

Toyota Technological Institute at Chicago

Faculty Handbook



REVISED APRIL 2010

FACULTY HANDBOOK

TABLE OF CONTENTS

INTRODUCTION	1
Letter from the President.....	1
About Toyota Technological Institute at Chicago	2
I. INSTITUTIONAL MISSION AND GOALS	4
About TTI	6
Important Note	7
STATUTES AND BYLAWS OF TTIC.....	8
TEACHING AND INSTITUTE SERVICE	9
Teaching Agreement between TTIC and University of Chicago (UOC)	9
Residency Requirements.....	10
Assistance for Students with Disabilities	11
General Policies and Procedures Regarding Teaching Schedules, Grading and Advising.....	11
<i>Establishing Course Requirements</i>	11
<i>Advisors – Ph.D. Program</i>	11
<i>Faculty Reviews of Student Progress</i>	12
<i>Cancellation of Courses and Time Schedule Changes</i>	13
<i>Office Hours</i>	13
<i>Class Lists</i>	13
<i>Emergency Faculty Absences</i>	13
<i>Final Examinations</i>	13
<i>Grade Reports and Timely Submission Of Course Grades</i>	13
<i>Cross-Listed Courses</i>	14
ACADEMIC POLICIES.....	15
The Institute and Political and Social Action.....	15
Outside Professional and Commercial Activities of Faculty, and Conflict of Interest	16
<i>Background and Introduction</i>	16
<i>When Is There A Conflict Of Interest?</i>	17
<i>Issues of Concern</i>	18
<i>Guidelines for Faculty</i>	20
<i>Scope of Policy and Important Definitions</i>	22
<i>Faculty/Investigator Reporting Responsibilities</i>	23
<i>Principal Investigator Responsibilities</i>	23

<i>Institute Administrator Responsibilities</i>	24
<i>Institute Review of Disclosure Activities</i>	25
<i>Procedures for Resolving Violations of Policy or Failure to Comply</i>	25
<i>Examples of Management of Conflicts of Interest</i>	26
Academic Honesty	26
Investigating Academic Fraud	27
<i>Procedures for Investigating Academic Fraud</i>	27
<i>Administrative Guidance</i>	31
Patent Policy	33
Networking and Information Technology and Intellectual Property	34
<i>Policy on New Information Technology and Intellectual Property</i>	34
<i>Ownership of Intellectual Property</i>	34
<i>Companies Founded by Faculty</i>	35
<i>Eligibility and Acceptable Use</i>	36
<i>Principle</i>	36
<i>Definition</i>	36
<i>Restricted Applications</i>	37
<i>Sanctions and Procedures</i>	37
PERSONNEL MATTERS	38
Statement of Non Discrimination	38
Nepotism	38
Institute Policies on Drugs and Alcohol	38
Harassment	39
<i>Policy and Definition of Harassment</i>	39
<i>Procedures for the Resolution of Complaints</i>	41
<i>Advising</i>	41
<i>Mediation</i>	41
<i>Formal Hearing</i>	42
<i>Procedures for Formal Hearing</i>	42
<i>Consensual Relations between Faculty and Students</i>	42
<i>An Additional Word of Caution</i>	43
“Stopping the Clock” on Review for Promotion	43
<i>For Parenting Responsibilities:</i>	43
<i>For Personal Illness Or Care Giving Responsibilities:</i>	44
Discipline	44
Military Service	44
Jury Duty	44
Vacation Policy	45
Grievance Procedures	45

Non-Smoking Policy	45
INSTITUTE BUSINESS.....	46
Travel Policy	46
Institute Telephones and Long Distance/International Phone Calls.....	46
HEALTH BENEFITS AND ISSUES.....	46
Health Insurance Policies.....	46
<i>Medical, Dental and Vision Insurance</i>	46
<i>Short-Term Disability and Long Term Disability Programs</i>	47
<i>Group Life Insurance</i>	47
<i>Flexible Spending Account</i>	47
Disabilities	47
<i>Emergency evacuation procedures for person with disabilities</i>	47
Parental and Child Care Leaves	48
<i>Parental Leave Policy</i>	48
<i>Maternity Leave Policy</i>	48
<i>Child Care Leave (For Parents Not Taking Parental Leave) and Caregiver’s Leave</i>	49
<i>Rearrangement of Teaching Duties for Full-Time Faculty Members on Regular Three-Quarter Appointment</i>	49
Sick Leave and Long-Term Disability	50
General Leave Policies	50
Emergency Medical Care.....	50
OTHER BENEFITS.....	51
401(k) Retirement Plan	51
Holidays - Official Institute Holidays	51
Tuition Benefits.....	51
Immigration Assistance.....	51
Property Insurance.....	52
Identification Cards.....	52
Building Access/Key Cards.....	52
Secure Bike Parking	52
Computing Services and Facilities	53
Library Privileges.....	53

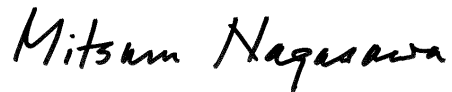
University of Chicago Libraries	54
Transportation.....	54
Parking	54
Safety on Campus.....	55

INTRODUCTION

Letter from the President

It is my great pleasure to be the first President of the Toyota Technological Institute at Chicago. TTIC was born from the effort of TTI in Japan to reach new levels of research excellence in information-aided technologies. It is a legally independent institution with independent policies and procedures as described in this handbook. Although legally independent, collaboration between TTIC and TTI in Japan is desirable and is part of the founding mission of TTIC.

It is said that the ultimate purpose of education is to make students enjoy studying by themselves. The same may be true for professors as well. I heartily hope that the faculty enjoys working at TTIC.

A handwritten signature in black ink that reads "Mitsuru Nagasawa". The signature is written in a cursive, flowing style.

Mitsuru Nagasawa
President

About Toyota Technological Institute at Chicago

About TTIC

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

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

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

Mission and Goals

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

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

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

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

About TTI-Japan

Toyota Technological Institute at Chicago was founded by TTI-Japan as a legally independent, non-profit institution and will maintain a close relationship with its

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

TTI-Japan has a School of Engineering, a Master's Program and a Doctoral Program. The programs consist of three areas of coursework: Mechanical Systems Engineering, Electronics & Information Science, and Materials Science & Engineering. The number of graduate students is now about 60, undergraduate students 340, faculty 79, and staff 55.

