



STUDENT HANDBOOK

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TABLE OF CONTENTS**

INTRODUCTION	3
I. INSTITUTION MISSION AND GOALS	4
II. GENERAL POLICIES	6
Statement of Non-Discrimination	6
Civil Behavior in a Higher Learning Environment	6
Prohibited Harassment and Discrimination	6
Consensual Relations Between Faculty and Students	7
Assistance for Students with Disabilities	7
Academic Honesty	8
Academic Misconduct	8
Grievance Filing	8
Networking and Information Technologies Policies	10
Intellectual Property	
Acceptable Use of IT Resources	
Sanctions and Procedures	
Safety	11
Firearms	
Non-Smoking Policy	
Safety Awareness	
cAlert Program	
Late Night Transportation Services	
Security Inspection	
Responsibility for Guests	12
Missing Student Policy	12
Unresponsive Student Policy	13
Emergency Contact Information	14
Institute Policies on Alcohol and Other Drugs	14
III. ADMINISTRATIVE POLICY & REGULATIONS	14
Current Policies, Rules and Regulations	14
Official Communication by Electronic Mail	15
TTIC User Account	15
Student Records	15
Directory Information	
FERPA	
Inspection and Review of Education Records	
Amendment of Educational Records: Right to a Hearing	
Transcripts	
Release of Students' Education Records	
Preferred Name and Legal Name Change	17
Address Changes	19
Learning Resources	19
Library Privileges	19
Initial Computer Equipment Policy	19
Tuition & Fees	20
Student Financial Support	20
Tax Withholding and Reporting	20
Student Reimbursement	20
University of Chicago ID Card and cNet ID	21
Petitions	21
Student Health	21

Health Insurance Coverage and Opt-Out	
Immunization Requirements	
Student Wellness Facilities	
Retaining USHIP Insurance	
Illinois Student Optional Disclosure of PMH Act	
Voluntary Leave of Absence	23
Religious Accommodation	23
English as a Second Language Tuition Benefit	23
Women in Science Conference Support	24
Student Body Funds	24
CITI Conflict of Interest Training for All Institute Members	24
Emergency Messages & School Closings Due to Emergencies or Weather	24
Discontinue Study Notice	25
IV. DISCIPLINARY PROCEDURES	25
Introduction	25
Statutory Provision	25
Definition of Disruptive Acts	26
Authority to Summon	26
Application of Disciplinary Procedures	26
Involuntary Leave of Absence	26
Identification	28
Constitution of Disciplinary Committees	28
Conduct Procedures	29
Report	
Evaluation of Report	
Notice to Student/ Charges	
Student Initial Response	
Resolution without a Formal Hearing	
Formal Hearing	
Reconsideration of Disciplinary Decisions	
Sanctions by University of Chicago	32
Sanctions by Toyota Technological Institute at Chicago	32
Disciplinary Probation	
Suspension	
Expulsion	

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 at their best 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 content in this handbook. Let us know if you have any questions, or if you have suggestions for how this handbook can be improved by contacting the Administrative Director of Graduate Studies, Chrissy Coleman (ccoleman@ttic.edu).

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, and no one of the criteria above is alone a solid measure in itself. However, the combined evaluation of these and similar criteria helps assess the academic impact achieved by TTIC researchers.

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

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

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

The Education Mission

The education 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 education mission is broader than in the research mission. The graduates of TTIC might achieve impact by starting successful companies, managing successful products, or influencing government directions in research funding. Of course TTIC also strives to produce Ph.D.s who achieve academic impact throughout their careers. The institute strives to produce graduates who contribute to society through their intellectual leadership in computer science and information technology. Success in the education mission requires appropriate selection of curriculum, effective teaching to enable learning, effective assessment and mentorship of students, and effective marketing of students in the job market. TTIC strives to place its Ph.D. graduates at high-quality research institutions. TTIC also strives to make its Ph.D. students visible to the academic community before graduation. This can be done most effectively through publications prior to graduation.

Diversity, Inclusion and Equity

TTIC is committed to effective and compliant policies that foster and expand a supportive and inclusive environment to encourage success for students, staff, and faculty. The institute should exploit the intellectual abilities and talents of all segments of society. TTIC's collective success in its research and education missions depends on the robust exchange of ideas, as well as on collaboration, innovation, creativity, and broad participation. This requires a dedication to promoting diversity, equity and inclusion in its faculty, staff, student body, and educational programs.

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 important challenges, it also holds great 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. TTIC's vision is to discover and explore fundamental principles of computation and to improve our 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 and its work have been formulated and are carried out consistent with this vision and these values.

People

The strength of TTIC lies in its people. Whether directly involved in research and education, such as faculty and students, or providing the infrastructure and support needed for these activities to take place, all of our people are important to the success of TTIC's mission. TTIC acknowledges the value provided by each member of its community and aims to provide all its members with the tools and support they need to do their part in advancing the institute's mission.

II. GENERAL POLICIES

Statement of Non-Discrimination

In keeping with its long-standing traditions and policies, TTIC considers students, employees, applicants for admission or employment, and those seeking access to programs, on the basis of individual merit.

In accordance with federal, state, and local law, TTIC does not discriminate on the basis of sex, race, color, religion, national origin, citizenship, ancestry, age, marital status, physical or mental disability, medical condition, genetic information, pregnancy or perceived pregnancy, gender, gender identity, gender expression, sexual orientation, protected military or veteran status, or any other legally protected status. TTIC prohibits discrimination based on legally protected status with respect to all employment-related decisions, educational and admissions policies, personnel actions, and academic actions.

For additional information, please see the [Policy on Discrimination, Harassment, and Abusive Behavior](#) located on the intranet under 'Institute-Wide Policies.'

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. The Institute may restrict expression that violates the law, that falsely defames a specific individual, that constitutes an act of violence, abuse, or harassment or a threat of violence, abuse or harassment, that unjustifiably invades substantial privacy or confidentiality interests, or that is otherwise directly incompatible with the functioning of the Institute or its mission. In addition, the Institute may reasonably regulate the time and place of expression to ensure that it does not disrupt the ordinary activities of the Institute.

Prohibited Harassment and Discrimination

TTIC is a community of scholars dedicated to research, academic excellence, and the pursuit and cultivation of learning. Members of the TTIC community cannot thrive unless each is accepted as an autonomous individual and is treated without regard to characteristics irrelevant to participation in the life of the Institute. TTIC is committed to providing a respectful and positive environment for all members of the community. TTIC strives to provide an educational and working environment for all students, faculty, and staff that are free from all forms of harassment, discrimination, and abusive behavior. These behaviors compromise the integrity of the Institute, are an attack on the core TTIC values, and inhibit fulfillment of the Institute mission; they are strictly prohibited. For more information regarding prohibited discrimination, harassment, and abusive behavior, please see TTIC's [Policy on Discrimination, Harassment, and Abusive Behavior](#). For more information regarding prohibited discrimination based on sex, please see TTIC's [Sexual Harassment Policy](#). Both are on the Intranet under 'Institute-Wide Policies.'

