

Toyota Technological Institute at Chicago



STUDENT HANDBOOK

September 2017

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INTRODUCTION

The Toyota Technological Institute at Chicago (TTIC) is a community of scholars dedicated to research, academic excellence, and the pursuit and cultivation of learning. TTIC strives to provide an intellectually and socially vibrant institute that offers a safe and supportive environment for all. Each of us plays a role in preserving this environment, and this handbook describes the privileges and responsibilities that we grant to our students as members of the TTIC community. The Student Handbook is the official statement of Institute policies and regulations, and expected standards of student conduct that are applicable to all students.

The primary purpose of policies and regulations, and the articulation of expected standards of student conduct, is to further the mission of the Institute and to protect the well-being of the community. These policies and regulations enable all the members of the Institute to function as a community and respond to situations that threaten or violate that community.

Policies and regulations are to be understood in the larger context of the functioning of TTIC and with sensitivity to the reality that TTIC is not an abstract entity, but rather a sum of its individual units and community members. Rigid conformity to and narrow application of policies and regulations without taking into account the larger context of the functioning of TTIC are not appropriate in our academic community. Policies and regulations are often not more specific than necessary and often are general enough to allow TTIC to respond to situations in their unique complexities and take into account varying situations. As such, they provide a broad framework that is designed to create a level of consistency. TTIC will create new policies and procedures and modify existing ones to address new issues and questions, and to reflect the evolution of our community and the larger society within which our community exists.

The contents of this manual do not create a contract between any individual and TTIC. The contents of the manual are subject to change from time to time at the sole discretion of the Institute, and updated information may be distributed regarding policy and regulation changes, accordingly.

It is important that you take time to familiarize yourself with the materials in this handbook. Let us know if you have any questions, or if you have suggestions for how this handbook can be improved.

I. INSTITUTION MISSION AND GOALS

*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. Alone, not one of the criteria above is 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. TTIC primarily endeavors to produce PhDs who achieve academic impact throughout their careers. The institute's aims 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 PhD graduates at high-quality research institutions. TTIC also strives to make its PhD 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 utilize 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.

II. GENERAL POLICIES

Statement of Non-Discrimination

In admissions, employment and access to programs, TTIC considers students on the basis of individual merit and without regard to race, color, religion, gender, gender identity, gender expression, sexual orientation, national or ethnic origin, ancestry, age, disability, genetic information, pregnancy or perceived pregnancy, or other factors irrelevant to participation in the programs of the Institute.

TTIC will endeavor to provide reasonable accommodations to students with disabilities in accordance with applicable law.

Civil Behavior in a Higher Learning Environment

At TTIC, freedom of expression is vital to the shared goal of the pursuit of knowledge, as is the right of all members of the community to explore new ideas and learn from one another. To preserve an environment of spirited and open debate, all should have the opportunity to contribute to intellectual exchanges and participate fully in the life of the Institute.

The ideas of different members of the Institute community will frequently conflict and we do not attempt to shield people from ideas that they may find unwelcome, disagreeable, or even offensive. Nor, as a general rule, does the Institute intervene to enforce social standards of civility. There are, however, some circumstances in which behavior so violates the Institute's standards that formal Institute intervention may be appropriate. Acts of violence, and explicit threats of violence directed at a particular individual that compromise that individual's safety or ability to function within the Institute setting are direct affronts to the Institute's values and warrant intervention by Institute officials. Abusive conduct directed at a particular individual that compromises that individual's ability to function within the higher learning environment, and/or that persists after the individual has asked that it stop may also warrant such intervention.

Harassment and Sexual Misconduct

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 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 if not illegal. Speech can be deemed offensive even though allowed.

The Institute is also committed to the uninhibited, robust and wide-open pursuit of ideas. We must take great care neither to stifle that pursuit by a multitude of rules, nor to make it "dangerous" to speak one's mind.

Every member of the 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, when necessary, discipline sexual harassment and harassment based on a person's protected status.

Harassment in the workplace or the educational environment is unacceptable conduct and will not be tolerated. TTIC is committed to maintaining an educational and work climate for faculty, staff and students that is positive and free from all forms of Harassment. This policy addresses harassment in all forms, including harassment toward individuals with legally protected status for reasons of race, gender, religion, color, age, national origin or

ancestry, genetic information or disability. Also included is any harassment toward individuals for other reasons such as sexual orientation, gender identity, gender expression, marital status or parental status. TTIC will not tolerate harassment of its faculty, staff or students by persons conducting business with or visiting the Institute, even though such persons are not directly affiliated with the institute.

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

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 strictly 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.*

Title IX of the Education Amendments of 1972 protects people from sex discrimination in educational programs and activities at institutions that receive federal financial assistance. TTIC is not subject to Title IX, yet adheres to most provisions. The Institute's current [Sexual Misconduct Policy](#) can be found on the TTIC website. The policy provides definitions of sexual misconduct and explains how to report an incident, and how TTIC may investigate, advise, and handle incidents of alleged sexual misconduct. It explains the importance TTIC places on protecting informants and victims, and providing resources for those reporting misconduct. The webpage dedicated to Sexual Misconduct has links to resources for victims of sexual misconduct, and for reporting sexual misconduct, with anonymous options available.

Annual Awareness Training for Students

TTIC students, under the Illinois House Bill 821 regulations, which went into effect August 2016, will undergo annual sexual misconduct awareness training. A notice of training will be sent each autumn quarter from TTIC administrative offices to students via email, and students will have about two weeks to complete the online training. Failure to complete awareness training by stated deadlines will result in Academic Probation status until training is complete. Failure to complete training at all will result in Suspension status. (Students who begin study in a quarter other than autumn will be notified shortly after initial enrollment, and will have the same completion window.)

Consensual Relations Between Faculty and Students

Because those who teach are entrusted with guiding students, judging and grading their work, 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 tenets of our policy, and our commitment to an environment free from sexual harassment, is in regards to faculty or other instructors who have, or have had, romantic relations with a student. It is TTIC's view that it is unwise and inappropriate for that faculty member to teach, supervise in research or graduate work, and/or recommend that student for fellowships, awards, or employment. Employees who have had romantic relationships with an employee under their supervision will likewise lose 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 Chief Academic Officer, or Administrative Director of Graduate Studies, 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.

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 contact Human Resources in as timely a fashion as possible to request assistance and coordination of accommodations at the Institute.

Emergency Evacuation Procedures for Persons with Disabilities

Students 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 a student 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 which is 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 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.

Academic Honesty

Students and faculty of TTIC belong to an academic community with high scholarly standards. The community also is deeply committed to certain fundamental ethical principles. It is contrary to justice, to academic integrity, and to the spirit of intellectual inquiry to submit the work of others as one's own. To do so is plagiarism or cheating, and are 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 other descriptive elements as advised in a current scientific style guide. Any doubts about what constitutes "use" should be addressed to the instructor or advisor.

Instances where academic fraud or indiscretion in a course is suspected will have an investigation initiated by the course instructor, with the assistance of the Chief Academic Officer. Findings of academic fraud or indiscretion may result in a failing grade, immediate expulsion from the course, or ultimately, from the program.

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 theses 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

A. 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. 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 and Chief Financial Officer. 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 institutions shall occur from the Chief Academic Officer.

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, he or she 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, he or she 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, he or she 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. 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, he or she must ask the Administrative Director of Graduate Studies 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 Administrative Director of Graduate Studies, he or she 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.

B. Conflict of Interest

Where the initial administrative official charged with investigating a charge perceives that he or she has a conflict of interest, he or she 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 Dean or 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 Administrative Director of Graduate Studies shall constitute within fifteen days a special panel of no fewer than three members to investigate the charges. Members of the panel shall ordinarily be drawn from within the Institute and from the University of Chicago; 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 Administrative Director of Graduate Studies 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 party belonging to the Institute, or an external party. 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 Institute will provide the panel with its own lawyer upon request 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 which 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 nonproduction 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 Chief Academic Officer, President and Administrative Director of Graduate Studies, 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, 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.