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

I. INSTITUTIONAL MISSION AND GOALS

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

This overall mission has two components --- research and educational missions.

The Research Mission

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

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

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

Note that the number of patents filed is not mentioned. Patents may be a natural outcome of academic research but are not a direct goal, regardless. The amount of extramural research funding is also absent. Although funding is clearly an important tool in achieving impact, it is only a tool and not an end in itself.

Fundamental. The mission statement focuses on fundamental scientific research. Intuitively, a scientific result is fundamental to the extent that it has open-ended implications.

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

The Educational Mission

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

Diversity at TTIC

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

Goals and Priorities

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

Vision and Values

The 20th century saw enormous progress in automation. The 21st century will see more. Automated systems may drive cars, do housekeeping, and translate between spoken languages. But technological progress raises social concerns. Technology must not extinguish our right to privacy, make people unemployable, or destroy cultural diversity. While technology presents dangers, it also holds promise. Language translation can reduce misunderstanding. Information management can improve medical care. Communication systems can bring people together. If we can reap the benefits while avoiding the pitfalls, technology may create and sustain harmony and prosperity for humankind. At TTIC, the vision is to discover fundamental principles of computation and change the world through the technologies those principles enable. At the same time, TTIC is committed to the values of human freedom, dignity, prosperity, and diversity. The mission is formulated to be consistent with this vision and these values.

About TTI

TTI was founded in 1981 by Toyota Motor Company, Ltd. (currently Toyota Motor Corporation) as one of the social contributions of the company. In accordance with the vision of Sakichi Toyoda, founder of Toyota group companies, TTI "*respects the spirit of research and creativity, and always strives to stay ahead of the times.*" While many decades have passed since Sakichi Toyoda spoke these visionary words, they remain significant, particularly in today's society in which perpetual progress in scientific technology is ever vital. Thus, these words are also part of the founding philosophy.

TTI offers undergraduate, Master's and Doctoral Programs in Engineering. The undergraduate and Master's programs consist of three areas of coursework: Mechanical Systems Engineering, Electronics & Information Science, and Materials Science & Engineering. The two Ph.D. programs are Information-Aided Technology and Future Industry-Oriented Basis Science and Materials. Currently, the approximate number of graduate students is 60, undergraduate students 340, faculty 80, and staff 60.

Important Note

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

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

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

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

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

This Policy Manual supersedes any and all TTIC or other policy manuals or employee manuals that may at any time have been applicable to the employee.

STATUTES AND BYLAWS OF TTIC

Please refer to the TTIC intranet site for the most current Statutes and Bylaws of the Institute. Alternatively, a hard copy of the Statutes and Bylaws may be requested from the Administrative Office. The Statutes and Bylaws define such areas as academic administration, faculty appointments, promotion and tenure, the academic year, faculty governance, and governance by the board of trustees.

TEACHING AND INSTITUTE SERVICE

Teaching Agreement between TTIC and University of Chicago (UOC)

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

1. Each institution will offer its own set of courses in Computer Science at appropriate levels, will appoint its own faculty, and will decide on the curricular requirements for its own students.
2. Each institution will decide whether it wishes to list particular courses from the other institution for credit in its own program. In such a case, a course number will be assigned to that course on the opposite side, and the faculty member teaching the course will need to be appointed jointly at the other institution. For example, a course taught by a TTIC faculty member would in such a case be given a UOC course number, the faculty member would be appointed to the appropriate position at UOC, and UOC students would be permitted to enroll in that course for UOC credit.
3. Tuition payments for courses will remain with the institution in which the student has matriculated.
4. Separate grade sheets from TTIC and UOC will be prepared for jointly offered courses, with each including the students from the institution of matriculation. Once grades have been assigned by faculty members, they will be submitted to the TTIC and UOC registrars.
5. Each institution will have the right to set enrollment limits in its courses and, if these are reached, to give its own students priority in enrolling. Enrollment limits should be reasonable and are not to be used merely for the purpose of excluding students of one institution from enrolling in courses of the other.
6. It is expected that the teaching and classroom service provided by TTIC to UOC students will be greater than or equal to the teaching and classroom service provided by UOC to TTIC students. If at some future time the latter significantly exceeds the former, it is the University's responsibility to notify TTIC that it needs to increase its service to UOC students. One year following the notification of TTIC, if the service imbalance remains, then the University may seek fair monetary compensation for the teaching and classroom services provided in excess of the service provided in return from TTIC. This agreement may be terminated by either party without cause provided written notice is given four years in advance of the termination.

Faculty Responsibilities

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

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

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

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

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

Residency Requirements

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

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

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

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

Assistance for Students with Disabilities

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

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

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

General Policies and Procedures Regarding Teaching Schedules, Grading and Advising

Establishing Course Requirements

Students should be informed of all course prerequisites at the beginning of the quarter. Ordinarily, in the first week of the quarter, a faculty member should distribute a syllabus or course outline indicating reading assignments, paper deadlines, examination dates, and other requirements.

TTIC operates on a quarter system. Materials should be assigned in accordance with what is reasonable to expect students to accomplish in that period. An Institute academic calendar is available on the TTIC website at www.ttic.edu.

Advisors – Ph.D. Program

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

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

The advisor relationship will be formalized by a form signed by both the student and the advisor. In the case of two research advisors (University and TTIC), a form must be completed for both advisors. The form will be reviewed and signed off on by the Director of Graduate Studies. The student submits this completed form to the Registrar.

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

When the advisor of a student is also the Director of Graduate Studies, then any action or approval that is normally required by the Director of Graduate Studies will instead be required by the Chief Academic Officer.

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

Faculty Reviews of Student Progress

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

At the end of each quarter, students complete a review of their work in the previous quarter and a brief self-evaluation of their performance in academic activities and submit an academic/research plan for the upcoming quarter. This plan must be discussed with and approved by the student's advisor.

Twice a year, at the beginning of the Spring and Fall quarters, the faculty will hold a review and evaluation meeting to discuss each student's case.

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

based on the discussion in the meeting, to be signed by the advisor and the Director of Graduate Studies.

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

Cancellation of Courses and Time Schedule Changes

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

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

Office Hours

Faculty are expected to be available to meet with students outside the classroom. Regular and reasonable office hours should be announced in class, listed on syllabi, or posted on the office door. If a faculty member is unable to keep scheduled office hours, arrangements should be made to post a notice to this effect on the office door.