In accordance with federal, state, and local law, TTIC does not discriminate on the basis of sex, race, color, religion, national origin, citizenship, ancestry, age, marital status, physical or mental disability, medical condition, genetic information, pregnancy or perceived pregnancy, gender, gender identity, gender expression, sexual orientation, protected military or veteran status, or any other protected status under the law, including Title IX of the Education Amendments of 1972. TTIC prohibits discrimination based on legally protected status with respect to all employment-related decisions, educational and admissions policies, personnel actions, and academic actions. For additional information regarding TTIC's policies on discrimination and harassment, please see:

- Discrimination, Harassment, and Abusive Behavior Policy
- Sexual Harassment Policy

If you have questions about this Notice of Non-Discrimination, Title IX, Title VI of the Civil Rights Act of 1964 (“Title VI”), Title VII of the Civil Rights Act of 1964 (“Title VII”), the Americans with Disabilities Act of 1990 (“ADA”), or Section 504 of the Rehabilitation Act of 1973 (“Section 504”), or if you believe you have been discriminated against based on your membership in a protected class, please contact Amy Minick, TTIC’s Title IX Coordinator and Section 504/ADA Coordinator. You may contact Ms. Minick by emailing aminick@ttic.edu, by calling 773.702.5033, or by writing to Amy Minick, Toyota Technological Institute at Chicago, 6045 S. Kenwood Ave. Chicago, IL 60637. [Online submissions](#), with anonymous reporting options, are also available.

Questions and complaints regarding any of the laws listed above and TTIC’s application of those laws can also be submitted to the [Assistant Secretary of the Office of Civil Rights in the Department of Education](#).

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.

TTIC’s Consensual Relationship Policy requires that a student, faculty or staff member may not seek or enter into a consensual relationship with another individual over whom they have a supervisory relationship. If a consensual relationship existed between individuals before entering into a supervisory relationship (e.g., a consensual relationship between two students where one is planning to TA a course the other is planning to take), the supervisor must promptly report the relationship to the Human Resources Director, who, in consultation with the Director of Graduate Studies, will explore alternate instructional or supervisory arrangements that safeguard the welfare of the student or subordinate and maintain the integrity of the evaluation process.

Faculty members with instruction or advisory duties are prohibited from seeking or entering into a consensual relationship with any TTIC student or any student whom they advised or teach.

The full Consensual Relationship Policy including what is considered a “consensual relationship, instructions on reporting and more can be found on the Intranet under ‘Institute-Wide Policies.’

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 is committed to providing individuals with disabilities access to its programs, services, and activities. Pursuant to Section 504 of the Rehabilitation Act, the Americans with Disabilities Act (ADA), and other applicable federal, state, and local laws and regulations, the Institute admits and evaluates students on the basis of individual merit and prohibits discrimination and harassment against a qualified individual with a disability. TTIC works in collaboration with the University of Chicago’s Student Disability Services, Office for Access and Equity, Employee and Labor Relations Team, among others, to provide individuals with disabilities access to programs, services, and activities

Human Resources is the point of contact for providing reasonable accommodations to qualified individuals with disabilities to enable them to participate fully in the life of the Institute. Students with disabilities should contact Human Resources to request assistance and coordination of accommodations at the Institute. The process for reviewing and granting requests for reasonable accommodation can be found in the [Reasonable Accommodations Policy](#).

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 to await assistance from emergency response personnel. DO NOT USE ELEVATORS.

A of rescue assistance areas shall be posted in the building, on each floor. These locations are communicated to 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, 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. 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 pathways for those who may be accessing the exit stairwell.

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. TTIC is dedicated to the creation, dissemination, and application of knowledge, fostering an intellectual environment and community deeply committed to certain fundamental ethical principles based on academic integrity. It is contrary to justice, to academic integrity, and to the spirit of intellectual inquiry to submit the statements or 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 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.

Academic Misconduct

Instances where academic misconduct or fraud in a course, duties or in research by a faculty member or student are suspected may be reported and an investigation may be initiated. The full description of Academic Misconduct and procedures for investigation can be found on the Intranet under 'Student Policies.'

Grievance Filing

This procedure applies to issues not involving or otherwise covered by TTIC's Sexual Harassment Policy.

TTIC is committed to a policy of fair treatment of its students in their relationships with fellow students, faculty, staff, and administrators. A "grievance" is an expression of dissatisfaction concerning a TTIC employee, service, or process, or an administrative action, regarding violation of TTIC policies or procedures that requires clarification, investigation and/or resolution. Students who feel aggrieved should attempt to resolve complaints informally before initiating the grievance process. If those attempts are unsuccessful, the student may file a formal

grievance by submitting a signed (by the complainant) written letter to a “Designated Institute Administrator” responsible for this policy, which is any one of the following: Chief Academic Officer, Director of Graduate Studies or Administrative Director of Graduate Studies.

Formal grievances should be filed as soon as reasonably possible in order to maximize the Institute’s ability to investigate and resolve the issue. However, TTIC recognizes that these issues can sometimes be ongoing and encourages reporting at any time.

The grievance must point to violation of policy, procedure or criterion by a TTIC community member, resulting in harm or adverse action to the student. The written grievance must contain the following information:

- The individual or group against whom the grievance is filed;
- The specific policy or procedure that was allegedly violated;
- The date(s) of the alleged violation(s);
- Facts relevant to the alleged violation(s);
- The identities of other Institute personnel with knowledge of the alleged violation(s);
- All relevant supporting documentation.

Upon receipt of the grievance, a Designated Institute Administrator will acknowledge receipt using the student’s Institute email address. The Designated Institute Administrator will review the grievance to determine if it contains the necessary elements and, if so, will investigate the matter. While anonymous reports will be reviewed by the Designated Institute Administrator, the Institute’s ability to address grievances reported by anonymous sources is significantly limited.

The Administrative Director of Graduate Studies will log all written complaints, and the handling and resolving of complaints in the Institute Student Complaint Log.

If the Designated Institute Administrator determines that grievance does not contain the necessary elements, he/she may dismiss the grievance and inform the student of that action. Additionally, if the student grievant declines to participate in the investigation, the grievance may be dismissed without further action.

If the Designated Institute Administrator determines that the grievance would be more appropriately addressed by another established process at the Institute, the grievance will be transferred and the student informed of that action. The grievant bears the burden of proving there has been a violation of policy, procedures, or established practice. The standard of proof is a preponderance of the evidence.

If the Designated Institute Administrator determines the grievance contains the necessary elements, he/she shall conduct an investigation of the matter and evaluate all available evidence. The Administrative Director of Graduate Studies shall provide periodic updates regarding the status of the investigation to the student who filed the grievance.

As soon as possible after concluding the investigation, the Administrative Director of Graduate Studies shall issue a written decision to the parties regarding the investigation findings and conclusion.

Either party to the grievance may appeal the decision of the Designated Institute Administrator Studies in writing to the President within five (5) business days of receiving that decision. The appeal must be based on the information presented during the grievance investigation and no new information will be accepted unless it was previously unavailable to the party seeking its submission. The President will review the written appeal, the grievance decision, and all relevant information gathered during the grievance investigation. The President will accept, reject, or modify the grievance decision and notify the parties of the appeal decision in writing. The President’s decision is final and not subject to further review.

