

YALE UNIVERSITY

GRADUATE SCHOOL OF ARTS AND SCIENCES



DISCIPLINARY PROCEDURES

DISCIPLINARY PROCEDURES OF THE GRADUATE SCHOOL COMMITTEE ON REGULATIONS AND DISCIPLINE

Revised Spring 2025

Procedures of the Graduate School Committee on Regulations and Discipline

All graduate students are governed by the Graduate School's "Personal Conduct and Academic Integrity Standards" ("The Standards") described in the school's *Programs & Policies Bulletin*. These procedures will be used when there appears to have been a breach of these regulations, except in cases of allegations that a graduate student has committed academic fraud (including falsification or fabrication of data and plagiarism) in the course of proposing, conducting, or reporting research supported by the U.S. federal government. In such cases, the allegation will instead be addressed under "Dealing with Allegations of Academic Misconduct." (<https://provost.yale.edu/policies/academic-integrity/dealing-allegations-academic-misconductyale.edu>)

A. Composition of the Committee on Regulations and Discipline

1. Members of the Committee on Regulations and Discipline are appointed by the dean of the Graduate School. The voting members of the committee will have a minimum of four members of the Graduate School faculty, four graduate students, and two deans of the Graduate School. Should an occasion arise when, as a result of the conflict-of-interest provisions of these procedures or other unavailability of members, a quorum (see 2(c) below) cannot be gathered from regular voting members, the dean of the Graduate School will appoint a member or members from the faculty, deans or senior staff, and the graduate student body ad hoc to participate in the business then before the committee.
2. In addition to the regular voting members, there will be three officers of the committee who are also members: chair, vice-chair, and secretary. They will be appointed annually by the dean of the Graduate School and will be charged with particular responsibilities. The dean of the Graduate School may also appoint co-chairs and co-vice chairs, as needed. Committee hearings will be conducted by a panel drawn from the membership of the Committee on Regulations and Discipline.
 - A) The chair will be either a tenured member of the Graduate School faculty or an associate dean of the Graduate School. The chair, with the assistance of the secretary, will coordinate all activities of the committee, will preside at meetings or designate the vice chair to preside, and will organize the conduct of meetings or designate the vice chair to do so. In hearings, the chair or vice chair, whoever of the two is presiding, will vote as a regular voting member.
 - B) The vice chair will be either a tenured member of the Graduate School faculty or an associate dean of the Graduate School. The vice chair will assist the chair in the coordination of committee activities and will preside at meetings when designated by the chair.
 - C) A hearing panel will have a minimum of four members, including the secretary (or dean's designate) who does not typically vote. Voting members of the panel must include the chair or vice chair, one faculty member and/or dean of the Graduate School, and one student member. The presence of three voting members will constitute a quorum, provided that at least one student member is present. A majority vote will decide questions before the hearing panel. In the event of a tie vote, the secretary will cast a deciding vote.
 - D) The secretary will normally be an assistant or associate dean of the Graduate School. This person will assist the chair in the committee business, keep committee records, handle

official correspondence for the committee, and help ensure that all required procedural steps are taken. The secretary will attend all hearings and will vote only to break a tie.

- E) The chair, vice chair, and secretary will constitute the Coordinating Group of the committee. In the absence of one of the three officers, the remaining officers will constitute the Coordinating Group.
3. In evaluating allegations of misconduct, the committee may request the assistance of a faculty adviser who has knowledge of a particular subject matter or issue in question, and/or a factfinder, who is responsible for gathering relevant facts. The faculty adviser and/or factfinder will produce a written report for the committee, detailing the results of any investigation or analysis and any opinions reached. The report will be provided to the voting members and responding student(s) prior to any hearing. When practical, advisers and factfinders will attend the hearing and be available to answer questions regarding the report.
- A) The faculty adviser is a member of the Graduate School faculty who assists the work of the committee as an expert in a particular academic field. They are appointed ad hoc by the Coordinating Group.
 - B) In complex cases – usually involving multiple parties – the chair or secretary may appoint a factfinder to conduct an investigation of the incident(s). The factfinder may be a Graduate School faculty member, a staff member, or an investigator engaged by the Graduate School to conduct the investigation.