Class Lists

The UOC Registrar provides class lists on the first day of each quarter. This information also is available on the website of the University Registrar. Faculty should instruct students who are taking a course for credit but are not on the class list to register for the class. Students should not be allowed to proceed with course work and "plan" to register later. Students who wish to audit a course need the written permission of the instructor.

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

Emergency Faculty Absences

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

Final Examinations

Final examinations are scheduled during the eleventh week of the quarter. If a final examination must be rescheduled for compelling reasons, the faculty member must notify the Chief Academic Officer.

Grade Reports and Timely Submission Of Course Grades

Grades are due in the TTIC and/or UOC Office of the Registrar no later than the Wednesday after exam week in all quarters. The precise due date for grades is indicated

on each instructor's grade sheet. Grade sheets are distributed directly to the individual faculty member, unless a different method has been filed with the Registrar.

Grades will be recorded only if the officially listed course instructor signs the grade report. Faculty should plan their schedules to ensure the timely submission of grades. If that proves impossible, faculty are asked to devise some other procedure to see that students get grade information promptly and confidentially.

Cross-Listed Courses

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

ACADEMIC POLICIES

The Institute and Political and Social Action

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

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

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

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

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

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

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

From time to time instances will arise in which the society, or segments of it, threaten the very mission of the university and its values of free inquiry. In such a crisis,

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

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

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

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

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

Background and Introduction

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

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

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

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

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

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

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

When Is There A Conflict Of Interest?

Faculty or investigators are responsible for disclosing: 1) those significant financial interests that would reasonably appear to be affected by or to affect their research or educational activities; and 2) any significant financial interests in entities whose financial interests would reasonably appear to be affected by or to affect the person's performance of his or her Institute duties (refer to Guidelines for Faculty, below).

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

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

Issues of Concern

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

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

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

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

A. Research

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

B. Publication

Free communication of the results of scholarly research is an important policy of the Institute. Involvement in outside professional or commercial activities should not delay or inhibit the publication of scholarly research or the sharing of information derived from such research. Where appropriate, faculty members are expected to disclose (as described below) relevant outside consulting arrangements or affiliations in their published scholarly works, an obligation that is now routinely imposed by some journals.

C. Education of Students

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

D. Appointments and Promotions

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

E. Institute Contribution

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

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

F. Office Space and Other Resources

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

G. Hiring Family Members for Institute Business

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

the pay for spouses, children, or other close relatives.

H. Service on Committees

Faculty members are often asked to serve on committees or other groups to assist the Institute in its relationships with outside vendors, suppliers and contractors. It is expected that faculty members will report in writing to the committee chair any potential conflict of interest that arises before acceptance or after the work has begun. Faculty members are not automatically disqualified from serving on Institute committees when potential conflicts appear. But early disclosure of outside ties is critical. The focused nature of these requests for information makes it unnecessary for any faculty member to disclose to the relevant committee chair outside activities that are unrelated to the task at hand. In most circumstances, it should be possible for the faculty member to continue service on the committee, but some conflicts may be so severe that they are resolvable only if the faculty member resigns from the committee.

Guidelines for Faculty

A. When a faculty member's involvement in outside professional or commercial activities substantially impairs fulfillment of obligations to the Institute, an involved faculty member should take a leave of absence from the Institute. Except in extraordinary circumstances, a leave of absence should not exceed two years, and the frequency and duration of leaves of absence should not be such as to impair a faculty member's contribution to the Institute. To protect the Institute from the adverse consequences of leaves of absence, it may be appropriate to deny some requests for leave and insist that some involvements in outside professional and commercial activities be postponed, reduced or terminated.

B. When involvement is not of an extent or nature that substantially impairs fulfillment of obligations to the Institute, but when the time committed to outside professional or commercial activities exceeds the accepted standard for such activities, a faculty member should determine, in consultation with the Chief Academic Officer and President, an appropriate reduction in Institute responsibilities and compensation. To protect the Institute from the undesirable consequences of part time faculty, arrangements for part time status to accommodate outside professional and commercial activities should normally be of limited duration, and requests for such arrangements may sometimes be denied in order to protect the Institute's vital interests.

C. To maintain the effectiveness and the integrity of the process for considering faculty appointments and promotions, faculty members should avoid, to the greatest extent possible, involvements in outside professional or commercial activities that might give rise to conflicts of interest in recommendations and decisions concerning faculty appointments and promotions. When conflicts arise with a particular appointment or promotion, the faculty member who has a conflict should disclose the interest and avoid participation in the consideration of that case.

D. To insure that the nature and direction of research conducted by students in connection with earning their degrees at the Institute is governed by considerations of scholarly merit

and intellectual importance and that the efforts of students in such research always serve the student's best interest, a faculty member should normally avoid situations where a student's degree oriented research becomes entangled with the faculty member's outside professional or commercial activities. This guideline does not preclude the temporary or part time employment of students in outside research or consulting activities with which a faculty member is associated, provided that such employment serves the best interest of the student, and does not substantially impede the student's progress toward a degree and does not restrict students' communication with each other or their right to publish their work.

Faculty should be prepared to describe procedures that are in place to insure that workplace disagreements do not influence the student's academic performance, evaluation or placement.

E. Faculty members should reimburse the Institute for any administrative costs (e.g. secretarial assistance, phones, postage, or computer services) that outside consulting activities impose. This obligation does not extend to situations where outside work is done in the faculty member's own office, assuming it does not interfere with Institute obligations and operations. Whenever possible, faculty members should arrange direct payment to third party vendors as by billing express mail packages to third parties.

When a faculty member seeks to market or test an invention or process (whether developed in the service of the Institute or not), using Institute facilities or personnel, he/she must receive the Institute's prior approval through the disclosure process.

Approval is likely to be granted only in those extraordinary circumstances where the project is of substantial benefit to the Institute, where the Institute is fully compensated for the use of its facilities, where all relevant parties are aware of the source of funding for the outside activities, and where researchers are allowed freely to publish the findings and results of this research (except for delays strictly necessary to allow patent applications to be filed). It is not expected that these arrangements will be frequently approved, nor should they be, since commercial or industrial facilities are normally able to undertake these activities on their own premises. Furthermore, faculty members should not hire people to work in Institute buildings in the service of their outside professional or commercial activities.

