholarship on the topic and then undergoing a new dissertation proposal defense, following the usual procedures for the Graduate Group. Upon satisfactory re-certification, the student must complete all requirements for the Ph.D., including deposit of the dissertation, within one year or less as determined by the Graduate Group.

NEAR EASTERN LANGUAGES AND CIVILIZATIONS (Revised October 2010)

For Near Eastern Languages and Civilizations, students who apply to be re-enrolled in the PhD program must pass a recertification examination demonstrating satisfactory grasp of current scholarship in their field. The Graduate Group Chair and the dissertation committee will constitute the recertification committee for this purpose. After an initial oral examination, the committee may, at its discretion, require that the student retake the Candidacy Examination and/or submit a revised dissertation proposal prior to recertification. Upon satisfactory re-certification, the student must complete all requirements for the PhD, including deposit of the dissertation, within one year.

POLITICAL SCIENCE (July 2010)

All students who have not completed all requirements for the Ph.D. (including deposit of the dissertation) within the University’s maximum time limit must submit to their full dissertation committee (i.e., the supervisor and two readers) a copy of all written work they have completed on their dissertation. The committee members will evaluate this material, and report to the whole group, recommending that one of the following actions be taken:

- The student is required to retake the qualifying examination (if the committee believes there is a question about the continued currency of the student’s research). The student is disqualified from continued doctoral candidacy (if the committee believes the written work provides insufficient evidence of progress toward the completion of an adequate doctoral dissertation). Other conditions are imposed on the student’s dissertation research, such as the committee believes will ensure the currency and timely completion of the student’s work toward the Ph.D. within one year of recertification.

SOCIAL WELFARE (Revised July 2010)

Ph.D. students who have not completed all their degree requirements within the University’s maximum time limit may apply for recertification. The standards for granting an extension are: There is a full committee working with a student on a dissertation; the student’s dissertation work represents an extension of preliminary degree work and is conducted in constant...
consultation with the dissertation chair and committee; a plan for completion within one year is realistic, particularly in relation to the student’s prior diligence in completing work; the Dissertation Committee Chair supports the student’s plan for completion of the dissertation.

An application for an extension consists of the following steps: The student meets with the dissertation chair about an extension and the chair calls a meeting of the full dissertation committee. The Dissertation Committee hears a student presentation detailing work thus far on the dissertation and a plan for completion within one year. In addition to fielding questions about the dissertation work and the feasibility of the completion plan, the student may also be orally examined on the broader social welfare context of the dissertation work, to demonstrate currency in the field. The presentation is given in a closed meeting to dissertation committee members and steering committee members. The Dissertation Committee makes a recommendation to the doctoral program director on whether or not the student should be recertified.

Upon receiving the recommendation of the dissertation committee, the doctoral program director makes the final decision about whether or not the extension is granted. The doctoral program director will inform the student of a decision. Decisions to recertify will be relayed to the University administration by the program director.

TUITION

Beginning in fall 2008, Ph.D. students will be charged full tuition until they have completed five years of full-time study or the equivalent of approximately 30 course units. The time may be as brief as three years if a student enters with credits from a post-baccalaureate degree program or successfully completes the Ph.D. in fewer than five years.

If the student has not earned the Ph.D. degree by the end of five years, the student will be charged reduced tuition until the degree is awarded, or for a maximum of five additional years. Continuous enrollment is required through year ten (or until graduation), with an exception for approved leave. After a maximum of five years at reduced tuition, the student ceases to be enrolled. With permission and recertification from the graduate group, a student may re-enroll for a final year in order to defend and deposit the dissertation. Such a student must pay reduced rate tuition for a final two semesters, unless all requirements are completed within one semester.

TRANSFER CREDIT

Credit may be transferred toward the Ph.D. from a masters degree or other work completed in a post-baccalaureate degree program, upon recommendation by the graduate chair and approval of the graduate dean, reducing full tuition registration by up to two years. No work done as an undergraduate, whether at this institution or at any other, will be counted toward a Ph.D., A.M., or M.S., with the following exception: graduate courses completed by undergraduates as submatriculants in a graduate group may be counted toward graduate degree requirements.

CONTINUOUS REGISTRATION

Continuous registration as a graduate student is required unless a formal leave of absence is granted by the dean of the student’s school. A leave of absence will be granted for military duty,
medical reasons, or family leave; this leave is typically for up to one year and “stops the clock” on time to completion. Personal leave for other reasons may be granted for up to one year with the approval of the Graduate Dean, but it does not automatically change the time limit. Additional requirements for return may be imposed by the Graduate Dean. No language or other degree examinations may be taken while a student is on leave of absence. A student without an approved leave of absence who fails to register each semester will be considered to have withdrawn from candidacy for the degree; approval by the Graduate Dean and recertification are required for reinstatement.

Dissertation registration takes place in the fall and spring semesters. Dissertation students who are candidates for August degree remain full-time students through August 31st without summer registration.

EXTRAMURAL RESEARCH

If graduate credit is sought for research work pursued at laboratories not officially a part of the University of Pennsylvania (for example, where the investigator is not a member of the graduate group), the student must obtain prior permission from the graduate chair. University policies regarding intellectual property apply in the case of research conducted in extramural settings.

COPYRIGHT AND PATENT POLICIES

A dissertation submitted as part of the requirements for a degree is the property of the University. Any copyrights or patent rights arising therefrom shall be governed by the policies of the University of Pennsylvania, including the Patent and Tangible Research Property Policies and Procedures [PDF], and the Policy Relating to Copyrights and Commitment of Effort for Faculty.

CHILDBIRTH AND ADOPTION

A student in a Ph.D. program at Penn is eligible for time off of eight weeks for the birth or adoption of a child. The student must notify the graduate group chair and Advisor/Supervisor in writing, at an early date, of his/her plans to initiate a “Time Off” period, so that appropriate arrangements can be made to cover any teaching/research responsibilities.

A. Normally the “Time Off” period commences within two weeks of the birth or adoption.

B. During the “Time Off” period, the student remains enrolled full-time. In order to facilitate a rapid return, s/he may participate in the program as fully as s/he deems appropriate. By remaining on full-time status, student visa status and loan repayment schedules, if any, will remain unchanged.

C. The student is entitled to academic accommodation including relief from academic requirements, such as postponement of exams and course requirements.
D. A student receiving stipend support is entitled to continuation of support during the “Time Off” period as follows:

1. Students receiving stipends from University/school funds are entitled to draw support for eight weeks during the academic year.

2. Students funded by government grants or other external funding sources are entitled to benefits as determined by the funding agency.

FAMILY LEAVE OF ABSENCE POLICY

A student in the Ph.D. program at Penn may take an unpaid Family Leave of Absence for the birth or adoption of a child, child care, or care of an immediate family member (spouse, domestic partner, child, or parent) with a serious health condition.

1. Students may take a Family Leave of Absence for one or two semesters.

The student is expected to notify the graduate group chair and adviser in writing of his/her plans to take a Family Leave at an early date, so that appropriate arrangements can be made to cover any teaching/research responsibilities.

2. Family Leave “stops the clock” on the student’s academic requirements, including service requirements, for the duration of the leave.

3. During the period of Family Leave, the student may arrange to continue Student Health Insurance, but is responsible for the payment of his or her own premiums. Upon paying a fee, students on approved Family Leave will retain their PennCard, e-mail accounts, library privileges, and building access.

4. Funding commitments from the institution are deferred until the student returns from Family Leave. Students receiving funding from external sources, such as government grants, are subject to the conditions established by the funding source.

5. Service requirements (e.g., teaching, research) will be met by the student following return from Family Leave.

6. Requests for extension of Family Leave beyond one year, or for repeated Family Leaves, may be made. Approval of an extension, deferral of funding, and continued academic accommodation is at the discretion of the Graduate Dean.

*IMPORTANT: If you anticipate adding a dependent (e.g., newborn) to your Penn Student Insurance Policy while on Family Leave, you must remain in ACTIVE student status at the start of the fall semester. Students should arrange with their school/division to maintain full-time student status for at least 31 days from the start of fall classes, after which time the Family Leave status can be recorded in the Student Records System. After the birth/adoption, contact the SHS
Insurance Coordinator to enroll the dependent. The premium for dependent coverage is payable directly to Aetna Student Health.

GRADUATE GRADES AND ACADEMIC STANDING

The grading system is as follows: A, excellent; B, good; C, fair; D, poor but passing; and F, failure. At the graduate level, the grade of C, while passing, does not constitute satisfactory performance. Letter grades may be modified by a plus (+) or minus (-) sign at the discretion of the school. The minimum standard for satisfactory work for the graduate faculties is a B average in each academic year, but the graduate group may set additional requirements that determine advancement; these requirements may require a student to withdraw despite a satisfactory grade average, if the quality of the student’s work is not at a level that predicts successful dissertation research.

The mark of S is used to indicate satisfactory “progress”. It may be used as a permanent grade for 999 courses only. It is a temporary grade for all other courses.

The mark of I is used to designate “incomplete.” A student who fails to complete a course and does not withdraw or change his/her status to auditor within the prescribed period shall receive at the instructor’s discretion either a grade of I (incomplete) or F (failure). It is expected, in general, that a student shall complete the work of a course during the term in which that course is taken. The instructor may permit an extension of time up to one year for the completion of the course. In such cases, any course which is still incomplete after one calendar year from its official ending must remain as “incomplete” on the student’s record and shall not be credited toward a degree.

AUDITORS

A student who desires to attend a course without performing the work of the course must first secure the consent of the instructor. He or she must register in order for the audited course to appear on the transcript; no credit will be received for the audited course. A teaching fellow registered for three course units may register as auditor for one additional course with permission of the graduate group chair.

A student may request that the school graduate office change his or her status in a course to auditor, provided that the request is endorsed by the chairperson of his or her graduate group and the instructor giving the course and is submitted to the graduate office no later than the end of the second week of the term.

CHANGE OF A GRADUATE GROUP

A student who wishes to change his or her graduate group must submit an application for admission to the new graduate group.

INSTITUTIONAL COURTESY/EXCHANGE PROGRAMS
The Exchange Scholar Program allows Penn Ph.D. students to apply to study for a semester or academic year at one of ten other participating institutions: Brown, Columbia, Cornell, Harvard, MIT, Princeton, Stanford, University of California-Berkeley, University of Chicago, and Yale.

Through cooperative arrangements with Bryn Mawr College, Haverford College, and Swarthmore College, University of Pennsylvania students may, upon presentation of the proper credentials and with the permission of the instructor concerned, enroll for courses in these institutions. The University of Pennsylvania will accept toward a masters or Ph.D. degree up to the equivalent of three course units for work completed under this arrangement.

Ph.D. and research masters students enrolled in Earth and Environmental Science may, upon approval of the graduate group chair, enroll for a maximum of six course units at Bryn Mawr College.

Through a cooperative arrangement between The Annenberg School for Communication and Johns Hopkins University, students selected as exchange scholars from the Annenberg School for Communication may count up to one academic year of study at John Hopkins (taken while registered at Penn), subject to the approval of the graduate group, toward the Ph.D. degree at the University of Pennsylvania.

Ph.D. and research masters students enrolled in Anthropology, or History of Art may, upon approval of their graduate group and the instructor, enroll for a maximum of two courses in the Department of Art Conservation at the University of Delaware. The University of Pennsylvania will accept credits completed under this agreement for a masters or Ph.D. degree.

Ph.D. students enrolled in Ancient History, Classical Studies, Religious Studies, Germanic Languages and History may, upon approval of their graduate group and the instructor at the host institution, enroll for a maximum of four courses for graduate credit at the Lutheran Theological Seminary at Philadelphia.

Ph.D. students enrolled for at least one full academic year in the Graduate Groups in Ancient History, Classical Studies, Art and Archaeology of the Mediterranean World, History of Art, Religious Studies, German, Political Science or History may, subject to the approval of their graduate group and the instructor, enroll for a maximum of four courses at the Jewish Theological Seminary.

Each year, up to two English Ph.D. students (one in film and one in poetics) may, upon approval of the graduate group and the instructor at the host institution, take one course each offered by Temple University’s Department of Film and Media Arts and in English.

Details regarding the institutional exchange agreements are available from the Office of the Vice Provost for Education.
Affirmative Action Policy Statement

The University of Pennsylvania’s special character is reflected in the diversity of the Penn community. Diversity is prized at Penn as a central component of its mission and helps create an educational and working environment that best supports the University’s commitment to excellence in teaching, research, and scholarship. We seek talented faculty, students and staff who will constitute a vibrant community that draws on the strength that comes with a substantive institutional commitment to diversity along dimensions of race, ethnicity, gender, sexual orientation, age, religion, disability, veteran status, interests, perspectives, and socioeconomic status.

Grounded in equal opportunity, nondiscrimination, and affirmative action, Penn’s robust commitment to diversity is fundamental to the University’s mission of advancing knowledge, educating leaders for all sectors of society, and public service. The University of Pennsylvania prohibits unlawful discrimination based on race, color, sex, sexual orientation, gender identity, religion, creed, national or ethnic origin, citizenship status, age, disability, veteran status, or any other legally protected class.

Penn is committed to ensuring that its academic, social, recreational programs and services as well as opportunities for admission and employment are available on an equitable and nondiscriminatory basis without regard to an individual’s legally protected class status. Penn also has written affirmative action programs to address any underrepresentation of women, minorities, people with disabilities, and qualified covered veterans. The Office of Affirmative Action and Equal Opportunity Programs, in collaboration with the Division of Human Resources and the Office of the Provost, oversees the implementation and administration of the University’s equal opportunity, affirmative action, and nondiscrimination policies and programs.

The University recognizes the right of members of the community to raise questions and pursue complaints of discrimination and adheres to a strict policy that prohibits retaliation for doing so. Questions, complaints of alleged discrimination, or concerns regarding these policies or their implementation may be directed to the Executive Director, Office of Affirmative Action and Equal Opportunity Programs, Sansom Place East, Suite 228, 3600 Chestnut Street, Philadelphia, PA 19104-6106, (215) 898-6993 (Voice) or (215) 898-7803 (TDD).

University of Pennsylvania Nondiscrimination Statement (To be used in University publications)

The University of Pennsylvania values diversity and seeks talented students, faculty and staff from diverse backgrounds. The University of Pennsylvania does not discriminate on the basis of race, color, sex, sexual orientation, gender identity, religion, creed, national or ethnic origin, citizenship status, age, disability, veteran status or any other legally protected class status in the administration of its admissions, financial aid, educational or athletic programs, or other University-administered programs or in its employment practices. Questions or complaints regarding this policy should be directed to the Executive Director of the Office of Affirmative Action and Equal Opportunity Programs, Sansom Place East, 3600 Chestnut Street, Suite 228, Philadelphia, PA 19104-6106; or (215) 898-6993 (Voice) or (215) 898-7803 (TDD).
The University Alcohol and Drug Policy

I. Introduction

The University Alcohol and Drug Policy, like other standards of conduct applicable to the University community, is intended to further the educational mission of the University of Pennsylvania. The University is committed to fostering an environment that promotes the acquisition of knowledge and nurtures the growth of the individual. Each member of our intellectual community is responsible for his or her own actions and is expected to contribute to the Penn community and to respect the rights of others to participate in the academic and social life of the University. The following alcohol and drug policy, with its emphasis on individual and shared responsibility, healthy and informed decision-making, maintaining a caring environment, and the promotion of genuine dialogue, is adopted in this spirit.

This 1999 University Alcohol and Drug Policy supersedes and replaces both the previous Alcohol and Drug policy and the Greek Alcohol Management policy.

Students, staff and faculty may be subject to additional requirements and procedures set forth by their respective schools or departments, and which may be stated in handbooks generated by those entities.

II. Standards of Conduct

Drugs [See Summary of Controlled Substance Statutes in Appendix]

The University of Pennsylvania prohibits the unlawful manufacture, distribution, dispensation, sale, possession or use of any drug by any of its students, employees in its workplace, on its premises or as part of any of its activities. This policy is intended to supplement and not limit the provisions of the University’s Drug-Free Workplace policy.

Alcohol [See Summary of Alcohol Statutes in Appendix]

A. General Rules Governing the Use of Alcohol

The University of Pennsylvania seeks to encourage and sustain an academic environment that respects individual freedom and promotes the health, safety and welfare of all members of its community. In keeping with these objectives, the University has established the following policy governing the possession, sale and consumption of alcoholic beverages by members of the University community, and conforming to the laws of the Commonwealth of Pennsylvania. Penn's alcohol policy and programs are intended to encourage its members to make responsible decisions about the use of alcoholic beverages, and to promote safe, legal, and healthy patterns of social interaction.

1. The University of Pennsylvania prohibits:
   - The possession and/or consumption of alcoholic beverages by persons under the age of twenty-one on property owned or controlled by the University or as part of any University activity.
   - The intentional and knowing selling, or intentional and knowing furnishing (as defined by Pennsylvania law) of alcoholic beverages to persons under the age of twenty-one or to persons obviously inebriated on property owned or controlled by
the University or as part of any University activity. Pennsylvania law currently defines "furnish" as "to supply, give, or provide to, or allow a minor to possess on premises or property owned or controlled by the person charged."

- The consumption of alcoholic beverages by all University students and employees so as to adversely affect academic or job performance and/or endanger the physical well-being of other persons and/or oneself, and/or which leads to damage of property.
- The possession, sale, distribution, promotion or consumption of an alcoholic beverage in a manner that constitutes a violation of federal, state or local law, including the sale, directly or indirectly, of any alcoholic beverages at a premise or by an entity not licensed for such sales on property owned or controlled by the University or as part of any University activity.

2. The University of Pennsylvania permits the lawful keeping and consumption, in moderation, of alcoholic beverages on its property or property under its control by persons of legal drinking age (21 years or older).

3. In cases of intoxication and/or alcohol poisoning, the primary concern is the health and safety of the individual(s) involved. Individuals are strongly encouraged to call for medical assistance for themselves or for a friend/acquaintance who is dangerously intoxicated. No student seeking medical treatment for an alcohol or other drug-related overdose will be subject to University discipline for the sole violation of using or possessing alcohol or drugs. This policy shall extend to another student seeking help for the intoxicated student.

4. Vice Provosts, Vice Presidents, Deans, and heads of administrative and residential units have the authority and responsibility to govern the use of alcohol in areas they control, both indoors and out, and to approve or disapprove of plans designed to ensure that (at events where alcohol will be served in such areas) only legal age individuals will have access to such alcohol. Further, those hosting such events must take reasonable steps to ensure that the acquisition, distribution and consumption of alcohol otherwise complies with applicable law and University policy.

5. At any event at which alcohol will be served, sufficient quantities of non-alcoholic beverages and food must also be available to guests without cost.

6. Consistent with Pennsylvania law, advertisements of social events shall not promote nor describe the availability of alcoholic beverages nor promote the consumption of alcohol by minors.

7. Ordinarily, consumption of alcoholic beverages in outdoor public areas such as walkways, building steps and porches, unenclosed patios, green spaces, and the like is not permitted regardless of the age of the drinker. However, appropriate administrators may grant exceptions to this guideline on an event-by-event basis. Exceptions will be granted only for those events where an overwhelming majority of those reasonably expected to attend an event are of legal drinking age. Events for which exceptions have been granted must be limited to areas that are clearly demarcated and in which it is possible to exercise adequate control of access to and consumption of alcohol.

8. Kegs of any amount of beer are not allowed in any University-managed undergraduate residence.

B. Rules Governing Alcohol Use at Registered Undergraduate Social Events

In order to minimize the risk of alcohol abuse, promote compliance with the law, and encourage students to make responsible decisions about the use of alcohol, the following rules are designed to control the volume and nature of alcohol products available and, ultimately, reduce the risk of alcohol-related incidents that pose a threat to the health and welfare of students and colleagues.

1. Undergraduate student organizations, which intend to sponsor either on-campus or Third Party Vendor events at which it is anticipated alcohol will be served and consumed,
must register the event with the Vice Provost for University Life at least one week in advance of the event. Failure to register an on-campus (.pdf form) or Third Party Vendor event at which alcohol is served does not exempt student organizations from the applicability of these rules.

2. Undergraduate student organizations that are hosting Third Party Vendor events must register the event with VPUL and strictly comply with the Third Party Vendor checklist.

3. UPPD approval must be obtained for any parties, including alcohol free parties, that will have:
   - More than 400 guests,
   - Outside area/yard, and/or
   - Live band

The party organizers must email UPPD for approval before they submit the registration form to the Office of Alcohol and Other Drug Policy Initiatives. An email link to the appropriate people at UPPD can be found on the website with the party registration form, http://www.vpul.upenn.edu/alcohol/forms/on-campus-form.htm

4. The organizers of events must have adequate means for identifying of-age drinkers (e.g. picture identification plus hand-stamps/wrist bracelets, etc.)

5. Hard alcohol is prohibited at all registered on-campus undergraduate events. Hard alcohol is permitted only at Third Party Vendor events where conditions specified on the Third Party Vendor checklist are met.

6. Service of alcohol at all on-campus registered events must end no later than 1 a.m.; events may continue until 2 a.m.

7. Undergraduate student organizations hosting on-campus events at which alcohol is served are responsible for assuring that alcohol is served and consumed lawfully and safely.* To comply with this expectation undergraduate student organizations must adhere to the following conditions:
   - No oversized or common source containers of any sort [including but not limited to kegs, punchbowls, beer balls, party balls] are permitted at any on-campus party;
   - Only individuals with valid proof of legal drinking age may be served alcohol; alcohol may not be served to any visibly intoxicated person, regardless of age;
   - Alcohol may be served only from a controlled, designated area by sober, trained, of-age bartenders who are unaffiliated with the host organization. For the duration of registered events, individual members of host organizations may not entertain guests in private areas, including private bedrooms. Party attendance is restricted to the public area designated for the party. This means that individual members of a host organization may not serve alcohol in their private rooms for the duration of registered events, even if those in the room are of legal drinking age;
   - No undergraduate organization, student activity, or student government funds may be used to purchase alcohol for any party;
   - Drinking contests or games of any sort are expressly prohibited

* The amount of alcohol available at an event should not exceed a ratio of more than four (4) alcoholic drinks (premium beer, table wine, or wine coolers) per of-age person attending the event.

One drink = 12oz. of premium beer (alcohol content of less than 6% by volume) or 4-5oz. of (unfortified) table wine or a standard serving size wine cooler (usually 10oz.)
8. All registered events, either on-campus or at Third Party Vendors, must have appropriately trained bartenders who are unaffiliated with the host organization and who are at least 21 years of age.

9. At all registered events, whether on-campus or at Third Party Vendors, the host organization must identify trained, non-alcohol-consuming host monitors. There shall be at least one such host monitor for each 30 guests. Each academic year, the host monitors must demonstrate to the Director of the Office of Alcohol & Other Drug Program Initiatives that they have a clear understanding of the University's alcohol and drug policies and that they have participated in training or taken other steps to develop the ability to, wherever possible (l) handle emergency situations, (2) respond to alcohol-related medical concerns, (3) identify and intervene with overly intoxicated guests, whether or not they require medical treatment, (4) and carry out preventive safety measures regarding the controlled service of alcohol. These host monitors must be identified prior to the event and must be visually identifiable (e.g. armband, t-shirt or other visible designation of host monitor status) during the event to those in attendance.

10. University trained and appointed monitors will assist in assuring that University policy is followed at all on-campus events.

11. The organizers of events must properly dispose of partially filled and empty alcohol containers at the conclusion of the event.

12. The University supports the enforcement of all University, local, state and federal policies and laws by retail and wholesale distributors of alcohol on or near campus.

13. It is understood that in addition to University policy and state law, many University undergraduate student organizations are subject to policies regarding the possession and consumption of alcohol imposed by a parent organization. If the policies governing an individual organization impose more restrictive regulations regarding alcohol possession and consumption it will be necessary for that organization to follow its parent organization's policies or risk sanctions. If, however, the parent organization permits the possession or consumption of alcohol where otherwise prohibited by University policy, the organization must comply with the University's policy, notwithstanding its parent organization's rules.

C. Violators of this policy will be subject to University disciplinary procedures.

III. Penn's Commitment to Health Education and a Supportive Environment

Consistent with its educational mission, the University sponsors programs which help eradicate misperceptions about alcohol use among peers, create opportunities for open, honest dialogue about alcohol use and abuse, and promote awareness of the physical and psychological, social and behavioral effects of alcohol consumption.

1. The University is committed to providing every Penn undergraduate student and parent or guardian with alcohol education from multiple sources when students are pre-freshman, during New Student Orientation, and during the course of the students' undergraduate education.

2. The University is committed to supporting continuous and expanded peer education, to creating opportunities for curricular integration of alcohol and drug related issues in each of its undergraduate schools and maintaining an effective, coordinated and responsive alcohol abuse prevention and treatment plan implemented by the University's Director of the Office of Alcohol & Other Drug Program Initiatives. In addition, the University's Alcohol Rapid Response Team, comprised primarily of undergraduates along with faculty and staff members, advises the President and the Provost on alcohol policy matters as they arise.

3. In order to promote responsible group behavior regarding alcohol use, each student organization having more than 10 members and recognized by DRIA, VPUL, OFSA,
SAC, OSL, the undergraduate schools, on-campus undergraduate residential facilities and/or the College Houses must must fulfill the following expectations:

1. Each recognized organization having more than 10 members must have at least one member, in addition to the organization’s leader or president, trained to identify high-risk drinking and substance abuse within the membership (both individual and collective) and be able to provide appropriate referrals to education and counseling services.

2. Each recognized organization that intends to host registered events with alcohol (both on-campus and at third party vendors), must design and implement an individualized plan to demonstrate competency in managing risk related to alcohol consumption. Such a plan would identify the methods through which the organization will control service of alcohol, promote moderate alcohol consumption, and respond to alcohol-related medical concerns. Each organization must specifically identify appropriate strategies for creating an environment in which alcohol use is secondary to the event itself and which emphasizes food and activities not related to alcohol so as to minimize the risk associated with its presence. A competency plan must be submitted to the Director of the Office of Alcohol & Other Drug Program Initiatives and the appropriate umbrella organization for approval prior to the registration of the first event of each academic year.

Failure to meet this requirement could result in the loss of University recognition and/or support.

Organizations not officially recognized by the University are encouraged to undertake similar efforts to ensure that high-risk drinking and substance abuse are appropriately addressed within the informal group.

4. The University, along with its students, is committed to the creation of multiple recreational opportunities to help promote a wider variety of social experiences for undergraduates.

IV. Consequences for Policy Violations

1. All University students are expected to comply with applicable local, state and federal laws regarding the possession, use or sale of alcohol or drugs, whether on or off-campus, and are expected to comply with all University regulations regarding alcohol possession or use.

2. Any student or employee who violates University policies or applicable law may be subject to disciplinary sanctions and/or referral for prosecution. Disciplinary sanctions for students range from disciplinary warning to expulsion as provided by the Charter of the University’s student disciplinary system. The severity of the sanctions will depend, in part, on whether there have been repeated violations and on the seriousness of the misconduct. Employees found to be in violation of this policy or applicable law will be subject to University disciplinary procedures which may impose sanctions up to and including termination from employment and/or referral for prosecution. The University also supports enforcement, by applicable law enforcement agencies, of all local, state and federal laws.

3. Along with disciplinary consequences, the University is committed to providing treatment and education as appropriate to assist members of the community.

4. Organizations must comply with these policies and applicable laws. Organizations, as well as individuals involved who violate this policy will be subject to appropriate disciplinary sanction.

V. Resources in the Penn Community for Information and Counseling Related to Alcohol and Drug Use
The University provides services and resources for community members who experience alcohol and/or drug related difficulties. The following programs are available for students, staff and faculty:

1. Director of the Office of Alcohol & Other Drug Program Initiatives

The Director of the Office of Alcohol & Other Drug Program Initiatives is responsible for ensuring the efficient and productive coordination of all relevant, alcohol-related campus services. Assistance is available by calling (215) 573-3525.

2. PENN-Friends Employee Assistance Program

PENN-Friends Employee Assistance Program is a free, confidential one-on-one counseling service provided by the University for Penn faculty and staff and their family members. This program can offer assistance with serious life issues 24 hours a day, seven days a week by calling 1-888-321-4433. Services are available at over 450 locations throughout the Delaware Valley, including an on-campus office at 36th and Market Streets.

3. Additional Resources

The following offices provide information, education and services related to alcohol and other drug concerns. All services are provided free of charge and are available to students, faculty and staff at the University of Pennsylvania. If you are concerned about your own or someone else's use of substances, please contact one of these offices.

Affirmative Action, Office of (Faculty, Staff & Students)
Suite 228, 3600 Chestnut Street/6106
(215) 898-6993 (Voice), (215) 898-7803 (TDD)

African American Resource Center (Faculty, Staff & Students)
3537 Locust Walk/6225
(215) 898-0104

Counseling and Psychological Services (confidential)
2nd Floor, 133 S. 36th Street/3246 (Students)
(215) 898-7021

Health Education, Office of the Director of the Office of Alcohol & Other Drug Program Initiatives (confidential)
3609-11 Locust Walk/6222
(215) 573-3525

Human Resources, Division of Quality of Worklife
527A 3401 Walnut Street/6228
(215) 898-0380

Penn Women's Center
Locust House, 3643 Locust Walk/6230 (Faculty, Staff & Students)
(215) 898-8611/12
Appendix

I. Legal Sanctions

The following is a brief review of the legal sanctions under local, state, and federal law for the unlawful possession or distribution of illicit drugs and alcohol:

A. Drugs

1. The Controlled Substance, Drug, Device and Cosmetic Act, 35 Pa. C.S.A. 780-101 et seq., sets up five schedules of controlled substances based on dangerousness and medical uses. It prohibits the manufacture, distribution, sale or acquisition by misrepresentation or forgery of controlled substances except in accordance with the Act as well as the knowing possession of controlled substances unlawfully acquired. Penalties for first-time violators of the Act range from thirty days imprisonment, $500 fine, or both for possession or distribution of a small amount of marijuana or hashish, not for sale, to fifteen years or $250,000 or both for the manufacture or delivery of a Schedule I or II narcotic. A person over eighteen years of age who is convicted for violating The Controlled Substance, Drug, Device and Cosmetic Act, shall be sentenced to a minimum of at least one year total confinement if the delivery or possession with intent to deliver of the controlled substance was to a minor. If the offense is committed within 1,000 feet of the real property on which a university is located, the person shall be sentenced to an additional minimum sentence of at least two years total confinement.

2. The Pharmacy Act of 1961, 63 Pa. C.S.A. 390-8 makes it unlawful to procure or attempt to procure drugs by fraud, deceit, misrepresentation or subterfuge or by forgery or alteration of a prescription. The first offense is a misdemeanor, with a maximum penalty of one year's imprisonment, a $5,000 fine, or both.

3. The Vehicle Code, 75 PA, C.S.A. 3101 et seq., which was amended effective July 1, 1977, prohibits driving under the influence of alcohol or a controlled substance, or both, if the driver thereby is rendered incapable of safe driving. A police officer is empowered to arrest without a warrant any person whom he or she has probable cause to believe has committed a violation, even though the officer may not have been present when the violation was committed. A person so arrested is deemed to have consented to a test of breath or blood for the purpose of determining alcoholic content, and if a violation is found it carries the penalties of a misdemeanor of the second degree, which includes imprisonment for a maximum of thirty days.

4. The Federal drug laws, The Controlled Substances Act, 21 U.S.C. 801 et seq., are similar to the Pennsylvania Controlled Substance, Drug, Device, and Cosmetic Act, but contain, for the most part, more severe penalties. Schedules of controlled substance are established, and it is made unlawful knowingly or intentionally to manufacture, distribute, dispense, or possess with intent to distribute or dispense a controlled substance. If the quantity of controlled substance is large (e.g. 1,000 kg of a mixture or substance containing marijuana), the maximum penalties are life imprisonment, a $4,000,000 fine, or both. Lesser quantities of controlled substance (e.g. 100 kg of a mixture or substance containing marijuana) result in maximum penalties of life imprisonment, a $2,000,000 fine, or both. The distribution of small amounts of marijuana for no remuneration or
simple possession of a controlled substance carries a maximum of one year's imprisonment, a $5,000 fine, or both, with the penalties for the second offense doubling. Probation without conviction is possible for first offenders. Distribution to persons under the age of twenty-one by persons eighteen or older carries double or triple penalties. Double penalties also apply to the distribution or manufacture of a controlled substance in or on or within 1,000 feet of the property of a school or college.

5. Students who have been convicted under state or federal law involving the possession or sale of a controlled substance, are ineligible for federal student aid for specific periods (ranging from one year to an indefinite period depending on the nature of the offense and whether the student is a repeat offender.)

B. Alcohol

1. The Pennsylvania Liquor Code, 47 Pa., C.S.A., 1-101 et seq., controls the possession and sale of alcoholic beverages within the Commonwealth. The Code as well as portions of the Pennsylvania Statutes pertaining to crimes and offenses involving minors, 18 Pa., C.S.A. 6307 et seq., provide the following:

2. It is a summary offense for a person under the age of twenty-one to attempt to purchase, consume, possess or knowingly and intentionally transport any liquor or malt or brewed beverages. Penalty for a first offense is suspension of driving privileges for 90 days, a fine up to $300 and imprisonment for up to 90 days; for a second offense, suspension of driving privileges for one year, a fine up to $500, and imprisonment for up to one year; for subsequent offense, suspension of driving privileges for two years, a fine up to $500 and imprisonment for up to one year. Multiple sentences involving suspension of driving privileges must be served consecutively.

3. It is a crime intentionally and knowingly to sell or intentionally and knowingly to furnish or to purchase with the intent to sell or furnish, any liquor or malt or brewed beverages to any minor (under the age of twenty-one). "Furnish" means to supply, give or provide to, or allow a minor to possess on premises or property owned or controlled by the person charged. Penalty for a first violation is $1,000; $2,500 for each subsequent violation; imprisonment for up to one year for any violation.

4. It is a crime for any person under twenty-one years of age to possess an identification card falsely identifying that person as being twenty-one years of age or older, or to obtain or attempt to obtain liquor or malt or brewed beverages by using a false identification card. Penalties are stated in (2) above.

5. It is a crime intentionally, knowingly or recklessly to manufacture, make, alter, sell or attempt to sell an identification card falsely representing the identity, birth date, or age of another. Minimum fine is $1,000 for first violation; $2,500 for subsequent violations; imprisonment for up to one year for any violation.

6. It is a crime to misrepresent one's age knowingly and falsely to obtain liquor or malt or brewed beverages. Penalties are as stated in (1) above.

7. It is a crime knowingly, willfully and falsely to represent that another is of legal age to obtain liquor or malt or brewed beverages. Penalty is a minimum fine of $300 and imprisonment for up to one year.

8. It is a crime to hire, request or induce any minor to purchase liquor or malt or beverages. Penalty is a minimum fine of $300 and imprisonment for up to one year.

9. Sales without a license or purchases from an unlicensed source of liquor or malt or brewed beverages are prohibited.

10. It is unlawful to possess or transport liquor or alcohol within the Commonwealth unless it has been purchased from a State Store or in accordance with Liquor Control Board regulations. The University will cooperate with the appropriate law enforcement authorities for violations of any of the above-mentioned laws by an employee in the workplace or student.

11. The use in any advertisement of alcoholic beverages of any subject matter, language or slogan directed to minors to promote consumption of alcoholic beverages is prohibited.

12. No advertisement of alcoholic beverages shall be permitted, either directly or indirectly, in any booklet, program, book, yearbook, magazine, newspaper, periodical, brochure,
Health Risks

Alcohol. Alcohol consumption causes a number of changes in behavior and physiology. Even low doses significantly impair judgment, coordination, and abstract mental functioning. Statistics show that alcohol use is involved in a majority of violent behaviors on college campuses, including acquaintance rape, vandalism, fights, and incidents of drinking and driving. Continued abuse may lead to dependency, which often causes permanent damage to vital organs and deterioration of a healthy lifestyle.

Amphetamines. Amphetamines can cause a rapid or irregular heartbeat, tremors, loss of coordination, collapse, and death. Heavy users are prone to irrational acts.

Cannabis (Marijuana, Hashish). The use of marijuana may impair or reduce short-term memory and comprehension, alter sense of time, and reduce coordination and energy level. Frequent users often have a lowered immune system and an increased risk of lung cancer. The active ingredient in marijuana, THC, is stored in the fatty tissues of the brain and reproductive system for a minimum of 28 to 30 days.

Cocaine/Crack. The immediate effects of cocaine use include dilated pupils and elevated blood pressure, heart rate, respiratory rate, and body temperature, followed by depression. Crack, or freebase rock cocaine, is extremely addictive and can cause delirium, hallucinations, blurred vision, severe chest pain, muscle spasms, convulsions, and even death.

Hallucinogens. Lysergic acid (LSD), mescaline, and psilocybin cause illusions and hallucinations. The user may experience panic, confusion, suspicion, anxiety, and loss of control. Delayed effects, or flashbacks, can occur even when use has ceased. Phencyclidine (PCP) affects the section of the brain that controls the intellect and keeps instincts in check. Because the drug blocks pain receptors, violent PCP episodes may result in self-inflicted injuries.

Heroin. Heroin is an opiate drug that causes the body to have diminished pain reactions. Heroin is physically addictive. This and other opiate drugs are respiratory depressants; their use can be associated with coma and death.

1 A Penn undergraduate student organization is any standing group that:

- Is affiliated with one of the four undergraduate schools (the College, Engineering and Applied Science, Nursing, and Wharton);
- Is sponsored by the College Houses or their house councils; the Division of Recreation and Intercollegiate Athletics; and/or VPUL departments (e.g. the Office of Fraternity and Sorority Affairs, the Greenfield Intercultural Center, and the Office of Student Life);
- Is entitled to seek funding and/or recognition through the undergraduate Student Activities Council;
- Receives financial resources from the University, maintains a University banking account, reserves the use of a University vehicle, and/or uses a University organization telecommunications account;

or

- Uses University facilities.
Antihazing Regulations

The following Regulations apply to all University students and student groups.

The University is an association of equals who, in working together, comprise a scholarly community. Hazing is inconsistent with the goals and purposes of the University and is explicitly forbidden.

I. Hazing: Definition

A. For purposes of these regulations, and consistent with the Anti-Hazing Law of Pennsylvania, hazing means any action or situation (1) which recklessly or intentionally endangers the mental or physical health or safety of a student or (2) which willfully destroys or removes public or private property for the purpose of initiation or admission into or affiliation with, or as a condition for continued membership in, an organization operating under the sanction of, or recognized as an organization by, the University including, without limitation, fraternities and sororities (an "Organization"). For purposes of these regulations, any activity as described herein upon which the initiation or admission into or affiliation with or continued membership in an organization is directly or indirectly conditioned shall be presumed to be "forced" activity, the willingness of an individual to participate in such activity notwithstanding.

B. Examples of types of prohibited hazing follow. These examples are merely illustrative of specific forbidden practices and are not intended to be all inclusive.

1. Any brutality of a physical nature, such as whipping, beating, branding, forced calisthenics or exposure to the elements.
2. Forced consumption of any food, liquor, drug, or other substance, or any other forced physical activity which could adversely affect the physical health and safety of the individual.
3. Any activity which would subject the individual to extreme mental stress, such as sleep deprivation, forced exclusion from social contact, forced conduct which could result in extreme embarrassment, or any other forced activity which could adversely affect the mental health or dignity of the individual.
4. Any willful destruction or removal of public or private property.
5. Placing a member or pledge in a situation of actual or simulated peril or jeopardy.
6. Undignified stunts or methods, either private or public and/or any ordeal that is in any respect indecent or shocking to moral or religious scruples or sensibilities.
7. Kidnapping and paddling.

