

# Toyota Technological Institute at Chicago



# Faculty Handbook

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# Table of Contents

<b>INTRODUCTION</b>	<b>5</b>
Message From the President	5
About the Toyota Technological Institute at Chicago	6
About TTI-Japan	6
Important Note	7
<b>INSTITUTE MISSION</b>	<b>8</b>
Equal Opportunity and Non-discrimination in Employment	10
Equal Opportunity and Non-discrimination in Education	10
Institute Governance and Organization	11
Faculty Positions and Governance Bodies	12
<b>TEACHING AND INSTITUTE SERVICE</b>	<b>14</b>
Teaching Agreement between TTIC and University of Chicago (UOC)	14
Faculty Responsibilities	15
Residency Requirements	15
Assistance for Students with Disabilities	16
Handling Student Emergencies	16
General Policies and Procedures Regarding Teaching Schedules, Grading and Advising	17
Establishing Course Requirements	17
Advisors – Ph.D. Program	17
Faculty Reviews of Student Progress	17
Cancellation of Courses and Time Schedule Changes	18
Office Hours	18
Class Lists	18
Emergency Faculty Absences	18
Final Examination	19
Grade Reports and Timely Submission of Course Grades	19
Course Evaluations	19
Cross-Listed Courses	19
University Center for Teaching and Learning	19
<b>ACADEMIC POLICIES</b>	<b>20</b>
Academic Freedom Policy	20
Institute and Political and Social Action	20
Outside Professional and Commercial Activities of Faculty, and Conflict of Interest	22
Background and Introduction	22
When Is There A Conflict of Interest?	22
Issues of Concern	23
Guidelines for Faculty	25
Scope of Policy and Important Definitions	26
Faculty/Investigator Reporting Responsibilities	27
Principal Investigator Responsibilities	28
Institute Administrator Responsibilities	28
Institute Review of Disclosure Activities	29
Procedures for Resolving Violations of Policy or Failure to Comply	29
Examples of Management of Conflicts of Interest	29
Academic Honesty	30
Investigating Academic Fraud	30
Procedures for Investigating Academic Fraud	30
Administrative Guidance	34

Intellectual Property Policy	35
Responsible Conduct in Research Policy	37
Networking and Information Technology	37
Eligibility and Acceptable Use	37
Sanctions and Procedures	39
Mentorship Policy	39
Travel Policy	39
<b>PERSONNEL MATTERS</b>	<b>41</b>
Persons with Disabilities	41
Nepotism	41
Institute Policies on Drugs and Alcohol	41
Non-Smoking Policy	42
Harassment	42
Policy and Definition of Harassment	42
Procedures for the Resolution of Complaints	43
Advising	44
Mediation	44
Formal Hearing	44
Procedures for Formal Hearing	44
Consensual Relations between Faculty and Students	45
An Additional Word of Caution	45
Faculty Evaluation	46
Faculty Promotion and Tenure	46
Sabbatical Leave	47
“Stopping the Clock” on Review for Promotion	47
For Parenting Responsibilities:	47
For Personal Illness Or Care Giving Responsibilities:	47
Discipline	47
Military Service	48
Jury Duty	48
Vacation Policy	48
Grievance Procedures	48
<b>HEALTH BENEFITS AND ISSUES</b>	<b>49</b>
Health Insurance Policies	49
Medical, Dental and Vision Insurance	49
Short-Term Disability and Long Term Disability Programs	49
Group Life Insurance	49
Flexible Spending Account	49
Emergency evacuation procedures for person with disabilities	49
Parental and Child Care Leaves	50
Parental Leave Policy	50
Child Care Leave (For Parents Not Taking Parental Leave) and Caregiver's Leave	50
Rearrangement of Teaching Duties for Full-Time Faculty Members on Regular Three-Quarter Appointment	51
Sick Leave and Long-Term Disability	51
General Leave Policies	51
Emergency Medical Care	52
<b>OTHER BENEFITS</b>	<b>52</b>
401(k) Retirement Plan	52
Official Institute Holidays	52
Tuition Benefits	53
Immigration Assistance	53
Property Insurance	53

Identification Cards/ Building Access/ Key Cards	53
Secure Bike Parking	54
Computing Services and Facilities	54
Library Privileges	54
University of Chicago Libraries	55
Transportation	55
Parking	55
Safety on Campus	56
Safety Awareness	56
cAlert	56
Late Night Transportation Services	56
Safety On an Urban Campus	57

# INTRODUCTION

## Message from the President

Welcome to the Toyota Technological Institute at Chicago (TTIC), an institution dedicated to providing outstanding graduate level education and to performing forefront research in computer science and information technology. TTIC was established as part of the social contribution activities of Toyota Motor Corporation (TMC), based on the collaboration of TTI-Japan and the University of Chicago. TTIC has a high regard for a philosophy “Respect the spirit of research and creativity, and always strive to stay ahead of times” by Sakichi Toyoda, the founder of Toyota Automatic Loom Works, Ltd., the predecessor of TMC.

This handbook describes various benefits and responsibilities associated with employment at TTIC. Our goal is to promote a collegial atmosphere in which independence and innovation flourish. It is my hope that you will contribute to achieving this goal, and will prosper as a member of the institution.

A handwritten signature in black ink, appearing to read 'Sadaoki Furui', with a stylized flourish at the end.

Sadaoki Furui  
President

# About Toyota Technological Institute at Chicago

The Toyota Technological Institute at Chicago (TTIC) is a philanthropically endowed degree-granting institute for computer science. It is a unique institution that combines qualities of basic research institutes and academic computer science departments. TTIC faculty ranks consist of regular faculty (tenured and tenure-track) as well as limited-term research faculty.

TTIC is supported by an endowment of \$105 million from the Toyota Technological Institute in Nagoya, Japan (TTI-Japan). TTI-Japan is a small private engineering university founded in 1981 with an endowment of \$300 million from the Toyota Motor Corporation.

TTIC is located on the University of Chicago campus and has a close affiliation with the University of Chicago Computer Science Department. An agreement reached between the two institutions allows TTIC students to register for University of Chicago courses and, conversely, University of Chicago students may register for TTIC courses.

## *Mission and Goals*

The mission of TTIC is to achieve international impact through world-class research and education in fundamental computer science and information technology. TTIC pursues its world-class research goal by placing an emphasis on fundamentals; fostering a relationship with like-minded institutions; collaborating with the University of Chicago and other universities throughout the world; and with the assistance of TTI-Japan, demonstrating the pragmatic utility of its research.

The Ph.D. program is an explicit part of the mission of TTIC to achieve world class education. TTIC is recruiting first-rate faculty from around the world; offers an outstanding curriculum through close collaboration with the Computer Science Department of the University of Chicago; provides excellent academic support to students with one of the lowest student/faculty ratios; and ensures adequate funding for its research and educational endeavors.

In addition, TTIC promotes the exchange of students and faculty members between TTI-Japan and TTIC. Selected students from TTI-Japan are given an opportunity to study in the United States, and faculty members of TTIC may be invited to teach at TTI-Japan. TTIC faculty teach distance education courses to TTI Japan students on a regular basis.

Furthermore, by taking advantage of its ties with institutions, corporations, and universities throughout the world, TTIC will assist its students with employment placement.

# About TTI-Japan

Toyota Technological Institute at Chicago was founded by TTI-Japan as a legally independent, non-profit institution and will maintain a close relationship with its founding institution. TTI-Japan was founded in 1981 with Toyota Motor Co., Ltd. (currently Toyota Motor Corporation) as its sole founding benefactor. Following the words of Sakichi Toyoda, founder of the Toyota Corporation, TTI-Japan "respects the spirit of research and creativity, and always strives to stay ahead of the times." While many decades have passed since Sakichi Toyoda spoke these visionary words, they remain significant, particularly in today's society in which perpetual progress in scientific technology is ever vital. Thus, these words are also part of the founding philosophy of TTIC.

TTI-Japan has a School of Engineering, a Master's Program and a Doctoral Program. The programs consist of three areas of coursework: Mechanical Systems Engineering, Electronics & Information Science, and Materials Science & Engineering.

TTI-Japan has achieved world-class levels of expertise in many areas of engineering and physical sciences but has not had comparable success in computer science. To become competitive in computer science TTI-Japan decided to establish an institute in the United States. After studying several locations and partners, TTI-Japan selected the University of Chicago.

## Important Note

This handbook is intended for use by faculty of TTIC. It is presented for information purposes only.

Please note that this policy manual and any other TTIC policies are not a contract and do not create a contractual relationship of any kind between TTIC and any of its employees.

The basic terms and conditions of the employment agreement are set out in the letter of appointment received at time of hire. Nothing in this handbook changes the terms of that appointment letter.

This handbook is intended to provide general guidance as to policies and procedures, and is not an exhaustive compilation. *In all cases, the formal and full rule policy statements control a given situation.* These statements are available from Administration.

TTIC reserves the right to change, amend, or discontinue any or all of the policies and procedures contained in this handbook, as well as any other policies and procedures, at its sole discretion, with or without notice, although it will attempt to keep all employees abreast of significant policy changes.

***This handbook supersedes any and all TTIC or other handbooks or employee manuals that may at any time have been applicable to the employee.***

# INSTITUTE MISSION

**Achieving international impact through world-class research and education  
in fundamental computer science and information technology.**

This overall mission has two components --- a research mission and an education mission.

## **The Research Mission**

TTIC aims to achieve international impact through world-class research in fundamental computer science and information technology. Here we clarify the intended meaning of the terms in this statement.

**Impact.** The mission statement focuses on academic impact. A number of criteria may serve to evaluate such impact. These include volume of peer reviewed publications; reputation of venues in which publications appear; visibility of work in the community, as expressed in citations by others; number and reputation of co-authors, in particular in other institutions; recognition by research community, including awards, prizes, invited talks, and invitation or election to serve in senior service positions in professional organizations; reports by external advisory bodies comprised of reputable senior researchers, etc. Precise objective measures of academic impact are controversial and elusive, and no one of the criteria above is alone a solid measure in itself. However, the combined evaluation of these and similar criteria helps assess the academic impact achieved by TTIC researchers.

Note that the number of patents filed, or the amount of extramural research funding, are not considered measures of academic impact. Although funding is clearly an important tool in achieving impact, it is only a tool and not an end in itself.

**Fundamental.** The mission statement is intended to focus on scientifically fundamental research. A scientific result is fundamental to the extent that it has open-ended implications. It is important to distinguish being fundamental from being economically important. A calendar program can be economically successful, and hence important, without adding to fundamental knowledge. The concept of NP-completeness adds greatly to the fundamental understanding of computation without having clear economic significance.

**Computer Science and Information Technology.** Computer science and information technology encompasses many sub-disciplines. In the selection of sub-disciplines for study at TTIC there should be some consideration of relevance to society as a whole. The interpretation of “computer science” and “information technology” should be such that TTIC remains relevant to the societal impact of computation and information.

## **The Education Mission**

The educational mission of TTIC is to achieve international impact through the accomplishments of its graduates as productive scientists and citizens. The notion of “impact” in the educational mission is broader than in the research mission. The graduates of TTIC might achieve impact by starting successful companies, managing successful products, or influencing government directions in research funding. Of course TTIC also strives to produce Ph.D.s who achieve academic impact throughout their careers. The institute strives to produce graduates who contribute to society through their intellectual leadership in computer science and information

technology. Success in the educational mission requires appropriate selection of curriculum, effective teaching to enable learning, effective assessment and mentorship of students, and effective marketing of students in the job market. TTIC strives to place its Ph.D. graduates at high quality research institutions. TTIC also strives to make its Ph.D. students visible to the academic community before graduation. This can be done most effectively through publications prior to graduation.

### **Diversity at TTIC**

Success in the research and educational mission of TTIC requires a diverse faculty and strong interactions with the multicultural international academic computer science community. However, the research mission alone does not recognize the intrinsic value in diversity. To serve society well, the institute should exploit the intellectual abilities of all segments of society. TTIC recognizes the intrinsic value of diversity in its faculty, staff, and student body.

### **Vision and Values**

The 21st century will see enormous progress in automation. Automated systems may drive cars, do housekeeping, and translate between spoken languages. But technological progress raises social concerns. Technology must not extinguish our right to privacy, make people unemployable, or destroy cultural diversity. While technology presents dangers, it also holds promise. Language translation can reduce misunderstanding. Information management can improve medical care. Communication systems can bring people together. If we can reap the benefits while avoiding the pitfalls, technology may create and sustain harmony and prosperity for mankind. At TTIC, the vision is to discover fundamental principles of computation and change the world through the technologies those principles enable. At the same time, TTIC is committed to the values of human freedom, dignity, prosperity, and diversity. The institute's mission has been formulated to be consistent with this vision and these values.

# **EQUAL OPPORTUNITY AND NON-DISCRIMINATION IN EMPLOYMENT**

TTIC provides equal opportunity in employment for all persons, and prohibits unlawful discrimination and harassment in all aspects of employment because of age, color, disability, family responsibilities, gender identity or expression, genetic information, marital status, matriculation, national origin, personal appearance, political affiliation, race, religion, sex, sexual orientation, veteran's status or any other factor prohibited by law.

# **EQUAL OPPORTUNITY AND NON- DISCRIMINATION IN EDUCATION**

TTIC provides educational opportunities without regard to, and does not discriminate on the basis of, age, color, disability, family responsibilities, familial status, gender identity or expression, marital status, national origin, personal appearance, political affiliation, race, religion, sex, sexual orientation, source of income or any other factor prohibited by law in its educational programs and activities.