Other cases are likely to arise, as where faculty members on an occasional basis wish to use expensive equipment, such as computers or measuring devices, ordinarily not available for outside activities. In these cases the approval can be granted by the Chief Academic Officer or President under circumstances thought appropriate so long as the outside work of the faculty member does not interfere with the ordinary academic and research work of the Institute, and so long as the Institute receives adequate reimbursement for the use of its equipment or other resources.

F. A faculty member shall disclose any significant financial interest he or she has in an entity that provides him or her support through a grant or contract administered by the

Institute. This is of particular concern in areas involving research directed to commercial development where the faculty member holds an equity or intellectual property interest in the organization sponsoring or benefiting from the research outcome.

G. Participation in the activities of an outside commercial enterprise, including a faculty owned or faculty- managed company, and disclosure of conflicts of interest pursuant to this policy, does not excuse a faculty member from the normal intellectual property requirements and procedures for disclosing discoveries and inventions that occur at the Institute.

Scope of Policy and Important Definitions

A. The Institute’s conflict of interest policy applies to all faculty members of the Institute. It also applies to non-faculty members defined as “Investigators”.

B. The term “Investigator” is used for those particular activities carried out as sponsored research and educational programs administered by the Institute. “Investigator” means the principal investigator(s) (PI), co-principal investigators, and any other person who is responsible for the design, conduct, or reporting of research or educational activities or for proposals for funding. “Investigator” as defined for these purposes may not be limited to those individuals titled or budgeted as “Investigators” on a particular proposal.

Typically students would not be considered “Investigators” although there may be circumstances where, in the PI’s judgment, a student is working relatively autonomously and should be considered an “Investigator.”

C. For disclosures of financial interests, “Faculty member” or “Investigator” includes the faculty or Investigator, his or her spouse and dependent children.

D. “Significant Financial Interest” means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests. Potential equity value should be considered in those instances where the faculty member has an equity interest in a privately-held company and the potential exists for bias in design, conduct, or reporting of research based on future financial benefit; the true value of that interest may not be known until the firm goes public but the faculty member should make a reasonable assessment of the future market value of the equity); and intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term does NOT include:

- salary, royalties, or other remuneration from the Institute.
- income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- income from service on advisory committees or review panels for public or nonprofit entities; or

- an equity interest in any company, that when aggregated for the Investigator and the Investigator’s spouse and dependent children, meets both of the following tests:
 - 1) does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value
 - 2) does not constitute more than a five percent ownership interest in any single entity; or
- salary, royalties or other payments that when aggregated for the Investigator and the Investigator’s spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

Regardless of the above minimum requirements, a faculty or staff member, in his or her own best interest, is encouraged to disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest. Disclosure is a key factor in protecting one’s reputation and career from potentially embarrassing or harmful allegations of inappropriate behavior. (Faculty members are encouraged to ask for guidance from the Chief Academic Officer or President even in situations that are not covered by the disclosure procedures in this policy.)

Faculty/Investigator Reporting Responsibilities

A. Faculty and Investigators assure compliance with the Institute policy by completing an “Assurance of Compliance” form. Based on the information provided on the Assurance form, a more detailed Disclosure of Information may be required.

B. The “Assurance of Compliance” form is available from the Institute’s Administrative office and must be completed and returned to the Office of the President.

C. The Institute Research Administration office will send the Disclosure of Information form identifying the appropriate questions that need additional information to faculty/investigators from whom it is required.

D. Faculty/Investigators must make all financial disclosures required, in accordance with the definition of “Significant Financial Interests,” on the Disclosure of Information form and forward the completed Disclosure Form to the Department Head.

E. Faculty/investigators are responsible for updating their disclosures as new reportable significant financial interests related to Institute duties are obtained. In accordance with the policies of external sponsoring agencies, faculty/investigators may be required to update their Assurance of Compliance annually.

Principal Investigator Responsibilities

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

A. The Principal Investigator is responsible, for each activity, for determining who meets the definition of “Investigator” described above. For each such “Investigator” identified

above, the Principal Investigator must take reasonable steps to assure that these individuals are in compliance with the sponsoring agencies' Financial Conflict of Interest requirements. For Institute staff identified to the President (preferably prior to submitting the proposal to the sponsoring agency), Research Administration will provide these persons with packets of information describing their responsibilities for assuring compliance with the Institute's policies governing Conflict of Interest. (All "Investigators" must complete an Assurance of Compliance and disclose any significant financial interests, using the Disclosure of Information form to the President or Chief Academic Officer, and, if applicable, to the Institutional Review Board (IRB) prior to the submission of a proposal to an outside agency.)

B. Collaborators at other institutions must either comply with the policies of the Institute or certify to the Principal Investigator at the Institute that they have reviewed their portion of the project according to their institutional policies. Administratively, the Institute has implemented this requirement by having consultants or sub awardees assure that any significant financial interest that could directly affect the design, conduct or reporting of the work will be disclosed directly to the Institute's Principal Investigator. It is the responsibility of the Institute's PI to determine if the disclosed interest requires further institutional consideration for management, reduction or elimination of the conflict. Principal Investigators whose collaborators are not formally associated with the project through a consulting agreement or subcontract, should confirm that these individuals meet the requirements of the sponsoring agencies' conflict of interest policies. Institute Research Administration will provide a form to meet this need, upon request.

C. Prior to the submission of a proposal, Investigators are required to disclose any significant financial interests that would reasonably appear to be directly and significantly affected by the research funded by an external sponsor or proposed to be funded. The disclosure also must cover any significant financial interests in an entity whose financial interest would reasonably appear to be directly or significantly affected by the external funding.

D. Investigators are required to update disclosures of significant financial interests annually or as significant financial interests change during the period of the sponsored project.

Institute Administrator Responsibilities

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

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

Institute Review of Disclosure Activities

A. The Disclosure of Information form is reviewed by the Chief Academic Officer and forwarded to the President with a determination of whether or not the significant financial interest gives rise to a conflict and, if so, recommendations as to how the conflict could be managed, reduced or eliminated.

B. A Subcommittee of the Council on Research advises the President on procedures and recommendations regarding the management, reduction, and/or elimination of a faculty member's or investigator's conflict of interest arising from disclosed significant financial interests. Each case is considered on its own merits. Some examples of typical options for managing conflicts of interest are described below.