C. There are time and place limitations on all fraternity and sorority pledging activities. For purposes of this section, pledging is activity that is unique to a pledge and performed as a requirement of membership in a fraternity or sorority.

1. There shall be no pledging activities between midnight and 8:00 a.m. Sunday through Thursday. This rule will be strictly enforced.
2. Pledging activities shall not occupy more than ten hours per week, excluding study hours and community service.
3. The length of pledging shall be limited to the time period set forth in National Interfraternity Council, National Panhellenic Conference, or National Pan-Hellenic Council Guidelines or as prescribed by the national headquarters of each University of Pennsylvania affiliated chapter.

4. Any pledging practices including raids, treasure hunts and scavenger hunts taking place outside of the chapter house are prohibited. The residence halls, in particular, are off limits to the pledge activities of Organizations.

5. With one exception, pledges may not be sent on trips. Pledges may voluntarily visit other chapters of a fraternity with the express approval of the Chapter Advisor. The Director of Fraternity and Sorority Affairs shall be notified of the prior approval in writing. Approval should be granted only when the trip has been sanctioned by a national officer of the fraternity, when adequate funds, transportation and supervision are provided, and when the purpose of the trip is of a constructive nature.

II. Penalties

Penalties for engaging in hazing activities include University sanctions against individuals and organizations, and criminal sanctions under state law.

A. Individuals

All students, whether or not they are affiliated with an organization, are governed by the Guidelines on Open Expression and Charter of the University Student Judicial System. Infractions of the above Antihazing Regulations are subject to sanctions as set forth in the Charter of the University Student Judicial System. These sanctions include the following: warning, reprimand, fine, restitution, disciplinary probation for a specified period, withdrawal of privileges, indefinite probation (i.e., probation whenever and as long as the respondent is a full- or part-time student at the University), term suspension (ordinarily not to exceed two years), indefinite suspension with no automatic right of readmission, or expulsion.

B. Organizations

1. Fraternities and Sororities. All fraternities and sororities are governed by the University policy entitled "Recognition and Governance of Undergraduate Social Fraternities and Sororities" (the "Recognition Policy"). For infractions of the Antihazing Regulations above, the fraternity or sorority is subject to sanctions as set forth in the Recognition Policy. These sanctions include administrative warning, chapter probation, suspension of University recognition, and withdrawal of University recognition. The national fraternity of any chapter convicted of a pledging infraction will be notified of this fact.

2. Other Organizations. For infractions of the above Antihazing Regulations, organizations which are not fraternities or sororities are subject to sanctions including loss of University facility use privileges and loss of Student Activities Council recognition and funding.

C. Criminal and Civil Liability

In addition to the sanctions described above, a student or organization may be subject to civil liability or to criminal liability under Pennsylvania’s Antihazing Law or otherwise in accordance with state law.

(Source: Almanac, February 9, 1988)
Bicycle Policy

Preamble

The University recognizes that concerns exist within the University community regarding the safe use of bicycles on and about the campus. Pedestrians are concerned that they must be overly vigilant to avoid physical encounters with cyclists, particularly in heavy traffic areas. They argue that, to prevent a possible injury, walking a short distance should not be a hardship on the cyclist. Many University community members have concerns about bicycles impeding the free ingress/egress of buildings, especially in the event of an emergency. Additionally, some experience extreme difficulty using the stairs when the handrails are not accessible. Many are concerned about the disorderly appearance of campus when bicycles are secured to trees, trip rails, and other inappropriate fixed objects.

Cyclists have legitimate concerns of their own. Their concerns are that regulatory reaction by the University might impair their functional use of bicycles for transportation to and about campus, that there are an insufficient number of reliable bicycle racks available, and that they are victimized by the theft of their bicycles or component parts.

In order to address the concerns of the entire community, the University has adopted the following bicycle use policy, which we believe, balances and provides for the needs of all concerned parties. Enforcement of the policy is authorized by the Pennsylvania Vehicle Code, the Philadelphia Code, and the Philadelphia Fire Code. However, like most policies, it relies on the thoughtfulness, cooperation, and consideration of the entire University community.

Policy

I. Purpose

A. To enhance pedestrian and rider safety within the inner campus during peak traffic periods.
B. To provide for the safe and free ingress/egress to and from all the University buildings and facilities.
C. To reduce bicycle theft losses.
D. To identify, establish, and publish written guidelines and regulations to facilitate the movement of bicycle traffic to and about the campus while safeguarding the needs of the community population, at large.

II. Scope

This policy applies to all University faculty, staff, and students who own, operate, or store any pedal drive, human-powered vehicles, on or about the building, grounds, or premises of the University of Pennsylvania, West Philadelphia campus.

III. Policy defined

A. Registration

The University recommends that every bicycle owned, operated, or stored on or about the campus, should be registered with the University Division of Public Safety. The advantages of bicycle registration are:

1. Police will have a quick means to establish the ownership of a bicycle that has been removed from your control. Return of the property, and if appropriate, the arrest of a thief or receiver of stolen property will be greatly enhanced.
2. If your bicycle is lost or stolen the University Police (UPPD) will verify the existence of that bicycle to your insurance carrier, if requested. If the bicycle is not registered UPPD will take your report of lost or stolen property; however, no verification of the prior existence of that bicycle, as your property, can be affixed to that report when forwarded to your insurance carrier.

3. Bicycles remaining in UPPD custody without identification of ownership are periodically sold at public auction. Dates, times, and places of registration for bicycles will be widely advertised throughout each academic year with periodic reminders as may be appropriate with changes in the University population such as the beginning of the spring semester and the summer sessions.

B. Synopsis of Pennsylvania and Philadelphia law

1. Human powered, pedal cycles are vehicles according to the Pennsylvania Vehicle Code.
2. Vehicles, as indicated in #1 above are subject to the provisions of the vehicle code when operated on the highways and may not stop, stand or park where prohibited or where controlled by official traffic control devices to include firelanes, handicapped zones, etc.
3. The Philadelphia Code prohibits any person above the age of 12 from riding a cycle on any sidewalk or pedestrian pathway in a business district. The Penn Campus area meets the definition of a business district.
4. A person walking a bicycle is considered a pedestrian.
5. The Philadelphia Fire Code requires clear passage from all exits and stairways at all times. No obstruction shall be permitted.
6. University Police are authorized to enforce both the Pennsylvania Vehicle Code and City of Philadelphia Ordinances.

C. Riding restricted by time or place

In order to provide the opportunity for the accident-free passage of both pedestrians and cyclists the following riding restrictions are instituted:

1. Cyclists can ride their vehicles on Locust, Smith, and Hamilton Walks only between the hours of 5:30 p.m. and 8:30 a.m. If heavy pedestrian traffic occurs it is expected that riders will dismount in deference to pedestrians.
2. Cyclists will walk their vehicles on Locust, Smith, and Hamilton Walks between the hours of 8:30 a.m. and 5:30 p.m.
3. The ride/walk provisions of 1 and 2 above, also apply to the pedestrian feeders to Locust Walk from Walnut and Spruce streets via 36th and 37th streets.
4. University Police on bicycles will be exempt from the above described restrictions in order to provide enforcement, efficient patrol service and emergency response. Police, consistent with their specialized training and the guidance of their supervisors, will operate bicycles in a responsible manner.

D. Parking and Securing of Bicycles

In order to reduce the opportunity for theft the University has significantly increased the number of structurally sound bicycle security racks distributed at convenient locations throughout inner campus. University Police are particularly attentive to these concentrations of security racks during their patrols.

1. Bicycles should be secured to a bike rack every time they must be left unattended on campus, even if it is to be left for a moment.
2. Bicycles shall not be locked, secured, or otherwise parked to handrails, fences, trees, trip rails, or to, or in any other location that, in any manner, obscures the free ingress/egress of
any building, stairway, pathway, or in such a manner as to interfere with the access to facilities as required by the U.S. Americans with Disabilities Act.

3. Locking Devices and Methods.
   a. The U-shaped Kryptonite-type bicycle locks appear to be among the best types of locking devices.
   b. When physically possible secure the main frame to the security rack.
   c. If wheels are of the quick-release type, attempt to secure lock through the security rack, the bike frame and the wheel. If necessary, use an additional lock with a long shackle or a cable and lock to secure all the parts together.
   d. If the bicycle is equipped with a quick-release seat adjustment, consider removing the seat and taking it with you.
   e. Never secure a bicycle to an object which can, itself, be disassembled, cut or removed.
   f. Use the bicycle security racks on the inner campus.

E. Enforcement

In order to preserve the intent and the integrity of any policy there must always be a means to ensure compliance. The University's Division of Public Safety, Police department is charged with enforcement action.

1. Parking and securing of Bicycles. Owners or operators of bicycles parked in violation of Para. D., section 2, of this policy will be subject to the following sanctions:
   a. UPPD officers will confiscate the bicycle by removal to their headquarters or by adding a UPPD lock.
   b. A confiscated bicycle will be released upon proof of ownership and the payment of a $5 fee. For a second confiscation in the same academic year (September 1 to August 31) a fee of $15 will apply.
   c. Third and subsequent confiscations in the same academic year will generate a report to the appropriate University authority with a request for sanction(s). A $25 fee will apply.
   d. A pattern of noncompliance extending over multiple academic years will be addressed by the Commissioner of the Division of Public Safety, with those University officials deemed most appropriate to bring about compliance.
   e. When the bicycle is also parked in violation of the Vehicle Code or City Ordinance the officer may, at his/her discretion, issue a Parking Violation Report or a Traffic Citation each of which requires payment of a fine and costs to civil authorities.

2. Operation of Bicycles When/Where Prohibited
   a. Cycles operated in violation of Para. C, sections 1, 2, & 3, of this policy, qualify under the Vehicle Code for issuance of a Traffic Citation.
   b. Violation as in a. immediately above, could also qualify for issuance of a Non-Traffic Criminal Citation under City Ordinances. Only one of these can be issued for the same offense. Normally the Traffic Citation will be used.
   c. In addition, disregard for traffic control devices, operation of the bicycle in such a manner as to be considered reckless, or to reasonably be considered to have caused damage or injury by negligent operation are some of the more common provisions of the Pennsylvania Vehicle Code which will also qualify for the issuance of a Traffic Citation.
   d. All citations require payment of a fine and costs to civil authorities upon conviction.

* Appropriate authorities are:

1. JIO for undergraduate students.
2. Dean of a School for graduate students.
3. Office of the Provost for faculty.
4. Department Director w/copy to Vice President of Human Resources for employees.

(Source: Almanac, October 22, 2002)
Canvassing

Canvassing or solicitation for funds, sales, or subscriptions in University buildings is prohibited unless written permission is granted by the building administrator. Soliciting or selling goods and services in areas of the residential buildings not designated for such purposes is not permitted. Permission to raise funds or conduct sales in designated areas of the campus to support the activities of student groups may be granted by the Office of Student Life Activities and Facilities in accordance with the Campus Vending Policy.
Charter of the University of Pennsylvania Student Disciplinary System

Preamble
In response to increasing concern about sexual assault and its consequences, the U.S. Department of Education, Office for Civil Rights (OCR) issued a new “guidance” document concerning compliance with Title IX of the Education Amendments of 1972. Title IX prohibits discrimination on the basis of sex in educational programs, including sexual misconduct. In this context, the Office of Student Conduct and the Office of the General Counsel, working closely with other University student affairs professionals, prepared amendments to the Charter of the Student Disciplinary System. As required by the Charter, the amendments have been approved by the Council of Deans, the Faculty Senate and the Provost and are in effect.

Changes
The significant points of OCR’s guidance include the following:
• Once a school knows or reasonably should know of possible sexual misconduct, it must take immediate and appropriate action to investigate or otherwise determine what occurred.
• If sexual misconduct has occurred, a school must take prompt and effective steps to end the sexual violence, prevent its recurrence, and address its effects, whether or not the sexual violence is the subject of criminal investigation.
• A school must take steps to protect the complainant as necessary, including interim steps taken prior to the final outcome of the investigation.
• A school must provide a procedure for students to file complaints of sex discrimination, including complaints of sexual misconduct. These procedures must include an equal opportunity for both parties to present witnesses and other evidence and the same appeal rights.
• A school’s procedures must use the preponderance of the evidence standard to resolve complaints of sexual misconduct. [1]

With the guidance in mind, we developed some special procedures for handling sexual misconduct cases and added a section in the Charter describing these. For the full text of these amendments, please refer to Section II.J. of the amended Charter. The amendments also include other minor clean-up revisions, such as correction of scrivener’s errors.

I. The Student Disciplinary System
II. The Disciplinary Process
III. Additional Matters
The Charter of the Student Disciplinary System sets forth the procedures under which alleged violations of the University’s Code of Student Conduct, Code of Academic Integrity, and other policies, rules, and regulations are resolved.

The Code of Student Conduct sets forth the responsibility of all students at the University of Pennsylvania to exhibit responsible behavior regardless of time or place. This responsibility includes, but is not limited to, the obligation to comply with all provisions of the Code of Student Conduct; with all other policies and regulations of the University, its Schools, and its Departments; and with local, state, and federal laws.
The Code of Academic Integrity, and similar codes adopted by some of the University’s Schools, set forth the standards of integrity and honesty that should be adhered to in all student academic activities at the University of Pennsylvania.

Violations of the Code of Academic Integrity or School regulations are also violations of the University’s Code of Student Conduct. Further, violations of local, state, and federal laws may be violations of the Code of Student Conduct. Therefore, throughout the Charter references to violation(s) or alleged violation(s) of the Code of Student Conduct include violations of these other policies and laws.

The University disciplinary process at Penn may involve the following stages:

• Bringing a Complaint to the Office of Student Conduct
• Resolving a Complaint by Mediation
• Investigating a Complaint
• Filing Charges by the University against a Student
• Resolving Charges by Voluntary Agreement to Sanctions
• Resolving Charges by Disciplinary Hearing
• Appealing the Decision of a Hearing Panel
• Imposing Sanctions on a Student
• Fulfilling Sanctions Imposed by the University

Under the University’s Student Disciplinary System, charges are brought on behalf of the University, not on behalf of the complainant(s) who brought the matter to the Office of Student Conduct (OSC) or the party(ies) who may have been directly or indirectly harmed by the alleged violation of University regulations. Therefore, complainants who wish to maintain greater control over their complaints, such as is sometimes appropriate in cases involving serious cultural or communicative differences, or those who wish merely to create a record of their complaint without necessarily beginning a formal disciplinary process, may wish to bring their complaint to other University resource offices, particularly the Office of the Ombudsman, which are equipped to handle cases in this manner. Such offices may, when appropriate and helpful in an individual case, consult with relevant campus communities or other resource offices in the process of resolving a complaint and are able to work closely with both complainants and respondents in resolving such matters. If such efforts fail to arrive at a satisfactory resolution, the complainant still has the option of bringing a complaint to the OSC.

Through the University Honor Council, students play a major role in the Student Disciplinary System by advising the Director of the Office of Student Conduct and the Provost on matters of policy and the operation of the System and by sitting as members of disciplinary hearing panels. Students also serve as advisors and mediators within the System.

The System places great emphasis on the mediation of disputes, as is appropriate in a University community.

I. The Student Disciplinary System

A. Statement of Purpose
The purpose of the Student Disciplinary System is to further the educational mission of the University of Pennsylvania by providing a fair and effective mechanism for investigating and
resolving disputes involving students and alleged violations by students of the University’s rules, regulations, and policies.

**B. Jurisdiction of the Student Disciplinary System**

1. Through the Office of Student Conduct (OSC), the Student Disciplinary System handles complaints from members of the University community—trustees, faculty, staff or registered students—about alleged violations of the Code of Student Conduct, the Code of Academic Integrity, or other University policies. Persons outside the University community may also bring complaints of alleged violations of the Code of Student Conduct and other University policies to OSC. The Director of OSC will make a case-by-case determination of whether it is appropriate to handle such complaints under the Student Disciplinary System. Among other factors, the Director will consider whether the alleged conduct affects a substantial University interest or whether the conduct may present a threat or danger to the community. When OSC undertakes to handle such complaints, the procedures described in this Charter will apply.

2. Except as provided below, the Student Disciplinary System has jurisdiction in all disciplinary matters arising under the regulations of the University against registered students, whether they be undergraduate, graduate or professional students, or others, including students who are on unexpired leaves of absence. Approved or unapproved absence from the University is not a bar to the conduct or completion of disciplinary proceedings under this Charter.

3. In general, a student is any individual who has been admitted, matriculated, enrolled, or registered in any academic program or other educational activity provided by the Trustees of the University of Pennsylvania.

4. The Student Disciplinary System does not handle complaints against graduate and professional students when such cases lie within the jurisdiction of a hearing board or other disciplinary body established by the School of the University in which the student is enrolled. When such a School-based disciplinary procedure exists, it should be the recourse of first resort for the resolution of an alleged violation of University or School regulations, unless the OSC decides, in consultation with the Provost, that it is appropriate in light of the circumstances for the Student Disciplinary System to handle the matter. Schools with such procedures are encouraged to refer disciplinary matters (excluding academic integrity matters) to the University Mediation Program whenever appropriate. When an alleged violation of University regulations by a graduate or professional student is not within the jurisdiction of a disciplinary system established by the student’s School, the Student Disciplinary System will have jurisdiction over the matter.

5. The Student Disciplinary System does not handle alleged violations of the University’s parking regulations.

6. Alleged violations of the University’s Residential Living policies and contracts are ordinarily handled under the procedures of the Department of Residential Living but, if serious enough to warrant sanctions beyond those which the Department of Residential Living is authorized to impose, may be referred by the Director of Residential Living to the OSC. The fact that proceedings have been held and sanctions imposed under Residential Living policies does not preclude proceedings under this Charter.
7. The Director of the Office of Student Conduct decides all questions of jurisdiction of the Student Disciplinary System arising under this Charter, consulting with the Provost (or designee) and with the University’s General Counsel when necessary. When appropriate, the OSC may refer a complaint to another University office or disciplinary process.

C. General Principles of the Disciplinary System

1. The University’s Student Disciplinary System is not a legal system, and University disciplinary proceedings are not civil or criminal litigation. Thus, they operate under different rules, standards, and procedures, and seek to achieve ends different from criminal or civil proceedings.

2. Any member of the University community may bring a complaint about student conduct or academic integrity to the attention of the Office of Student Conduct. Doing so in no way limits a complainant’s rights or obligations to bring such matters to the attention of other University offices, officers, or resources, including the Office of the Ombudsman and appropriate Deans, or to seek recourse outside the University through civil or criminal legal proceedings.

3. In all cases, the University reserves the right to determine how to process a disciplinary complaint. Once a complaint is brought to the attention of the Office of Student Conduct, the OSC, on behalf of the University, will decide how the complaint will be handled, including whether disciplinary charges should be brought against a student.

4. Complainants in sexual misconduct cases have rights and responsibilities similar to respondents under this Charter. In addition, certain special procedures apply in sexual misconduct cases (see section II.J.).

5. Except as otherwise specified in this Charter, when appropriate and if all parties agree, a matter brought to the OSC may be resolved through mediation and will not result in charges or disciplinary hearings. Because of their seriousness within an academic community, alleged violations of the Code of Academic Integrity will not be referred for mediation. Thus, except in academic integrity matters and matters that warrant treatment as serious violations of the Code of Student Conduct or other University policies, the initial response by the OSC may be to refer the complainant and respondent to the University’s Mediation Program. If mediation fails or is inappropriate, the OSC will begin the more formal disciplinary processes outlined in this Charter.

6. All members of the University community are required to cooperate with the Student Disciplinary System. Those individuals who may be interviewed or called as witnesses in a disciplinary matter (including respondents and complainants) are obligated to provide honest and complete statements to the OSC and to the Hearing Panel. While in some circumstances a respondent may choose not to answer questions or provide information because of pending civil claims or criminal charges arising out of the same or other events, the respondent’s decision not to answer questions or provide information will not be a reason to delay or defer an investigation or proceedings under this Charter. A student who fails, without good cause, to appear for a hearing after receiving notice, or to cooperate with the investigation conducted by the OSC, may be charged with a violation of the Code of Student Conduct. Repeated disruption of disciplinary hearings or the disciplinary process by a student or the student’s advisor may result in charges against the student of non-cooperation with the Student Disciplinary System or exclusion of the
student or advisor from disciplinary proceedings, including disciplinary hearings. Such exclusion is not a bar to the completion of disciplinary proceedings involving that student.

D. Organization of the Disciplinary System

1. Office of Student Conduct
The Office of Student Conduct is the central office responsible for resolving alleged violations of University policies by students. The duties of the OSC include determining whether complaints warrant action by the OSC, referring complaints for mediation or resolution by other University offices, investigating complaints, determining whether to charge a student with violations of University policies, resolving complaints by voluntary agreements to sanctions, bringing charges of violations to a disciplinary hearing, presenting evidence at hearings, monitoring and enforcing the fulfillment of sanctions imposed pursuant to voluntary agreements or after disciplinary hearings, maintaining records of all disciplinary matters, providing administrative support for all aspects of the disciplinary process (including hearings), and preparing reports and compiling statistics.

2. University Mediation Program
The University Mediation Program (UMP) may use the volunteer services of faculty, students, and staff members who have been trained in mediation and dispute resolution and may also use resources available in the University’s Law School, in University resource offices such as the Office of the Ombudsman, or outside the University.

3. University Honor Council
   a. The University Honor Council (UHC) provides independent advice to the Provost and the OSC regarding the operation of the Student Disciplinary System in the area of academic integrity and student conduct, the general handling of academic integrity and conduct violations, appropriate sanctions for various types of academic integrity and conduct violations, and the effectiveness and implementation of the University’s Code of Student Conduct and Code of Academic Integrity. Members of the UHC also sit on Disciplinary Hearing Panels. The UHC meets regularly with the Director of the Office of Student Conduct and may also discuss academic integrity and conduct issues with appropriate administrators and student, faculty, or administrative groups or committees. In addition, the UHC initiates and participates in educational programs about academic integrity and student conduct and works to help students understand and respect the academic and behavioral standards of the University community.
   b. The UHC consists of a minimum of 13 undergraduate students, chosen by current members of the UHC. The UHC is encouraged to ensure that nominees represent a broad cross-section of the undergraduate student body. The UHC selects a chair from among its members by a majority vote of the current members. Faculty members and graduate students designated by the Faculty Senate or Graduate and Professional Students Assembly (GAPSA) to sit on Disciplinary Hearing Panels may participate in the work of the UHC if the UHC so desires.

4. Disciplinary Hearing Officer
Every two years, the Provost, after consultation with the UHC, and the chairs of the Faculty Senate, will appoint a tenured member of the Standing Faculty of the University of Pennsylvania as Disciplinary Hearing Officer (DHO), preferably from among those faculty who have experience with the Student Disciplinary System. The DHO (or designee) selects members to serve on Disciplinary Hearing Panels and determines the time, location, etc., of hearings. The DHO presides over all disciplinary hearings held under this Charter. The DHO is responsible for...
overseeing the procedural integrity of disciplinary hearings. The DHO will, for example: consider and resolve pre-hearing challenges to the authority or procedures of a Disciplinary Hearing Panel; rule on all disqualification requests and objections to individual panel members; assist parties to adhere to the basic principles of fairness prior to, during, and subsequent to disciplinary proceedings; and may consult at any time with students, faculty members, the University’s General Counsel or others about procedural issues. The DHO also participates in the training of prospective faculty and student members of Disciplinary Hearing Panels. The DHO serves and may be reappointed at the discretion of the Provost, but his or her removal or reappointment may not occur without prior consultation with the UHC and the chairs of the Faculty Senate.

5. Disciplinary Appellate Officer
Every two years, the Provost, after consultation with the UHC, and the chairs of the Faculty Senate, will appoint a tenured member of the Standing Faculty of the University of Pennsylvania as a Disciplinary Appellate Officer (DAO), preferably from among faculty who have experience with the Student Disciplinary System. The DAO decides appeals of findings and recommended sanctions made by Disciplinary Hearing Panels based on the record of such proceedings and written submissions from the relevant parties. The DAO serves and may be reappointed at the discretion of the Provost, but his or her removal or reappointment may not occur without prior consultation with the UHC, and the chairs of the Faculty Senate.

6. Disciplinary Hearing Panels
a. Disciplinary matters are heard by Disciplinary Hearing Panels of five members each. The Disciplinary Hearing Officer (or designee) randomly selects the undergraduate members of Disciplinary Hearing Panels from the membership of the University Honor Council for hearings involving undergraduate respondents. For hearings involving graduate students, the Disciplinary Hearing Officer (or designee) randomly selects the graduate and professional student members of Hearing Panels from lists of 13 or more graduate and professional students provided annually to the DHO by GAPSA. The Disciplinary Hearing Officer (or designee) randomly selects the faculty members of Hearing Panels from lists of 13 or more faculty provided annually to the DHO by the Faculty Senate Executive Committee. GAPSA and the Faculty Senate Executive Committee are encouraged to ensure that nominees represent a broad cross-section of graduate and professional students and faculty, respectively.

b. In all disciplinary matters, except those involving alleged violations of the Code of Academic Integrity, the Disciplinary Hearing Panel is composed of two faculty members and three students of the same category (undergraduate or graduate) as the respondent. If a disciplinary matter involves both undergraduate and graduate respondents, the panel will include at least one undergraduate and at least one graduate student and two faculty members; the fifth panel member will be an undergraduate or graduate student selected by the DHO.

c. In disciplinary matters involving alleged violations of the Code of Academic Integrity, the Disciplinary Hearing Panel is composed of three faculty members and two students of the same category (undergraduate or graduate) as the respondent. If a disciplinary matter involves both undergraduate and graduate respondents, the panel will consist of one undergraduate student, one graduate student, and three faculty members.
d. Except for participation on the University Honor Council, no one designated to serve on Disciplinary Hearing Panels may serve simultaneously in any other capacity within the Student Disciplinary System.

e. If any nominating body chooses fewer than 13 members to serve on Disciplinary Hearing Panels or cannot make additional members available when needed, the Provost will make the necessary appointments to fill the complement of the appropriate group. If any member is unable to serve for any reason, a replacement is selected in the same manner that the original member was chosen.

f. Student members of Disciplinary Hearing Panels must be in good academic and disciplinary standing, as defined by their Schools. The UHC, as appropriate, by a vote of two-thirds of its members, may remove a member who fails to perform his or her duties. When a member ceases to be in good standing or is removed by the UHC, a replacement from the same category will be chosen in the same manner that the original member was chosen.

7. Advisors
a. Advisors help students involved in disciplinary proceedings to understand the disciplinary process, respect and comply with the provisions of this Charter, and deal with all aspects of the process. Any University faculty member, staff member, or student in good academic and disciplinary standing may serve as an advisor. The OSC maintains lists of individuals who are willing to serve as advisors and who have received training in the operation of the Student Disciplinary System.

b. Upon receiving notice of a complaint and the accompanying list of trained advisors, a respondent may select an advisor from this list or choose any other University faculty member, staff member, or student in good academic and disciplinary standing to advise the respondent during the disciplinary process. If criminal charges are pending against a respondent or, in the judgment of the Office of the University’s General Counsel, are reasonably in prospect, the respondent’s advisor may be an attorney who is not a member of the University community. In such instances, the attorney will be expected to observe the procedures of this Charter and comply fully and promptly with decisions of the DHO or other University officials or bodies charged with the administration of this Charter in the same manner expected of members of the University community.

c. An advisor may accompany any complainant, witness, or respondent to, and may participate in, any meeting regarding a disciplinary complaint. Advisors also may accompany complainants, respondents, and witnesses to hearings, but generally may not participate directly in such hearings (except as provided in section II.F.4.f and g. below). Advisors may, however, quietly provide advice during the hearing and may also make a brief statement at the conclusion of the hearing, before the panel begins its deliberations.

d. Any advisor who fails to observe the procedures of this Charter or comply fully and promptly with decisions of the DHO may, after appropriate warning, be disqualified by the DHO from continuing to serve. In the event of such disqualification, the hearing may proceed whether or not a replacement advisor is available or it may be rescheduled at the sole discretion of the DHO. Any person disqualified from serving as an advisor will be ineligible to serve as an advisor for a period of two years. Repeated disruption of disciplinary hearings or the disciplinary process by an advisor may result in charges against the advisee of non-cooperation with the Student
II. The Student Process

A. Bringing a Complaint to the Office of Student Conduct
1. Any member of the University community, who believes that a student has violated University rules, regulations or policies may file a complaint, which must be in writing, with the OSC. Students, faculty, staff members and trustees also may consult informally with the OSC staff to determine whether they wish to file a complaint. Others should consult with the Director about whether they may file a complaint under the Student Disciplinary System. Complaints made to other University offices or personnel also may be referred to the OSC. A complaint asks the OSC to consider the matter for possible referral or investigation.

2. The OSC promptly evaluates each complaint it receives to determine whether the University’s Code of Student Conduct, Code of Academic Integrity, or other applicable rules, regulations or policies may have been violated. When the OSC determines that no such violation may have occurred, it may dismiss the matter without further investigation, or it may refer the parties to the University Mediation Program or elsewhere to resolve their dispute. When the OSC determines that a violation may have occurred, it may refer the matter for mediation or undertake an investigation that may lead to the filing of formal charges against a student or students.

3. A complaint is not a charge that a student has violated University regulations. Charges against a student are only made by the University (not by complainants) following an investigation. Until there is a determination to the contrary by voluntary agreement to sanctions or by a Disciplinary Hearing Panel, there is a presumption that an accused student has not violated University rules, regulations, or policies.

4. When a complaint is filed, the OSC promptly gives written notice of the complaint and its allegations to the student(s) alleged to have violated University rules. A copy of the Charter will be included with the notice, as well as a list of potential advisors who have received training from the OSC.

B. Resolving a Complaint by Mediation
1. The University encourages informal mediation whenever practical and appropriate. If the parties agree, at any time the OSC may refer any disciplinary matter other than an alleged violation of the Code of Academic Integrity to the University Mediation Program (UMP) or other resources for mediation. Members of the University community may also contact the University Mediation Program directly.

2. It is within the sole discretion of the OSC to determine whether a disciplinary complaint is suitable for mediation. If mediation fails or new information comes to light about an unresolved matter then in mediation, the OSC may proceed with an investigation and the filing of disciplinary charges. The OSC may also set a date after which it will begin to investigate the original complaint or file charges if a matter has not been successfully mediated.

3. If the OSC refers a complaint for mediation and both parties to the dispute agree to participate, the UMP will assign a trained mediator and advise the complainant(s) and respondent(s) in advance of the date, time and place set for mediation. In order to resolve a disciplinary matter by
mediation, both the complainant and the respondent must agree, first, to participate in the mediation and, second, to the proposed resolution.

4. If a student fails to comply with the terms of a mediation agreement, the OSC may take steps to enforce the agreement (including use of a Disciplinary Hold or the filing of new charges under the Code of Student Conduct) or may investigate the original complaint and bring disciplinary charges under this Charter.

C. Investigating a Complaint
1. If, after a preliminary evaluation of a complaint, the OSC determines that a violation of the Code of Student Conduct may have occurred and if the complaint is inappropriate for mediation or mediation fails, the OSC then will investigate the complaint and determine whether to bring charges of a violation.

2. In the course of its investigation, the OSC may interview any witnesses, including the respondent(s) or potential respondent(s). The OSC will inform each witness that anything they say in such interviews may be introduced as evidence at a hearing.

3. Except in extraordinary circumstances, or if the complainant makes a request of the OSC to delay the investigation based on good cause, the OSC will make every effort to complete its investigation within 60 days of the filing of the complaint.

D. Filing Charges by the University Against a Student
In light of its investigation of a complaint, the OSC may file charges against a student(s) of a violation(s) of the University’s Code of Student Conduct, Code of Academic Integrity, or other University rules, regulations, or policies. The OSC also may add charges beyond the scope of the original complaint, may add additional students as respondents, or may dismiss the original complaint as unfounded. If the OSC decides to charge a student with a violation of University regulations, the OSC must inform the respondent(s) of the charges in writing, identifying the University rules, regulations, or policies alleged to have been violated. The OSC will inform both respondent(s) and complainant(s) whether charges have been filed.

E. Resolving Charges by Voluntary Agreement to Sanctions
1. Following the notice that charges have been filed against a student, the OSC may discuss with the respondent and the respondent’s advisor what disciplinary sanction(s) would be appropriate to resolve the matter by voluntary agreement to sanctions. The respondent may accept, reject, or propose an alternative to the proposed sanction(s) and may be accompanied and assisted by an advisor, who may participate in these discussions. Statements made during discussions about whether a respondent will enter into a voluntary agreement to sanctions may not be introduced as evidence at any subsequent hearing, but may provide a basis for further investigation by the OSC.

2. A resolution by voluntary agreement to sanctions may be entered into by written agreement at any time after a complaint has been filed and prior to a disciplinary hearing. All sanctions allowed under this Charter are available to the OSC as part of a resolution by voluntary agreement to sanctions. By agreeing to such a resolution, a respondent waives further proceedings under this Charter.

3. Complainants and complainants’ advisors are not parties to voluntary agreements to sanctions.
4. If, in the judgment of the OSC, a voluntary agreement to sanctions is not reasonably in prospect, or if the respondent(s) reject(s) a proposed sanction, the OSC may bring the disciplinary matter to a hearing.

F. Resolving Charges by Disciplinary Hearing

1. Scheduling Disciplinary Hearings

a. If disciplinary charges are not resolved by a voluntary agreement to sanctions, the Disciplinary Hearing Officer (or designee) promptly begins the process of scheduling the Disciplinary Hearing, with due regard for the time required for all parties to prepare for the hearing. The DHO will provide reasonable advance notice in writing to the complainant(s), respondent(s), and witnesses of the date, time, and place of the hearing and of the names of the panel members assigned to hear the disciplinary matter.

b. Hearings normally take place as soon as possible after the filing of charges, ordinarily within 30 days of the respondent’s request for a hearing or OSC’s decision to bring the matter to a hearing. Upon a showing of good cause by a party, the DHO may grant a reasonable extension of any time limit relating to a disciplinary hearing set forth in the Charter.

c. The DHO may expedite a Disciplinary Hearing in appropriate circumstances, including disciplinary matters involving students who have been placed on mandatory temporary leave of absence or conditional attendance, graduating students, or students who are about to take a leave of absence or to leave campus to study elsewhere.

2. Disqualification of Hearing Panel Members

a. Members of the Hearing Panel selected by the DHO (or designee) should disqualify themselves from hearing a disciplinary matter if they believe in good faith that their capacity for making an objective judgment in the disciplinary matter is, or may reasonably appear to be, impaired. Members should not disqualify themselves for any other reason.

b. The respondent(s) or the OSC may object for specific cause to any panel member selected by the DHO. The objection must be in writing and must be received by the DHO at least 48 hours in advance of the date and time set for the hearing.

c. The DHO will rule upon all disqualification requests and objections to panel members. If the DHO decides that a challenge is valid, or if there is a voluntary disqualification, the DHO, after notifying the respondent(s) and the OSC, will replace the disqualified member with another panel member randomly selected from the same category.

3. Pre-Hearing Exchanges and Testimony

a. Within a reasonable time before the hearing or any other time frame specified by the DHO, the OSC and the respondent(s) will exchange among themselves and with the DHO copies of all exhibits to be presented, the names of witnesses to be called, and a brief summary of the substance of testimony expected to be presented to the Hearing Panel.

b. When the DHO believes that it will contribute to the expedition and fairness of a Disciplinary Hearing, he or she may (but need not) ask the OSC to prepare a written statement of its case against the respondent(s) and give the respondent(s) a reasonable opportunity to prepare a written response. The OSC and the respondent(s) may also submit statements at their own
initiative. The statements and any accompanying exhibits may be considered by the Hearing Panel, in addition to testimony, arguments, or evidence presented at the actual hearing.

c. In exceptional circumstances, when a witness or exhibit does not become known or available until immediately before the hearing, the DHO may, at her or his discretion, permit the evidence to be presented or may reschedule the hearing to a later time.

d. If a respondent or the OSC anticipates that a key witness will be unavailable for a hearing, they may ask the DHO to preserve the testimony of the witness on tape and present it as evidence at the hearing. The OSC and the respondent(s) must be notified in advance of the date, time and place of the taping. All parties who would be permitted to question such a witness at a hearing may question the witness at the taping.

4. Conduct of Hearings

a. Disciplinary hearings are not trials, and they are not constrained by technical rules of procedure, evidence, or judicial formality. They are designed to encourage open discussion among the participants that promotes the Hearing Panel’s understanding of the facts, the individuals involved, the circumstances under which the incident occurred, the nature of the conduct, and the attitudes and experience of those involved. The rules of evidence applicable to legal proceedings do not apply to disciplinary hearings. Information, including hearsay evidence, may be considered if it is relevant, not unduly repetitious, and the sort of information on which responsible persons are accustomed to rely in the conduct of serious affairs.

b. The DHO presides over all hearings and decides all questions about the admissibility of evidence and the conduct of hearings. While the DHO may be present for the Hearing Panel’s discussions to answer procedural questions, the DHO does not deliberate or vote with the Panel regarding its findings or its recommendation of sanctions.

c. Disciplinary hearings are held in private unless the respondent(s) and the complainant(s) agree in writing to an open hearing. The DHO may limit attendance at a hearing to ensure fair and orderly proceedings. If a hearing is opened in accord with this procedure, the DHO may, when necessary to maintain order or to protect the rights of participants, declare the hearing closed to the public. In a case involving important privacy interests, the DHO may close a hearing or part of a hearing that has been opened upon determining that the privacy rights of a participant may be jeopardized.

d. Upon a showing that the required notice was provided, the hearing against a respondent(s) may proceed in her or his absence.

e. At the hearing, the OSC presents the results of the OSC’s investigation of the complaint, calls witnesses to testify and presents the University’s evidence against the student(s). Members of the Hearing Panel may also call witnesses to testify and may question any witness appearing before it. Respondents may also call witnesses to testify and ask questions of all witnesses.

f. A respondent is responsible for presenting his or her own case before the Hearing Panel. However, at the discretion of the DHO, the respondent’s advisor may be permitted to question witnesses on behalf of a respondent or to address the Hearing Panel. The DHO’s exercise of discretion in this matter will be guided by the principles that govern disciplinary hearings,
specifically fairness, the need for orderly procedures, and the Hearing Panel’s duty to understand the facts and parties in the disciplinary matter.

g. Complainants may attend the hearing, testify if they wish to do so, and may be accompanied by an advisor. Except as described in section II.J. of this Charter, neither complainants nor their advisors may call witnesses or present evidence or arguments.

h. At the conclusion of the hearing, the OSC and the respondent(s) or their advisor(s) may make brief statements. At the discretion of the Disciplinary Hearing Officer, the complainant(s) or their advisor(s) may be permitted to make a brief statement. The time allowed for such statements will be set by the DHO.

i. The OSC will arrange for a verbatim transcript or recording to be made of all disciplinary hearings. The transcript or recording is the property of the University of Pennsylvania and becomes part of the record of the disciplinary proceedings.