Complaints of violations of TTIC’s Sexual Harassment Policy or Discrimination, Harassment and Abusive Behavior Policy will be handled pursuant to the grievance procedures set forth in those policies. TTIC encourages students to attempt to resolve complaints involving other Institute policies, procedures, criterion, or practices,

disputes informally, but there is no requirement that students do so before availing themselves of the grievance procedures described above.

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

Intellectual Property Policy

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 Institute has an Intellectual Property Policy available on the Intranet under Faculty Policies. All students should be familiar with and are expected to comply with the provisions of the Intellectual Property Policy.

Acceptable Use of IT Resources

TTIC provides information technology for educational, research, and administrative applications by its students, faculty, and staff. The Acceptable Use of Technology Resources Policy balances the individual's ability to benefit fully from information technology and the Institute's need for a secure and reasonably allocated information-technology environment.

Students are expected to comply with all Institute information technology rules and policies as well as applicable policies promulgated by the University of Chicago. Violations may result in termination of IT privileges or disciplinary action, which can have serious consequences.

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

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 technology that violates the Acceptable Use of Technology Resources Policy and rules based on it may result in termination of IT privileges, 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 technology resources may result in police intervention or legal action.

Safety

Firearms

Possession of firearms of any kind, explosives, or other dangerous objects or materials on the Institute and University campus property is prohibited, subject to the exceptions set forth below:

1. Law Enforcement. This policy permits the possession, use and storage of firearms and other lethal weapons by sworn law enforcement personnel, authorized security officers and armed guards possessing, using and storing such devices as required by their job.
2. Parking Lots and Non-Institute Vehicles. This policy permits a person legally carrying a concealed firearm under Illinois law to park a non-University owned or controlled vehicle he or she is driving or in which he or she is a passenger in any Institute owned, leased or controlled occupied parking area or lot. Also, such a person may carry the concealed firearm in the immediate area surrounding the vehicle within the parking lot, but only for the limited purpose of storing or retrieving it from the trunk. This policy also permits a person legally possessing a firearm under Illinois law to park a non-Institute owned or controlled vehicle he or she is driving or in which he or she is a passenger in any Institute owned, leased or controlled parking area or lot only if the unloaded firearm and any associated ammunition are maintained, at all times, in a case within the locked vehicle or in a locked container out of plain view and within the vehicle. A "case" includes a glove compartment or console that completely encloses the firearm and ammunition, the trunk of the vehicle, or a firearm-carrying box, shipping box, or other container. The Institute retains the authority to designate certain Institute owned, leased or occupied parking areas or lots as restricted areas in which all vehicles containing firearms are prohibited. In those instances, the Institute will post signage indicating the prohibition.
3. Concealed Carry Permits. Nothing in this policy is designed to limit Institute students or other affiliated persons from exercising their rights, off-campus, pursuant to a valid concealed carry permit, so long as they are not conducting Institute business in person or participating in a University-sponsored activity at the time.

Non-Smoking Policy

In accordance with regulations promulgated by the City of Chicago, and the State of Illinois, TTIC and the University of Chicago are smoke-free environments. Smoking is prohibited in all buildings owned and operated by TTIC and the University of Chicago, including but not limited to libraries, museums, coffee shops, commons, and laboratory buildings. Smoking is permitted outside a building but not within fifteen feet of any entrance.

Safety Awareness

The University of Chicago Police Department (UCPD) 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.

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

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 9-1-1.

The UCPD provides access to a range of data and information from its day-to-day operations. This information goes beyond the requirements of the Illinois law for police departments at private institutions, but is provided as a way to enhance the transparency of its policing activities. https://safety-security.uchicago.edu/police/data_information/

The campus community may make a UCPD incident report through an online form here: https://safety-security.uchicago.edu/police/contact_the_ucpd/complaint_form/

TTIC maintains an “[Emergency Contacts](#)” intranet page with important emergency contact information including University police, Chicago police, building security, medical center, and c-alert.

cAlert Program

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

Late Night Transportation Services

The late-night transportation services consist of UGo Night Shuttles, and an escort service provided by the University of Chicago Police Department. Lyft Ride Smart at UChicago offers students 10 free rides per month (up to \$15 off per ride) on all late night rides within the service area during program hours.

Security Inspection

Desks, cubicles, offices, cabinets, digital storage, and other storage devices are provided for study, as academic tools, and the convenience and comfort of students and employees but remain the property of the Institute. In the event that safety or legal compliance is in question, they, as well as articles contained within them, can be inspected by an Institute officer, Human Resources, Chief Academic Officer, or campus police officer at any time, with or without prior notice. Records of any searches shall be maintained in the Office of Human Resources.

Responsibility for Guests

Student hosts are responsible for the behavior of campus guests, who, while they are visitors, are expected to observe the standards of conduct applicable to students at the.

Students who have visitors who will be at TTIC for more than two days must bring the visitor to check-in with the Office of Human Resources. Visitors and guests should only be on the Institute premises when their host is also present, or when the premises are open to the public during open building hours. Violation(s) of this provision is subject to the Conduct Procedures in the Disciplinary Procedures section of this Handbook

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 circumstances 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 Students Counseling Services and/or Student Wellness.

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. See the *Crisis Communication Policy* on the Intranet.

Unresponsive Student Policy

For the purposes of this policy, a student may be considered to be "unresponsive" if an institute official (an instructor, advisor, institute administrator and/or officer) has not received an expected or instructed reply or communication from a student after three attempts with explicit instructions to communicate with said official, or if the period of no reply goes beyond 10 business days.

Such circumstances may possibly be due to the student: suffering from physical or mental illness; experiencing an emergency, or avoiding program obligations.

Students who are unresponsive should be reported to the Administrative Director of Graduate Studies who will collaborate with the other Designated Institute Administrators in an effort to communicate with and determine the student's state of health and well-being. A "Designated Institute Administrator" is the Chief Academic Officer, Director of Graduate Studies and Administrative Director of Graduate Studies.

The reporting official is asked to keep record of:

- Student's name
- Last communication with the student (place, time, student disposition, topic of communication)
- What efforts have been undergone to contact the student (email, phone call, in-person wellness check, requesting a friend to contact them, etc.)
- Anything else that describes the student's mindset.

The Admin DGS will attempt to contact the student through several methods, explain that the institute is concerned, and give instructions that the student should reply within 48 hours to the DGS or Admin DGS. The student should be notified that they may request a Voluntary Leave of Absence if they qualify. (*Voluntary Leave of Absence Policy*)

If the student replies to contact, the DGS or Admin DGS (whomever was contacted by the student) will attempt to verify the student's well-being, state of health, and willingness and ability to participate in academic activity. When and where appropriate, a referral may be made to Students Counseling Services and/or Student Wellness. If necessary, and in consultation with the Director of Graduate Studies, an Involuntary Leave of Absence may be issued.

If a student does not reply inside 48 hours, the student's listed Emergency Contact will be notified. If a student does not have a listed Emergency Contact, the University of Chicago Police or Chicago Police Department will be asked to do a wellness check.