# **INSTITUTE GOVERNANCE AND ORGANIZATION**

## **THE BOARD OF TRUSTEES**

The affairs of the Institute shall be managed by its Board of Trustees. The Board formulates Institute policies but leaves the execution of those policies to its administrative agents, acting under its general supervision. The number of Trustees of the Institute shall be the range from ten to fifteen. (Statute 1.1)

## **THE PRESIDENT**

The President of the Institute is the executive head of the Institute, and shall exercise such executive powers as are necessary to the interest and welfare of the Institute. The President shall attend the meetings of the Board of Trustees, participate in its deliberations and see that its decisions are carried out; may act with freedom within the lines of general policy approved by the Board of Trustees; shall submit to the Board of Trustees an annual report on the conditions and needs of the Institute; and shall recommend to the Board of Trustees suitable persons for appointment and promotion to tenured faculty positions in the Institute. The President shall appoint the research assistant professor, assistant professor, associate professor (only for a term appointment), professor (only for a term appointment) and visiting professor positions, and report such appointments to the Board. The President is the official medium of communication between the Faculty and the Board of Trustees, and between the students and the Board of Trustees. The President is responsible for the enforcement of the rules and regulations of the Institute; shall make such recommendations to the Board of Trustees and the Governing Faculty as the President may deem desirable for the proper conduct and development of the Institute; and shall issue diplomas conferring degrees, but only by authority of the Board of Trustees. (Statute 1.2)

## **THE DEAN**

The Institute may have a Dean position from time to time, with the approval by the Board of Trustees. This position may be activated during the President's absence or an extended leave from the Institute. In the case of the latter, the Dean may exercise such executive powers as are necessary in the interest and welfare of the Institute, under the supervision of the President. (Statute 1.3)

## **CHIEF ACADEMIC OFFICER**

TTIC Faculty issues are administered by the Chief Academic Officer, under the supervision of the President. The Chief Academic Officer is empowered to act as the executive officer and representative of Faculty, and, with regard to educational policy, to take the initiative in proposing plan to the Faculty, and to carry into effect plans adopted by the Faculty; When the Chief Academic Officer is to be appointed, the Faculty shall elect a committee whose duty shall be confer with the President, to ascertain the suggestions and preferences of the Faculty members and to make a list of candidates. The Chief Academic Officer shall be appointed by the President under such regulations as may be adopted from time to time by the Board of Trustees after the

President has requested and received suggestions from the committee concerning its list of candidates and the list the President has under consideration. Each member of the Faculty shall have the privilege of communication preferences for, or criticisms of, candidates directly to the President, or to members of the committee. The period of appointment of a Chief Academic Officer shall be for a five year term, and may be removed from this office at the discretion of the President, with or without cause. (Statute 2.1)

# FACULTY POSITIONS AND GOVERNANCE BODIES

## Faculty Positions

The Members of the Institute Faculty are classified as follows: Professor, Associate Professor, Assistant Professor, Visiting Professors, Adjoint Professor and Research Assistant Professor. Every person holding one of those titles shall be a member of the Faculty with status as defined below. (Per Statute 2)

Appointments and promotions to all tenured Faculty positions shall be made by the Board of Trustees, with consideration given to the recommendations of the President. Appointments for tenure track positions and all term faculty appointments shall be made by President.

**Duties.** It shall be the duty of each member of the faculty: (a) to perform the assigned duties of instruction and to pursue such studies and research as are appropriate subjects of scholarly inquiry; (b) to perform assigned duties in the administrative work of the Institute; (c) to attend faculty meetings unless unable to do so for adequate reasons, and; (d) except in cases of emergency, to obtain permission in advance from the President for absences from Institute duties.

**Professors.** Professors may, but need not, be appointed with indefinite tenure (i.e., without limitation as to the term of appointment). In the event that a Professor is appointed on a term basis, such term appointments carry no implication of indefinite tenure. When a Professor on a term appointment has completed all but the last year of service under such an appointment, the President shall review that individual's performance in research and teaching and recommend to the Board of Trustees taking into consideration of the opinion of the Senior Faculty either (1) that the Professor shall, at the completion of the term of appointment, be appointed with indefinite tenure, or (2) that the Professor be reappointed to the same position for another term, the length of which shall be set by the Board. Following this review and recommendation, and not later than December 15 of the last year of appointment, the Professor shall be notified of the Board's final decision. Persons whose appointive year ends at dates other than June 30 or September 30 will be given comparable notice.

**Associate Professors.** Associate Professors are appointed with indefinite tenure (i.e., without limitation as to the term of appointment). The President may review the individual's performance in research and teaching at any time thereafter and recommend to the Board of Trustees, taking into consideration of the opinion of the Senior Faculty, either (1) that the Associate Professor shall be promoted to the position of Professor with indefinite tenure; or (2) that the Associate Professor remain in his/her current position.

**Assistant Professors.** Assistant Professors shall be appointed for a limited term of three or four years. Such term appointments carry no implication of indefinite tenure. When an Assistant Professor on a term appointment has completed all but the last year of service under such an appointment, the President shall review that individual's performance in research and teaching and recommend to the Board of Trustees taking into consideration of the opinion of the Senior Faculty either (1) that the Assistant Professor shall, at the completion of the term of appointment, be promoted to the position of Associate Professor and granted indefinite tenure, (2) that the Assistant Professor be reappointed in the same position for another term, the length of which shall be set by the Board, but not resulting in longer than seven years total time as an Assistant Professor; or (3) that the Assistant Professor not be reappointed at the end of the term of appointment. Following this review and recommendation, and not later than December 15 of the last year of appointment, the Assistant Professor shall be notified of the Board's final decision. Persons whose appointive year ends at dates other than June 30 or September 30 will be given comparable notice.

**Visiting Professors.** Visiting professors may be of any rank (assistant professor, associate professor, or professor) and will serve a term agreed to by the President. The scope of the duties will also be agreed to in writing and may include research, teaching, or a combination of both activities.

**Adjoint Professors.** Adjoint professors are professors whose primary appointment is at another institution but which have long term relationships with TTIC, regardless of his or her being living at Chicago or not. Adjoint professors may be of any rank (assistant professor, associate professor, or professor) and will serve a term agreed to by the President. Adjoint professor may or may not receive compensation from TTIC. In the case where compensation is received the adjoint faculty member will have a formal limited-term contract with TTIC the terms of which are agreed to by the President.

**Research Assistant Professors.** Research Assistant Professors shall be appointed for a limited term of three years. Such term appointments carry no implication of indefinite tenure. Appointments to research assistant professor are recommended by the governing faculty to the President. The President has final authority over appointments to research assistant professor.

## Governance Bodies

**The Governing Faculty.** The governing faculty is defined to consist of the tenured and tenure track faculty plus visiting full professors currently holding term appointments lasting at least three years from the date of appointment. By majority vote, the governing faculty may make formal recommendations to the President on issues of curriculum, committee appointments, student admissions, student academic status, hiring of non-tenured positions, and general academic issues other than decisions of academic tenure and the hiring of tenured positions. (Statute 3.1)

**The Senior Faculty.** The senior faculty is defined to consist of the tenured faculty plus visiting full professors currently holding term appointments lasting at least three years from the date of appointment. By majority vote, the senior faculty may make formal recommendations to the president regarding the hiring of tenured faculty. The senior faculty will vote on each case of promotion to tenure and report the result of this vote to the president. (Statute 3.2)

**The President.** The President retains the authority to make all final decisions on recommendations of the faculty other than appointments to positions included in the governing faculty. For appointments to governing faculty positions, the president makes formal recommendations to the Board of Trustees, which has final authority. The President may also act on issues other than governing faculty appointments without a recommendation of the faculty. (Statute 3.3)

# **TEACHING AND INSTITUTE SERVICE**

## **Teaching Agreement between TTIC and University of Chicago (UOC)**

Following is a summary of the terms of the Teaching Agreement that define the course exchange and tuition transfer arrangement between the two institutions, as reached and endorsed by both institutions. A copy of the Teaching Agreement is available from the Board Secretary.

Each institution will offer its own set of courses in Computer Science at appropriate levels, will appoint its own faculty, and will decide on the curricular requirements for its own students.

Each institution will decide whether it wishes to list particular courses from the other institution for credit in its own program. In such a case, a course number will be assigned to that course on the opposite side, and the faculty member teaching the course will need to be appointed jointly at the other institution. For example, a course taught by a TTIC faculty member would in such a case be given a UOC course number, the faculty member would be appointed to the appropriate position at UOC, and UOC students would be permitted to enroll in that course for UOC credit.

Tuition payments for courses will remain with the institution in which the student has matriculated.

Separate grade sheets from TTIC and UOC will be prepared for jointly offered courses, with each including the students from the institution of matriculation. Once grades have been assigned by faculty members, they will be submitted to the TTIC and UOC registrars.

Each institution will have the right to set enrollment limits in its courses and, if these are reached, to give its own students priority in enrolling. Enrollment limits should be reasonable and are not to be used merely for the purpose of excluding students of one institution from enrolling in courses of the other.

It is expected that the teaching and classroom service provided by TTIC to UOC students will be greater than or equal to the teaching and classroom service provided by UOC to TTIC students. If at some future time the latter significantly exceeds the former, it is the University's responsibility to notify TTIC that it needs to increase its service to UOC students. One year following the notification of TTIC, if the service imbalance remains, then the University may seek fair monetary compensation for the teaching and classroom services provided in excess of the service provided in return from TTIC. This agreement may be terminated by either party without cause provided written notice is given four years in advance of the termination.

## **Faculty Responsibilities**

The Institute expects excellence in teaching as well as excellence in research. Faculty should attend to teaching with the same care and concern they would commit to any other fundamental responsibility.

At all levels of teaching, faculty should give clear guidance to students about program and course requirements, should be reasonably available to students outside of class, and should provide forthright evaluations through grades and written assessments. A faculty member who observes special problems in a student's performance should promptly inform the Chief Academic Officer.

There is as strong an obligation not to waste the time and resources of students who are not succeeding, as to facilitate the success of those who do well. If second chances are accorded, the expectations must be clear. Faculty have a special obligation to assist students in placement and should provide prompt and fair recommendations.

Faculty bear a special responsibility to the students whose theses they oversee. A faculty member should not undertake to supervise theses if he or she does not have the time or the expertise to do so effectively. A faculty member should regularly and clearly communicate his or her expectations for a student's progress, define and enforce clear time limits for the completion of a student's work, and provide prompt and candid evaluations of the work a student submits. If there are early indications that a student has not performed sufficiently well to be admitted to candidacy, that message should be conveyed promptly.

Faculty members who want advice in these matters should speak with the Chief Academic Officer.

## **Residency Requirements**

Employees, including faculty, are expected to primarily reside in the Chicago area for periods in which their salary is being provided by Institute funds. For faculty this is typically the nine-month period consisting of September through May of the academic year plus two summer months for faculty with summer salary provided by start-up packages. The choice of which two summer months serve as residency is at the discretion of the faculty. Research faculty are employed for the nine months of the academic year and are not required to be in residence for the summer.

Faculty may travel during the period in which they are primarily resident in Chicago. Excessive travel can be inconsistent with claiming primary residence in the Chicago area, where the determination of how much travel is excessive is left to the discretion of the President of the Institute. Traveling for one week a month is generally not considered excessive as long as the travel involves performing the duties of employment with the Institute.

Residency is not required for periods where the salary is provided by extramural funding such as research grants, provided that non-residency is consistent with the terms of the external funding agency.

During the months the faculty member is out of residency, he or she may engage in employment and/or research activities with other organizations. They must, however, respect the intellectual property policies of TTIC. Any potential conflicts in these circumstances should be addressed with the Chief Academic Officer prior to accepting the assignment.

# Assistance for Students with Disabilities

TTIC is a community of scholars, researchers, educators, students, and staff members devoted to the pursuit of knowledge. In keeping with its policies and practices, the Institute, in admissions and access to programs, considers students on the basis of individual merit and without regard to race, color, religion, sex, sexual orientation, national or ethnic origin, age, disability, or other factors irrelevant to study at the Institute.

The Institute does not have a comprehensive program oriented wholly towards educating students with disabilities, but strives to be supportive of the academic, personal, and work-related needs of each individual and is committed to helping those with disabilities become full participants in the life of the Institute.

Students with disabilities should be directed to contact the Student Services Division of the Administrative Office in as timely a fashion as possible to request assistance and coordination of accommodations at the Institute.

# Handling Student Emergencies

We are all a part of the network of support for our students. Your willingness and ability to recognize and respond to students who appear to be distressed or who have an emergency is invaluable to the Institute. The following procedures have been developed to respond to a student in distress. Any such situation may have complicating or extenuating circumstances, but the procedures described below are generally applicable. Please remember that when in doubt, trust your instincts and contact the Director of Graduate Studies or Administrative Director of Graduate Studies on how to proceed.

If you are concerned about one of your students because she or he has expressed distress or thoughts of self-harm or inflicting harm to others, contact the Director of Graduate Studies, the Administrative Director of Graduate Studies and/or the Student Counseling Service (SCS) directly (702-9800).

Some tips for helping a student in distress.

- Arrange a quiet time and place to talk with the student.
- Discuss the observations that led to your concern. Keep your tone supportive, reassuring, and empathic. Avoid being judgmental or making assumptions about the cause of the apparent distress.
- Let the student respond to your concerns- Listen.
- Students do not have to struggle with their issues on their own. Mention that there are people who can help and offer to assist the student in making these contacts.
- Stress that receiving services at the [Student Counseling Services](#) is strictly confidential.
- Though the student may reject your offer of support or referral, remain supportive.
- Encourage the student to talk to the Director of Graduate Studies, or the Administrative Director of Graduate Studies. You also might want to contact the Director of Graduate Studies to share what you know about the student.

## Important Phone Numbers

Student Counseling Service: M-F, 8:30 am to 5:00 pm, 702-9800

Student Counseling Service: after hours, 702-3625

Dean-on-Call: 24/7/365, 834-4357 or through University Police

University Police: 123 from a campus phone; 702-8181 from any phone

# General Policies and Procedures Regarding Teaching Schedules, Grading and Advising

## ***Establishing Course Requirements***

Students should be informed of all course prerequisites at the beginning of the quarter. Ordinarily, in the first week of the quarter, a faculty member should distribute a syllabus or course outline indicating reading assignments, paper deadlines, examination dates, and other requirements. This information may also be provided in the [Courses](#) section on the website.

TTIC operates on a quarter system. Materials should be assigned in accordance with what is reasonable to expect students to accomplish in that period, typically 9 weeks of instruction plus and exam week. An Institute academic calendar is available on the TTIC Calendar titled “TTIC Courses/ Academic Dates,” and courses are scheduled by [Canonical hours](#).

## ***Advisors – Ph.D. Program***

Upon admission to the program the Institute assigns each student, in consultation with the student, an interim advisor.

Before a student takes the qualifying exam, and in any case no later than the end of the second year, the student must choose a regular research advisor. The research advisor must be tenured or tenure track TTIC faculty. A student may also choose to designate a University of Chicago tenured or tenure track faculty member to be their primary research advisor and a (tenured or tenure track) TTIC faculty member as a secondary advisor. In such cases, the TTIC secondary advisor shall bear all the responsibilities outlined here for the research advisor, including bearing the primary responsibility for ensuring the student is engaged and progressing in the Ph.D. program.

The advisor relationship will be formalized by signature in a section of the Application for Master’s Diploma/ Candidacy, completed no later than the end of a student’s second year. In the case of two research advisors (University and TTIC), both advisors must sign on the application. The formalized signature will be reviewed and signed off on by the Director of Graduate Studies (DGS). The completed form is submitted to and filed by the Registrar.