5. Findings and Recommendations of the Hearing Panel

a. Only evidence presented at the hearing will be considered by the Hearing Panel. The Hearing Panel will presume a respondent innocent unless proven responsible for a violation by clear and convincing evidence. All decisions of the Hearing Panel require a majority vote.

b. Following the hearing, the members of the Hearing Panel meet to discuss in private their findings, which consist of two parts: 1) a determination of whether the respondent is responsible for any violation; and 2) if so, a recommendation of sanction(s).

c. The OSC may recommend to the Hearing Panel a sanction to be imposed if the Hearing Panel finds the respondent(s) responsible for a violation. The respondent(s) may respond to the OSC’s proposed sanction(s). Before the Hearing Panel makes its recommendation on sanctions, it will review any previous disciplinary offenses by and sanctions against the respondent(s) and sanctions imposed in other similar cases.

d. If the Hearing Panel determines that the respondent(s) is not responsible for a violation, no sanction may be recommended against the respondent(s) and the respondent may not be subject to further proceedings under this Charter on the same charge(s).

e. If the Hearing Panel finds that a student is responsible for a violation of University rules or regulations, it will recommend to the Provost appropriate sanctions. Only the Provost (or designee), acting on behalf of the University, may actually impose a sanction on a student. The Provost (or designee) will not impose a sanction until after any appeal of the Hearing Panel’s decision has been decided by the DAO.

6. Notice of Hearing Panel Decision

The Hearing Panel will promptly transmit its decision, including its findings and recommendation regarding sanctions, in writing to the DHO, the OSC, the respondent(s) and the Provost as soon as possible after the end of the hearing.

G. Appealing a Hearing Panel’s Decision
1. The Disciplinary Appellate Officer (DAO) has exclusive jurisdiction to decide appeals. Appeals are based solely on the record of the disciplinary hearing and the written submissions and responses of the respondent(s) and the OSC.

2. Only respondent(s) may appeal the Hearing Panel’s findings of responsibility except where applicable laws or regulations may extend this right to complainants. Both the respondent(s) and the OSC may appeal the Hearing Panel’s recommendation of sanction(s). An appellant must submit any appeal to the DAO in writing within 10 days after the Hearing Panel has rendered its opinion. The appeal must state in detail the specific grounds upon which it is based and must be sent to the OSC and respondent(s), as appropriate.

3. When the appeal is received, the OSC provides the DAO with a copy of the respondent’s charge letter, a copy of the Hearing Panel’s findings, a verbatim transcript or tape recording of the Disciplinary Hearing, and any exhibits considered by the panel in reaching its recommendations. A response to an appeal must be in writing and must be submitted to the DAO within 10 days from the date the appeal is filed.

4. Appellate review is limited to allegations of material and prejudicial procedural error in the conduct of hearings, error in the interpretation or application of relevant University regulations, consideration of new evidence sufficient to alter the Hearing Panel’s findings or severity of the recommended sanctions. If the DAO finds sufficient basis, he or she may reverse or modify the Hearing Panel’s findings or proposed sanctions, or may remand the disciplinary matter for further investigation by the OSC or a new hearing before a new Hearing Panel. However, the DAO may not recommend a more severe sanction(s) unless the OSC has appealed the sanction(s) recommended by the Hearing Panel.

5. After considering an appeal, the Disciplinary Appellate Officer will promptly issue his or her decision in writing and will provide copies to the OSC, the DHO, the Provost, the respondent(s) and other appropriate parties.

H. Imposing Sanctions on a Student
1. Sanctions recommended against a respondent by a Hearing Panel or the DAO are imposed by the Provost (or designee) and may include any reasonable sanction, including, but not limited to, the following:

- **Warning**: A Warning is a written admonition given by the OSC on behalf of the University in instances of minor misconduct.
- **Reprimand**: A Reprimand is written censure for violation of the University’s rules, regulations, or policies, given by the OSC on behalf of the University, which includes notice to the student that continued or repeated conduct violations will result in the imposition of more serious sanctions.
- **Fine**: A monetary Fine may be levied as a disciplinary sanction and is payable to the Trustees of the University of Pennsylvania. (Not appropriate in cases of academic integrity violations.)
- **Restitution**: Restitution is reimbursement for the damage, loss, or misappropriation of University, private or public property or compensation for injury to individuals. Restitution may take the form of monetary payment, property, or appropriate service. (Not appropriate in cases of academic integrity violations.)
- **Disciplinary Probation**: Disciplinary Probation may be imposed for a specified period or indefinitely (i.e., for as long as and whenever a student is a full- or part-time student at the University of Pennsylvania). Probation may be imposed for a single instance of misconduct or for repeated minor misconduct. Any future conduct or academic integrity violation by a student on Disciplinary Probation,
found to have occurred during the probationary period, may be grounds for suspension or, in especially serious instances, expulsion from the University.

- **Withdrawal of Privileges**: Withdrawal of Privileges is the denial of specified privileges or the ability to participate in specified activities for a designated period of time.

- **Suspension**: Suspension is the termination of student status and separation from the University until a specified date. Suspension means the loss of all rights and privileges normally accompanying student status. While on disciplinary suspension, students may not obtain academic credit at the University or elsewhere toward completion of a University of Pennsylvania degree. Students are eligible to return to the University after the specified suspension term has elapsed. Suspension is imposed in instances of serious misconduct; it is generally the minimum sanction imposed for a violation of the Code of Academic Integrity.

- **Indefinite Suspension**: An Indefinite Suspension is termination of student status and separation from the University for an unspecified period, without an automatic right of return to the University as a student (though specific conditions for return as a student may be specified). When the conditions of an Indefinite Suspension have been fulfilled, the student must make a formal request, as specified in the conditions, to return to student status. Indefinite suspension is imposed in instances of extremely serious misconduct or in instances of continued serious misconduct following the imposition of probation or suspension for a specified period.

- **Expulsion**: Expulsion is a permanent termination of student status and permanent separation from the University of Pennsylvania. Expulsion is imposed in instances of the most serious misconduct or in instances of continued serious misconduct following the imposition of probation or suspension.

2. In addition to the sanctions defined above, students may be required to perform a designated number of hours of University or other community service or to utilize University or other educational or counseling services related to the nature of the misconduct.

3. Sanctions may be imposed alone or in combination with other sanctions. The Disciplinary Hearing Panel or the DAO may recommend whether the sanctions should appear on the transcript of a respondent and if so, for how long.

4. After the imposition of sanctions, a faculty member involved in an academic integrity matter will be informed of the outcome of the disciplinary proceedings. If the student has been found not to be responsible for an academic integrity violation, the instructor should assign a grade (which may differ from the grade originally assigned) based on the student’s academic performance in the course. If the student has been found responsible for an academic integrity violation, the instructor may assign any grade the instructor deems appropriate. In the event that the student believes the final grade is unfair or fails to take account of the outcome of the disciplinary proceeding, the student may appeal the grade through the existing academic grievance procedure for the evaluation of academic work established by each School and academic department.

I. Fulfilling Sanctions Imposed by the University

1. Under the Code of Student Conduct, students are required to comply with all disciplinary sanctions. Failure to do so constitutes a violation of the Code and is itself subject to disciplinary proceedings by the OSC.

2. The OSC monitors the implementation and fulfillment of sanctions. In performing this duty, the OSC will have the cooperation of the Division of University Life, the respondent’s Dean, and other appropriate University offices. No sanction will be enforced while an appeal is pending.
J. Special Procedures for Sexual Misconduct Cases

In sexual misconduct and other sex discrimination cases, the OSC will follow applicable federal law, including Title IX of the Higher Education Amendments of 1972, as amended. The complainants in sexual misconduct cases have rights and responsibilities similar to the respondents under this Charter. The time frames set for respondents also apply to complainants and when notice is required to be provided to the respondent, similar notice will be provided to the complainant.

1. Specified Rights of Complainants in Sexual Misconduct Cases

The complainant will have an opportunity to participate in the entire disciplinary process, including the opportunity to provide information and witnesses during the investigation to participate in the preliminary exchange of information, to attend the disciplinary hearing, and to present evidence and witnesses at the hearing.

The complainant will have an opportunity equal to the respondent to have others present during meetings and at the disciplinary hearing.

The complainant will be informed of the outcome of his or her complaint and any appeal.

2. Investigation and Pre-Hearing Stages

a. An OSC staff member will ordinarily meet with the complainant to hear or clarify his or her account of the incident and to review the disciplinary process. To initiate a formal complaint, the complainant must submit a written complaint.

b. OSC will make every effort to complete its investigation within 60 days from the filing of a formal complaint. In extraordinary cases, such as when the gathering of information is completely under the control of law enforcement, OSC’s investigation may be delayed. In the event of such delay, OSC will advise the complainant of the reason for the delay. An investigation may also be delayed upon the complainant’s request based on good cause.

c. During the investigation, and until resolution of the matter, interim restrictions, including restrictions on contact between the complainant and the respondent, may be imposed by OSC. Nothing in this Charter precludes other University officials from taking appropriate interim measures before a disciplinary matter is resolved.

d. The complainant will be notified of the outcome of the investigation. Further, if there is a voluntary agreement to sanctions, the complainant will be informed of the provisions of the agreement that directly relate to the complainant.

e. Subject to any Family Educational Rights and Privacy Act (FERPA) limitations, the complainant will have a similar opportunity as the respondent to review evidence to be presented at the hearing.

3. Disciplinary Hearings

a. The complainant will have a similar opportunity as the respondent to object to panel members for cause. In addition, the complainant will have an equal opportunity to prepare a written statement in advance of the hearing and to respond to any written statement prepared by the respondent or OSC before the hearing.

b. The complainant’s advisor (who must be a member of the University community) may participate in a hearing to the same extent as the respondent’s advisor. At the discretion of the DHO, a complainant’s advisor may be permitted to question witnesses.
c. Alternative testimony options will be offered to complainants, such as placing a privacy screen in the hearing room or allowing the complainant to testify from another room via closed circuit television. Generally, questions between the complainant and the respondent will be relayed through the DHO, but if both agree, they can address each other directly. The DHO reserves the right to exclude questions he/she deems irrelevant or duplicative.

d. The complainant may call witnesses (including character witnesses) at the hearing, ask questions of all witnesses, and present evidence.

e. The hearing panel will presume the respondent not responsible unless proven responsible by a preponderance of the evidence.

f. The complainant may respond to the proposed sanctions OSC submits to the hearing panel.

4. Appeal of a Hearing Panel Decision

a. The complainant may appeal the hearing panel’s findings and/or recommended sanctions. In addition, the complainant may respond to an appeal by the respondent or OSC.

b. The complainant will be provided with written notice of the outcome of the appeal at the same time as the respondent.

III. Additional Matters

A. Administration of the Disciplinary System

1. The Provost is responsible for implementation of this Charter, administrative oversight of the Student Disciplinary System, including the OSC, and ensuring that the Student Disciplinary System functions fairly and in furtherance of the educational mission of the University. The Provost may instruct the OSC regarding the handling of specific cases, but he or she may not so instruct the DHO, the DAO, or the members of Disciplinary Hearing Panels.

2. When circumstances warrant, the OSC may take such administrative steps as may be necessary and feasible to effect the prompt resolution of a disciplinary matter, including, but not limited to, tape recording the testimony of witnesses who may be unavailable at the time of hearing, making special arrangements to ensure the attendance of complainants, respondents, witnesses, or other participants at a hearing and scheduling hearings outside of the normal academic year.

3. In any disciplinary matter in which a member of the Student Disciplinary System cannot perform her or his duties under this Charter, an alternate may be designated by the Provost using the procedures appropriate to that individual’s position in the system. In addition, when the Provost determines that circumstances warrant, such as (but not limited to) when a conflict of interest or a particularly complex or controversial disciplinary matter arises, the Provost may appoint a special OSC staff member, a special Disciplinary Hearing Officer, or a special Disciplinary Appellate Officer using the procedures appropriate to the position.

B. Reports to the University Community

1. Subject to the limitations imposed by law and the University’s policies on the confidentiality of student records and information, the OSC and the University Honor Council, in consultation with the Provost, will make periodic reports to inform the University community about the
character and extent of the work of the Disciplinary System, including the nature of violations of University rules and regulations and the sanctions imposed. The reports of the OSC will deal both with disciplinary matters that go to hearing and with disciplinary matters that are resolved before hearing, and will include such information as the total number of disciplinary matters handled during the preceding year broken down by type of resolution (e.g., mediation, voluntary agreement to sanctions, hearing, etc.), by type of violation, by type of sanction(s) imposed, by whether or not the respondent(s) were found responsible for a violation, and so forth.

2. With the approval of the Provost, the OSC may also make extraordinary reports to the University community concerning the outcome of certain exceptional disciplinary matters, subject to the limitations imposed by law and the University’s policies on the confidentiality of student records and information.

C. Disciplinary Holds
At any time after the filing of a complaint, the OSC, after consulting with the student’s academic dean, may place a “Disciplinary Hold” on the academic and/or financial records of any student for the purpose of preserving the status quo pending the outcome of proceedings, enforcing a disciplinary sanction, or ensuring cooperation with the Student Disciplinary System. A Disciplinary Hold may prevent, among other things, registration, the release of transcripts, and the awarding of a degree.

D. Mandatory Leave of Absence and Conditional Attendance
In extraordinary circumstances, when a student’s presence on campus is deemed by the University to be a threat to order, health, safety, or the conduct of the University’s educational mission, the Provost (or designee), in consultation with the student’s Dean or Associate Dean, may place the student on a mandatory temporary leave of absence or impose conditions upon the student’s continued attendance, pending a hearing of disciplinary charges. When reasonably possible, the student will be provided with an opportunity to be heard before a decision is made by the Provost (or designee) to impose a mandatory temporary leave of absence or conditions on the student’s attendance. At the respondent’s request, and where feasible, the OSC may expedite the investigation of a complaint and the disciplinary hearing against a student placed on a mandatory temporary leave of absence or conditional attendance.

E. Civil or Criminal Proceedings
The University may proceed with disciplinary proceedings against a student under this Charter regardless of possible or pending civil claims or criminal charges arising out of the same or other events. The OSC, with the concurrence of the Provost and after consultation with the University’s General Counsel, will determine whether to proceed with charges against a student who also faces related charges in a civil or criminal tribunal. If the University defers proceeding with disciplinary charges against a student in light of related charges in a civil or criminal tribunal, the University may at any subsequent time proceed with disciplinary proceedings against that student under this Charter irrespective of the time provisions set forth in this Charter.

F. Disciplinary Records
1. Maintenance of Records
Except as may be otherwise provided by applicable law, records of all complaints, disciplinary proceedings, mediations, and voluntary agreements to sanctions are maintained by the OSC in accordance with the University’s Protocols for the University Archives and Records Center and University policies on the confidentiality and maintenance of student records.
2. **Confidentiality**
Except as may be otherwise provided by applicable law, all disciplinary proceedings, the identity of individuals involved in particular disciplinary matters, and all disciplinary files, testimony, and findings are confidential, in accordance with University policies and federal law concerning the confidentiality of student records. However, no provision of this Charter or the University’s policies on confidentiality shall be interpreted as preventing a student from seeking legal advice.

3. **Policy Violation of Confidentiality**
Failure to observe the requirement of confidentiality of a disciplinary hearing by any member of the University community, other than the respondent, constitutes a violation of University rules and may subject the individual to the appropriate procedures for dealing with such violations. The respondent may disclose confidential information pertaining to him- or herself but may not violate the confidentiality of others. If the respondent discloses, causes to be disclosed, or participates in the disclosure of information that is confidential, any person whose character or integrity might reasonably be questioned as a result of such disclosure shall have the right to respond in an appropriate forum, limited to the subject matter of the initial disclosure.

G. **Release of Information on Disciplinary Proceedings**
1. To provide students involved in disciplinary matters with appropriate liaison with their School offices in regard to their academic work, the Dean or appropriate Associate Dean of the School(s) of the respondent(s) will be confidentially informed when a complaint is filed, when a sanction is imposed, or when a disciplinary complaint is otherwise resolved by the Student Disciplinary System. When a sanction is imposed, the Director of Career Planning and Placement may be informed by the OSC if the sanction(s) is reportable outside the University. When a transcript notation is required as part of a sanction, the University Registrar is also informed and required to implement the sanction as directed by the OSC on behalf of the Provost.

2. As required by law, in disciplinary matters involving allegations of sexual offenses, the complainant(s) will be informed of the outcome of the proceeding, including voluntary agreement to sanctions.

H. **Reportability of Sanctions**
1. Subject to applicable law and the University’s policies on the confidentiality of student records and information, any disciplinary sanction may be reportable outside the University of Pennsylvania, subject to specific policies governing the reporting of sanctions adopted by the Council of Undergraduate Deans for undergraduate students and the Council of Graduate Deans for graduate and professional students.

2. Resolution of disciplinary charges by voluntary agreement to sanctions is treated like a finding of responsibility and is reportable in the same manner as sanctions imposed following a Disciplinary Hearing.

I. **Amendment of the Charter**
Amendments to this Charter may be recommended by the UHC, OSC, University Council, Faculty Senate Executive Committee, or other appropriate members of the University community and proposed by the Provost. Amendments take effect upon the approval of the Council of Deans, except that the Council of Deans may at its discretion refer proposed amendments to the Deans and faculties of the individual Schools for approval.
Classroom Guidelines

No Eating, Drinking or Smoking

Based on recommendations that were made by the Classroom Facilities Review Committee in their report on February 11, 1992 (Almanac, March 17, 1992), we are currently upgrading the conditions of the central-pool classrooms throughout the University. That report also underscored the need for the University Community to adhere to University guidelines that encourage everyone NOT to eat, drink or smoke in a University classroom.

Faculty and teaching assistants should take responsibility for the classrooms in which they teach. This responsibility includes:

- making sure that food and drink never enter the classroom;
- not allowing anyone to smoke in the classroom;
- seeing that students remove any personal items they bring into the classroom; and
- reporting to the building administrator any classroom in need of maintenance, housekeeping, or equipment repairs.

Classrooms can only be maintained at an acceptable level if the above guidelines are maintained and enforced.

(Source: Almanac, September 8, 1992)
Closed Circuit Television Monitoring and Recording of Public Areas for Safety and Security Purposes

I. Purpose

The purpose of this policy is to regulate the use of closed circuit television (CCTV) cameras to monitor and record public areas for the purposes of safety and security.

II. Scope

This policy applies to all personnel, UPHS, schools and centers of the University, in the use of CCTV monitoring and recording. Legitimate uses of this technology related to research are covered by University policies governing research with human subjects and, therefore, excluded from this policy.

III. General Principles

A. The Division of Public Safety is committed to enhancing the quality of life of the campus community by integrating the best practices of public and private policing with state-of-the-art technology. A critical component of a comprehensive security plan using state-of-the-art technology is closed circuit television (CCTV).

B. The purpose of CCTV monitoring of public areas by security personnel is to deter crime and to assist the Penn Police in protecting the safety and property of the University community. Any diversion of security technologies and personnel for other purposes (e.g., CCTV monitoring of political or religious activities, or employee and/or student evaluations) would undermine the acceptability of these resources for critical safety goals and is therefore prohibited by this policy.

C. Video monitoring for security purposes will be conducted in a professional, ethical and legal manner. Personnel involved in video monitoring will be appropriately trained and continuously supervised in the responsible use of this technology. Violations of the Code of Procedures for video monitoring referenced in this policy will result in disciplinary action consistent with the rules and regulations governing employees of the University.

D. Information obtained through video monitoring will be used exclusively for security and law enforcement purposes. Information obtained through video monitoring will only be released when authorized by the Vice President of Public Safety according to the procedures established in this policy.

E. Video monitoring of public areas for security purposes will be conducted in a manner consistent with all existing University policies, including the Non-Discrimination Policy, the Sexual Harassment Policy, Open Expression Guidelines and other relevant policies. The code of practice for video monitoring prohibits monitoring based on the characteristics and classifications contained in the Non-Discrimination Policy (e.g., race, gender, sexual orientation, national origin, disability, etc.)
F. Video monitoring of public areas for security purposes at the University is limited to uses that do not violate the reasonable expectation to privacy as defined by law.

G. To maintain an informed University community, the Division of Public Safety will periodically disseminate written materials describing the purpose and location of CCTV monitoring and the guidelines for its use. The location of outdoor CCTV cameras monitored by the Division of Public safety will be published in Almanac.

H. Information obtained in violation of this policy may not be used in a disciplinary proceeding against a member of the University faculty, staff or student body.

I. All existing uses of video monitoring and recording must comply with this policy.

IV. Responsibilities

A. The Division of Public Safety is the department authorized to oversee and coordinate the use of CCTV monitoring for safety and security purposes at the University. All University areas using CCTV monitoring are responsible for implementing this policy in their respective operations. Public Safety has primary responsibility for disseminating the policy and assisting other units in implementing the policy and procedures.

B. The Vice President of Public Safety has the responsibility to authorize all CCTV monitoring for safety and security purposes at the University. All new installations will follow the Division of Public Safety operating principles. All existing CCTV monitoring systems will be evaluated for compliance with this policy.

C. The Division of Public Safety will monitor new developments in the relevant law and in security industry practices to ensure that CCTV monitoring at the University is consistent with the highest standards and protections.

D. A CCTV Monitoring Committee will be established to assure that the Division of Public Safety adheres to established policy and procedure in the use of CCTV and to review camera locations and request for release of recorded video images.

1. The CCTV Monitoring Committee will consist of seven members who will serve for a term of one year.

The Chairperson of the University Council’s Committee on Campus & Community Life or his/her designee will serve as chair.

Two faculty members appointed by the Chair of the Faculty Senate
One member appointed by the President
One student member
One staff member
Representative of the Office of Audit & Compliance & Privacy

An individual may appeal an adverse decision by the CCTV Monitoring Committee through existing University appeal mechanisms such as the Committee on Open Expression or the University Ombudsman.

2. The CCTV Monitoring Committee will review camera locations to ensure the perimeter of view of public cameras conforms to this policy.

The proposed location of permanent CCTV cameras will be provided to the CCTV Monitoring Committee for review and published in the Almanac before installation. A list of all University-owned or controlled camera locations will be published semi-annually in Almanac and made available by the Division of Public Safety to anyone requesting the list.

The locations of temporary cameras to be used for special events will be reviewed by the CCTV Monitoring Committee for approval and published in Almanac before the event if possible.

(Note: “Temporary cameras”—does not include mobile video equipment or hidden surveillance cameras used for criminal investigations.)

Included with the list of CCTV camera locations will be a general description of the technology employed and the capabilities of the cameras.

Students and staff entering certain sensitive locations on campus may have an increased concern for privacy or confidentiality. In order to prevent a possible chilling effect on the use of service at these locations, concerned persons may petition the CCTV Monitoring Committee to forgo the installation of a proposed camera or for the removal of an existing camera. The CCTV Monitoring Committee will determine the appropriateness of an installation weighing the concerns of the person(s) making the requests and the safety and security of the entire community.

In recognizing students may also have an enhanced expectation of privacy in the hallways and lounges of residence facilities, CCTV monitoring for safety and security purposes will not be used in residential hallways and lounges unless the Vice President of Public Safety determines a specific safety/security risk exists.

The CCTV Monitoring Committee will review complaints regarding camera locations and determine whether the CCTV Monitoring Policy is being followed. The panel should weigh whether the potential increment in community security outweighs any likely infringement of individual privacy.

3. The CCTV Monitoring Committee, with the Vice President of Public Safety, will review all requests received by the Division of Public Safety to release recorded video images obtained through CCTV monitoring. No releases of recorded video images will occur without authorization by the Vice President...
and the CCTV Monitoring Committee. Excluded from review by the CCTV Monitoring Committee are releases of recorded video images directly related to a criminal investigation, arrest or subpoena. The CCTV Monitoring Committee may also approve release of recorded video images only for legitimate purposes, such as to protect the University and its members from harm or liability. Five affirmative votes are necessary to approve the release of recorded video images. Any release of recorded video images will be recorded on a written log.

4. Any member of the CCTV Monitoring Committee may audit the Division of Public Safety’s CCTV monitoring operations, including video storage, at any time without prior notice.

5. The Chair of University Council’s Committee on Campus & Community Life will report to the CCTV Monitoring Committee at least once a year describing all requests for camera locations and release of recorded video images and disposition of those requests.

6. The CCTV Monitoring Committee will review this policy annually and recommend revisions if needed.

V. Procedures

A. All operators and supervisors involved in video monitoring of public areas will perform their duties in accordance with the Code of Practice consistent with this policy developed by the Division of Public Safety.

B. Division of Public Safety Management will assure that responsible and proper camera monitoring practices by control operators is continuous.

C. The Division of Public Safety has posted signage at appropriate locations. Signage states:

This area is subject to Video Monitoring by the University of Pennsylvania Police Department

D. The Division of Public Safety will limit camera positions and views of residential housing. Any view given to the housing will be no greater than what is available with unaided vision. Furthermore the view of a residential housing facility must not violate the standard of “reasonable expectation of privacy."

E. The Division of Public Safety Central Monitoring Center and other central monitoring centers will be configured to prevent camera operators tampering with or duplicating recorded video information.

F. Recorded video will be stored for a period not to exceed 30 days and will then be erased, unless retained as part of a criminal investigation or court proceedings (criminal or civil), or other bona fide use as approved by the Vice President of Public Safety and the CCTV Monitoring Committee.

G. Recorded video images will be stored in a secure location with access by authorized personnel only.
H. Camera control operators will conduct video observation of areas only in plain view of others situated in the public area viewable to the public.

I. Camera control operators will be trained in the technical, legal and ethical parameters of appropriate camera use.

1. Camera control operators will receive a copy of this policy and provide written acknowledgement that they have read and understood its contents. 2. Camera control operators will receive training in cultural awareness.

J. Camera control operators will not monitor individuals based on characteristics of race, gender, ethnicity, sexual orientation, disability, or other classifications protected by the University’s Non-Discrimination Policy. Camera control operators will monitor based on suspicious behavior, not individual characteristics.

K. Camera control operators will not spot and continuously view people becoming intimate in public areas.

L. Camera control operators will not view private rooms or areas through windows.

M. Mobile video equipment may be used in criminal investigations. Mobile video equipment will only be used in non-criminal investigations in specific instances creating significant risk to public safety, security, and property as authorized in writing by the President to the Division of Public Safety and the Open Expression Committee.

Portable hidden cameras with recording equipment will only be used for criminal investigation by the University Police Detective Unit with the approval of the Vice President of Public Safety.

Examples of Video Monitoring and Recording of Public Areas

Legitimate safety and security purposes include, but are not limited to the following:

Protection of buildings and property

Building perimeter, entrances and exits, lobbies and corridors, receiving docks, special storage areas, laboratories, cashier locations, etc.

Monitoring of Access Control Systems

Monitor and record restricted access transactions at entrances to buildings and other areas.

Verification of security alarms
Intrusion alarms, exit door controls, hold-up alarms

Video Patrol of Public Areas

Transit Stops, parking lots, public streets (enclosed and unenclosed), shopping areas and vehicle intersections, etc.

Criminal Investigation

Robbery, burglary, and theft surveillance

Protection of pedestrians

Monitoring of pedestrian and vehicle traffic activity

Related: CCTV Camera Locations
Code of Academic Integrity

Since the University is an academic community, its fundamental purpose is the pursuit of knowledge. Essential to the success of this educational mission is a commitment to the principles of academic integrity. Every member of the University community is responsible for upholding the highest standards of honesty at all times. Students, as members of the community, are also responsible for adhering to the principles and spirit of the following Code of Academic Integrity.

Academic Dishonesty Definitions

Activities that have the effect or intention of interfering with education, pursuit of knowledge, or fair evaluation of a student's performance are prohibited. Examples of such activities include but are not limited to the following definitions:

A. Cheating: using or attempting to use unauthorized assistance, material, or study aids in examinations or other academic work or preventing, or attempting to prevent, another from using authorized assistance, material, or study aids. Example: using a cheat sheet in a quiz or exam, altering a graded exam and resubmitting it for a better grade, etc.

B. Plagiarism: using the ideas, data, or language of another without specific or proper acknowledgment. Example: copying another person's paper, article, or computer work and submitting it for an assignment, cloning someone else's ideas without attribution, failing to use quotation marks where appropriate, etc.

C. Fabrication: submitting contrived or altered information in any academic exercise. Example: making up data for an experiment, fudging data, citing nonexistent articles, contriving sources, etc.

D. Multiple submission: submitting, without prior permission, any work submitted to fulfill another academic requirement.

E. Misrepresentation of academic records: misrepresenting or tampering with or attempting to tamper with any portion of a student's transcripts or academic record, either before or after coming to the University of Pennsylvania. Example: forging a change of grade slip, tampering with computer records, falsifying academic information on one's resume, etc.

F. Facilitating academic dishonesty: knowingly helping or attempting to help another violate any provision of the Code. Example: working together on a take-home exam, etc.

G. Unfair advantage: attempting to gain unauthorized advantage over fellow students in an academic exercise. Example: gaining or providing unauthorized access to examination materials, obstructing or interfering with another student's efforts in an academic exercise, lying about a need for an extension for an exam or paper, continuing to write even when time is up during an exam, destroying or keeping library materials for one's own use, etc.

* If a student is unsure whether his action(s) constitute a violation of the Code of Academic Integrity, then it is that student's responsibility to consult with the instructor to clarify any ambiguities.

(Source: Almanac, September 10, 1996)
Code of Student Conduct

I. Preamble

When Benjamin Franklin founded the Pennsylvania Academy, he defined its mission as "education for citizenship." In pursuit of this mission, the University of Pennsylvania is committed to achieving academic excellence, to creating an environment for inquiry and learning, and to cultivating responsible citizenship in the larger society.

The University of Pennsylvania is a community in which intellectual growth, learning from others, mutual tolerance, and respect for freedom of thought and expression are principles of paramount importance. In an environment that promotes the free interchange of ideas, cultural and intellectual diversity, and a wealth of social opportunities, Penn students take advantage of the academic and non-academic opportunities available to them, deepening their intellectual insights through formal instruction, and expanding their educational experience beyond their academic programs. Members of the Penn community participate actively in the greater Philadelphia, state, national, and international communities in which they reside. "Citizens" of the University community include students, faculty, staff and those otherwise affiliated with the University.

Accepting membership into the University of Pennsylvania community as a student entails an obligation to promote its welfare by assuming the rights and responsibilities listed below. Each individual member of this community is responsible for his or her own actions and is expected to respect the rights of others.

II. Rights of Student Citizenship

Membership in the University of Pennsylvania community affords every student certain rights that are essential to the University's educational mission and its character as a community:

a) The right to have access to and participate in the academic and non-academic opportunities afforded by the University, subject to applicable standards or requirements.
b) The right to freedom of thought and expression.
c) The right to be free from discrimination on the basis of race, color, gender, sexual orientation, religion, national or ethnic origin, age, disability, or status as a disabled or Vietnam Era veteran.
d) The right to fair University judicial process in the determination of accountability for conduct.

III. Responsibilities of Student Citizenship

Students are expected to exhibit responsible behavior regardless of time or place. Failure to do so may result in disciplinary action by the University. Responsible behavior is a standard of conduct which reflects higher expectations than may be prevalent outside the University community. Responsible behavior includes but is not limited to the following obligations:

a) To comply with all provisions of the University's Code of Academic Integrity and academic integrity codes adopted by the faculties of individual schools.
b) To respect the health and safety of others. This precludes acts or threats of physical violence against another person (including sexual violence) and disorderly conduct. This also precludes the possession of dangerous articles (such as firearms, explosive materials, etc.) on University
property or at University events without University authorization.

c) To respect the right of fellow students to participate in university organizations and in relationships with other students without fear, threat, or act of hazing.

d) To refrain from conduct towards other students that infringes upon the Rights of Student Citizenship. The University condemns hate speech, epithets, and racial, ethnic, sexual and religious slurs. However, the content of student speech or expression is not by itself a basis for disciplinary action. Student speech may be subject to discipline when it violates applicable laws or University regulations or policies.

e) To refrain from stealing, damaging, defacing, or misusing the property or facilities of the University or of others. This also precludes the disruption of University computing services or interference with the rights of others to use computer resources.

f) To be honest and truthful in dealings with the University, about one's own identity (e.g., name or Social Security number), and in the use of University and other identification.

g) To cooperate fully and honestly in the Student Judicial System of the University, including the obligation to comply with all judicial sanctions.

h) To comply with all contracts made with the University, such as Residential Living Occupancy Agreements and Dining Services contracts.

i) To comply with policies and regulations of the University and its departments (e.g., the University's Guidelines on Open Expression, Anti-Hazing Regulations, Drug and Alcohol Policies, Sexual Harassment Policy, etc.).

j) To comply with federal, state and local laws.

(Source: Almanac, September 27, 1994)
Concerts Policy

I. The Social Planning and Events Committee (SPEC) is responsible for University concerts and other major events that involve artists’ fees, except those that are related to an academic program or to the program of the Annenberg Center. SPEC also is responsible for coordinating the scheduling of such events. Student organizations or other campus groups planning a major ticketed event such as a concert, comedy show, or other event that involves the payment of professional artists’ fees should contact the Office of Student Affairs for more information.

II. Major ticketed events such as concerts, comedy shows, or other events that involve the payment of professional artists’ fees cannot be used for fund-raising purposes. The University does not have the staff or the facilities to accommodate concerts or other major ticketed events for purposes other than academic or campus activities programming. Exceptions to this policy must be approved in writing, in advance, by the Office of Student Affairs.

III. All funds from ticket sales for concerts and other major ticked events sponsored by student organizations must be deposited in a University account and disbursed in accordance with established student activities guidelines.

Source: Almanac April 26, 2011, Volume 57, No. 31
Policy on Confidentiality of Student Records

I. Statement of Purpose

The purpose of this policy is to describe the rights and responsibilities of students, faculty and staff regarding the confidentiality of student records, including as specified under the Family Educational Rights and Privacy Act (“FERPA”).

II. Scope

A. Information

This policy pertains to personally identifiable information\(^1\) contained in education records. The term “education records” generally includes records that are directly related to a student and maintained by the University or a party acting for the University.

Exceptions:

1. **Sole possession of the maker.** This policy does not apply to records kept in the sole possession of the maker and used only as a personal memory aid and not accessible to any other individual except a temporary substitute of the maker of the record.

2. **Peer graded papers.** This policy does not apply to grades on peer-graded papers/assignments before they are collected and recorded by a teacher.

3. **Law enforcement records.** This policy does not apply to records created and maintained by a law enforcement unit, including the Penn Police, for law enforcement purposes.

4. **Employment records.** This policy does not apply to records relating exclusively to an individual in their capacity as an employee except that records regarding an individual in attendance who is employed as a result of his or her status as a student are covered under this policy.

5. **Treatment-related records.** This policy does not apply to records made or maintained by a healthcare professional that are used only in connection with treatment of the student and disclosed only to individuals providing treatment.

6. **Other FERPA exceptions.** This policy does not apply to any records or information specifically excepted from the term “education records” under FERPA and its implementing regulations, as they may be amended.

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\(^1\) The term "personally identifiable information" includes, but is not limited to, the name of the student or family member, the address of the student or family member, identification number, biometric record, indirect identifier (such as date of birth or mother’s maiden name) or other information that, alone or in combination, is linked to the student and would allow a reasonable person in the school community, without personal knowledge of relevant circumstances, to identify the student with reasonable certainty.
B. **Individuals**

1. **Individuals in attendance.** This policy applies to students who are or have been in attendance at the University.
2. **Alumni.** In general, this policy does not apply to records that contain only information about an individual after he or she is no longer a student at the University. However, if the record relates back to the student’s attendance at the University, it is still an “education record.” A separate policy protecting the privacy of alumni records may be found at [http://www.upenn.edu/privacy](http://www.upenn.edu/privacy).
3. **Deceased individuals.** Neither FERPA nor this policy applies to records of deceased persons. The person responsible for such records, however, should exercise informed discretion in responding to requests for disclosures and should ensure that the person making the request has a legitimate interest in the information and that the privacy interests of the deceased and third parties are considered.
4. **Applicants.** This policy does not apply to applicants for admission. However, the admission-related records of applicants who become students at the University are subject to the policy.

III. **Notice**

Penn will annually inform individuals in attendance of their rights under FERPA, including the right to consent to disclosure of personally identifiable information contained in their education records, the right to opt out of the disclosure of “directory information,” the right to review and seek correction of education records, and the right to file a complaint with the Department of Education concerning the University’s alleged failure to comply with FERPA.

IV. **Disclosure of Education Records**

A. **Consent Required**

As a general rule, personally identifiable information from education records may not be disclosed to other parties without the student’s prior written or electronic consent. Such consent shall be signed (on paper or using an appropriate electronic signature method) and dated and specify records or information to be disclosed, the purpose(s) of the disclosure, and the party or class of parties to whom disclosure may be made.

B. **Consent Not Required**

In certain cases (some of which are described below) personally identifiable information from education records may, and in some cases must, be disclosed from the records of a student without that individual’s prior written consent. If such disclosure is made, it should be limited to that information necessary for the purpose of the disclosure. Note also that specific requirements and qualifications may apply to these exceptions.
1. To “school officials” with “legitimate educational interests.”
   a. “School officials” means employees of the University, including faculty and
      staff, as well as certain individuals such as vendors or contractors,
      performing work for the University under proper authorization.
   b. A school official has “legitimate educational interests” in personally
      identifiable information in the records of a student if the information in
      question is required or would be helpful to the official in the performance of
      his or her duties.
   c. A contractor, consultant, volunteer, or other party to whom the University
      has outsourced services may be considered a school official provided that
      the outside party (1) performs a service for which the University would
      otherwise use its employees (2) is under the direct control of the University
      with respect to the use and maintenance of education records and (3) is
      subject to FERPA requirement governing the use and redisclosure of
      personally identifiable information from education records.
   d. The University must use reasonable methods to ensure that school officials
      obtain access to only those education records in which they have legitimate
      educational interests. Custodians of records will establish control
      procedures to ensure that these limitations are observed. If the custodian
      does not use physical or technological access controls, the custodian must
      ensure that its administrative policy for controlling access to education
      records is effective.

2. To another school where the student seeks or intends to enroll or where the
   student is already enrolled so long as the disclosure is for purposes related to the
   student’s enrollment or transfer and the University has provided notice of the
   disclosure or annual notice of its policy to make such disclosures.

3. In connection with financial aid for which a student has applied, or which he or
   she has received, but only for such purposes as determining eligibility for
   financial aid, the amount of financial aid, and the conditions that will be imposed,
   or for enforcing the terms or conditions of financial aid.

4. To comply with a judicial order or lawfully issued subpoena provided that the
   University makes a reasonable effort to notify the student whose records are
   involved in advance of disclosing the information. Prior notification may be
   prohibited in certain situations. All subpoenas and court orders should be
   directed to the Office of General Counsel and disclosure in response to them
   must be approved by that office.

5. In connection with an emergency, to appropriate persons if knowledge of the
   information is necessary to protect the health or safety of the student or other
   individuals.

6. To parents as described in Section IV.(c) below.
7. Regarding directory information as described in Section IV.(d) below.
8. Other circumstances as authorized by FERPA and its implementing regulations,
   as they may be amended or as otherwise required by law. Questions about legal
   requirements should be directed to the Office of General Counsel.
C. Parental Notification -- Consent Not Required

The University’s policy regarding disclosure of student information to parents is based both upon legal requirements and the University’s philosophy that students should be treated as adults. The University generally will not share personally identifiable information (other than directory information) from a student’s education records with third parties, including parents or guardians, without student consent, except in limited circumstances where such disclosure is permitted under FERPA (described below) and where the University determines in its discretion that disclosure is appropriate.

1. In connection with an emergency if knowledge of the information is necessary to protect the health or safety of the student or other individuals.

2. To the parent or legal guardian of a student under the age of 21, information regarding the student’s violation of a University policy governing the use or possession of alcohol or drugs.

3. To a person who submits a written affirmation that he or she is the parent or legal guardian of a student and that the student is a dependent within the meaning of Section 152 of the Internal Revenue Code of 1954.