General Complaint Filing

TTIC is committed to a policy of fair treatment of its students in their relationships with fellow students, faculty, staff, and administrators. Students are encouraged to seek an informal resolution of a dispute directly with the faculty or individual(s) involved when possible. If you encounter a problem involving the application of a TTIC policy or procedure or have any other dispute or grievance with the institute that you cannot resolve informally and which adversely impacts you, you may file a complaint in writing.

For the purpose of this process, a "complaint" is an expression of dissatisfaction concerning a TTIC employee, service, or process, or an administrative action, that requires clarification, investigation and/or resolution.

Complaint Process:

- A complaint must be made in writing, signed by the complainant, and submitted to the Director or Administrative Director of Graduate Studies.
- It is important to report complaints promptly and to include a short and concise statement of all the relevant facts and the action or remedy you are requesting so that an investigation can be completed and a resolution achieved.
- Complaints must be filed within fifteen business days from the date of the action or occurrence which is the subject of the complaint.
- The Administrative Director of Graduate Studies will acknowledge its receipt using the student's institute email address.
- The Administrative Director of Graduate Studies reviews each complaint to determine if it is one upon which action should be taken. If the subject of the complaint is primarily of the academic or financial appeals processes, or is a question of academic discretion, the complaint will be dismissed without further action.
- The Administrative Director of Graduate Studies may refer complaints requiring further action to an appropriate academic or administrative official for investigation and resolution.
- Within ten business days after receiving a complaint, the Administrative Director of Graduate Studies will advise the student in writing either (a) that the complaint is under investigation and resolution, or if a complaint is referred, to whom the complaint was referred, or (b) that it has dismissed the complaint and the reason for the dismissal.
- A complaint has twenty business days from the date of the referral to be investigated and addressed. During the investigation and resolution process, the administrator will communicate directly with the student who has filed the complaint. At the conclusion of the investigation and resolution, the administrator will notify the student (and if referred, the Administrative Director of Graduate Studies) in writing of the results of the investigation and the resolution of the complaint.
- The Administrative Director of Graduate Studies may extend the investigation period beyond twenty business days by notifying, in writing, the student who filed the complaint.
- A complaint may be dismissed without further action if the student fails to cooperate in the investigation.
- The Administrative Director of Graduate Studies will log all written complaints, and the handling and resolving of complaints in the institute Student Complaint Log

NOTE: Dealing with concerns in the most direct and honest fashion should always be the first step toward resolution. Many problems are resolved when one makes an appointment with a faculty or staff member and calmly and honestly communicates their concerns. Situations involving Harassment and Academic Records have their own separate procedures, as noted in this Handbook. While TTIC encourages students to attempt to resolve disputes informally, there is no requirement that students do so before availing themselves of the formal reporting procedures described above. Complaints involving potential illegal harassment and/or sexual violence, rape, domestic violence or stalking will always be subject to formal resolution and reported to appropriate authorities.

See TTIC [Sexual Misconduct Policy](#).

TTIC complies with the Illinois Board of Higher Education (IBHE) Illinois Administrative Rules governing degree-granting institutions (23 Ill. Admin. Code 1030.30) for reporting complaints. Complaints may be made, and instructions can be found at <http://complaints.ibhe.org> or mailed to 1 N. Old State Capitol Plaza, Suite 333. Springfield, IL 62701-1377.

Networking and Information Technology Policies

New Information Technology and Intellectual Property

Students occasionally use the facilities or resources of the Institute to make discoveries or inventions that have commercial application. Such inventions are most likely to occur in a laboratory or research team environment, but can, in principle, happen in many ways.

Because information technology can change rapidly, the most important obligation of students who exploit such technologies is early disclosure of what they are doing to the Chief Academic Officer or Director of Graduate Studies. Only with such disclosure can the Institute have a good sense of how new information technologies are being used and how the administration can fulfill its obligation to support such work.

The policy on discoveries and inventions by faculty members is similarly applied to students as well. Please consult with your advisor when you come across this matter. Institute Statute 8 and the Institute Intellectual Property policy (found on the TTIC Intranet) govern discoveries and inventions.

Eligibility and Acceptable Use

TTIC provides information technology for educational, research, and administrative applications for its students, faculty, and staff. With only a few exceptions, the present policy simply applies these larger policies and procedures to the narrower information-technology context. It 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, 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.

Students are expected to follow the University of Chicago policies for the use of University information technology and its resources. In addition, TTIC reserves the right to prohibit or restrict any use of information technology of the Institute.

Principles

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

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

Definition

Institute Information Technology is defined as:

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 and/or
- 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 dial up 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
- 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 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 will 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 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, 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.

Safety and Appropriate Use of Facilities

Firearms

Possession of firearms of any kind, explosives, or other dangerous objects or materials on the Institute and University campus property is prohibited.

Smoke Free Policy

Smoking is not permitted in public and shared areas of Institute and University buildings or hazardous use units; this includes all space in libraries, museums, coffee shops, and commons, and laboratory buildings.

Safety Awareness

The University of Chicago Police Department operates 24 hours a day to serve and protect the University and

Institute faculty, staff, students, and community. To summon assistance or in case of emergency, call 702-8181, or 123 from all campus phones. In addition, the University Police encourage all members of the community to use any of the more than 100 white emergency telephones installed throughout the neighborhood. 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 you witness or are involved in an incident, you are urged to call the University Police or, if more convenient, the city police/fire emergency number 911.

To provide better protection and increase service, calls to the University Police Communications Center and from emergency phones are recorded, as are calls to the Chicago Police Department, including 911.

Security Alerts are occasionally issued to inform members of the University community about crimes or crime patterns; the alerts are intended to help individuals make prudent safety decisions and remain aware of more general safety issues. You may receive alerts automatically by e-mail if you subscribe at:

<https://lists.uchicago.edu/web/subscribe/safety-awareness>

Security concerns, suggestions, and criticisms may be relayed through electronic mail at the e-mail address sauc@midway.uchicago.edu. Comments will be immediately forwarded to the department responsible and to the Committee on Security and Crime Prevention in the Neighborhood. If electronic mail is unavailable, call or write the Vice President for Community Affairs in Room 605 of the Administration Building.

TTIC also maintains an "Emergency Contacts" intranet page with important emergency contact information including University police, Chicago police, building security, medical center, and c-alert.

Responsibility for Guests

Hosts are always responsible for the behavior of campus guests, who, while they are visitors, are expected to conform to the behavioral standards set for students at the Institute on the University of Chicago campus.

Missing Student Policy

For the purposes of this policy, a student may be considered to be a "missing person" if the student's absence from campus is contrary to his or her usual pattern of behavior, and the Institute has reasonable belief that unusual circumstance may have caused the absence. Such circumstances may include but are not limited to a report or suspicion that the student may be a victim of foul play; the student has expressed suicidal thoughts, may be drug dependent or in a life threatening situation; or if the student is overdue returning to campus and is not heard from after indicating a return time to friends, family, or an Institute community member.

If a member of the TTIC community has reason to believe that a student is missing, that individual should contact the TTIC Administrative Director of Graduate Studies. The Administrative Director of Graduate Studies will collaborate with the Chief Academic Officer and Human Resources in an effort to locate the student and determine his or her state of health and well-being. The institute officials will gather pertinent information about the student and situation from the reporting person. Such information may include description, cellular phone number, clothes last worn, vehicle description, information about the physical and emotional well-being of the student, an up-to-date photograph, etc.

Institute officials will also endeavor to determine the student's whereabouts through direct communication attempts (phone and email); contact with friends, associates, and/or employers of the student; and determine whether the student has been attending classes, scheduled organizational or academic meetings, and work.