There will be a Graduate School Committee of Review which in circumstances described below (see C(10)) may review decisions of the Committee on Regulations and Discipline.

B. Submission of matters

Concerns regarding graduate student conduct that may violate the Standards, academic or nonacademic, will initially be referred to the secretary of the committee. A report should be made in writing and should detail the conduct in question and provide all available and relevant evidence.

1. Reports of possible academic violations.

- A) A member of the faculty finding evidence of academic misconduct will bring the matter to the secretary of the Committee on Regulations and Discipline. The faculty member must provide a written statement explaining the reason for concern about the integrity of the academic work. The faculty member should also provide copies of the student work that allegedly violates the regulations, along with any apparent source materials or other relevant evidence. The secretary will keep the faculty member apprised of major developments in the case and may ask the faculty member to respond to student statements or other issues that may arise.
- B) If a student or a member of the Yale community becomes aware of an instance of possible academic misconduct, they can report the matter to the secretary of the Committee on Regulations and Discipline. The complainant must provide a written statement explaining the reason for concern about the integrity of the academic work. The complainant should also provide copies of the work that allegedly violates the regulations, and any apparent source materials or other relevant evidence.

2. Reports of possible personal conduct violations.

- A) Any member of the Yale community may bring allegations of an infraction to the attention of the secretary of the committee.
- B) In addition, the Coordinating Group will review reports of student misconduct lodged by the Yale Police Department. The Coordinating Group will take note of conduct in the reports that may be in violation of the Standards and refer matters in accordance with these procedures.

3. Initial referral of reports. The Coordinating Group will review all reports received by the secretary and will make one of the following judgments regarding each report:

- A) Reports for which sufficient information is available and which, if substantiated, would constitute a violation of Standards will proceed to a formal charge.
- b) If there is a need to locate documents, inquire further into matters of fact, or pursue additional information before an informed decision can be made by the Coordinating Group, the secretary will make preliminary inquiries. When deemed necessary, the chair or secretary will request that a faculty adviser or factfinder be appointed to conduct an investigation.
- C) If, after an investigation or at any time during the disciplinary process, the Coordinating Group determines that there is insufficient information to reach a conclusion or that the act does not amount to a violation of the Standards, the Coordinating Group will dismiss the matter.
- D) Reports that appear to involve sexual misconduct will be referred to the secretary of the [University-Wide Committee on Sexual Misconduct](#) (UWC). In complex cases that combine allegations of sexual misconduct and other offenses, the secretary will consult with the chair of the UWC pursuant to the procedures of the UWC.

C. [Procedures for consideration of a matter by the committee](#)

- 1. [Notification of the student](#). The secretary will notify a student or students in writing of charges of alleged infractions and specify the regulation that has been allegedly violated. The notification will typically include a copy of the report that provides the basis for the allegation of misconduct. The secretary will also provide to the student a copy of these procedures. The secretary will simultaneously inform the relevant Director of Graduate Studies and the dean of the Graduate School. The secretary will familiarize the student with practical as well as procedural aspects of the disciplinary process.
- 2. [Adviser](#). The student may choose an adviser, if desired; advisers are not required. The adviser may be a member of the Graduate School faculty or staff without legal training. The adviser may not be a family member or relative of the student. The adviser is not an advocate, but rather a source of personal and moral support to the student. The adviser should aid the student in preparing to appear before the committee. The adviser may also accompany the student to a committee hearing and provide advice to the student. During a hearing, the adviser may unobtrusively suggest questions or issues for the student to raise with the committee. The student's adviser may not participate directly in the proceedings.
 - A) The student will notify the secretary of the committee as soon as they have chosen an adviser. The secretary will provide the adviser with the relevant case materials.