The relationship between a student and their advisor is a central aspect of the Ph.D. program. This relationship requires the ongoing consent of both parties. Either party can withdraw from a Ph.D. research advising relationship by notifying the Chief Academic Officer (CAO). If a student has difficulty finding an advisor, they should seek the help of the DGS or CAO. The DGS is responsible for verifying that each graduating Ph.D. has fulfilled the Ph.D. requirements. The DGS and the CAO shall be notified of all changes in advisors.

When the advisor of a student is also the DGS, then any action or approval that is normally required by the DGS will instead be required by the CAO.

Please refer to the current TTIC Academic Program Guide for more details on the academic program curriculum and requirements.

## ***Faculty Reviews of Student Progress***

To ensure students are on track to meet the requirements discussed above, regular student progress reviews are conducted by faculty.

At the beginning of autumn and spring quarters, students complete a Student Data Form, a review of requirements that have been and are to be completed, and a request of completion expectations. This plan must be discussed with and approved by the student's advisor.

Twice a year, at the beginning of the autumn and spring quarters, the faculty hold a review and evaluation meeting to discuss each student's progress in the program.

The faculty will decide for each student whether that student is making sufficient progress to continue in the Ph.D. Program. If not, a warning may be served to the student or they may be notified that they are not permitted to continue with the program. In any case, a letter of evaluation is written to each student by their advisor, based on the faculty discussion in the meeting, to be signed by the advisor and the Director of Graduate Studies.

Please refer to the current Academic Program Guide for more details on the academic program curriculum and requirements.

### ***Cancellation of Courses and Time Schedule Changes***

Faculty members are expected to avoid whenever possible the canceling or changing of course meeting times. Students often plan their studies around complex and sequential requirements, and such changes can seriously disrupt a student's schedule.

On those rare occasions when it is essential to cancel or reschedule a course, the faculty member should immediately notify the Chief Academic Officer and the Registrar so that students can be notified as soon as possible or changes can be updated to the official course posting online.

### ***Office Hours***

Faculty are expected to be available to meet with students outside the classroom. Regular and reasonable office hours should be made known to students by announcements made in class or posted in the Courses section on the website.

### ***Class Lists***

The TTIC Registrar will send a list of registered students the first week of class, and again after the add/drop period has concluded, at the end of week 3 of the quarter. UofC Registrar provides class lists on the first day of each quarter. This information also is available on the [Faculty Access website](#) of the University Registrar. Faculty should instruct students who are taking a course for credit but are not on the class list to register for the class. Students should not be allowed to proceed with course work and "plan" to register later. Students who wish to audit a course need the written permission of the instructor.

In oversubscribed classes, or classes requiring the consent of the instructor, a list of students admitted to the class should be posted no later than the first meeting of the second week of the quarter. Students may change their course registration, drop and add courses until the end of the third week of each quarter.

### ***Emergency Faculty Absences***

If illness or other emergency prevents a faculty member from meeting a class, the faculty member should either ask a colleague to fill in or ask the Chief Academic Officer to post a class cancellation notice at a suitable location.

### ***Final Examinations***

Final examinations are scheduled during the eleventh week of the quarter. If a final examination must be rescheduled for compelling reasons, the faculty member must notify the Chief Academic Officer, and the Registrar, so arrangements and room assignments may be adjusted.

### ***Grade Reports and Timely Submission Of Course Grades***

Grades are due in the TTIC and/or UofC Office of the Registrar no later than the **Wednesday after exam week** in all quarters. The precise due date for grades is indicated on each instructor's grade sheet. Grade sheets are distributed directly to the individual faculty member, unless a different method has been filed with the Registrar. Faculty with UofC students enrolled may be required to submit grades through Faculty Access (<https://facultyaccess.uchicago.edu>).

### ***Course Evaluations***

All (TTIC and UofC) students enrolled in TTIC courses may participate in course evaluations the last two weeks of the course. Evaluations are conducted online and the Registrar's office will notify you that a report of the evaluations is ready for viewing, once all grades for the course have been received.

The Registrar's office will remind students about evaluation deadlines, but instructors must encourage students to respond as well. Results are made available, and sent to the course instructor, Chief Academic Officer, Director of Graduate Studies and the President, after grades have been turned in.

Course evaluation reports may be used when a faculty is under consideration for promotion or tenure.

### ***Cross-Listed Courses***

Separate grade sheets from TTIC and UofC will be prepared for jointly offered courses, with each including the students from the institution in question. Once grades have been assigned by faculty members, they will be submitted to the TTIC and UofC registrars.

### ***University Center for Teaching and Learning***

TTIC faculty are welcome to utilize the University of Chicago's [Center for Teaching and Learning](#). There are a variety of resources available to faculty such as approaches to course design and support, methods for teaching, classroom technology, Chalk software, and a whole host of on-line resources as well. Faculty are encouraged to participate in faculty workshops, teaching consultations, and the on-campus faculty community.

# ACADEMIC POLICIES

## Academic Freedom Policy

TTIC subscribes to the principles of academic freedom as stated by the American Association of University Professors (AAUP) as follows:

(1) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(2) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

(3) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

## The Institute and Political and Social Action

The following excerpts from the University of Chicago Handbook (1999, pp. 29-30) mirror TTIC's principles regarding the role the Institute plays in the forum of social and political action.

*From "A Report on the University's Role in Political and Social Action," The University of Chicago Record, Vol. 1, No. 1, November 11, 1967, pp. 2-3, "The Kalven Report."*

"... The mission of the university is the discovery, improvement, and dissemination of knowledge. Its domain of inquiry and scrutiny includes all aspects and all values of society. A university faithful to its mission will provide enduring challenges to social values, policies, practices, and institutions. By design and by effect, it is the institution which creates discontent with the existing social arrangements and proposes new ones. In brief, a good university, like Socrates, will be upsetting.

The instrument of dissent and criticism is the individual faculty member or the individual student. The university is the home and sponsor of critics; it is not itself the critic. It is, to go back once again to the classic phrase, a community of scholars. To perform its mission in the society, a university must sustain an extraordinary environment of freedom of inquiry and maintain an independence from political fashions, passions, and pressures. A university, if it is to be true to its faith in intellectual inquiry, must embrace, be hospitable to, and encourage the widest diversity of views within its own community. It is a community but only for the limited, albeit great, purposes of teaching and research. It is not a club, it is not a trade association, and it is not a lobby.

Since the university is a community only for these limited and distinctive purposes, it is a community which cannot take collective action on the issues of the day without endangering the conditions for its existence and effectiveness. There is no mechanism by which it can reach a collective position without inhibiting that full freedom of dissent on which it thrives. It cannot insist that all of its members favor a given view of social policy; if it takes collective action, therefore, it does so at the price of censoring any minority who do not agree with the view adopted. In brief, it is a community which cannot resort to majority vote to reach positions on public issues.

The neutrality of the university as an institution arises then not from a lack of courage nor out of indifference and insensitivity. It arises out of respect for free inquiry and the obligation to cherish a diversity of viewpoints. And this neutrality as an institution has its complement in the fullest freedom for its faculty and students as individuals to participate in political action and social protest. It finds its complement, too, in the obligation of the university to provide a forum for the most searching and candid discussion of public issues.

Moreover, the sources of power of a great university should not be misconceived. Its prestige and influence are based on integrity and intellectual competence; they are not based on the circumstance that it may be wealthy, may have political contacts, and may have influential friends.

From time to time instances will arise in which the society, or segments of it, threatens the very mission of the university and its values of free inquiry. In such a crisis, it becomes the obligation of the university as an institution to oppose such measures and actively to defend its interests and its values. There is another context in which questions as to the appropriate role of the university may possibly arise, situations involving university ownership of property, its receipt of funds, its awarding of honors, its membership in other organizations. Here, of necessity, the university, however it acts, must act as an institution in its corporate capacity. In the exceptional instance, these corporate activities of the university may appear as incompatible with paramount social values as to require careful assessment of the consequences.

These extraordinary instances apart, there emerges, as we see it, a heavy presumption against the university taking collective action or expressing opinions on the political and social issues of the day, or modifying its corporate activities to foster social or political values, however compelling and appealing they may be.

These are admittedly matters of large principle, and the application of principle to an individual case will not be easy. It must always be appropriate, therefore, for faculty or students or administration to question through existing channels...whether in light of these principles the University in particular circumstances is playing its proper role.

Our basic conviction is that a great university can perform greatly for the betterment of society. It should not, therefore, permit itself to be diverted from its mission into playing the role of a second-rate political force or influence..."

# Outside Professional and Commercial Activities of Faculty, and Conflict of Interest

## ***Background and Introduction***

This policy addresses situations where there might be a potential financial or personal conflict between a particular outside interest of a faculty member and the obligation that the faculty member owes to the Institute such that a faculty member's profit or advantage may come, or reasonably appear to come, at the expense of the well-being of the Institute.

Faculty participation in outside professional and commercial activities can make important direct and indirect contributions to the strength and vitality of the Institute. Through participation in such activities, faculty members may add to knowledge and understanding that is relevant and useful to teaching and research within the Institute, develop sources of funding and support for activities carried out in the Institute, and establish relationships valuable to the Institute. Because of its value to the Institute, its rewards for individual faculty, and its contributions to the larger society of which the Institute is a part, it recognizes that limited participation of its faculty in outside professional and commercial activities can be appropriate.

To guard against the dangers of inappropriate or excessive involvement in outside professional and commercial activities, it is essential to have a policy concerning faculty participation in such activities. A member of the Faculty during the Quarters of residence may not engage in consultation, teaching at other universities, regular compensated lecturing, compensated editorial activities, or other substantial outside employment, unless such activity is consistent with the faculty member's obligations to the Institute, is not inimical to the fullest development of scholarly activities, and meets with the approval of the Chief Academic Officer or President.

In recent times, faculty involvement in outside professional and commercial activities has become increasingly complex. It is desirable to have a more comprehensive discussion of the issues of concern that may arise from such faculty involvement and a statement of guidelines for dealing with these issues.

However, it is not possible to set out detailed guidelines for resolving conflicts in many unforeseen situations. Sound administrative discretion is an integral part of the Institute's conflict of interest system. The procedures for disclosure do not solve these conflict problems, but they route information about potential conflicts to the relevant administrators.

Within this framework, any review of a potential conflict of interest will be undertaken in light of four general propositions. First, conflicts of interest *per se* are inevitable, and do not necessarily represent any impropriety by faculty members if disclosed in advance. Second, the failure to disclose a conflict of interest for administrative review and response would be a serious mistake for any faculty member. Third, there is a presumption in favor of allowing faculty members to act in dual roles once the conflict of interest has been disclosed. Fourth, conflicts of interest may be so profound under some circumstances that it would be best for all concerned if the faculty member did not participate in a particular transaction.

While this policy describes a formal procedure for the assurance of compliance with the Institute's policy regarding financial conflict of interest, it is not intended to substitute for or replace the traditional communication and informal discussions between faculty and the Chief Academic Officer and President regarding outside activities.

## ***When Is There A Conflict Of Interest?***

Faculty investigators are responsible for disclosing: 1) those significant financial interests that would reasonably appear to be affected by or to affect their research or educational activities; and

2) any significant financial interests in entities whose financial interests would reasonably appear to be affected by or to affect the person's performance of his or her Institute duties (refer to Guidelines for Faculty, below).

It is the responsibility of the Institute, not the discloser, to determine if the disclosed interests could directly and significantly affect the performance of Institute responsibilities and to require the management, reduction or elimination of the conflict. The designated Institute office for determination of faculty financial conflict of interest matters is the Office of the President.

***A conflict of interest exists when the designated official reasonably determines that a significant financial interest could directly and significantly affect the performance of Institute duties.*** The Office of the President reviews all financial disclosures; and determines whether a conflict of interest exists and, if so, determines what actions should be taken by the institution to manage, reduce or eliminate such conflict of interest.

### ***Issues of Concern***

Involvement with, or financial interest in, professional or commercial activities outside of the Institute should not compromise the fulfillment of a faculty member's obligations to the Institute. Such outside activities conflict with obligations to the Institute when they involve excessive commitments of time, when they bias the nature and direction of scholarly research, or when they influence a faculty member's decision or behavior with respect to teaching and student affairs, appointments and promotions of faculty, or other matters of interest to the Institute. Sensitivity to these potential conflicts of interest is especially important when a faculty member has a substantial involvement in commercial enterprises related to that faculty member's research or when the faculty member is engaged in prolonged and intensive consultancies because personal financial benefits can present or can reasonably appear to present stronger attraction than other benefits associated with either professional or commercial outside activities.

Potential problems arising from conflicts between a faculty member's obligations to the Institute and outside professional and commercial activities are numerous and sometimes subtle. An awareness of such potential difficulties is essential to sustaining the vital interests and fundamental principles of the Institute, and to preserving the benefits that accrue from faculty participation in outside professional and commercial activities.

A conflict of interest may arise when a faculty member holds an equity or financially beneficial intellectual property interest in a commercial enterprise. A possible example is: if a faculty member is developing a product for a firm or when a faculty member is asked to serve on an Institute committee that evaluates a firm or product in which the faculty member has a financial interest. A conflict of interest may arise out of a single transaction and should therefore be addressed, whenever possible, before that transaction is undertaken.

Among the specific issues and problems requiring particular sensitivity and attention are the following:

#### ***A. Research***

Decisions concerning the nature and direction of scholarly research at the Institute should be governed by judgments of scholarly merit and intellectual importance. A faculty member's involvement with, or interest in, outside commercial or professional applications of research should not bias judgment concerning the faculty member's own scholarly research or that of other faculty or students.

#### ***B. Publication***

Free communication of the results of scholarly research is an important policy of the Institute. Involvement in outside professional or commercial activities should not delay or inhibit the publication of scholarly research or the sharing of information derived from

such research. Where appropriate, faculty members are expected to disclose (as described below) relevant outside consulting arrangements or affiliations in their published scholarly works, an obligation that is now routinely imposed by some journals.

#### *C. Education of Students*

Students rely on faculty advice and guidance concerning educational matters within the Institute (including the nature and direction of research) as well as temporary and career employment opportunities outside the Institute. Such advice and guidance should always be governed by a student's best interest and should not be made to serve a faculty member's interest outside commercial and professional activities.

#### *D. Appointments and Promotions*

Dedicated participation of faculty in recommendations and decisions concerning faculty appointments and promotions is vital to the continued strength of the Institute. A faculty member's recommendations and decisions on matters of appointment and promotion should never be used to advance an actual or prospective relationship in outside commercial or professional activities (either cooperative or competitive) with candidates for appointment or promotion.

#### *E. Institute Contribution*

A faculty member's contribution to the Institute derives not only from scholarly research and formal classroom teaching, but also from less formal interactions with colleagues and students, and from participation in the affairs of the faculty member's department and of the Institute. To sustain the contribution consistent with a faculty member's obligation to the Institute, time committed to outside professional and commercial activities should not exceed the accepted standard for such activities.