4. In other limited circumstances as allowed under FERPA and its implementing regulations, as they may be amended.

In cases involving a health or safety emergency or a violation of a University policy regarding the use or possession of alcohol or drugs, a decision to notify parents or guardians about information contained in an education record - and the actual communications to the parents or guardians - will be made by the Office of the Vice Provost for University Life or another senior student affairs officer, in each case after consultation with the student’s school office and other appropriate offices. Whenever practicable, a student whose parents or guardians are to be notified will be informed before such notification occurs and given an opportunity to initiate contact with his or her parents or guardians.

D. Consent Not Required – Directory Information

“Directory Information” is generally regarded to be less sensitive than other types of information in a student’s education record. The University designates as “directory information,” which may be disclosed from records relating to a student without his or her consent if the student has not “opted out” of allowing such disclosure, the following categories of information: a student’s name, address (local, home or electronic mail), telephone number, date and place of birth, Penn ID number, major field of study, participation in officially recognized activities (including social and honorary fraternities) and sports, weight and height if a member of an athletic team, dates of attendance, degrees and awards received, and previous educational institutions attended.

Each year, a notice will be given to students concerning these categories and their right to refuse to permit the University to make any or all of them available (i.e., “opt out”).
Failure to respond to the annual notice in certain cases may result in the routine disclosure of one or more of the designated categories of personally identifiable information. The University will continue to exercise informed discretion in responding to requests for directory information.

E. **Limitation on Redisclosure**

As required by FERPA, the University will inform a party to whom a disclosure of personally identifiable information from the records of a student is made that disclosure is made only on the condition that the party will not disclose the information to any other party without the student’s prior written consent. Exceptions to this requirement include disclosure of directory information, disclosures to the student, to parents under appropriate circumstances, to victims of certain disciplinary matters, and disclosures pursuant to court orders and valid subpoenas.

F. **Verification of Identity and Authority**

Before disclosing personally identifiable information from education records, University employees must take reasonable steps to verify the identity of the requesting party as well as their authority to have access to the information.

V. **Maintaining a Record of Disclosures**

As required by FERPA, the University will maintain a record of requests for and/or disclosures of personally identifiable information from a student’s education records. The record must include the identities of the requesters and recipients and the legitimate interests they had in the information. This record should be maintained with records for as long as the records themselves are maintained and may be inspected by the student.

These recordkeeping requirements do not apply to requests from or disclosures to: (1) the student; (2) a school official with a legitimate educational interest; (3) a person with written consent from the student; (4) a person seeking directory information; or (5) a federal grand jury or law enforcement agency in connection with an order or subpoena requiring nondisclosure of its existence or contents.

VI. **Right to Review Education Records and Seek Correction**

A. Individuals who are or have been in attendance at the University are entitled to inspect and review their education records upon a written request. The request to inspect or review records must be honored within 45 days after the University has received the request. The request should be directed to the office that maintains the record and such office may charge a reasonable fee for copies.

B. A student does not have a right to inspect or review the following:
1. Financial records and statements of the student’s parent(s), except with the written permission of the parent(s).

2. Confidential letters and statements of recommendation related to admission to an educational institution, application for employment, or the receipt of an honor or honorary recognition that were placed in a student’s records after January 1, 1975, and as to which the student has executed a written waiver of his or her right to inspect and review; provided that the University uses the letters and statements only for the purpose for which they were originally intended and notifies the student upon request of the names of all individuals providing such letters and statements.

3. Other records as to which the student has executed a written waiver of his or her right to inspect and review. The University may not require a student to waive his or her rights under FERPA or this policy.

4. Those portions of records that contain information on other students.

5. Other exceptions as prescribed by FERPA and its implementing regulations, as they may be amended.

C. Opportunity to Seek Correction

1. A student who believes that information contained in his or her education records is inaccurate or misleading or violates his or her privacy rights may request that the University amend them, and the University will decide whether to do so within a reasonable period of time.

2. If the University decides that the information is inaccurate or misleading or otherwise in violation of the privacy rights of a student, the University will amend the record and inform the student of the amendment in writing.

3. If the University declines to amend the student's records, it will so inform the student and inform him or her of the right to request a hearing to challenge the information believed to be inaccurate, misleading or in violation of his or her privacy rights. A hearing, however, may not be requested by a student to contest the appropriateness of a grade.

4. The hearing will be conducted by an individual who does not have a direct interest in the outcome of the hearing and will provide the student an opportunity to present evidence, relevant to the request to amend the student’s records. The University will provide a written decision within a reasonable period of time after the hearing based on the evidence presented at the hearing. The decision will include a summary of the evidence and the reasons for the decision. Additionally, information regarding hearing procedures will be provided when the student receives notice of his or her rights.

5. If, after a hearing, the University determines that a student’s challenge is without merit it will notify the student of the right to place in his or her records a statement commenting on the challenged information and/or setting forth reasons for disagreeing with the University’s decision. The University will maintain such
statement with the student’s record and disclose the statement whenever it discloses the portion of the record to which the statement relates.

VII. **Right to File Complaint.**

Students have a right to file a complaint concerning any alleged failure by the University to comply with the requirements of FERPA and its implementing regulations. A complaint may be filed with the federal office that administers FERPA:

**Family Policy Compliance Office**  
**U.S. Department of Education**  
**400 Maryland Avenue, SW**  
**Washington, DC 20202-5901**

A complaint may be filed internally via the University’s Compliance and Reporting Line by phone at 215-726-6759, or online at [http://www.upenn.edu/215pcomply](http://www.upenn.edu/215pcomply).

VIII. **Waiver of Rights**

A student may waive any of his or her rights under FERPA and this policy, provided that the waiver is made in writing and signed by the student. The University may not require a student to waive his or her rights under FERPA or this policy.
Confiscation of Publications

The confiscation of publications on campus is inconsistent with the University's policies and procedures, and with the ideals of the University. It is inconsistent with the University's Guidelines on Open Expression, and could violate contractual arrangements between the University and other parties.

Members of the University community who are responsible for confiscating publications should expect to be held accountable.

(Source: Almanac, July 18, 1989)
Consensual Sexual Relations Between Faculty and Students

The relationship between teacher and student is central to the academic mission of the University. No non-academic or personal ties should be allowed to interfere with the integrity of the teacher-student relationship. Consensual sexual relations between teacher and student can adversely affect the academic enterprise, distorting judgments or appearing to do so in the minds of others, and providing incentives or disincentives for student-faculty contact that are equally inappropriate.

For these reasons, any sexual relations between a teacher and a student during the period of the teacher/student relationship are prohibited. The prohibition extends to sexual relations between a graduate or professional student and an undergraduate, when the graduate or professional student has some supervisory academic responsibility for the undergraduate to sexual relations between department chairs and students in that department and to sexual relations between graduate group chairs and students in that graduate group. In addition, it includes sexual relations between academic advisors, program directors, and all others who have supervisory academic responsibility for a student, and that student. Teachers and academic supervisors who are sexually involved with students must decline to participate in any evaluative or supervisory academic activity with respect to those students.

The Provost, Deans, department chairs, and other administrators should respond to reports of prohibited sexual relations that are brought to them by inquiring further, and if such reports appear to be accurate, initiating appropriate disciplinary action or remedial measures against the teacher or supervisor involved.

This policy supplements the University's policy on Sexual Harassment. In addition, although this policy prohibits consensual sexual relations only between a teacher/supervisor and that individual's student, the University strongly discourages any sexual relations between members of the faculty (or administration) and undergraduates.

(Source: Almanac, November 7, 1995)
Contracts

No student may sign a contract on behalf of the University. All contracts for lectures, performing arts activities, programs and services sponsored by student organizations must be reviewed by the Associate Director of Student Life and signed by the Vice Provost for University Life or her/his approved designate.
Dean’s List

The Dean’s List citation appears on the transcript and is awarded annually to any student who achieves a combined GPA of 3.7 for the fall and spring semesters, provided that during those two semesters he or she has:

• Completed 6 or more credit units for letter grades
• Received no grades lower than C
• Completed all courses on time with no Incompletes, NRs, or GRs

A student who is found by the Office of Student Conduct to have violated the Code of Academic Integrity of the University of Pennsylvania, or who has received a sanction of suspension or greater for a violation of the Code of Student Conduct, is not eligible for Dean’s List in the academic year in which the violation occurred. The Dean’s List citation will be removed from the transcript if the finding occurs after this honor has been posted or if the violation occurs during the summer term following the academic year in which this honor was awarded.

Source: Almanac - April 20, 2010, Volume 56, No. 30
Drug-Free Workplace Policy

Prohibited Drug Activity

The University of Pennsylvania prohibits the unlawful manufacture, distribution, dispensation, sales, possession or use of any drug by its employees in its workplace. Each University employee agrees, as a condition of employment, to abide by this policy and to notify his or her supervisor no later than five days after any conviction under a criminal drug statute for a violation that occurred in the workplace.

Sanctions

Any University employee who violates the University's policy or who is convicted under a criminal drug statute for a violation occurring in the workplace will be subject to the University's disciplinary procedures up to and including dismissal and may be required to participate satisfactorily in a drug abuse assistance or rehabilitation program.

Drug-Free Workplace Program

A. The University of Pennsylvania has established a drug-free awareness program to inform employees about:

1. The dangers of drug abuse in the workplace through such activities as "Drug Awareness Week" and training programs for supervisors;
2. The University's policy of maintaining a drug-free workplace through distribution of the policy to all employees;
3. Available drug counseling, rehabilitation and employee assistance programs such as those provided through the Faculty/Staff Assistance Program; and
4. The penalties that may be imposed upon employees for drug abuse violations in the workplace.

B. Each University employee will be given a copy of the University Drug-Free Workplace Policy.

C. Each employee, as a condition of employment, must agree to abide by the University's Drug-Free Workplace Policy and to notify his or her supervisor no later than five(5) days after any conviction under a criminal drug statute for a violation that occurred in the workplace. When a supervisor is notified by an employee of such a conviction, he or she will immediately notify the Vice President for Human Resources, and, if the employee is paid in whole or part from a federal grant, contract, or cooperative agreement, the Executive Director for Sponsored Programs. The Executive Director for Sponsored Programs will notify the appropriate federal agency within ten(10) days of receiving such notification.

D. An employee who violates the University policy or who is convicted under a criminal drug statute for a violation occurring in the workplace will be subject to the University's disciplinary procedure up to and including dismissal, and may be required to participate satisfactorily in a drug abuse assistance or rehabilitation program.

E. The University will make a good faith effort to continue to maintain a drug-free workplace through implementation of the above program.

(Source: Division of Human Resources, Policy No: 705)
Evaluation and Certification of the English Fluency of Undergraduate Instructional Personnel

In 1990, the Commonwealth of Pennsylvania enacted legislation requiring that every member of an institution of high learning who teaches undergraduates be certified as fluent in the English language, if it is not his or her first language. In order to comply with this legislation, Penn instituted a set of requirements that are enforced through training and teaching performed by the Office of English Language Programs.

I. Undergraduate Instructional Personnel

All persons hired on or after July 1, 1997, as members of the Standing or Associated Faculties, Academic Support Staff, graduate and professional student teaching staff, or as tutors, or for other undergraduate instructional duties (including, for example, leading laboratory or discussion sections or holding office hours), regardless of rank or title, in the Schools of Arts and Sciences, Engineering and Applied Science, Nursing, Wharton or the School of Design, the Annenberg School for Communication, and the Graduate School of Education, must be evaluated and certified as having met the University’s standard of English fluency in the classroom before completion of the hiring process. In addition, all individuals who hold appointments elsewhere in the University and who are to be engaged in the teaching, tutoring, or other instruction of undergraduates must also be evaluated and certified before appointment.

Only members of the Visiting Faculty, instructional personnel whose entire undergraduate instruction (including office hours) will be conducted in a language other than English, and graduate students who have no direct instructional contact (including office hours) with undergraduates (e.g. some graders or research assistants) are exempt from this requirement.

II. Standard of English Fluency in the Classroom

To be certified by the University of Pennsylvania as “fluent in the English language in the classroom,” a speaker must always be intelligible to a non-specialist in the topic under discussion, despite an accent or occasional grammatical errors. General and field-specific vocabulary must be broad enough so that the speaker rarely has to grope for words. Listening comprehension must be sufficiently high so that misunderstandings rarely occur when responding to students’ questions or answers. While teaching, the speaker should be able to use transitions to show the relationships between ideas, and to set main points apart from added details. When asked an ambiguous question, the speaker should be able to clarify the question through discussion with the student. When asked to restate a main point, the speaker should be able to paraphrase clearly. When challenged, the speaker should be able to defend his or her position effectively and appropriately.

Prospective instructional personnel, regardless of rank or title, who do not meet the above criteria shall not be certified and may not be assigned to any undergraduate instructional responsibilities.
III. Certification Procedures

A. Newly-Hired Faculty Members
Prospective members of the Standing or Associated Faculties, or of the Academic Support Staff, regardless of rank or title, shall be evaluated and certified by their department chairperson as to their English fluency in the classroom on the basis of one of the methods of evaluation listed in section IV, below. The department chairperson shall certify their English fluency in the classroom to their dean, or to the dean’s designee and the dean shall certify the same to the Provost. In schools having no departments, evaluation and certification shall be carried out by the dean or the dean’s designee.

B. Native English-Speaking Graduate Teaching Assistants
Prospective graduate teaching assistants whose native language is English shall be evaluated and certified by their department chairperson as to their English fluency in the classroom on the basis of one of the methods of evaluation listed in section IV, below. The department chairperson shall certify their English fluency in the classroom to their dean, or to the dean’s designee and the dean shall certify the same to the Provost. (This procedure applies to all native English-speaking graduate and professional student teaching staff, including those undertaking instructional duties as tutors, leading laboratory or discussion sections, graders, or holding office hours.) In schools having no departments, evaluation and certification shall be carried out by the dean or the dean’s designee.

C. Non-native English-Speaking Graduate Teaching Assistants
Prospective graduate teaching assistants whose native language is other than English who have not taken either the Test of Spoken English (TSE) or the ACTFL Oral Proficiency Interview, or who score 55 or below on the TSE or below Superior on the ACTFL, shall be referred by their department chairperson to the English Language Programs (ELP) for professional evaluation of their English fluency in the classroom. It is anticipated that most graduate students whose native language is not English shall not be sufficiently fluent in the use of English in the classroom to undertake undergraduate instructional responsibilities during their first year of graduate enrollment at Penn. Such individuals may be able to acquire fluency in English in the classroom by enrolling in the ELP’s summer International Teaching Assistants Training Program, or during the academic year, by enrolling in the Graduate Division of Arts and Sciences course GAS 600 (fall semester) or the ELP’s intensive English language and cultural familiarization courses, or through alternative programs appropriate to the student’s needs. Graduate students placed in any of the above programs must be re-evaluated by the ELP before the Director may certify to the Provost that they are fluent in English in the classroom.

D. All Other Undergraduate Instructional Personnel
All other undergraduate instructional personnel, regardless of rank or title, shall be evaluated and certified by their department chairperson as to their English fluency in the classroom on the basis of one of the methods of evaluation listed in section IV, below. The department chairperson shall certify their English fluency in the classroom to their dean, or to the dean’s designee, and the dean shall certify the same to the Provost. In schools having no departments, evaluation and certification shall be carried out by the dean or the dean’s designee.
IV. Evaluation and Testing

A. Methods of Evaluation
Department chairpersons and deans shall certify only those prospective instructional personnel whose English fluency in the classroom has been evaluated using one or more of the means of evaluation listed below and has been found to meet or exceed the standard set forth in Section II., above. The following methods of evaluation may be used as the basis for a departmental certification:

*A score above 55 on the ETS Test of Spoken English or a score of 27 or above on the Speaking Section of the ETS iBT TOEFL.

*A score of Superior on the ACTFL Oral Proficiency Interview

*Academic presentation and discussion (such as a colloquium, lecture, seminar, or scholarly conference presentation) evaluated by two or more members of the standing faculty and/or the English Language Programs staff.

*Extended, in-person discussion with one or more members of the standing faculty, and/or English Language Programs staff on a topic related to the candidate’s research interests, teaching plans and/or experience.

*Observation and evaluation of teaching performance in the classroom by two or more members of the standing faculty and/or the English Language Programs staff.

*Videotape of classroom teaching or academic presentation evaluated by two or more members of the standing faculty and/or the English Language Programs staff.

All prospective graduate teaching assistants whose native language is other than English shall be referred by their department chairperson to the English Language Programs for professional evaluation of their English fluency in the classroom, using the SPEAK Test (Penn’s institutional version of the TSE) or future replacements, the advisory ACTFL Oral Proficiency Interview, or the Interactive Performance Test (IPT) administered by the English Language Programs (described in V.B., below).

B. Referral to and consultation with the English Language Programs
Using one of the methods listed above, department chairpersons and deans (or the dean’s designee) shall either certify to the Provost that a prospective faculty member or other undergraduate instructional personnel is fluent in English in the classroom or refer them to the English Language Programs for further evaluation before they undertake any undergraduate instructional duties. It should be borne in mind that, at the discretion of the department chairperson or the deans, both native and non-native speakers of English may be referred to the English Language Programs for further evaluation before certification of their English fluency.

The department chairperson or deans may find it useful, especially where the native language of prospective faculty members or instructional personnel is other than English, to consult with the directors of the English Language Programs regarding the advisability of further evaluation or the most appropriate method of evaluation before certification of their English fluency. Prospective graduate teaching assistants with questions regarding the evaluation or certification of their English fluency in the classroom
should consult with their department or graduate group chairperson, or the English Language Programs staff, 110 Fisher-Bennett Hall, 215-898-8681.

V. Further Evaluation and Appeals

A. Further Evaluation by the English Language Programs
Prospective instructional personnel who are not certified under section III, above, shall be referred to the University’s English Language Programs for further evaluation.

B. Interactive Performance Test
Graduate students whose native language is not English and who receive scores on the Test of Spoken English (or Penn’s SPEAK Test) of between 45 and 55 inclusive may be certified for classroom instruction by passing the Interactive Performance Test (IPT) administered by the English Language Programs. The IPT consists of a 10-minute mini-lecture with a question and answer component on a topic in the candidate’s academic discipline.

C. Evaluation and Certification as Graders with Limited Office Hours
Alternately, and upon the written referral of the graduate group chair, graduate students whose native language is not English and who receive scores on the Test of Spoken English (or Penn’s SPEAK Test) of between 45 and 55 inclusive may be certified as graders with limited office hours by passing the Grader Exam administered by the English Language Programs. Graders with limited office hours are defined as graduate students who are responsible for grading exams and assignments and holding individual appointments with undergraduate students for the purpose of explaining grades and answers to exam questions or assignments. Graders with limited office hours can have no responsibility for classroom teaching, tutoring, recitation, or laboratory sessions. Passing of this exam, which is tailored to one-on-one questions and answers, shall certify graduate students as sufficiently fluent in English to serve as graders with limited office hours, but does not certify them to undertake other instruction duties at a later date.

D. Appeals of Certification Decisions
Appeals of certification decisions made by department chairpersons may be directed to the appropriate dean and appeals of certification decisions made by deans or by the Directors of English Language Programs may be directed to the Provost.

VI. Deadlines for Certification and Reporting
In the case of appointment to the Standing or Associated Faculties, all submissions to the Provost’s Staff Conference or Mini-Conference for appointments in Arts and Sciences, Engineering and Applied Science, Nursing, Wharton, Design, the Annenberg School for Communication and the Graduate School of Education, and for any faculty members in other schools who will ever teach undergraduates, shall include in the required documentation a certification by the dean stating that the candidate’s fluency in the English language in the classroom has been evaluated and found to meet or exceed the University’s standard of fluency. The dean’s certification shall also include a brief description of the means used to evaluate such fluency and the results of such evaluation.
In all other cases, including graduate teaching assistants and academic support staff, the certification of fluency must be approved by the Provost before final approval of the appointment in the school or department and prior to the start of the term for which the individual is first hired for undergraduate instructional duties (specifically, by September 1 for the Fall term, by January 1 for the Spring Term, and by May 1 for the Summer term).
Each dean shall report to the Provost, no later than August 1 of each year, that all faculty and other undergraduate instructional personnel (as defined in section I, above) hired since the dean’s previous certification have been evaluated for English fluency in the classroom prior to their appointment and were found to meet or exceed the University’s standard of fluency.

VII. Monitoring and Reporting of Complaints
Each school shall put in place one of the following procedures for the on-going monitoring of English fluency in the classroom of all undergraduate instructional personnel:

*A systematic program of classroom observation of both faculty and teaching assistants by faculty members or English language specialists.

*Inclusion of a question about communication with the instructor on the student course evaluations of all faculty, teaching assistants, and laboratory or recitation instructors each term. (Student evaluations may also be supplemented by peer, alumni, or other teaching evaluation mechanisms.

*Other monitoring mechanisms proposed by the dean and approved by the Provost.

In addition, each school shall ensure that all complaints regarding the English fluency of instructional personnel are reported (with the chairperson’s evaluation of the complaint) to the dean and undergraduate dean, and by the dean (with a description of the resolution of the complaint) to the Provost, via the Associate Provost for Faculty Affairs in the case of faculty, and via the Vice Provost for Education in the case of graduate students.

VIII. Review of English Fluency Standards and Procedures
These standards and procedures shall be reviewed periodically by the Provost’s Council on Undergraduate Education, and in the light of Pennsylvania Department of Education regulations, when issued. It also should be noted that each school, at its option, may institute English fluency requirements more stringent than the minimum standards outlined above.

Facility and Academic Integrity

The Student Disciplinary Charter is based on the assumption that it is the obligation and right of faculty members to assign grades for academic work submitted to them by students under their supervision and that faculty members should grade student work, using their best judgment about the quality and propriety of that work, independently of disciplinary procedures. The present statement makes clear the relationship between grading and disciplinary action in cases in which a faculty member believes that a student did not fulfill an assignment in accord with the Code of Academic Integrity.

The Disciplinary Charter rests on the principle that faculty members have wide authority to judge the academic work of students and have a general responsibility for the academic progress of students, so much as lies within the power of faculty. Furthermore, the charter assumes that violations of the norms of academic integrity fall along a continuum from minor to major and that not all violations need to be treated as disciplinary cases. The authority and responsibility of faculty members require them to judge the relative severity of a violation. Good individual judgment and institutional practice will help faculty members make the judgment about when to treat a case as requiring disciplinary action.

The distinction between academic evaluation and disciplinary action is also important. Faculty members have the authority to make academic judgments in relation to their students and to make decisions in the interests of furthering their students' education. Only the institution, acting through its formal processes, may discipline a student. Grades are not sanctions, even if they arise from a judgment that a student has violated a norm of academic integrity. In such cases, the grade may reflect the faculty member's view that a piece of work was done inappropriately, but it represents a judgment of the quality of the work, not a record of discipline for the behavior. There are many ways to do work inappropriately or badly, resulting in low or failing grades. The policy of the charter is to preserve the faculty member's right to grade work on the basis of all of its qualities and to make the decision to pursue disciplinary action a separate matter.

Students who believe that they have been graded unfairly have recourse of appeal through the grade appeal procedures established by each school. The charter explicitly recognizes the right of students to appeal grades. The appeal of a grade given because a faculty member believed that the student violated the norms of academic integrity is, for the purposes of the charter, no different from other grade appeals.

(Source: Almanac, September 10, 1996)
Fairness of Authorship Credit in Collaborative Faculty-Student Publications for PhD Students

The Graduate Council of the Faculties has unanimously approved a new policy on authorship credit in collaborative faculty-student publications. The intent of the policy is to avoid situations in which graduate students or faculty feel that their contribution to published work has not been fairly recognized. Our intent in the distribution of this policy statement to faculty and graduate students is to make authorship discussions a routine part of conversations about intellectual collaboration.

Why is a policy needed?

1. For students who intend to pursue academic and/or research careers, scholarly publications that reflect the product of their research work are essential to being considered for a job and establishing a career.

2. Faculty members are almost always directly involved in the student’s scholarly work as mentors, employers, collaborators, or consultants.

3. When publications emerge from collaborative faculty-student effort, it is not always clear who should be given authorship credit, and in what order the authors’ names should appear on the published work.

4. The Vice Provost, the Council of Graduate Deans and the Graduate Council of the Faculties have been made aware over the years that there is widespread uncertainty among graduate students about what constitutes fair practices for the determination of authorship. Practices vary widely between and within departments at Penn.

5. Graduate students are understandably reluctant to raise issues of authorship at the beginning of projects, and skeptical about the efficacy of raising issues once the work has been completed. Students feel that authorship credit is a difficult issue to raise, because their questioning of the arrangements can be interpreted as a challenge to the mentor on whom the student depends for intellectual and/or financial support as well as future letters of recommendation.

6. The lack of clarity concerning fairness in authorship is evident not only among graduate students. Faculty members, too, are often uncertain about fair practices. Some feel that their intellectual and written contribution to a student’s published work has not been sufficiently acknowledged.

7. As part of their appropriate professional education, young scholars need to learn about how questions of joint-authorship are decided. Guidelines can facilitate discussions between students and their faculty mentors which further such learning.
Diversity of practices in different disciplines and departments

In considering the task of formulating a university-wide policy on Fairness in Authorship Credit, the Graduate Council of the Faculties is aware that different traditions of joint authorship exist in different disciplines and departments.

* In some fields, the Principal Investigator of the lab is first author of all publications.

* In some fields faculty members rarely or never receive authorship credit on student publications, no matter what their contribution to the project or the product.

* In some fields, authorship depends on intellectual leadership and actual contribution to the ideas for the project and the written product.

* In some fields, authorship rules are clear; in others they are subject to negotiation.

* In some fields, research assistants and research fellows are automatically included as authors when the outcome results from paid work. In other fields, these students are automatically excluded as authors when the outcome results from paid work.

A University-wide process for establishing authorship credit

In light of the variability, ambiguity, and uncertainty regarding faculty-student authorship of published work, there are no specific rules that can be enunciated by the Graduate Council of the Faculties that will address the situation in all departments and academic disciplines. Instead, the Graduate Council of the Faculties is mandating a set of processes within each graduate group that will clarify expectations concerning authorship for each student and faculty member.

A. Graduate Group level

Graduate groups must publish and publicize general guidelines concerning authorship and make them available to all graduate students.

B. Faculty-Student level

Individual mentors should conform to the graduate group policy on authorship credit. Mentors are responsible for anticipating possible disagreements concerning authorship credit regarding specific collaborative projects and should initiate clarifying discussions before students have invested substantial time on such projects. These discussions should be reopened if relative contributions change.

C. Appeals process

No policy can prevent the occurrence of all instances of actual or perceived unfair treatment. Although inequities can occur to either faculty or graduate students, we believe that graduate students are usually more vulnerable to faculty practices and less able to take action when they feel that fairness has been violated.
In cases of disagreements about authorship the following steps should be taken:

1. Students who feel that they have been mistreated should raise the issue with their mentor and their graduate chair.

2. If the disagreement is not resolved to all participants’ satisfaction, an appeal can be made to the Dean of the School, who should convene a committee of faculty and graduate students to hear the disagreement and attempt to resolve it. Cases will be decided in the context of the published norms and guidelines of the graduate group.
Family Friendly Policies for PhD Students

CHILDBIRTH AND ADOPTION

A student in a Ph.D. program at Penn is eligible for time off of eight weeks for the birth or adoption of a child. The student must notify the graduate group chair and Advisor/Supervisor in writing, at an early date, of his/her plans to initiate a “Time Off” period, so that appropriate arrangements can be made to cover any teaching/research responsibilities.

A. Normally the “Time Off” period commences within two weeks of the birth or adoption.

B. During the “Time Off” period, the student remains enrolled full-time. In order to facilitate a rapid return, s/he may participate in the program as fully as s/he deems appropriate. By remaining on full-time status, student visa status and loan repayment schedules, if any, will remain unchanged.

C. The student is entitled to academic accommodation including relief from academic requirements, such as postponement of exams and course requirements.

D. A student receiving stipend support is entitled to continuation of support during the “Time Off” period as follows:

1. Students receiving stipends from University/school funds are entitled to draw support for eight weeks during the academic year.
2. Students funded by government grants or other external funding sources are entitled to benefits as determined by the funding agency.

FAMILY LEAVE OF ABSENCE POLICY

A student in the Ph.D. program at Penn may take an unpaid Family Leave of Absence for the birth or adoption of a child, child care, or care of an immediate family member (spouse, domestic partner, child, or parent) with a serious health condition.

1. Students may take a Family Leave of Absence for one or two semesters.
   The student is expected to notify the graduate group chair and adviser in writing of his/her plans to take a Family Leave at an early date, so that appropriate arrangements can be made to cover any teaching/research responsibilities.
2. Family Leave “stops the clock” on the student’s academic requirements, including service requirements, for the duration of the leave.
3. During the period of Family Leave, the student may arrange to continue Student Health Insurance, but is responsible for the payment of his or her own premiums. Upon paying a fee, students on approved Family Leave will retain their PennCard, e-mail accounts, library privileges, and building access.
4. Funding commitments from the institution are deferred until the student returns from Family Leave. Students receiving funding from external sources, such as government grants, are subject to the conditions established by the funding source.
5. Service requirements (e.g., teaching, research) will be met by the student following return from Family Leave.
6. Requests for extension of Family Leave beyond one year, or for repeated Family
Leaves, may be made. Approval of an extension, deferral of funding, and continued academic accommodation is at the discretion of the Graduate Dean.

*IMPORTANT: If you anticipate adding a dependent (e.g., newborn) to your Penn Student Insurance Policy while on Family Leave, you must remain in ACTIVE student status at the start of the fall semester. Students should arrange with their school/division to maintain full-time student status for at least 31 days from the start of fall classes, after which time the Family Leave status can be recorded in the Student Records System. After the birth/adoption, contact the SHS Insurance Coordinator to enroll the dependent. The premium for dependent coverage is payable directly to Aetna Student Health.
Financial Policies

Payment of Tuition, Fees, and Other Charges
All amounts billed to students are due on the due date indicated on the bill. You will receive an email notification each month when a new billing statement is available on PennPay (Penn’s electronic billing service). Students whose parents or other payers are making payments are reminded that you (the student) must invite them to be an ‘other payer’ on PennPay so that they can both view and pay your bill. Payments must be made on or before the due date. Payments can be made online, by check, wire transfer or in person. Please refer to the Student Financial Services web site at http://www.sfs.upenn.edu/paymybill/index.htm. Balances remaining beyond the due date are subject to a late payment penalty of 1.5% per month, which will appear on the next statement. A student could be placed on Financial Hold if bills remain unpaid which will jeopardize continuing enrollment and future registration.

Failure to Pay
The University reserves the right to withhold registration, transcripts, diplomas and all other information regarding the record of any student who is in arrears in the payment of tuition, fees, or any other charges, including student loans. The enforcement of this policy shall not relieve the student of the obligation to pay any outstanding fees and charges.

Withdrawal/Leave of Absence: Reduction of Tuition and Fees
A student who withdraws from the University (or who is requested to withdraw for failure to maintain a satisfactory scholastic standing) or who is granted a leave of absence from a full-time division of the University during either term of the academic year will be eligible for a reduction in tuition and fees in accordance with the conditions set forth below.

The effective date of separation from the University is the date the student files a written request for withdrawal or leave of absence.

A student who is required to withdraw because of a violation of University regulations shall receive no tuition refund.

For all other students, term charges will be adjusted as follows:

<table>
<thead>
<tr>
<th>If you leave within the</th>
<th>Percentage Reduction in Tuition and Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>First two weeks of class</td>
<td>100%</td>
</tr>
<tr>
<td>Third and fourth weeks of class</td>
<td>50%</td>
</tr>
<tr>
<td>Thereafter</td>
<td>0%</td>
</tr>
</tbody>
</table>

In the case of students receiving financial aid, eligibility for the term will be determined based on actual charges and prorated allowances for living expenses.

For rules regarding reductions in residence and meal contract charges, see the current year’s Residential Handbook and the terms and conditions of meal plans.

Note: Please contact your home school representative regarding rules for Graduate, Professional, LPS and other Special Programs.
Fraternity/Sorority Advisory Board Disciplinary Charter

Statement of Purpose

To acknowledge and strengthen the contributions of fraternities and sororities to the University of Pennsylvania, the following Fraternity and Sorority Advisory Board Disciplinary Charter was established. This Charter is intended to establish a framework for fraternity/sorority governance, and to hold fraternities and sororities accountable to standards of conduct. There is a fundamental difference between the proceedings detailed herein and those of a court of law. This judicial charter is within the University community and is part of the educational process. To the greatest degree possible, the process detailed herein should remain informal, non-adversarial, and directed towards achieving fundamental fairness for all parties involved.

As outlined in the Charter, the Fraternity and Sorority Advisory Board is to be a fair and impartial board which will recommend to the Vice Provost for University Life actions necessary to ensure the commitments and obligations of both the fraternities/sororities and the University are being maintained (as outlined in the policy on “Recognition and Governance of Undergraduate Social Fraternities and Sororities” (Recognition Policy). Each recognized fraternity or sorority, and its associated sponsoring body, agrees to abide by the basic principles applied to any University affiliation with an externally incorporated organization, including commonality of goals and standards, disclosure of principals, mechanisms for accountability, and provisions for the discontinuation of the affiliation should goals diverge or standards decline in ways that would expose the University to liability or loss of reputation. To accomplish this, each fraternity and sorority will be held collectively responsible for the well being of its members, the chapter’s performance, as well as the reputation of the organizations within the University community.

The University recognizes that fraternities and sororities are associations of students, operated to enhance the educational experience. It is appropriate that the University provide support services that will help the chapters function effectively and will protect their stability given the inherent turnover of membership and leadership.

The following document defines the judicial system for cases involving collective responsibility of fraternities and sororities. This document details the required procedures for the resolution of violations of the Recognition and Governance of Undergraduate Social Fraternities and Sororities at the University of Pennsylvania (the “Recognition Policy”) within the fraternity and sorority system and between these Organizations and the Community. In addition, should a conflict come to the attention of OFSA, the Director has the authority to mediate conflicts prior to engaging in any formal judicial process.

I. Fraternity/Sorority Advisory Board
   A. Jurisdiction
1. There shall be a University-wide board of original jurisdiction to be known as the Fraternity/Sorority Advisory Board (the “Advisory Board”). The Advisory Board shall have exclusive original jurisdiction in all cases arising under the policy entitled Recognition and Governance of Undergraduate Social Fraternities and Sororities at the University of Pennsylvania (the “Recognition Policy”), as amended from time to time, involving University recognized fraternities and sororities as defined by the Recognition Policy. The Advisory Board shall have no jurisdiction over complaints brought against individual students under the Charter of the University Student Disciplinary System except to the extent a complaint arising out of the same activity or event is also brought against a fraternity or sorority.

2. The Advisory Board will also hear appeals regarding sanctions levied by the Interfraternity and Panhellenic Judicial Inquiry Boards (JIB). Such appeals shall be made to the Advisory Board in accordance with the IFC or Panhellenic JIB Charters. (As used in this Judicial Charter for the Advisory Board, the term “respondent” or respondent chapter” shall mean a University-recognized fraternity or sorority as more fully described in Section B of the Recognition Policy entitled “Framework for Recognition – Applicability of Recognition Policy.”)

B. Composition

1. The Advisory Board will be composed of:

   4 faculty (one of whom shall serve as chair)
   3 Greek students (one from Panhellenic, BIG-C and IFC each)
   1 non-Greek student
   2 members from the Greek Alumni Council
   2 non-voting administrators

   a. Faculty members will be selected by the Faculty Senate Executive Committee. The communication to the faculty selected should be clear that we need their participation in this role.
   b. The three Greek students will be selected by each organization’s respective president with the approval of their Executive Board. Interested students will apply in writing and be interviewed by the Interfraternity, Panhellenic, and Biocultural InterGreek Councils.
   c. The non-Greek student will be appointed by the Nominations and Election Committee of the Undergraduate Assembly.
d. The Greek Alumni Council (GAC) members will be selected from the general membership of the GAC. The appointee must have been an active member of the GAC for the year preceding his/her appointment.
e. The two non-voting administrators (one being the Director of Fraternity and Sorority Affairs) will be appointed by the Vice Provost for University Life.

C. Responsibility

a. Monitor the efforts of the IFC/Panhellenic/BIG-C in achieving the goals and objectives of their strategic plans.
b. Audit each chapter at least once annually based on the required paperwork that each chapter submits annually to the Office of Fraternity and Sorority Affairs (OFSA). Assign specific goals for quality improvement of each chapter based on these annual reviews.
c. Support the offices of OFSA to improve compliance of chapters with University policies.
d. Meet with all chapters that are in violation of established University rules that are non-compliant with expected performance standards, or that are sub-optimal in achieving their target goals of performance.
e. Address, as outlined in this charter, any incidents of misconduct related to fraternities and sororities, especially those that result in injury, illness, psychological harm, or property damage.
f. Meet at least seven times during the academic year to conduct the audit review and attend to hearing of misconduct, and to monitor progress on probationary agreements.

This committee should report on an annual basis to the Provost, the President, the Chair of the Faculty Senate, and the Undergraduate Assembly.

D. Conflict of Interest

1. Definition
   On occasion, the presence and/or participation of a particular Advisory Board member may be deemed as representing a conflict of interest with the role of the Advisory Board. Such “conflict of interest” shall be defined as either (a) membership in a fraternity or sorority involved in a disciplinary incident under Advisory Board review, or (b) involvement or affiliation with a particular incident or its participants which may impair his or her ability to consider objectively and impartially the facts of any situations or any Advisory Board review.

2. Procedures
   Alleged conflicts of interest must be brought to the director of Fraternity and Sorority Affairs by any member of the Advisory Board, any member of the University community, or any representative of the fraternity or sorority under review at least forty-eight hours prior to the review proceedings. In instances of conflict of interest, it is an Advisory Board member’s obligation to withdraw from the Advisory Board prior to the convening
of the review. In addition, at the beginning of any review the Chair shall ask all Advisory Board members if there are any conflicts of interest involved in the review. The Chair shall then conduct discussion. Final determination of conflict of interest shall be made by a majority vote of the Advisory Board members present for the review (excluding ex-officio members and the advisory Board member who is the subject of the conflict of interest vote). The chair (as defined in Section II. A.1. below) shall vote only in order to break a tie vote. To facilitate such determinations, the fraternity or sorority under review shall present to the Director a full list of all participating fraternity or sorority representatives and witnesses and their roles and affiliations at least five calendar days prior to the date of the Advisory Board’s review; information concerning the composition of the Advisory Board shall be given to the fraternity/sorority at least ten calendar days prior to the review. The minutes shall reflect any withdrawal due to conflict of interest.

3. Implementation
   Any Advisory Board member who is deemed to have a conflict of interest by the Advisory Board shall not be present at internal Advisory Board discussions, shall not vote on any issue relating to the review in question, and shall not receive Advisory Board minutes or other confidential written materials pertaining to the review in question. The individual shall be permitted to participate in the review on behalf of the fraternity/sorority or on behalf of the Administration.

4. Disqualification of Advisory Board Members
   Members of the Advisory Board may disqualify themselves from hearing the case if they believe, in good faith, that their capacity for making an objective judgment in the case is or may appear to be impaired.

E. Quorum

1. The quorum required to start a meeting/review will consist of at least one GAC member, three faculty members, and two student members (excluding any ex-officio member or any individual disqualified because of conflict of interest). The members attending the first meeting of any review shall be termed the “original quorum.”

2. The quorum required for continuing the review is five members, including at least two members who have been present at all of the preceding reviews and constituted part of the “original quorum”. The Chair (as defined in Section II.A.1, below) shall vote only in order to break a tie vote. All decisions require a majority vote of those present and eligible to vote.