- B) In a case where a criminal charge is pending against the student for the alleged conduct that is the subject of the case, they may have a legal adviser present at the hearing. In such cases, the student must notify the secretary in advance so that a representative of the Office of the General Counsel may also be present. The legal adviser and the representative of the General Counsel's Office may under no circumstances address the committee. The role of the legal adviser may not extend beyond quietly advising the student about their legal situation.

3. **Student statement.** Students will be asked to respond in writing to the allegation. Providing a written statement allows the student to present their perspective on events and any broader context or other information that will help the Coordinating Group and committee to better understand the situation. Written statements will ordinarily be due to the secretary two weeks after the student receives notification of the charge. In their statement, students should admit or deny allegations against them. In some cases, the student may admit responsibility for some portion of the allegations and deny others.

- A) Upon receiving the student's response, the secretary may consult with the Coordinating Group to determine whether the case should proceed. Upon reviewing the evidence and the student's response, the Coordinating Group may decide to dismiss the charges outright.
- B) If the case proceeds, the secretary will refer it according to the student's response. If: 1) the student admits responsibility, the case will be referred to the dean of the Graduate School for a disposition without hearing (see below); 2) the student denies responsibility, the case will be referred to the committee for a full hearing; 3) the student admits some portion of the charge and denies others, the admitted portion of the case may proceed to the dean for a disposition and the committee may meet for a full hearing on the charges that the student has denied.
- C) In instances where there are no factual disputes, and in order to expedite and more efficiently manage the resolution of disciplinary cases, the Coordinating Group, at its discretion, may offer students the option of a resolution via an agreement of responsibility.

4. **Disposition without hearing.** When a student admits a violation and requests a disposition without hearing (as provided in 5 above), the dean of the Graduate School will decide on the appropriate penalty for the violation and notify the student in writing. The dean will normally talk with the student before rendering a decision. In any event, if the student desires, they will have an opportunity to talk with the dean before the dean makes a penalty decision.

5. **Hearing.**

- A) The secretary will provide the student with copies of any additional written materials, beyond the original notification, that will be considered by the committee. These materials should be made available to the student no less than three business days prior to the hearing, except when the student requests that less time be allowed to schedule an earlier hearing.
- B) The chair may arrange for the appearance of witnesses. If so, their names will be made available to the student no less than five business days before the meeting. The student may also request to invite up to three witnesses to the hearing. The student must provide the name and relevance of any proposed witness to the secretary no less than five business

days before the meeting. The invitation of any witness will be made at the discretion of the Coordinating Group. General character witnesses and character witness statements are not accepted.

- C) Access to materials. The secretary will provide access to all documents relating to the case to the committee prior to the hearing. These documents are confidential and will be shared via a secure digital platform.
- D) Excuse for conflicts of interest. The chair or secretary will ascertain whether any members should be excused because of a conflict of interest (see below).

6. Procedures during the hearing.

- A) Disciplinary hearings in the Graduate School may be conducted electronically or in person.
 - B) Conduct of the hearing. All persons attending the hearing may address the group only after being recognized by the chair. Questions regarding points of order and procedure will be decided by the chair.
 - C) Students are expected to tell the truth in all of their dealings with the committee. Lying to a factfinder or to the committee will be taken into account in determining a recommended penalty and could serve as the basis for additional charges as provided in the Standards.
 - D) The student may make a brief opening statement.
 - E) If a factfinder or faculty adviser has conducted a review, the student or members of the committee may request the factfinder or faculty adviser to explain their report.
 - F) When invited to a hearing, witnesses or the reporting person will address the hearing panel and answer questions.
 - G) Committee members will pose questions to the student regarding the allegations.
 - H) The student may make a brief closing statement.
7. **Timing of hearings.** Hearings will take place only during regular sessions of the University, not during intersessions, summers, and recesses, and must take place no later than the end of the semester after the one in which the student is notified of the charge, unless the student is on a leave of absence.
8. **Determination.** At the conclusion of the hearing, the committee will meet in an executive session to decide whether the conduct reported in fact occurred and whether it contravened the standards cited in the charge. The committee's decision will be made by a simple majority of voting members present. The secretary will vote only in the event of a tie. This decision will be made by a preponderance of the evidence, voted on by secret ballot, and will be final. If the committee decides that the conduct reported occurred and that it contravened the standards cited in the charge, based on the seriousness of the contravention, the committee will also recommend a sanction, if any, to the dean. The dean may either impose the recommended sanction or a lesser or greater one at their discretion. In consultation with the chair, the secretary will promptly inform the student in writing of the committee's decision and any penalty recommended
9. **Assignment of a penalty.** The secretary will inform the committee of any previous infractions on the part of the student and will provide any relevant charging and penalty letter to the committee.
- A) The committee will discuss what penalty it should impose. If they have found that the student purposely misled the committee during its deliberations, the panel may consider that factor as grounds for imposing a more severe penalty. The voting members will vote