An automatic letter of suspension will be issued to the unresponsive student. International students will receive additional notice from the TTIC Office of International Affairs. The letter shall describe the situation, refer to this policy, and that the institute will end their student status in the program on a certain date. The letter should include who the student should contact to discuss re-admittance to the program.

Emergency Contact Information

Upon initial matriculation, students will designate an emergency contact in Populi, and on my.uchicago.edu. The designation will remain in effect until changed or revoked by the student. The emergency contact information 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. -Students may change their designated emergency contact or update the contact information for that individual(s) at any time.

Institute Policies on Alcohol and Other Drugs

The Institute recognizes both alcohol and drug abuse as potential health, safety, and security problems and expects its students to assist in maintaining an 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 or participating in Institute programs or activities 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.

The federal Drug Free Workplace Act of 1988 requires that the Institute advise all employees about its substance abuse policy and that all employees follow that policy as a condition of employment. The Institute maintains a comprehensive *Drug and Alcohol Policy*, which can be found on the intranet under Institute-Wide Policies. Any violation of this policy may lead to sanctions, including termination due to misconduct.

III. ADMINISTRATIVE POLICY & REGULATIONS

Current Policies, Rules and Regulations

In the autumn quarter the Institute publishes updated policies, rules, and regulations related to registration, student status, grades, and graduation. The most current policies, rules, and requirements are available online on the intranet. ***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 reading email sent to this official address. 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 passwords and accounts. Users are responsible for taking reasonable actions to maintain 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. The Institute defines directory information as name, current address, TTIC email address, telephone listing, photographs, major field of study, current registration status, awards and honors, participation in officially recognized activities, dates of attendance, degrees, and the most recent educational agency or institution attended. Students may request that all of their information be withheld by filling out the **Exclusion of Directory Information form** on the Registrar's website. The Institute may use information which the student has directed be withheld from public release for internal purposes or per exceptions provided by the Family Educational Rights and Privacy Act (FERPA).

FERPA

A student's educational records are defined under the Family Educational Rights and Privacy Act (FERPA) 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 Institute's **FERPA Policy** is posted on TTIC's intranet under 'Student Policies.'

Inspection and Review of Education Records

The Institute's procedures regarding the inspection and review of education records under the FERPA are as follows:

1. All students who are or have been in attendance at the Institute have the right to inspect and review their education records, subject to the limitations and exceptions set forth in FERPA and its related regulations, 20 U.S.C. § 1232g and 34 CFR Part 99.
2. "Education records" include all information maintained by the Institute that is directly related to a particular student. For this reason, academic calendars, course syllabi, general announcements, and other materials related generally to the germane academic program or course of study are not subject to FERPA review. Additionally, although students will have access to personal electronic data printed in an appropriate format, the Institute will not create custom documents, summaries, or reports from such systems or databases.
3. To facilitate the gathering and inspection of student records, all requests must be submitted in writing to the TTIC Registrar. Neither requests to other Institute personnel nor verbal requests will be honored.

4. If a student's request is unclear or insufficiently specific, a representative from the Institute may discuss the request with the student to assure that the appropriate records will be gathered for the student's review. The representative will then coordinate with relevant Institute officials to gather the requested records; review the records to confirm that they are complete and redact any FERPA-waived recommendations, information about other students subject to FERPA privacy obligations, or any other information protected from disclosure by FERPA or other applicable law; finally, the representative will make arrangements with the student to inspect the records in person.
5. Education records belong to the Institute and, although students have the right to review and request amendments as set forth below. Students are not authorized to photocopy, photograph, or otherwise image or duplicate Institute records. Students may, however, take personal notes regarding their educational records. Students should be mindful of the risks of sharing personal information from their educational records with those who are not subject to FERPA's privacy requirements.
6. Any medical records provided by students to TTIC are subject to strict confidentiality except as authorized by applicable law (e.g., HIPAA and/or the Illinois Mental Health and Developmental Disabilities Confidentiality Act). Student medical records are not considered to be part of a student's education records within the meaning of FERPA. A student should continue to consult their physician or mental health professional about how to obtain their medical records.
7. 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.
8. Personal notes written by a member of the faculty, an advisor, or other Institute employees concerning a student that are generated and maintained, for the exclusive use of the writer, and not shared, will be retained by the writer are not considered part of the student's educational record under FERPA.
9. Access to a student's educational records will be provided within a reasonable period of time, but in no case will an offer to meet and review the records be made more than forty-five days after the request. If, after reviewing their educational records, a student believes that certain records encompassed by the request were not made available for inspection, the student should submit a follow-up request clarifying the additional records the student believes exist.

Although the Institute offers students and former students an opportunity to inspect and review their educational records, copies may be provided if circumstances effectively prevent the student from inspecting and reviewing their education records and other arrangements (e.g., electronic access) cannot be made.

Amendment of Educational Records: Right to a Hearing

The Institute will provide students an opportunity for review if they believe their educational records to be inaccurate or misleading. If a student believes a record is inaccurate or misleading, the student may write the Registrar, clearly identifying the part of the record the student wishes changed and specifying why the record is inaccurate or 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 the initial conference prove unsatisfactory to the student, the student may request a hearing. Additional information regarding the hearing procedures will be provided to the student upon receipt of the request. The amendment hearing procedure is, however, intended only to facts that are inaccurately recorded; complaints about matters other than accurate recordkeeping (for example, objections to grades, opinions, or substantive decisions made about the student) are subject to the procedures set forth in the Grades Policy found on the Intranet under 'Academic Policies.'

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

Transcripts

Official transcripts are available from a student's account in Populi. Step-by-step instructions are found on the Registrar site "Transcript Request" page. For alumni without a Populi account, transcripts may be requested from the TTIC Alumni Services webpage.

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' Education Records

Under FERPA, except for "directory information" about a student, a student's records may be released without his or her prior written consent only to other Institute officials who have a "legitimate educational interest in the information.

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.

As specified in more detail in FERPA, a student's educational records may also be disclosed without his or her prior written consent under certain circumstances, including:

- To specified federal and state officials subject to certain conditions;
- To officials of another school, school system, or institute of post-secondary education that has requested the record and where a student seeks or intends to enroll;
- In connection with a student's application for or receipt of financial aid;
- To state officials who, pursuant to state statute prior to November 19, 1974, had access to records;
- To accrediting organizations for the purposes of accreditation;
- To parents of a student who is a dependent for income tax purposes;
- To "appropriate persons," including parents, in the event of health and safety emergencies; and
- In response to a judicial order or subpoena

Preferred Name and Legal Name Change

Preferred Name

TTIC recognizes that students may choose to identify themselves within the community with a "preferred" first name that differs from their legal first name. If a student documents a "preferred" first name, it will be used across institute systems, where feasible.

Definitions:

Legal name – The name that appears on government issued identification (such as a passport).

Preferred first name – A first name other than the legal name; may not be used to avoid legal obligation or with the intention to misrepresent.

A preferred first name can be documented in Populi, regardless of whether the name is legally documented.