Investigators may, at their own request or at the request of the Subcommittee, meet personally with the group in the course of its review of the information. The deliberations of the Subcommittee shall be confidential.

C. The Chief Academic Officer and President make the final determination of what conditions or restrictions, if any, should be imposed by the institution to manage, reduce or eliminate the conflict of interest where it has been determined that such conflict could impair the discloser's performance of Institute duties.

D. For sponsored projects, prior to the expenditure of any funds awarded, terms imposed by the sponsor and accepted by the Institute, including reporting of the existence of a conflict, must be satisfied.

E. The Institute is required to make information available, upon request, to federal agencies sponsoring work at the Institute regarding all conflicting interests identified by the Institute and how those interests have been managed, reduced or eliminated to protect the research from bias.

F. The Institute maintains records of all financial disclosures and all actions taken by the Institute with respect to each conflicting interest for a reasonable period of time. For sponsored research activities, records will be retained for at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified by requirements of the sponsoring agency.

Procedures for Resolving Violations of Policy or Failure to Comply

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

Examples of Management of Conflicts of Interest

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

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

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

Academic Honesty

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

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

Instructors have a range of options in dealing with academic dishonesty. It is within the discretion of the instructor to use evidence of plagiarism or academic dishonesty as grounds for failing the student in all or part of the course. The Chief Academic Officer

may be asked to speak with the student, to issue a formal warning, or to consider disciplinary action. For example, the Chief Academic Officer will frequently open a *confidential file*, to be used only in the event of renewed abuses, for first offenders when the case is not extremely serious. Faculty are urged to report any incident to the Chief Academic Officer, even when he or she is not expected to take direct action. In that way, the Chief Academic Officer will learn about multiple offenses and be in a position to respond to them with appropriate seriousness.

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

Investigating Academic Fraud

Procedures for Investigating Academic Fraud

Section 1. Scope of the Procedures

These are the Institute's procedures for investigating allegations of academic fraud. Academic Fraud involves a deliberate effort to deceive and is distinguished from an honest mistake and honest differences in judgment or interpretation. Academic fraud is defined as plagiarism; fabrication or falsification of evidence, data, or results; the suppression of relevant evidence or data; the conscious misrepresentation of sources; the theft of ideas; or the intentional misappropriation of the research work or data of others. Charges against students are subject to these procedures only to the extent that they involve dissertations of students, who have received their degrees, or work published or submitted for publication; other cases of alleged academic fraud by students shall be subject to the normal disciplinary rules governing students.

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

Section 2. The Initial Inquiry

A. Procedures

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

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

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

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

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

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

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

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

B. Conflict of Interest

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

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

Section 3. Investigation into the Fact of Fraud

A. Selection of the Panel

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

B. The Operation of the Panel

1. Collection of Evidence

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

- i. research notes, papers and notebooks, logs, source documents, computer printouts, and machine-readable materials;
- ii. a list of all current and former collaborators and coworkers;

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

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

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

2. Rights of the Person Charged

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

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

3. Preparation of the Panel Investigation and Report

The panel may meet in executive session to prepare for the examination of witnesses and collection of evidence, to evaluate the evidence presented to it, and to prepare its findings and report. After reviewing all of the evidence, the panel shall base its conclusion on whether it is more likely than not that academic fraud has been committed. During the course of its work, the panel may consult with the Chief Academic Officer on Academic

Fraud regarding the proper interpretation of these procedures or, when relevant, the policies of external funding institutions or agencies. The panel shall prepare a written report that summarizes in relevant detail the evidence presented and gives reasons for its findings on the question of whether academic fraud has been committed. When the party charged does not present to the panel evidence it requested, the report shall note whether the party charged claims that it was destroyed prior to the investigation or whether it was withheld under a claim of confidentiality or other privilege. The panel shall indicate whether it accepts the explanation offered by the party charged for the non-production of evidence, and the extent to which the unavailable evidence affected its ability to make a finding on whether academic fraud has been committed. The panel shall be expected to make its final report within sixty days after it is formed. A copy of the report shall be forwarded to the President, and all records and evidence held by the panel shall accompany the report.

C. Notice to Outside Parties

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

Administrative Guidance

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

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

A.) The institutional officials conducting the Inquiry, and, if warranted, the Investigation, will take interim administrative actions as appropriate to protect federal and other funds and ensure that the purposes of any federal or other financial assistance are being carried out.

B.) It is critically important to protect the reputation of the person against whom a complaint is brought. If the Inquiry and/or the Investigation results in a dismissal of the charges, the relevant administrative officers should, with the approval of the Chief Academic Officer and President and the consent of the party against whom the charge was made, take reasonable actions that may serve to restore the reputation of the party charged. Such actions might include notifying individuals aware of or involved in the Inquiry or Investigation of its outcome and/or publicizing the outcome in any forum in which the allegation was previously made known.

C.) It is also critically important to protect the reputation of the person who brings an allegation in good faith (referred to as the "whistleblower" in some policy statements). Officers of the institution involved in a case will take reasonable actions to protect any such person and others who cooperate in good faith with inquiries or investigations, and to prevent any retaliation against them.

D.) Allegations not made in good faith put considerable strain on these already difficult and potentially career-threatening proceedings. If it can be substantiated that an allegation was not made in good faith, the administrative official involved in the Inquiry or the Chair of the special panel should notify the Chief Academic Officer and/or President who will determine if sanctions or any other administrative action should be taken against the person who initiated the bad faith allegation.

E.) Documentation and record retention are important for the successful management of this policy. All Inquiry reports and reports from the special panel, inclusive of records and evidence that accompany such reports, shall be kept for at least three years in the Office of the President. If an external agency that funds research at this institution requires that such documentation from a case where the research under investigation was funded by that external agency be given or made available to it, the documentation shall be provided to that agency in the manner that its regulations require.

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

A) The Inquiry Process should be completed in thirty days. This can be extended, with the approval of the Chief Academic Officer and President for up to thirty more days for good cause. Extension beyond sixty days must be entered into the records of the case and the respondent is to be notified of the extension. Reasons for extension beyond sixty days must be extraordinary, typically involving unavoidable unavailability of evidence.

B.) The person charged (sometimes referred to as the respondent) in the allegation is to be kept fully informed after all steps of the process. A copy of the written Inquiry Report will be shared with the respondent, in all cases. That is, whether the inquiry is dismissed or whether it is referred to the special panel.