by secret ballot. The chair (or vice-chair) votes with the panel. If the vote is a tie, there shall be further discussion and a second vote. If a second consecutive vote results in a tie, the secretary shall vote to break the tie.

- B) Students will have up to 48 hours to comply with a suspension penalty (See below under "Suspension").
- C) The secretary will inform the student's DGS of the committee's decision. This communication should ordinarily take place in writing within two weeks of the decision.
- D) In cases of academic integrity violations, the secretary will notify the reporting faculty member of the committee's decision. The secretary may also send written notice of the decisions of the committee to the reporting person and/or the person who is the alleged victim of any crime of violence.
- E) The secretary may disclose to other universities and schools information concerning disciplinary action taken against a student for conduct that posed a significant risk to the safety or well-being of that student, other students, or the university community.

10. [Appeals to the Committee of Review](#). Decisions of the committee are final and take immediate effect, notwithstanding whether the student is applying to the Committee of Review for reconsideration of a decision as provided herein. The committee may also be requested by the Committee of Review to reconsider a decision (see below).

- A) There will be a Committee of Review, which may review and, when appropriate, request reconsideration of the decisions of the Committee on Regulations and Discipline. The Committee of Review will be composed of three persons, two of them members of the Yale Graduate School faculty, appointed by the university president for a term of five years, one of whom will be designated by the president as chair of the committee. The Graduate Student Assembly will nominate a student member to serve on the committee.
- B) The Committee of Review will receive written appeals from a student or students who have been assigned a penalty. An appeal must be received by the Committee of Review no later than five business days after the decision of the committee and may be sent to the secretary. To review such appeals, the Committee of Review will have access to all the written records of the committee.
- C) In response to an appeal, the Committee of Review will have the right (1) to decline to take action; (2) to request in writing a reconsideration by the Committee on Regulations and Discipline; (3) to publish commentary on the case which, while maintaining the confidentiality of the Committee on Regulations and Discipline's hearings, seeks to clarify the principles involved in the case and to offer useful counsel for future decisions.
- D) It is anticipated that in the great majority of cases, the Committee of Review will decline to take action. It will request reconsideration by the Committee on Regulations and Discipline only in cases where it believes that (1) some pertinent evidence was not taken into account; (2) long-standing precedents, in decisions of culpability and the assignment of penalties, were ignored; (3) errors in procedure may have substantially affected the decision; (4) certain key principles of the university were not sufficiently considered in the original decision.
- E) The Coordinating Group will have the authority, on behalf of the full Committee on Regulations and Discipline, to grant or deny a request for reconsideration. In the case where the Coordinating Group has granted the request to reconsider, the chairs of Committee on Regulations and Discipline and the Committee of Review will discuss appropriate procedures for the reconsideration. The committee or the Coordinating Group will be free either to alter or to confirm its original decision. It may not, however, make a

finding of culpability where it had previously exonerated a student, or assign a penalty more serious than that originally assigned.

11. A student who withdraws from the Graduate School rather than face disciplinary charges that are pending will not be eligible for re-enrollment or a Yale Graduate School degree, and a notation to this effect will be entered on the student's transcript. If a disciplinary case brought against a graduating student is pending at the time of graduation, the student's degree will be withheld until the case is resolved.