F. Operation of the System
1. The Office of Fraternity and Sorority Affairs (OFSA) shall provide administrative support for the Advisory Board: verify student standing, schedule hearings, take and prepare minutes, and process all other paperwork for the Advisory Board.

2. For the purpose of calculating days as required in this charter, only the fall and spring semesters shall be considered. Days shall be counted on a calendar basis, including Saturdays, Sundays, and holidays when the University is in session. No days will be counted when the University is not in session, except with agreement from the complainant.

G. Confidentiality of Judicial Records and Process

1. The identity of individuals in particular cases before the Director of OFSA, the Director of the Office of Student Conduct, the FSAB, or the VPUL, and all files and testimony as to individuals, are confidential, in accordance with University guidelines concerning the confidentiality of student records pursuant to the Family Educational Rights and Privacy Act of 1974, as amended.

2. Sanctions against chapters are not confidential.

II. Staff

A. Chair

1. The Faculty member with the most experience with the FSAB shall serve as Chair. The Chair shall administer this Chapter and preside at all meetings and reviews. The Chair is responsible for overseeing the procedural integrity of this Advisory Board. The Chair will, for example, consider and resolve pre-review challenges to procedures. Such decisions by the Chair will be affirmed by the Advisory Board at the beginning of each review (see Section III.D.6.b.). The Chair will also alert Advisory Board of inconsistencies between the demands of fairness and its actions at any point procedural issues and convey their advice, together with his or her own recommendations, to the Advisory Board.

2. In cases where a “conflict of interest” (as previously defined) arises that disqualifies the Chair, or when the Chair is otherwise absent, the Faculty member present who is next most senior with respect to continuous tenure of service on the Advisory Board shall act as Chair.

3. The Chair will advise respondents, complainants, and their advisors, of procedural matters.
4. The Chair may confer with appropriate University officials regarding the provisions of this Charter.

5. In the event the appointed Chair cannot be present at a meeting of the Advisory Board, an Acting Chair shall assume the responsibilities of the Chair. The Faculty member present who is most senior with respect to continuous tenure of service on the Advisory Board shall serve as Acting Chair.

B. Director of Fraternity and Sorority Affairs (Director)

The Director shall be a University employee and shall be appointed by the VPUL. The duties of the Director of Fraternity and Sorority Affairs under this Charter will be to resolve by agreement changes against the chapters; to present history and information about the chapter in reviews before the Advisory Board after a determination of collective responsibility; to ensure that agreements and sanctions are enforced; to perform all other responsibilities specified in this Chapter.

C. Director, Office of Student Conduct (OSC).

The duties of the Director of OSC under this Charter will be to investigate complaints against chapters under the regulations of the University and the Recognition Policy; to help determine whether charges involve a chapter’s collective responsibility and subject the chapter to the jurisdiction of this charter and whether such charges should be brought before the Advisory Board; to present at the review relevant evidence concerning the charges. The Director of OSC can testify; call witnesses, present documents before the Advisory Board, and recommend appropriate sanctions.

III. Procedures

A. The Complaint and Investigation

1. Any person who believes that a fraternity or sorority chapter has violated University rules or regulations may file a complaint with the Office of Fraternity and Sorority Affairs (OFSA). OFSA may conduct preliminary fact-finding before a case is forwarded to the OSC for in-depth investigation. The complaint may also be filed with a University office other than OFSA (e.g. Public Safety, OSC, VPUL). The OSC may also bring charges against a chapter on behalf of a complainant who requests anonymity or on behalf of the University in general. Office of Fraternity and Sorority Affairs should be notified of these complaints.
2. The OSC will investigate complaints within the jurisdiction of the Advisory Board and shall decided, after consultation with the Director, if there is reasonable cause to believe that a chapter has violated the Recognition Policy. The OSC shall make the determination of reasonable cause ordinarily after conducting a preliminary investigation. The OSC may interview any appropriate witnesses, including members of a potential respondent chapter. All witnesses have the right to consult with a University advisory, as defined elsewhere in this Chapter, while being interviewed, and the OSC shall inform them that anything they say may later be introduced as evidence at a review.

3. The Director and/or the Advisory Board may proceed under this Charter regardless of possible or pending civil, criminal, or individual Student Disciplinary proceedings arising out of the same or other events. The Director, with concurrence of the VPUL, and other appropriate University officials, shall determine whether the Advisory Board shall, in fact, proceed with the hearing of the charges against a respondent whose members also may face related charges in OSC/Student Disciplinary, civil or criminal proceedings. If the Director defers proceeding with the charges against a respondent in light of related charges, the Director, with concurrence of the VPUL, after consultation with the General Council, may subsequently proceed under this Charter at any time before or after resolution of the other charges.

B. Procedures for Judicial Reviews

1. Notice of Investigation

Within a reasonable time after the OSC receives a complaint and determines that there is reasonable cause that a chapter may be held collectively responsible, s/he will inform the Director of OFSA. The Director will then promptly notify the chapter, and the chapter advisory of record, that an investigation is in progress involving allegations of collective responsibility. At this time and at the Director’s discretion, a letter of Administrative Warning may be issued to the respondent chapter or is consistent with the Recognition Policy.

2. Issuing of charges

At the conclusion of the investigation, the OSC, after consultation with the Director of OFSA, will make a preliminary determination of whether an incident or event involves collective responsibility. If such a determination is made, then the Office of Fraternity and Sorority Affairs will send to the respondent chapter, the chapter advisory of record, as well as the chapter’s national office, a statement of the charges against the respondent and a copy of the chapter status report.
a) The statement will cite the regulation, rules or policies alleged to have been violated and will describe the alleged acts, or failures to act, constituting the violations(s). The statement will also enclose a copy of this Charter and a copy of the regulations, rules or policies alleged to have been violated. The cover letter for the charges should outline the time line for settlement.

b) Additionally, if the Director anticipates that there will be a formal review of the chapter and the violations by the FSAB, the Director of 9OFSA will prepare and include a copy of the chapter status report. The Chapter States Report will be a summary of both positive and negative chapter activity within the fraternal and University communities: financial health, scholarship, IFC/PANHEL/BIGC involvement and support, leadership, alumni(ae) involvement within the chapter and University (GAC/Advisory Board), membership data, faculty affiliation, community development program, and the comprehensiveness of the pledge/membership education program, and may cite any laws, which might have been violated. The report will not be given to the Advisory Board until the sanctioning portion of their deliberations. (The Chapter will have the ability to respond to this report, See Section III.D.3.b.).

C. Agreement of Responsibility

1. The Director, in consultation with the OSC, the National Headquarters, the alumni advisory (whenever possible) and the respondent, may resolve (settle) the complaint by way of an Agreement of Responsibility at any time after the charges have been served and before final disposition by a review of charges by the Advisory Board.

2. After the charges are served, the respondent chapter must promptly schedule a conference with the Director of OFSA to discuss a potential Agreement of Responsibility, otherwise a review will be scheduled in accordance with Section III.D.3 of this Charter. If an Agreement of Responsibility has not been reached within a reasonable amount of time from the date the charges were served, or the Director of OFSA determines an impasse in the resolution has occurred, a review may be scheduled in accordance with Section III.D.3 of this Charter.

3. If the respondent chapter chooses to schedule a conference with the Director of OFSA, the Director will notify appropriate officers from the appropriate JIB (Interfraternity or Panhellenic) that charges have been served against a chapter. A meeting will be scheduled with JIB officers within a reasonable period of time after the charges have been served to discuss options for resolution. Any JIB Officer who is a member of a respondent chapter, is a complainant, or is in any other way involved or affiliated with a particular incident or its participants so that it would impair his or her ability to consider resolution options objectively and impartially, shall be excluded to avoid a conflict.

4. Agreement of Responsibility will be written and signed by the Director, the respondent’s President, the respondent’s chapter advisor of record, a representative of the respondent’s national office, and all members of the respondent chapter. Upon receipt
of the signed agreement, the Chair of the FSAB will be notified that an agreement has been reached.

5. When a determination of collective responsibility has been found and a previous agreement of responsibility exist which includes provisions for further violations, the Advisory Board must uphold the agreement of responsibility and may impose further sanctions, extend the probation or other elements of the previous agreement of responsibility with an amendment to that original agreement.

D. Review

1. Scheduling Disciplinary Hearings

a. If disciplinary charges are not resolved by an agreement of responsibility, the Director of OFSA in coordination with the Chair of the FSAB promptly begins the process of scheduling an FSAB review, with due regard for the time required for all parties to prepare for the hearing. The Director of OFSA will provide reasonable advance notice in writing to the complainant(s), respondent(s), and witnesses of the date, time, and place of the hearing and of the names of the panel members assigned to hear the disciplinary matter.

b. Reviews normally take place as soon as possible after the filing of charges. Upon a showing of good cause by the FSAB, OSC or the respondent(s), the Director of OFSA may grant a reasonable extension of any time limit set forth in the Charter.

2. Pre-Hearing Exchanges and Testimony

a. Before the review and through the Director of OFSA and the FSAB, the OSC and the respondent(s) will exchange copies of all exhibits to be presented, the names of witnesses to be called, and a brief summary of the substance of testimony expected to be presented at the Hearing Panel.

b. When the Director of OFSA and Chair of the FSAB believe that it will contribute to the expedition and fairness of a Disciplinary Hearing, he or she may (but need not) ask the OSC to prepare a written statement of its case against respondent(s) and give the respondent(s) a reasonable opportunity to prepare a written response. The OSC and respondent(s) also may submit statements at their own initiative. The statements and any accompanying exhibits may be considered by the FSAB, in addition to testimony, arguments, or evidence presented at the actual hearing.

c. In exceptional circumstances, when a witness or exhibit does not become known or available until immediately before the hearing, the Chair of the FSAB may, at her or his discretion, permit the evidence to be presented or may reschedule the hearing to a later time.

d. If a respondent or the OSC anticipates that a key witness will be unavailable for a hearing, they may ask the Director of OFSA and/or Chair of the FSAB to
preserve the testimony of the witness on tape and present it as evidence at the hearing. The OSC and the respondent(s) must be notified in advance of the date, time and place of the taping. All parties who would be permitted to question such a witness at a hearing may question the witness at the taping.

3. Conduct of Reviews

a. Disciplinary hearings are not trials, and they are not constrained by technical rules of procedure, evidence, or judicial formality. They are designed to encourage open discussion among the participants that promotes the Advisory Board’s understanding of the facts, the individuals involved, the circumstances under which the incident occurred, the nature of the conduct, and the attitudes and experience of those involved. The rules of evidence applicable to legal proceedings do not apply to disciplinary hearings. Information, including hearsay evidence, may be considered if it is relevant, not unduly repetitious, and the sort of information on which responsible persons are accustomed to rely in the conduct of serious affairs.

b. The Chair of the FSAB presides over all hearings and decides all questions about the admissibility of evidence and the conduct of hearings.

c. Reviews are held in private unless the respondent(s) and the complainant(s) agree in writing in an open hearing. The Chair of the FSAB may limit attendance at a hearing to ensure fair and orderly proceedings. If a hearing is opened in accord with this procedure, the Chair of the FSAB may, when necessary to maintain order or to protect the rights of participants, declare the hearing closed to the public. In a case involving important privacy interests, the Chair of the FSAB may close a hearing or part of a hearing that has been opened upon determining that the privacy rights of a participant may be jeopardized.

d. Upon a showing that he required notice was provided, the hearing against a respondent(s) may proceed in her or his absence.

e. At the hearing, the OSC presents the result of the OSC’s investigation of the complaint, calls witnesses to testify and presents the University’s evidence against the student(s). Members of the Hearing Panel may also call witnesses to testify and may question any witness appearing before it. Respondents may also call witnesses to testify and ask questions of all witnesses.

f. A respondent is responsible for presenting his or her own case before the Advisory Board. However, at the discretion of the Chair of the FSAB, the respondent’s advisor may be permitted to question witnesses on behalf of a respondent or to address the Advisory Board. The Chair of the FSAB may exercise discretion in this matter will be guided by the principles that govern disciplinary hearings, specifically, fairness, the need for orderly procedures, and the Hearing Panel’s duty to understand the facts and parties in the disciplinary matter.

g. Complainants may attend the hearing, testify if they wish to do so, and may be accompanied by an advisor. Neither complainants nor their advisors may call witnesses or present evidence or arguments.
h. At the conclusion of the hearing the OSC and the respondent(s) or their advisor(s) may make brief statements. At the discretion of the Chair of the FSAB, the complainant(s) or their advisor(s) may be permitted to make a brief statement. The time allowed for such statements will be set by the Chair of the FSAB.

i. The OSC will arrange for a verbatim transcript or recording to be made of all disciplinary hearings. The transcript or recording is the property of the University of Pennsylvania and becomes part of the record of the disciplinary proceedings.

4. Findings and Recommendations of the Advisory Board

a. Following the hearing, the members of the Advisory Board meet to discuss in private their findings, which consist of two parts: 1) a determination of whether the respondent chapter is responsible for any violation; and 2) if so, a recommendation of sanction(s).

b. Only evidence presented at the hearing will be considered by the Advisory Board for a decision on this incident and possible violations of law or University policy. The Advisory Board will presume a respondent innocent unless proven responsible for a violation by clear and convincing evidence. All decisions of the Advisory Board require a majority vote.

c. The OSC may recommend to the Advisory Board a sanction to be imposed if the Advisor Board finds the respondent chapter(s) responsible for a violation. The respondent chapter(s) may respond to the OSC’s proposed sanction(s). Before the Advisory Board makes it recommendations on sanctions, it will review any previous disciplinary offenses by and sanctions the respondent(s) and the chapter status report (as outlined in Section IIIB.2b).

d. If the Advisory Board determines that the respondent chapter(s) is not responsible for a violation, no sanction may be recommended against the respondent(s) and the respondent may not be subject to further proceedings under this Charter on the same charge(s).

e. If the Advisory Board finds that a respondent chapter is responsible for a violation of University rules or regulations, it will recommend to the Vice Provost for University Life appropriate sanctions. Only the Vice Provost for University Life (or designee), acting on behalf of the University, may actually impose a sanction on a chapter. The Vice Provost for University Life (or designee) will not impose a sanction until after any appeal of the Advisory Board’s decision has been decided by the Vice Provost for University Life.

5. Notice of Advisory Board Decision

The Director of OFSA will promptly transmit its decision, including its findings and recommendation regarding sanctions, in writing to the Advisory Board, the OSC, the
respondent(s) and the Vice Provost for University life as soon as possible after the end of the hearing.

E. Advisors to the Respondent and the Complainant

1. At hearings before the Advisory Board, each respondent and complainant may be accompanied by an advisor who is a member of the University community (student, faculty, or staff) or of a national or local alumni sponsoring organization; advisors may address the Board.

2. Attorneys may not serve as advisors unless the previously designated alumnus/a chapter advisor is an attorney by profession. If criminal charges are pending against a respondent or its members, the chapter may be accompanied and advised by an attorney; however, the attorney may not address the Advisory Board or directly participate in the hearing.

3. Advisors are obligated to acquaint themselves thoroughly with the University’s policies, regulations, and procedures, and must hold confidential any information which they learn through their participation in the proceedings.

4. At least five calendar days before the hearing the complainant and/or respondent will notify the OFSA of the name, address, title and relationship of their advisor who will be present.

F. Failure to Appear, Cooperate, or Comply

1. A fair, conclusion adjudication of a dispute under this Charter depends on the cooperation of all involved persons, including complainants, respondents, and witnesses. Therefore, all community members who may be interviewed are obliged to provide honest, complete statements to the Director, he OSC, and the Advisory Board in order that dispute may be equitably resolved as quickly as possible.

2. If the Advisory Board determines that a witness failed to appear or cooperate with the investigation and/or review, the Advisory Board may serve as complaint seeking, disciplinary sanctions described in the Charter of the University Student Disciplinary System (Section IV.C.7bi.)

3. The failure of a respondent chapter or its individual members to comply with sanctions shall be a violation of this Charter and the University’s Policies and Procedures.
Fundraising Guidelines

I. University Organizations

A. Student organizations are permitted to raise funds for their own group activities and for non-University charities. All fundraising events and activities by student organizations recognized by the Student Activities Council (SAC), funded by the Graduate and Professional Student Assembly (GAPSA), or sponsored by the Undergraduate Assembly (UA) must be approved, in advance, by the Executive Director of the Office of Student Affairs. All fundraising events and activities by “School Affiliated” student organizations must be approved, in advance, by the relevant School student affairs administrator. Approval will only be granted for fundraising on behalf of charities which are nonprofit, tax exempt organizations.

B. The procedures for reserving and using University facilities apply to fund-raising activities by University organizations. See also the Concert Policy.

C. Student fundraising activities must be in compliance with University, municipal, state, and federal policies.

D. All checks received by student organizations in support of their own group activities must be made payable to the Trustees of the University of Pennsylvania and must be immediately endorsed with “For deposit only to the account of the Trustees of the University of Pennsylvania” on the back of the check. Checks received in response to charitable projects for non-University charities must be made payable to the non-University charity.

E. Student organizations should follow reasonable procedures for safeguarding cash. The number of individuals authorized to receive and handle cash should be limited. The individuals who receive cash should prepare a log of all receipts, broken down by cash, checks payable to the University, and checks payable to the non-University charity, including the dates and amounts received, with totals for each category. Currency and checks should be kept in a secure location, and stored in a safe or other locked secure place with restricted access until deposited by the University or delivered to the non-University charity.

F. Funds raised by student organizations for their own group activities must be deposited in a University account and disbursed in accordance with established student activities guidelines. SAC recognized, GAPSA funded and UA sponsored student organizations should hand deliver all checks made payable to the University and all cash to the Office of Student Affairs Business Office Manager. The Office of Student Affairs should compare the record of the cash receipts and checks with the amount to be deposited. School Affiliated student organizations should hand deliver all checks and cash to their respective School Business Offices. Student organizations should not use cash received to pay expenses.

G. Checks made payable to a non-University charity should be sent by the student organization directly to the charity. The University will not issue gift receipts on behalf of non-University charities. Student organizations should contact non-University charities to determine whether the charities will provide gift receipts directly to donors.

II. Non-University Groups

Non-University groups must follow the procedures for reserving and using University facilities at Perelman Quad.

Source: Almanac - April 26, 2011, Volume 57, No. 31
Graduation Honors

In recognition of distinguished academic achievement and high standards of academic integrity, the University of Pennsylvania awards Latin honors to undergraduate students based on the cumulative GPA on their transcripts at the time of graduation:

Summa Cum Laude 3.80 or higher;

Magna Cum Laude 3.60 or higher, but less than 3.80;

Cum Laude 3.40 or higher, but less than 3.60.

Students who are found by the Office of Student Conduct to have violated the Code of Academic Integrity of the University of Pennsylvania or who have received a sanction of suspension or greater for other violations of the Code of Student Conduct are not eligible for Latin honors. Notation of Graduate Honors will be removed from the transcript if the finding occurs after this honor has been posted.

Source: Almanac – April 20, 2010, Volume 56, No. 30
Guidelines for Addressing Academic Issues of Students with Disabilities

Policy Statement

The University of Pennsylvania is committed to providing equal educational opportunities to all students, including students with disabilities. Penn does not discriminate against students with disabilities and provides reasonable accommodation to a student's known disability in order to afford that student an equal opportunity to participate in University-sponsored programs.

Reason for Policy Guidance

This Policy Guidance, known as the Provost's Memorandum, serves two purposes:

- To provide guidance to faculty and academic support staff so that they may reasonably accommodate students with disabilities without compromising academic standards and requirements.
- To assure students with disabilities that the University will provide access to all University-sponsored programs, benefits and activities through reasonable accommodation and program accessibility as required under the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA).

Protection from Discrimination

The Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 prohibit discrimination against people with disabilities by institutions like Penn that receive or benefit from Federal financial assistance. The ADA further protects from discrimination persons who are associated with an individual disability.

Definitions

Disability--Under the law, a person with a disability is defined as an individual who (1) has a physical or mental impairment that substantially limits one or more major life activities (2) has a history or record of such an impairment, or (3) is regarded as having such an impairment. Examples of recognized disabilities under the law include, but are not limited to, blindness, deafness, paralysis, cystic fibrosis, lupus, mental illness, HIV/AIDS and specific learning disabilities including Attention Deficit Hyperactivity Disorder (ADHD).

Reasonable Accommodation-- a modification or adjustment to an academic program that enables an otherwise qualified individual with a disability full access to participation in University-sponsored programs. These modifications should not alter the fundamental purpose of the course.

Reasonable accommodation is determined on an individual basis and will reflect the functional impairment so that accommodation(s) may vary from class to class depending upon course content and format. Accommodations are intended to be effective and reasonable; they may not be exactly what the student wishes or requests.

Appropriate Documentation - a written evaluation or report provided by a clinician in a specific profession or area of expertise who is considered qualified to make the diagnosis. The documentation must be current, comprehensive and may include clinical and social histories from parents, counselors and specialists. A diagnosis must be included. Accommodations must relate to the student's specific functional limitations within the academic setting. The documentation must conform to well-established practices in specific areas/fields.
Responsible University Office

Since January 2002, all students with disabilities are served by the Office of Student Disabilities Services, located in the Weingarten Learning Resources Center under the Office of the Vice Provost of University Life.

The Office of Student Disabilities Services is available to assist faculty, academic support staff, and students in reaching a joint determination of academic accommodations, where needed.

Weingarten Learning Resources Center
Office of Learning Resources
Office of Student Disabilities Services

3702 Spruce Street, Suite 300
(Stouffer Commons)
Philadelphia, PA 19104-6027

For additional information on this Memorandum, contact the above responsible University office.

Accommodation Procedure

The Role of Students
All students with disabilities who seek an accommodation at Penn have the responsibility to identify themselves to SDS. Identification may take place at admissions or at any time during the student's course of study.

All students with disabilities have the responsibility to provide documentation at their own expense in order to be considered for accommodations. SDS may request additional documentation from students if the determination of a disability is inconclusive, or if the documentation does not support the accommodations requested.

The request for accommodation and supporting documentation must be provided in a timely manner.

After documentation of disability has been approved and accommodations have been proposed, students must give permission for letters to be sent to all instructors in whose classes accommodations are being requested. Instructors should review the proposed accommodations (see below). After there is agreement on the appropriate accommodation, students are encouraged to introduce themselves to professors directly and to initiate a dialogue about their particular needs.

Role of Faculty and Academic Support Staff
Faculty members and academic support staff have a responsibility in ensuring equity in their programs and classrooms. However, the modifications offered should not fundamentally alter the academic requirements essential to a program of study or to licensing prerequisites.

Once faculty members have been notified officially, through presentation of a verification letter from SDS, that a student has a disability and that accommodations are being requested, instructors should review the proposed accommodations. If an accommodation is found to alter fundamentally the academic structure or essential nature of a course the instructor should contact SDS as quickly as possible to request modification of the proposed accommodation, as the presence or absence of an accommodation may affect the students’ ability to take the course.
It is also important to recognize that students with disabilities must reach the same performance standards to fulfill degree requirements as their non-disabled peers. Accommodation provides the student with a disability with equity, not unfair advantage.

Faculty and academic support staff are required to consider accommodations only for students who are registered with SDS through presentation of a verification letter from that office. If faculty have not received verification letters, they should instruct students to contact SDS.

Confidentiality

All documentation provided by the student resides with the Office of Student Disabilities Services, which will assess the need for accommodations. This information will be kept as confidential as practical while the accommodations are being considered and thereafter.

Having presented appropriate documentation of disability to SDS, the student is not required to present it to individual professors, programs, or schools.

Faculty should refrain from discussing a student's issues regarding disabilities and accommodations for them in front of the class, in the presence of other students, or to faculty or staff not directly involved in the accommodation process.

Examples of Suggested Accommodations

The following suggestions represent some, but not all, of the ways faculty and academic support staff may be asked to accommodate students:

- Providing students with course information such as reading lists, textbooks and syllabi in advance of the start of classes where alternate formats for print material are necessary so that the student can obtain audio recordings of reading material or make textbook enlargements before the start of classes. This gives students with reading disabilities the opportunity to begin their reading early, and the advanced time required for those who rely on recordings.
- Submitting course information to the Registrar in a timely fashion. If a particular classroom is inaccessible to a student registered for the class, the classroom may have to be modified or the class moved to another location that is accessible. (Inaccessible laboratory areas will be modified, as needed.)
- Allowing students to record lectures or use assistive listening devices.
- Allowing Oral or American Sign Language interpreters to attend classes to translate lectures or permitting stenographers to transcribe lectures.
- Reproducing reading materials, exams, charts and graphs in large print.
- Allowing students additional time to complete exams.
- Allowing alternate test formats (e.g. oral exams in lieu of written ones.)
- Permitting students to take exams in alternate locations.
- Permitting students to use equipment to take examinations (e.g., closed circuit television that enlarges print, or a word processor).

The appropriateness of any one or more of these or any other accommodations must be determined on an individual basis giving due regard to the available medical documentation and the essential nature and integrity of the academic program or course of study involved.
Concerns and Complaints

The Office of Affirmative Action and Equal Opportunity Programs is responsible for overseeing the University's implementation of its equal opportunity and nondiscrimination obligations arising under federal, Commonwealth, and local laws. Any concerns or complaints relating to perceived violations of the Provost's Memorandum should be addressed to this office.

To register a concern or file a complaint if there is uncertainty about whether a request is reasonable or if there is disagreement about an accommodation, contact this office.

Educational Resources and Publications

There are several helpful educational and resource publications available through the Office of Student Disabilities Services and the Office of Affirmative Action and Equal Opportunity Programs:

- Office of Affirmative Action Fact Sheet and other printed information describes the network of services, policies and procedures.
- ADA Compliance Guide published by Thompson, a complete index.
- Section 504 Compliance Handbook, a complete index.
- Guidelines for Communicating About People with Disabilities.

(Source: Almanac, December 7, 1999)
Guidelines for Research in the Community

A significant number of Penn faculty and students are engaged in research that involves the study of the Philadelphia community, and, in particular, West Philadelphia, or that involves community members as research subjects. As in all research conducted under the auspices of the University, such research should adhere to the appropriate protocols for the protection of human subjects and must be approved by the University's Institutional Review Board.

Although the Institutional Review Board does an excellent job of protecting individual subjects, community-based research raises additional questions about research protocols and approaches. The populations studied are often Penn’s neighbors, and as such, the approaches undertaken should reflect the importance of that relationship to Penn, and the values of mutual respect and trust that should guide all of our collaborative activities with the community. The University also recognizes that mutual respect and trust are necessary preconditions for the honest and open exchange of ideas that is essential to genuine learning and the advancement of academic inquiry.

The University views its relationship with the Philadelphia community as a partnership. Accordingly, and to the extent possible, Penn faculty and students should engage the community in helping to plan research projects. Also, the findings should be shared with the community so that all parties can benefit.

1. As in all research involving human subjects, undertaken under University auspices, research in the community must be approved by the Institutional review Board, and meet all of the required protections of human subjects.

2. Whenever possible, researchers investigating community issues should work with community-based organizations to discuss all aspects of the research process, including problem definition, hypothesis generation, study design, data analysis, and dissemination.

3. Whenever possible, researchers should have a dissemination plan that includes distribution or presentation of results to community members and organizations, particularly those who participated in the research.

4. Researchers should determine if other projects are underway in a community, and whenever possible, coordinate efforts with other research projects to minimize disruption and maximize positive impacts on community members and organizations.

5. In the spirit of mutual learning and benefit, researchers should consider how study results could be used to the benefit of the community whenever possible, and should make extra efforts to communicate those recommendations to appropriate community members.

(Source: Almanac, May 19/26, 1998)
Guidelines for Student Protection in Sponsored Research Projects and Student Access to Information Regarding Sources of Financial Support

Preamble

Participation in sponsored research may be an important part of a student's undergraduate or graduate education, as well as an important source of his or her financial support. The University recognizes that the student must be protected in cases where the terms of the research project conflict with the student's academic progress, and affirms that the student has the right to reject such funding if he or she chooses to do so. The University recognizes the sensitivity of these issues, since they pertain directly to the relationship of personal trust which exists between a student and his or her faculty sponsor; they are also fundamental to the development of the student's intellectual and moral integrity. Therefore, the University adopts the following policy:

1. The University recognizes the central role of sponsored research in fostering educational opportunities for students at all levels and in every discipline and encourages the involvement of students in research projects. On rare occasions, the terms of a research agreement may contain limitations which may inhibit the participation of students, such as delays in publication results which might conflict with a student's academic schedule. In such cases, the University requires that careful consideration be given to the appropriateness of student participation and that the Faculty Sponsor or Principal Investigator assures in advance that students are fully aware of such restrictions.

2. The University affirms the student's right to know the source(s) of financial support for his or her educational and living expenses, individual research projects, or the research activities of a faculty sponsor in which the student is involved and from which the student obtains financial support. It is the responsibility of the faculty sponsor to make this information known to the student.

3. Should a student choose to reject financial assistance, the University affirms and upholds the student's right to do so.

(Source: Almanac, October 21, 1986)
Guidelines on Open Expression

I. Principles

A. The University of Pennsylvania, as a community of scholars, affirms, supports and cherishes the concepts of freedom of thought, inquiry, speech, and lawful assembly. The freedom to experiment, to present and examine alternative data and theories; the freedom to hear, express, and debate various views; and the freedom to voice criticism of existing practices and values are fundamental rights that must be upheld and practiced by the University in a free society.

B. Recognizing that the educational processes can include meetings, demonstrations, and other forms of collective expression, the University affirms the right of members of the University community to assemble and demonstrate peaceably in University locations within the limits of these Guidelines and undertakes to ensure that such rights shall not be infringed. In keeping with the rights outlined in I.A. above, the University affirms that the substance or the nature of the views expressed is not an appropriate basis for any restriction upon or encouragement of an assembly or a demonstration. The University also affirms the right of others to pursue their normal activities within the University and to be protected from physical injury or property damage. The University shall attempt to ensure that, at any meeting, event or demonstration likely to be attended by non-University law enforcement authorities, the rights provided by these Guidelines are not infringed.

C. The University shall be vigilant to ensure the continuing openness and effectiveness of channels of communication among members of the University community on questions of common interest. To further this purpose, a Committee on Open Expression has been established as a standing Committee of the University Council. The Committee on Open Expression has as its major tasks: participating in the resolution of conflicts that may arise from incidents or disturbances implicating these Guidelines; mediating among the parties to prevent conflicts and violations of these Guidelines; interpreting these Guidelines; advising administrative officers when appropriate; and recommending policies and procedures for the improvement of all levels of communication.

D. In case of conflict between the principles of the Guidelines on Open Expression and other University policies, the principles of the Guidelines shall take precedence.

II. Definitions

A. For the purposes of these guidelines, the "University community" shall mean the following individuals:

1. Persons who are registered as students or who are on an unexpired official leave of absence.
2. All persons who are employed by the University.
3. Trustees and associate trustees of the University and members of Boards of Overseers or other bodies advisory to the University.

B. For the purposes of these Guidelines, "meeting" and "event" designate a gathering of persons in a University location previously reserved for that purpose. Unless designated as public, meetings are considered to be private. Events are considered to be public. "Demonstration" designates the presence of one or more persons in a University location with the intent to express a particular point of view in a manner that attracts attention, as in protest, rallies, sit-ins, vigils, or similar forms of expression. "University location" designates:

1. The campus of the University;
2. Any location owned, leased or used by the University, when used by members of the University community; and
3. Areas immediately adjacent thereto.
III. Standards

A. The University, through the President, the Provost, and the Vice Provost for University Life, shall act to encourage and facilitate free and open expression within these Guidelines.

1. The University shall publish these Guidelines at least once each academic year in a manner that brings them to the attention of members of the University community. The University shall publish the rules adopted pursuant to IV.B.1 by the Committee on Open Expression at least once each academic year in a manner that brings them to the attention of members of the University community.

2. The University shall establish standards for the scheduling of meetings and events. This shall involve:

   a. Publishing policies and procedures whereby members of the University community, upon suitable request, can reserve and use designated spaces within University buildings for public or private meetings or events;
   
   b. Publishing policies and procedures whereby members of the University community, upon suitable request, can reserve and use designated outdoor spaces on the University campus for public meetings or events;
   
   c. Publishing policies and procedures that specifically address requests involving groups composed entirely or predominantly of persons who are not members of the University community (see Section VI);
   
   d. Consulting with the Committee on Open Expression with regard to the substance of the policies and procedures and the manner of their publication; and, if practicable, consulting with the Committee on Open Expression before denying a request for use of a room, facility, or space by an organization recognized by the University for a reason other than prior assignment of the room, facility, or space. In any event, any such denial must be reported promptly to the Committee.

B. Each member of the University community is expected to know and follow the Guidelines on Open Expression. A person whose conduct violates the following Standards may be held accountable for that conduct, whether or not the Vice Provost or delegate has given an instruction regarding the conduct in question. Any member of the University community who is in doubt as to the propriety of planned conduct may obtain an advisory opinion from the Committee on Open Expression in advance of the event.

1. Individuals or groups violate these Guidelines if:

   a. They interfere unreasonably with the activities of other persons. The time of day, size, noise level,* and general tenor of a meeting, event or demonstration are factors that may be considered in determining whether conduct is reasonable;
   
   b. They cause injury to persons or property or threaten to cause such injury;
   
   c. They hold meetings, events or demonstrations under circumstances where health or safety is endangered; or
   
   d. They knowingly interfere with unimpeded movement in a University location.

2. Individuals or groups violate these Guidelines if they hold a demonstration in the following locations:

   a. Private offices, research laboratories and associated facilities, and computer centers; or
   
   b. Offices, museums, libraries, and other facilities that normally contain valuable or sensitive materials, collections, equipment, records protected by law or by existing University policy such as educational records, student-related or personnel-related records, or financial records; or
   
   c. Classrooms, seminar rooms, auditoriums or meeting rooms in which classes or private meetings are being held or are immediately scheduled; or
   
   d. Hospitals, emergency facilities, communication systems, utilities, or other facilities or services vital to the continued functioning of the University.

3. Individuals or groups violate these Guidelines if they continue to engage in conduct after the Vice Provost for University Life or delegate has declared that the conduct is in violation of the
Guidelines and has instructed the participants to modify or terminate their behavior. Prompt compliance with the instructions shall be a mitigating factor in any disciplinary proceedings based upon the immediate conduct to which the instructions refer, unless the violators are found to have caused or intended to cause injury to person or property or to have demonstrated willfully in an impermissible location.

b. If the individuals or groups refuse to comply with the Vice Provost's or delegate's order, they may challenge the appropriateness of the order to the judicial system. If the judiciary finds that the conduct was protected by the Guidelines, all charges shall be dismissed.

c. Individuals or groups complying with the Vice Provost's or delegate's order may request that the Committee on Open Expression determine if the Guidelines were properly interpreted and applied to their conduct.

* An "unreasonable noise level" is defined as sound above 85 decibels measured by a calibrated sound-level meter at an "A" weighting on "slow" response ten feet away from and directly in front of the source, amplifier or loudspeaker when the latter is within 50 feet of a building.

IV. Committee on Open Expression

A. Composition

1. The Committee on Open Expression consists of thirteen members: five students, five faculty members, two representatives of the administration, and one A3 representative.

2. Members of the Committee are appointed by the steering committee in the following manner:
   a. Student members shall be nominated from undergraduate students, graduate students, and graduate professional students through existing mechanisms for each student body. Undergraduate and graduate and professional students shall rotate majority representation each year. Three undergraduate and two graduate and professional student members shall alternate with two undergraduate and three graduate and professional students every other year.
   b. Faculty members shall be nominated by the Senate Executive Committee.
   c. The administration members shall be nominated by the President.
   d. The A3 representative shall be nominated by the A3 Assembly.
   e. Each member shall be selected for a term of one year beginning the day after Labor Day each year. Any individual may not serve for more than two consecutive terms. Before Commencement, the Committee shall inform the Vice Provost and the University community which of its members will be available during the summer for mediation and advising.
   f. Vacancies shall be filled for the unexpired term by the appropriate nominating body or persons.

3. The chair of the Committee shall be selected by the steering committee from among the members of the Committee on Open Expression.

B. Jurisdiction

The Committee has competence to act in issues and controversies involving open expression in accordance with these Guidelines. The Committee's responsibilities are the following:

1. Issuing rules to interpret or give more specific meaning to the Guidelines. Before adopting a rule, the Committee must hold an open hearing on the proposed rule and receive the views of individuals or groups. An affirmative vote of eight members is required for adoption, modification or recision of a rule to be effective.

2. Recommending to the University Council proposals to amend or repeal the Guidelines. An affirmative vote of seven members is required to make such recommendations.

3. Giving advisory opinions interpreting the Guidelines at the request of a member of the University community for the purpose of advising that person or the University community. Such advice is
provided to guide future action. If the Committee does not give a requested opinion, it must indicate its reasons for not doing so. The Committee must respond to such requests as soon as feasible but in any event not later than within one month of the receipt by the Chair of the Committee.

4. Giving advisory opinions interpreting the Guidelines at the request of administrative officials with responsibilities affecting freedom of expression and communication. Such advice is provided for the purpose of guiding future action.

5. Mediating in situations that involve possible violations of the Guidelines. Those Committee members available at the time may act on behalf of the Committee. In carrying out the mediation function, the Committee or those members present may advise the responsible administrative officials and any other person with respect to the implementation of the Guidelines. Those Committee members who have acted on behalf of the Committee must report on their activities to the full Committee.

6. Reviewing the following administrative decisions for the purpose of providing advice on future actions.
   a. At the discretion of the Committee, administrative decisions involving these Guidelines made without consultation with the full Committee.
   b. All instructions by the Vice Provost or delegate to modify or terminate behavior under Section III.B.3 of these Guidelines.

7. Investigating incidents involving the application of these Guidelines to aid the Committee in its functions of rulemaking, recommending changes in the Guidelines or issuing advisory opinions. Such functions provide guidance to the University community for future action. The results of Committee investigations for these purposes shall not be a part of the initiation, consideration or disposition of disciplinary proceedings, if any, arising from the incidents.

8. Adopting procedures for the functions of the Committee, varied to suit its several functions, consistent with these Guidelines. Procedures that are not wholly matters of internal Committee practice must be made public in advance of implementation. Except as otherwise provided, the Committee may determine its own voting procedures.

9. Submitting an annual report to the Council and the University on the status of the Committee’s work in the University journal of record.

C. Procedures

1. Except as provided with respect to the mediation function in Section IV.B.5, seven members of the Committee constitute a quorum.

2. The Committee can authorize subcommittees, selected from its own members, to act for the Committee in any matter except the issuance of rules interpreting or implementing the Guidelines or the making of recommendations to amend or repeal the Guidelines.

3. The Committee shall respect the privacy of individuals as its general policy and shall maintain the right to declare the confidentiality of its proceedings.
   a. If a person appearing before the Committee requests that his or her testimony or information be kept confidential, the Committee shall consider such a request. The Committee then shall determine whether to honor that request and shall inform that person of its decision before testimony is given.
   b. Minutes of particular Committee meetings may be declared confidential by the Committee or be so declared at the discretion of the chair subject to review by the Committee.
   c. All Committee documents containing confidential material, as determined by the chair, shall be clearly marked “confidential” and shall carry a warning against unauthorized disclosure.
V. Responsibilities for Enforcement

A. It is the responsibility of the Vice Provost for University Life (hereafter referred to simply as the “Vice Provost”) to protect and maintain the right of open expression under these Guidelines.

B. Observation of meetings, events or demonstrations, when deemed necessary by the Vice Provost to protect and maintain open expression, shall be the responsibility of the Vice Provost, who may delegate such responsibility. This delegate shall have full authority to act in the name of the Vice Provost under these Guidelines.