C.) The President and the Chief Academic Officer should be notified of the outcome of the Inquiry in all cases where external funding is involved.

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

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

Patent Policy

The basic policies of TTIC include complete freedom of research and the unrestricted dissemination of information. Research done primarily in anticipation of profit is incompatible with the aims of the Institute. The normal method of dissemination of the results of academic work is through publication in scholarly or other public media. The Institute recognizes that, in the course of its research activities, some developments arise which may have commercial benefit. In order for such benefits to be realized, various steps need to be taken depending on the nature of the development. Where research or other activities carried out at the Institute, or with substantial aid of its facilities or funds administered by it, result in inventions, discoveries, or device-like software, such products shall be disclosed to the Institute, shall be the property of the Institute and shall be assigned to the Institute, or an organization designated by the Institute.

The Institute, acting directly or through its designee, shall endeavor to license or assign such products in such a manner as to assure the greatest benefits to the Institute and the public, and provide a return to the inventor or creator. The inventor or creator and his or her administrative head shall be consulted and kept informed of the arrangements.

The conditions for the disposition of patent rights shall be consistent with 1) the basic policies of the Institute, 2) the terms of sponsorship of activities that led to the product, and 3) the requirements of law and professional ethics.

Where neither the Institute nor its designated organization wishes to retain the rights to the product, and the conditions of sponsorship so permit, the inventor or creator may be allowed to retain the rights, and to obtain patents or copyrights, at the expense and for the benefit of the inventor or creator, but in any event the normal processes of academic publication will be utilized for the benefit of the scholarly and general public.

Procedures to implement the foregoing shall be developed and administered under the direction of the President.

Networking and Information Technology and Intellectual Property

Policy on New Information Technology and Intellectual Property

Faculty and 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 faculty who exploit such technologies is early disclosure of what they are doing to the Chief Academic Officer or President. The disclosure should be less formal than that involved for discoveries and inventions, but it should also come much sooner. 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.

Ownership of Intellectual Property

Individual faculty members enjoy the royalties on any book that they write, as well as honoraria from the papers they present at conferences and the endowed lectures they give at other universities. They enjoy these royalties whether their texts are disseminated in print or in electronic media. A small number of faculty members have written standard texts and other works that earn substantial royalties. For most, however, the royalty and honoraria income is small and in many cases does not cover even out-of-pocket costs. Outside a handful of faculty, royalty income from texts, whether print or electronic, does not cross the threshold where it would be appropriate for the Institute to assert ownership rights, even if it had them. In our view, this allocation of ownership is not the benchmark we should use in thinking about intellectual property and new information technologies. More appropriate is a return to first principles.

The creation and dissemination of knowledge is a collective enterprise at a university/institute. Work in the classroom, library, or laboratory is necessarily a joint venture. Even when faculty members teach a class that they have prepared at home with their own materials, the work is itself supported by the salary the faculty members enjoy and all the other support-intellectual, financial, logistical, and otherwise-that the Institute provides. When, for example, a program in a professional school generates substantial revenue, the program must be seen as a product of the Institute as a whole. Individual faculty members as well as the School itself are part of a larger enterprise, and this must be recognized along financial as well as other dimensions.

However, the Institute has formally implemented the principle that the Institute owns the intellectual property the faculty create at the Institute or with substantial aid of its facilities or its financial support. As in the case of inventions and discoveries, faculty members who exploit new technology for commercial gain should disclose their work to the Chief Academic Officer or President. It is too soon to set down fixed rules and formalities. Disclosure, however, should take place as early as possible. As with any other kind of teaching or research, the principal obligation remaining belongs to the Chief

Academic Officer or President - the obligation to ensure that all members of the faculty can do their best work.

In many cases, income generated from use of new information technologies in teaching and research may be small. Asserting ownership in such cases may discourage innovation without bringing significant revenue to the Institute. For this reason, we also recommend that individual faculty enjoy the revenue generated until it is substantial. As the Institute has recognized in the case of patents, individual faculty members are entitled to share in the revenues from the intellectual property they have a hand in creating. The share may vary from case to case, depending on the contribution of the faculty member as well as the costs incurred by the Institute and others. As a starting place, divisions of revenue should follow those already in place for patents and discoveries. Disputes about ownership should be resolved by the same faculty committee that resolves other disputes about intellectual property.

Whenever faculty members do work outside the Institute we must confront issues governing both conflict of interest and conflict of commitment. The emergence of new technology may enable faculty members to take on outside opportunities that previously would have been unavailable. This ability to do more consulting and other work is likely to lead to more issues arising under the Institute's existing policies, especially with respect to conflicts of commitment. The Institute urges that faculty as well as administrators to become more sensitive to the policies that are in place and the ways in which issues can arise under them.

Scholars must be able to control their own intellectual agendas and the way their work is presented to the rest of the world. As joint work is completed, issues are typically expected to be settled before publication. Most of the remaining issues should arise only when time comes for a new edition. Work done with new technology, however, never ceases being a work in progress. How the work evolves and who controls its evolution are issues that will be questions constantly before the Institute. Care must be taken at the outset to confront questions of control to ensure that the Institute retains the kind of control of our ideas that is necessary to the academic enterprise.

Companies Founded by Faculty

In the case of companies founded by Institute faculty, or founded by other persons using technology developed with support from the Institute, the Institute will seek equity positions in the company in exchange for transfer of the ownership of the relevant intellectual property. The equity position of the Institute is generally expected to be small enough to allow for reasonable equity positions to also be granted to the founders and to venture capitalists. The Institute will not seek controlling positions. The precise fraction of equity granted to the Institute will be negotiated between the company founders and conflict-free representatives of the Institute.

Eligibility and Acceptable Use

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

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

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

All Faculty members are expected to follow the UOC Policies for the use of University information technology and its resources. In addition, TTIC reserves the right to prohibit or restrict any use of information technology of the Institute.

Principle

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

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

Definition

Institute Information Technology

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

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

In addition, any information technology which

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

- otherwise uses or affects Institute or University information technology facilities
- is subject to Institute and University information-technology policies, no matter who owns it.

Restricted Applications

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

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

Sanctions and Procedures

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

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

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

PERSONNEL MATTERS

Statement of Non Discrimination

TTIC, in admissions, employment and access to programs, considers students and employees on the basis of individual merit and without regard to race, color, religion, sex, sexual orientation, national or ethnic origin, age, disability, or other factors irrelevant to participation in the programs of study or work at the Institute.