D. Matters before the committee respecting cases before the courts

When a report alleging an infraction of the Standards relates to a case that either will be or is in process of adjudication by the courts, the committee may address the matter by one of the following procedures:

1. If in the judgment of the Coordinating Group sufficient information is available to consider the matter, the committee may consider it in the normal manner.
2. The Coordinating Group may decide to defer consideration of the matter until after the case has been adjudicated by the courts. When the Coordinating Group so defers consideration, it will decide whether to permit the student to continue in regular enrollment.

A decision favorable to the student in the courts will not necessarily exonerate them from having committed the alleged infraction of the Standards of the Graduate School.

E. Confidentiality in committee matters

The committee and all members of the Yale community who are involved in a matter before the committee are expected to maintain the confidentiality of its proceedings and any information circulated in regard to those proceedings.

All documents and materials prepared by, prepared for, or received from the committee in connection with a disciplinary proceeding must be held in strict confidence. Students may not disclose committee materials to anyone other than their advisers in the committee proceeding, their Directors of Graduate Studies and academic advisers, family members, and attorneys. Students must inform these recipients that committee materials and documents are strictly confidential and may not be further disclosed.

Disciplinary action may be taken against a student who discloses any committee documents or materials in violation of these procedures, or who is responsible for the improper disclosure of such documents or materials by others. In addition, whether or not a committee document has been disclosed, disciplinary action may be taken against a student who breaches confidentiality in order to retaliate against a person for their participation in a disciplinary proceeding.

F. Conflict of interest

Members of the committee should be alert to potential conflicts of interest between themselves and the persons bringing matters to the committee or the student against whom a matter has been brought.

1. Committee members having past or present ties of kinship, marriage, or other very close personal relationship to any of the parties involved in the matter should notify the chair that a conflict of interest exists and should be automatically excused from participation. The nature of the relationship need not be disclosed to the chair.
2. Committee members having some form of close professional relationship to one or more of the parties involved in the matter (e.g., collaboration or cooperation in research, writing, or teaching with a colleague or service as an ongoing academic adviser to the student) should notify the chair that a potential conflict of interest exists and may request to be excused from participation.
3. A committee member should inform the chair that they are in some manner involved in the specific details of the matter and may request to be excused from participation.
4. A member of the committee should inform the chair that the nature of the matter creates an occasion for a conflict of interest and may request to be excused from participation.
5. The student against whom a matter has been brought, or the reporting party, may request that a committee member be excused because of a proven conflict of interest as provided in the foregoing provisions.
6. Should one of the members of the Coordinating Group be excused for a conflict of interest, another member of the committee will carry out the responsibilities of that member of the Coordinating Group in regard to the matter under consideration.
7. All issues relating to conflict of interest should be raised and settled before the committee begins consideration of the matter. Questions relating to conflict of interest may not be raised after the committee has reached decisions, nor may they be grounds for reconsideration of committee decisions.
8. The foregoing provisions are intended not to be inclusive of all possible situations of conflict of interest, but rather to provide guidance. It is the intention of these provisions to enable the committee to avoid both the appearance and the reality of conflict of interest, so that the community will have confidence in the fairness of the proceedings. In case of doubt, the chair and committee members should assume that a potential conflict of interest exists.

G. [Records of the committee](#)

The records of the Committee on Regulations and Discipline are of three types. The first two (described in sections 1-2 below) are unavailable to the public unless subpoenaed by the court or other government agency and should be stored securely by the Graduate School Dean's Office. The third type of record (described below in section 3) will be published twice per year and made available to students and other members of the Yale community. The Committee of Review will have access to all records of the Committee on Regulations and Discipline. The committee may share records internally with other administrators in the Graduate School.