If a student is reported missing and cannot be located, notices will be made as follows:

- University of Chicago Police, Dean on Call, and the student's listed Emergency Contact will be notified within 24 hours of the reported missing student.
- In the absence of an Emergency Contact, parents/guardians will be notified to determine whether they know the whereabouts of the student.
- Chicago Police Department would be contacted after consultation of the above named parties.

After the student has been located, officials will attempt to verify the student's state of health and intention of returning to the campus. When and where appropriate, a referral may be made to the Students Counseling Services and/or the Student Health Center.

Communications about Missing Students

The University of Chicago Dean of Students or Communications Office may be part of TTIC's administrative response team and may assist with media inquiries concerning a missing student and to elicit public assistance in the search for a missing student.

University Police or Chicago Police would be consulted prior to any information release from the Institute so as not to jeopardize any investigation.

Emergency Contact Information

Upon initial matriculation, students will designate an emergency contact. The designation will remain in effect until changed or revoked by the student. Students are advised that their contact information will be registered confidentially, will be accessible only to authorized Institute officials, and will not be disclosed to any third party except to medical or law enforcement personnel in furtherance of a missing person investigation or medical emergency. A student may update their information at any time on my.uchicago.edu.

Alcohol and Other Drugs

The Institute recognizes both alcohol and drug abuse as potential health, safety, and security problems. The Institute expects everyone to assist in maintaining an institute environment free from the effects of alcohol and other drugs.

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 activity, and from working under the influence of alcohol or illicit drugs. 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. Such functions must comply with all applicable Institute guidelines.

All students and employees are required to be able to perform their jobs. If an employee or student may be impaired by medication taken according to a doctor's prescription or the medication's directions, he or she is expected to discuss it with his or her supervisor or advisor. All members of the Institute community are responsible for full awareness of the requirements of federal and Illinois statutes and Chicago ordinances concerning the consumption, possession, and sale of alcohol and other drugs. The Institute expects each member of the community to be responsible for his or her own conduct and the consequences of that conduct.

III. ADMINISTRATIVE POLICY & REGULATIONS

Current Policies, Rules and Regulations

In the autumn quarter the Institute publishes the current policies, rules, and regulations related to registration, student status, grades, graduation, and the like. ***All students are responsible for familiarizing themselves with these policies, procedures and rules.***

Official Communication by Electronic Mail

Official communications from the Institute are sent via electronic mail (e-mail) to each student's *ttic.edu* Institute e-mail account and students are responsible for the information. If a student wishes to read that mail via a personal account, he or she assumes the responsibility to set up and maintain any forwarding functions.

TTIC User Account

Your *ttic.edu* (and *uchicago.edu*) usernames and passwords are your electronic identification. Students are explicitly forbidden from sharing those usernames, passwords and accounts. Users are responsible for maintaining the security of their accounts and all activity occurring under those accounts.

You are responsible for any misuse of data that takes place through use of your accounts. Always protect your electronic identity. Consult the TTIC Director of IT if you have questions about your account or network/digital life at TTIC.

Student Records

Directory Information

Without express consent from the student, the Institute only makes available such information as would ordinarily be published in a student directory or other materials intended for public distribution: name, address, telephone listing, major field of study, awards and honors, participation in officially recognized activities, dates of attendance, degrees, the most recent educational agency or institution attended, and similar information. However, students may request that their address and telephone number be withheld.

The Institute may from time to time use photographs of students in its publications and other materials.

Due to the special nature of the relationship between TTIC and the University of Chicago, and the agreement that allows students to enroll in University courses, only that information that is necessary for University academic and administrative record keeping is shared with the appropriate University staff, without the express consent of the student.

The Institute may furnish other information from a student's file only upon written request from the student.

Record Maintenance

A student's educational records are defined under the Family Educational Rights and Privacy Act as including, subject to the limitations described in the Act, "records, files, documents, and other materials which (1) contain information directly related to a student; and (2) are maintained by an institution or by a party acting for such institution." A student's official academic record is maintained indefinitely at the Institute.

The Family Educational Rights and Privacy Act (FERPA or Buckley Amendment) assures students access to their education records and protects the student's right to privacy. The FERPA information listed below is also posted on TTIC's intranet under "Student Policies."

Inspection and Review of Educational Records

In furtherance of the federal Family Educational Rights and Privacy Act as amended (FERPA), the following compliance procedures will be followed by the Institute:

1. All students who are or have been in attendance at the Institute shall have the right to inspect and review their educational records, subject to the limitations provided under FERPA and its applicable regulations.
2. Students should file a request to see their education records with the Institute. A representative from the Institute will discuss such requests with the student to assure that the appropriate records are compiled for the student's review. The representative will make arrangements for access and will notify the student of the time and place where the records may be inspected.
3. Information such as recommendations collected by the Institute, in connection with a student's admission to the Institute will be considered to have served its purpose upon a student's acceptance, and will not be part of an official record.
4. A student's medical records, maintained separately by the Institute, are unavailable for non-medical use within the Institute and are also unavailable for non-medical sources outside the Institute. They will not be considered part of a student's educational records. A student may of course continue to consult his or her physician about his or her medical records.
5. Parental statements of financial resources will remain confidential. Where parents indicate a willingness for the information in such statements to be shared with the student, the statements will be made available to the student upon request.
6. Notes written by a member of the faculty, an advisor, or others concerning students, for the exclusive use of the writer, will be retained by the writer and will not be considered part of the student's educational record.

Access to a student's educational records will be provided within a reasonable period of time, but no longer than forty-five days after the request has been made.

Amendment of Educational Records: Right to a Hearing

The Institute will provide students an opportunity for a review if they believe their educational records to be inaccurate or misleading. If a student believes a record is inaccurate or misleading, he or she may write the Institute official responsible for the record or the Registrar, clearly identifying the part of the record he or she wishes changed and specifying why the record is inaccurate and misleading.

A conciliation conference between the student, the Registrar, and the author of the challenged material will first try to reach a reasonable solution. Such a solution might be the correction or deletion of the challenged material, or the insertion by the student of a written explanation of the material.

Should the results of this conference prove unsatisfactory to the student, and if he or she so requests, a hearing will be conducted. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing. Note: such a challenge to a record does not include a student's disagreement with the grade received in a course, except if it involves a typographical error in the recording of the grade.

Complaints regarding alleged violations of FERPA may be submitted to: The Family Policy Compliance Office, U. S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-5920.

Cost of Copies

TTIC does not currently charge to receive copies of one's official or unofficial transcript. The Institute retains the right to change this policy in the future.

Release of Students' Records

Under current federal regulations, except for "directory information" about a student, a student's records may not be released without his or her prior written consent with the exception of the National Student Clearinghouse for student loan deferment purposes, other Institute officials who have "legitimate educational interests," or by student request for enrollment verification and degree verification purposes.

An "Institute official" is a person employed by the Institute in an administrative, supervisory, academic, research, or support staff position (including law enforcement and health staff); a person or company with whom the Institute has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees or another Institute committee; a student serving on an official Institute committee (such as a disciplinary committee) or who is assisting another school official in performing his or her tasks; and any other person determined by the Institute to have a need to know the information in order to perform their administrative tasks, provide a service or benefit for a student, or to fulfill a legitimate educational interest of the Institute.

An Institute official has a "legitimate educational interest" if the official needs to review an educational record or have access to the information in the educational record in order to fulfill his or her responsibilities for or on behalf of the Institute. A student's educational records may also be disclosed without his or her prior written consent: (1) to specified federal and state officials subject to certain conditions; (2) to officials of another school, school system, or institute of postsecondary education that has requested the record and where a student seeks or intends to enroll; (3) in connection with a student's application for or receipt of financial aid; (4) to state officials who, pursuant to state statute prior to November 19, 1974, had access to records; (5) to organizations such as the Educational Testing Service and the College Entrance Examination Board for the purpose of "developing, validating, or administering predictive tests"; (6) to accrediting organizations for the purposes of accrediting; (7) to parents of a student who is dependent for income tax purposes; (8) to "appropriate persons" in the event of health and safety emergencies; and (9) in response to a judicial order or subpoena.