TTIC reserves the right to remove a preferred first name from institute record and use if it is used inappropriately, including but not limited to, avoiding a legal obligation or for the purpose of misrepresentation.

The legal name will continue to be used in institute-related systems, processes, and documents such as reporting, financial aid, official transcripts, visa, payroll and tax documents, and other records where use of legal first name is required by law or TTIC policy.

People may choose to use a preferred first name for various reasons, including

- Preferring to use a nickname instead of a legal name
(Examples: Chris instead of Christopher; Beth instead of Elizabeth; M.J. instead of Miguel Jr.)
- Choosing a name that aligns with a gender identity

The preferred first name will appear in the following locations:

- Populi (profile, class list, TA assignment, etc.)
- TTIC's Student and Alumni webpages
- TTIC newsletter, social media and non-legal, non-formal academic publications
- Institute correspondence with the student

Legal name must appear in the following places:

- Transcripts
- Enrollment verification forms
- Financial aid documents
- Legal documents
- Published thesis submitted to the institute
- Institute-issued diplomas

The institute's use of student names shall adhere to FERPA policy's directory information section.

If a student wants to use the legal first name, the student DOES NOT need to do anything. TTIC will automatically use the legal name and there is no need to do anything.

Adding or Changing Your Preferred Name:

To create a preferred name, log in to Populi and hover over your bold name at the top of your profile page. Select the "edit" button.

An "edit name" box will open that will allow you to enter preferences: preferred name, prefix, suffix, middle name, etc. Save your changes before closing the box.

The profile should now display the preferred first name.

Changing your preferred name and profile information in my.UChicago.edu:

<https://registrar.uchicago.edu/records/student-profile-information/using-my-profile/>

International Students:

I-20s and government issued passports always show students' legal names. Students who want to add an additional preferred name on the I-20 can request a customization from TTIC's Office of International Affairs.

Legal Name Change

Students who officially change their legal name should visit the Registrar's Office in-person. Individuals will need to submit two pieces of current identification with the legal name change visible: government-issued photo identification (passport, driver's license) and the name change document (i.e. a marriage certificate, divorce decree, or court document reflecting the name change).

International Student Name Change:

After changing your name with the Registrar, request an updated I-20 or DS-2019 from the TTIC Office of International Affairs.

Review your F-1 or J-1 visa. If your current student visa is still valid, you can continue to travel with the valid visa (issued in your previous name) as long as you carry documentation of your legal name change when traveling. Immigration officials will need to review documentation of both names at the port of entry. If your student visa has expired, or if you want the visa to reflect your new name, follow the normal procedures for applying for a new visa using your new passport and I-20.

Changing your legal name and profile information with University of Chicago:
<https://registrar.uchicago.edu/records/student-profile-information/name-change/>

Address Changes

Students are responsible for ensuring that their directory information, including mailing address and contact information, is accurate and current at all times in Populi <https://ttic.populiweb.com>, TTIC's student management system, and at www.my.uchicago.edu UChicago's student management system.

Students are responsible for updating any change of address, whether campus, local, or permanent.

The Institute sends certain official communications by regular mail to the address on file in Populi. If the Institute mails official correspondence 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, and the student will be responsible for any late fees and other administrative action resulting from failure to respond to the mailing.

International students who are in the U.S. in F or J visa status 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.

Students wishing to withhold the release of their addresses and phone numbers to third parties may request this via the **Exclusion of Directory Information form** from the Registrar site.

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 for additional computer equipment during the course of their study at TTIC, absent extenuating circumstances. 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 Financial Support

TTIC financially supports its PhD students who continue to meet the on-going requirements of the program. The terms of each student's support package will be set forth in his or her admittance letter, and may include tuition, stipend, student services fees, and student USHIP insurance. Students are encouraged to apply for external fellowships, information on which can be found on the Registrar website. Students funded by 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* can be found on TTIC's intranet under 'Student Policies.'

Tax Withholding and Reporting

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.)

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 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. International Students will also 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 Reimbursement

Students may be eligible for reimbursement for qualifying educational equipment or attending events, conferences and/or workshops.

Reimbursements require approval by the funding faculty member (typically the advisor) or office **prior to** the purchase or travel. The full *Student Funding Policy* and *Travel/Reimbursement Procedure* 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 the proximity between the Institute and the University of Chicago, TTIC students are also 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 is suspended from or leaves the program for any reason. 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.

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. Present your Chicago Card to the TTIC Office Manager to activate the building access functionality.

After normal working hours in the evenings and on weekends the Chicago Card 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 Eve – December 24th
- 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 the Events and Facilities Manager immediately to report lost or stolen ID cards, for security purposes. Complete *Building Access* policies are on the TTIC's intranet 'Policies' page.

Petitions

Any student who wishes to appeal for special consideration under an Academic Program regulation or an interpretation thereof must file a written petition with a Designated Institute Official.

Student Health

Health Insurance Coverage

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 (USHIP), annually. TTIC will oversee payment of the USHIP insurance for all students.

If a student wishes to enroll his or her spouse or dependents in USHIP, 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://wellness.uchicago.edu/page/student-insurance>

Immunization Requirements

Illinois State Law (110 ILCS 20/) College Student Immunization Act requires that: anyone enrolled in a post-secondary educational institutions to present proof that he or she has received such immunizations against preventable communicable diseases as the Department shall require by rules and regulations promulgated pursuant to this Act.

The only medical record TTIC collects from any enrolled student is proof of immunity (or exemption) as required by IL State law, and as of September 2021, proof of COVID-19 vaccination. Records are kept confidential (inside a single institute dept) and are not released to anyone without your written consent, except in compliance with state and federal laws (i.e., subpoena, court order, health department reporting requirements). Protection of these records are in compliance with the Family Educational Rights and Privacy Act ("FERPA"), as amended, 20 U.S.C. 1232g.

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, and must be submitted to the TTIC Office of Admissions secured immunizations upload here, as well as entered into the Student Wellness Immunization Portal online. (Select University of Chicago as the organization), unless specifically instructed otherwise, or by alternate dates.

Student Wellness Facilities

The University of Chicago Student Wellness is 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 <https://wellness.uchicago.edu/>. The facility's address and phone number is as follows:

840 East 59th Street
773-834-WELL
M-F: 8 a.m.-5 p.m.

Retaining USHIP Insurance

Plan participants who go on leave or are not 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 Wellness 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. Access the ***Private Mental Health Information Authorization Form*** via the Intranet under Forms, or contact Human Resources to submit or update a form, or for questions.

Voluntary Leave of Absence

A student's continuous enrollment in the PhD program between admission and the completion of degree work is considered the norm. In some cases, circumstances may force students to interrupt their studies temporarily. In such a case, students may request a voluntary leave of absence.

TTIC offers three categories of leave:

Standard Leave

The student is not pursuing degree-related work and is not enrolled or registered for the period of the leave, not to exceed one year. Accordingly, by default student benefits do not continue for the duration of the Leave. This includes stipend, student services and privileges on campus, as well as USHIP student insurance.