Under current Institute policy, a faculty member may not devote more than eleven days each quarter of residence to these type of activities without specific authorization of the President and Chief Academic Officer.

#### *F. Office Space and Other Resources*

Faculty members may make reasonable use of their office and office equipment for all activities permitted within the scope of their Institute employment. Incidental modest expenses associated with the use of office or office equipment for consulting conducted within the permissible consulting periods is acceptable; the Institute should be reimbursed for additional costs. Institute facilities such as laboratories, technical equipment, Institute personnel or students should not be used for activities outside the scope of a faculty member's academic responsibilities if those activities are conducted primarily for the financial benefit of the faculty member or for the benefit of a company or enterprise with which the faculty member is associated. A faculty member who wishes to use Institute laboratory space for a commercial project must receive *prior approval* through the disclosure process. [Refer to Guidelines for Faculty, below.] All sponsored research carried out using Institute facilities should be conducted under a grant or contract administered by the Institute.

#### *G. Hiring Family Members for Institute Business*

The hiring of family members on Institute business is generally to be discouraged and should be done, if at all, only with the approval of the President. It is Institute policy that faculty and staff members may not be in the position of supervising, directing, or setting the pay for spouses, children, or other close relatives.

#### *H. Service on Committees*

Faculty members are often asked to serve on committees or other groups to assist the Institute in its relationships with outside vendors, suppliers and contractors. It is expected that faculty members will report in writing to the committee chair any potential conflict of

interest that arises before acceptance or after the work has begun. Faculty members are not automatically disqualified from serving on Institute committees when potential conflicts appear. But early disclosure of outside ties is critical. The focused nature of these requests for information makes it unnecessary for any faculty member to disclose to the relevant committee chair outside activities that are unrelated to the task at hand. In most circumstances, it should be possible for the faculty member to continue service on the committee, but some conflicts may be so severe that they are resolvable only if the faculty member resigns from the committee.

### ***Guidelines for Faculty***

- A. When a faculty member's involvement in outside professional or commercial activities substantially impairs fulfillment of obligations to the Institute, an involved faculty member should take a leave of absence from the Institute. Except in extraordinary circumstances, a leave of absence should not exceed two years, and the frequency and duration of leaves of absence should not be such as to impair a faculty member's contribution to the Institute. To protect the Institute from the adverse consequences of leaves of absence, it may be appropriate to deny some requests for leave and insist that some involvements in outside professional and commercial activities be postponed, reduced or terminated.
- B. When involvement is not of an extent or nature that substantially impairs fulfillment of obligations to the Institute, but when the time committed to outside professional or commercial activities exceeds the accepted standard for such activities, a faculty member should determine, in consultation with the Chief Academic Officer and President, an appropriate reduction in Institute responsibilities and compensation. To protect the Institute from the undesirable consequences of part time faculty, arrangements for part time status to accommodate outside professional and commercial activities should normally be of limited duration, and requests for such arrangements may sometimes be denied in order to protect the Institute's vital interests.
- C. To maintain the effectiveness and the integrity of the process for considering faculty appointments and promotions, faculty members should avoid, to the greatest extent possible, involvements in outside professional or commercial activities that might give rise to conflicts of interest in recommendations and decisions concerning faculty appointments and promotions. When conflicts arise with a particular appointment or promotion, the faculty member who has a conflict should disclose the interest and avoid participation in the consideration of that case.
- D. To insure that the nature and direction of research conducted by students in connection with earning their degrees at the Institute is governed by considerations of scholarly merit and intellectual importance and that the efforts of students in such research always serve the student's best interest, a faculty member should normally avoid situations where a student's degree oriented research becomes entangled with the faculty member's outside professional or commercial activities. This guideline does not preclude the temporary or part time employment of students in outside research or consulting activities with which a faculty member is associated, provided that such employment serves the best interest of the student, and does not substantially impede the student's progress toward a degree and does not restrict students' communication with each other or their right to publish their work.
- E. Faculty should be prepared to describe procedures that are in place to insure that workplace disagreements do not influence the student's academic performance, evaluation or placement.
- F. Faculty members should reimburse the Institute for any administrative costs (e.g. secretarial assistance, phones, postage, or computer services) that outside consulting

activities impose. This obligation does not extend to situations where outside work is done in the faculty member's own office, assuming it does not interfere with Institute obligations and operations. Whenever possible, faculty members should arrange direct payment to third party vendors as by billing express mail packages to third parties.

- G. When a faculty member seeks to market or test an invention or process (whether developed in the service of the Institute or not), using Institute facilities or personnel, he/she must receive the Institute's prior approval through the disclosure process.
- H. Approval is likely to be granted only in those extraordinary circumstances where the project is of substantial benefit to the Institute, where the Institute is fully compensated for the use of its facilities, where all relevant parties are aware of the source of funding for the outside activities, and where researchers are allowed freely to publish the findings and results of this research (except for delays strictly necessary to allow patent applications to be filed). It is not expected that these arrangements will be frequently approved, nor should they be, since commercial or industrial facilities are normally able to undertake these activities on their own premises. Furthermore, faculty members should not hire people to work in Institute buildings in the service of their outside professional or commercial activities.
- I. Other cases are likely to arise, as where faculty members on an occasional basis wish to use expensive equipment, such as computers or measuring devices, ordinarily not available for outside activities. In these cases the approval can be granted by the Chief Academic Officer or President under circumstances thought appropriate so long as the outside work of the faculty member does not interfere with the ordinary academic and research work of the Institute, and so long as the Institute receives adequate reimbursement for the use of its equipment or other resources.
- J. A faculty member shall disclose any significant financial interest he or she has in an entity that provides him or her support through a grant or contract administered by the Institute. This is of particular concern in areas involving research directed to commercial development where the faculty member holds an equity or intellectual property interest in the organization sponsoring or benefiting from the research outcome.
- K. Participation in the activities of an outside commercial enterprise, including a faculty owned or faculty- managed company, and disclosure of conflicts of interest pursuant to this policy, does not excuse a faculty member from the normal intellectual property requirements and procedures for disclosing discoveries and inventions that occur at the Institute.

### ***Scope of Policy and Important Definitions***

- A. The Institute's conflict of interest policy applies to all faculty members of the Institute. It also applies to non-faculty members defined as "Investigators".
- B. The term "Investigator" is used for those particular activities carried out as sponsored research and educational programs administered by the Institute. "Investigator" means the principal investigator(s) (PI), co-principal investigators, and any other person who is responsible for the design, conduct, or reporting of research or educational activities or for proposals for funding. "Investigator" as defined for these purposes may not be limited to those individuals titled or budgeted as "Investigators" on a particular proposal.
- C. Typically students would not be considered "Investigators" although there may be circumstances where, in the PI's judgment, a student is working relatively autonomously and should be considered an "Investigator."

- D. For disclosures of financial interests, “Faculty member” or “Investigator” includes the faculty or Investigator, his or her spouse and dependent children.
- E. “Significant Financial Interest” means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests. Potential equity value should be considered in those instances where the faculty member has an equity interest in a privately-held company and the potential exists for bias in design, conduct, or reporting of research based on future financial benefit; the true value of that interest may not be known until the firm goes public but the faculty member should make a reasonable assessment of the future market value of the equity); and intellectual property rights (e.g., patents, copyrights and royalties from such rights).
- F. *The term does NOT include:* salary, royalties, or other remuneration from the Institute; income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; income from service on advisory committees or review panels for public or nonprofit entities; or an equity interest in any company, that when aggregated for the Investigator and the Investigator’s spouse and dependent children, meets both of the following tests:
  - G. does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value
  - H. does not constitute more than a five percent ownership interest in any single entity; or
  - I. salary, royalties or other payments that when aggregated for the Investigator and the Investigator’s spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.
- J. Regardless of the above minimum requirements, a faculty or staff member, in his or her own best interest, is encouraged to disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest. Disclosure is a key factor in protecting one’s reputation and career from potentially embarrassing or harmful allegations of inappropriate behavior. (Faculty members are encouraged to ask for guidance from the Chief Academic Officer or President even in situations that are not covered by the disclosure procedures in this policy.)

### ***Faculty/Investigator Reporting Responsibilities***

- A. Faculty and Investigators assure compliance with the Institute policy by completing an [Assurance of Compliance form](#). Based on the information provided on the Assurance form, a more detailed Disclosure of Information may be required.
- B. The Assurance of Compliance form is available online through the Intranet, under the [Forms page](#). The form is to be completed and returned to Human Resources. Human Resources will supply completed forms to the President.
- C. If more information is necessary, the Institute Research Administration office will send the Disclosure of Information form identifying the appropriate questions that need additional information to faculty/investigators from whom it is required.
- D. Faculty/Investigators must make all financial disclosures required, in accordance with the definition of “Significant Financial Interests,” on the Disclosure of Information form and forward the completed Disclosure Form to Human Resources, who will share the completed form with the President.
- E. Faculty/investigators are responsible for updating their disclosures as new reportable significant financial interests related to Institute duties are obtained. In accordance with

the policies of external sponsoring agencies, faculty/investigators may be required to update their [Assurance of Compliance](#) annually.

### ***Principal Investigator Responsibilities***

This section describes specific additional requirements for persons involved in sponsored activities administered through the Institute.

- A. The Principal Investigator is responsible, for each activity, for determining who meets the definition of “Investigator” described above. For each such “Investigator” identified above, the Principal Investigator must take reasonable steps to assure that these individuals are in compliance with the sponsoring agencies’ Financial Conflict of Interest requirements. For Institute staff identified to the President (preferably prior to submitting the proposal to the sponsoring agency), Research Administration will provide these persons with packets of information describing their responsibilities for assuring compliance with the Institute’s policies governing Conflict of Interest. (All “Investigators” must complete an [Assurance of Compliance](#) and disclose any significant financial interests, using the Disclosure of Information form to Human Resources, who will forward to the President or Chief Academic Officer, and, if applicable, to the Institutional Review Board (IRB) prior to the submission of a proposal to an outside agency.)
- B. Collaborators at other institutions must either comply with the policies of the Institute or certify to the Principal Investigator at the Institute that they have reviewed their portion of the project according to their institutional policies. Administratively, the Institute has implemented this requirement by having consultants or sub awardees assure that any significant financial interest that could directly affect the design, conduct or reporting of the work will be disclosed directly to the Institute’s Principal Investigator. It is the responsibility of the Institute’s PI to determine if the disclosed interest requires further institutional consideration for management, reduction or elimination of the conflict. Principal Investigators whose collaborators are not formally associated with the project through a consulting agreement or subcontract, should confirm that these individuals meet the requirements of the sponsoring agencies’ conflict of interest policies. Institute Research Administration will provide a form to meet this need, upon request.
- C. Prior to the submission of a proposal, Investigators are required to disclose any significant financial interests that would reasonably appear to be directly and significantly affected by the research funded by an external sponsor or proposed to be funded. The disclosure also must cover any significant financial interests in an entity whose financial interest would reasonably appear to be directly or significantly affected by the external funding.
- D. Investigators are required to update disclosures of significant financial interests annually or as significant financial interests change during the period of the sponsored project.

### ***Institute Administrator Responsibilities***

- A. Because of the special role that the Chief Academic Officer and President play in administering the affairs of the Institute, it is especially important that faculty members serving in these administrative positions avoid involvements in outside professional or commercial activities that pose potential conflicts of interest with the fulfillment of their responsibilities to the Institute. The necessary involvement of these administrative officials in the appointment and promotion process, in decisions concerning students, and in the supervision of other faculty requires that they be especially sensitive to potential conflicts of interest and that they uphold a particularly rigorous standard for avoiding such conflicts.

- B. The Chief Academic Officer should report periodically to the President on the status of outside professional and commercial activities of the faculty on major issues concerning faculty involvement in such activities.

### ***Institute Review of Disclosure Activities***

- A. The Disclosure of Information form is reviewed by the Chief Academic Officer and forwarded to the President with a determination of whether or not the significant financial interest gives rise to a conflict and, if so, recommendations as to how the conflict could be managed, reduced or eliminated.
- B. Investigators may, at their own request or at the request of the Subcommittee, meet personally with the group in the course of its review of the information. The deliberations of the Subcommittee shall be confidential.
- C. The Chief Academic Officer and President make the final determination of what conditions or restrictions, if any, should be imposed by the institution to manage, reduce or eliminate the conflict of interest where it has been determined that such conflict could impair the discloser's performance of Institute duties.
- D. For sponsored projects, prior to the expenditure of any funds awarded, terms imposed by the sponsor and accepted by the Institute, including reporting of the existence of a conflict, must be satisfied.
- E. The Institute is required to make information available, upon request, to federal agencies sponsoring work at the Institute regarding all conflicting interests identified by the Institute and how those interests have been managed, reduced or eliminated to protect the research from bias.
- F. The Institute maintains records of all financial disclosures and all actions taken by the Institute with respect to each conflicting interest for a reasonable period of time. For sponsored research activities, records will be retained for at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified by requirements of the sponsoring agency.

### ***Procedures for Resolving Violations of Policy or Failure to Comply***

Faculty members can be subject to the ordinary disciplinary process of the Institute if they fail to fully and truthfully disclose conflict of interest situations or fail to comply with any stipulated plan for managing the disclosed conflict. They may be subject to criminal sanctions or civil liability under federal or state law as well.

### ***Examples of Management of Conflicts of Interest***

Conditions or restrictions that might be imposed by the Institute to manage, reduce or eliminate actual or potential conflicts of interest include but are not limited to:

- public disclosure of relevant significant financial interests [Note: this is the most common management tool for conflicts of interest];
- monitoring of research by independent reviewers;
- modification of the research plan;
- disqualification from participation in the portion of the activity that would be affected by the significant financial interests;
- divestiture of significant financial interests; or

- severance of the relationships that create actual or potential conflicts.

Some federal funding agencies permit research to proceed, in spite of disclosed conflicts, if the review determines that imposing restrictions or conditions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare. However, the Institute is ultimately responsible for the determination of whether a research or educational project that involves a conflict should proceed.

## Academic Honesty

Faculty and students at TTIC belong to an academic community with high scholarly standards of which we are justly proud. Our community also holds certain fundamental ethical principles to which we are deeply committed. We believe it is contrary to justice, to academic integrity, and to the spirit of intellectual inquiry to submit the statements or ideas of work of others as one's own. To do so is plagiarism or cheating, offenses punishable under the Institute's disciplinary system. Because these offenses undercut the distinctive moral and intellectual character of the Institute, we take them very seriously and punishments for them may include permanent expulsion from the Institute.