Nepotism

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

Institute Policies on Drugs and Alcohol

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

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

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

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

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

Besides legal consequences, the unlawful possession, use or distribution of illicit drugs and alcohol and any violation of this alcohol and illicit drug policy may result in appropriate discipline under the student disciplinary system or the employee corrective action procedure. Employees may receive sanctions up to and including discharge from employment. The Institute, if appropriate, may also refer students or employees for criminal prosecution.

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

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

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

Harassment

Policy and Definition of Harassment

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

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

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

At the same time, every member of the Institute community must recognize that harassment compromises the integrity of the Institute, its intellectual freedom, and the trust placed in its members. It is the intention of the Institute to take all necessary actions to prevent, correct, and, where indicated, discipline sexual harassment and harassment based on a person's protected status.

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

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

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

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

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

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

Romantic relationships that might be appropriate in other contexts may, within an academic institution, create the appearance or fact of an abuse of power or of undue advantage. Moreover, even when both parties have consented at the outset to a romantic involvement, such consent does not preclude a subsequent charge of sexual harassment

against the instructor or supervisor. Because of its relevance to sexual harassment, the Institute's policy on consensual relations in cases where one person has educational or supervisory authority over another is reproduced under Policy on Consensual Relations between Faculty and Students.

Procedures for the Resolution of Complaints

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

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

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

Advising

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

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

Mediation

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

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

Formal Hearing

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

Procedures for Formal Hearing

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

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

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

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

Consensual Relations between Faculty and Students

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

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

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

An Additional Word of Caution

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

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

“Stopping the Clock” on Review for Promotion

For Parenting Responsibilities:

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

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

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

For Personal Illness Or Care Giving Responsibilities:

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

Discipline

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

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

Military Service

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

Jury Duty

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

Vacation Policy

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

Grievance Procedures

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

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

Non-Smoking Policy

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

INSTITUTE BUSINESS

Travel Policy

The following basic principles underlie the Travel Policies and Procedures:

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

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

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

Faculty and academic staff members may make their own travel arrangements directly or through any travel agency.

Institute Telephones and Long Distance/International Phone Calls

The Institute telephone system is a part of the overall UOC phone system. Privileges for long distance and international calls can be arranged per individual phone. The Institute is charged for all phone calls made from phones within the Institute office. It is expected that long distance/international phone calls are related to Institute research or educational matters. Faculty making long distance and/or international calls are to charge these calls to their faculty research fund.

HEALTH BENEFITS AND ISSUES

Health Insurance Policies

Medical, Dental and Vision Insurance

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

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

Short-Term Disability and Long Term Disability Programs

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

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

Group Life Insurance

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

Flexible Spending Account

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

Disabilities

A member of the faculty or academic staff with a disability who needs assistance or accommodation should contact the Chief Academic Officer and/or the Chief Administrator.

Emergency evacuation procedures for person with disabilities

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

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

- Upon hearing a fire alarm and/or being instructed to evacuate the building, if on the ground floor of the building exit by normal means;
- If above or below the ground floor relocate or be moved to an area of rescue assistance, the safest area located on each floor in the building to await assistance from emergency response personnel. **DO NOT USE ELEVATORS;**
- A listing shall be posted in every building, on each floor identifying the locations of the areas of rescue assistance. These locations are communicated with the Chicago Fire Department during pre-planning tours to enable faster assistance during an emergency event;
- If you cannot access an area of rescue assistance, then proceed to the nearest set of exit stairs that have doors which separate the stairs from the hall corridor. Enter the exit stairwell and wait there for assistance and have someone

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

Parental and Child Care Leaves

Parental Leave Policy

For Full-Time Faculty Members on Regular Three-Quarter Appointment, Eligible after twelve Months of Employment

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

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

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

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

Maternity Leave Policy

For Full-Time Post Doctoral Employees and Other Full Time Academic Staff Members on Three or Four-Quarter Appointment, Eligible after twelve Months of Employment

A full time post doctoral employee or other full time member of the academic staff (other than faculty) who gives birth may take up to six weeks of paid leave and up to six weeks of unpaid leave within twelve months of the delivery. Anyone wishing to take maternity leave under this policy should discuss her leave plans with the Chief Academic Officer a minimum of three months before the proposed leave.

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

Child Care Leave (For Parents Not Taking Parental Leave) and Caregiver's Leave
For All Full-Time Faculty, Post Doctoral and Academic Staff Members, Eligible after twelve months of Employment

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

Similarly, a faculty member not taking parental leave, or post doctoral employee, or member of the academic staff whose wife or Institute-registered, same-sex domestic partner is giving birth may arrange for an unpaid leave of absence for up to twelve weeks. This leave must be taken within twelve months of the birth, adoption, or placement. The faculty member, post doctoral employee or member of the academic staff who anticipates a child care leave should discuss the plan with the Chief Academic Officer at least three months in advance, if possible.

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

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

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

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

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

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

Sick Leave and Long-Term Disability

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

General Leave Policies

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

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

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

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

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

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

Emergency Medical Care

The University of Chicago Hospitals operates the Mitchell Hospital Adult Emergency Room and the Comer Children's Hospital Emergency Room. Emergency telephone consultation can be obtained by calling either emergency room. Refer to the University of Chicago Hospital's website for further information (www.uchospitals.edu).

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

OTHER BENEFITS

401(k) Retirement Plan

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

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

More detailed information is available from the Human Resources Coordinator.

Holidays - Official Institute Holidays

The Institute has eight official holidays:

- New Year's Day – January 1st
- Martin Luther King, Jr. Day – 3rd Monday in January
- Memorial Day – Last Monday in May
- Independence Day – July 4th
- Labor Day – First Monday in September
- Thanksgiving Day – Fourth Thursday in November
- Day after Thanksgiving Day – Fourth Friday in November
- Christmas Day – December 25th

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

Tuition Benefits

TTIC offers a tuition assistance benefit for children of faculty. Please contact the Human Resources Coordinator for the current policy, eligibility requirements and procedures.

Immigration Assistance

TTIC is eligible to sponsor H1-B (and H-4 dependent) visas and permanent residency (Green Card) applications. The eligibility to sponsor J-1 (and J-2 dependent) visas may be granted by the U.S. Department of State sometime in 2010.