1. The secretary will maintain a record of all matters acted on by the committee. This record will include the original written report, any forms or statements signed or submitted by the student and all materials submitted to the committee prior to the hearing, including the report of the factfinder, should there be one.
2. The secretary will keep a record of minutes from each hearing of the committee. These need not be a verbatim transcript, but they should reflect a record of the statements of witnesses and substance of the discussions and decisions of the committee. Minutes will not be kept of the private committee discussion prior to reaching a decision by vote on the substance of the allegation or the assessment of the penalty.
3. The secretary will prepare a brief narrative of each decision of the committee, describing the alleged act(s), the alleged violation, the committee's finding, and the penalty, if any. The report should be written so as not to reveal, directly or indirectly, the identities of the individuals involved in the case. Because the reports are summaries, they do not contain all the relevant considerations in every case. For that reason, students should rely on them only for general guidance, not as binding precedent.

Penalties

The following penalties are among those which may be imposed by the Committee on Regulations and Discipline. The committee may also require students to participate in relevant education and training:

Reprimand. This is a matter of internal record only. Records of reprimands will be destroyed when students graduate.

Restriction. Denial of the use of certain university facilities or of the right to participate in certain activities or to exercise certain privileges.

Probation. A cautionary period during which the student's continued enrollment is conditional on adherence to university and Graduate School regulations. The commission of a serious offense while on probation will normally result in suspension or expulsion. Probation may include a prohibition on participating university activities, applying for university fellowships and grants, and holding leadership, officer, or fellow positions in any organization that receives university funds. Additional terms of probation may be enforced by the Committee in individual cases.

Suspension. A suspension is a separation from all programs and activities of the university for a stated period of time. A suspended student forfeits all privileges of enrollment, including on-campus residence, eligibility for health coverage and financial aid, attendance at classes, student visa sponsorship, participation in any Yale-sponsored activities or groups, access to Yale IT resources, and use of university libraries as well as of athletic and other facilities. A suspension is recorded on a student's academic transcript. A suspended student is specifically prohibited from:

1. Making academic progress towards a Yale degree, including:
 - enrolling in any university courses or completing university coursework;
 - using non-Yale course credits earned during the period of suspension towards a Yale degree;
 - preparing for qualifying examinations;
 - researching or writing a prospectus;
 - conducting dissertation or thesis research;
 - writing a dissertation or thesis;
 - returning to Yale's campus during the period of suspension for any reason;

accessing all Yale IT systems (intranet, shared drives, Yale-hosted databases, etc.) except for a yale.edu email account; and
representing oneself as a Yale graduate student.

Emergency Suspension. The dean of the Graduate School, or a delegate of the dean, may place a student on an emergency suspension from residence or academic status when (1) the student has been arrested for or charged with serious criminal behavior by law enforcement authorities; or (2) the student allegedly violated a disciplinary rule of the Graduate School and the student's presence on campus poses a significant risk to the safety or security of members of the community. Following an individualized risk and safety analysis, the student will be notified in writing of the emergency suspension. A student who is notified of an emergency suspension will have 24 hours to respond to the notice. The emergency suspension will not be imposed prior to an opportunity for the student to respond unless circumstances warrant immediate action for the safety and security of members of the community. In such cases, the student will have an opportunity to respond after the emergency suspension has been imposed. When a student in the Graduate School is placed on an emergency suspension, the matter will be referred for disciplinary action in accordance with school policy. Such a suspension may remain in effect until disciplinary action has been taken with regard to the student; however, it may be lifted earlier by action of the dean or dean's delegate, or by the disciplinary committee after a preliminary review.

Expulsion. Permanent separation from the university. Expulsion is recorded on the academic transcript.

Fines. Yale reserves the right to impose fines as appropriate, in addition to requiring payment for costs resulting from or associated with the offenses.

H. Rustication

In certain cases, the committee may decide to require the student in question to live off campus, either for a specified period or permanently. This penalty is called "rustication." Rusticated students may be denied access to university facilities. When a student is rusticated, no rebate of on campus housing charges will be granted for the period of rustication. Violations of the penalty of rustication may also be referred to the Committee on Regulations and Discipline.

In addition to imposing these penalties for offences subject to disciplinary action, the university may refer students for prosecution.