Proper acknowledgment of another's ideas, whether by direct quotation or paraphrase, is expected. In particular, if any written source is consulted and material is used from that source, directly or indirectly, the source should be identified by author, title, and page number. Any doubts about what constitutes "use" should be addressed to the instructor or advisor.

Instructors have a range of options in dealing with academic dishonesty. It is within the discretion of the instructor to use evidence of plagiarism or academic dishonesty as grounds for failing the student in all or part of the course. The Chief Academic Officer may be asked to speak with the student, to issue a formal warning, or to consider disciplinary action. Faculty are urged to report any incident to the Chief Academic Officer, even when he or she is not expected to take direct action. In that way, the Chief Academic Officer will learn about **any** offenses and be in a position to respond to them with appropriate seriousness.

The ubiquity of word processing methods has greatly increased the opportunity to lift and reformat texts, and has introduced new ambiguity about the boundaries of legitimate collaboration. It is advisable for faculty to discuss the issue in classes early in the quarter and to be explicit about acceptable practices on joint projects, problem sets, and other collaborative efforts. One of the functions of teaching is to educate students in the norms and ethics of scholarly work, as well as in the substance of the field.

## Investigating Academic Fraud

### Procedures for Investigating Academic Fraud

#### ***Section 1. Scope of the Procedures***

These are the Institute's procedures for investigating allegations of academic fraud. Academic Fraud involves a deliberate effort to deceive and is distinguished from an honest mistake and honest differences in judgment or interpretation. Academic fraud is defined as plagiarism; fabrication or falsification of evidence, data, or results; the suppression of relevant evidence or

data; the conscious misrepresentation of sources; the theft of ideas; or the intentional misappropriation of the research work or data of others.

Charges against students are subject to these procedures only to the extent that they involve dissertations of students, who have received their degrees, or work published or submitted for publication; other cases of alleged academic fraud by students shall be subject to the normal disciplinary rules governing students.

When academic work at the Institute is funded by an external institution that has regulations for investigations of this kind, and those regulations contain a definition of the relevant misconduct that is more inclusive than the one stipulated above, then the definition of that institution shall be used to identify the scope of these procedures with respect to allegations involving such academic work.

## ***Section 2. The Initial Inquiry***

### **Procedures**

Any person who has reason to believe that any faculty member, staff member, or student has engaged in an act of academic fraud should make a report of that act to the official with supervisory power over the person so charged. This official will normally be the Chief Academic Officer or President. When such charges are brought to any other person, they should be referred to the appropriate administrative official.

On receiving the charge, the administrative official shall give notice to the President.

The administrative official shall also immediately determine whether the academic work in question involves funding from an external institution. If in doubt on this matter, the administrative official should consult with the Chief Academic Officer or President. When such funding is involved and the funding institution has its own regulations for investigations of this kind, these procedures shall, if necessary, be supplemented in the manner that is required to make them consistent with those regulations. Any reporting to external funding institution shall occur through the office of the President.

The initial administrative official shall assume no authority except to decide whether there is reason to believe that academic fraud may have been committed and, therefore, further investigation is warranted. For this purpose, she or he shall conduct a preliminary and informal inquiry. This official shall request and must be given access to written, printed, machine-readable, and other relevant materials or copies thereof that she or he deems relevant to an assessment of the charge, unless the relevant materials are bound by guarantees of confidentiality that are not waived. If otherwise confidential information is provided for the limited purposes of these procedures, then all parties to the proceedings shall endeavor to insure that this information is used only for the purposes for which it has been released.

The initial administrative official shall have the right to consult in confidence with any person whose advice she or he finds appropriate. In any event, this official shall consult with the Chief Academic Officer or, if this official is the Chief Academic Officer, with the President regarding the results of the inquiry before making a final decision about the case.

If the initial administrative official determines that there is no reason to believe that academic fraud may have been committed, she or he shall dismiss the charges, provide a written report to the Chief Academic Officer and President that includes a description of the procedures that have been followed, give a copy of the report to the party charged, and notify in writing the party making the charges. All records and evidence in the case shall be sent to the President.

If the administrative official has reason to believe that academic fraud may have been committed, she or he must give the party charged an informal opportunity to respond to the charge that has

been made. Normally, this occasion will not include the presence of lawyers; but if the party charged insists on the company of a lawyer, then the administrative official must request that the Institute provide her or him the assistance of a lawyer, who shall also be present. If the administrative official remains satisfied that there is reason to believe academic fraud may have been committed, she or he must ask the President to form a special panel as described in Section 3., providing a written report on the initial inquiry that includes a statement of the charge, the reasons why it may have merit, the procedures that have been followed, and all records and evidence in the case. When the administrative officer forwards the case (including the written report) to the President, she or he shall give a written notice to the person who initially brought the matter to the attention of the administrative official, and shall send a copy of the written report to (i) the person charged, (ii) the Chief Academic Officer, and (iii) the President.

Whenever possible, the decision whether or not to refer the matter to a special panel shall be made within fifteen days after the matter has first been raised.

### Conflict of Interest

Where the initial administrative official charged with investigating a charge perceives that she or he has a conflict of interest, she or he should refer the matter to the next superior administrative official. If the initial official is the Chief Academic Officer, the next superior official will be the President. In consultation, the two shall decide whether the responsible administrative official should remove herself or himself from handling the case. If removal is necessary, the superior official may refer the matter to another person in the Institute for investigation, in which case the superior official may still be the one engaged in the consultation required and may still receive the required report. Alternatively, the superior administrative official may act as the original investigating official, in which case her or his superior shall act as the official to be consulted and to receive the required report.

A conflict of interest arises whenever the administrative official has collaborated with the party charged on any research that is the subject matter of the charge or on any matter closely related to it. It also arises whenever the administrative official is bound by blood or marriage to the party charged or whenever any other reason prevents her or him from making an inquiry and disposing of the matter in a fair and impartial manner. The same standards for conflict of interest apply to the superior administrative official who is required to consult with the initial investigating official prior to a final decision.

## ***Section 3. Investigation into the Fact of Fraud***

### A. Selection of the Panel

Upon receipt of a charge of academic fraud, the President shall constitute within fifteen days a special panel of not fewer than three members to investigate the charges. Members of the panel shall ordinarily be drawn from within the Institute; they shall not include persons closely associated with the individual charged but shall include persons who have knowledge of the field of research of the person charged. Where circumstances require it, the President can appoint a person or persons outside the Institute to the panel. No administrative official previously involved in the case may be a panel member.

### B. The Operation of the Panel

#### 1. Collection of Evidence

The panel shall examine the evidence to determine whether or not academic fraud has been committed. Upon request of the panel, the party charged must turn over to this panel any information of the following types that has not previously been provided and that it considers relevant to the allegations of fraud raised by the case:

- i. research notes, papers and notebooks, logs, source documents, computer printouts, and machine-readable materials;

- ii. a list of all current and former collaborators and coworkers;
- iii. a list of published abstracts, papers, and books and copies of abstracts, papers, and books pending publication or review; and
- iv. a list of reports and grant applications submitted to outside foundations and funding agencies and copies of such reports and applications.

The panel may take written or oral evidence from any faculty or staff member and any student in the Institute and from any party outside the Institute. The panel shall give the party making the accusation, if she or he is available, the opportunity to provide evidence and to suggest witnesses. Judicial rules governing the admissibility of hearsay evidence, authentication of documents, and the like shall not govern the investigation of the panel except insofar as it chooses to adopt them. The proceedings shall be conducted in confidence to the extent possible.

Where confidential information is relevant to an examination of academic fraud, the party charged shall not be required to produce that information except in a form that preserves the confidential character of the information in question, unless a waiver can be obtained from the relevant parties protected by the promise of confidentiality. Summary data or intermediate tabulations shall be provided to the panel unless shown to violate the rights of privacy of other individuals.

## 2. Rights of the Person Charged

Copies of any written material or other exhibits presented to the panel shall be provided to the party charged or, when that is not feasible, made available to the party charged for inspection. The party charged is entitled to present evidence; to have the panel consider evidence by a reasonable number of witnesses; to be present when the panel is taking oral testimony from witnesses; and to examine any witness who presents evidence, oral or written, to the panel. The panel shall determine the extent to which the examination of witnesses by the party charged will be oral or written. When that examination is oral, the panel may limit the nature and the extent of the questioning permitted. When the evidence from witnesses presented to the panel is in writing, a copy shall be presented to the party charged for review and comment.

The party charged shall have the right to be accompanied by a lawyer or any other person at any proceeding in which the party charged has a right to be present. If the party charged wishes to have a lawyer present when appearing before the panel, then the party charged shall give the panel written notice in advance of the session at which the lawyer intends to be present. In the event that the party charged chooses to be accompanied by a lawyer, the panel must ask the Institute to provide it with a lawyer to assist it whenever the lawyer for the party charged is present.

## 3. Preparation of the Panel Investigation and Report

The panel may meet in executive session to prepare for the examination of witnesses and collection of evidence, to evaluate the evidence presented to it, and to prepare its findings and report. After reviewing all of the evidence, the panel shall base its conclusion on whether it is more likely than not that academic fraud has been committed. During the course of its work, the panel may consult with the Chief Academic Officer on Academic Fraud regarding the proper interpretation of these procedures or, when relevant, the policies of external funding institutions or agencies. The panel shall prepare a written report that summarizes in relevant detail the evidence presented and gives reasons for its findings on the question of whether academic fraud has been committed. When the party charged does not present to the panel evidence it requested, the report shall note whether the party charged claims that it was destroyed prior to the investigation or whether it was withheld under a claim of confidentiality or other privilege. The panel shall indicate whether it accepts the explanation offered by the party charged for the non-production of evidence, and the extent to which the unavailable

evidence affected its ability to make a finding on whether academic fraud has been committed. The panel shall be expected to make its final report within sixty days after it is formed. A copy of the report shall be forwarded to the President, and all records and evidence held by the panel shall accompany the report.

### C. Notice to Outside Parties

When the case has involved funding from an outside institution, the Chief Academic Officer shall insure that any report required by that institution is made to it by the Institute's Research Administration. The Chief Academic Officer shall also provide written notification of the outcome to the party that initially made the accusation. When a person charged has been found to have committed academic fraud under this section, then the Chief Academic Officer, as quickly as possible, shall insure written notice to all other appropriate outside persons, agencies, journals, and research institutions, including institutions with which the party found to have committed academic fraud is now or has been professionally affiliated. The notice to outside parties need not include the entire report of the panel and statement of the accused, but it should summarize the conclusions reached by the panel and the comments made by the party charged, and should indicate the status of any pending investigations. The report may indicate the Chief Academic Officer's belief that academic fraud may not have been confined to the single instance that has been reviewed and the reasons for its belief. Any notice sent may include statements that collaborators of the party found to have committed academic fraud are innocent of any fraud.

### ***Administrative Guidance***

The special panel is given the power to supplement and clarify the procedures in a manner that is consistent with the rules that are stipulated. The following statements of supplementation and clarification have been added in accord with these provisions from the Introduction and Procedures. The additions are organized into three types: (I) considerations that apply generally to execution of the procedures; (II) considerations applicable specifically to the Inquiry; (III) considerations applicable to the Investigation. A date at the end of each addition indicates when it was added. Additional statements will be added from time to time as the need arises.

I. General Considerations: The following statements of clarification and supplementation may refer to the Inquiry or the Investigation stages or to both, as may be appropriate to the particular case.

- a. The institutional officials conducting the Inquiry, and, if warranted, the Investigation, will take interim administrative actions as appropriate to protect federal and other funds and ensure that the purposes of any federal or other financial assistance are being carried out.
- b. It is critically important to protect the reputation of the person against whom a complaint is brought. If the Inquiry and/or the Investigation results in a dismissal of the charges, the relevant administrative officers should, with the approval of the Chief Academic Officer and President and the consent of the party against whom the charge was made, take reasonable actions that may serve to restore the reputation of the party charged. Such actions might include notifying individuals aware of or involved in the Inquiry or Investigation of its outcome and/or publicizing the outcome in any forum in which the allegation was previously made known.
- c. It is also critically important to protect the reputation of the person who brings an allegation in good faith (referred to as the "whistleblower" in some policy statements). Officers of the institution involved in a case will take reasonable actions to protect any such person and others who cooperate in good faith with inquiries or investigations, and to prevent any retaliation against them.

- d. Allegations not made in good faith put considerable strain on these already difficult and potentially career-threatening proceedings. If it can be substantiated that an allegation was not made in good faith, the administrative official involved in the Inquiry or the Chair of the special panel should notify the Chief Academic Officer and/or President who will determine if sanctions or any other administrative action should be taken against the person who initiated the bad faith allegation.
- e. Documentation and record retention are important for the successful management of this policy. All Inquiry reports and reports from the special panel, inclusive of records and evidence that accompany such reports, shall be kept for at least three years in the Office of the President. If an external agency that funds research at this institution requires that such documentation from a case where the research under investigation was funded by that external agency be given or made available to it, the documentation shall be provided to that agency in the manner that its regulations require.

II. Inquiry Phase. The Inquiry Phase is to be conducted by the administrative official to whom the charge is brought, in consultation with the Chief Academic Officer or President.

- a. The Inquiry Process should be completed in thirty days. This can be extended, with the approval of the Chief Academic Officer and President for up to thirty more days for good cause. Extension beyond sixty days must be entered into the records of the case and the respondent is to be notified of the extension. Reasons for extension beyond sixty days must be extraordinary, typically involving unavoidable unavailability of evidence.
- b. The person charged (sometimes referred to as the respondent) in the allegation is to be kept fully informed after all steps of the process. A copy of the written Inquiry Report will be shared with the respondent, in all cases. That is, whether the inquiry is dismissed or whether it is referred to the special panel.
- c. The President and the Chief Academic Officer should be notified of the outcome of the Inquiry in all cases where external funding is involved.

III. Investigation Phase. To be conducted by a special panel convened by the President.

- a. Imposing appropriate sanctions is addressed in the Policy on Academic Fraud, but some elaboration is useful. The President will receive the Report of the special panel, and will take appropriate administrative actions against the individual or individuals when an allegation has been substantiated.

## Intellectual Property Policy

The intellectual property policy of TTIC is specified in an IP policy document available on TTIC's intranet under [Academic Policies](#). We describe aspects of this policy here while noting that the policy is defined by the actual policy document and the summary here.

As an institution dedicated to research and education, TTIC's basic objectives in responding to and dealing with inventions and discoveries are to promote their disclosure, dissemination, and utilization for the greatest possible public benefit while protect the rights to patents and other intellectual property which inventors and the TTIC may have. TTIC also wishes to provide

positive incentives for people associated with TTIC to develop and bring forth Inventions, through an equitable allocation of rewards and responsibilities among such Inventors, TTIC, and any other organizations that may have sponsored or financed such activities.