Learning Resources

TTIC provides a state-of-the-art computational facility for the purposes of education and research. Students are provided with a personal workspace including their own personal computer, and access to printers. MAT-LAB, Mathematica, MS Office and other software will be installed on the computers, as needed. A TV and/or projector and screen are provided in conference rooms for presentations. TTIC has a library on the premises. In addition, students and faculty of TTIC are granted full privileges at the University of Chicago libraries and learning centers.

Library Privileges

TTIC students may utilize and access the University of Chicago library system using their ID card, and cNet ID. There is no additional charge to students. Privileges include access to the six campus libraries, borrowing privileges, remote access, facility use, and digital resource access. TTIC students are subject to all University library policies at all times for the privilege of utilizing library services.

Initial Computer Equipment Policy

Students, upon initial matriculation at TTIC, may work with the Director of Information Technology and their advisor to request computer equipment. New PhD students will be provided an allowance to purchase computer equipment. This is a one-time grant. No additional funds will be given if the student requires additional computer equipment during the course of their study at TTIC. Requests must be approved by advisors, and orders may only be placed by the Director of Information Technology. No reimbursements will be issued. The full Institute Student Funding Policy may be found on TTIC's intranet under "Student Policies."

Tuition & Fees

The current academic year's tuition, charges and fees are listed on the TTIC's intranet under "Student Policies."

Student Payment

Upon matriculation, and during orientation, students who will receive wages, fellowships, or scholarships from TTIC will work with Human Resources to initiate any necessary tax and legal documents and processes (if applicable.)

International students must complete a TTIC financial service software profile and turn in a signed Tax Summary Report to Human Resources. Human Resources will review this form and determine the student's tax status in the U.S. and wages will be taxed according to tax law. Human Resources will review this information with the student prior to the first paycheck date. The process will be explained during orientation. If a student's visa or legal status changes, Human Resources should be consulted immediately.

All students enrolled in the PhD program will work as Research Assistants (RAs), or Teaching Assistants (TAs), either supported by TTIC funds or faculty grants. Students who receive a grant from an outside agency will receive neither TTIC nor faculty research funding. If the outside grant is less than TTIC's standard funding package, either TTIC or the faculty member's grant will pay the difference. Students on a full-time paid internship will also not receive funding from TTIC for the duration of the internship. Full details of the *Stipend and Student External Support Policy* may be found on TTIC's intranet under "Student Policies."

A student's admissions acceptance letter contains details of the support guaranteed from TTIC, and typically includes a research assistantship, health insurance and Student Life fees, paid monthly. Payment of stipends occurs on the regular TTIC pay dates at the end of the month for that month, e.g. on July 31 for the month of July. The full Institute Student Funding Policy may be found on TTIC's intranet under "Student Policies."

Tax Withholding and Reporting

Taxes will be withheld for students in accordance with federal, state and local law. Prior to receiving any payments all students need to complete the following paperwork with Human Resources:

- Form I-9 Employment Eligibility Verification (HR Office will use information on I-9 for E-Verify background check)
- Federal Form W-4 Employee's Withholding Allowance Certificate
- Illinois Form W-4 Employee's Withholding Allowance Certificate
- If student does not have a Social Security Number HR will assist in completing Form SS-5 and supporting materials.
- All international students will need to complete/update their record in TTIC's financial service software upon entrance to TTIC's program and annually thereafter. Additional paperwork may be required as a result of the tax analysis done by this software.

International students will have an annual meeting with Human Resources regarding their individual tax status in the U.S. and any changes that may occur to that status.

In accordance with federal law, students working as RAs or TAs will receive a W-2 from HR by January 31 of each year; form W-2 details the previous year's tax withholdings. International students receiving non-taxable payments under a tax treaty will receive a 1042-S from HR by March 15 each year. Students are responsible for preparation of their own tax returns and payment of any additional taxes not withheld by TTIC.

Student Financial Support

TTIC financially supports its PhD students who continue to meet the on-going requirements as outlined in the student's admittance letter. This support package includes full tuition, stipend, life fees, and student U-SHIP insurance for the duration as outlined in the student's admittance letter. Students are encouraged to apply for external fellowships, information on which can be found on the registrar website. A student funded through an external fellowship will receive the maximum of fellowship and TTIC stipends, and may be eligible to receive a supplement in accordance with the Student Funding Policy. The full Institute Student Funding Policy may be found on TTIC's intranet under "Student Policies."

Student Reimbursement Policy

Students may be eligible for reimbursement for qualifying educational equipment such as books, or attending events, conferences and/or workshops. Requests for reimbursement shall be submitted with advisor approval, according to TTIC policies, and provided the student is in good standing. Travel must be approved via Travel Request form submitted to Student Services at least one week prior to travel.

Reimbursements require approval by the funding faculty member (typically the advisor) or office prior to the purchase or travel. Reimbursement request procedures **must be completed within 30 days** of the purchase or return from travel. Reimbursements are paid to students in a single payment by business check. Full *Travel/Reimbursement Policy* may be found on TTIC's intranet under "Student Policies."

Please note: Travel, expenses not approved prior to purchase (via signed Travel Request submitted to Student Services at least one week prior to travel) may be ineligible for reimbursement.

University of Chicago ID Card and cNet ID

Due to TTIC-University of Chicago integrated systems and campus proximity, students are assigned a University of Chicago ID card, called the Chicago Card. This card allows students access and use privileges of the University of Chicago libraries, athletic facilities, campus bus and shuttle transportation, and other University services, including building access. Students will also be assigned a CNet-ID, which allows access to the University's email system and other administrative student systems.

The access and privileges that a card affords a student will be revoked if a student's status becomes suspended, or the student leaves the program. The card is not transferable and must be presented upon demand to any Institute or University official. There is no charge for the card, but replacement cards are \$20.

Building Access

Students will also use their Chicago Card, for 24/7 access to the main entrance of the 6045 S. Kenwood building, elevators, and the TTIC office areas. Take your Chicago Card to TTIC Human Resources to activate the building access functionality.

After normal working hours in the evenings and on weekends the keycard must be used to gain access. Doors are generally unlocked from 8:30 AM – 5:00 PM, Monday through Friday.

The building is completely closed on all Institute/University holidays and the Chicago Card will not open the doors. Holidays include:

- New Year's Day – January 1st
- Martin Luther King, Jr. Birthday – 3rd Monday in January
- Memorial Day – Last Monday in May
- Independence Day – July 4th
- Labor Day – 1st Monday in September

- Thanksgiving Day – 4th Thursday in November
- Day after Thanksgiving Day – 4th Friday in November
- Christmas Day – December 25th

Generally, holidays that fall on Saturday will be observed on the preceding Friday, and holidays that fall on Sunday will be observed on the following Monday.

Please notify Human Resources immediately to report lost or stolen ID cards, for security purposes. Complete *Building Access* policies are on the TTIC’s intranet “Policies” page.

Address and Name Changes

Students are responsible for notifying the Institute in a timely manner of any change of name or address, whether campus, local, or permanent. Changes of name must be notarized. If the Institute mails a grade report, registration form, or bill to the address on file and if the mail is returned to the Institute because the student no longer resides at that address, the item will not be mailed again, nor will late payment nor late registration fees be waived.

International students who are in the US on F or J visas must notify the TTIC Office of International Affairs within 10 days of any address change. Failure to do so may jeopardize the student’s valid status.

A student’s address and contact information should be current at all times in *my.uchicago.edu*.

