

Toyota Technological Institute at Chicago



STUDENT HANDBOOK

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STUDENT HANDBOOK

TABLE OF CONTENTS

I. INSTITUTIONAL MISSION AND GOALS	1
II. GENERAL POLICIES	3
STATEMENT OF NON-DISCRIMINATION	3
CIVIL BEHAVIOR IN A HIGHER LEARNING ENVIRONMENT	3
HARASSMENT	3
POLICY AND DEFINITION OF HARASSMENT	3
PROCEDURES FOR THE RESOLUTION OF COMPLAINTS	5
CONSENSUAL RELATIONS BETWEEN FACULTY AND STUDENTS	6
ASSISTANCE FOR DISABLED STUDENTS	7
EMERGENCY EVACUATION PROCEDURES FOR PERSON WITH DISABILITIES	7
ACADEMIC HONESTY	8
ACADEMIC FRAUD	9
PROCEDURES FOR INVESTIGATING ACADEMIC FRAUD	9
NETWORKING AND INFORMATION TECHNOLOGY POLICIES	14
NEW INFORMATION TECHNOLOGY AND INTELLECTUAL PROPERTY	14
ELIGIBILITY AND ACCEPTABLE USE	14
SANCTIONS AND PROCEDURES	15
SAFETY AND APPROPRIATE USE OF FACILITIES	16
FIREARMS	16
NON-SMOKING POLICY	16
SAFETY AWARENESS	16
RESPONSIBILITY FOR GUESTS	17
ALCOHOL AND OTHER DRUGS	17
III. ADMINISTRATIVE REGULATIONS	18
OFFICIAL COMMUNICATION BY ELECTRONIC MAIL	18
CURRENT POLICIES, RULES AND REGULATIONS	18
STUDENT RECORDS	18
DIRECTORY INFORMATION	18
RECORD MAINTENANCE	18
INSPECTION AND REVIEW OF EDUCATIONAL RECORDS	19
AMENDMENT OF EDUCATIONAL RECORDS: RIGHT TO A HEARING	19
COST OF COPIES	20
RELEASE OF STUDENTS' RECORDS	20
LEARNING RESOURCES	21
THE TTIC ID CARD and the UNIVERSITY OF CHICAGO ID CARD	21
BUILDING ACCESS AND KEY CARDS	21
ADDRESS AND NAME CHANGES	22

PETITIONS	22
STUDENT HEALTH	22
HEALTH INSURANCE	22
IMMUNIZATION REQUIREMENTS	23
STUDENT CARE CENTER	23
ENGLISH AS A SECOND LANGUAGE TUITION BENEFIT	23
CAR POOL BENEFITS	23
SCHOOL CLOSINGS DUE TO EMERGENCIES OR WEATHER	24
IV. DISCIPLINARY PROCEDURES	25
INTRODUCTION	25
STATUTORY PROVISION	25
DEFINITION OF DISRUPTIVE ACTS	25
AUTHORITY TO SUMMON	26
RESTRICTION OF REGISTRATION	26
IDENTIFICATION	26
CONSTITUTION OF DISCIPLINARY COMMITTEES	26
PROCEDURES	27
INTENT OF PROCEDURES	27
CHARGING	27
INFORMAL HEARING	27
HEARING	28
FAILURE TO APPEAR	29
RECORDS	29
SANCTIONS BY UNIVERSITY OF CHICAGO	30
SANCTIONS BY TOYOTA TECHNOLOGICAL INSTITUTE AT CHICAGO	30
DISCIPLINARY PROBATION	30
SUSPENSION	31
EXPULSION	31
REVIEW PROCESS	32
REVIEW BOARD	32
PROCEDURE FOR CLEMENCY	33
PROCEDURE FOR REQUEST OF A NEW HEARING	33
CONCLUSIVENESS OF DISPOSITION	33
PUBLICATION	33

I. INSTITUTIONAL 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 --- research and educational missions.

The Research Mission

TTIC aims to achieve international impact through world-class research in fundamental computer science. Here we try to clarify the intended meaning of ``impact'', ``fundamental'', and ``computer science''.

Impact. The mission statement focuses on academic impact. Objective measures of academic impact are difficult to define and controversial to interpret. However, the following measures help to define “academic”.