TTIC has an inter-institutional agreement with the University of Chicago Center for Technology Development and Ventures (UChicagoTech) under which UChicagoTech can provide assistance to TTIC in particular IP cases where both parties agree to the arrangement. In those cases where UChicagoTech performs an IP function, such as writing a technology license or filing for a patent, UChicagoTech will receive a fraction of any income earned. Revenue arising from inventions shall be distributed as follows.

- In cases where UChicagoTech is involved UChicagoTech receives 100% percent of income earned up to the direct costs incurred by UChicagoTech and then 55% of income after direct costs. In this case TTIC receives 10% of income earned after direct costs.
- In cases where UChicagoTech is not involved TTIC receives 100% of income earned up to direct costs incurred by TTIC and 65% of income after direct costs.
- In both cases the inventor(s) receive 25% of income after direct costs.
- In both cases 10% of income after direct costs goes to research funding for the Inventor(s) as long as the Inventor(s) remain at TTIC. These funds are in addition to the regular funds available to TTIC and shall be used for direct support to the Inventor for his or her research or salary. If the Inventor(s) leave TTIC, these funds will be allocated to a fund under the direction of the TTIC President for the promotion of research.

TTIC employees will be asked to sign the following intellectual property agreement.

The TTIC Intellectual Property Policy states in part:

2.3 If an Invention or discovery is conceived or reduced to practice by a TTIC Principal Investigator, a TTIC employee, or anyone working under a TTIC-administered sponsored research agreement, that person must disclose the Invention or discovery to TTIC as prescribed by this policy and TTIC owns such Invention or discovery in accordance with Section 5.

5.1 Any Invention which is conceived, discovered, or reduced to practice by the Inventor during his term of association with TTIC or within six (6) months after said association ends shall be presumed to have been conceived as a result of the Inventor's use of TTIC facilities, funds, or other support. In the absence of sufficient evidence to the contrary, any such Invention is the property of TTIC.

### **Agreement**

As a condition of my employment or other involvement in research or other activities at The Toyota Technological Institute at Chicago (TTIC) or research or other activities carried out with substantial aid of facilities or funds administered by it (collectively, "TTIC research"), I hereby acknowledge my acceptance of the TTIC Intellectual Property Policy (the "Policy"), and I agree to assign and do hereby assign to TTIC all of my ownership, right, title, and interest in any Invention (as defined in the Policy) or discovery that I have conceived or reduced to practice, or that I conceive or reduce to practice in the future, including without limitation any patent and other intellectual property rights therein, whether I acquired those rights before signing this Agreement or acquire them in the future. I further agree to fulfill my obligations of disclosure and cooperation in the patenting and commercial development of any such Invention or discovery. Cooperation with patenting and commercial development efforts includes execution of formal papers

such as, for example, subsequent assignments. I agree that my obligations under this Agreement will extend to any periods of my employment or formal association with, or involvement in research or other activities at TTIC, notwithstanding any gaps in such employment or formal association, without need for me to sign a new copy of this Agreement.

I will promptly inform the TTIC President or his designee if I become aware of any consulting contracts or other contractual obligations to which I am a party or into which I intend to enter with any third party, organization, or corporation that contain provisions regarding rights in discoveries or inventions that are in conflict with this Agreement or the TTIC Intellectual Property Policy, and will not knowingly enter into such agreements in the future without obtaining the written consent from the TTIC President or his designee.

I hereby waive any objection to TTIC's use of an electronic version of this Agreement (including my electronic signature hereon) as a substitute for the original for any legally recognized purpose.

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

Signature: \_\_\_\_\_

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

## **Responsible Conduct in Research Policy**

Within 30 days of initial employment at TTIC a faculty member (regardless of title) must successfully complete (or provide proof of completion within the last ten years) Responsible Conduct of Research (RCR) training. TTIC's objective through RCR training is to verify that all faculty conducting research are fully informed about the basic rules that apply to responsibly conduct research- such as ethical considerations when performing research, or the permitted use of research funding, and so on. RCR training is designed to provide the TTIC research community with knowledge about expectations and protocol, enabling each member to be responsible in an academic research community.

At TTIC, RCR training is completed online through the CITI program. Faculty take the online course, and pass a quiz on the material, passing with an 80% or better. Test results will be relayed to the Office of Human Resources, and results are valid for up to ten years. [Instructions](#) for completing training may be found on the Intranet, under 'Policies.'

## **Networking and Information Technology**

### ***Eligibility and Acceptable Use***

TTIC provides information technology for educational, research, and administrative applications by its students, faculty, and staff. This policy balances the individual's ability to benefit fully from information technology and the Institute's need for a secure and reasonably allocated information-technology environment.

In general, Institute faculty, students, and staff may use Institute information technology (which includes privately owned computers connected to the Institute/University network) in connection with the Institute's core teaching, research, and service missions. Certain non-core uses that do not consume resources or interfere with other users also are acceptable. Under no circumstances may faculty, students, staff, or others use Institute information technology in ways that are illegal, that threaten the Institute's tax-exempt or other status, or that interfere with reasonable use by other members of the Institute community.

Violations of information technology rules and policies typically result in Institute and/or University disciplinary action, which may have serious consequences.

***TTIC reserves the right to prohibit or restrict any use of information technology of the Institute.***

### ***Principle***

Three general principles underlie eligibility and acceptable use policies for information technology:

1. Institute information technology is for Institute faculty, students, and staff to use for core Institute purposes.
2. Any use counter to this, or which interferes with core use by others, is unacceptable.
3. Some applications of Institute information technology are unacceptable even if they serve core purposes.

### ***Definition***

Institute Information Technology:

Any computer, networking device, telephone, copier, printer, fax machine, or other information technology which

- is owned by the Institute or University or
- is licensed or leased by the Institute or University
- is subject to Institute or University policies.

In addition, any information technology which connects directly to the Institute or University or the Institute data or telephone networks, uses Institute/University network-dialup facilities (the campus modem pool), connects directly to a computer or other device owned or operated by the Institute or University, and/or otherwise uses or affects Institute or University information technology facilities is subject to Institute and University information-technology policies, no matter who owns it.

### ***Restricted Applications***

Restricted applications of Institute information technology primarily include: those that threaten the Institute's tax-exempt status, such as certain kinds of political activity and most commercial activity; those that are illegal, such as fraud, harassment, copyright violation, and child pornography; those that deprive other users of their fair share of Institute information technology or interfere with the functioning of central networks and systems, such as mass mailings, chain letters, unauthorized high-bandwidth applications, or denial-of-service attacks; and those that violate more general Institute statutes, bylaws, and policies.

Disclaimers do not render restricted applications acceptable. The only recourse available to someone interested in such applications is to use non-Institute/University computers, networks, and other technologies.

## ***Sanctions and Procedures***

When any use of information technology at the Institute presents an imminent threat to other users or to the Institute's technology infrastructure, system operators may take whatever steps necessary to isolate the threat, without notice if circumstances so require. This may include changing passwords, locking files, disabling computers, or disconnecting specific devices or entire sub-networks from Institute, regional or national voice and data networks. System operators restore connectivity and functionality as soon as possible after they identify and neutralize the threat.

Telephones, computers, network connections, accounts, usernames, authorization codes, and passwords are issued to Regular Users and Special Users to identify them as eligible users of Institute information technology. Users are responsible for not sharing their privileges with others, and especially for ensuring that authorization codes and passwords remain confidential. Users of computers connected to the campus network, permanently or temporarily, are responsible for ensuring that unauthorized users do not thereby gain access to the campus network or to licensed resources.

Use of information technology that violates this Policy and rules based on it may result in disciplinary proceedings and, in some cases, in legal action. Disciplinary proceedings involving information technology are the same as those for violations of other Institute policies, and may have serious consequences. Unauthorized use of Institute information technology may result in police intervention or legal action.

## **Mentorship Policy**

TTIC's mentorship policy is described in more detail in a [mentorship policy document](#). Mentoring is often most successful when it happens naturally and informally. Faculty may not realize that mentoring includes informal ways of checking in with colleagues, reviewing papers and proposals, and providing introductions to key people in the field. When these informal relationships do not exist, pre-tenure faculty can be at a disadvantage unless the Institute provides a more formal mentoring structure.

Mentoring is both a formal and informal activity, and can address all aspects of academic life, from balancing professional and family obligations to advice about professional milestones that must be reached in order to advance through the ranks.

## **Travel Policy**

TTIC's travel policy is described in detail in a [travel policy document](#). The following basic principles underlie the Travel Policies and Procedures:

The Institute will reimburse the traveler for necessary and reasonable expenses incurred in connection with the performance of approved Institute business. The intent of this policy is that it be fair and equitable to both the traveler and the Institute.

These policies and procedures apply to all travel expenses paid by the Institute. However, travel paid for by grants and contracts may be subject to more restrictive travel regulations. Refer to individual grant and contract agreements for applicable policies.

Both the academic and administrative offices are responsible for ensuring that travel expenses do not exceed budgetary limitations. Individuals should be aware of specific requirements of the Institute. A copy of the Institute Travel Policy can be obtained from the TTIC Intranet site, under the Policies page.

Faculty members make their own travel arrangements directly or through an agency.

# **PERSONNEL MATTERS**

## **Persons with Disabilities**

In accordance with the Americans with Disabilities Act, the Institute shall provide, upon request, reasonable accommodations to an employee with a disability, in order to enable him/her to successfully perform the essential duties of his/her job. Faculty with a disability should contact Human Resources or the Chief Academic Officer.

## **Nepotism**

Faculty and staff members may not be in the position of supervising, directing or setting the pay for spouses, children, other close relatives, or Institute-registered, same-sex domestic partners.

## **Institute Policies on Drugs and Alcohol**

The federal Drug Free Workplace Act of 1988 requires that the Institute advise all employees about its substance abuse policy and that all employees follow that policy as a condition of employment.

The Institute prohibits all students and employees from the unlawful manufacture, possession, use, distribution, sale, or purchase of alcohol and illicit drugs on Institute premises or as part of any Institute activities, and from working under the influence of alcohol or illicit drugs. Any violation of this policy may lead to sanctions, including termination due to misconduct. The only exception to this provision applies to moderate consumption and/or possession of alcohol on Institute premises at approved functions (e.g., receptions) by those legally permitted to consume or distribute alcohol; any such function must comply with Institute guidelines for such an event.

In addition to this requirement, the Act mandates that an employee directly engaged in the performance of work under a federal grant or contract must notify his or her employer “no later than five days” after a conviction under any criminal drug statute for a violation occurring in the workplace. The Institute is then required by law to notify the federal contracting or granting agency of that workplace related conviction. Should any faculty members be required to notify the Institute of such a conviction, they should contact the Director of Operations.

The Institute recognizes both alcohol and drug abuse as potential health, safety and security problems and expects its entire faculty, staff and students to assist in maintaining a work environment free from the effects of alcohol or other drugs.

All employees are required to report to their jobs ready and able to work. If an employee may be impaired by medication taken according to a physician's prescription or the medication's directions, he or she is expected to discuss it with his or her supervisor.

Besides legal consequences, the unlawful possession, use or distribution of illicit drugs and alcohol and any violation of this alcohol and illicit drug policy may result in appropriate discipline under the student disciplinary system or the employee corrective action procedure. Employees

may receive sanctions up to and including discharge from employment. The Institute, if appropriate, may also refer students or employees for criminal prosecution.

For both students and employees, the Institute retains full and final discretion on whether, when, and under what conditions a student may be reinstated or an employee returned to employment after an instance of alcohol abuse or improper drug use. The particular sanction in a given case will depend on a variety of factors, such as the nature of the violation, the seriousness of the offense, and the prior record of the individual or organization, and may include the successful completion of an approved rehabilitation or chemical dependency program.

In order for the Institute to comply with federal law, any employee (including student employees) convicted of any violation of any criminal drug statute (including misdemeanors) for a violation occurring either on Institute property or during working time must notify Human Resources within five days of the date of conviction. A conviction includes any plea or finding of guilty, any plea of *nolo contendere* (no contest), and/or any imposition of a fine, jail sentence, or other penalty. Pursuant to federal law, if the convicted employee is working on a project funded through a federal grant or contract, the Institute is required to notify the relevant federal contracting or granting agency within ten days of receiving such notice of conviction.

The Institute has the right to take any necessary action to protect the health, safety, and security of the affected individual and other members of the Institute community, including deciding whether, when, and under what conditions a student may be reinstated or an employee may be returned to employment after an instance of alcohol abuse or improper drug use.

## **Non-Smoking Policy**

In accordance with regulations promulgated by the City of Chicago, and the State of Illinois, TTIC and the University of Chicago are smoke-free environments, therefore smoking is prohibited in all buildings owned and operated by TTIC and the University of Chicago. Smoking is permitted outside a building but not within fifteen feet of the entrance.

## **Harassment**

### ***Policy and Definition of Harassment***

TTIC is committed to maintaining an academic environment in which its members can freely work together, both in and out of the classroom, to further education and research.

The Institute cannot thrive unless each member is accepted as an autonomous individual and is treated civilly, without regard to his or her sex or, for that matter, any other factor irrelevant to participation in the life of the Institute. Members of the Institute should understand that this standard must shape our interactions regardless of whether it is inappropriate even though not “illegal”; speech can be offensive even though allowed.

The Institute is also committed to the uninhibited, robust and wide-open pursuit of ideas. Great care is taken neither to stifle that pursuit by a multitude of rules, nor to make it “dangerous” to speak one’s mind.

At the same time, every member of the Institute community must recognize that harassment compromises the integrity of the Institute, its intellectual freedom, and the trust placed in its members. It is the intention of the Institute to take all necessary actions to prevent, correct, and,

where indicated, discipline sexual harassment and harassment based on a person's protected status.

Harassment consists of unwelcome conduct, whether verbal, physical or visual, that is based upon a person's protected status such as sex, color, race, religion, national origin, age, physical or mental disability or other protected status group.

Sexual harassment deserves additional comment. Sexual advances, requests for sexual favors, or sexually-directed remarks or behavior constitute sexual harassment when:

1. Submission to or rejection of such conduct is made, explicitly or implicitly, a basis for an academic or employment decision, or a term or condition of either; or
2. Such conduct directed against an individual persists despite its rejection; or
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's academic or professional performance by creating what a reasonable person would view as an intimidating or hostile environment.