Students wishing to withhold the release of their addresses and phone numbers to third-parties may request this in writing or in person to the Institute.

Petitions

Any student who wishes to appeal for special consideration under an Institute regulation or an interpretation thereof must file a written petition with the Chief Academic Officer or the Administrative Director of Graduate Studies.

Student Health

Health Insurance

The Institute requires all students to carry medical insurance. Students enrolled in the PhD program will be automatically enrolled in the University of Chicago’s Student Health Insurance Plan (U-SHIP), annually. TTIC will oversee payment of the U-SHIP insurance for all students. If students have personal health insurance that is comparable in services to U-SHIP, they may opt-out of U-SHIP by waiving coverage through *my.uchicago.edu*. TTIC will only cover a student’s enrollment in U-SHIP and no other plans. Opt-out is only an option through the end of week three of the quarter. If a student notifies TTIC that they opt out of U-SHIP, they are indicating their full responsibility for self-payment of their individual coverage in an alternate plan, and must provide TTIC with proof of enrollment in their alternate plan for the year.

If a student wishes to enroll his or her spouse or dependents in U-SHIP, the student will be responsible for paying the added portion of the insurance premiums on a quarterly basis.

Details regarding U-SHIP may be found on the University of Chicago’s Student Healthcare webpage: <http://studenthealth.uchicago.edu/>

Immunization Requirements

By State of Illinois law, all new students are required to present proof of immunity from German measles, measles (two shots required), mumps, and tetanus/diphtheria (three shots required for foreign students). Completed proof

of immunization records must be submitted no less than four weeks before a student's initial enrollment to avoid a restriction on registration.

Student Health Service Facilities

The University of Chicago Student Health Service is also available to TTIC students. This medical facility and clinic takes both emergency and non-emergency cases, and provides required immunization shots. For office hours and further information please refer to <http://scc.uchicago.edu>. The facility's address and phone number is as follows:

860 E. 59th Street, R100 (Goldblatt Pavilion Entrance)
Chicago, IL 60637
Phone: (773) 702-4156

Retaining U-SHIP Insurance

Plan participants who go on leave or may not be in-residence at TTIC may remain enrolled in U-SHIP at the registered student rate through the remainder of the quarter in which their absence was granted. Plan participants not in residence (and without campus privileges or student life fees paid) may not have access to utilize Student Primary Care Service and Student Counseling Services on campus. Consult with TTIC Human Resources office to confirm all health services before departing Chicago or going on leave.

The Illinois Student Optional Disclosure of Private Mental Health Act

The Illinois Student Optional Disclosure of Private Mental Health Act (the "Act") provides students with the opportunity to authorize in writing the disclosure of certain private mental health information to a designated person of their choosing. Under the Act, TTIC may disclose mental health information in the event that a physician, clinical psychologist, or qualified examiner employed by TTIC makes a determination that the student poses a clear, imminent danger to themselves or others. In such a case, the physician, clinical psychologist, or qualified examiner must, as soon as practicable but no more than 24 hours after making such a determination, attempt to contact the designated contact person and notify him/her that the physician, clinical psychologist, or qualified examiner has made a determination that the student poses a clear, imminent danger to themselves or others.

Students are not required to designate a contact person. If a contact person is designated, it can be a parent, guardian, or other person over the age of 18, close to the student. Please be advised that under certain circumstances as permitted or required by law, certain TTIC officials may contact a student's parents or others, without consent of the student, in the event that a student's behavior poses an imminent significant threat to the safety, health, or well-being of any member of the TTIC campus community. TTIC's Office of Human Resources maintains students' elected contacts, as submitted through a disclosure form, submitted by the student. See Human Resources to submit or update a form, or for questions.

Student Parent Policy

TTIC recognizes that the decision to begin a family often coincides with the years during which women and men are engaged full-time in graduate study. By establishing general principles and minimum modifications for students who become parents during their graduate studies, this policy addresses the conflicts and issues that may arise as two important milestones—an advanced degree and parenthood—come into play simultaneously.

The graduate student parent policy includes the following academic support options:

- Parental Relief Leave of Absence, and
- Milestone Extensions

As both male and female students plan for the birth or arrival of a child, they are encouraged to consider both options in conversation with their advisors, the Director of Graduate Studies and the Chief Academic Officer. Faculty must be realistic about the rate of progress of students experiencing pregnancy and childbirth or taking care of a new child. Together, students and their advisors should arrange a timeline for meeting requirements and make appropriate accommodations for particular circumstances. The success of this graduate student parent policy depends upon full, open, and timely communication and cooperation among the student, the advisor, the Director of Graduate Studies and the Chief Academic Officer.

The ultimate is to allow students the chance to adjust to the extra demands of pregnancy and parenting, while maintaining academic progress towards degree completion.

The complete *Student Parent Policy*, in full detail may be found on TTIC's intranet under "Student Policies."

Eligibility

A graduate student requesting parental accommodations must have substantial parenting responsibilities. Substantial parenting responsibilities are defined as pregnancy, childbirth, care of a newborn or newly adopted young child, the serious illness of a child, and other exceptional circumstances relating to a child. The child may be the student's child or that of a spouse or domestic partner.

Note that a pregnant student, or a student parent undergoing an adoption process, who chooses an academic leave of absence will need to provide verification from a medical provider or an adoption agency regarding the need for the leave or extension. All terms for modification or leave should be documented in writing from TTIC administrative offices before the adjusted period begins to be considered valid.

Taking a leave (with a student schedule falling below full-time) may have implications for an international student's F-1 visa status, and international students considering a leave should work with the Office of International Affairs to explore options and to make arrangements so that any leave can be as minimally disruptive to their immigration status as possible

Religious Accommodations

Reasonable accommodations will be made to allow students to observe their religious holidays and religious obligations. The student is obligated to notify the advisor(s), instructor(s) and/or administrator(s) of conflicts due to religious holidays or obligations well in advance of any anticipated absences or conflicts, and request accommodations.

English as a Second Language Tuition Benefit

TTIC students for whom English is a second language and who can benefit from the course offerings are eligible for tuition assistance for ESL courses offered by the University International House. Please refer to the *ESL Tuition Reimbursement Policy* found on TTIC's Intranet for the current reimbursement policy. Also refer to the University of Chicago English Language Institute website for current course offerings.

Women in Science Conference Support

TTIC makes support available to female students to attend Women in Science/STEM Conferences for an opportunity to interact and network with the STEM community of women with common academic and professional goals. With TTIC and its female population small in size, the Institute strives to try to find ways to support the female student population and allow them access to larger networks of support including individual and group academic support, peer mentoring, STEM career advising, support for conference attendance and professional meetings, and professional development opportunities.

TTIC is committed to providing financial support for two separate conferences per female student at two timing points in their student career: one in Pre-Candidacy, and one in Candidacy. For full policy, procedure and details of eligible expenses covered, please refer to the *Women in Science Conference Support Policy* found on TTIC's Intranet.

Student Body Funds

TTIC makes funds available to its student body to provide and support opportunities to interact and network, build community, explore the city and region, and organize activities of student interest. The approved annual budget for Student Body Funds is \$2,000. Students are responsible for adhering to the policies that allow access to the funds. Student Services oversees maintenance and oversight of the annual program. New funds become available on September 20 each year, and expire on September 19. Funds not used do not carry over into the next year. For full details on eligible uses of funds, refer to the full policy on the TTIC Intranet.

School Closings Due To Emergency or Weather

Any local or national emergency situation or inclement weather that forces the University of Chicago to close or cancel classes will automatically dictate that the TTIC facilities will be closed as well. When in doubt, check your *ttic.edu* email inbox for an announcement, listen to local radio stations or refer to the University website. Being registered for c-Alert will let you know of local campus emergencies.