Medical Leave

A student is temporarily unable to continue in their program due to illness, treatment or injury. A student on Medical Leave of Absence (ML) is not pursuing degree-related work and is not enrolled or registered for the period of the leave, not to exceed one year. Accordingly, by default some student benefits do not continue for the duration of the Leave. This includes stipend, student services and privileges on campus. However, students enrolled in USHIP student health insurance who take an approved ML may continue coverage in USHIP for four (4) quarters maximum while on a leave after submitting documentation of:

- Documentation from a doctor or other licensed medical professional verifying the need for a medical leave of absence for a specified period,
- A UChicago USHIP Continuation form (completed by the student)

Parental Relief Leave

A student of any gender who becomes a parent during their program, or a pregnant student for whom it is medically necessary, may request a Parental Relief Leave of Absence. A student on Parental Relief Leave (PRL) is not pursuing degree-related work and is not enrolled or registered for the period of the leave up to 12 weeks. PRL offers paid leave up to 12 weeks, academic milestones may be extended up to one year, and the student is granted continuance of student services and privileges on campus, USHIP student insurance and stipend if otherwise eligible. Students may request additional unpaid PRL up to a total PRL leave period (paid and unpaid) of one year. Students on unpaid leave may continue to receive full-time benefits, but do not receive a stipend.

A student considering requesting a voluntary leave of absence should review the full Voluntary Leave of Absence Policy (under 'Student Policies' on the Intranet) to understand how to qualify, and what the terms are for each category of leave.

Religious Accommodations

Reasonable accommodations will be made to allow students to observe their religious holidays and religious obligations. The student should 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 English Language Institute. 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.

CITI Conflict of Interest Training for All Institute Members

All TTIC students, faculty and visiting scholars are required by Institute policy to successfully complete Conflict of Interest (COI) training, and ongoing successive training if undergoing work supported by certain external funding agencies that require ongoing training.

The COI course is delivered online via CITI Training. Participants are trained on material, then given quizzes to verify understanding of the material. A score of 80% or better constitutes a passing score. Test results are auto-relayed to the TTIC Human Resources Office, with results valid for 4 years.

Students may complete training over the summer, but no later than one month after beginning enrollment at TTIC (typically the end of October for autumn enrolling students).

(Unlike the Responsible Conduct in Research Training, which is a PhD program requirement, with the record kept by the Registrar, this is an institute requirement, and the record will be kept with Human Resources.)

Scores are transferable and may be transferred to other schools or employers for your benefit, or transferred in if you have completed this elsewhere, and your scores are still valid/ not expired.

Students may access any required CITI training and instruction from the Registrar website under the menu item *Student CITI Training*.

Emergency Messages and 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. TTIC may dispatch emergency notifications to the mobile phone students used to register in Populi. Alternatively, students may check *ttic.edu* email for an announcement, listen to local radio stations or refer to the University website. University c-Alert will alert campus members of local campus emergencies. Message and data rates may apply for mobile phone transmissions.

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 proceeding on questions of possible student misconduct. The Institute is committed to ensuring that policies are transparent and accessible and that students participating in any Institute disciplinary process are treated fairly and with respect.

The Institute has three student grievance policies and disciplinary systems:

1. The Sexual Harassment Policy includes a procedure for student offenses that involve sexual misconduct (including sexual harassment, sexual assault, domestic violence, dating violence, and stalking). The Sexual Harassment Policy is described [here](#).
2. The Discrimination, Harassment, and Abusive Behavior Policy has its own grievance and complaint filing procedure, and the full policy in detail is available [here](#).
3. Academic Misconduct Policy includes procedures for investigating allegations of academic misconduct. The Policy on Academic Misconduct is available [here](#).
4. General Grievance Procedures address other violations of Institute policies and regulations and other breaches of the standards of behavior expected of Institute students. (See p.8 of this Handbook)

These procedures are set forth below.

Statutory Provision

Conduct of TTIC members which is disruptive of the operations of the Institute, including interference with instruction, research, administrative operations, institute events, freedom of association, and meetings as protected by the Institute's regulations and policies, 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. The Institute Administrator responsible for enforcement of this provision is one of the following: Chief Academic Officer, Director of Graduate Studies or Administrative Director of Graduate Studies ("Designated Institute Administrator"). Individuals wishing to report may do so to any one of the three aforementioned individuals who shall decide the most appropriate of the three to render a determination.

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. Individuals wishing to report may do so to any one of the three Designated Institute Administrators (Chief Academic Officer, Director of Graduate Studies or Administrative Director of Graduate Studies), who shall decide the most appropriate of the three to render a determination.

If the disruptive conduct falls under Academic Misconduct, the Academic Misconduct Policy and procedures will apply. If the disruptive conduct falls under the Sexual Harassment Policy, the Sexual Harassment Policy procedures shall apply.

Authority to Summon

From time to time, a Designated Institute 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, the Designated Institute Administrator will issue a summons requiring the student to appear at a specified time and place, regardless of the student's other commitments. 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.

Application of Disciplinary Procedures

The Disciplinary Procedures apply to alleged misconduct that occurs or occurred while the complaining party was a student at TTIC, including those who have accepted admission, but have not matriculated. A student charged may not avoid the disciplinary proceedings by withdrawing from courses and/or the Institute. Student disciplinary proceedings may continue as described in this Handbook without the student's participation, and/or, at the discretion of the Chief Academic Officer, a hold may be placed on the student's record prohibiting further registration, graduation, issuance of a degree or transcript, and/or release of transcripts.

Involuntary Leave of Absence Policy

A "Designated Institute Administrator" is responsible for the application of this policy and shall be one of the following: Chief Academic Officer, Director of Graduate Studies or Administrative Director of Graduate Studies.

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 Wellness (SW) and 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 conduct 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 one of the Designated Institute Administrators. In response, the Designated Institute Administrator will make reasonable attempts to meet with the student to discuss his or her conduct and appropriate next steps. Based on a fact-specific inquiry, the Designated Institute Administrator may require that the student be assessed by SW or SCS to determine if the student currently is able to function as a student and do so without posing substantial risk to the safety of the student or others, or serious disruption to the functioning of the Institute. Using reasoned judgment, the Designated Institute Administrators 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/ or must take a leave of absence.

If a leave of absence is indicated, the student will normally first be given the opportunity to take the leave of absence voluntarily thereby eliminating the need to complete the involuntary leave process and preserving, to the extent possible, confidentiality and privacy. Often, a 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 Designated Institute Administrator has the authority to place the student on an involuntary leave of absence by notifying the student of the details in writing and subsequently 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 involuntary leave of absence, the Designated Institute Administrator will consider germane medical and other information available to him or her, including information provided in a timely manner by the student. In some instances, the student may need to sign a medical records release, and to authorize direct communication between the SW or 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 SW or SCS Official to share the substance of those communications with the Designated Institute Administrator or others, as appropriate.[*] If a student declines to authorize communications between and among the student's provider, the Designated Institute Administrator, and SW or SCS Official (or their designees) and/or declines to authorize the release of germane medical records, then the Designated Institute Administrator will make the decision after considering all of the available information and will do so without the benefit of information that may be directly germane to the decision.