- Publication counts weighted by the strength of the venues in which the publications appear.
- Citation counts.
- The number of co-authors of TTIC faculty at other prominent computer science institutions.
- A report of an external visiting committee where the committee members are unarguably top researchers in computer science.
- The rank of TTIC in well established ordered listings of computer science departments.

Note that the number of patents filed is not mentioned. Patents may be a natural outcome of academic research but are not a direct goal of TTIC regardless. The amount of extramural research funding is also absent. 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 focuses on fundamental scientific research. Intuitively, a scientific result is fundamental to the extent that it has open-ended implications.

Computer Science. Computer science is viewed as the creation and application of knowledge about computation. Algorithms and complexity theory are both fundamental to the engineering of computer systems. Conversely, potential applications, such as automated speech recognition, have challenged people to make theoretical advances. The mission of TTIC is to contribute fundamental knowledge that is relevant to computer technology.

The Educational Mission

The educational mission of TTIC is to achieve international impact through the accomplishments of its Ph.D. graduates.

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, TTIC should exploit the intellectual abilities of all segments of society. TTIC recognizes the intrinsic value of diversity in its faculty, staff, and student body.

Goals and Priorities

To pursue its overall Mission, TTIC has set a first goal of recruiting thirty faculty members in fundamental computer science by 2010. This faculty will consist of twelve regular faculty (tenured and tenure-track) and eighteen limited-term research faculty. The faculty members are expected to be first-rate computer scientists having the quality equivalent to corresponding professors at top ten departments of computer science or information technologies.

Vision and Values

The 20th century saw enormous progress in automation. The 21st century will see more. 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 humankind. 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 mission of TTIC is formulated to be consistent with this vision and these values.

II. GENERAL POLICIES

STATEMENT OF NON-DISCRIMINATION

TTIC, in admissions, employment 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 participation in the programs of the Institute.

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

POLICY AND DEFINITION OF HARASSMENT

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

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

The Institute is also committed to the uninhibited, robust and wide-open pursuit of ideas. 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.

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

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

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

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

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

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

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

Romantic relationships that might be appropriate in other contexts may, within an academic institution, create the appearance or fact of an abuse of power or of undue advantage. Moreover, even when both parties have consented at the outset to a romantic

involvement, such consent does not preclude a subsequent charge of sexual harassment against the instructor or supervisor. Because of its relevance to sexual harassment, the Institute's policy on consensual relations in cases where one person has educational or supervisory authority over another is reproduced under Policy on Consensual Relations between Faculty and Students.

PROCEDURES FOR THE RESOLUTION OF COMPLAINTS

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

Without feeling constrained by specific definitions, any person who believes that his or her educational or work experience is compromised by harassment should feel free to discuss the problem with a faculty member or supervisor and, if desired, to request that faculty member or supervisor to speak informally to the person complained about. If this does not resolve the matter, or if the individual prefers, he or she may make use of any or all of the three avenues listed below for resolution.

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

Advising

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

Complaint advisors will be selected and supervised by the Administrative Office. Advisors will be required to participate in a program designed to make him or her familiar with the issues involved in dealing with harassment cases.

Mediation

When a complaint is brought to a complaint advisor, the complainant may ask for a mediated resolution between him or herself and the accused. The goal of the mediation procedure is to provide a forum where the complainant and the accused can, with the aid of a third party, come to a mutually agreed upon resolution. Consequently, mediation will occur only if both the complainant and the accused are willing to participate in the

process. The Complaint Advisor may serve as mediator or suggest a third party such as a faculty member of the Harassment Panel (see below) to act as mediator.

Formal Hearing

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

Procedures for Formal Hearing

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

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

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

A report of a justified complaint, including the action, is placed in the official file of the individual accused. This file is kept in the Chief Administrator's Office.

CONSENSUAL RELATIONS BETWEEN FACULTY AND STUDENTS

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

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

awards, or employment, or for employees who have romantic relations with employees under their supervision to maintain their supervisory status.

Despite best intentions, such romantic relationships may sometimes develop. Prudence and the best interest of students and employees dictate that in such circumstances [of romantic involvement], the faculty member, instructor or supervisor should promptly report the relationship to the Chief Academic Officer, or Chief Administrator, 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 DISABLED STUDENTS

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 the Chief Administrator in as timely a fashion as possible to request assistance and coordination of accommodations at the Institute.

EMERGENCY EVACUATION PROCEDURES FOR PERSON 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 the Chief Administrator.