1. The observer (Vice Provost or delegate) shall identify himself or herself to those responsible for the meeting or event or to the leaders of the demonstration.

2. The Vice Provost shall attempt to inform the chair of the Committee on Open Expression of meetings, events or demonstrations to which an observer will be sent. The chair may designate a member or members of the Committee to accompany and advise the observer. Such a Committee representative shall also be identified to those responsible for the meeting or event or to the leaders of the demonstration.

3. Except in emergencies, the Vice Provost's authority under these Guidelines shall not be delegated to employees of the University's Department of Public Safety. The role of public safety personnel at a meeting, event or demonstration is defined below, in Section V.C.3.

4. Any observer or Committee representative who attends a meeting, event or demonstration shall respect the privacy of those involved. If there has been no violation of these Guidelines, other University regulations, or applicable laws, an observer, committee representative, or public safety employee who attends a meeting, event or demonstration shall not report on the presence of any person at such meeting, event or demonstration.

C. The Vice Provost or delegate is responsible for enforcing Section III.B. and may instruct anyone whose behavior is violating or threatens to violate these Guidelines to modify or terminate such behavior. The instruction shall include notice that failure or refusal to comply is a further violation according to Section III.B. of these Guidelines. However, an instruction or warning by the Vice Provost or delegate is not a prerequisite for a finding that a violation has occurred.

1. When the Vice Provost or delegate declares that an individual or a group has violated the Guidelines, he or she may request to examine their University identification.

   a. Failure to comply with this request is in violation of the Guidelines.

   b. In the event that any person(s) are deemed by the Vice Provost or delegate, in consultation with available members of the Committee on Open Expression, to have violated the Guidelines and such person(s) refuse to show University or other identification, the Vice Provost or delegate shall if practicable inquire of other individuals present as to the identity of the claimed violator(s). Identification by two other individuals shall suffice to establish identity. Should it not be possible to establish identity in this way, the Vice Provost or delegate may direct that photographs be taken of the participant(s) in the claimed violation. The Vice Provost or delegate must warn the individual(s) that their photographs will be taken unless identification is presented. Photographs and videotapes obtained without such warning may not be used as evidence in disciplinary proceedings. It is preferred that a member of the Committee on Open Expression take any such photographs; however, if no such person is able or willing to do so, another member of the University community may be requested to do so. As soon as safely practicable, all such photographs shall be turned over to the Vice Provost or delegate. Any photographs taken (including videotapes and negatives) shall be used solely by the Office of Student Conduct for the purpose of investigation of alleged violations and possible identification of alleged violators of these Guidelines. If it is determined that no violation has occurred, the Vice Provost or delegate shall destroy the photographs. If a violation is found to have occurred, after identification has
been made and the case has been adjudicated, the Vice Provost or delegate shall destroy the photographs. None of the photographs shall be published. After each incident at which photographs are taken, the Committee on Open Expression shall report on the incident to the University Council, via the chair of the University Council Steering Committee, regarding what happened in the incident, which individuals saw the photographs, and the disposition of the photographs.

2. In carrying out this responsibility for safeguarding the right of open expression, the Vice Provost shall obtain the advice and recommendation of the representatives of the Committee on Open Expression whenever feasible.

3. The Vice Provost or delegate may request members of the University Police to attend meetings, events or demonstrations to help protect the open expression of those involved.
   a. Any person acting as an agent of the Division of Public Safety who attends a meeting, event or demonstration in a University location shall be clearly identifiable as such and in normal duty uniform. (Arms may be carried if they are part of "normal duty uniform.")
   b. Public Safety personnel also may attend meetings, events or demonstrations when requested to do so by the person or group responsible for the event, when prominent public figures are involved, or when the Commissioner of Public Safety or delegate determines that there exists an imminent danger of violence at the event.

4. Terminating a meeting, event or demonstration by force is a most serious step, as this action may exacerbate existing tensions and may lead to personal injury and property damage.
   a. Avoidance of injury to persons by the continuation of a meeting, event or demonstration is a key factor in determining whether it should be forcibly terminated. Property damage and significant interference with educational processes are also factors to be considered and may be of sufficient magnitude to warrant forcible termination.
   b. Whenever possible, the Vice Provost or delegate should consult with the Committee on Open Expression before seeking a court injunction against those involved in a meeting, event or demonstration or calling for police action.
   c. The Vice Provost or delegate shall inform those involved that he or she intends to seek an injunction or call for police intervention before he or she does so.
   d. When a meeting, event or demonstration is forcibly terminated, a full statement of the circumstances leading to the incident shall be publicized by the Vice Provost within the University.

D. 1. Cases involving undergraduate students are referred to the Office of Student Conduct who investigates the event and decides what disciplinary proceedings, if any, to pursue.

2. Cases involving graduate or professional students are referred to the Office of Student Conduct or to the established disciplinary body of the school in which the student is enrolled.

3. Cases involving faculty are referred to the appropriate Dean or to the Provost.
4. Cases involving University staff or administrators are referred to that individual's supervisor or any other person with supervisory responsibility over that individual.
5. Cases involving trustees and associate trustees of the University and members of the Boards of Overseers or other bodies advisory to the University are referred to the Executive Committee of the Trustees.

E. The Division of Public Safety shall not collect or maintain information about members of the University community *, except in connection with alleged crimes, violations of University regulations, or as specifically authorized in writing by the President **. This regulation shall not affect personnel information concerning current, past or prospective employees of the Division of Public Safety.
VI. Non-University Persons

These Guidelines address themselves explicitly to forms of individual and collective expression in a University location by members of the University community. The extent to which the privileges and obligations of these Guidelines may be made applicable in particular circumstances to individuals who are not members of the University community shall be determined by the Vice Provost or delegate. Participants in meetings, events and demonstrations in a University location are required to comply with the instructions of the Vice Provost or delegate. (See III.A.2.c.)

* Videotaped or closed circuit television information collected by posted, fixed location cameras is excluded, as long as it is in conformance with the rules of the CCTV policy as of January 13, 1999.

** to Public Safety and the Open Expression Committee.

(Source: Almanac, March 16, 1993)
Involuntary Leave of Absence

I. Introduction

The University of Pennsylvania provides a wide range of services to support and address the mental and physical health needs of students. Our first concern is for the health and welfare of each individual in our community. Our goal is to enable all of our students to participate fully as members of Penn’s academic community. However, students whose psychiatric, psychological, or other medical condition causes them to pose a threat to themselves or others, or causes them to significantly disrupt the educational and other activities of the University community, may be required to take a leave of absence from the University. Under these circumstances, students will be given the opportunity to take a voluntary leave through the process in place in their school. Should a student decline to take a voluntary leave, the University may determine that the student’s health and welfare, and/or the needs of the community, require a period of involuntary leave of absence. The following policy establishes the protocol under which an involuntary leave of absence may occur and the process for return from leave.

II. Guidelines

The University may place a student on an involuntary leave of absence or require conditions for continued attendance under the following circumstances when the student exhibits behavior resulting from a psychological, psychiatric, or other medical condition that:

- Threatens, harms, or has the potential to harm the health or safety of the student or others;
- Causes or threatens to cause significant property damage; or
- Significantly disrupts the educational and other activities of the University community.

The process for withdrawal and return from leave is set forth below.

III. Withdrawal Process

When a student exhibits any of the behaviors described above, the matter should be brought to the attention of the Office of the Vice Provost for University Life who will be responsible for informing the Vice Provost for Education (or such person who holds those responsibilities at the time) that an involuntary leave may be warranted. The Office of the Vice Provost for University Life will manage the process, convene case conferences, and work with University and School offices to coordinate the delivery of services. In most cases, the student will be required to undergo an immediate assessment of his or her psychological, psychiatric or other medical condition. This assessment will be performed by Counseling and Psychological Services (CAPS), the Student Health Service, or other appropriate professionals.

The student will be notified that the Provost’s Office is seeking to determine whether he or she should be required to take a leave of absence. When reasonably possible, the student will be given the opportunity to confer with the Vice Provost for Education or his/her designee to provide additional information for consideration.
In consultation with the School Dean and the Office of the Vice Provost for University Life, the Vice Provost for Education will review the available information and make a decision that may include the following:

- that the student remain enrolled with no conditions;
- that the student remain enrolled subject to conditions (including a description of those conditions); or
- that the student be placed on an involuntary leave of absence.

If the University’s decision is to allow the student to remain enrolled subject to conditions, then the student’s failure to comply with the conditions may, after appropriate consideration, result in the imposition of an involuntary leave.

If the University's decision is to require an involuntary leave of absence, the decision will also indicate the length of the leave and, in consultation with the student's school, describe the conditions (if any) under which the student may seek to return from leave.

The student shall be informed in writing by the Vice Provost for Education of the leave decision and the basis for the decision, the effective date of the leave, and conditions for return (if applicable). If a student is permitted to remain enrolled subject to conditions, the student shall be informed in writing of the effective date and the duration of the modified attendance.

IV. Appeal

A student subject to this policy may appeal any decision of the Vice Provost for Education to the Provost. A student who wishes to appeal must submit a written letter of appeal to the Provost within three (3) days of receipt of the Vice Provost for Education's decision. The letter of appeal must state why the student believes that the Vice Provost's decision was unwarranted under the circumstances. After reviewing the appeal letter the Provost may meet with the student, as the Provost determines appropriate. In addition, the Provost may review relevant documents and confer with University officials before reaching a decision on the appeal. The Provost will render a decision upholding, rejecting, or modifying the determination of the Vice Provost for Education.

In addition to the appeal process described above, a student subject to this policy may also seek a resolution of concerns through the grievance procedures described in the Penn Book.

V. Temporary Removal

If the Vice Provost for Education has reason to believe, based on the information available, and in consultation with professionals with appropriate expertise, that the student's continued presence on campus poses an imminent threat of significant harm to him or herself or to others in the community, the Vice Provost for Education may take immediate action to remove the student from campus pending receipt and review of relevant information and a determination. At the Vice Provost for Education's discretion, this temporary removal may remain in place pending completion of any appeal process.
VI. Process for Return from Leave

A student seeking a return from leave must apply in writing to the Office of the Vice Provost for University Life. Such a request must be submitted no less than 30 days before the beginning of the semester in which the student seeks to reenroll. The student must demonstrate that he/she has met any conditions for return specified by the University.

The University may require any documentation or evaluation it deems appropriate. (Reports from health professionals should be directed to the director of CAPS or Student Health Services.) In addition, the University may require a release from the student to enable CAPS or SHS to discuss the student's condition with his/her treating health professional.

In consultation with the School Dean and the Office of the Vice Provost for University Life, the Vice Provost for Education will review the request and other relevant information, including the student's compliance with specified conditions for return from leave and the assessments of CAPS or Student Health Services and other health professionals, and make a determination of whether it is appropriate for the student to return.

If the Vice Provost for Education denies the request to return from leave, the student may challenge that decision by submitting a written appeal to the Provost within 5 days of receipt of the Vice Provost's decision.

VII. Confidentiality

All records concerning involuntary leaves of absence will be kept in accordance with the University confidentiality policy and other applicable policies. The student's transcript will indicate only the notation of "leave of absence."

Note: A student on leave may not participate or hold a leadership position in a registered University organization.

VIII. Administration of the Process

Administrative duties with respect to convening this leave process and maintaining its records will be the responsibility of the Office of the Vice Provost for University Life.
Missing Students Notification Policy

Any member of the University community, including parents, who believes that a Penn student is missing should notify the University of Pennsylvania Police Department (UPPD) in the Division of Public Safety. To report a missing person, dial 5-1-1 from a campus telephone, use one of the blue light emergency telephones on campus and in the surrounding neighborhood, or dial (215) 573-3333 from an off-campus or cell phone.

In addition, the person should notify the Office of the Vice Provost for University Life (VPUL). VPUL and the Division of Public Safety are responsible for coordinating efforts in response to a report of a missing student. Any other University office that receives a report of a missing student is responsible for promptly notifying UPPD and VPUL of such report.

When a Penn student is reported to be missing, the University will take steps to try to locate the student or to determine why the student has not been seen. If UPPD determines that a police investigation is warranted, the University will support the investigation by providing information relevant to the search for the student, including photos, schedules, etc.

All students are strongly encouraged to provide the University with a confidential contact whom the University will notify in the event that the student is determined to be missing. This contact information, which will be maintained in the University’s Management Information Services (UMIS) database and Advisor-in-Touch, will be accessible only to authorized campus officials and law enforcement authorities and will be used only in connection with responding to a report that the student is missing.

To register a contact person, a student should go to the Penn Portal home page, and under “Action items for all students” click on the link “Emergency Contact.” This will direct the student to the “Penn-in-Touch Emergency Contact” page (using Penn Key and password) where the student should select the tab for “Emergency or Missing Person Contact(s)” and provide the information requested.

If a student has been missing for more than twenty-four (24) hours, the Division of Public Safety or the University, through VPUL, will notify the student’s designated missing persons contact. UPPD will also notify the Philadelphia Police or other appropriate local police. If the missing student is under 18 years old and is not emancipated, the Division of Public Safety will notify the student’s custodial parent or guardian and/or any other designated contact within 24 hours of the determination that the student is missing. In addition, UPPD will enter the missing student into the National Crime Information Center database. For students over 18 years of age who have not designated a missing person contact, UPPD may notify the law enforcement agency where the student’s primary residence is located.

With respect to any student determined to be missing, the Division of Public Safety and/or VPUL may notify others at the University as appropriate—including, but not limited to, RAs, Deans, the Office of Student Affairs/Fraternity Sorority Life (in the case of a student residing in a fraternity or sorority) and the Office of International Programs (in the case of an international student). In addition, VPUL may contact parents and others if the student is not located within a reasonable period.
Parking Regulations

General Information

These regulations are intended to facilitate the work of the faculty, staff, students, and visitors through control of the parking and movement of motor vehicles of these individuals while on campus. The fact that a person parks in violation of any regulations and is not towed does not mean that the regulation is no longer in effect.

The University is not responsible for loss or damage to your car or personal property within it while it is parked on University facilities. To avoid losses and the inconvenience they cause, park your car carefully so that it will not be struck by others, lock your car and avoid leaving personal items inside. Individuals are particularly encouraged not to leave citizen band radios and tape players visible. These should be disconnected and locked in the trunk of the car. Any car not displaying a parking sticker will be towed away at owner's expense.

The Department of Transportation and Parking also coordinates a van pool program and car pool matching service. Information about these functions may be obtained by calling 898-8667.

Towing Policy

Motor vehicles in University facilities (including parking garages and lots) without the appropriate parking permit sticker are towed by a private contractor. The towing fee and designated location to recover towed cars are posted at all University parking facilities. The contractor is bonded and is responsible for any damage that may occur to a car in the process. The contractor's personnel will release, to its owner, a car that has been towed upon payment of towing fee plus storage charge. If an owner finds his car about to be towed away, he may pay the tow truck operator a drop fee (and have his car released immediately) to reimburse the operators for the time that has been expended in coming to get the violating vehicle. The contractor requires payment in cash before releasing a towed car or about to be towed car. If in doubt as to the location where towed vehicles may be claimed, please call Public Safety at 898-7297 or 7298.

Private Streets

Several streets within the University campus have been designated as private streets under the control of the Department of Public Safety. These include all roads bordered by Walnut, 33rd and 40th Streets with the exception of 38th and 34th Streets. Parking is specifically forbidden on all private thoroughfares. Illegally parked vehicles on the streets will be ticketed and/or towed by a private contractor.

Permits

Faculty, staff, and students must apply for a parking permit for all motor vehicles (including two- and three-wheeled vehicles) if they park or expect to park on the University grounds. Fees will be charged and decals issued which will allow vehicles to be parked in specific parking areas assigned to them. For information call the Parking Office (898-8667).

Registration is considered completed when decals are affixed to vehicles being registered. Decals are not transferable. Replacement decals may be obtained at the Parking Office, Suite 447A, 3401 Walnut Street.

Towing Appeals

A towed vehicle is only released after the fee has been paid to the towing contractor. When a student or employee feels that her or his vehicle has been unjustly towed, she or he may appeal to the Parking...
Violations Board for a refund. The appeal should be in writing, state the relevant facts, and be addressed
to Parking Violations Board, Housing and Conference Services, 3702 Spruce St, Stouffer Commons,
Philadelphia, PA 19104, Attn: Associate Director for Housing Operations. A fee refund is made when the
Board decides in the complainant's favor.
Patent Policy

Students should be aware of the Patent Policy: http://www.upenn.edu/almanac/volumes/v57/n01/pdf_n01/Patentpolicy.pdf, which states the principles governing the intellectual property created by faculty, employees, students and guest scholars.

Copies of the policy may be obtained from the Office of Research Administration, 300 Mellon Bank Building, and from the Office of the Vice Provost for University Life, 3611 Locust Walk.

Source: Almanac, July 13, 2010, Volume 57, No. 1
Photocopying for Educational Purposes

The enactment of a federal Copyright Act, effective January 1, 1978, has produced much misunderstanding among teachers regarding the permissible amount of photocopying for educational purposes. Only copyrighted works are protected by the act. This elemental point is often overlooked. Court opinions, legislative hearings and other government documents are not copyrighted, and may be freely photocopied. The same is true of works for which the copyright has expired, and of works which prior to January 1978 were sold or disseminated without proper notice of copyright.

There is a danger, however, of acting unlawfully when one photocopies without permission works which are covered by the act. The act applies to all "original works of authorship" in written (or other tangible) form, from the moment the work is created, whether it was created before or after January 1, 1978 and whether or not it has been published.

But even copyrighted materials may be photocopied without permission from, or payment to, the copyright owner, if it is a "fair use," a doctrine recognized by American courts for nearly a century and a half whose principal purpose is to protect the public interest in the dissemination of knowledge. This doctrine is endorsed in the text of the act, which explicitly refers to the allowable reproduction of copyrighted works for purposes, such as "criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research."

Congress appreciated the impossibility of announcing in a statute an exact quantitative measure that would distinguish copying which is a fair use from copying which is an infringement. Rather, the act provides factors to be considered:

1. the purpose and character of the use, including whether such is of a commercial nature or is for non-profit educational purposes;
2. the nature of the copyrighted work;
3. the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. the effect of the use upon the potential market for or value of the copyrighted work."

The making of a single copy of copyrighted material for a teacher's personal use in teaching, scholarship or research will almost always be a fair use. More difficult questions rise when multiple copies are made for distribution to students. Certainly, the risk of infringement increases in proportion to the amount of copyrighted material which is photocopied and the extent that the photocopying replaces what would otherwise be a purchase of copies of the work from trade sources by (or for) the students. Thus, the making of multiple photocopies of an entire or of a substantial part of an article will raise serious question as to whether such use is "fair," while the reproduction of five pages of an article of 25 or 30 pages will generally be regarded as privileged. A teacher should try to avoid making multiple photocopies of copyrighted material which is not truly important for that teacher's pedagogical needs. In any event, students receiving such photocopied material should be charged no more than is necessary to cover the cost of photocopying and processing.

During congressional deliberations on the act, a group of educational associations and commercial publishers developed a set of guidelines which purport to announce the minimum reach of the fair use doctrine as applied to educational photocopying. The guidelines are set forth below. In the report by the House committee submitting the copyright bill, these guidelines were said to constitute a "reasonable" construction of the fair use doctrine. Several misconceptions about these guidelines have developed and should be dispelled.

Although some have read the guidelines as imposing limits upon educational photocopying, in fact they prohibit nothing. They purport to state only the minimum protection of the fair use doctrine and announce
a "safe harbor" within which a teacher is assured of protection against claims of infringement. The guidelines acknowledge that there may be allowable photocopying beyond that which is set forth; they do not purport to state where the fair use privilege ends.

Although some have treated the guidelines as though they have the status of legislation, that is not true, either. The text of the act, strengthened in committee deliberations, explicitly adverts to "teaching (including multiple copies for classroom use)" as a classic situation in which the fair use doctrine applies. This is the statutory text Congressmen had before them when they voted, and it is the statutory text which the courts will construe. The extent to which the privately developed "guidelines" will pre-empt other "reasonable" interpretations of fair use is a judicial question.

A teacher should consider the potential consequences of an incorrect decision. If the teacher elects not to photocopy in circumstances constituting fair use, students must find the material in the library or elsewhere. Techniques for increasing student access to limited materials will vary; the question of permissible library photocopying for "reserve" purposes raises issues not addressed here.

If a teacher decides to photocopy for classroom use, the possible legal sanctions for an incorrect decision must be appreciated. Book publishers have declared and demonstrated their intention to sue faculty members, universities and copy centers for copyright infringement. As a general rule, a copyright infringer is liable for damages, measured by the loss of profits to the copyright owner and any additional profits acquired by the infringer. Since in the academic setting there will not generally be profits to the teacher or school, damages will be measured by the likely loss in sales of the copyrighted work, normally an uncertain figure. For this reason, the act permits the copyright owner to sue for "statutory damages" in lieu of actual damages, and the court is given discretion to enter an award between $250 and $10,000 (which may be increased to $50,000 for willful violations). If, however, a teacher had reasonable grounds to believe that the photocopying was a fair use, he or she is not liable for statutory damages (although he or she may be liable for actual damages). In all cases, the court may issue an order against the teacher or the educational institution barring future infringements.

Without regard to legal implications, a teacher should be sensitive to the dictates of good practice and courtesy in the use of copyrighted material. Authors and copyright owners appreciate notification that uses are being made of their work. It is common for the copyright owner to permit substantial photocopying for educational purposes, provided that the author and copyright owner are identified and proper copyright notice is affixed.

Questions regarding the application of the Copyright Act in specific situation should be addressed to the Office of the General Counsel.

I. Guidelines

A. Single Copying for Teachers. A single copy may be made of any of the following by or for a teacher at his or her individual request for his or her scholarly research or use in teaching or preparation to teach a class:

1. A chapter from a book;
2. An article from a periodical or newspaper;
3. A short story, short essay or short poem whether or not from a collective work;
4. A chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper.

B. Multiple Copies for Classroom Use. Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher giving the course for classroom use or discussion provided:

1. The copying meets the tests of brevity and spontaneity as defined below; and,
2. Meets the cumulative effect test as defined below; and,
3. Each copy includes a notice of copyright.

II. Definitions

A. Brevity
   1. Poetry: (1) A complete poem if less than 250 words and if printed on not more than two
      pages, or (2) from a longer poem, an excerpt of not more than 250 words.
   2. Prose: (1) Either a complete article, story or essay of less than 2,500 words, or (2) an excerpt
      from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but
      in any event a minimum of 500 words.
      (Each of the numerical limits stated in 1 and 2 above may be expanded to permit the
      completion of an unfinished line of a poem or of an unfinished prose paragraph.)
   3. Illustration: One chart, graph, diagram, drawing, cartoon or picture per book or per periodical
      issue.
   4. "Special" works: Certain works in poetry, prose or in "poetic prose" which often combine
      language with illustrations and which are intended sometimes for children and at other times
      for a more general audience, fall short of 2,500 words in their entirety. Paragraph "b" above
      notwithstanding, such "special works" may not be reproduced in their entirety; however, an
      excerpt comprising not more than two of the published pages of such special work and
      containing not more than 10 percent of the words found in the text thereof, may be
      reproduced.

B. Spontaneity
   1. The copying is at the instance and inspiration of the individual teacher, and
   2. The inspiration and decision to use the work and the moment of its use for maximum
      teaching effectiveness are so close in time that it would be unreasonable to expect a timely
      reply to a request for permission.

C. Cumulative Effect
   1. The copying of the material is for only one course in the school in which the copies are made.
   2. Not more than one short poem, article, story, essay or two excerpts may be copied from the
      same author, not more than three from the same collective work or periodical volume during
      one class term.
   3. There shall not be more than nine instances of such multiple copying for one course during
      one class term.
      (The limitations stated in "b" and "c" above shall not apply to current news periodicals and
      newspapers and current news sections of other periodicals.)

III. Prohibitions as to the above. Notwithstanding any of the above, the following shall be
     prohibited:

A. Copying shall not be used to create or to replace or substitute for anthologies, compilations or
   collective works. Such replacement or substitution may occur whether copies of various works or
   excerpts therefrom are accumulated or are reproduced and used separately.

B. There shall be no copying of or from works intended to be "consumable" in the course of study or
   of teaching. These include workbooks, exercise, standardized tests and test booklets and answer
   sheets and like consumable material.

C. Copying shall not:
1. substitute for the purpose of books, publisher's reprints or periodicals;
2. be directed by higher authority;
3. be repeated with respect to the same item by the same teacher from term to term.

D. No charge shall be made to the student beyond the actual cost of the photocopying.

(Source: Almanac, May 23, 1989)
Policy on Acceptable Use of Electronic Resources

Summary

This policy defines the boundaries of "acceptable use" of limited University electronic resources, including computers, networks, electronic mail services and electronic information sources, as detailed below. It includes by reference a self-contained compilation of specific rules that can be modified as the electronic information environment evolves.

The policy is based on the principle that the electronic information environment is provided to support University business and its mission of education, research and service. Other uses are secondary. Uses that threaten the integrity of the system; the function of non-University equipment that can be accessed through the system; the privacy or actual or perceived safety of others; or that are otherwise illegal are forbidden.

By using University electronic information systems you assume personal responsibility for their appropriate use and agree to comply with this policy and other applicable University policies, as well as City, State and Federal laws and regulations, as detailed below.

The policy defines penalties for infractions, up to and including loss of system access, employment termination or expulsion. In addition some activities may lead to risk of legal liability, both civil and criminal.

Users of electronic information systems are urged in their own interest to review and understand the contents of this policy.

Purposes

The University of Pennsylvania makes computing resources (including, but not limited to, computer facilities and services, computers, networks, electronic mail, electronic information and data, and video and voice services) available to faculty, students, staff, registered guests, and the general public to support the educational, research and service missions of the University.

When demand for computing resources may exceed available capacity, priorities for their use will be established and enforced. Authorized faculty and staff may set and alter priorities for exclusively local computing/networking resources. The priorities for use of University-wide computing resources are:

Highest: Uses that directly support the educational, research and service missions of the University.

Medium: Other uses that indirectly benefit the education, research and service missions of the University, as well as and including reasonable and limited personal communications.

Lowest: Recreation, including game playing.
Forbidden: All activities in violation of the General Standards or prohibited in the Specific Rules interpreting this policy.

The University may enforce these priorities by restricting or limiting usages of lower priority in circumstances where their demand and limitations of capacity impact or threaten to impact usages of higher priority.

**Implied consent**

Each person with access to the University's computing resources is responsible for their appropriate use and by their use agrees to comply with all applicable University, School, and departmental policies and regulations, and with applicable City, State and Federal laws and regulations, as well as with the acceptable use policies of affiliated networks and systems.

Open Expression in the Electronic Information Environment: The rights to freedom of thought, inquiry and expression, as defined in the University's Guidelines on Open Expression, are paramount values of the University community. The University's commitment to the principles of open expression extends to and includes the electronic information environment, and interference in the exercise of those rights is a violation of this policy and of the Guidelines on Open Expression. As provided in the Guidelines, in case of conflict between the principles of the Guidelines on Open Expression and this or other University policies, the principles of the Guidelines take precedence.

General Standards for the Acceptable Use of Computer Resources: Failure to uphold the following General Standards for the Acceptable Use of Computer Resources constitutes a violation of this policy and may be subject to disciplinary action.

The General Standards for the Acceptable Use of Computer Resources require:

- Responsible behavior with respect to the electronic information environment at all times;
- Behavior consistent with the mission of the University and with authorized activities of the University or members of the University community;
- Respect for the principles of open expression;
- Compliance with all applicable laws, regulations, and University policies;
- Truthfulness and honesty in personal and computer identification;
- Respect for the rights and property of others, including intellectual property rights;
- Behavior consistent with the privacy and integrity of electronic networks, electronic data and information, and electronic infrastructure and systems; and
- Respect for the value and intended use of human and electronic resources.

Enforcement and Penalties for Violation: Any person who violates any provision of this policy, of the Specific Rules interpreting this policy, of other relevant University policies, or of applicable City, State, or Federal laws or regulations may face sanctions up to and including termination or expulsion. Depending on the nature and severity of the offense, violations can be subject to disciplinary action through the Student Disciplinary System or disciplinary procedures applicable to faculty and staff.
It may at times be necessary for authorized systems administrators to suspend someone's access to University computing resources immediately for violations of this policy, pending interim resolution of the situation (for example by securing a possibly compromised account and/or making the owner of an account aware in person that an activity constitutes a violation). In the case of egregious and continuing violations suspension of access may be extended until final resolution by the appropriate disciplinary body.

System owners, administrators or managers may be required to investigate violations of this policy and to ensure compliance.

**Amendment**

Formal amendment of the General Standards of Acceptable Use of Computing Resources or other aspects of this policy may be promulgated by the Provost following consultation with the University Council Committee on Communications, publication "For Comment" in Almanac, a reasonable waiting period, and publication "Of Record" in Almanac.

**Interpreting this policy**

As technology evolves, questions will arise about how to interpret the general standards expressed in this policy. The Vice President for Information Systems and Computing shall, after consultation with the University Council Committee on Communications, and subject to the same waiting period and publication provisions as above, publish specific rules interpreting this policy.

**Waiver**

When restrictions in this policy interfere with the research, educational or service missions of the University, members of the University community may request a written waiver from the Vice President for Information Systems and Computing (or designee).

**Further information**

For further information about University computing regulations or Commonwealth of Pennsylvania and Federal computing laws, contact the University Information Security Officer at (215) 898-2172, or send e-mail to: mailto:security@isc.upenn.edu

**Specific Rules Interpreting the Policy on Acceptable Use of Electronic Resources**

The following specific rules apply to all uses of University computing resources. These rules are not an exhaustive list of proscribed behaviors, but are intended to implement and illustrate the General Standards for the Acceptable Use of Computer Resources, other relevant University policies, and applicable laws and regulations. Additional specific rules may be promulgated for the acceptable use of individual computer systems or networks by individual Schools, departments, or system administrators.
Content of communications

- Except as provided by applicable City, State, or Federal laws, regulations or other University policies, the content of electronic communications is not by itself a basis for disciplinary action.
- Unlawful communications, including threats of violence, obscenity, child pornography, and harassing communications (as defined by law), are prohibited.
- The use of University computer resources for private business or commercial activities (except where such activities are otherwise permitted or authorized under applicable University policies), fundraising or advertising on behalf of non-University organizations, or the reselling of University computer resources to non-University individuals or organizations, and the unauthorized use of the University's name, are prohibited. The Vice President for Information Systems (or designee) may specify rules and specific forums where limited use of University resources for non-recurring exchange and sale of personal items is permitted.

Identification of users

Anonymous and pseudonymous communications are permitted except when expressly prohibited by the operating guidelines or stated purposes of the electronic services to, from, or through which the communications are sent. However, when investigating alleged violations of the Guidelines on Open Expression, the Committee on Open Expression may direct the University's Information Security Officer, or an authorized system administrator, to attempt to identify the originator of anonymous/pseudonymous messages, and may refer such matters to appropriate disciplinary bodies to prevent further distribution of messages from the same source.

The following activities and behaviors are prohibited:

- Misrepresentation (including forgery) of the identity of the sender or source of an electronic communication;
- Acquiring or attempting to acquire passwords of others;
- Using or attempting to use the computer accounts of others;
- Alteration of the content of a message originating from another person or computer with intent to deceive; and
- The unauthorized deletion of another person's news group postings.

Access to computer resources

The following activities and behaviors are prohibited:

- The use of restricted-access University computer resources or electronic information without or beyond one's level of authorization;
- The interception or attempted interception of communications by parties not explicitly intended to receive them;
- Making University computing resources available to individuals not affiliated with the University of Pennsylvania without approval of an authorized University official;
- Making available any materials the possession or distribution of which is illegal;
- The unauthorized copying or use of licensed computer software;
Unauthorized access, possession, or distribution, by electronic or any other means, of electronic information or data that is confidential under the University's policies regarding privacy or the confidentiality of student, administrative, personnel, archival, or other records, or as defined by the cognizant Data Steward;
- Intentionally compromising the privacy or security of electronic information; and
- Intentionally infringing upon the intellectual property rights of others in computer programs or electronic information (including plagiarism and unauthorized use or reproduction).

**Operational integrity**

The following activities and behaviors are prohibited:

- Interference with or disruption of the computer or network accounts, services, or equipment of others, including, but not limited to, the propagation of computer "worms" and "viruses", the sending of electronic chain mail, and the inappropriate sending of "broadcast" messages to large numbers of individuals or hosts;
- Failure to comply with requests from appropriate University officials to discontinue activities that threaten the operation or integrity of computers, systems or networks, or otherwise violate this policy;
- Revealing passwords or otherwise permitting the use by others (by intent or negligence) of personal accounts for computer and network access;
- Altering or attempting to alter files or systems without authorization;
- Unauthorized scanning of networks for security vulnerabilities;
- Attempting to alter any University computing or networking components (including, but not limited to, bridges, routers, and hubs) without authorization or beyond one's level of authorization;
- Unauthorized wiring, including attempts to create unauthorized network connections, or any unauthorized extension or re-transmission of any computer or network services;
- Intentionally damaging or destroying the integrity of electronic information;
- Intentionally disrupting the use of electronic networks or information systems;
- Intentionally wasting human or electronic resources; and
- Negligence leading to the damage of University electronic information, computing/networking equipment and resources.

**Appendices**

**Relevant University policies**

This Acceptable Use Policy incorporates and supersedes the earlier Policy on Ethical Behavior with Respect to the Electronic Information Environment. The use of computing resources is also required to conform to the following University policies:

- Code of Student Conduct
- Guidelines on Open Expression
In addition, specific policies of the University's Schools, departments, computer systems and networks, and other general University policies and regulations are also applicable to the use of computer resources. These policies include, but are not limited to, the following:

- Patent Policy
- Copyright Policy
- Computer Software Policy
- Policy on the Uses of University Resources
- Policy on Confidentiality of Student Records and Information
- Policy Regarding Faculty Misconduct in Research
- Policy on Privacy in the Electronic Environment
- Code of Academic Integrity
- Protocols for human subjects research: any research involving human subjects must be approved by the Committee on Studies Involving Human Beings
- Acceptable Use Policies of individual Schools, departments, computer systems, and networks
- Guidelines for Administrators of Penn E-mail Systems.

**Applicable laws**

Computer and network use is also subject to Pennsylvania and Federal laws and regulations. Suspected violations of applicable law are subject to investigation by University and law enforcement officials. Among the applicable laws are:

- **Federal Copyright Law**: U.S. copyright law grants authors certain exclusive rights of reproduction, adaptation, distribution, performance, display, attribution and integrity to their creations, including works of literature, photographs, music, software, film and video. Violations of copyright laws include, but are not limited to, the making of unauthorized copies of any copyrighted material (such as commercial software, text, graphic images, audio and video recordings) and distributing copyrighted materials over computer networks or through other means.
- **Federal Wire Fraud Law**: Federal law prohibits the use of interstate communications systems (phone, wire, radio, or television transmissions) to further an illegal scheme or to defraud.
- **Federal Computer Fraud and Abuse Law**: Federal law prohibits unauthorized access to, or modification of information in computers containing national defense, banking, or financial information.
- **Federal and Pennsylvania Child Pornography Laws**: Federal and Pennsylvania laws prohibit the creation, possession, or distribution of graphic depictions of minors engaged in sexual activity, including computer graphics. Computers storing such information can be seized as evidence.
- **Pennsylvania Computer Crime Law**: Pennsylvania law prohibits access to any computer system or network with the intent to interrupt an organization, or to perpetrate a fraud including the intentional and unauthorized publication of computer passwords.
- Pyramid schemes/Chain Letters: It is a violation of the Federal Postal Lottery Statute to send chain letters which request sending money or something of value through the US mail. Solicitations through electronic messaging are also illegal, if they require use of US mail for sending money/something of value.
- Defamation: Someone may seek civil remedies if they can show that they were clearly identified as the subject of defamatory messages and suffered damages as a consequence. Truth is a defense against charges of defamation.
- Common law actions for invasion of privacy: Someone may take seek civil remedies for invasion of privacy on several grounds.
- Public disclosure of private facts: the widespread disclosure of facts about a person, even when true, may be deemed harmful enough to justify a lawsuit.
- False light: a person wrongfully attributes views or characteristics to another person in ways that damage that person's reputation.
- Wrongful intrusion: the law often protects those areas of a person's life in which they can reasonably expect they will not be intruded upon.

(Source: Almanac, April 29, 1997)
Policy on Class Meeting Times

To allow travel time between classes, each one-hour class session is actually 50 minutes long; each hour-and-a-half session is actually 80 minutes long; and each three-hour session is 2 hours and 50 minutes long, usually with a 10 minute break.

Examples: (class meeting times as listed in the Course Timetable)

MWF  1 - 2    [class begins at 1:00pm and ends at 1:50pm]
TR   10:30 - 12 [class begins at 10:30am and ends at 11:50am]
T    2 - 5    [class begins at 2:00pm and ends at 4:50pm]
Policy on Common Midterm Examinations

Instructors teaching a course with multiple sections who plan to schedule a common midterm examination outside of the class's regular meeting time must notify students of this event during the first week of the semester and be prepared to offer one or more make-up examinations to accommodate any student who is enrolled in another class at the time of the common examination.

Students enrolled in a course that conflicts with the timing of a common midterm examination must notify the instructor administering the common midterm of the conflict by the end of the course selection (add) period. Students may not be required to miss their regularly scheduled class.

Source: Almanac – April 20, 2010, Volume 56, No. 30
Policy on Military Leave

If a student who has not received full academic credit for the term is called to service through enrollment in a military reserve unit, or through enlistment in the military service, the student's tuition and mandatory fees for the term shall be cancelled, provided a request, substantiated by the proper evidence, is filed with the dean of the school in which he or she is registered.

(Source: Almanac, February 23, 2003)
Policy on Privacy in the Electronic Environment

I. Preliminary Observations

The University affirms that the mutual trust and freedom of thought and expression essential to the academic mission of a university rest on an expectation of privacy, and that the privacy of those who work, study, teach, and conduct research in a university setting will be respected. The University recognizes that as faculty, staff and students create, use and store more information in electronic form, there is growing concern that information the user or creator considers private may be more vulnerable to invasion than information stored in more traditional media. This policy is intended to highlight some general principles that should help to define the expectations of privacy of those in the University community. While no document addressing the fluid issue of technology can be exhaustive or inflexibly dictate outcomes in all circumstances, this policy attempts to articulate current practices and provide guidance, so that individuals may make informed and appropriate decisions concerning their various interactions in the electronic environment.

Before addressing these issues, it should also be noted that in carrying out their operations, various departments of the University accumulate information about members of its community, e.g., for purposes of payroll, employment or enrollment. Data are also created, though not necessarily compiled or retained on a personally identifiable basis, as an incident to the use of technology, e.g., the charging of purchases on Penn Card or the borrowing of library books. The University does not condone disclosure or release of such personal information stored or transmitted through University systems, except for legitimate University purposes as outlined in this policy.

Those responsible for maintaining the University's computers and electronic networks have an important and special responsibility to recognize when they may be dealing with sensitive or private information. They may access such information without the user's consent and without obtaining higher level approval, but only when necessary to fulfill their official responsibilities, and they are expected to carry out their duties in ways that are not unreasonably intrusive. They will be subject to disciplinary action if they misuse their access to personally identifiable data or to individuals' personal files, e-mail and voice mail or otherwise knowingly act in ways counter to University policies and applicable laws.