Discontinue Study Notice

Students who have been enrolled at TTIC but will be discontinuing study, should complete a *Discontinue Study Notice form* to notify the Institute. This form should be completed before the start of the quarter in which the student will discontinue study, at the latest. Other than completing the form, no other notification is required. The form may be attained through the Registrar website. The student may be requested to complete an online, anonymous exit interview.

International Students are responsible for consulting with the TTIC International Affairs Office to discuss visa matters and timelines.

Students who discontinue study cease to receive: tuition, institute fellowship and scholarship support; student privileges at TTIC and the University of Chicago (such as campus transportation, building, library and athletic center access, etc.); TTIC funded U-SHIP health coverage and health center access. For students receiving external funding, the guidelines of those agencies shall be used to determine continuation of support from these sources.

Discontinuing study does not include short-term leave of absences.

IV. DISCIPLINARY PROCEDURES

Introduction

The intent of student disciplinary procedures is to ensure a fair and orderly hearing on questions of possible student misconduct. The Institute's disciplinary procedures and the legal-judicial structures of the general society differ and are distinct in principle. Students do not relinquish any of the rights guaranteed to them by civil society, and are free to claim and assert those rights through the judicial institutions of that society.

At the same time, it is affirmed that TTIC is a private organization, dedicated to a purpose that imposes additional and special obligations while granting certain privileges to its members. The Institute's regulations are applied to incidents that are not "cases," the committees that hear and dispose of incidents are not "courts," individuals who may accompany a student in the course of a disciplinary proceeding are not "counsel," scrutinizing procedures for compliance with "rules of evidence," and requests for review of disciplinary decisions are not "appeals." The relation of collegiality and trust that binds all members of the Institute community imposes an obligation of truth

and honesty on the part of any student who is involved in a disciplinary proceeding.

The disciplinary system addresses violations of Institute regulations and other breaches of the behavioral standards expected of students (e.g. theft, plagiarism, cheating on examinations, violations of library regulations, computer abuse, and the physical or verbal abuse of others); and student offenses that are organized or designed to hinder or disrupt the operations of the Institute (e.g. the disruption of teaching, research, administration, or meetings).

Statutory Provision

Conduct of TTIC members which is disruptive of the operations of the Institute, including interference with instruction, research, administrative operations, freedom of association, and meetings as protected by the Institute's regulations, is prohibited and is subject to disciplinary action. Interference with freedom of inquiry, teaching, and debate will be viewed as particularly destructive to the Institute.

Definition of Disruptive Acts

It is misconduct, constituting a disruptive act, for any member of the Institute community to engage in conduct which substantially obstructs, impairs, or interferes with teaching, study, research, or administration of the Institute; the authorized use of Institute facilities; or the rights and privileges of other members of the community. This could be by obstructing, impairing, or interfering with Institute-sponsored or authorized activities or facilities in a manner likely to deprive others of the benefit or enjoyment of the activity or facility; by using force against any member of the Institute community or his family which substantially and directly bears upon the member's functions within the Institute, or threatening the use of force against him or her or the member's family in circumstances which create a reasonable fear that actual force is likely to follow.

Authority to Summon

From time to time, the Chief Academic Officer, Director of Graduate Studies or Administrative Director of Graduate Studies will require the immediate presence of a student to address a matter of genuine urgency either to the student or to the Institute community. In such cases, a formal summons requiring the student to appear at a specified time and place, regardless of the student's other commitments will be issued. Failure to appear in response to an official summons is a serious matter and may result in a restriction of registration or in referral to an appropriate disciplinary committee.

Involuntary Leave of Absence

As a community, our first concern is always the health and well-being of each student. To help students achieve their fullest potential and participate robustly and successfully in TTIC academic life, the Institute provides students, through its associate programs with the University of Chicago, a host of services, including the Student Counseling Services (SCS). SCS provides a wide range of mental health care to University and TTIC students, including assessments; emergency services; crisis intervention; medication management; academic skills counseling; short term individual, couples, and/or group psychotherapies; and referral services. SCS also provides consultation to campus officials who have concerns about a student.

Sometimes, a student's behavior raises concerns about the safety and well-being of the student or others, or causes significant disruption to the functioning of the Institute. Anyone aware of such circumstances should immediately contact the Administrative Director of Graduate Studies. In response, the Administrative Director of Graduate Studies will meet with the student to discuss his or her behavior and appropriate next steps. The official may require that the student be assessed by SCS. The official may determine that, in the best interest of the student and/or others, the student (1) may remain enrolled without conditions, (2) may remain enrolled with conditions that are to be described in writing, or (3) should/must take a leave of absence.

If a leave of absence is indicated, the student normally will be given the opportunity to take the leave of absence

voluntarily. Often, the student may be in a better position to engage in treatment and return to stable, good health at home or in a less stressful environment. If the student declines to take a voluntary leave of absence, the official has the authority to place the student on an involuntary leave of absence by restricting or canceling the student's current and future registration irrespective of academic standing.

In making an informed decision to place a student on an involuntarily leave of absence, the official will consider germane medical and other information available to him or her, including information provided timely by the student. The student may be required to sign a medical records release, and to authorize direct communication between the SCS Director (or his or her designee) and the student's medical provider(s) regarding the circumstances and the student's medical information, and to authorize the SCS Director to share the substance of those communications with the official.

Ultimately, the official may require an involuntary leave of absence when he or she determines:(1) that the student has engaged, or threatened to engage, in behavior that has or could cause significant property damage, or that has or could directly and substantially impede the rightful activities of others; and/or (2) based on the consultation with the SCS Director (or his or her designee) and the individualized assessment of the student's ability to safely participate in TTIC's programs, that the student is unable to function as a student and/or the student's continued presence on campus poses a substantial risk to the safety and well-being of the student and/or others.[*]

If the official judges a student's continued presence is likely to pose a substantial risk to the safety and well-being of the student or to others, the student may be placed on an emergency interim leave before a final determination is made. Every reasonable attempt will be made for the official to meet with the student and to consider germane medical and other information provided by the student before deciding on an interim leave and the student will be informed of the interim leave in writing. The emergency leave will remain in effect until a final decision has been made or a determination has been made that the reasons for imposing the interim leave no longer exists.

When the official decides that a leave of absence is appropriate, the decision and the conditions for resumption of studies will be communicated in writing. A student on a leave of absence can no longer attend classes, participate in Institute programs, or use Institute facilities. The student must vacate University housing, and will be entitled to refunds of room and board charges as appropriate given the timing of the start of the leave of absence. When an official mandates a leave of absence, generally such leave will be retroactive to the beginning of the quarter.

A student placed on an involuntary leave of absence may request, within fifteen days of the date of the decision, a review of the decision from the Chief Academic Officer. The student must submit the request for a review of the decision and any supporting materials in writing. Any official involved in this matter may designate another in order to carry out any of the following steps in their place. The Chief Academic Officer and official will review appropriate records and documentation, confer with the Director of SCS and, when feasible and appropriate, will meet with the student. The student may be required to sign a medical records release and to authorize direct communication between the Chief Academic Officer, the official, and the SCS Director regarding the circumstances, the student's medical information, and information obtained from the student's medical provider(s). The Chief Academic Officer and official will communicate a final decision in writing as soon as practicable. The leave of absence will remain in effect during the period that the Chief Academic Officer and official considers the student's request.

A student on a leave of absence will not be permitted to resume his or her studies until the official makes a fact-specific assessment of the circumstances and concludes that the student no longer poses a significant disruption to the functioning of the Institute and/or no longer poses a significant risk to the health and safety of the student or others (that cannot be eliminated by a reasonable accommodation). In making this determination, usually the official will require the student to authorize his or her treatment professionals to contact the Director of SCS to discuss the student's clinical condition, whether the student continues to pose a direct threat to the safety and well-being of him/herself and/or others. The professional will have to also disclose the student's preparedness for (1) a return to the academic rigor of the Institute, (2) the ability to navigate self-sufficiently as a functioning, non-disruptive member of the Institute community, and (3) the capability for continuing appropriate treatment via SCS or other resources, if necessary. If the student is to continue treatment while resuming studies, the official will ask the student to sign a release that authorizes the treatment professional to notify the official if the student does not adhere to the treatment plan.