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's paths who may be accessing the exit stairwell; and
- The Chicago Fire Department shall be responsible for evacuating all persons with disabilities from the building, unless prior special arrangements have been made with the individual.

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 statements or ideas of work of others as one's own. To do so is plagiarism or cheating, offenses punishable under the Institute's disciplinary system. Because these offenses undercut the distinctive moral and intellectual character of the Institute, we take them very seriously and punishments for them may include permanent expulsion from the Institute.

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

ACADEMIC FRAUD

PROCEDURES FOR INVESTIGATING ACADEMIC FRAUD

Section 1. Scope of the Procedures

These are the Institute's procedures for investigating allegations of academic fraud.

Academic Fraud involves a deliberate effort to deceive and is distinguished from an honest mistake and honest differences in judgment or interpretation. Academic fraud is defined as plagiarism; fabrication or falsification of evidence, data, or results; the suppression of relevant evidence or data; the conscious misrepresentation of sources; the theft of ideas; or the intentional misappropriation of the research work or data of others.

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

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

Section 2. The Initial Inquiry

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 Chief Administrator.

The administrative official shall also immediately determine whether the academic work in question involves funding from an external institution. If in doubt on this matter, the administrative official should consult with the Chief Academic Officer or Chief Administrator. 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 through the office of the Chief Administrator.

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 Chief Administrator 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 Chief Administrator 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 Chief Administrator.

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; but if the party charged insists on the company of a lawyer, then the administrative official must request that the Institute provide her or him the assistance of a lawyer, who shall also be present.

If the administrative official remains satisfied that there is reason to believe academic fraud may have been committed, he or she must ask the Chief Administrator 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 Chief Administrator, 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 Chief Administrator.

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. 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 Chief Administrator shall constitute within fifteen days a special panel of not fewer than three members to investigate the charges. Members of the panel shall ordinarily be drawn from within the Institute 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 Chief Administrator can appoint a person or persons outside the Institute to the panel. No administrative official previously involved in the case may be a panel member.

B. The Operation of the Panel

1. Collection of Evidence

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

- i. research notes, papers and notebooks, logs, source documents, computer printouts, and machine-readable materials;
- ii. a list of all current and former collaborators and coworkers;
- iii. a list of published abstracts, papers, and books and copies of abstracts, papers, and books pending publication or review; and
- iv. a list of reports and grant applications submitted to outside foundations and funding agencies and copies of such reports and applications.

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

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

2. Rights of the Person Charged

Copies of any written material or other exhibits presented to the panel shall be provided to the party charged or, when that is not feasible, made available to the party charged for inspection.

The party charged is entitled to present evidence; to have the panel consider evidence by a reasonable number of witnesses; to be present when the panel is taking oral testimony from witnesses; and to examine any witness who presents evidence, oral or written, to the panel. The panel shall determine the extent to which the examination of witnesses by the party charged will be oral or written. When that examination is oral, the panel may limit the nature and the extent of the questioning permitted. When the evidence from witnesses presented to the panel is in writing, a copy shall be presented to the party charged for review and comment.

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

3. Preparation of the Panel Investigation and Report

The panel may meet in executive session to prepare for the examination of witnesses and collection of evidence, to evaluate the evidence presented to it, and to prepare its findings and report. After reviewing all of the evidence, the panel shall base its conclusion on whether it is more likely than not that academic fraud has been committed. During the course of its work, the panel may consult with the Chief Academic Officer on Academic Fraud regarding the proper interpretation of these procedures or, when relevant, the policies of external funding institutions or agencies.

The panel shall prepare a written report 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 non-production of evidence, and the extent to which the unavailable evidence affected its ability to make a finding on whether academic fraud has been committed.

The panel shall be expected to make its final report within sixty days after it is formed. A copy of the report shall be forwarded to the Chief Academic Officer and Chief Administrator, and all records and evidence held by the panel shall accompany the report.

C. Notice to Outside Parties

When the case has involved funding from an outside institution, the Chief Academic Officer shall insure that any report required by that institution is made to it by the Institute's Research Administration. The Chief Academic Officer shall also provide written notification of the outcome to the party that initially made the accusation.

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

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 Chief Administrator. 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 basically applied to students also. Please consult with your advisor when you come across this matter.

ELIGIBILITY AND ACCEPTABLE USE

TTIC provides information technology for educational, research, and administrative applications by 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.

Principle

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
- is subject to Institute or University policies.