Finally, this policy should be understood in light of the many other University policies and laws that bear on individuals' rights to privacy and the institution's responsibilities with respect to information in its possession about individuals. Examples of applicable laws include the Family Educational Rights and Privacy Act of 1974 (the "Buckley Amendment"), the Electronic Communications Privacy Act of 1986, and medical records regulations promulgated under the Health Insurance Portability and Accountability Act of 1996. Examples of applicable University policies include the Acceptable Use Policy for the Electronic Environment, Administrative Computing Security Policy, Policy for Closed Circuit Television Monitoring and Recording of Public Areas for Safety and Security Purposes and policies on Records Confidentiality and Safeguarding University Assets.

II. Policy on Information Created, Stored or Transmitted Through University Electronic Media

A. In General:

The University provides computers, computer and e-mail accounts, networks and telephone systems to faculty members, staff and students for the purpose of furthering the University's academic mission and conducting University business. While incidental and occasional personal use of such systems, including e-mail and voice mail, is permissible, personal communications and files transmitted over or stored on University systems are not treated differently from business communications; there can be no guarantee that such personal communications will remain private or confidential (see Appendix).
As is the case for information in non-electronic form stored in University facilities, the University's need for information will be met in most situations by simply asking the author or custodian for it. The University reserves the right, consistent with this policy, to access, review and release electronic information that is transmitted over or stored in University systems or facilities. When questions arise about such access, review or release of information, the University commits to treat electronic information no differently from non-electronic information. As with paper information, it is often the case by custom or rule that electronic files are shared and properly accessible by multiple parties in office settings. Where that is the case, the special provisions for access and notification outlined here need not be followed. In other cases, properly authorized University officials including the Vice President for Audit and Compliance and the Information Security Officer may access e-mail, voice mail or computer accounts without the consent of the assigned user when there is a reasonable basis to believe that such action

1. Is necessary to comply with legal requirements or process, or
2. May yield information necessary for the investigation of a suspected violation of law or regulations, or of a suspected serious infraction of University policy (for example alleged research misconduct, plagiarism or harassment), or
3. Is needed to maintain the integrity of University computing systems, or
4. May yield information needed to deal with an emergency, or
5. In the case of Staff, will yield information that is needed for the ordinary business of the University to proceed.

Except as may otherwise be dictated by legal requirements, individuals will be notified of access to, or disclosure of, the contents of their e-mail, voice mail or their computer accounts as soon as practicable. In cases where such notification might jeopardize an ongoing investigation of suspected wrongdoing it may be delayed until the conclusion of the investigation. The Office of General Counsel is responsible for maintaining an official record of e-mail searches performed by authorized parties.

B. Faculty:

The University has the utmost respect for the freedom of thought and expression that are at the core of Penn's academic mission. Whenever possible, therefore, the University will resolve any doubts about the need to access a University computer or other systems in favor of a faculty member's privacy interest. Computer files, e-mail and voice mail created, stored, transmitted or received by faculty will be afforded the same level of privacy as the contents of their offices. The Policy on Safeguarding University Assets governs access to faculty records in connection with investigations carried out by the University's Office of Audit and Compliance, and provides for prior consultation with the Provost and Faculty Senate and for notifying the subject of a search of any files or materials taken during an investigation. Except as may otherwise be dictated by legal requirements, the procedures outlined in that policy will be followed with respect to a faculty member's computer files, e-mail or voice mail in connection with other investigations or proceedings.

C. Staff:

It is generally not University policy to access staff members' electronically stored information. As noted above, the University's need for information will normally be met by asking an employee for it. Properly authorized University officials, including supervisors acting with the consent of their management, may, however, access, review and release the contents of staff computer files, e-mail or voice mail transmitted over or stored on University systems when, for example, an employee is absent or has left the University and the information is not available elsewhere, or in other situations in which it is necessary if the ordinary business of the University is to proceed. In more complicated situations-where, for example, a supervisor
believes University resources are being misused—he or she should consult with senior administrators, the Division of Human Resources, or the Office of General Counsel.

D. Students:

Students are provided e-mail and computer accounts for use primarily in connection with their academic activities. While the University does not generally monitor or access the contents of a student's e-mail or computer accounts, it reserves the right to do so. However, access to and disclosure of a student's e-mail messages and the contents of his or her computer accounts may only be authorized by any one of the Dean of the student's School or his/her designate, the Vice Provost for University Life, or the Office of Audit and Compliance, in consultation with the Office of General Counsel.

E. Multiple Affiliation:

Some individuals have multiple University affiliations (e.g. students employed by the University). When the need for access to information arises from a particular status, the provisions above for that status will be applied. In other cases, the provisions for the individual's primary status will be applied.

III. Violations of this Policy

Members of the University community who believe that this policy has been violated with respect to their privacy should attempt initially to resolve the issue within their unit or department, if necessary with the mediation of the leadership of their representative assembly or the University Ombudsman. Others who become aware of violations of this policy should report them to the University Information Security Officer, Office of General Counsel, Division of Human Resources or the Office of Audit and Compliance. All University offices that substantiate such violations should report them to the University Information Security Officer, who will monitor them for repeat instances and patterns. Those who violate this policy may be subject to disciplinary procedures up to and including dismissal.

Appendix: Special Note on E-mail Privacy

Despite the best intentions of users and the University or other system operators, it is difficult, if not impossible, to assure the privacy of e-mail. E-mail is not a good medium to use for sensitive matters that you would not want disclosed. There are numerous ways that plain text e-mail may be disclosed to persons other than the addressee, including:

- Recipient's address is mistyped; message is sent to someone else.
- Recipient forwards e-mail to someone else.
- Intruders break into e-mail system and read/disclose messages.
- Despite owner's belief that s/he deleted it, e-mail continues to exist on computer hard drive or a copy is archived on tape backup; disclosure of such copies may be required in connection with judicial or administrative proceedings or government investigations.
- E-mail is observed as it travels over public networks like PennNet and the Internet.

In addition, e-mail users may want to consider routinely or periodically deleting old messages, and encrypting personal messages. Systems administrators should consider shorter retention of backup tapes, consistent with data integrity requirements.

(Source: Almanac, September 19, 2000)
Policy on Secular and Religious Holidays

1. The University recognizes/observes the following secular holidays: Martin Luther King Day, Memorial Day, July 4, Thanksgiving and the day after, Labor Day, and New Year's Day.

2. The University also recognizes that there are several religious holidays that affect large numbers of University community members, including Christmas, Rosh Hashanah, Yom Kippur, the first two days of Passover, and Good Friday. In consideration of their significance for many students, no examinations may be given and no assigned work may be required on these days. Students who observe these holidays will be given an opportunity to make up missed work in both laboratories and lecture courses. If an examination is given on the first class day after one of these holidays, it must not cover material introduced in class on that holiday.

Faculty should realize that Jewish holidays begin at sundown on the evening before the published date of the holiday. Late afternoon exams should be avoided on these days. Also, no examinations may be held on Saturday or Sunday in the undergraduate schools unless they are also available on other days. Nor should seminars or other regular classes be scheduled on Saturdays or Sundays unless they are also available at other times.

3. The University recognizes that there are other holidays, both religious and secular, which are of importance to some individuals and groups on campus. Such occasions include, but are not limited to, Sukkot, the last two days of Passover, Shavuot, Shemini Atzeret and Simchat Torah, as well as Chinese New Year, the Muslim New Year, Diwali, and the Islamic holidays Eid Al-Fitr and Eid Al-Adha. Students who wish to observe such holidays must inform their instructors within the first two weeks of each semester of their intent to observe the holiday even when the exact date of the holiday will not be known until later so that alternative arrangements convenient to both students and faculty can be made at the earliest opportunity. Students who make such arrangements will not be required to attend classes or take examinations on the designated days, and faculty must provide reasonable opportunities for such students to make up missed work and examinations. For this reason it is desirable that faculty inform students of all examination dates at the start of each semester. Exceptions to the requirement of a make-up examination must be approved in advance by the undergraduate dean of the school in which the course is offered.

(Source: Almanac, March 30, 2001; September 7, 2010)
Policy on University Drivers and Mandatory Safety Training

Effective immediately, the Offices of Risk Management and Fire and Occupational Safety have instituted a mandatory drivers' safety program for all University staff, faculty, and students who are assigned by a division or department to operate a vehicle loaned to, leased or owned by the University or University-related business. Departments and divisions will be given a reasonable opportunity to schedule such drivers to attend a basic drivers' safety program sponsored by our offices and conducted by a National Transportation Safety expert. Thereafter, any department or division which sustains collision damage to a vehicle operated by a driver who has not attended this program will incur a 100% deductible for replacement of or repairs to the vehicle.

Programs will be offered throughout the summer and fall in a central location on campus and at various times to accommodate our staff, faculty, and student drivers. The program is four hours long and includes a lecture, a film, and demonstration on safe vehicle operation and maintenance and on accident management. Materials will be provided to attendees, including a Pennsylvania Driver's Manual and vehicle accident kit. Following the program, attendees will receive a certificate of attendance which will be delivered to their supervisor or department head. The cost for the presentation and materials are borne by Risk Management and Safety Offices.

It is the responsibility of departmental and division supervisors to ensure compliance with this program. All scheduling should be conducted by the supervisors who must account for attendance to the program in the event of a vehicle accident for which a claim for reimbursement is made to the Office of Risk Management. This policy does not relieve a department or division from the responsibility for reporting all incidents involving University vehicles and the property or vehicles of others, regardless of the status of the drivers. The Office of Risk Management must receive an incident report with verification of all drivers and witnesses, as well as copies of police reports. The failure to report all such incidents may result in the loss of insurance coverage, including liability protection, to the University and its representatives.

Questions regarding this policy should be addressed to Risk Management Ext 8-6235. Please also read Safety Bulletin #32 regarding motor vehicle operation, available by calling Ext 8-6921, and address any questions concerning this bulletin to that office.

(Source: Almanac, September 22, 1992)
Policy on University Recognition of Undergraduate Honor Societies

The University through its faculty in schools and academic departments alone reserves the right to bestow academic honors on its undergraduate students and to report such honors on students’ transcripts. Academic honors of various types are established and awarded by the relevant faculty body. The relevant body depends on the nature of the honor.

- In the case of honors for which students in a particular major are uniquely eligible, the authorizing body is the academic department or interdisciplinary program committee responsible for that major.
- In the case of honors for which students in a particular school are uniquely eligible, the authorizing body is the faculty of that school.
- In the case of honors for which all undergraduates are eligible, the authorizing body is the Council of Undergraduate Deans acting with the consent of the faculties of the separate undergraduate schools.

Release of Student Academic Status Information for Honor Society Selection

Student academic status information (eg. GPA, term standing, class rank/percent) may be released only in accordance with the University’s Policy On Confidentiality Of Student Records.

Student academic status information is not to be released to honor societies for recruiting purposes. This includes cohort information such as “names of students with a 3.2 or higher GPA.” Student academic status information may be utilized internally for selection purposes by Schools, Centers, or other University departments under the auspices of an officially designated selection committee and following the University’s Policy on Confidentiality of Student Records.
Political Candidates

University students are frequently involved in political events and activities on behalf of candidates for political office. Students are, of course, free to sponsor or participate in campaign-related activities as long as they do not use University resources. When engaging in partisan political activities, students should not imply that the University itself endorses or opposes any candidate for political office.

The following rules apply to student groups.

1. No group, whether recognized or not, that plans to campaign for a particular candidate can receive an allocation from the Student Activities budget.

2. Facilities that customarily are made available to student groups may, on a very limited basis, be used by student groups supporting candidates if such use does not preempt the use of facilities by nonpolitical groups. Fees normally charged for use of facilities must be paid in advance. Under no circumstances may groups supporting candidates use University space to establish a campaign headquarters nor can such groups be assigned permanent office space.

3. No group that supports a candidate for public office may sponsor events in University facilities to raise money for the candidate's campaign. Advance ticket sales or admissions charges at the door for campaign fund raising are not permitted.
**Poster Policy**

**Posting Notices in Outdoor Areas**

1. Groups should restrict posters to kiosks.
2. Each activity will be limited to two posters per kiosk per event.
3. No poster or notice may be larger than 14” x 17”.
4. All activities found in violation of these policies will pay a fine of at least $1.00 per poster.
5. Mounting of posters or use of paint on walls, sidewalks, trees, benches, or other surfaces not intended for posting is prohibited. Posting of notices with adhesives which damage surfaces also is prohibited. The cost of removal of this type of publicity will automatically be charged to the group and/or individuals who posted said publicity.

**Posting Of Notices in Indoor Areas**

1. Posters may only be placed in those areas designated for posting.
2. Groups wishing to mount posters in University buildings should contact the appropriate building administrator's office to ascertain the proper locations for posters.

**Sanctions**

Groups failing to adhere to the poster policy may be denied use of funds allocated to them by the Activities Council and/or be denied further use of University facilities until such time as corrective action is taken and payment for damages, if any, is received.

All fines will go into the budget of the Student Activities Council.

**Policy for Locust Walk Banners**

Any University group or organization may reserve one of 15 locations and sets of poles for banner display along Locust Walk between 36th & 37th Streets.

Reservations may be made in the Office of Student Life (OSL), 200 Houston Hall, as early as Friday at 12:00 PM of the week prior to the week of the actual reservation. Poles and locations may be reserved for a maximum of one week after which the reservation must be made again for the next week.

- A diagram illustrating the location of sleeves along Locust Walk (into which the reserved poles are placed) is located on the wall in the reception area of the OSL.
- The sign-up sheet, requesting the name of the reserving group, person making the reservation's name and phone number, will be posted below the diagram.
- Reserved poles may be picked up in the OSL beginning Monday morning at 9:00 AM of the week for which the reservation is made.
At the time the poles are picked up, a cash deposit of $25.00 must be made. This deposit will be returned to the reserving group when the poles are returned to the OSL at the end of the reservation period.

FAILURE TO RETURN RESERVED POLES BY THE END OF THE RESERVATION PERIOD (FRIDAY AFTERNOON AT 4:00 PM OF THE WEEK FOR WHICH THE RESERVATION WAS MADE), RETURN OF DAMAGED POLES, AND/OR FAILURE TO RETURN POLES BECAUSE THEY WERE LOST OR STOLEN WILL RESULT IN FORFEITURE OF THE $25.00 SECURITY DEPOSIT AND AN AUTOMATIC $100 FINE TAKEN FROM THE ORGANIZATION’S UNIVERSITY ACCOUNT. Poles still need to be returned even if the deposit is forfeited.

Any poles found in sleeves that have not been reserved ahead of time, or for which there is no deposit on record, will be removed. The deposit will not be returned.

If a group fails to return its poles ONCE in one year, it forfeits all rights to use the poles for four academic months from the day the poles were due.

Poles and the spaces in which to place them are the only things obtainable through the OSL. Neither twine, string, rope, tape, scissors, ladders nor any other materials will be provided. Such items must be provided by the reserving groups.

Facilities Services personnel have been authorized to remove any banners hung in unauthorized locations, i.e. any location unmarked on the schematic diagram mentioned previously in this document and/or the absence of the use of University provided poles.

Failure to abide by any of the guidelines listed in this policy may result in the loss of a group's permission to reserve poles and locations on Locust Walk for the balance of the academic year.

Office of College Houses and Academic Services Poster Policy (adopted January 1999)

This policy covers posting within the College Houses. Posting elsewhere in the University is covered by the University Poster Policy. Leafleting and soliciting are prohibited within residences. In all cases, this policy will be implemented within the framework and spirit of the Code of Student Conduct, which defines the general rights and responsibilities of student citizenship in the Penn community, and where appropriate, the Charter of the University of Pennsylvania Student Disciplinary System, which sets forth the processes for disciplinary action against students. Pursuant to the Code of Student Conduct (Sec. III.d), “the content of student speech or expression is not by itself a basis for disciplinary action,” and no posters shall be prohibited or restricted solely on the basis of their content, except when they may violate other applicable laws or regulations.

Location

Posting within a College House is permitted only in places designated by that College House. Places that may be designated by a College House include, but are not limited to, bulletin boards, kiosks, specific wall areas. Persons posting posters are responsible for knowing what areas are designated for posting.

Certain areas may be reserved for postings by residential staff. Persons other than residential staff may not post in these areas.

In no case will posting be permitted on surfaces that will be damaged by posting or in manners that create hazards. This includes, but is not limited to, fire doors, fire extinguisher cabinets, and undesignated walls.
Approval

Posting within the College Houses is intended as a means of intrahouse communication, primarily from staff to residents and among residents. At the discretion of the office of College Houses and Academic Services or of the specific College House in which a designated posting area is located, posters may be posted by other persons. All posters must clearly state the name of a recognized campus organization or program and must be approved prior to posting either by the office of College Houses and Academic Services or by the Faculty Master or House Dean of the specific College House.

Persons seeking approval of a poster must provide an actual example of the poster, accurate in size and color, to the office of College Houses and Academic Services or to the Faculty Master or House Dean from whom approval is sought.

Posting

Unless specifically permitted, posters may be posted for no longer than two weeks.

New postings may not cover any portion of an already posted poster that is less than two weeks old.

Unless specifically permitted, no more than two copies of a poster may be posted in the same designated posting area.

Removal and Sanctions

Unauthorized posters and posters posted outside of a designated posting area may, at the discretion of residential staff, be removed.

Repeated violation of this policy may be referred to the appropriate office for disciplinary action.

(Source: College Houses & Academic Services, January 1999)
Recognition and Governance of Undergraduate Fraternities and Sororities

The University of Pennsylvania values collegiate fraternities and sororities as an important component of the undergraduate student experience at the University. Fraternal Organizations have existed at the University since 1849. Over the years, they have undergone many changes, and they now take a variety of forms. These social organizations complement the academic and non-academic aspects of the University's community life not only by offering a vital residential alternative for undergraduate students, but also by serving as a source of academic and social support as their members pursue their educational goals. The University also welcomes the important contributions fraternity and sorority alumni make to the Pennsylvania alumni family, to the undergraduate chapters on campus, and to the University community as a whole.

To acknowledge these and many other contributions, and to strengthen the presence of fraternities and sororities on our campus, the Office of the Vice Provost for University Life has adopted the following policy on Recognition and Governance of fraternities and sororities, to be administered by the Office of Fraternity/Sorority Affairs with the advice and assistance of the Interfraternity Council, Bicultural InterGreek Council, Panhellenic Council, and Greek Alumni Council. This policy is intended to define the relationship between fraternities/sororities and the University, to establish the framework for the fraternity governance, and to guide successive generations of fraternity and sorority members in maintaining the traditional strengths of the fraternal system within the University community.

I. FRAMEWORK FOR RECOGNITION

A. Definition of Recognition
1. Recognition is the formal process by which the University of Pennsylvania agrees that a social fraternity or sorority, whether residential or nonresidential, may function on the campus, enroll members from the undergraduate student body through recruitment activities, and identify its chapter with the University.
2. As detailed below, organizations covered by this recognition policy are in all cases independently incorporated. The University thus enters into agreements with them only within the basic principles applied to University affiliation with any externally-incorporated organization: there must be commonality of goals and standards; disclosure of principals; mechanisms for accountability; and provisions for the discontinuation of the affiliation should goals diverge or standards decline in ways that would expose the University to liability or loss of reputation.
3. At the same time, fraternity and sorority chapters are associations of students, operated to enhance the educational experience of students. Thus, it is appropriate for the University to provide support services that will help the chapters to function effectively for their members and will protect their stability over time given the inherent turnover of membership and leadership.
4. This policy therefore outlines the commitments the University makes to recognized social fraternities and sororities, as well as the obligations assumed by each chapter and its sponsoring body to carry out its collective responsibility for the well-being of its members and for the chapter's performance and reputation in the University community.

B. Applicability of Recognition Policy
The term "fraternity" and "sorority" are used to designate honorary/professional societies as well as social/residential fraternities; this recognition policy applies only to the latter group. Whether residential or nonresidential, fraternal organizations reviewed for recognition under this policy will have all three of the following characteristics:
1. Their sponsoring bodies are legal corporations external to the University; in all cases, their chapter corporations, alumni corporations, and national/regional or local fraternal organizations are incorporated separately from the University.

2. Individually, they have organizational goals which are articulated by their sponsoring groups, and these goals are social/fraternal rather than honorary, professional, religious, or political. Collectively, they share elements of a fraternal ethos which emphasizes the personal bonding of members to the group to a degree which precludes membership in more than one such fraternal organization at once.

3. They are entitled to be subjectively selective in their membership within the limits of the University's nondiscrimination policies, and are entitled to single-sex membership under the provisions of Section 86.14 of the regulations promulgated under Title IX of the U.S. Education Act Amendments of 1972.

4. Some national fraternal organizations have been founded at Pennsylvania, and the University continues to be receptive to the formation of embryonic groups with the expectation that such groups will become recognized fraternities within a reasonable period of time. Such groups must meet the criteria and standards of this policy in order to become fully recognized by the University.

C. Categories of Fraternities and Sororities

1. Categories of Recognition

   The University will grant recognition to social fraternities and sororities whose membership is drawn entirely from the undergraduate and/or graduate student bodies of the University. They may be recognized in one or two categories:

   a. Residential: This type of fraternity or sorority owns or rents a residential facility from the University or other University approved landlord for the purposes of providing room, and frequently board, for its membership, housing only University undergraduate and graduate students unless exception is granted in writing by the Director of Fraternity/Sorority Affairs. Whether privately-owned, privately-leased or University-owned, the residential fraternity or sorority will provide accommodations equal in safety and comfort to those of University residences, and are subject to the same University regulations, guidelines, and standards applied to residential dormitories and facilities.

   b. Social: This type of fraternity and sorority also has its chapter comprised only of Pennsylvania graduate and/or undergraduate students, and is subject to all provisions of this Recognition policy except those relating to the maintenance of residential facilities.

2. City-wide Groups

   City-wide fraternities or sororities whose membership is drawn from more than one college/university within the greater Philadelphia area may be recognized as either residential or social fraternities (depending on whether they own or rent a residential facility as described above) provided, however, that:

   a. Any such city-wide groups must have national sponsorship.

   b. Only the membership drawn from the University of Pennsylvania will be recognized as the official fraternity or sorority chapter; participants from outside the University will be considered "guests" of the fraternity or sorority.

   c. If a city-wide fraternity or sorority is recognized as a residential fraternity/sorority, only the membership drawn from the University may reside in the residential facility.

3. Changes in Category:

   Chapters may request a change in their designation when the appropriate situation arises. For example, social fraternities may request to become residential fraternities if they obtain a residential facility for their University members and meet the appropriate standards for residential fraternities. Such changes will be implemented by the Office of Fraternity and Sorority Affairs after consultation with the Fraternity/Sorority Advisory Board. Similarly, a residential fraternity may request to change its designation to a social fraternity if the alumni corporation can no longer maintain the chapter house.

D. Stages of Recognition
In addition to its designation as residential or social, a fraternity or sorority is designated in one of three stages of recognition: Full, Provisionary, or Probationary. Such changes will be implemented by the Office of Fraternity/Sorority Affairs after consultation with the Fraternity/Sorority Advisory Board.

1. Full Recognition

Full Recognition accords the fraternity/sorority all the rights, privileges, obligations, and University resources available under the University's recognition process as follows:

a. Identification of the chapter with the University of Pennsylvania and use of the University's name along with, but not in place of, identification of the sponsoring body. Use of the University's name by fraternities and sororities is subject to approval of the Office of Fraternity/Sorority Affairs.

b. Endorsement by the University that the fraternal organization provides a positive experience for its members, that it is truthful in its representation to the students it recruits as members, that it is meeting its obligations to the University and the community, and that it is capable of fulfilling its promise of life-long association for its members.

c. Participation in the University's Interfraternity Council, Panhellenic Council, or Bicultural InterGreek Council and Greek Alumni Council, as those organizations relate to the self-governance of the fraternity/sorority system at Pennsylvania.

d. Participation in any official University-wide recruitment or membership solicitation program, as articulated and monitored by the Interfraternity Council, the Panhellenic Council, Bicultural InterGreek Council, and the Greek Alumni Council.

e. Assistance of various University offices in communicating with the University's alumni of the local chapter. This shall include, but not be restricted to, advice and assistance provided by the Offices of Development, Alumni Relations, and Annual Giving.

f. Participation in the athletic, social, and educational programs and activities of the University which are provided for fraternal organizations.

g. Access and use of University facilities for the official chapter functions as approved by the Office of Fraternity/Sorority Affairs and/or other University offices under whose jurisdiction utilization of any university facility is regulated. For residential fraternities and sororities, recognition accords the following additional services or benefits:

h. Assistance of appropriate University offices, such as the Office of Public Safety, in protecting the fraternity and its property from disruptions, thefts, intrusions, etc.

i. Advice and assistance of the Office of Fraternity/Sorority Affairs and other appropriate University offices in the conduct of the fraternity's business affairs, its plant operations, maintenance, and renovations, and its short-term and long-term financial planning. Some of these services are provided by the University in accord with agreements which are negotiated from time to time between the University and the fraternity/sorority. Other services are provided by the Office of Fraternity/Sorority Affairs and other offices of the University as part of the student services provided through the Office of the Vice Provost for University Life. The University shall agree with each fraternity and sorority on the services to be provided and on the charges, if any, for them. Where priorities in reservations or differentials in fee may exist for outside versus University users, fraternities and sororities shall be regarded as internal users.

2. Provisional Recognition

Provisional Recognition describes the University's conditional approval for a specified period no shorter than one year after fulfillment of the criteria and procedures for recognition described in Section II; a maximum period for Provisional Recognition may be specified by the Director of Fraternity and Sorority Affairs upon recommendation of the Fraternity/Sorority Advisory Board. At the end of the period of Provisional Recognition, a review of the status of the fraternity/sorority shall be conducted by the Office of Fraternity and Sorority Affairs. Upon completion of this assessment and after consultation with the Fraternity and Sorority Advisory Board, the Director of Fraternity and Sorority Affairs in conjunction with the Vice Provost will designate the fraternity to have full recognition, continued provisional recognition, or to have recognition withdrawn, as specified in these guidelines. Normally, provisional recognition will be applied during the establishment of a new fraternity/sorority chapter or the reestablishment of a formerly
active fraternity/sorority chapter at Pennsylvania.

3. Probationary Recognition

Probationary Recognition describes the university's conditional withdrawal of certain University services/benefits and/or its applying specific sanctions against the chapter. Probationary recognition signifies that the chapter has failed to abide by University standards, codes or guidelines, by state or local or federal laws and statutes, and/or has failed to comply with the procedures and criteria articulated in this policy statement. In most instances, the fraternity's local/national sponsoring groups will be asked to supervise the chapter during the entire probationary period, the length of which shall be specified by the Vice Provost for University Life. At the end of the probationary period, an intensive analysis of the status of the fraternity/sorority shall be conducted by the Office of Fraternity and Sorority Affairs in consultation with the Fraternity/Sorority Advisory Board. Upon completion of this assessment, the Vice Provost will designate the fraternity to have full recognition, continued probationary recognition, or to have recognition withdrawn, as specified in these guidelines. Unless there is substantial progress recorded in those areas where the fraternity or sorority falls short of its goals under this policy, the chapter will lose its recognition status at the end of the probationary period (see Section V of this document).

II. Criteria and Procedures for Initial Recognition

A. General Criteria for Initial Recognition

All fraternal organizations must fulfill the following criteria in order to secure initial recognition by the University:

1. Eligibility Demonstrate eligibility for recognition (as outlined under "Applicability" in Section I.B) by providing evidence of non-University and alumni affiliation and support. Such evidence will take the form of:
   a. A statement and pledge of sponsorship by an approved national and/or local sponsoring group(s) or association(s);
   b. Identification of an active corporation board which maintains ongoing supervisory relations with the undergraduate chapter;
   c. Identification of a "chapter advisor" or "liaison" who will be a member of the sponsoring fraternal organization residing in the greater Philadelphia area. It shall be the responsibility of the chapter liaison or advisor to monitor the operations and activities of the undergraduate fraternity chapter, to make recommendations to the Office of Fraternity and Sorority Affairs which will strengthen the chapter at Pennsylvania, and to assist the Office of Fraternity/Sorority Affairs in ensuring the fraternity's continued compliance with all terms of this recognition policy and to assist in ensuring that all activities of the fraternity comply with University regulations and guidelines, as well as local, state, and federal laws and statutes.

2. Consonance of goals with the University's mission
   a. The statement of purposes and goals of the fraternal organizations;
   b. Constitution, by-laws, and governance structure;
   c. The local chapter's document, as well as constitution and by-laws, and statement of purpose and goals;
   d. Policies and standards for the selection of members, the education of new members, and the initiation of new members. These documents must conform to established University standards and policies as may be found in official University sources (The Practical Penn, Almanac, and documents that may be compiled and distributed by the Office of Fraternity and Sorority Affairs).

3. Responsibilities Acknowledge responsibilities within the University by submitting a written statement of adherence to the principles and guidelines defined in this document.

4. Membership Provide full membership information, including names, addresses, and telephone numbers of the fraternity's/sorority's national organization officers, its local alumni corporation and board(s) and its undergraduate officer(s) and chapter members. Active membership in the undergraduate chapter is defined as the individual's right to participate in any formal activities of the chapter or to reside in the
chapter house, in the case of a residential fraternity. Membership in the University's chapter shall (a) be restricted to individuals who are matriculated undergraduate or graduate students at the University, and (b) be large enough to assign, without undue burden upon any individual member, the responsibilities prescribed by the Office of Fraternity and Sorority Affairs pursuant to this policy.

5. Governance Structure Provide a governance structure for the fraternity/sorority, indicating assignment of responsibility for the fraternity/sorority's financial activities, program planning, compliance with University disciplinary standards and regulations, orientation and selection of new members, communication with the University's administration, housing operations and arrangements (if appropriate), and participation within the University's Interfraternity Council, Panhellenic Council, Bicultural InterGreek Council, and Greek Alumni Council.

6. Financial Plan Present a financial plan for the fraternity/sorority which addresses the following issues: income and cost expectations and projections, estimated number of members for chapter viability; proposed schedule of financial reporting in-house and to the University, appropriate insurance coverage as mandated by the University (e.g., liability, personal property, automobile, etc.) and designation of responsibility for the financial supervision of the fraternity/sorority.

7. Plan for projected services and activities Submit a plan for projected services and activities for members as well as a plan for the educational, social, charitable, community service, and athletic programs and activities to be offered to members.

8. Evidence of academic performance The chapter, as a group, will be expected to maintain a high chapter cumulative grade point average as reported by the Office of the Registrar. Any student who is not in good standing with his or her school may not retain active membership status and/or reside in the chapter house, as may be appropriate.

9. For residential fraternities/sororities: Housing Plan Provide a detailed housing plan which includes the contractual arrangements for providing residential facilities for undergraduates and verifies that the residential facility conforms to University housing standards regarding the facilities, safety and security measures, insurance coverage, debt services, etc.

B. General Procedures for Initial Recognition

To secure provisional recognition status the following sequence of procedures will be completed normally within the period of one year:

1. An authorized representative of the fraternal organization will submit a formal application for recognition to the Office of Fraternity and Sorority Affairs, including all information requested in Section A, "Criteria for Recognition."

2. Upon receipt of application, the Director of Fraternity and Sorority Affairs will consult with the Executive Council of the Greek Alumni Council whose evaluation or assessment of the application for recognition will be sought. Advice may also be sought from the Officers of the Interfraternity Council, Panhellenic Council, and Bicultural InterGreek Council; such consultation may be sought individually with each group and/or with the Fraternity/Sorority Advisory Board.

3. If the information submitted is judged to be acceptable, the Director of Fraternity and Sorority Affairs will issue a letter of provisional recognition together with a listing of any specialized terms of conditions, to the applicant.

4. Written acceptance of the offer of recognition will be furnished by the president of the fraternity/sorority local alumni corporation to the Office of Fraternity and Sorority Affairs.

III. Maintenance of Recognition

A fraternity's/sorority's recognition shall continue annually so long as it maintains the standards set forth in this policy, and further:

1. Provides an activity report each semester to the Office of Fraternity and Sorority Affairs in the format requested, but also noting any changes in the items listed in Section II of the policy, and updating all required statements of responsibility. Any changes in information, filed under Section II, occurring during
the academic year must be reported to the Office of Fraternity and Sorority Affairs within two weeks of the change.

2. Reviews annually with the Director of Fraternity and Sorority Affairs the general progress and contribution which the fraternity/sorority has made during the previous academic year regarding house viability, compliance with University goals and standards, issues of collective responsibility, projected planning and programming needs, and specific needs for advisory services by the University.

3. Reports each semester to its national and/or graduate/alumni sponsoring fraternal organization regarding the status of the undergraduate membership. The national sponsoring group – or the local sponsoring group in the absence of a participating national organization – shall communicate regularly with the Office of the Fraternity and Sorority Affairs on its evaluation of the chapter.

IV. Obligations

A. Obligations of the Fraternity/Sorority to the University

By undertaking the process of recognition, the fraternity or sorority assumes certain obligations and responsibilities to the University community:

1. To maintain the University's standards for fraternities and sororities as articulated in this recognition policy.

2. To accept collective responsibility for the activities of individual members of the undergraduate chapter as they relate to the following:
   a. Academic performance of both individual members and the group as noted under Section II.
   b. Conduct of members and conduct of guests of members which is knowingly tolerated by the members of the fraternity and is in violation of the University's Code of Conduct;
   c. Obligation to cooperate with the administrative and law enforcement functions of the University;
   d. Educational and student development programs of the fraternity or sorority.

3. To maintain chapter viability through sound financial management of the fraternity/sorority and supervision of the chapter.

4. To participate actively in the University's fraternity and sorority governance system through active membership in the Interfraternity Council, Panhellenic Council, or Bicultural InterGreek Council, and the Greek Alumni Council.

5. To contribute positively to the University community and to the development of the individual fraternity member in his role as a student at the University.

6. To abide by all lease or other written agreements or contracts which the fraternity enters into with the University.

7. To abide by all appropriate rules/regulations of the University and all local, state, and federal laws and statutes.

8. To affirm annually the fraternity's commitment to the University community and this Recognition Policy document.

B. Obligations of the University to the Fraternity/Sorority

Through recognition, the University binds itself to the following obligations to the fraternity/sorority:

1. To provide those benefits outlined under the description of "Full Recognition," Section I.

2. To communicate with the national sponsoring fraternal organization and/or local sponsoring corporation board as required regarding the status of the chapter at the University of Pennsylvania.

3. To provide necessary guidance and resources to the undergraduate chapter and its officers so that they may fulfill their leadership roles within their chapters and within the University community.

4. To provide the undergraduate/graduate student chapter with supportive activities and programs for fraternity/sorority members and fraternal organizations and to provide those activities with appropriate resources (e.g., intramural sporting events and equipment).

5. To assist in the mediation or resolution of conflicts between fraternal organizations and to provide appropriate resources as circumstances require.
6. To abide by all lease or other written agreements or contracts which the University enters into with the fraternity.

V. Changes in Recognition Status

Once recognized by the University, a fraternity or sorority is assumed to be in good standing as long as the organization meets the expectations articulated in this policy.

1. When it is determined that a chapter has failed to meet the obligations articulated in this policy, then alterations in the fraternity's status may be implemented by the University, upon written notification to the fraternity's undergraduate chapter, and the local alumni/graduate as well as national sponsoring organizations (see Sections 1 through 4, below).

2. On any finding that the chapter has jeopardized its recognition status through failure to maintain the standards in this policy, the Director of Fraternity/Sorority Affairs and the Vice Provost for University Life after consultation with a Fraternity/Sorority Advisory Board (defined below) may implement any of the following actions:
   1. Administrative Warning. This warning will suggest a reasonable time frame for corrective action. If the schedule for correction is not met, then the Vice Provost may invoke probation of recognition.
   2. Chapter Probation. Probationary Recognition is for a determined period of time and may or may not include suspension of specific privileges for the fraternity (see Probationary Recognition, Section I.D). Under the terms of probation the fraternity may be required to suspend the active membership of one or more individuals within the chapter in accordance with guidelines set forth by the applicable national or local constitution or by-laws. In the case of any further infractions of the University's Recognition Policy standards or if a schedule for corrective action is not met, the Vice Provost may invoke Suspension or Withdrawal of Recognition.
   3. Suspension of Recognition. Suspension is for a set time period during which all activities of the chapter may be suspended and privileges revoked. During this period the national sponsoring body, working with the alumni corporation, will be required to produce a written plan or corrective action to be taken so that the chapter will meet the criteria established by this policy. If a chapter house is maintained, the alumni corporation may be required to cease its operation as the chapter house and terminate residence for members of the group. The Chapter may, however, be reorganized with newly recruited members. After the term of suspension, members in good standing may regain their right to live in the chapter house and may be granted the right to resume participation in chapter activities and programs.
   4. Withdrawal of Recognition. At the time of withdrawal, the alumni corporation will cease its operations of a chapter house, terminate residence for members of the fraternity, and revoke all privileges and authority for the undergraduate chapter to function. Current individual members registered at the University could be liable for suspension from the University for failure to comply in accordance with any such Withdrawal of Recognition. Withdrawal of Recognition terminates all agreements between the University and the undergraduate chapter of the fraternity.

VI. Amendments or Alterations

Recommendations for amendments to or alteration of this policy, in order to meet changing needs, may originate with the Interfraternity Council, Panhellenic Council, Bicultural InterGreek Council, Greek Alumni Council, the Fraternity/Sorority Advisory Board, or individual fraternal organizations as well as with the Office of Fraternity and Sorority Affairs. Recommendations shall be reviewed by the Interfraternity Council, Panhellenic Council, Bicultural InterGreek Council, Greek Alumni Council, and the Fraternity/Sorority Advisory Board. Any amendments or alterations in this policy shall be issued in writing by the Vice Provost for University Life, with a specified grace period for compliance by fraternities and sororities already in recognition status. None will be retroactive.
VII. The Pledging Regulations

Hazing is forbidden as being inconsistent with association of equals and scholars. In addition, hazing is illegal. Refer to Antihazing Regulations.
Rules Governing Final Examinations

1. No instructor may hold a final examination nor require the submission of a take-home final exam except during the period in which final examinations are scheduled; when necessary, exceptions to this policy may be granted for postponed examinations (see 3 and 4 below). No final examinations may be scheduled during the last week of classes or on reading days.

2. No student may be required to take more than two final examinations on any calendar day during the period in which final examinations are scheduled. If more than two are scheduled, the student may postpone the middle exam. If a take-home final exam is due on a day when two final examinations are scheduled, the take-home exam shall be postponed by one day.

3. Examinations that are postponed because of conflicts with other examinations, or because more than two examinations are scheduled in the same day, may be taken at another time during the final examinations period if the faculty member and student can agree on that time. Otherwise, they must be taken during the official period for postponed examinations.

4. Examinations that are postponed because of illness, a death in the family, for religious observance or some other unusual event, may be taken only during the official periods: the first week of the spring and fall semesters. Students must obtain permission from their Dean’s office to take a postponed exam. Instructors in all courses must be willing to offer a make-up examination to all students who are excused from the final examination.

5. No instructor may change the time or date of a final exam without permission from the appropriate dean.

6. No instructor may increase the time allowed for a final exam beyond the scheduled two hours without permission from the appropriate dean.

7. No classes or required class activities may be held during the reading period.

8. The first examination of the day begins at 9 a.m. and the last examination concludes by 8 p.m. There will be one hour between exam time blocks.

9. All students must be allowed to see their final examination. Exams should be available as soon as possible after being graded with access ensured for a period of at least one regular semester after the exam has been given. To help protect student privacy, a student should have access only to his or her own exam and not the exams of other students. Therefore, for example, it is not permissible to leave student exams (or grades or papers) in publicly accessible areas.