A person's subjective belief that behavior is offensive, intimidating or hostile does not make that behavior sexual harassment. The behavior must be objectively unreasonable. Moreover, expression occurring in an academic, educational or research context is broadly protected by academic freedom. Such expression will not constitute sexual harassment unless (in addition to satisfying the above definition) it is targeted at a specific person or persons, is abusive and serves no bona fide academic purpose.

Sexual harassment by any member of the Institute community is prohibited. This prohibition includes same sex harassment and peer harassment among students, staff or faculty. Sexual harassment by a faculty member, instructor, or teaching assistant of a student over whom he or she has authority, or by a supervisor of a subordinate, is particularly serious.

Sexual harassment can take many forms. Some of these are overt and unambiguous while others may be more subtle and indirect. Direct forms of sexual harassment include sexual assault and sexual advances accompanied by an offer or reward or threats of reprisal. Even a single instance of such behavior constitutes serious misconduct. Other forms of sexual harassment include sexual advances, physical or verbal that are repeated and unwanted. Behaviors such as unwanted touching or persistent and unwelcome comments, e-mails or pictures of an insulting or degrading sexual nature may constitute sexual harassment, depending upon the context in which the behavior occurs.

Romantic relationships that might be appropriate in other contexts may, within an academic institution, create the appearance or fact of an abuse of power or of undue advantage. Moreover, even when both parties have consented at the outset to a romantic involvement, such consent does not preclude a subsequent charge of sexual harassment against the instructor or supervisor. Because of its relevance to sexual harassment, the Institute's policy on consensual relations in cases where one person has educational or supervisory authority over another is reproduced under Policy on Consensual Relations between Faculty and Students.

### ***Procedures for the Resolution of Complaints***

The Institute's procedures for handling incidents of harassment place a strong emphasis on resolving complaints informally. The procedures include advising and mediation. It is important to note that the procedures do not preempt other formal or informal channels available within the Institute.

Without feeling constrained by specific definitions, any person who believes that his or her educational or work experience is compromised by harassment should feel free to discuss the

problem with a faculty member or supervisor and, if desired, to request that faculty member or supervisor to speak informally to the person complained about. If this does not resolve the matter, or if the individual prefers, he or she may make use of any or all of the three avenues listed below for resolution.

The Institute prohibits reprimand or retaliation against anyone for reporting harassment, assisting in making a harassment complaint, or participating in a harassment investigation. Any person who believes they have been retaliated against is also to discuss the problem with a faculty member or supervisor, or make use of any of the following three avenues.

### ***Advising***

An individual who feels he or she has been harassed may bring the matter to a complaint advisor whose role is to discuss with the complainant how to proceed (for current advisors, refer to the directory found on the TTIC intranet). The advising is intended to provide a forum for free and open discussion between the complainant and the advisor. Consequently, no record will be kept of the advising conversation other than an incident report that will not contain the names of either the complainant or the accused and that will be used only to keep a yearly record of the number of different types of reported incidents. Every attempt will be made to protect the privacy of the individuals involved in a conversation about harassment.

A complaint advisor(s) will be selected and supervised by the Administrative Office. The advisor(s) will be required to participate in a program designed to make him or her familiar with the issues involved in dealing with harassment cases.

### ***Mediation***

When a complaint is brought to a complaint advisor, the complainant may ask for a mediated resolution between him- or herself and the accused. The goal of the mediation procedure is to provide a forum where the complainant and the accused can, with the aid of a third party, come to a mutually agreed upon resolution. Consequently, mediation will occur only if both the complainant and the accused are willing to participate in the process. The Complaint Advisor may serve as mediator or suggest a third party such as a faculty member of the Harassment Panel (see below) to act as mediator.

### ***Formal Hearing***

Any person who wishes to discuss a possible complaint of harassment should feel free to use the informal advising and mediation avenues described above. But either the complainant or the accused may at any time ask that the matter under discussion be handled formally rather than informally.

### ***Procedures for Formal Hearing***

Once a hearing has been requested, the Harassment Panel will move to comply as quickly as possible. The Panel typically consists of faculty member(s) and administrative officer(s) including the complaint advisor. The Panel members are appointed by the Director of Operations of the Institute. When the case involves a student, the Panel will include the Student Ombudsman (as a non-voting student member).

It is the task of the Panel to determine the facts. At any time in its proceedings the Panel may decide that the complaint should be rejected as clearly unfounded. The Panel will be provided with written statements from the complainant and the accused and, if necessary, will interview persons with knowledge bearing on the matter, including the complainant and the accused. The proceedings will be kept confidential.

If the complaint is found to have merit, the Panel will relay its findings to the Director of Operations who will take appropriate action (for example, a reprimand, a leave of absence without pay, or an invocation of statutory procedures for termination). If the complaint is found to lack merit, or if the facts cannot be established, the complaint will be dismissed. Whatever the outcome, both parties must be informed of the Panel's findings and the Director of Operations' action.

A report of a justified complaint, including the action, is placed in the official file of the individual accused. This file is kept with Human Resources.

## **Consensual Relations between Faculty and Students**

Because those who teach are entrusted with guiding students, judging their work, giving grades for papers and courses, and recommending students to colleagues, instructors are in a delicate relationship of trust and power. This relationship must not be jeopardized by possible doubt of intent, fairness of professional judgment, or the appearance to other students of favoritism. Supervisory employment relations involve similar obligations of fairness and seeming fairness in the management and evaluation of employees.

One of the unstated tenets of our policy and our commitment to a climate free from sexual harassment has been the view that it is unwise and inappropriate for faculty or other instructors who have romantic relations with students to teach such students in a class, supervise them in research or graduate work or recommend them for fellowships, awards, or employment, or for employees who have romantic relations with employees under their supervision to maintain their supervisory status.

Despite best intentions, such romantic relationships may sometimes develop. Prudence and the best interest of students and employees dictate that in such circumstances [of romantic involvement], the faculty member, instructor or supervisor should promptly report the relationship to the the Chief Academic Officer, or an administrative supervisor, who will then help find other instructional or supervisory arrangements in a way that safeguards the welfare of the student or subordinate. Such alternatives may include, for example, ceasing to have the student take courses with the instructor or moving the subordinate employee to a different reporting relationship. Faculty and supervisors should keep in mind that initial consent to a romantic relationship does not preclude a charge of sexual harassment in the future.

### ***An Additional Word of Caution***

In the eyes of the law, when an institution knows or should have known about a sexual harassment problem involving a supervisor (faculty, or non-academic staff) and a supervisee (faculty, non-academic staff, or student), the institution can be legally liable for that harassment. An institution is considered "knowing" when a faculty member, Chief Academic Officer or administrative supervisor/manager has actual or constructive knowledge of sexual harassment of a supervisee by a supervising individual.

Examples of supervisor/supervisee relationships include, but are not limited, to the following: a faculty advisor and a doctoral student; a principal investigator and a postdoc; a staff member and a subordinate employee. Even if appearances suggest to a faculty member, Chief Academic Officer or administrative supervisor/manager that no party directly involved in the relationship currently objects to it, the relationship may pose problems for others supervised by the supervisor. In the future, should the relationship fail, serious problems may arise: as stated in our policies, consent at an earlier period does not preclude a charge of sexual harassment later, if the

individuals were in both a supervisor/supervisee and a romantic relationship. Faculty members, Chief Academic Officers and Administrative supervisor/managers are urged to discuss any potential problems with the President.

## Faculty Evaluation

All tenure-track faculty will receive an annual performance evaluation by the Chief Academic Officer and the President.

Each faculty member submits a form in June of each year listing academic accomplishments and professional activity. This form serves as a data reference for both the institute's annual report and the annual faculty evaluation. This form collects data for the following items:

- Flagship Conference publications
  - Theory: STOC, FOCS, SODA, CCC, CRYPTO
  - Learning/AI: NIPS, ICML, COLT, UAI, AI
  - Vision: CVPR, ECCV
  - Comp Bio: Journals, RECOMB, ISMB, AISTAT
  - Comp Linguistics: ACL, EMNLP, CoNLL, NAACL
- Other Papers at conferences and workshops
- Journal Papers
- Major Talks
- Minor Talks
- Major Service Items
- Minor Service Items
- Honors or Awards
- Grants and Contracts
- Classes Taught
- Miscellaneous

The Chief Academic Officer and President meet each August to determine faculty evaluation and salary adjustments. The CAO will provide an evaluation letter to each faculty member providing feedback on academic accomplishments and noting any salary adjustment. All raises become effective October 1, and records of evaluations are kept in the employee's personnel file.

## Faculty Promotion and Tenure

Candidates for promotion and tenure will be evaluated objectively for evidence of excellence in their performance of assigned duties and in their scholarship or creative activity. Each of these responsibilities will be documented in a dossier.

TTIC is committed to educating and expanding and applying knowledge. The responsibilities of individual faculty in relation to these fundamental commitments will vary and will be specified in his or her individualized position description.

All faculty are expected to be collegial members of the Institute, and to perform appropriate service that contributes to the effectiveness of the Institute, and of their professions.

TTIC's Promotion and Tenure policy may be found on the internal Intranet under [Academic Policies](#), and details specific expectations for faculty promotion and tenure.

# Sabbatical Leave

The sabbatical program of the Institute is designed to ensure that faculty members may be relieved periodically from normal teaching and other duties to pursue scholarship and professional development. The faculty member should devote himself/herself to a creative activity that will contribute to his/her professional stature as a scholar, researcher, and/or teacher and his/her value to TTIC.

To be eligible, a faculty member must:

1. Be full time
2. Be tenured at TTIC
3. Have completed at least six years of service to TTIC
4. Have at least six years of service between consecutive sabbaticals.

The full sabbatical policy and procedure to apply for sabbatical status can be found on TTIC's Intranet site under [Benefits Policies](#).

## “Stopping the Clock” on Review for Promotion

### ***For Parenting Responsibilities:***

A tenure-track Assistant Professor who becomes the parent of a child by birth or adoption will automatically be granted a one-year extension of the current term appointment for each pregnancy or adoption if the faculty member has equal or primary care giving responsibilities. This applies to both men and women and includes same-sex, registered domestic partners. The Assistant Professor must notify the Chief Academic Officer (CAO) of the birth or adoption in advance, and the CAO is asked to notify Human Resources so that proper records for the tenure case are maintained.

Faculty members have the right to opt out of the automatic term extension granted for childbirth or adoption, by providing this intention in writing to the Chief Academic Officer who will in turn provide it to Human Resources.

Where both parents are tenure track Assistant Professors and both share equally in care giving responsibilities, both will be granted a one-year extension as described above.

### ***For Personal Illness Or Care Giving Responsibilities:***

A one-time term extension for tenure-track Assistant Professors may be considered in the following circumstances: caring for a sick or disabled immediate family member or the illness or disability of the faculty member. Requests to “stop the clock” in these circumstances are to be made in writing to the Chief Academic Officer as soon as the circumstances justifying the request are known. All such requests will be granted at the discretion of the Dean.

## Discipline

Discipline is ordinarily handled at the lowest level possible. In the case of faculty misconduct, the Chief Academic Officer may be asked to investigate the matter and respond appropriately. If the matter is of a more serious nature, it normally will be investigated by the President. The Chief Academic Officer or President may opt to refer the matter to a faculty committee for investigation and consultation.

Issues of sexual harassment, academic fraud, and conflict of interest will be investigated by the respective standing panel or committee in accordance with those specific policies.

## **Military Service**

TTIC adheres to all current laws that apply to employees who are active in the military reserve or National Guard and are called to military reserve training, or are a member of the armed forces and are called to active duty. When called for training or active duty, the faculty member is expected to notify the Chief Academic Officer immediately of the date he or she is to report. Military leave will be provided in accordance with Title 38 U.S.C. 4301-4333, The Uniformed Service Employment and Reemployment Rights Act (USERRA) and State of Illinois statutes.

## **Jury Duty**

When faculty members are summoned to appear for jury duty, they are responsible for notifying the Chief Academic Officer immediately. On those days when appearance in court is not required, faculty are expected to fulfill their faculty responsibilities. The Institute will continue salary during the active period of jury duty. Faculty may keep the court's compensation and reimbursements for travel expenses.

## **Vacation Policy**

The vacation policy for faculty is flexible. Vacation time is generally expected not to exceed one week for every three months of employment on average. Faculty who exceed this level of vacation may be deemed to be failing to perform their duties at the Institute.

## **Grievance Procedures**

Normally, if a faculty member wishes to make a formal grievance, he or she should write a letter to the Chief Academic Officer. The Chief Academic Officer, after investigating the matter, may render a decision. If the faculty member is not satisfied with this outcome, the matter may be appealed, in writing to the Dean.

The Dean will look into the matter and inform the faculty member of the decision. The Chief Academic Officer or Dean may, when appropriate, refer the grievance to a committee for review and recommendation.

# HEALTH BENEFITS AND ISSUES

## Health Insurance Policies

### ***Medical, Dental and Vision Insurance***

Medical, dental and vision coverage is available through the Institute to all benefits-eligible employees, who may also enroll their spouses and dependent children. Faculty are eligible for this coverage as of date of hire. Employees may select between an HMO, PPO or HSA plan for the medical insurance. To be covered under these plans, employees must enroll within thirty days of employment or during the annual Open Enrollment period.

The cost of the health insurance is shared between the employee and the Institute. The employees' contributions are eligible to be taken on a pre-tax basis, and are automatically deducted from monthly salary checks. Further details on the insurance plans, the current premium rates, and summary plan descriptions are available on the intranet and from the Office of Human Resources.

### ***Short-Term Disability and Long Term Disability Programs***

The Short Term Disability plan (STD) provides faculty if they are disabled and cannot work, with a portion of their salary for a maximum of thirteen weeks. Premiums are paid in full by the Institute.

Long-Term Disability (LTD) benefits for faculty begin after three months of continuous disability. Premiums are paid in full by the Institute.

### ***Group Life Insurance***

The Institute provides basic life insurance to all benefits-eligible faculty at no cost, beginning on the date of hire. Complete information on the coverage provided by the plan is available from the Office of Human Resources.

### ***Flexible Spending Account***

The Institute offers a Flexible Spending Account Plan, which allows employees to set aside a portion of their earnings on a pre-tax basis. This money can then be used in the upcoming year for qualified out-of-pocket medical. Details and enrollment materials are available on the intranet and from the Office of Human Resources.

## Emergency evacuation procedures for person with disabilities

Employees with disabilities requiring assistance with emergency evacuation from a building can voluntarily self-identify if they need assistance during an emergency. This information can be submitted to Human Resources.