Notification of Others

The official (or his or her designee) may notify a student's parents, emergency contact, or others when in the official's judgment the student is unable to make the notification himself or herself, or if the student's behavior poses an imminent danger to students or others, or requires an immediate disclosure of information to avert or diffuse serious threats to the safety or health of the student or others.

A leave of absence does not preclude the application of the Institute disciplinary systems.

*This individualized assessment is based on reasonable medical judgment relying on current medical knowledge and best objective information regarding the duration and severity of the risk, the probability that a potentially threatening injury will occur, and the likelihood that reasonable modification of existing policies, practices and procedures will sufficiently mitigate that risk. The individualized assessment will include consideration of germane medical information timely provided by the student, in which case the student normally will be asked to sign a release that will allow the SCS Director (or his or her designee) and the student's provider to communicate directly regarding the circumstances and student medical information.

Identification

A student is subject to disciplinary action if he fails to identify him- or herself adequately upon request by a properly identified Institute official in the performance of his duty. Charges of such failure to identify oneself may be heard by a Disciplinary Committee when the failure to identify is associated with a disruptive act. In no case shall the sanction imposed for such failure exceed one quarter of suspension.

Constitution of Disciplinary Committees

Disciplinary committees, empowered to conduct hearings on charges of violation by students of provisions prohibiting disruptive acts, shall be constituted as follows: As circumstances require, the Chief Academic Officer of the Institute shall appoint a committee of five faculty members and designate one member from this Committee as its Chair. Two student members drawn by random selection from the student panel shall be added to the faculty committee.

The Chair does not vote except in the case of a tie. The Chair and four other members of the Committee constitute a quorum, and decisions are reached by simple majority, except in the case of a decision to expel which requires four affirmative votes.

Vacancies on a disciplinary committee, whether of faculty or students created by failure to serve, shall be filled by appointment by the Chief Academic Officer.

Procedures

The following procedures are to be followed in instances in which the charge against the student is violation of Institute regulations and other breaches of the behavioral standards expected of TTIC students (e.g. theft, plagiarism, cheating on examinations, violations of library regulations, network or institute owned technology abuse, and the physical or verbal abuse of others) or student offenses that are organized or designed to hinder or disrupt the operations of the Institute (for example: the disruption of teaching, research, administration, or meetings).

Intent of Procedures

The intent of these procedures is to ensure a fair and orderly hearing on the charges. Although responsibility for a fair and orderly procedure must be shared by all parties, the Chair of the Disciplinary Committee is especially responsible for the conduct of the proceedings. The Committee as a whole must be the judge of what procedures will best serve these ends in a particular circumstance.

Charging

Information that a student has engaged in acts disruptive of the operations of the Institute may be brought by any member of the Institute to the attention of the Chief Academic Officer and the Administrative Director of Graduate Studies. Charges of such violation may, however, be referred only by the Chief Academic Officer and the Administrative Director of Graduate Studies. Charges must be given to the student in writing, and must include a brief statement of the nature of the charge and of places and times at which the student can respond to the charge.

Unless there is already a Disciplinary Committee in existence able to handle the matter, one is promptly convened. The charging authority provides to the Committee Chair a copy of the charge and a statement of the evidence on which it is based. Thereafter the Committee Chair becomes responsible for processing all aspects of the case under the Committee's direction. The Administrative Director of Graduate Studies' facilities are at the disposal of the Disciplinary Committee in whatever ways may, in the judgment of the Committee, facilitate a prompt and fair disposition.

Informal Hearing

Proceedings before the Committee normally begin with an informal private hearing conducted by a representative designated by the Committee. At this hearing, the student charged is informed of his/her rights and of the substance of the procedure to be followed throughout by the Committee as set forth herein or in some other form. The student is advised that he/she may be represented by someone of his/her own choosing at every stage of the proceedings, and is asked to decide, if possible, whether he/she will request a private or a public hearing of the case. He/she is fully informed of all the evidence available to the Committee on which the charge is based, and is told that the Committee will hear any individuals with direct knowledge of the incident whom he/she may bring forward and that it will also accept statements in writing if he/she is not able to procure their attendance and assistance.

This policy of full disclosure is further implemented by informing the student of any additional evidence that becomes available to the Committee will be available to the student before the hearing, and is told how he/she and the representative may have access to such evidence.

Finally, a date for the hearing before the Committee is set or arrangements are made for determining it and informing the student.

Hearing

The Committee presumes the innocence of the student charged, assumes no facts or conclusions, ignores any previous history of disciplinary action with respect to the student charged, and reaches its decision as to whether the student has engaged in the prohibited act solely on the basis of the evidence actually before it.

In a hearing before the Committee, the evidence is set forth and its significance discussed. In addition to the content of all evidence, the student charged is entitled to be informed of the source of all evidence and of the identity of those on whose credibility any evidence may depend. The Committee makes every effort, within the limits of its powers of investigation and invitation, to resolve all issues of fact appearing in the evidence. It invites and encourages the student and his representative not only to comment upon conclusions which may be reasonably inferred from the evidence but also to offer alternative interpretations of it in whole or in part.

But the student charged, while required to appear, is not required to testify, and if he/she chooses to testify he/she may refuse at any point to answer any question, and no prejudicial inference will be drawn from such refusal. All rules of evidence will be considered by the Committee with respect to their function and effect in an inquiry enjoying neither the advantages nor the limitations inherent in an adversary proceeding in a court of law.

The student may have a private hearing at which a few observers of his/her own choosing are present as well as his/her chosen representative. Alternatively, with the approval of the Committee, the student may have a public hearing at which members of the Institute community and other persons are freely admitted within such limits and under such conditions as the Committee deems consistent with orderly conduct of the hearing.

At any time, the student charged or his/her representative may request changes of schedule in the interest of a more adequate presentation of the case or may change his/her mind as to whether he/she wishes a public or a private hearing. Such requests will be considered on their merits by the Committee.

In deliberating upon the weight of the sanction to be imposed, the Committee may take into account any facts of previous disciplinary action with respect to the student and, in the case of a student on probation or under a reserved suspension, is required to do so. The deliberations of the Committee will be private.

The Chair of each Committee has a special responsibility for procedural correctness. The individual may delegate this responsibility to another member of the Committee, but it is the Chair's responsibility to see that duty is carried out in the working of the Committee. The Chair or his deputy would (a) make an initial response to any procedural question which arises, (b) be obligated to alert the Committee to procedural implications of any action they may wish to take, (c) call to the attention of the Committee or any of its members any inconsistency between the demands of fair procedure and the actions of the Committee or its individual members at any point in the proceedings, and (d) be responsible in situations in which he feels it desirable or the Committee instructs him to seek further guidance, for seeking out and presenting to the Committee whatever relevant information may be available in the experience of previous committees, or in special circumstances from other sources (see below). None of the special responsibilities within the working of the Committee, however, should in any way impair or supersede the ultimate authority of the Committee as a whole in determining, within the framework of this legislation, its own procedures.

Failure to Appear

There is only one exception to the rule that no sanction is imposed without fulfillment of the procedural requirements outlined above. A student who fails to appear for a hearing before the Committee may be suspended by action of the Committee when it is satisfied that he/she has been given notice of the charges as required above and has had sufficient opportunity to respond.

A student so suspended is notified of the suspension and offered another opportunity to appear on the original charge or charges. Failure to appear on the part of a student so suspended and so notified for a period of three weeks from the time at which notice of suspension was given to him or her or by the end of the quarter in which the original notice to appear was given, whichever is longer, is in itself grounds for imposition of sanctions, not excluding expulsion, by action of the Disciplinary Committee.