10. Students may not be asked for their Social Security Numbers. Instructors may not publicly display a student’s Penn ID or any portion of the Social Security Number, nor use name, initials, or any personally identifiable information to post grades. Even when an identifier is masked or absent, grades may not be posted in alphabetical order, to protect student privacy.
11. Final exams for College of General Studies (CGS) courses must be given on the regular class meeting night during the week of final examinations. No change in scheduling is permitted without unanimous consent of all students in the class and the director of CGS. A CGS final exam may not be administered during the last week of class or on a reading day.

In all matters relating to final exams, students with questions should first consult with their Dean’s offices. Faculty wishing to seek exceptions to the rules also should consult with their Dean’s offices. Finally, the Council of Undergraduate Deans and SCUE urge instructors to see that all examinations are actively proctored.

(Source: Almanac, November 22, 2005)
Sexual Harassment Policy

I. Conduct

Our community depends on trust and civility. A willingness to recognize the dignity and worth of each person at the University is essential to our mission.

It is the responsibility of each person on campus to respect the personal dignity of others. We expect members of our University community to demonstrate a basic generosity of spirit that precludes expressions of bigotry.

Penn properly celebrates the diversity of its community. We come to Penn from many different backgrounds and include different races, religions, sexual orientations, and ethnic ancestries. Learning to understand the differences among us, as well as the similarities, is an important dimension of education, one that continues for a lifetime. Tolerance alone, however, is not enough. Respect and understanding also are needed. We should delight in our differences, and should seek to appreciate the richness and personal growth which our diversity provides to us as members of this community.

The University is committed to freedom of thought, discourse and speech, and the attainment of the highest quality of academic and educational pursuits and daily work. Policies and regulations implementing this commitment include the Statement on Academic Freedom and Responsibility, the Guidelines on Open Expression, and the Code of Academic Integrity.

The University also has established policies on behaviors that interfere with these freedoms. Foremost among these policies is the University’s Statement on Nondiscrimination, which prohibits discrimination on the basis of race, color, sex, sexual preference, religion, national or ethnic origin, handicap or disability.

The University also has adopted the following policy concerning sexual harassment. The terms “harassment” and “sexual harassment” as used throughout are defined as a matter of University policy, and are not necessarily identical or limited to the uses of that term in external sources, including governmental guidelines or regulations.

II. Purposes and Definitions

A. Purposes

For many years the University has stressed that sexual harassment is not tolerated at Penn. As an employer and as an educational institution, the University is committed to eradicating sexual harassment.

Sexual harassment in any context is reprehensible and is a matter of particular concern to an academic community in which students, faculty, and staff must rely on strong bonds of intellectual trust and dependence.

B. Definitions

For the purposes of University policy, the term “sexual harassment” refers to any unwanted sexual attention that:
1. Involves a stated or implicit threat to the victim’s academic or employment status;
2. Has the purpose or effect of interfering with an individual’s academic or work performance; and/or;
3. Creates an intimidating or offensive academic, living, or work environment.

The University regards such behavior, whether verbal or physical, as a violation of the standards of conduct required of all persons associated with the institution. Accordingly, those inflicting such behavior on others are subject to the full range of internal institutional disciplinary actions, including separation from the University. Likewise, acts of retaliation will be subject to the same range of disciplinary actions.

As noted in the Handbook for Faculty and Academic Administrators, Policies and Procedures, the Academic Bulletin, and other University publications, persons engaged in such harassment within the University setting are subject to the full range of internal institutional disciplinary actions, including separation from the institution.

Not every act that might be offensive to an individual or a group necessarily will be considered as harassment and/or a violation of the University’s standard of conduct. In determining whether an act constitutes harassment, the totality of the circumstances that pertain to any given incident in its context must be carefully reviewed and due consideration must be given to the protection of individual rights, freedom of speech, academic freedom and advocacy.

III. Resources
School and administrative units should make known to all of their members the available resources and the informal and formal procedures for resolving complaints of sexual harassment within the unit or at the University level. These resources include the following:

A. Information, Counseling, and Support
The following University resources are available to members of the University community who seek information and counseling about University policies on sexual harassment, standards of behavior, informal and formal mechanisms for resolving complaints and resources for complainants and respondents.

Deans and directors may also make referrals to these resource offices:

• Office of Affirmative Action and Equal Opportunity Programs
• African-American Resource Center
• Penn Behavioral Health Employee Assistance Program
• Lesbian Gay Bisexual Transgender Center
• Division of Human Resources, Office of Labor Relations
• Office of the Ombudsman
• Division of Human Resources, Office of Staff Relations
• Division of Public Safety, Special Services
• Penn Women’s Center
• Student Health Services
• Counseling and Psychological Services
• Office of the Vice Provost for University Life
B. Informal Mechanisms for Mediation and Resolution
The Ombudsman, the Office of Affirmative Action, the Penn Women’s Center, all other offices named as resource offices in this policy, the Office of Student Conduct, the Office of Residential Living, department chairs, deans and administrative directors, the Provost, and the vice presidents are available to assist in the informal resolution of complaints.

C. Formal Mechanisms for Resolution and Adjudication
When informal resolution is not chosen or is unsatisfactory, complainants are urged to use appropriate formal mechanisms described below:

1. Complaints of sexual harassment against a faculty member, instructor, or teaching assistant may be brought by a student, staff or faculty member to the department chair or dean of the faculty member. The department chair or dean who receives a complaint is then charged with pursuing the matter. While the process depends on the particulars of the complaint, normally the department chair or dean interviews the faculty member. If the matter is not resolved informally, the department chair or dean either conducts an investigation or requests that the Ombudsman, the Office of Affirmative Action, the Office of Staff Relations or the Office of Labor Relations do so. If the results of the investigation persuade the dean or department chair that sanctions are warranted, he or she consults with faculty members—without disclosing the identity of the individuals involved—to aid in determining an appropriate sanction, including whether there is substantial reason to believe that just cause exists for suspension or termination. If it is determined that action should be taken to suspend or terminate, the dean should follow the procedures set out in Section II. E.16 of the Handbook for Faculty and Academic Administrators.

2. Complaints of sexual harassment against a staff member may be brought by a student, staff member or faculty member to the supervisor of the person complained against. The supervisor who receives the complaint is then charged with pursuing the matter. While the process will depend on the particulars of the complaint, normally the supervisor interviews the staff member. If the matter is not resolved informally, the supervisor either conducts an investigation or requests that the Ombudsman, the Office of Affirmative Action, the Office of Staff Relations, or the Office of Labor Relations do so. If the result of the investigation persuades the supervisor that sanctions are warranted, he or she consults with his or her colleagues or supervisor—without disclosing the identity of the individual(s) involved—to aid in determining an appropriate sanction. A staff member who believes that his or her rights have been violated directly by another staff member or administrator may file a grievance by contacting the Office of Staff Relations within the Division of Human Resources under the University of Pennsylvania Staff Grievance Procedure.

3. Complaints by students of sexual harassment may be made to the Office of the Vice Provost for University Life. Grievances associated with sexual harassment in student employment may also fall within the purview of the Vice Provost for University Life.

4. A complaint of sexual harassment may be brought against a student by filing a complaint under the Charter of the University Student Judicial System, or, if the respondent is a graduate or professional student enrolled in a school which has established a hearing board or other decision-making body, with that body.

5. A tenured or untenured faculty member, whether full or part time, who believes she or he has been subjected to sexual harassment by a faculty member or by an academic administrator may
file a grievance under the Faculty Grievance Procedure. Handbook for Faculty and Academic Administrators, part II E. 12, provided the complaint constitutes a grievance as defined in Section I of the Procedure. This procedure is administered by the Faculty Grievance Commission. The panel makes its recommendations to the provost. In cases that involve reappointment, promotion or tenure, and in which the provost has declined or failed to implement the recommendations of the panel to the satisfaction of the grievant, the grievant may obtain a hearing before the Senate Committee on Academic Freedom and Responsibility on the actions of the Provost.

D. Central Reporting of Sexual Harassment
1. The University’s decentralized system of resources is designed to encourage the reporting and resolution of complaints of sexual harassment. However, in order to enable the Administration to identify patterns of sexual harassment in a particular location and the increased frequency of such incidents in a given area of the University, the Executive Director of the Office of Affirmative Action and Equal Opportunity Programs shall, on a semi-annual basis, convene a meeting of representatives from the offices and centers listed in paragraph (A) of this section to review and report on sexual harassment across the University based upon the reports or complaints of sexual harassment that they have handled formally or informally within their area. Such information can then be transmitted to the appropriate deans or administrative supervisors as appropriate. Any reports will protect the privacy of the complainants and responsible parties involved in each reported case of sexual harassment.
2. Based on the information shared at the semi-annual meetings discussed above, and any reports to deans or other administrative supervisors during the previous year, the Executive Director shall annually submit to the President, by September 15 of the academic year, a summary report describing the incidence of sexual harassment. This report may include recommendations based on the information as warranted. At the discretion of the President, the report may be shared with the University community early in the semester.

E. Education and Prevention
The prevention of sexual harassment and the establishment of effective procedures with due concern for all parties require a thoughtful educational program.
1. University resource offices will provide to the community information on: (a) available mediation and resolution resources; and (b) sources of support and information for victims and respondents.
2. Deans and heads of major administrative units are encouraged to discuss this policy and issues of sexual harassment at meetings of faculty and staff.
3. Training programs for residential advisors, senior administrative fellows, those who meet students in crisis situations and others serving in an advisory capacity to students will include training about referrals, resources and methods for handling instances of sexual harassment.
4. An overall educational program for students that addresses issues of peer sexual harassment and also provides information, definition, support and the identification of sexual harassment resources has been developed by the Office of the Vice Provost for University Life, the Office of Affirmative Action, and the Penn Women’s Center in conjunction with the Office of Residential Living, the Council of College House Masters, and the Council of Senior Faculty Residents.
involved with the Freshman Year Program. Such an educational program is directed toward new undergraduate and graduate and professional students.

5. The University will publish annually the operative portions of this policy statement, including information about the resources available to advise, counsel and assist in the mediation of sexual harassment allegations. Information will explain how and where to contact University-wide and school-specific resources and will be posted in conspicuous locations. All members of the University should feel a responsibility to try to prevent sexual harassment whenever they observe it. Community members should report sexual harassment to appropriate University resources promptly for appropriate action.

F. Exit Interviews
Deans and administrative directors will periodically survey departing students, faculty and staff to measure the existence and frequency of reports of sexual harassment. Based on the data yielded by these surveys and the annual reports of the Executive Director of Affirmative Action and Equal Opportunity Programs, the University administration will determine, in consultation with the University Council, whether there is a need for further efforts to be taken on the issue of sexual harassment.

G. Implementation
Deans and administrative directors will be responsible for the implementation of this policy. The Provost and President will oversee the performance of deans and directors in the implementation of this policy.

(Source: Office of the President, Almanac, December 6, 1988; revised, Almanac, November 7, 1995; Offices of the President and Provost, revised, Almanac, February 3, 2004; revised, Almanac, October 18, 2011)

Source: Almanac, October 18, 2011, Volume 58, No.8)
Sexual Violence Policy

Introduction

This policy, which prohibits behaviors that are more generally addressed by the University’s Sexual Harassment Policy, applies to faculty, students, staff, and visitors to the University campus and facilities. All forms of sexual violence, relationship violence, domestic violence and stalking, and attempts to commit such acts, are considered to be serious misconduct and may result in disciplinary action up to and including expulsion or termination of employment. In addition, such acts violate federal, state and local laws, and perpetrators of such acts may be subject to criminal prosecution. Specific guidance for students is provided in the "Student Guidelines for the University of Pennsylvania Sexual Violence Policy" created by the Penn Women’s Center, and for faculty and staff at [to be developed*]

Definitions

Sexual violence, relationship violence, domestic violence and stalking in any form, including sexual assault and rape, are prohibited by University policy. Sexual violence includes a range of behaviors in which an act of a sexual nature is taken against another person without the individual's consent or when the individual is unable to consent.

Important definitions appear below.

Sexual assault (including but not limited to rape) is defined as having committed any of the following acts:

- Any physical sexual contact that involves the use or threat of force or violence or any other form of coercion or intimidation;
- Any physical sexual contact with a person who is unable to consent due to incapacity or impairment, mental or physical. “Incapacity” or “impairment” includes but is not limited to being under the influence of alcohol or drugs or being too young to consent.

Rape is defined as sexual assault involving an act of penetration and includes acquaintance rape (assailant and victim know each other).

Non-forceful sex acts include unlawful sex acts where consent is not relevant, such as sexual contact with an individual under the statutory age of consent as defined by Pennsylvania law.

Consent is an affirmative decision to engage in mutually agreed upon sexual activity and is given by clear words or actions. Consent may not be inferred from silence, passivity, or lack of resistance alone. Furthermore, consent to one form of sexual activity does not imply consent to other forms of sexual activity, and the existence of a current or previous dating, marital, or sexual relationship is not sufficient to constitute consent to additional sexual activity. Assent
shall not constitute consent if it is given by a person who because of youth, disability, intoxication or other condition is unable to lawfully give his or her consent.

**Relationship Violence**, also commonly known as dating violence, is defined as a pattern of abuse committed by a person, past or present, involved in a social, sexual or romantic relationship with the victim. Relationship violence can encompass a broad range of behaviors that may include physical violence, sexual violence, emotional violence, and economic violence.

**Domestic Violence** is defined as abuse committed against an adult who is a spouse or a former spouse, cohabitant or someone with who the abuser has a child, has an existing dating or engagement relationship, or has had a former dating or engagement relationship.

**Stalking** means engaging in a course directed at specific person(s) that would cause a reasonable person to (a) fear for his or her safety or the safety of others, or (b) suffer substantial emotional distress.

In determining whether the alleged conduct violates this policy, consideration will be given to the totality of circumstances, including the nature of the conduct and the context in which the alleged incident occurred.

**Resources**

**Information, Counseling and Support**
Resource offices are available to assist members of the Penn community and visitors to the campus who have been, or know someone who has been, the victim of sexual violence. The staff of these offices are available to provide information regarding options for pursuing a complaint as well as counseling and support. The information provided generally will be held in confidence, consistent with the University’s obligation to address complaints of sexual violence, unless the person making the complaint gives his or her consent to the disclosure of that information. The commitment to confidentiality does not preclude the sharing of information among responsible University administrators as needed to address the complaint or to keep members of the University community safe.

- **African-American Resource Center** (staff, faculty, or visitors)
- **Office of the Chaplain** (students, staff, faculty, or visitors)
- **Counseling and Psychological Services** (students)
- **Employee Assistance Program, Behavioral Health, Perelman School of Medicine** (staff or faculty)
- **LGBT Center** (students, staff, or faculty)
- **Office of the Ombudsman** (students, staff, or faculty)
- **Penn Women’s Center** (students, staff, or faculty)
- **Special Services Department, Division of Public Safety** (students, staff, faculty, or visitors)
- **Student Health Service** (students)
- **Vice Provost for University Life** (students).
Informal and Formal Complaint Resolution Resources

The University also has resources available to respond to informal and formal complaints of sexual violence. The staff of these resource offices will provide information regarding the process to be used in responding to the complaint, investigate the allegations, and ensure that appropriate action is taken.

- **Office of Affirmative Action and Equal Opportunity Programs** (complaints by or regarding students, staff, faculty, or visitors)
- **Dean's Offices and Department Chairs** (complaints regarding faculty)
- **Division of Human Resources, Staff and Labor Relations** (complaints by or regarding staff members)
- **Penn Police Department, Division of Public Safety** (complaints by or regarding students, staff, faculty, or visitors)
- **Office of the Provost** (complaints by or regarding students or faculty members)
- **Special Services Department, Division of Public Safety** (complaints by or regarding students, staff, faculty, or visitors)
- **Office of Student Conduct** (complaints regarding students)
- **Title IX Coordinator/Executive Director, Office of Affirmative Action and Equal Opportunity Programs** (complaints by or regarding staff, students, faculty, or visitors).

Rights of Complainants and Respondents

Persons who make a complaint and those who are responding to complaints have the following rights:

- The option to notify law enforcement;
- The option to have another member of the University community present during interviews that are part of a University-initiated investigation;
- To be notified of counseling and support services available;
- To be notified of options to change academic, living, or work arrangements.

Policy Against Retaliation

University policy expressly prohibits retaliation against faculty, staff, or students who in good faith make reports of violations of this policy. In addition, knowingly and intentionally making a false report of a violation of this policy is prohibited. Members of the Penn community who take adverse action against someone who reports a violation of this policy, intimidates, threatens or otherwise engages in retaliation is subject to disciplinary action, up to and including termination of their employment or expulsion from the University.
Student Activities Council Funding Policies and Guidelines for Student Groups

Funding Policies for Student Groups
(The following policies are binding and must be adhered to by the Student Activities Council Executive Committee)

1. While determination may be made that organizations or activities are not eligible for funding, decisions on whether or not an organization or activity is denied funding will not be based on the content of the speech or expression of such organization or activity.

2. A student activity or program that is designed to support or oppose a particular party or candidate or to influence legislation will not be funded.

3. In accordance with University guidelines, Student Activities or programs designed to elicit support for religious ideologies and promote membership in sectarian groups will not be funded.

4. All activities must file and maintain complete capital equipment inventories with the Office of Student Life. This should be submitted in the beginning of the year with the annual registration form.

5. All activities are held responsible for full disclosure of all financial actions of the group to the Executive Committee (especially changes or planned changes in usage of allocated funds) upon penalty of immediate forfeiture of all funds remaining in their accounts.

6. All funded activities must maintain their own set of books upon penalty of immediate forfeiture of all funds remaining in their accounts. These should be available to the Executive Committee upon request.

7. Executive Committee members intimately connected with a student organization must declare their affiliations with these activities and may not vote on the allocations of that particular student activity. Furthermore, they may not attempt to influence the other Executive Committee members. They may function only as resource people.

8. No organization shall enter into any contract without the written consent of the Director of OSL or designee. Moreover, all monies involved must first be approved by the Executive Committee.

9. All activities must submit reports on the activities sponsored by the organizations during the previous year as a part of their annual budget requests.

Examples of programs or activities not eligible for funding under these criteria include:

a. College Democrats, College Republicans, or other groups designed to support a political party;

b. A student activity that is designed to or does in fact campaign on behalf of a candidate for public office or participate in a political campaign. For example, Students for Smith for Congress;

c. An activity designed to influence legislation.
These criteria would not prohibit funding a political forum at which different viewpoints are expressed.

**Funding Guidelines for Student Groups**
(These guidelines are not binding on the Student Activities Council Executive Committee)

1. Duplication in activities will be eliminated; the better program in the Committee’s judgment will be funded.

2. No mailings (summer or otherwise) will be funded.

3. Meal subsidies for members of student activities will not be funded.

4. Publications will be required to collect 25% of their total budgeted operation through advertising or other revenue. If this is not done, the Executive Committee will freeze the account. Any changes in the status of a publication (e.g. dates, issue size, copies printed) must be reported to the Executive Committee Liaison.

5. All publications printing more than one issue per academic year must submit a schedule of distribution dates to the Executive Committee with their annual budget request. Complete copy for each issue must be submitted to the printer at least three weeks prior to the date of distribution. Failure to meet this requirement will result in the cancellation of one issue. Under no circumstances may a publication submit copy after April 1st or distribute an issue after the third week of April.

6. No individual can be paid a salary or wage for services which can or should be rendered by a student.

7. All capital equipment allotted to an activity must be stored in a University facility.

8. Concerning conferences and travel for non-competitive groups, travel will be funded ONLY if a group provides proof that said travel is essential to the operation of that group (e.g., required by national charter or necessary for national membership). In this case, only one-half of all travel and lodging will be funded. In this case, only one-half of all travel and lodging or $250 per person for travel and lodging will be funded.

9. No funding will be given for SAC student-run conferences. All cost must be covered in the conference registration fees or by other sources of income.

10. The cost of printing tickets for all events should be covered in the price of the tickets.

11. No funding will be given for printing of Newsletters.

12. If a SAC-paid director or coach requests his/her salary before the normal end of semester pay date, he/she may be paid 20% of the total semesterly salary. The remaining 80% will be paid at the semester’s end.

13. Any group seeking to bring a speaker must approach Connaissance for co-sponsorship before approaching the Executive Committee. The Executive Committee will not fund speakers if the speaker is specific only to the group’s members and is not appropriate or relevant to the whole University community. Honoraria request to the Executive Committee must not exceed $100.
14. The Executive Committee may decide to reconsider a request denied to an organization if
   a. legitimate factors (e.g., number of members) have changed to make the
      original circumstances regarding the decision no longer valid, OR
   b. the parties involved (e.g., SAC Representative, Executive Committee, Executive Liaison)
      feel strongly that an honest misunderstanding took place regarding the facts and figures
      of the particular case.

15. The Executive Committee does not fund international travel for competitive groups. This
    differs from national championships/tournaments which may be funded upon request and
    demonstration of appropriate need by the competitive group.

16. Any program which is considered campus wide, social, shall be referred to SPEC.

17. If a program is being partially funded by the Social Planning and Events Committee, it will
    not be funded by the Student Activities Council.

18. No funding will be given retroactively.

19. Membership dues to national organizations will only be funded if deemed essential for the
    group’s existence as a group in the Penn community and/or for the proper functioning of the
    group and then only for the absolute minimum number of members required to achieve and
    maintain membership in the national organization.

20. Any budgets (excluding contingency request) submitted after the allocation process has been
    completed in February/March of the spring semester will be subject to a 25% budget reduction.
Student Grievance Procedures

Federal law requires the University to designate an employee to coordinate its compliance, including the investigation of complaints with Title VI of the Civil Rights Act of 1964, Title IX of the Education amendments of 1972, and the Rehabilitation Act of 1973. In addition, the University is required to have procedures for the resolution of student and employee grievances alleging violations of these laws.

Any student in the University who feels that he or she has been discriminated against by an individual or office acting for the University or that the University is not complying with the requirements of Title VI, Title IX, or the Rehabilitation Act, has a right to register a complaint and seek redress of his or her grievance. The student may take his/her complaint to the following University offices:

Office of Affirmative Action & Equal Opportunity Programs

The Office of Affirmative Action & Equal Opportunity Programs monitors the University's equal opportunity/affirmative action policies and programs. The Office also is responsible for coordinating complaints with non-discrimination laws (including investigating complaints and coordinating programs for the disabled). The OAA staff is available to consult with faculty, staff, students, and members of the community who have questions or concerns regarding the application or possible violation of these policies, Title VI or Title IX. The Office is located at 3600 Chestnut St., 898-6993

In addition to the description of duties given earlier, the Office of Affirmative Action is also responsible for coordinating complaints with non-discrimination laws, including investigating complaints and coordinating programs for the disabled. The OAA staff is available to consult with faculty, staff, students, and members of the community who have questions or concerns regarding the application or possible violation of these policies, Title VI or Title IX.

Academic Grievances

Schools and academic departments within the University have established procedures for the resolution of student grievances concerning academic matters. Students should contact the Dean's Office of the particular school for a copy of the appropriate procedures and for guidance regarding the grievance process. A student who wishes to register a grievance regarding the evaluation of his/her academic work should follow the academic grievance procedure applicable in the school or department in which the academic work was performed.

Administrative and Employment Grievances

Student Grievance Procedures

Although Penn normally never stops operating, emergencies such as severe weather conditions may sometimes result in the cancellation of classes and/or the full or partial closure of certain areas of the University. Decisions affecting work schedules and class cancellation are made by the Executive Vice President in consultation with the Provost.

The University will announce a closing or other modification of work schedules through the following means:

• the University’s emergency information number: (215) 898-6358 (215-898-MELT)
• communications from Division of Public Safety
• KYW News Radio (1060 AM)
• the UPennAlert Emergency Notification System (for University related incidents and crises)

The University’s emergency radio identification code numbers are “102” for day classes and schools/centers and “2102” for evening classes. The message that accompanies the code number will provide the operating status of the University. Make sure to keep this emergency information in a place you can easily access.

Even when Penn is officially closed due to an emergency, there are some essential services that must still be provided, such as Public Safety or Facilities. Staff members in essential positions are still required to work as normally scheduled under these circumstances.

More information on suspension of normal operations is available online at http://www.hr.upenn.edu/Policy/Policies/707.aspx.
Unauthorized Copying or Use of Licensed Software

The University of Pennsylvania does not condone or tolerate the unauthorized copying or use of licensed computer software by staff, faculty, or students. The University shall adhere to its contractual responsibilities and shall comply with all copyright laws, and expects all members of the University community to do so as well. Members of the University community who violate this policy may be subject to discipline through standard University procedures. An individual or University department engaged in the unauthorized copying or use of software may also face civil suits, criminal charges, and/or penalties and fines. Subject to the facts and circumstances of each case, such individuals or departments shall be solely responsible for their defense and any resulting liability. If you have questions about the terms and conditions of a software license, please contact the Computing Resource Center at 898-9085.

(Source: Almanac, October 20, 1998)
University of Pennsylvania Nondiscrimination Statement

(To be used in University publications)

The University of Pennsylvania values diversity and seeks talented students, faculty and staff from diverse backgrounds. The University of Pennsylvania does not discriminate on the basis of race, color, sex, sexual orientation, gender identity, religion, creed, national or ethnic origin, citizenship status, age, disability, veteran status or any other legally protected class status in the administration of its admissions, financial aid, educational or athletic programs, or other University-administered programs or in its employment practices. Questions or complaints regarding this policy should be directed to the Executive Director of the Office of Affirmative Action and Equal Opportunity Programs, Sansom Place East, 3600 Chestnut Street, Suite 228, Philadelphia, PA 19104-6106; or (215) 898-6993 (Voice) or (215) 898-7803 (TDD).

(Source: Almanac, September 25, 2007)
University Smoking Policy

Policy
The University of Pennsylvania is committed to maintaining a healthy and safe learning, working and living environment for all members and guests of our community. It therefore is the policy of the University of Pennsylvania, in adherence with the City of Philadelphia’s Clean Indoor Air Worker Protection Law, that smoking is prohibited in all University buildings and facilities, including but not limited to all classrooms, residences, laboratories, work areas, common or unge areas, conference or meeting rooms, hallways, dining facilities, and restrooms. A limited number of designated sleeping quarters within lodging establishments maintained by the University are exempted from this policy.

In addition, smoking is prohibited within twenty (20) feet of any entrance to a University facility or building. This policy shall apply to all University facilities.

This policy is established in compliance with section (4) of the Clean Indoor Air Worker Protection Law.

Enforcement
Compliance with the applicable law and this policy is the responsibility of all members and guests of the University of Pennsylvania community. Any person with concerns about the implementation of or compliance with this policy should refer the matter to his or her immediate supervisor or manager for resolution. If the matter cannot be resolved at this level, the concern should be referred to the Division of Human Resources, Staff and Labor Relations or the appropriate Dean, Vice President, Resource Center Director or their designees.

(Source: Almanac, December 5, 2006)
Use of Facilities

The facilities of the University of Pennsylvania exist for the primary purpose of education. Priority for the use of facilities is given first to University academic activities and second to programs of University groups. The decision to permit or restrict the use of facilities by University groups will be based first on the prior academic commitment of that facility, then on prior reservation by another University group. University groups are defined as consisting almost entirely of students, faculty, administrators, staff or alumni of the University, or combinations thereof, whose primary activities are based at or directly related to the University. Dates that remain open after the spring and fall calendar processes for University groups may be assigned to approved non-University organizations upon request.

The policy governing the use of University facilities was developed under the auspices of the Committee on Open Expression. Before a request of a University group to use any facility is rejected for reasons other than prior commitment of the facility or the like, the Committee on Open Expression should be consulted.

All groups using University facilities must include in their advertising, promotional materials, and other literature distributed on campus the name of the organization (prominently displayed) and sufficient information about the group and the activities it intends to conduct for readers to understand the group's purpose. Deceptive advertising, soliciting, and recruiting practices are prohibited. It is the responsibility of the Director of Student Life to determine whether adequate standards of disclosure are met. Groups failing to comply with this regulation can be denied access to University facilities for as long as the director may determine. The director's decision may be reviewed by the Committee on Open Expression.

Granting of permission to use University facilities does not constitute University endorsement of the activities or purposes of the user group. Unauthorized use of the University's name, other than to indicate the location of an event, is prohibited.

Groups sponsoring activities judged to be unrelated to the University but permissible under the policy governing the use of University facilities will be charged appropriate fees. It is the responsibility of the Director of Student Life to determine whether the activities for which University space is requested are University related. Factors to be considered in making this decision include (1) the relationship to the University of the sponsor and others who are expected to participate, (2) the purpose for which space is requested, (3) whether the activity will promote the objectives of the institution, (4) whether the person(s) organizing and conducting the specific activity is (are) affiliated with the University, and (5) whether the proposed activity will be conducted primarily for the benefit of a group not under the auspices of the University. In the case where a group wishes to use University facilities on a continuing basis, yet no clear benefit to the institution is accrued by housing proposed activities, substantial ongoing involvement by University students or personnel, or both, is required for such activities to be classified as University related.

I. Reservation Procedures

1. All non-academic events requiring the use of Perelman Quadrangle, performing arts facilities, Blanche Levy Park, Locust Walk other VPUL spaces and Central Pool classrooms must be registered with the Office of the Perelman Quad and VPUL Facilities. Applications for space use should be made with the staff in 307 Houston Hall, or online at http://www.perelmanquad.com/plan_event/index.php two weeks in advance.

2. The person, whether or not a member of the University community, who requests the use of a University facility shall be responsible for maintaining the requested facility in good condition.
3. The University reserves the right to reject any request for use of its facilities and to terminate use at any time upon failure of a University group or a non-University organization to comply fully with University policy and safety procedures.

4. Requests must be timely. For example, it is expected that auditoria, large multipurpose spaces, and other large spaces must be reserved with a minimum lead time of one month to ensure adequate provision of facilities resources. Smaller venues of fifty persons or fewer should be reserved a minimum of one week in advance of use.

II. Payment of Charges

A. All groups must agree to pay for incurred costs according to the current schedule of University security, maintenance and service fees.

B. University groups desiring to charge admission to a function must deposit all revenue from such admission charges directly into their University account either to help defray expenses of the program or to support future related on-campus programs. All admissions charges must be reasonable.

III. Admission Charges

A. Because the University is a tax-exempt corporation, the use of its facilities by external, commercial agents should be limited

B. University groups desiring to charge admission to a function must deposit all revenue from such admission charges directly into their University account either to help defray expenses of the program or to support future related on-campus programs. All admissions charges must be reasonable.

IV. Use of Outdoor Spaces

The procedures governing the use of University facilities shall apply to the reservation and use of outdoor spaces belonging to the University, with the recognition that permission may be denied, if noise resulting from an event occurring in an outdoor space may at times interfere and conflict with library, office and classroom activities.

Depending on the location of an outdoor event, on scheduled classes in nearby buildings, and on the proximity of offices in use, non-conflicting activities should be scheduled by prior arrangements with the Perelman Quad and VPUL Facilities staff.
Use of University's Name

Official Use

When representing the University in an official capacity, all units of the University and members of the faculty and administration must use "University of Pennsylvania" in their publications and documents. Approved University stationery must be used for official correspondence.

University names and insignia may be used in connection with any academic University program provided that the program has been approved in advance by the responsible department chair and dean or director, and Provost, as appropriate. University units, faculty, staff and student organizations that wish to use University names or insignia in connection with any non-academic University program, activity, service or product must obtain the approval of the Secretary of the University before proceeding. Requests to use University names or insignia must first be presented to the appropriate department chair and dean, director, or, in the case of student organizations, to the Vice Provost for University Life, for review. If approved by the dean, director, or Vice Provost, a request with supporting information must be submitted to the Secretary for review. The Secretary will review the proposed use and determine whether it is properly related to the University's missions and, in consultation with the Provost, Executive Vice President and others as appropriate, whether the benefits of the proposed use outweigh any risks associated with the use. The Secretary may approve the proposed use, with or without conditions, or disapprove the proposed use.

Licensed Uses by Outside Entities

University names or insignia may be used on products or in connection with services offered by outside entities only under license from the University. Requests for such licenses are processed jointly through the Office of the Vice President for Business Services ("Business Services") and the Center for Technology Transfer ("the Center"). If Business Services and the Center determine that a proposed licensed use may be beneficial to the University, they may submit a proposal to the Secretary for review. The Secretary will review the proposal and make a determination under the criteria stated above and may take particular note of the nature of the product, the proposed marketing plan, and the capabilities and reputation of the proposed licensee. If the Secretary approves the proposal, the Center is authorized to negotiate a license that is consistent with the terms of approval.

Outside sponsors of University programs or activities often seek to use University names or insignia in promotional or advertising materials. While the University is pleased to recognize the contributions of sponsors, such recognition must not suggest University endorsement of the sponsor's activities. Therefore, University names or insignia may not be used in connection with any outside entity's name or logo without prior approval of the Secretary of the University. In general, the Secretary will approve uses which recognize or acknowledge the sponsor's contribution to the University program or activity. Uses which, in the Secretary's judgment, may suggest University endorsement or approval of the sponsor's goods or services will not be permitted.
Private Use

University faculty, staff and students may refer to their affiliation or status with the University in connection with personal activities, including consulting, provided that the affiliation or status is accurately represented and any title or position is accurately identified, and provided that such use does not imply University endorsement of the activity. In some cases, a disclaimer of University endorsement may be required. (See, for example, *Handbook for Faculty and Academic Administrators*, section II.E.10.). Use of University insignia in connection with personal activities is prohibited. The University’s name must not be used in any announcement, advertising matter, publication, correspondence, or report in connection with personal or non-University activities if such use in any way could be construed as implying University endorsement of or responsibility for any project, product, or service.

Related Policies

All faculty, staff and students are reminded that University equipment, stationery, campus mail service, and electronic media are to be used solely for University business by authorized University personnel and by officially recognized campus organizations. See *Human Resources Policy No. 3*. Additional information on faculty and staff involvement in extramural activities and organizations can be found in the *Conflict of Interest Policy for Faculty Members*, and *Human Resources Policy Nos. 5 and 6*.

(Source: Almanac, May 16, 2000)
Vending Policy

1. In consideration for the University permitting organization to conduct vending or promotional activities on campus, the applicant organization agrees to fully comply with the University's policies and all applicable, local, state and federal laws, including, but not limited to applicable consumer protection laws.

2. In addition, organization agrees not to discriminate against any employee, student or customer on the basis of race, religion, national origin, gender, sexual preference, age or disability.

3. If the organization is a non-University affiliate, it further agrees to the following terms and conditions:
   
a. The University shall not be liable for any injuries to persons or damage to property which organization; other participants or their respective representatives may suffer.
   
b. Organization is responsible for any damage to facilities, which might result from its activities.
   
c. Organization hereby voluntarily waives and releases any and all claims and causes of action against the University, its trustees, officers, employees, agents and students that arise from or relate to the activities covered by this permit request.
   
d. Organization agrees to indemnify, defend and save harmless, the University, its trustees, officers, employees, agents and students from all claims, costs, causes of action, damages, expense and liabilities whatsoever (including attorneys' fees) that arise from or relate to the activities covered by this permit request.
   
e. Organization, at its own cost and expense, shall obtain and maintain in force during the period of its activities at the University the following insurance coverage*:

      i. A policy of Worker's Compensation insurance, in amounts required by law, covering all officers, employees and agents of the Organization.
      
      ii. A policy of comprehensive general liability insurance with broad form property damage endorsement, with such policy to afford protection to the limit of One Million Dollars ($1,000,000) with respect to bodily injury or the death of any number of persons in any one occurrence and One Million Dollars ($1,000,000) with respect to the property of any one owner for one occurrence.
      
      iii. A policy of comprehensive automobile liability coverage covering the operation of all automobiles, whether owned or not by the Organization, used in connection with the performance of this Agreement with such policy to afford protection to the limit of One Million Dollars ($1,000,000) with respect to bodily injury or death of any number of persons in any one occurrence and Five Hundred Thousand Dollars ($500,000) with respect to damage to property of any one owner from one occurrence.

*Each of these insurance policies shall be issued by insurance companies licensed to conduct business in the Commonwealth of Pennsylvania and shall name the Trustees of the University of Pennsylvania as an Additional Insured except for Worker's Compensation. The Organization shall furnish to the Office of the Vice Provost for University Life or the Office of the Vice President for Business Services a certificate of insurance for each of the above-mentioned policies.

Campus Organizations

Since the University of Pennsylvania is a tax-exempt organization, the use of its indoor and outdoor facilities for the purpose of selling or promoting any product or service must be strictly regulated. Accordingly, the following guidelines have been established:
1. Machine vending inside University buildings falls under the jurisdiction of the Managing Director of Campus Dining and those others to whom that authority has been given. Any other vending is not permitted in accordance with Human Resource Policy #710.

2. The Director of Student Life or designee is responsible for requests from University affiliates and non-University affiliates to conduct vending or promotional activities on Locust Walk between 36th and 37th Streets, Perelman Quadrangle, Hamilton Village and other University Life Facilities.

3. Apart from approved truck vendors, outdoor sales and promotional activities are generally restricted to registered student organizations and University departments who wish to fundraise for their own benefit. Approval for such activities must be obtained from the Office of Student Life. Outside groups or corporations, however, will not normally be permitted to conduct sales and vending or promotional activities on University property under the sponsorship of University groups.

4. Because the profits raised by Penn Student Agencies (PSA) are transferred into the University's funds for student financial aid and other services, PSA should be given exclusive rights or preferential treatment in the selling of certain products or services in the outdoor area of campus. Responsibility for such decisions rests with the Director of Student Life, and at the beginning of each academic year, PSA shall provide the Director of Student Life or designee with a list of those products or services it wishes to sell. The Director will share that information with any other student organizations that may be interested in selling similar products or services.

5. Vending/promotions permits are required for all organizations, registered student groups or departments wishing to sell items or conduct promotional activities in outdoor campus areas. Permits must be approved in writing by an authorized employee of the Vice Provost for University Life for the following areas: Locust Walk between 36th and 37th Streets, Perelman Quadrangle, Hamilton Village and other University Life Facilities, and to the Vice President for Business Services for all other areas and must be shown to any University official, including Public Safety officers, on request. Failure to obtain a vending/promotions permit will result in the vendor's eviction from campus and may result in loss of future privileges.

6. All vending/promotional activities, including ticket sales, credit card applications, etc., will normally be located in the block of Locust Walk between 36th and 37th Streets in order to eliminate traffic congestion elsewhere on campus. Requests to conduct vending or promotional activities in other campus areas may be approved by the Office of Student Life or designee in consultation with other appropriate administrators when unusual circumstances warrant a different location.

7. The distribution of non-commercial handbills or flyers by University groups is generally permitted on Locust Walk as long as the individuals conducting such activities are not impeding traffic, imposing their will on the University community (e.g., forcing people to take handbills), creating a disturbance, or generating an excessive amount of trash. Posting of handbills and flyers is restricted to authorized kiosks and bulletin boards. Individuals or groups are responsible to clean up trash related to their activities.

8. Those who conduct vending or promotional activities on Locust Walk close to classroom or residential buildings are asked to keep the volume of noise to a level that does not interfere with normal University activities. The noise level at such activities must be consistent with the standard. Bullhorns and other forms of sound amplification may not be used unless special permission is received from the Office of Student Life.

9. The Division of Public Safety has the right to challenge anyone conducting vending or promotional activities in any University outdoor area and to require them to obtain permission from the appropriate University office or leave the campus.
10. Those who conduct vending or promotional activities must comply with all University, City, Commonwealth and Federal Laws and policies.

(Source: Almanac, March 29, 1988)