In addition, any information technology which:

- connects directly to the Institute or University or the Institute data or telephone networks,
- uses Institute/University network-dialup facilities (the campus modem pool),
- connects directly to a computer or other device owned or operated by the Institute or University, and/or
- otherwise uses or affects Institute or University information technology facilities

is subject to Institute and University information-technology policies, no matter who owns it.

Restricted Applications

Restricted applications of Institute information technology primarily include:

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

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

SANCTIONS AND PROCEDURES

When any use of information technology 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, in legal action. Disciplinary proceedings involving information technology are the same as those for violations of other Institute policies, and may have serious consequences. Unauthorized use of Institute information technology may result in police intervention or legal action.

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.

NON-SMOKING 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. The guiding principle is that smokers must respect the appropriately expressed wishes of non-smokers.

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 faculty witness or are involved in an incident, they are urged to call the University Police or, if more convenient, the city

police/fire emergency number 911.

To provide better protection and increase service, calls to the University Police communications Center and from emergency phones are tape-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; to subscribe, go to:

<https://listhost.uchicago.edu/mailman/listinfo/safety-awareness>

Security concerns, suggestions, and criticisms may be relayed through electronic mail. The e-mail address is 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.

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.

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 REGULATIONS

OFFICIAL COMMUNICATION BY ELECTRONIC MAIL

Official communications from the Institute are sent via electronic mail (e-mail) to each student's 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.

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 and rules.*

STUDENT RECORDS

DIRECTORY INFORMATION

The Institute makes available without the express consent of a student only 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 furnishes 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.

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 adviser, 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 in no case more 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 Chief Academic Officer, 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 Chief Academic Officer, 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

Where required by federal regulations issued under the Family Educational Rights and Privacy Act of 1974 as amended, students may obtain copies of their educational records at a cost of 10 cents per page, with the following exceptions: transcripts will be available at a cost of \$7 per copy and can be requested in person, by fax or mail; credentials and reference letter files with the Institute are \$10 to establish for students and alumni, and mailing of reference letters to graduate schools and employers costs \$7 per set.

RELEASE OF STUDENTS' RECORDS

Under current federal regulations, except for “directory information” about a student, a student’s records may be released without his or her prior written consent only to other school officials, including teachers, who have “legitimate educational interests.”

A “school 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.

A school 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 cubicle including their own personal PC. MAT-LAB, Mathematica, MS Office and other software as needed will be installed on the computers. A Sharp NoteVision projector and screen are provided in the conference room 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.

THE TTIC ID CARD and the UNIVERSITY OF CHICAGO ID CARD

The TTIC ID card is an official identification card and is subject to the regulations of TTIC. The card identifies a person as either a student or an employee, but not both. The card is not transferable and must be presented upon demand to an Institute official. Misuse of the card will result in its forfeiture and may be subject to disciplinary action.

Students will also be 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, and other University services. Students will also be assigned a CNet-ID, which allows access to the University's email system and other administrative student systems.

BUILDING ACCESS AND KEY CARDS

Students are assigned key cards which allow 24/7 access to the main entrance of the 6045 S. Kenwood building and the TTIC office area. 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 keycards will not open the doors. See the Holiday section of this handbook for the current official holiday listing.

There is a \$5.00 replacement fee for keycards that are lost or stolen. Please notify the Human Resources Coordinator immediately to report lost or stolen keycards, for security purposes.

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.

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 petition with the Chief Academic Officer.

STUDENT HEALTH

HEALTH INSURANCE

The Institute requires students to carry medical insurance. The option of purchasing student health insurance from the University of Chicago will begin with the beginning of the 2011-2012 school year. TTIC will follow the University policy that requires participation unless the student provides proof of alternate coverage. The current rates for the University health insurance are available from the Human Resources Coordinator.

In support of this mandate, the Institute will subsidize the cost of the insurance policy up to \$1800 annually. If the annual premium for the plan chosen is less than \$1800, TTIC will subsidize a maximum of 100% of the premium. The subsidy can be applied toward policy coverage of a spouse, domestic partner, or dependents that are on the same insurance policy as the student.

If a TTIC student's spouse is a student at a college or university other than TTIC or is an employee of an organization and the spouse can purchase insurance for themselves and include the TTIC student a dependent, then TTIC will subsidize the actual cost of the additional insurance for the TTIC student up to \$1800 annually.