The following procedures should be followed by an employee with a disability in the case of an emergency evacuation from the building:

Upon hearing a fire alarm and/or being instructed to evacuate the building, if on the ground floor of the building exit by normal means;

If above or below the ground floor relocate or be moved to an area of rescue assistance, the safest area located on each floor in the building to await assistance from emergency response personnel. **DO NOT USE ELEVATORS;**

A listing shall be posted in every building, on each floor identifying the locations of the areas of rescue assistance. These locations are communicated with the Chicago Fire Department during pre-planning tours to enable faster assistance during an emergency event;

If you cannot access an area of rescue assistance, then proceed to the nearest set of exit stairs that have doors which separate the stairs from the hall corridor. Enter the exit stairwell and wait there for assistance and have someone advise the Chicago Fire Department, University Police or Chicago Police Department of your location;

If using a stairwell, attempt to position yourself so that you will not block pedestrian's paths who may be accessing the exit stairwell; and  
The Chicago Fire Department shall be responsible for evacuating all persons with disabilities from the building, unless prior special arrangements have been made with the individual.

## **Parental and Child Care Leaves**

### ***Parental Leave Policy***

*Full-time faculty members on regular three-quarter appointment are eligible after twelve months of employment.*

A faculty member who gives birth, or her spouse or Institute-registered domestic partner, if he/she is the child's primary care giver, may take a one-quarter leave without loss of salary or benefits within one year of the arrival of the child. Similarly, an adoptive parent who is the primary care giver may take a one-quarter leave without loss of salary or benefits within one year of the arrival of the child.

The primary care giver is the parent responsible for the majority of the child care.

Where both parents are members of the faculty, only one may seek parental leave at a time. The parental leave may be split between the two, but may not exceed one quarter total for the two.

The faculty member(s) should discuss his or her leave plans with the Chief Academic Officer a minimum of three months before the proposed leave.

### ***Child Care Leave (For Parents Not Taking Parental Leave) and Caregiver's Leave***

*For all full-time faculty eligible after twelve months of employment*

A faculty member not taking parental leave, who is giving birth, adopting a child or receiving a foster child placement may request a leave without salary of up to twelve weeks for the purpose of caring for the child.

Similarly, a faculty member not taking parental leave, whose wife or Institute-registered, same-sex domestic partner is giving birth may arrange for an unpaid leave of absence for up to twelve

weeks. This leave must be taken within twelve months of the birth, adoption, or placement. The faculty member who anticipates a child care leave should discuss the plan with the Chief Academic Officer at least three months in advance, if possible.

A faculty member may request an unpaid leave of up to twelve weeks to care for a spouse; Institute-registered, same-sex domestic partner; child; or parent with a serious health condition. The employee should discuss the proposed leave with the Chief Academic Officer as far in advance as possible.

Health insurance benefits may be maintained during these leaves by arranging to continue the employee contribution to premiums.

### ***Rearrangement of Teaching Duties for Full-Time Faculty Members on Regular Three-Quarter Appointment***

Rearrangement of teaching duties is available only to spouses and Institute-registered, same-sex domestic partners of the faculty member giving birth.

In lieu of parental leave, the faculty member may request rearrangement of his or her course teaching schedule within 12 months of birth or adoption, in order to have a quarter free from classroom teaching. Likewise, a faculty member who receives a foster child placement may request rearrangement of his or her course teaching schedule within 12 months of the placement

Such a request is subject to the approval of the Chief Academic Officer. Over the course of the academic year, the faculty member is expected to teach the full complement of courses. During the non-teaching quarter, the faculty member is expected to continue other departmental and university responsibilities, including research, committee membership and advising. Because this is a rearrangement rather than a suspension of duties, it does not constitute leave.

## **Sick Leave and Long-Term Disability**

Faculty members do not accrue sick leave. If illness or disability prevents a faculty member from performing his or her Institute obligations, the employee must make arrangements with the Chief Academic Officer to ensure that all responsibilities are met for the current quarter. If the illness or disability persists, the Chief Academic Officer should be contacted and the appropriateness of utilizing the LTD program assessed, coordinating with the Administrative Office.

## **General Leave Policies**

The following policies apply to all leaves taken (parental, maternity, child care, health condition (self), health condition (family member), military).

Entitlement to leave is limited to twelve weeks per twelve month period calculated from the beginning of the last leave. Leaves terminate at twelve weeks or as of the date specified in the leave request. Leaves are granted on a rolling twelve-month basis, meaning each time a leave is used, the remaining leave entitlement would be any balance of the twelve weeks that has not been used during the immediately preceding twelve months.

Employees returning from leave are entitled to return to the same or equivalent job with the same pay and benefits held prior to the leave.

Upon exhaustion of the twelve weeks in a rolling twelve-month period, any additional leave will require acceptance onto long-term disability insurance or a written request for a personal leave of absence, which must be approved in writing by the Chief Academic Officer and submitted to Human Resources.

Health insurance benefits will continue during the leave on the same basis as when the employee was actively at work.

Misrepresentation in requesting a leave may result in disciplinary action, including discharge.

## **Emergency Medical Care**

The University of Chicago Hospitals operates an Adult Emergency Department (702-6250) and the Comer Children's Hospital Emergency Department (702-6249). Emergency telephone consultation can be obtained by calling either emergency room. Refer to the University of Chicago Hospital's website for further information ([www.uchospitals.edu](http://www.uchospitals.edu)).

Please note that prior approval from one's health plan or a notification call to the health insurance company within a certain time frame subsequent to the emergency room visit may be necessary. Review the Blue Cross Blue Shield policies or consult the TTIC Office of Human Resources.

## **OTHER BENEFITS**

### **401(k) Retirement Plan**

Benefits-eligible faculty may enroll in the 401(k) plan offered by TTIC per the plan's enrollment policy.

The 401(k) provides a vehicle for employees to direct part of their pre-tax or post-tax salary to a retirement account. The pre-tax option reduces taxable income and enables retirement savings to grow tax deferred until withdrawn. The post-tax option allows employees to withdraw the money at retirement, and pay no taxes on that money. The amount the employee elects to contribute to their account is automatically deducted monthly from their paycheck and invested directly into their 401(k) account. In addition, the Institute makes a competitive contribution to each employee's account.

More detailed information is available from the Office of Human Resources.

### **Official Institute Holidays**

The Institute has eight official holidays:

- New Year's Day – January 1<sup>st</sup>
- Martin Luther King, Jr. Day – 3<sup>rd</sup> Monday in January
- Memorial Day – Last Monday in May
- Independence Day – July 4<sup>th</sup>

Labor Day – First Monday in September  
Thanksgiving Day – Fourth Thursday in November  
Day after Thanksgiving Day – Fourth Friday in November  
Christmas Day – December 25<sup>th</sup>

All UofC buildings, including the TTIC offices, are locked on these days and a keycard must be used to gain entry.

## **Tuition Benefits**

TTIC offers a tuition assistance benefit to support the college education of children of faculty members. Please contact the Office of Human Resources for the current policy, eligibility requirements and procedures, or the Intranet under [Benefits Policies](#).

## **Immigration Assistance**

TTIC is eligible to sponsor J-1, J-2 dependent, H1-B and H-4 dependent visas and permanent residency (Green Card) applications.

At its discretion, the Institute will negotiate individually with regular faculty (tenured or tenure track) concerning the issue of providing monetary support for the process of obtaining a Green Card.

Once a new faculty member has provided the Institute with written confirmation of their acceptance of the Institute's offer of employment, the processing for the visa may begin. This can be a long and involved process and faculty should expect and plan for how this may affect their actual starting date at the Institute.

For assistance with visas and immigration regulations and procedures please consult the Office of Human Resources.

## **Property Insurance**

The Institute does not insure the property of its employees, whether it is located on or off campus. Arrangements for coverage of personal property should be made with an insurance agent.

## **Identification Cards/ Building Access/ Key Cards**

Faculty members who are granted a joint appointment with the University of Chicago are eligible for a UChicago ID card, available from the Office of ID and Privileges, first floor of the Regenstein Library, during normal business hours. Research Assistant Professors are eligible for a UofC Campus Card.

To use the ID card as a key card, bring the card to Human Resources, and the UChicago and Campus Cards will be programmed to allow 24/7 access to the 6045 S. Kenwood Building and the TTIC office area. After normal working hours in the evenings, on weekends and on Institute

holidays, the keycard must be used to gain access. Doors are generally unlocked from 8:00 AM – 5:00 PM Monday through Friday.

The ID and Privileges Office charges a \$20.00 replacement fee for ID cards that are lost or stolen.

## Secure Bike Parking

No bikes are allowed in the TTIC space at 6045 S. Kenwood.

The bike parking is in the basement of 6045 S. Kenwood. Complete the form (available on the TTIC Intranet [under HR Policies](#)) and submit it as instructed. Your keycard will be programmed to allow entry off of the alley at the east end of the building.

## Computing Services and Facilities

A broad range of computing facilities and technology services are offered for faculty. Some of these services are provided in conjunction with those offered by the UofC for their faculty. Faculty should consult with TTIC's Director of IT for all inquiries.

IT Services is the UofC organization that supports instruction, research, and academic administration through an evolving network-based client/server environment, including campus-wide, server-based communication services, such as electronic mail services, information-based infrastructure, and instructional technologies.

All members of TTIC are additionally responsible for compliance with University of Chicago [policies and regulations](#) regarding IT Services.

## Library Privileges

Faculty has full access to the University of Chicago Libraries. The Institute fully subsidizes the privilege fees and orders the library card for new faculty. Included in the Library Privileges are borrowing privileges on a quarterly loan basis and full access to electronic resources of the libraries. Learn more about the library, borrowing privileges and services here: [www.lib.uchicago.edu](http://www.lib.uchicago.edu)

Library cards will be distributed to faculty upon receipt from the University.

Spouses of faculty may also register for library privileges for a fee. The institute will not pay the fee for spouse registration. The faculty member may register their spouse through the following procedure: Send an email to [IPO@uchicago.edu](mailto:IPO@uchicago.edu). Include in the email the following information: Identification as a TTIC faculty member at the affiliate level and name of spouse.

The registration will be processed through the University library system, whereby instructions on payment procedures will be provided.

For information about the research holdings and services of the Library, faculty may consult a reference librarian, the bibliographer serving the particular academic discipline and/or the Library's web pages at [www.lib.uchicago.edu](http://www.lib.uchicago.edu). An orientation newspaper entitled "An

Introduction to the University Library” is published each autumn and is available at each library location.

## University of Chicago Libraries

### **Joseph Regenstein Library**

*Humanities, social sciences*

<http://www.lib.uchicago.edu/e/reg/>

1100 East 57th St., Phone: 2-8740

### **William Rainey Harper Memorial Library**

*Undergraduate*

<http://www.lib.uchicago.edu/e/harper/>

1116 East 59th St., Phone: 2-7959

### **John Crerar Library**

*Science, medicine, technology*

<http://www.lib.uchicago.edu/e/crerar/>

5730 South Ellis Ave., Phone: 2-7409

### **Chemistry Library**

*Organic, physical, and theoretical chemistry*

<http://www.lib.uchicago.edu/e/chem/>

5745 South Ellis Ave., Phone: 2-8775

### **Eckhart Library**

*Mathematics, statistics, computer science*

<http://www.lib.uchicago.edu/e/eck/>

1118-32 East 58th St., Phone: 2-8778

### **D'Angelo Law Library**

*U.S., foreign, and international law*

<http://www.lib.uchicago.edu/e/law/>

Address: 1121 East 60th St., Chicago, IL

Laird Bell Quadrangle, 2nd floor

Phone: 2-9615

### **School of Social Service Administration Library**

*Social welfare, social work*

<http://www.lib.uchicago.edu/e/ssa/>

Address: 969 East 60th St., 1st floor

Phone: 2-1199

### **Yerkes Observatory Library**

*Astronomy, astrophysics*

<http://www.lib.uchicago.edu/e/yerkes/>

Address: Williams Bay, Wisconsin

### **The Joe and Rika Mansueto Library**

*Interdisciplinary*

1100 East 57th Street Phone: 2-0901

## Transportation

TTIC faculty is able to utilize the UofC transportation system. Faculty eligible for a UChicago ID card (those with joint appointments with the University) may ride the campus buses for free by showing the UofC ID card. All others must pay the bus fare.

The UofC offers a series of bus services: the Midway Shuttle, the Daytime Campus Bus, the Evening Bus, and the Downtown Express service. Schedules and routes are subject to revision. For further information on these and other University transportation services, go to [http://safety-security.uchicago.edu/services/cta\\_buses/](http://safety-security.uchicago.edu/services/cta_buses/).

## Parking

The UofC Parking Office is responsible for parking lot assignments, parking permit distribution, collection of fees and fines, and enforcement of parking rules and regulations on all University-owned properties. Parking spaces are available on a first come first-serve basis to any member of the faculty, staff or student body.

Please refer to the University website for location of parking lots and permit application procedures. At the corner of 60<sup>th</sup> Street and Stony Island Avenue is a City of Chicago parking lot that is free of charge, and no permit is required.

## Safety on Campus

The University of Chicago Police Department operates twenty-four hours a day to serve and protect the University and Institute faculty, staff, students, and community. The University Police encourage faculty and all members of the community to use any of the more than 100 white emergency telephones installed throughout the neighborhood in areas with considerable foot traffic by students, faculty, and staff. The phones provide a direct line and alarm signal to the University Police.

In case of an incident requiring city police response, the University Police Department summons the Chicago Police Department. If faculty witness or are involved in an incident, they are urged to call the University Police or, if more convenient, the city police/fire emergency number 911.

<b>UCPD Emergency/Non-Emergency</b>	<b>773.702.8181</b>
<b>UCPD Emergency From On-Campus Phone</b>	<b>123</b>
UCPD Community Services	773.702.6008
UCPD Investigations	773.834.7103
Email	cops@uchicago.edu
Fax	773.702.1828
<b>Chicago Police and Fire Emergency</b>	<b>911</b>
<i>Non-Emergency and General City Services</i>	311

### **Safety Awareness**

[Common Sense](#), a publication with information about protective services and safe means of transportation on and off campus.

### **cAlert Program**

cAlert is the University of Chicago's electronic emergency notification system. This system will enable authorized University officials to reach members of the University community through email, cell phone text, or phone call, however you designate. The new system can transmit short notifications by email to any outside email address, by text message to a cell phone, or by voice message to an off-campus telephone. The information in the emergency notification system will be used only in case of emergency, a University closing, or some other event that requires rapid, wide-scale notification of the community. Visit [cAlert online](#) to register.

### **Late Night Transportation Services**

The late-night transportation services consist of [UGo night shuttles](#), and an [escort service](#) provided by the University of Chicago Police Department.

### ***Safety on an Urban Campus***

Being aware of your surroundings and being prepared for unexpected situations go hand-in-hand with city life. TTIC encourages you to make safety practices a part of your daily routine to help keep you safe and protect your personal belongings from theft.