Ultimately, the Designated Institute Administrator may require an involuntary leave of absence when he or she determines: (1) that the student has engaged, or threatened to engage, in conduct that has caused or is likely to cause a substantial risk to the safety and well-being of the student or to others; and/or (2) based on the consultation with the SW/SCS Official (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; and/or (3) If a TTIC student refuses to cooperate with efforts deemed necessary by the Designated Institute Administrator to evaluate the cause of the student's conduct, is unresponsive and the Designated Institute Administrator determines it is in the student and program's best interest to "pause" academic association for a designated period of time, the student may be placed on involuntary leave.

If the Designated Institute Administrator 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 Designated Institute Administrator 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.

Should a Designated Institute Administrator decide that a leave of absence is appropriate, the decision and the conditions for resumption of studies will be communicated in writing. A student placed on an involuntary leave of absence can no longer attend classes, participate in Institute programs, or use Institute facilities. The student must vacate University housing, and is able to pursue refunds of room and board charges as appropriate given the timing of the start of the leave of absence. When a TTIC official mandates a leave of absence, generally such leave will be retroactive to the beginning of the quarter. Any extension of student benefits including stipend or medical coverage will be determined on a case-by-case basis, and are not guaranteed unless stated in writing, for the duration of the leave.

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 and any supporting materials in writing. The Chief Academic Officer may designate a designee to carry out any of the following steps in their place. The Chief Academic Officer (or designee) will review appropriate records and documentation, confer with the Designated Institute Administrator, Director of SW or SCS (or designee) and, when feasible and appropriate, will meet with the student. The student may be asked to sign a medical records release and to authorize direct communication between the Chief Academic Officer, and the SW or SCS Director regarding the

circumstances, the student's medical information, and information obtained from the student's medical provider(s). The Chief Academic Officer (or designee) 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 (or designee) considers the student's 'review of decision' request.

A student on an involuntary leave of absence will not be permitted to resume his or her studies (as documented in the leave terms) until the Designated Institute Administrator 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, if applicable, the Designated Institute Administrator will request that the student authorize his or her treatment professionals to contact the Director of SCS or SW 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 as well as 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 SW, SCS or other resources, if necessary. If the student is to continue treatment while resuming studies, the Designated Institute Administrator will ask the student to sign a release that authorizes the treatment professional to notify the Designated Institute Administrator if the student does not adhere to the treatment plan.

Notification of Others

The Designated Institute Administrator (or his/ her designee) may notify a student's parents, spouse, emergency contact, or others when in the Designated Institute Administrator'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. If the student has given Human Resources a Medical Contact for mental health emergencies, and the situation warrants, this individual may be contacted.

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 SW or 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 under the Conduct Procedures of this Handbook, if he/she 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 Discipline 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: The Chief Academic Officer of the Institute shall appoint a committee of three faculty members and designate one member from this Committee as its Chair. Three volunteer student members (or drawn by random selection from the student body) shall be added to the faculty on the 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 for faculty, and the Director of Graduate Studies for students.

Conduct Procedures

Report

The process begins when a Designated Institute Administrator (the Chief Academic Officer, Director of Graduate Studies or Administrative Director of Graduate Studies) is informed of any conduct by a graduate student that appears to be in breach of Institute regulation or policy except for the Sexual Harassment and Academic Misconduct Policies. This information may come in the form of a report, in writing, by a member of faculty, administration or staff, another graduate student, a member of the campus community, or a member of the public.

Evaluation of the Report

The Designated Institute Administrator will determine whether the conduct reported, if true, would violate Institute regulations and policy and, in his or her judgment, warrants referral to the Discipline Committee. The Designated Institute Administrator will generally make his/her determination as soon as practicable upon receiving the initial report. In making that determination, the Designated Institute Administrator may consult with others, provided that in the interest of confidentiality, only consultations deemed necessary will be made. The Designated Institute Administrator may also obtain other information and/or documentation that they think may be useful in making an evaluation of the initial report.

Notice to the Student/ Charges

When the Designated Institute Administrator receives a formal complaint he or she will promptly inform the student (Respondent) in writing that a complaint has been made, the nature of the charge, and ask for a response and/or explanation. This notification shall contain a statement of the conduct reported, the regulation(s)/ policy it appears to contravene, all documents obtained by the Designated Institute Administrator that are relevant to the report, and a printed copy of these disciplinary procedures. A previous member of the Discipline Committee shall be available for consultation with the student charged, if the student so chooses, and this consultant's information will be made available to the student at time of charging.

If the Designated Institute Administrator decides not to refer charges to the Discipline Committee, he or she will promptly notify in writing all necessary individuals that the charges have been dropped.

Student Initial Response

The student will have fourteen calendar days after the date the notification is sent to respond initially to the charge. The student may, for example, admit the violation; deny the violation entirely; admit part but not all of the violation; or assert extenuating circumstances.

- If the student admits the violation (with or without extenuating circumstances) and requests a resolution without a formal hearing, the Designated Institute Administrator will proceed under that process.
- Otherwise the Designated Institute Administrator will consider the student's initial response, if any and either withdraw the charge or forward it to the Discipline Committee for a formal hearing.

Resolution without a Formal Hearing

When a student admits a violation and requests a disposition without a formal hearing, the Designated Institute Administrator will decide whether to grant the request, and if it is granted, will decide on the appropriate penalty for the violation and notify the student in writing. Upon the student's request, the student will have an opportunity to talk with the Designated Institute Administrator before the Designated Institute Administrator makes a decision about the appropriate penalty. If the student is dissatisfied with the penalty assigned by the Designated Institute Administrator, he or she may, within seven calendar days after transmission of notice of the penalty, request a formal hearing before the Discipline Committee, solely on the issue of the penalty. At such a hearing, the Discipline Committee may uphold the Designated Institute Administrator's decision or assign a new penalty. In the absence of such a request for a formal hearing on the penalty, the Designated Institute Administrator's decision will be final.