If a student is covered under a parent's policy, the Institute will provide a reimbursement of up to \$1800 per year upon documentation of the additional cost of the plan to cover the student. The reimbursement will not exceed the actual cost of the student coverage.

There are several levels of benefits provided to University students depending on dependents covered and if prescriptions are included. If the student chooses an option for coverage of dependents or for prescription coverage under the University plan, the student will pay any additional costs.

For those students who do not currently hold a health insurance policy and do not wish to enroll in the University of Chicago plan, the Institute provides information on various sources through which students can purchase insurance policies. The list of sources is available from the Human Resources Coordinator. This is not necessarily a recommended list of sources; students are expected to research and choose the insurance company and policy that best meets their needs.

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). A student's subsequent registration will be restricted if they have not completed the requirement by the sixth week of the quarter.

STUDENT CARE CENTER

The University of Chicago Student Care Center 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:

Student Care Center
860 E. 59th Street, Room 100
Phone: 773.702.4156

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 the TTIC Intranet for the current reimbursement policy. Also refer to the International House website for current course offerings.

CAR POOL BENEFITS

TTIC/UC full-time students living off-campus are eligible to participate in the University car pool program. The carpool incentives are 1) for 1-2 person carpools, half off regular price of a parking permit, and 2) for 3+ person carpools, free parking permit.

Please refer to the policy on the TTIC intranet or the University website for further information.

SCHOOL CLOSINGS DUE TO EMERGENCIES 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, listen to local radio stations or refer to the University website.

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 the civil society and are free to claim and assert 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 standards of behavior 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 members of the TTIC 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, for example: 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 his 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 or Chief Administrator 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 even in referral to an appropriate disciplinary committee.

RESTRICTION OF REGISTRATION

The Institute reserves the right to restrict further registration and cancel existing registration of a student, irrespective of academic standing, when in the judgment of the Chief Academic Officer, the student's continued presence is likely to result in a hazard to the student or to other members of the Institute. In order to be considered for resumption of studies, such a student must establish to the Chief Academic Officer's satisfaction that the student's presence in this particular environment will no longer be a hazard to himself or others.

IDENTIFICATION

A student is subject to disciplinary action if he fails to identify him- or herself adequately upon proper request of 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 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 standards of behavior expected of TTIC students (e.g. theft, plagiarism, cheating on examinations, violations of library regulations, computer 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 Chief Administrator. Charges of such violation may, however, be referred only by the Chief Academic Officer and the Chief Administrator. 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, who thereafter becomes responsible for processing all aspects of the case under the Committee's direction, a copy of the charge and a statement of the evidence on which it is based. The Chief Administrator's 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 rights and of the substance of the procedure to be followed throughout by the Committee as set forth herein or in some other form. He is advised that he may be represented by someone of his own choosing at every stage of the

proceedings, is asked to consider and to decide, if possible, whether he will request a private or a public hearing of the case. He 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 may bring forward and that it will also accept statements in writing if he is not able to procure their attendance and assistance.

This policy of full disclosure is further implemented by informing the student that any additional evidence becoming available to the Committee will be available to him before the hearing, and is told how he and his 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 chooses to testify he 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 own choosing are present as well as his 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 representative may request changes of schedule in the interest of a more adequate presentation of his case or may change his mind as to whether he 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. He may delegate this responsibility to another member of the Committee, but it is his responsibility to see that the function is provided for 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 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 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 Chief Administrator 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 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 Chief Administrator of the Institute. For the review, the Chief Administrator may convene a disciplinary committee augmented by one member or representative of the administrative department by which the original sanction or penalty was imposed. This review committee shall reconsider the sanctions for remission or confirmation.

Note: For those Institute students who will be lodging in the International House on the University of Chicago campus, please refer to the International House's Resident Handbook.

SANCTIONS BY 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 Chief Administrator 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, except that a student under suspension charged with another offense 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 must make that request in writing to the Chief Administrator not 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 Chief Administrator (or his 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 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 Chief Administrator. The disciplined student must submit the request for review and supporting material in writing. Upon his request, he 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 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:

- that prescribed procedures were not followed,
- that the penalty will have unforeseen consequences for the student that are harsher than intended, and
- that 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 Chief Administrator or his 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 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 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, 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 was denied a fair and impartial hearing;
- where the petitioner establishes to its satisfaction that since the initial hearing he 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 Council's actions with respect to disciplinary procedures shall be published in such a way as to ensure their general availability to all students.