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

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

For assistance with visas and immigration regulations and procedures please consult the Human Resources Coordinator or the Chief Administrator.

Property Insurance

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

Identification Cards

All faculty and other academic staff shall obtain a TTIC ID card through the Administrative Office. The Administrative Office should also be notified immediately if a card is lost or stolen.

Faculty members who are granted a joint appointment with the University of Chicago are also eligible for a UoC ID card, available from the Office of ID and Privileges, first floor of the Regenstein Library, during normal business hours.

Building Access/Key Cards

Faculty members are assigned key cards which allow 24/7 access to the 6045 S. Kenwood Building and the TTIC office area. After normal working hours in the evenings, on weekends and on Institute holidays, the keycard must be used to gain access. Doors are generally unlocked from 8:00 AM – 5:00 PM Monday through Friday.

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

Secure Bike Parking

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

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

This inside storage is probably best for those who ride regularly, such as once per week.

Computing Services and Facilities

A broad range of computing facilities and services are offered for faculty. Some of these services are provided in conjunction with those offered by the UOC for their faculty.

Networking Services and Information Technologies (NSIT) is the UOC organization that supports instruction, research, and academic administration through an evolving network-based client/server environment, including campus-wide, server-based communication services, such as electronic mail services, information-based infrastructure (i.e., World Wide Web and Gopher servers), and instructional technologies.

The University operates a campus network (Ethernet), with a high-speed backbone. The University campus network connects computers located in all campus buildings and residence halls and provides high-performance access to national and regional networks (Internet). Support is provided for advanced research systems through several specialized facilities.

Library Privileges

Faculty has full access to the University of Chicago Libraries. The Institute fully subsidizes the privilege fees and orders the library card for new faculty. Included in the Library Privileges are borrowing privileges on a quarterly loan basis and full access to electronic resources of the libraries. For information on renewal and quarter loan due dates please go to: <http://www.lib.uchicago.edu/e/using/due/home.html#quarter>

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

Spouses of faculty who are registered for library privileges may also register for library privileges for a fee. The institute will not pay the fee for spouse registration. The faculty member may register their spouse through the following procedure:

Send an email to IPO@uchicago.edu. Include in the email the following information:

- Identification as a TTIC faculty member at the affiliate level
- Name of spouse

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

For information about the research holdings and services of the Library, faculty may consult a reference librarian, the bibliographer serving the particular academic discipline and/or the Library's web pages at www.lib.uchicago.edu. An orientation newspaper entitled "An Introduction to the University Library" is published each autumn and is available at each library location.

University of Chicago Libraries

Joseph Regenstein Library

Humanities, social sciences

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

Address: 1100 East 57th St., Chicago, IL 60637

Phone: 2-8740

William Rainey Harper Memorial Library

Undergraduate

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

Address: 1116 East 59th St., Chicago, IL

Phone: 2-7959

John Crerar Library

Science, medicine, technology

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

Address: 5730 South Ellis Ave., Chicago, IL

Phone: 2-7409

Chemistry Library

Organic, physical, and theoretical chemistry

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

Address: 5745 South Ellis Ave., Chicago, IL

Jones Laboratory, Room 204)

Phone: 2-8775

Eckhart Library

Mathematics, statistics, computer science

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

Address: 1118-32 East 58th St., Chicago, IL

Eckhart, Room 217

Phone: 2-8778

D'Angelo Law Library

U.S., foreign, and international law

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

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

Laird Bell Quadrangle, 2nd floor

Phone: 2-9615

School of Social Service Administration Library

Social welfare, social work

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

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

Phone: 2-1199

Yerkes Observatory Library

Astronomy, astrophysics

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

Address: Williams Bay, Wisconsin

Phone: 262-245-5555

Transportation

TTIC faculty are able to utilize the UOC transportation system. Faculty eligible for a UoC ID card (those with joint appointments with the University) may ride the campuses for free by showing the UoC ID card. All others must pay the bus fare.

The UOC offers a series of bus services: the Midway Shuttle, the Daytime Campus Bus, the Evening Bus, and the Downtown Express service. Schedules and routes are subject to revision. For further information on these and other University transportation services, go to <http://www.rh.uchicago.edu/bus/>, call the University of Chicago Bus Information Line at 2-3988, or send e-mail to: bus@uchicago.edu.

Parking

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

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

Car Pool Benefits

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

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

Safety on Campus

The University of Chicago Police Department operates twenty-four hours a day to serve and protect the University and Institute faculty, staff, students, and community. To summon assistance or, in case of emergency, call 702-8181, or 123 from all on-campus phones. In addition, the University Police encourage faculty and all members of the community to use any of the more than 100 white emergency telephones installed throughout the neighborhood in areas with considerable foot traffic by students, faculty, and staff. The phones provide a direct line and alarm signal to the University Police.

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

Safety Awareness Program

The Safety Awareness Program was established in response to the recommendations of a UOC task force composed of students, faculty, and staff. The program is monitored by the standing Committee on Crime Prevention and Security on Campus and in the Neighborhood.

The Safety Awareness Program includes:

The publication, *Common Sense*, which has information about protective services and safe means of transportation on and off campus is on the Web at www.uchicago.edu/commonsense.

Safety Tips and Safety Alerts that can be emailed to faculty and staff who register for it. See <https://listhost.edu/mailman/listinfo/safety-awareness> to register.

cAlert Program

c Alert 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 mechanisms other than regular University email and telephones. The new system can transmit short notifications by email to any outside email address, by text

message to a cell phone, or by voice message to an off-campus telephone. The information in the emergency notification system will be used only in case of emergency, a University closing, or some other event that requires rapid, wide-scale notification of the community.

Refer to <https://calert.uchicago.edu> for more information and to register.

Late Night Transportation Services

The late-night transportation services consist of an Evening Bus Service, a SafeRide on-demand van service, and an escort service provided by the University of Chicago Police Department.

For more information about the Evening Bus or SafeRide program, please visit <http://facilities.uchicago.edu/transpparking/transportation/index.shtml>. You may e-mail any questions, concerns, or suggestions for improvement to bus@uchicago.edu. For more information about the UCPD Umbrella Coverage and other personal safety programs please call (773) 702-8181 or visit <http://oca.uchicago.edu/safety/>.