In considering the case of the student who appears after having been suspended as a consequence of failure to appear, the Committee may take into account his/her original failure to appear in imposing sanctions where, in their judgment, such failure was willful.

Records

A summary written record of each case is kept by the Committee and furnished to the Review Board or the student upon request. This record should show at least (a) the chronology of the case from the receipt of the charges to final disposition by the Committee, (b) a statement of all actions taken by the Committee with respect to the case, (c) a statement of the chief findings of fact which were relevant to the final disposition of the case and the choice of sanction, including especially any findings that bear upon the difference of sanctions imposed in this case as opposed to similar cases, and (d) a notation of any procedural questions peculiar to the case. The Administrative Director of Graduate Studies shall make available to the Institute community a statistical summary of the activities of all Institute Disciplinary Committees and of the Review Board.

Sanctions by the University of Chicago

In the event TTIC students violate the rules and/or regulations of University of Chicago administrative departments, such as the House System, the Library, and Networking Services and Information Technologies, such departments have authority to apply sanctions against student clients and patrons up to and including withdrawal of all services.

The penalized student may request a review of the decision of the administrative area through the Administrative Director of Graduate Studies of the Institute, who may assist in the process, but ultimately, the decision is between the student and the University.

Sanctions by the Toyota Technological Institute at Chicago

Sanctions imposed upon students in any Institute disciplinary proceedings shall be given the practical meaning assigned in the following list. Restitution may be required for theft or damage to property associated with a disruptive act. It is the responsibility of the Chief Academic Officer and the Administrative Director of Graduate Studies to inform students by appropriate means of the various sanctions. The notes that follow this list are an integral part of it.

Disciplinary Probation

Disciplinary probation means that the person charged has been found to have engaged in the prohibited act but that the sanction of suspension or expulsion has been withheld. For a period of time specified in the decision of the Disciplinary Committee, the student continues to enjoy all the rights and privileges of a student except as the Disciplinary Committee may specifically provide, but in the event that during the period of probation he is charged with and found by a Disciplinary Committee to have engaged in another prohibited act, the Disciplinary Committee, in determining sanctions, is informed of his probationary status and is required to take it into account.

Suspension

Suspension means that the person charged has been found to have engaged in the prohibited act and that for a period of time specified in the decision of the Disciplinary Committee (but never exceeding *nine quarters*) the student is denied the exercise of all the rights and privileges of a student in the Institute.

Unless the Disciplinary Committee specifically provides otherwise in its decision, at the expiration of the period of suspension the student may resume active status as a student without any action on his part other than would be required of any student who has, for a comparable period, interrupted his residence in the Institute for any other reason. A student under suspension charged with another offense, however, may not resume active status as a student until final action has been taken on such charge by an appropriate Disciplinary Committee.

Expulsion

Expulsion means that the person charged has been found to have engaged in the prohibited act, that he ceases to have the rights and privileges of a student in the Institute, and that he may not resume such status without re-application for admission. Normally such re-application will not be entertained for a period of *eleven quarters* following the date of expulsion.

Note 1: Sanctions may be imposed on anyone who has been admitted to the Institute whether or not he happens to be in residence at the time of the offense. The sanction imposed in the case of students not currently in residence takes the form of a condition imposed upon resumption of active status as a student.

Note 2: Sanctions on this list are arranged in increasing order of severity. They may be combined in a given decision. The Review Board, in mitigating sentences, may be expected to make use of all the alternatives.

Note 3: Rights and privileges of a student include (but are not limited to) registration; participation in classes and other instructional activities of the Institute; taking of examinations and the satisfaction of any other requirement for a degree; application for and receipt of any degree; participation as a student in student activities and organizations and in Institute ceremonies or official bodies; and use of University of Chicago facilities such as libraries, dormitories, and other student housing. While employment by the Institute is not an exclusive right or privilege of students, in cases in which employment is reserved for students or students are given preference in employment, the fact of suspension or expulsion may affect status as an employee. Further, the Institute as an employer is entitled to take into account in its

employment policies the grounds on which sanctions have been imposed, as these may bear on qualifications for employment.

Note 4: Suspension and expulsion will be recorded on a transcript in such terms as will not distinguish explicitly or by inference between interruptions of registration and residence by disciplinary action and interruptions imposed for any other reason, such as academic performance.

Review Process

If the disciplined student wishes to request a review of the decision, he/she must make that request in writing to the Administrative Director of Graduate Studies no more than fifteen days following the written notification of the decision of the disciplinary committee. A review board, which consists of the Chief Academic Officer and the Administrative Director of Graduate Studies (or his/her appointed representative), one member of the faculty who serves as chair, and one student member will be convened. The faculty and student members are appointed by the Chief Academic Officer of the Institute or his/her designee for a term of one year, and neither can be a member of the committee that rendered the decision under review.

The review board is constituted when a request for review is received by the Chief Academic Officer and the Administrative Director of Graduate Studies. The disciplined student must submit the request for review and supporting material in writing. Upon his/her request, the student may be granted an additional fifteen days to prepare those materials.

The review board, whose decision is final, does not conduct a rehearing of the case. Nor does the disciplined student, traditionally, appear before the Board, although the Board reserves the right to ask the student to appear to clarify aspects of his/her request. The Board, acting on the basis of the disciplined student's written materials, may sustain or reduce the sanctions imposed or, if satisfied that new and material information not available to the disciplinary committee might have resulted in a different decision, may require a further hearing by the disciplinary committee.

Legitimate grounds for review are:

- prescribed procedures were not followed,
- the penalty will have unforeseen consequences for the student that are harsher than intended, and
- new information unavailable to the committee bears importantly in the student's favor.

Review Board

A review board shall be established as needed with the authority to review decisions of disciplinary committees as follows.

The Review Board consists of:

- the Chief Academic Officer and the Administrative Director of Graduate Studies or his/her designated deputy,
- a senior member of the faculty appointed as Chair by the Chief Academic Officer of the Institute,
- a student selected at random from the panel of students nominated for membership on the disciplinary committees.

Procedure for Clemency

A student on whom any sanction other than probation has been imposed by a disciplinary committee may petition the Review Board at any time (but no more often than once each academic year) for mitigation of the sanction imposed. The petition shall contain a brief history of the case and a statement of the reasons why the decision should be modified.

The Review Board shall not pass upon the correctness of the proceedings in the adjudicatory tribunal but shall confine itself to considerations which properly bear upon the propriety of extending clemency. In making the determination regarding clemency, the Board considers whether the sanction imposed bears unfairly on the petitioner in his/her individual circumstances. It should also take into account such factors as whether there is undue risk that on reinstatement the petitioner will engage in misconduct again and whether a lesser sanction will depreciate the seriousness of the petitioner's misconduct.

The Board may in its discretion permit the petitioner to make an oral presentation in addition to any written submission he/she cares to make. If three members of the Board agree on reinstatement or other mitigation of the sanction imposed, a copy of the Board's decision shall be sent to the Chief Academic Officer for appropriate action.

Procedure for Request of a New Hearing

Within one academic quarter after a notice of a decision has been delivered to him/her, a person who has been suspended or expelled may petition the Review Board to request an appropriate Disciplinary Committee to hold a new hearing. The Review Board (by agreement of three of its members) will order a new hearing:

- where the petitioner establishes to its satisfaction that he/she was denied a fair and impartial hearing;
- where the petitioner establishes to its satisfaction that since the initial hearing he/she has discovered new and material evidence which if introduced at the hearing would probably have changed the decision.

Conclusiveness of Disposition

Except as provided above, the disposition of the original adjudicatory tribunal is final and conclusive on all parts of TTIC.

Publication

The Committee's actions with respect to disciplinary procedures shall be published in such a way as to ensure their general availability to all students.