Formal Hearing

- A. **Discipline Committee Membership:** The Discipline Committee shall consist of THREE students (volunteer members), and THREE faculty, the Designated Institute Administrator will appoint two alternates from the faculty and two alternates for the student members. A quorum will consist of FIVE persons. If a quorum is not available, the hearing will be delayed until a quorum is available. If a quorum cannot reliably be achieved within–fourteen calendar days, the Designated Institute Administrator will appoint temporary members in either the student or faculty category.
- B. **Committee Chair:** The Designated Institute Administrator appoints a committee chair, and 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 Chair of each Committee has a special responsibility for procedural correctness. The Chair (a) makes an initial response to any procedural question which arises, (b) is obligated to alert the Committee to procedural implications of any action they may wish to take, and (c) calls 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. 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 its own procedures.
- C. **Notice to the Student:** Immediately after a case has been forwarded to the Committee, the student shall be informed of its membership, and of the expected date of the hearing. If the student believes that any member of the committee might not be impartial in this case, he or she may so inform the Committee Chair, provide specific reasons, at least seven calendar days before the hearing. If the charge of lack of impartiality be made against the Chair, the student should direct this information to the Designated Institute Administrator. The decision (whether to excuse the Chair from this hearing and temporarily place another faculty member of the committee in the Chair) will be made by the CAO.
- D. **Investigation:** Upon receiving the complaint, an investigator shall be assigned and inform, in writing, all relevant parties to the complaint and that a preliminary investigation will take place. The preliminary investigation will be completed within a reasonable time period. During the process, the student shall have the opportunity to present relevant evidence, offer witnesses to be interviewed by the investigator, to challenge adverse evidence, and offer any other testimony/evidence that is relevant to the underlying complaint. The information provided to the investigator shall be provided to the Committee as part of the Hearing.
- E. **Timing of the Hearing:** Hearings may take place during any quarter, and must take place no later than the end of the quarter after the one in which the student is notified of the charge, absent extenuating circumstances. Any documents or information that will be presented to the Committee shall also be given to the student at least one week before the hearing. TTIC ensures that the student will receive adequate notice of changes or additions to the charges involved.
- F. **Conduct of the Hearing:** All persons attending the hearing will address the group only after being recognized by the Chair. Questions regarding points of order and procedure will be decided by the Chair. 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.
- G. **Those Attending the Hearing:** The Respondent has a right to be present at all times during the hearing. The respondent may but 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. It is expected but not required that complainant will be present at the hearing, to answer questions put by the student and the Committee.

- G.1 **Witnesses:** The student, having given the Chair of the Committee prior notice, may bring witnesses. The Committee can also call witnesses. The chair shall determine what is a reasonable number of witnesses, but the student shall be allowed at least two witnesses.
- G.2 **Advisor:** The responding student the reporting party, and the third party reporter each have the ability to have an advisor present throughout the hearing at their own expense. An advisor, who may be an attorney, manages the party's presentation of the case by providing guidance and offering advice. The advisor may call witnesses; ask clarifying procedural questions of the adjudicator; lodge objections to witnesses, evidence, and other issues; and consult with the party who brought the advisor, but the advisor otherwise may not speak during the hearing unless requested by the adjudicator. Witnesses and advocates are not eligible to serve as an advisor.
- H. **Failure to Appear:** A student who fails to appear for a hearing before the Discipline 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(s). Failure to appear on the part of a student so suspended and so notified for a period of two 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 Discipline 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.
- I. **Evidence:** In a hearing before the Discipline Committee, the evidence is set forth and its significance discussed. The Respondent and Complainant will receive the same evidence materials, subject to FERPA, prior to a hearing.
- J. **Determination:** At the conclusion of the hearing the Committee shall meet in executive session to decide whether the charge(s)/ violation(s), in fact, occurred and whether it violated policy and behavioral standards. The Committee's decision shall be made by a vote: a simple majority. This decision shall be made by a preponderance of the evidence, voted on by secret ballot, and shall be final.

In the event that the Committee decides that the violation occurred as charged, based on the seriousness of the contravention, the Committee shall also recommend the penalty, if any, to the Designated Institute Administrator. The Designated Institute Administrator may either impose the recommended penalty or a lesser one at his or her discretion. The Chair shall promptly inform the student, orally if possible, and also certainly in writing, of the Committee's decision and any penalty recommended.

- K. **Penalties/ Sanctions:** The range of penalties or sanctions that may be imposed is as specified in the Sanctions section(s) below.
- L. **Record of Action:** At the close of proceedings, the Committee Chair will prepare an abstract of the proceedings, including the decision and the penalty, if any. The abstract should include no names. The abstract and all correspondence with the student shall be kept in the student's institute file as record. If the student is exonerated, no record of incident or charges shall be made in the student file. In all cases, a copy of the abstract shall be kept in the Committee's files for use in determining precedents in future cases. One copy of all documents in the case should be kept on file with the Administrative Director of Graduate Studies.
- M. **Request for Review:** A student who has been assigned a penalty by the Designated Institute Administrator or after a hearing by the Discipline Committee and who believes that the decision, in matters of fact or the assignment of penalties, is inconsistent with precedent or otherwise in error may submit a written request for review to the President. The request must be received by the President no later than sixty days after the student receives the determination notice from the Designated Institute Administrator or the Discipline Committee Chair.

- N. **Access to Written Records:** In order to review such requests, the President will request access to all the written records of the Committee on Regulations and Discipline.

Reconsideration of Disciplinary Decisions

The Committee of Review (COR):

There shall be a Committee of Review, which may review and, when appropriate, request reconsideration of disciplinary decisions made by the Designated Institute Administrator or by the Discipline Committee. The COR will be composed of three persons, two faculty members, and a student, appointed by the President, one faculty of whom shall be designated by the President as Chair of the Committee.

Possible Actions by the Committee of Review (COR):

The COR will have the right (1) to decline to take action; (2) to request in writing a reconsideration by the Discipline Committee; or (3) to publish into Institute files commentary on the case which, while maintaining the confidentiality of the Discipline Committee hearings, clarifying the principles involved in the case and to offer useful counsel for future decisions.

Possible Reasons for Requesting Reconsideration of a Decision:

It will request reconsideration by the Discipline Committee only in cases where it believes that (1) some pertinent evidence was not taken into account; (2) long-standing precedents, in decisions of culpability and the assignment of penalties, were ignored; (3) errors in procedure may have substantially affected the decisions; (4) certain key principles of TTIC were not sufficiently considered in the original decision.

Response by the Discipline Committee:

The Discipline Committee will have the authority to grant or deny a request for reconsideration. In the case where the Discipline Committee has granted the request to reconsider, the Chair of the Discipline Committee and the Committee of Review will discuss appropriate procedures for the reconsideration. At a reconsideration of a case by the Discipline Committee, the Chair of the Committee of Review will appear before the Discipline Committee in order to make clear what motivated the call for reconsideration. The accused student will have the right to be present during the appearance. The Discipline Committee will be free either to alter or to confirm its original recommendations. In no case, however, may it make a finding of culpability where it had previously exonerated a student. In matters concerning culpability, the Discipline Committee decisions will be final. The Committee shall recommend a penalty, if any, to the Designated Institute Administrator, but may not recommend a greater penalty than that assigned originally. The Designated Institute Administrator, at his or her discretion, may either impose the newly recommended penalty or a lesser one.

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, or a Discipline Committee Chair to inform students by appropriate means of the various sanctions. The Administrative Director of Graduate Studies shall be notified of all sanctions imposed. Because sanctions may affect visa status, some sanction information may be

shared with International Affairs Office in the case of international students. 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 Discipline Committee, the student continues to enjoy all the rights and privileges of a student except as the Discipline Committee may specifically provide, but in the event that during the period of probation he or she is charged with and found by a Disciplinary Committee to have engaged in another prohibited act, the Discipline Committee, in determining sanctions, is informed of the 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 Discipline 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 Discipline 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 Discipline 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 Committee of Review, (or the Chief Academic Officer or designee in cases of alternate Institute policy) in mitigating sentences and sanctions, 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; scholarships; Institute fellowships; access to TTIC offices, workspace, events, computing network and computing resources; access to Institute supplemental benefits such as Student Body Funds and activities and the Support for Women in STEM funds; 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.